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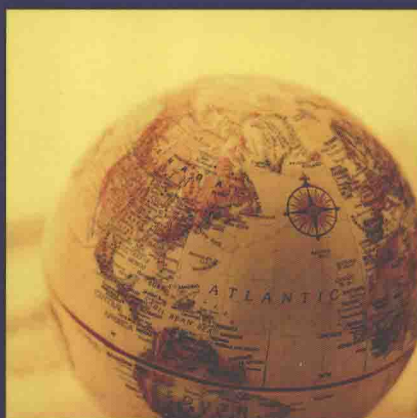
公共管理学经典教材原版影印丛书

Classics of Public Personnel Policy

【 Third Edition 】

公共人事政策经典 【第三版】

■ Frank J. Thompson 弗兰克·J. 汤普森



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北京大学出版社
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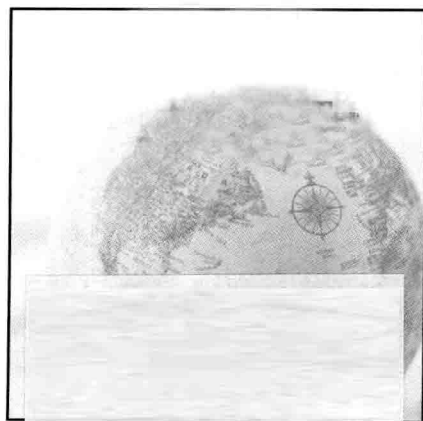
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Frank J. Thompson

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《公共管理学经典教材原版影印丛书》

学术顾问名单

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顾 问：（按姓氏拼音顺序）

陈庆云（北京大学政府管理学院）

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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

Public personnel policy markedly affects the governance of American society in myriad ways. It intersects with fundamental issues of democratic accountability, responsiveness, legitimacy, and equity; it shapes the degree to which public agencies achieve efficiency and effectiveness in their operations. Personnel policy provides a template for a spectrum of human resource decisions and practices. These policies lay the foundation for choices concerning the number and type of formal positions an agency will encompass (e.g., human resource planning, job design, classification). They shape the processes through which people obtain and exit from government jobs—recruitment, promotion, transfer, demotion, firing, layoff, resignation, retirement, death. They affect the criteria and standards for appraising employee performance as well as the means through which managers acquire and communicate this information to their subordinates and others. Personnel policies seek to motivate certain behavior through regulation and the establishment of incentive systems (e.g., pay scales, fringe benefit packages). They guide the use of training and related tools to enhance employee knowledge and skills as well as to inculcate and reinforce desired values and commitments within the ranks.

Human resource management occurs, of course, in virtually all work organizations. This book, however, focuses on policies that target the *public* sector. On the surface, this target conjures up the image of formal civil service systems in government bureaucracies. But in fact the boundaries between public and private employment are far fuzzier than this suggests. Countless non-profit agencies and private firms receive funds to implement public programs.

Some state governments, for instance, have even turned to private companies to build and operate prisons. In a sense, the personnel practices of government's hired hands in the private sector also fall under the umbrella of "public" even though they often feature human resource practices that sharply differ from those found in more traditional government agencies. Although the readings in this volume primarily probe human resource systems in government, the vast complex of private nonprofit agencies and firms that performs government tasks also deserves attention.

The public sector within the United States minimally consists of well over 87,000 units of government. In addition to the national government and the fifty states, the American landscape features over 39,000 local general-purpose governments (more than 3,000 counties and some 36,000 municipalities or townships), nearly 14,000 school districts and another 35,000 special districts (e.g., airport or port authorities). Although some special districts are primarily paper enterprises that have few, if any, employees, the overwhelming majority of these governmental units employ people and subject them to some kind of personnel system or systems. At the close of the twentieth century, over 20,250,000 full- and part-time civilian employees worked for this vast array of governments—roughly 15 percent of the total civilian labor force in the United States. An additional 1.4 million men and women served in the nation's uniformed military. About 14 percent of all civilian public employees worked for the national government, 24 percent for the states, and 62 percent for local governments. At the state and local levels, over half of all employees work in elementary and secondary schools along with public colleges and universities.¹ Given the great number of employment contexts in the public sector, no book can capture all of the nuances of public personnel policy and practice in the United States. But the selections in this volume do address basic issues that in one way or another speak to human resource challenges in great numbers of these settings—especially in larger governmental units that employ more people.

In general, the personnel policies that preoccupy this volume manifest themselves as laws, court opinions, administrative regulations, and related formal statements that purport to guide behavior in the human resource arena. These mandates often specify certain goals, procedures, or institutions to be used to manage personnel. The ways in which officials implement (or do nothing to implement) these policies determine their implications—whether they enhance government performance and accountability, detract from it, or have minimal impact one way or another. Of course, the best laid policies often yield unanticipated consequences. Solutions deemed appropriate in one historical period (such as the establishment of merit systems to fight patronage) later become the problem that a new generation of reformers seeks to solve (such as unresponsive, torpid personnel systems enmeshed in red tape).

Given a focus on personnel policy, its implementation, and its consequences, what constitutes a "classic?" A classic is above all a work of enduring value. Destined not to become obsolete tomorrow, it commands the attention

of any serious student of public personnel policy. Usually, the work achieves this stature via a breakthrough, which can occur in at least one of two major ways. First, it may conceptualize, describe, and explain in some especially insightful and captivating way some empirical phenomenon in the human resource arena. One of the selections in this volume, for instance, adroitly dissects the forces eroding the appeal of political patronage in the twentieth century. Second, a classic may earn its status for its normative or moral contribution. In one fashion or another, the work makes a judgment about what constitutes good or bad personnel practices and often recommends changes in policy and other behavior. To the degree that these normative assessments leave their mark on the scholarship of a field or on the behavior of practitioners, they become contenders for classic status. Articles and books at times do this. In other cases, court opinions, public laws, and other policy statements have a particularly pronounced impact. For instance, no book of classics can safely ignore the Pendleton Act of 1883, which galvanized and shaped the development of merit systems for over a century.

Picking classics is, of course, an invitation to debate. Although I doubt that readers will challenge the significance of most of this book's contents, some will naturally question why certain materials fail to appear. Those authors whose work surfaces in this volume may wonder whether I have ferreted out the truly classic portion of their writing. It deserves note that in selecting works of enduring value, other secondary criteria influenced me. Several current texts and readers contain lasting insights. Their contents do not appear here, however, because they are readily available to students and often assigned in courses where this book might be used. I also excluded my own published work from consideration because I cannot pretend to be objective about it. The need to cover a spectrum of topics in limited space led me to pick certain materials over others. Finally, readability counted. I sought selections that people without a background in sophisticated statistical methodologies could readily absorb.

Those familiar with the last edition of *Classics of Public Personnel Policy*² will note some changes in the selections. This in no sense demeans the value of the pieces that have been dropped. In a larger volume, many of them would still appear. But the relentless competition for space, the discovery of a few new works from the past, the quest for balance, and the need to cover an extra decade prompted their displacement.

Some readers will, of course, care less about whether I have selected the classics than about the value of a classics volume, period. Why read classics? For serious students of public administration and management the answer is open and shut. Reasonable grasp of a subject matter requires some appreciation of its historical origins and trends—of the evolution of ideas. For the “here-and-now” master's student eager to practice the latest techniques of human resource management, however, the answer may seem less obvious. Can books of classics be relevant to this group? I think so for at least four reasons.

First, and least important, many of the selections printed in this volume are relatively recent. For instance, the Supreme Court decisions that appear continue to set basic legal boundaries for the practice of human resource management as the twenty-first century opens. Second, the introductions to each section supplement the classics with more contemporary analysis. Third, and most important, classics broach *enduring* questions. Should employee strikes be permitted in the public sector? What institutional arrangements best serve the interests of effective and accountable human resource management in government? Will the factors that undermined patronage in the past continue to do so, or will reliance on private contractors cause it to emerge in new forms? Historical works can cast considerable light on the answers to these and related questions. Frequently they say it much better than more recent analyses of the same issues. Fourth, practitioners can hone their capacity to evaluate current reform proposals by studying waves of reform in the past. This exercise can sharpen their ability to anticipate the consequences of policy change. It can inhibit practitioners from chasing after every fad or nostrum pushed by the latest gaggle of human resource consultants or policy entrepreneurs.

The selections in this volume appear under six major headings. The first section plumbs the historical foundation of public personnel policy. It examines the Pendleton Act of 1883 and the thesis so firmly embraced by early civil service reformers—that politics could and should be exorcised from personnel administration. As will become evident, both claims are dubious.

The second section deals with the triumph of merit system reform—its success in greatly reducing political patronage. It also recognizes, however, that each policy “solution” tends to generate a new set of problems. In this regard, it presents selections that capture the discontent with many features of contemporary merit systems. This section also raises questions about the relevance of traditional merit systems in an era where government relies extensively on a shadow workforce employed by private contractors and grantees to implement its programs.

The third section focuses on a particularly enduring question of public personnel policy, one intertwined with basic theories of democratic accountability. To what extent should duly elected executives (e.g., presidents, governors, mayors) and the top officials that report to them have control over personnel processes and decisions as a vehicle for executive leadership? What institutional arrangements are appropriate in this regard? Civil service reformers have often touted the value of an independent commission to restrict the discretionary authority of chief executives and other public managers. To avoid patronage and abuse, they have favored the establishment of countervailing institutions to check executive power. Others, however, suggest that reformers have gone so far in this effort as to vitiate the ability of elected executives to promote efficient, effective, responsive, and accountable governance.

Issues of equal employment opportunity and representative bureaucracy come under the microscope in the fourth section of this book. Public personnel policy has intersected with efforts to eradicate one of the most fundamen-

tal stains on the legacy of American democracy and merit reformers—racial bigotry and other forms of discrimination. This section deals with issues that have emerged in the efforts to protect racial or ethnic minorities, women, and other classes of individuals from bias. It considers the mounting resistance to affirmative action aimed at achieving “representative bureaucracy” and the rise of diversity management as an alternative approach.

The fifth section of this book zeroes in on basic issues of employee rights and labor relations. Pervasive norms in society as well as the evolution of law and court interpretations recognize that civil servants as employees enjoy certain substantive and due process rights. The opportunity to form employee associations and bargain collectively with employers looms particularly large in this respect. The growth of public sector unionization has been one of the bright spots for the American labor movement at a time when their representation of private sector workers has eroded. The selections in this portion of the book probe normative and empirical issues generated by the evolution of employee rights and collective bargaining.

A final section deals with the implications of the reinvention movement for public personnel policy and management. The discontents with public personnel systems that had been brewing for decades as well as unhappiness with other government procedures such as those embedded in budgeting and procurement processes congealed into a call for “reinventing government” in the 1990s. The ideas embedded in this reform movement in significant measure emanated from a best selling book, from commissions focused on state and local governments, and from the National Performance Review of the Clinton Administration. Virtually all manifestations of this initiative stressed the need for basic reform in the conduct of public personnel management. The selections in this section elucidate these reform themes and broach the issue of whether these prescriptions will provide a useful guide in the twenty-first century.

As usual, able colleagues and associates stood ready to assist me as I crafted this book. My colleague at Rockefeller College, Professor Norma Riccucci, consistently provided sage advice and other assistance throughout this project. My brother, Paul Thompson, of the U.S. Office of Personnel Management, also provided useful comments. For its part, the publisher assembled an excellent panel of anonymous reviewers to suggest what should be kept from the previous editions of *Classics of Public Personnel Policy*, what should be dropped, and what should be added. Dona Hightower, a developmental editor, did a superb job of summarizing the findings of this set of reviewers and proved to be a steadfast source of assistance throughout my work on this book. I am also indebted to three graduate students at Rockefeller College, Tamika Black, Tamara Benson-Obrien, and Kristie Coppernoll, who helped me with bibliographic and related work. Of course, errors of omission and commission remain my responsibility alone. As in the past, my wife Benna provided an environment supportive of a scholar in more ways than one. Finally, my daughter Elizabeth helped by not letting me forget the human dimension of everyday living.

NOTES

1. U.S. Census Bureau, *Statistical Abstract of the United States, 2000*. Washington: Government Printing Office, 2000, pp. 299, 330, 440. U.S. Department of Defense, <http://web.whs.osd.mil/mmids/military/ms9.pdf>. June 2001.

2. Frank J. Thompson, Ed., *Classics of Public Personnel Policy*. Second Edition. Pacific Grove, California: Brooks/Cole, 1991. See also *Classics of Public Personnel Policy*. Oak Park, Illinois, Moore Publishing, 1979.



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