



德稻智库丛书

# 规则社会的十项原则

——提升中国的治理能力

「美」邓穗欣◎著

左晓燕◎译

中英双语版本

TEN PRINCIPLES FOR A RULE-ORDERED SOCIETY  
Enhancing China's Governing Capacity

汇聚世界大师  
催生行业精英

采集全球智慧  
助力企业发展



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## 德稻智库丛书

智慧是人类文明发展的源动力。社会发展而产生的行业是智慧的细分，作为生产力的代表，行业专家（大师）凝聚了大量智慧。如何对大师智慧不断进行科学化、系统化的采集、传承和应用一直以来是各个文明发展的核心任务。进入 21 世纪，创意、创新、创造成为全球发展的主旋律，中国也正处于社会转型、产业升级、管理创新的关键时期。“中国制造”型经济已经并强力推动着世界经济的发展，但是，如何从“中国制造”走向“中国创造”？如何培养人才，激发全民的创造力，推动华夏文明的复兴和社会可持续发展？带着这些问题，德稻集团进行了深入的调研和实践，“德稻智库丛书”应运而生。

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nurture professional elites with unique specialties and to integrate the masters' wisdom with China's human and organizational capital. Drawing on the clustering effect of many world – class experts working together, we will help enterprises and governments to localize wisdom accumulation, and promote group – based and collaborative innovation.

Written by “Detao Masters” from different industries and professions, “Detao Books” collect and distribute the authors' deep wisdom and experience, reinforcing the process of “productive forces transforming into knowledge, and knowledge promoting productive forces.” Built on their authors' solemn commitment to academic pursuits, “Detao Books” possess high academic, social, and practical value. We hope readers will gain new insights from the authors' wisdom and experience. Let us draw on various scientific methods, perspectives, and inspirations to help develop sustainable development plans for different industries and professions.

Li Zhuozhi  
Chairman of DeTao Group

集团性、协同性创新。

“德稻智库丛书”由不同行业、不同领域的“德稻大师”撰写，力求深度采集和传承作者的智慧与经验，真实还原“生产力转化为知识，再由知识发展生产力”的过程。正是各位作者严肃对待学术问题和注重理论结合实践的态度，使得这套丛书具备很高的学术价值、社会价值和实用价值。我们期望作者的智慧与经验能够为读者带来全新的体验和收获。让我们用各种科学的方法、更宽阔的视野、更多的创新灵感，来成就各个行业可持续发展的解决方案。

李卓智  
德稻集团董事长

**TO**

**Kit Ming**

**Erica**

**Brian**

**William**



献给

洁明

颖文

颖俊

颖杰

# Preface

I have always wanted to write a book that would be of interest to the general reader in China and combine what I know about modern social science with what I learned from reading Chinese history and studying contemporary Chinese issues. Yet I thought I would write the book only after retirement. A chance visit to Beijing changed my plan.

I visited Beijing in December 2010 at the invitation of the Beijing DeTao Masters Academy. During the trip, I also visited the National Academy of Socialism and the National Academy of Governance. In the latter, I delivered a lecture “Governance and Rule – ordered Society” to over a hundred government officials from all over China who were undergoing short – term training at the Academy.

The topic was slightly different from the one I originally prepared before I left for Beijing, which was about comparing the U. S. and China experiences on collaborative governance. Because I arrived in Beijing a few days before my scheduled lecture at the National Academy of Governance, I had chances to discuss ideas I could cover in the lecture with friends over dinner. One idea came up in the discussion; it was how to use rules effectively to solve policy and management problems.

The idea is something I have covered regularly in my introductory lecture to our Master of Public Administration (MPA) students at the University of Southern California (USC). The lecture emphasizes that although most people tend to think first about the deployment of financial and human resources when considering solutions to public policy and management problems, rules are often equally, if not more, important for getting problems solved. In my lecture, I cover several principles for using rules in public management situations. I briefly mentioned a couple of these principles to my friends at the dinner in Beijing; they seemed to be quite interested as they all appreciated the difficulty of getting people to follow rules in China.

The dinner discussion subsequently led me to develop a new outline for my lecture at the National Academy of Governance that covered ten principles for strengthening China as a rule – ordered society. My plan was to draw on ideas and examples I covered in my MPA class, and relate them to situations in China.

MPA students in the United States have many different undergraduate majors, and most of them are interested in developing professional careers in either the public or nonprofit sectors. When I present my ideas on rules to them, I always try to introduce them to different theoretical perspectives, and also to link

## 前 言

一直以来我有一个夙愿，就是结合我对现代社会科学的认知和我研究中国历史以及当代中国问题的心得，撰写一本中国的大众读者会感兴趣的书籍。我本以为退休之后才会着手写书。然而一次偶然的北京之行改变了我的计划。

受北京德稻教育机构的邀请，我于2010年12月访问了北京。访问期间，我参观了中央社会主义学院和国家行政学院。在国家行政学院，我以“治理和规则社会”为题，向在该学院接受短期培训的百余名来自中国各地的政府官员发表了演讲。

这一主题与我早前所准备的略有不同，初稿是关于美国和中国协同治理经验的比较。我比预定的演讲日期提早几日抵达北京，因而有机会与北京的朋友共进晚餐并讨论我的演讲内容。谈话中迸发的灵感之一是如何有效地运用规则来解决公共政策和管理问题。

在我定期为美国南加州大学公共管理硕士生讲授的导论课程中，这个主题已经有所涉及。该课程强调，虽然大多数人在思考公共政策和管理问题的解决方案时，通常首先考虑的是财力和人力资源的部署，但规则对问题的解决即使不是更为重要，也往往同等重要、不可偏废。我在授课时谈到了在公共管理情境中使用规则的几项原则。在这次晚餐谈话中，我简要地提到了这些原则，朋友们似乎颇感兴趣，因为他们对于在中国让人们遵守规则的困难都深有同感。

接下来的讨论引导我为其后在国家行政学院的演讲拟定了一份新的大纲，演讲将论及强化中国作为一个规则主导型社会的十项原则。我计划借鉴公共管理硕士课程所用的思路和例子，并将其与中国现况相结合。

美国的公共管理硕士生来自不同的本科专业，他们之中大多数有志于在公共或非营利部门发展职业生涯。当我向他们讲述我对规则的见解时，我总是试图将理论与他们未

these perspectives to practical issues they may encounter in the future as public and nonprofit managers.

My own views on rules have been shaped by the contemporary literature on institutional analysis, rooted primarily in economics and political science. I was introduced to the literature while I was a graduate student at Indiana University working as a research assistant for Professor Elinor Ostrom at the Workshop in Political Theory and Policy Analysis. After obtaining my Ph. D., I joined the faculty at the USC School of Public Administration, which later became the School of Policy, Planning, and Development, and most recently the Sol Price School of Public Policy. For many years, in addition to teaching courses in the MPA program, I have also taught a doctoral seminar on the Institutional Context of the Public Sector, which introduces students to the core theoretical approaches to institutional analysis and their applications to public sector issues.

In the past few years, I have also served as Research Director of the Bedrosian Center on Governance and the Public Enterprise, which provides me with opportunities to reflect on broader governance issues and how they relate to the institutional analysis literature.

Although my main occupation is a university professor, I do not write this book only for an academic audience. Instead, I write it for the general readers in China, particularly those who are interested in improving the quality of governance in China.

This book does not explore the academic literature on institutional analysis explicitly, but most of the ideas covered in the book are rooted in that literature. To make the book interesting to the general reader, I try not to go too deep into theoretical issues, but to use as many real life examples as possible to illustrate the arguments.

Rules are important for coordinating all types of social, economic, and political activities. Although I use examples from the public, private, and nonprofit sectors, this book focuses on public governance, specifically on ways to develop a rule – ordered governance system in China.

I mentioned earlier that I planned to write the book only after retirement so that I can read more extensively on Chinese history and contemporary China before starting to write. Without having invested sufficient time to do so, what I can accomplish here is at most an outline of what may potentially apply to China. I hope the current volume can serve as a starting point for further discussions among those who are interested in the issues raised in it, and subsequently I will be able to prepare a revised version that can address many of the same issues more thoroughly.

It took me no more than thirty minutes in December 2010 in a hotel in Beijing to write down on the back of an envelope most of the ten principles for a rule – ordered society discussed in this book, but it took me about ten months to finally finish the first complete draft for this whole book by September 2011. It has been a rewarding experience as the process of writing this book helped me to think through many conceptual

来作为公共和非营利组织管理者可能遇到的实际问题相结合，而不只是介绍不同的学派观点。

我个人对规则的看法深受根植于经济学和政治学的当代制度分析理论的影响。当我还是美国印第安纳大学的一名博士研究生时，我曾担任欧玲（Elinor Ostrom，国内也有译者翻译为埃莉诺·奥斯特罗姆）教授领导的政治理论和政策分析主题研究团队的研究助理，从而开始接触这类文献。获得博士学位后，我加入了南加州大学的公共管理学院，其之后曾更名政策、规划与发展学院，现命名为普莱斯公共政策学院。多年来，除了教授公共管理硕士课程，我还指导一个博士班研讨公共部门的制度背景，介绍制度分析的核心理论方法以及它们在公共部门问题中的应用。

在过去几年中，我还担任了贝德罗西安（Bedrosian）公共治理中心的研究主任，这一职务让我有机会深入思考更广泛的治理问题以及它们如何与制度分析理论相联系。

虽然我的主业是大学教师，但我撰写本书并不仅仅是针对学术界读者。相反，我是为中国的大众读者而写，特别是那些有志于改善中国公共治理质量的人。

虽然本书没有明确探究制度分析的学术文献，但书中所涵盖的大部分思想观点皆源自于此。为了吸引大众读者，我尽量避免过度深入探讨理论问题，而是尽可能地多使用真实生活中的例子来阐释论点。

规则对于协调所有类型的社会、经济和政治活动都至关重要。虽然我所使用的例子来自公共、私人和非营利各部门，但本书的侧重点仍然是公共治理，特别是关于如何在中国建立一个规则主导的治理体系。

前文提到，我原本打算退休后才潜心写作，这样我在动笔之前可以更广泛地阅读有关中国历史和当代中国的资料书籍。但由于成书时间仓促，我在此可以完成的，最多只是概述可能适用于中国的要点。我希望现有内容可以为那些对书中所提问题感兴趣的人进行深入探讨提供一个出发点，接下来我会准备一个修订版本以便更全面透彻地论述许多同类问题。

2010年12月在北京某酒店，我用了不到30分钟的时间，在一个信封的背面列下了本书所讨论的规则社会的十项原则中的大多数，但我花费了大约十个月的时间才最终于2011年9月完成本书的完整初稿。此次经历使我获益良多，在写作本书的过程中，我得

and historical issues more clearly and systematically than before. As the book covers a wide array of topics, it sometimes took me a few days of reading just to write two or three paragraphs. Many ideas and examples covered in this book came to my mind while I was teaching my classes, chatting with colleagues and students, sitting in my car waiting to pick up my children from school, sitting somewhere in a shopping mall watching my youngest son while the rest of the family went shopping, and playing tennis with my wife.

In particular, most of the book was written in spring 2011 while I was teaching a doctoral seminar “Institutional Context of the Public Sector” at USC. Since the seminar covered key theoretical concepts in public governance and institutional analysis, I was able to share with my class some ideas I was developing at the time. I benefited from useful feedbacks from these students.

I thank Professor Yongjian Bao, Professor Richard Callahan, Ms. Aubrey Hicks, Miss Jenneille Hsu, Dr. Laura Jeon, Mr. Cheongsin Kim, Professor Chester Newland, Dr. Vandana Prakash, Professor Ching – Ping Tang, Mr. Frank Wen, Mr. Andrew Wong, Mr. Henry Yee, Professor Xueyong Zhan, and an anonymous reviewer for providing valuable comments and suggestions on earlier drafts. Of course, all remaining mistakes and shortcomings are entirely mine.

I thank Ms. Xiaoyan Zuo for translating the original English version into Chinese. I read through the Chinese version carefully and am grateful to Ms. Zuo for her accurate and elegant translation. I also thank Professors Yongjian Bao and Xueyong Zhan for encouraging me to begin and complete the book. Finally, I must thank the Detao Masters Academy for supporting the book’s translation and publication.

Shui – Yan Tang



以比从前更加清晰和系统地思考许多概念和历史问题。由于本书涵盖了一系列广泛的议题，有时我需要花费数日时间阅读才能落笔写下两三个段落。本书中所涉及的很多想法和例子是于不经意间闪现我的脑海，当我在课堂授课时，与同事和学生聊天时，坐在车中等待接孩子返家时，在商场某处照看我最年幼的儿子而其余家人去购物时，或是与我的妻子打网球时。

特别要提到的是，本书大部分内容写于2011年春天，当时我正在南加州大学教授一门博士生课程“公共部门的体制背景”。由于该课程涵盖了公共治理和制度分析的关键理论概念，我得以在课堂上即时分享我的一些想法。这些学生的有效反馈令我受益匪浅。

感谢鲍勇剑教授、理查德·卡拉汉（Richard Callahan）教授、奥布里·希克斯（Aubrey Hicks）女士、许怀元小姐、田裕微博士、金正信先生、切斯特·纽兰（Chester Newland）教授、范达娜·普拉卡什（Vandana Prakash）博士、汤京平教授、文军先生、黄宏发先生、余伟铿先生、湛学勇教授以及一位匿名评审为本书早期草稿提供的宝贵意见和建议。书中若有任何遗误或瑕疵，纯属我个人之疏忽。

我还要感谢左晓燕女士将英文原著翻译成中文。我仔细通读了中文译稿，对左女士精确文雅的翻译深表谢意。我也感谢鲍勇剑教授和湛学勇教授鼓励我开始并完成此书。最后，我要感谢北京德稻教育机构对本书翻译出版的支持。

邓穗欣

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