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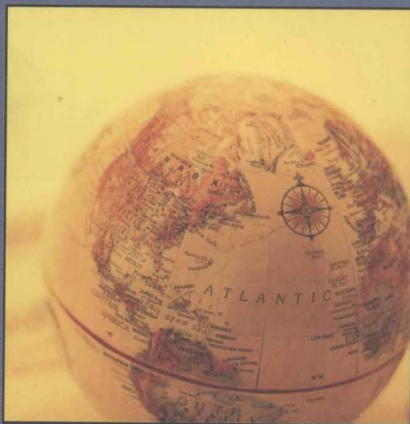
Understanding Public Policy

【 Eleventh Edition 】

理解公共政策

【 第十一版 】

■ Thomas R. Dye 托马斯·戴伊



UNDERSTANDING PUBLIC POLICY

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[Eleventh Edition]

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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、少得可怜的本存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

Policy analysis is concerned with “who gets what” in politics and, more importantly, “why” and “what difference it makes.” We are concerned not only with what policies governments pursue, but why governments pursue the policies they do, and what the consequences of these policies are.

Political science, like other scientific disciplines, has developed a number of concepts and models to help describe and explain political life. These models are not really competitive in the sense that any one could be judged as the “best.” Each focuses on separate elements of politics, and each helps us understand different things about political life.

We begin with a brief description of eight analytic models in political science and the potential contribution of each to the study of public policy:

Institutional model	Group model
Process model	Elite model
Rational model	Public choice model
Incremental model	Game theory model

Most public policies are a combination of rational planning, incrementalism, competition among groups, elite preferences, public choice, political processes, and institutional influences. Throughout this volume we employ these models, both singly and in combination, to describe and explain public policy. However, certain chapters rely more on one model than another.

We attempt to describe and explain public policy by the use of these various analytic models. Readers are not only informed about public policy in a variety of key domestic policy areas; they are also encouraged to utilize these conceptual models in political science to explain the causes and consequences of public policies in these

areas. The policy areas studied are:

Criminal justice	Environmental protection
Health and welfare	Civil rights
Education	State and local spending and services
Economic policy	National defense
Taxation	Homeland Security
International trade and immigration	

Any of these policy areas might be studied by using more than one model. Frequently our selection of a particular analytic model to study a specific policy area was based as much on pedagogical considerations as on anything else. We simply wanted to demonstrate how political scientists employ analytic models. Once readers are familiar with the nature and uses of analytic models in political science, they may find it interesting to explore the utility of models other than the ones selected by the author in the explanation of particular policy outcomes. For example, we use an elitist model to discuss civil rights policy, but the reader may wish to view civil rights policy from the perspective of group theory. We employ public choice theory to discuss environmental policy, but the reader might prefer studying environmental problems from the perspective of the rational model.

In short, this volume is not only an introduction to the study of public policy but also an introduction to the models political scientists use to describe and explain political life.

The new 11th Edition of *Understanding Public Policy* brings policy studies into the post 9/11 world. The chapter on "Defense Policy: Strategies for Serious Games" has been extensively revised to include issues surrounding the use of military force in fighting terrorism, including the wars in Afghanistan and Iraq. A new chapter, "Homeland Security: Terrorism and NonDeterrable Threats," describes the goals and methods of terrorists, the U.S. response to the 9/11 attack, the role of the intelligence community in fighting terrorism, and the Patriot Act and the problems it poses for individual liberty.

The 11th Edition also includes expanded discussions in educational policy, including the controversy surrounding the "No Child Left Behind Act" and its emphasis on pupil testing. The heated issue of "diversity" in higher education is described, as well as the Supreme Court cases dealing with it and alternate means of achieving it. In crime-fighting, the RICO Act's property seizure provisions are described and critiqued; later comparisons are drawn with similar provisions in the Patriot Act. The Bush tax cuts of 2001 and 2003 are compared to earlier tax policies in the Clinton and elder Bush administrations. Fed policy as well as tax cuts are assessed as tools for economic revival. The return to deficit spending in the Bush administration also comes under critical examination.

The 11th Edition also includes expanded discussions of "The Global Economy," "National Immigration Policy," "Crime and Guns," "The Drug War," "Replacing the

Income Tax," "The Global Warming Controversy," "Public Policy and Hispanic Americans," and "Missile Defenses."

We wish to thank the following reviewers for their helpful comments: Kimberly Geron, California State University at Hayward; Nicholas Alzoie, Arizona State University; Ira Reed, Trinity College; and Lawson Veasey, Jacksonville State University.

Thomas R. Dye

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