

PUBLIC ADMINISTRATION AND PUBLIC MANAGEMENT ORIGINAL TEXTBOOK SERIES

公共管理英文版教材系列

Public Classics of Administration

FIFTH EDITION
(第五版)

公共行政学经典

Jay M. Shafritz (杰伊·M·沙夫里茨)
[美] Albert C. Hyde (艾伯特·C·海德) 编
Sandra J. Parkes (桑德拉·J·帕克斯)

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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

任何学科都是由其历史的传承与积淀而得以不断地发展，公共行政亦然。公共行政自 19 世纪 80 年代作为一门独立学科出现以来，至今已经走过 100 多个年头。在这百余年的发展历程中，无数杰出的公共行政学者及其代表性的论著，都为推动公共行政学科的发展而作出了巨大的贡献。从公共行政学科初创时期的代表人物威尔逊、古德诺、怀特，到 20 世纪中期的巴纳德、西蒙、沃尔多，再到 20 世纪后半叶的弗雷德里克森、奥斯本、罗森布罗姆等公共行政学者，他们的论著不仅反映出西方公共行政发展的历史脉络，也代表了当时西方公共行政最前沿的理论思想。对于公共行政领域的研究者，特别是初学者来说，研读这些经典的名家论著，不仅能够拓宽自己的公共行政理论视野，也能够为自己以后深入的研究打下坚实的基础。

美国学者沙夫里茨 (Jay M. Shafritz)、海德 (Albert C. Hyde) 和帕克斯 (Sandra J. Parkes) 合编的《公共行政学经典 (第五版)》正是一本贯通西方公共行政百年发展历程的经典论著选集。以 1880 年伊顿的《英国文官制度改革》为开端，以 1997 年斯通的《政策悖论：政治决策的艺术》为结尾，编者从这 117 年的发展历程中选录了 54 篇具有代表性和影响力的经典论著，分别涉及公共行政学科典范、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、公共政策及其分析、执行、项目评估、府际关系和行政伦理 12 个重要方面。这些论著按照年代顺序编排为四个部分，每一部分的开头都写有一个导言，介绍相关的背景和所选录论著的基本观点，并附有该时期公共行政学发展的大事记。这不仅有助于读者理解各篇文章的主体思想，也有利于其把握公共行政发展脉络中理论的相关性和思想的连续性。

19 世纪 80 年代至 20 世纪 20 年代的九篇经典论著构成本书的第一部分。这一时期美国正处于从农业社会向工业社会的转型期。城市化和工业化的进程带来经济高速发展的同时，也引发了诸多严重的社会问题，使国家和政府面临着严峻的挑战。在这种情况下，改革者开始借助于政治理念的改变、政府角色转变和行政效率的改善来解决和应对这些社会矛盾，以维持社会的稳定和促进社会的发展。于是，以政府角色转变和行政效率提高为主要目的的一系列政府改革就成为这

一时期公共行政研究的主旋律。作为美国公共行政发展史上的先驱性人物，威尔逊、古德诺、怀特和威洛比的重要性不言而喻。而以企业组织为研究对象的管理理论的代表性人物——泰勒、法约尔、韦伯和芙丽特，他们的论著也在行政学界产生了极大的影响，并为提高行政组织运行效率作出了重大贡献。英国著名学者伊顿的《英国文官制度改革》一文给美国文官制度改革提供了理论和方法，有力地推动了美国文官制度改革运动的发展。威洛比在《政府预算改革运动》中对政府财政问题进行了深入研究，推动了美国政府建立现代预算体制的进程。美国社会改革者亚当斯的《市政管理问题研究》一文则对当时纯粹以改进效率为目标的政府改革提出了批评，认为政府改革的最终目的是要对所有公民的福利负责。

20世纪30年代至20世纪50年代的13篇论著构成本书的第二部分。这一时期刚开始就遭遇了席卷全球的世界性经济危机。面对这场灾难沉重的经济危机，1933年美国罗斯福总统开始了“新政”计划，这一计划导致政府迅速地扩张。总统行政管理委员会于1937年的报告中，呼吁行政部门进行机构重组。这份旨在强化政府功能和扩大行政权力的报告极大地改变了联邦政府的运行方式。总统行政管理委员会的委员之一就是美国著名的行政学家古利克，他在《组织理论按语》一文中提出的著名的管理七职能论，即POSDCORB，被很多公共行政官员作为主要规则运用于当时的行政活动当中。

二战后，随着公共行政领域研究的进一步深入，传统行政理论受到了来自各个方面尤其是行为主义行政学派的挑战。西蒙对泰勒、古利克等人所提出的行政原则进行了猛烈抨击，并把这些所谓的行政原则称为“行政谚语”。塞尔兹尼克对韦伯的科层组织理论进行了反思，指出官僚制实行控制所需要的授权可使组织中的下属单位产生狭隘的自我服务的观点，它造成了一种对整个组织绩效不利的后果。沃尔多、阿普尔比对传统的政治与行政二分法进行了批判，他们认为政治与行政之间的相互渗透、相互联结是一个不争的事实，行政根本不可能游离于政治（政策制定）之外。此外，阿普尔比还在《政府不同于企业》一文中将政府和企业进行了比较，认为政府与企业不同，“政府就是行政工作”。在这个时期，行为科学和人际关系学说开始受到行政学界的广泛关注，巴纳德、默顿、马斯洛、林德布洛姆、凯伊、麦格雷戈等著名学者都运用行为科学方法来研究组织及组织中人的行为。

20世纪60年代至20世纪70年代的16篇论著构成本书的第三部分。这一时期既是科学技术大发展的时代，又是社会矛盾日益加剧的年代。一方面，原子能、电子计算机等高端科技的高速发展以及系统

论、信息论等新学科的广泛应用，极大地促进了管理的现代化，也为公共行政注入了新的活力。系统方法成为当时公共行政主流的研究方法之一，卡茨、卡恩、本尼斯、格罗津斯和唐斯等人在其论著中都运用了系统理论方法对组织系统的各个方面进行研究。希克对美国预算改革的历史进行了权威性的概括并论述了计划规划预算制（PPBS）的基本概念和原则；而PPBS的批评者怀尔德威斯基则指出PPBS的计划和析功能与预算的本质不相吻合。德罗尔在《政策分析家：政府机构中的一种新职业角色》一文中阐述了包括政府决策在内的公共政策的理论、方法和机构，并对20世纪60年代盛行的系统论、系统分析进行评估，同时与他本人提出的政策分析进行了比较研究。

另一方面，公民权运动、越南战争、水门事件、经济滞胀、能源危机等带来的社会政治问题，使公众对政府丧失了信心。现实对公共行政理论提出了新的挑战。人们纷纷提出新的理论思想来应对社会和政治危机，“新公共行政”运动应运而生。弗雷德里克森的《论新公共行政学》就是这一时期最具代表性的文章之一。此外，考夫曼的《行政分权与政治权力》、莫舍尔的《水门事件：责任政府的启示》、里夫琳的《社会行动的系统思维》、威尔达夫斯基等人的《执行》、兰道的《冗余、理性及重叠与重复的问题》、克里斯罗夫的《代议官僚制》和列文的《组织衰减与精简管理》等也是这一时期很有影响力的论著。

20世纪80年代至20世纪90年代的16篇论著构成本书的第四部分。这一时期美国的政治与经济价值观念发生了重大转变。随着国际政治格局的变化、经济一体化的发展和新技术革命的兴起，一场旨在提高政府效率的新公共管理运动拉开了帷幕。理论界，奥斯本、盖布勒和阿利森等公共行政学者主张政府部门要向私营部门借鉴成功的管理经验，以提高政府的行政效率。里根政府和克林顿政府则把新管理理论中的分权和私营化等思想推行到政府的改革实践当中，从而把新公共管理运动推向了高潮。当新公共管理运动在西方主要资本主义国家进行得如火如荼时，仍有很多公共行政学者对新公共管理提出了质疑与批判，胡德、巴泽雷、怀特等人认为新公共管理从本质上来看并没有完成对传统公共行政范式的超越。罗纳德·C·莫从政府权力的视角论述了公共职能私有化的底线。罗森布罗姆则对现代公共行政概念中管理模式的垄断地位提出了挑战，阐释了公共行政的管理、政治和法律这三种途径。“民主行政”、“新公共服务”、“行政伦理”、“行政文化”和“公共政策”等理论思想及相关论著逐渐引起人们的关注。托马斯在其《从平等权利法案到肯定多样性》一文中指出，管理只有在公平的基础上才能提高企业的工作效率。莫舍在《民主与公共

服务：集体服务》中指出公共服务中责任的重要性，并提出了“专业人员国家”理论。凯顿的《不确定和不稳定环境中的公共预算》、金登的《思想从何而来？议程、备选方案与公共政策》和斯通的《政策悖论：政治决策的艺术》则对公共政策及预算进行了研究。汤普森的《行政伦理的可能性》、奥特的《理解组织文化》、林普斯基的《基层官僚制：基层官僚的重要角色》和史蒂弗斯的《公共行政理论中的女性主义视角》等名家论著也极大地丰富了公共行政的研究领域，并推动了公共行政的进一步发展。

公共行政经典论著远不止本书所收录的，但由于篇幅和时间所限，编者不得不有所取舍。本书从初版到现在的第五版，每版均选录54篇论著，根据各版本编录的时间和情况不同，54篇文章的内容会有所更替。沙夫里茨等三位学者精心地更新了第五版的内容，在第五版中加入了伊顿、亚当斯、兰道、奥特、托马斯、胡德、怀特、斯通、金登等人的九篇文章，以替换第四版中赫林、霍哲、英格拉姆、乔伊斯、凯特尔、刘易斯、梅尔兹纳、夏坎斯基和怀特（1998）等人的九篇文章（导论中仍会提及这九篇文章）。翻阅这本浓缩了公共行政百年理论精华的经典选著，不仅能对西方行政学说发展的历程以及其重要的人物和著作有一个很好的梳理，也能简要地了解在这个历程中著名专家及其著作的重要思想和理论贡献，并且让读者在最短的时间内了解和掌握最多的、最重要的公共行政专业知识。本书非常适合作为公共行政专业的本科生及研究生教材，也是一本很好的公共行政参考用书。

刘俊生

中国政法大学教授

Preface

Be 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 twenty-first-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.

We had three criteria for including a selection. 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. Whereas 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 117-year period—from Dorman B. Eaton in 1880 to Deborah Stone in 1997. We hope that when read in this order, 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 span (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. Although 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 some important themes. Because of size constraints, we could not add without also doing some subtracting. Overall we deleted nine of the fifty-four selections from the fourth edition. However, discussions on the deleted selections (Herring, Holzer, Ingraham, Joyce, Kettl, Lewis, Meltsner, Sharkansky, and Wright [1996]) were retained in the introductions. We very much regret having had to make these deletions, but we simply had to make room for the nine new selections. Six of the new articles were written in the past fifteen years. We also added a selection from the late nineteenth cen-

ture, and another from the early twentieth century. In addition to these changes in the book, Sandra Parkes has joined as a co-editor. Sandra's insights and perspectives will benefit the book for years to come. We are fortunate to add her skills and experience as a researcher and scholar.

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Foreword

Every field has its classics. Scientists wishing to understand the foundation upon which modern biology rests consult Darwin. Physicists study Einstein. Psychologists read Freud. In a similar fashion, newcomers to the field of public administration peruse works by people like Wilson, Weber, and White.

The systematic study of public administration is now more than one hundred years old. People have been practicing governmental administration for millennia, but few attempted to conduct research and collect information in an orderly way until the late nineteenth century. The movement to understand administration arose simultaneously in government and industry. Capitalists needed insights into the management of large corporations, and governmental leaders needed to improve the delivery of public services.

People who studied administration embraced an assumption that was remarkable at the time. Following the tradition of the scientific revolution, they suggested that the practice of administration could be reduced to lessons and taught to newcomers. Similar developments had occurred in fields like chemistry and engineering, so why not administration?

Through meticulous study, public administration took on the characteristics of a profession. By definition, professions are occupations whose participants engage in practices based upon bodies of knowledge. Just as physicians study anatomy and biochemistry before performing surgery, managers study administration before attempting to lead organizations. Public administration is not as tight professionally as medicine and law, where examinations and licensing procedures prevail. Nonetheless, it is based upon a body of knowledge that people are expected to master before assuming significant responsibilities. The era when managers could deliver public services based upon practical experience and a few technical manuals is long gone.

The scope of public administration is broad. People who work in government agencies practice public administration; so do those who provide public services as members of nonprofit organizations or as corporate employees working on government contracts. The body of knowledge upon which this practice rests is bewilderingly complex. To newcomers, the complexity can be overwhelming, a situation made worse by the tendency of otherwise intelligent people to pursue temporary trends and fads. Fortunately, newcomers to the field need not sort out enduring lessons on their own. They can turn to the *Classics of Public Administration*.

Widely read, this collection of classics is especially useful for people encountering public administration for the first time. The fifty-four selections presented here emphasize three of the most enduring preoccupations of people who study public administration: the management of government programs, the behavior of public servants, and the intersection of politics and administration. In the first textbook to be written from the public perspective, Leonard D. White pronounced that “the study of administration should start from the base of management.” Woodrow Wilson, the American president who as a young political scientist called for the study of administration, also favored the management approach. “It is getting harder to *run* a constitution,” Wilson said, “than to frame one.” Like so many experts of his time, Wilson believed that executive methods could be rescued from the confusion surrounding practice and set upon “foundations laid deep in stable principle.” Much early work by experts like Luther Gulick and Frederick Taylor arose from the desire to identify stable principles upon which professional management could be based. Taylor’s principles of scientific management and Gulick’s principles of administration represent that effort. Gulick additionally characterized the work of public managers, employing the now famous POSDCORB. The acronym stands for the functions of administration and the subject of many readings contained herein: planning, organizing, staffing (otherwise known as human resource management), directing, coordinating, reporting, and budgeting.

Through the application of principles, experts helped to create the modern administrative state. Principles were applied to the conduct of governmental affairs by advisory groups like the President’s

Committee on Administrative Management, also known as the Brownlow Committee. Public administration worldwide underwent a dramatic transformation from the relatively unsophisticated methods used to conduct affairs of state in the mid-nineteenth century to the vast apparatus available for the delivery of services in the twentieth. The predominant organizational form employed for that transformation, as the German sociologist Max Weber adroitly noted shortly after the beginning of the twentieth century, was the governmental bureaucracy. A bureaucracy is a particular institutional type, as different from other forms of organization as evergreens are from deciduous trees.

Bureaucracies proved to be a marvelous form of organization for mass-producing relatively simple public services in nations undergoing industrialization. Yet many believe that bureaucratic government has outlived its usefulness. Trepidation began with Robert Merton's classic criticism in "Bureaucratic Structure and Personality" and continued through the bold suggestion by Warren Bennis that "we will participate in the end of bureaucracy" by the beginning of the twenty-first century. The effort to reduce the influence of bureaucratic behavior culminated in what has been called the new public management, represented in works like the advisory report of the National Performance Review.

Around the world, the work of governmental bureaucracies is being cut back, privatized, and contracted out, all part of the movement to limit the degree to which the public responsibilities need to be carried out through large governmental bureaus. Impatience with sluggish bureaucracies is high. Trust in the capability of large government organizations to effectively deliver public services is low. Economists wielding public choice theories lend scientific credibility to the general notion that competitive markets will consistently outperform bureaucrats in what constitute public monopolies.

Public administration begins with macro-management issues such as these, but does not stop there. Much of the work of delivering public services occurs at the behavioral level, where people are motivated and led to do what they need to do. The realm of organizational behavior is of great interest to people who study public administration. Just as experts believe that managers can be taught to manage, many believe that leadership can be systematically studied and transmitted.

To this end, readers of the current edition can examine classics like Mary Parker Follett's "law of the situation," Abraham Maslow's "hierarchy of needs," and Douglas McGregor's "theory X and Y." Such advice raises a critical issue regarding the nature of public service. Current behavioral principles are aimed at creating a spirit of leadership among public executives. Yet some question whether non-elected public servants should exhibit such entrepreneurial behavior. As Herbert Kaufman points out in his article on administrative values, public administration has a long tradition of neutral competence. According to this doctrine, public administrators are not expected to lead, a philosophy most completely expressed in Frank Goodnow's classic exposition on the politics/administration dichotomy. Yet the stance of neutral competence is often frustrated in practice. Neutral competence assumes that public administration can be reduced to simple tasks, routines, and rules. As Michael Lipsky points out in his classic work on street-level bureaucrats, government employees possess much discretion. Their work cannot be totally programmed or controlled in advance. They interpret policy, interact with citizens, construct coalitions, negotiate, bargain, and otherwise exercise responsibilities that require them to use judgment in the completion of their work. These are the skills associated with executive leadership, not management or neutral competence narrowly defined.

Given the special position of the public servant as an instrument of the law, any discussion of behavior and leadership raises ethical questions. By what standards should people who receive the public trust be guided as they go about their work? Various experts have wrestled with the ethical issues that arise from public administrators exercising discretion and leadership. Serving as the spokesperson for what was once called the "new public administration," George Frederickson explores the manner in which public administrators might move beyond the restrictions imposed by traditional concerns about economy and efficiency. Dennis Thompson shows how the requirement to follow orders and remain neutral need not preclude independent moral judgment among public servants.

Ethical and behavioral concerns lead inevitably to another vast area of public administration—the study of politics and law. As Paul Appleby asserts in his classic commentary on the administrative process, "government is different." Historically, many of the managerial and behavioral principles

found in the field of public administration also shape the corporate world. In fact, many of the principles applied to government are derived from business experience. Appleby perceived a flaw in this methodology. Public administration, he observes, consists of activities of such peculiarity and scope that any attempt to treat them solely as the business of management will prove self-defeating. Public administrators certainly use businesslike methods. But as Graham Allison argues in quoting from Wallace Sayre's famous law, public administration and business management are "fundamentally alike in all unimportant respects."

When applied to government, business methods produce efficient administration. Yet the quest for efficiency is not necessarily the first axiom of administrative practice. As David Rosenbloom points out in his groundbreaking work on constitutional doctrine and administrative theory, the willingness of lawmakers to transfer power to executive agents does not proceed from a fundamental concern for efficiency. While managers in the executive branch may be preoccupied with efficiency, their legislative creators are far more concerned with fairness, responsiveness, and checks on the abuse of power. Carrying this argument one step further, Rosenbloom examines the judicial interest in public administration. Judges, he says, are interested in procedural due process, equity, and individual rights.

The practice of public administration rises from the storehouse of knowledge provided by works like these. Different perspectives lead to different challenges. Shafritz, Hyde, and Parkes have performed a great service by assembling such a broad group of studies in one accessible volume. As the success of the previous editions has shown, they have created a classic of their own. No person should attempt to practice public administration without comprehending the lessons contained in this book.

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