

Twelfth Edition

Fred Luthans

# ORGANIZATIONAL BEHAVIOR

双语教学版

# 组织行为学

[美] 弗雷德·鲁森斯 著      王垒 姚翔 童佳瑾 林思语 等译注



中国工信出版集团



人民邮电出版社  
POSTS & TELECOM PRESS

# 组织行为学

第12版

双语教学版

〔美〕弗雷德·鲁森斯 著

王垒 姚翔 童佳瑾 林思语 等 译注

人民邮电出版社

北 京

## 图书在版编目 (CIP) 数据

组织行为学: 第12版: 双语教学版 / (美) 鲁森斯著; 王垒 等译.

—北京: 人民邮电出版社, 2016.2

ISBN 978-7-115-41522-6

I. ①组… II. ①鲁… ②王… III. ①组织行为学—双语教学—研究生—教材 IV. ①C936

中国版本图书馆 CIP 数据核字 (2015) 第 320772 号

Fred Luthans

**Organizational Behavior**, 12th Edition

ISBN 0-07-353035-2

Copyright © 2011 by McGraw-Hill Education.

All Rights reserved. No part of this publication may be reproduced or transmitted in any form or by any means, electronic or mechanical, including without limitation photocopying, recording, taping, or any database, information or retrieval system, without the prior written permission of the publisher.

This authorized Bilingual edition is jointly published by McGraw-Hill Education and Posts & Telecom Press. This edition is authorized for sale in the People's Republic of China only, excluding Hong Kong, Macao SAR and Taiwan province.

Copyright © 2016 by McGraw-Hill Education and Posts & Telecom Press.

版权所有。未经出版人事先书面许可, 对本出版物的任何部分不得以任何方式或途径复制或传播, 包括但不限于复印、录制、录音, 或通过任何数据库、信息或可检索的系统。

本授权双语版由麦格劳-希尔(亚洲)教育出版公司和人民邮电出版社合作出版。此版本经授权仅限在中华人民共和国境内(不包括香港特别行政区、澳门特别行政区和台湾省)销售。

版权 © 2016 由麦格劳-希尔(亚洲)教育出版公司与人民邮电出版社所有。

本书封底贴有 McGraw-Hill Education 公司和人民邮电出版社防伪标签, 无标签者不得销售。

北京市版权局著作权合同登记号: 01-2014-8613

## 组织行为学 (第12版, 双语教学版)

- ◆ 著 [美] 弗雷德·鲁森斯
- 译 注 王 垒 姚 翔 童佳瑾 林思语 等
- 策 划 刘 力 陆 瑜
- 责任编辑 王伟平 林思语
- 装帧设计 陶建胜
- ◆ 人民邮电出版社出版发行 北京市丰台区成寿寺路 11 号
- 邮编 100164 电子邮件 315@ptpress.com.cn
- 网址 <http://www.ptpress.com.cn>
- 电话 (编辑部) 010-84937150 (市场部) 010-84937152
- 三河市少明印务有限公司印刷
- 新华书店经销
- ◆ 开本: 850×1092 1/16
- 印张: 37.75
- 字数: 772 千字 2016 年 2 月第 1 版 2016 年 2 月第 1 次印刷
- 著作权合同登记号 图字: 01-2014-8613
- ISBN 978-7-115-41522-6

定价: 128.00 元

本书如有印装质量问题, 请与本社联系 电话: (010) 84937153





# Organizational Behavior

**An Evidence-Based Approach**

Twelfth Edition

**Fred Luthans**

*George Holmes Distinguished Professor  
of Management, University of Nebraska*

## 内容提要

本书是国际知名管理学家、心理学家弗雷德·鲁森斯《组织行为学》第12版的双语教学版。这是一部系统展示组织行为学风采的优秀著作，它集聚了第一代组织行为学家鲁森斯40多年的心血，详细而全面地以组织行为学理论的厚重基础为依托，既强调深入理论阐述，又注重精辟实践运用，堪称组织行为学领域的经典之作。

最新的第12版与前一版相比有了很大的突破，不仅更新了最新的理论、研究及案例，整合精炼了原有章节，而且还增添了最新的主题，力求缩短组织行为理论与实践之间的鸿沟，基于循证方法在丰富实证数据的基础上构建最新理论框架。本书包括4编共14章，第一编介绍学习和应用组织行为的环境和组织情境；第二编分析社会认知框架下微观取向的认知过程；第三编关注社会认知模型下组织行为动力学；第四编关注高绩效是如何通过管理实现的，体现了本书的应用价值。

本书区别于该领域其他教材的独到之处在于，每编开头的最佳实践咨询，每章结尾的大量案例材料，独有的有关组织报酬系统和积极组织行为的新章节，基于元分析的组织行为学原理的科学提炼等等。这种理论与实践的完美结合，使得本书既适合学术圈内的学生和教师使用，也适合管理实践者研修之用。

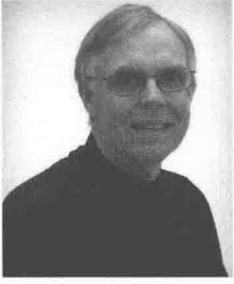
# About the Author

## For Kay, Kristin, Brett, Kyle, and Paige





# About the Author 作者简介



**Fred Luthans** is the George Holmes Distinguished Professor of Management at the University of Nebraska–Lincoln. He received his B.A., M.B.A., and Ph.D. from the University of Iowa where he received the distinguished alumni award in 2002, and did postdoctoral work at Columbia University. While serving as a Captain in the U.S. Army, he taught at the U.S. Military Academy at West Point. He has been at the University of Nebraska since 1967, his entire academic career, and won the distinguished teaching award in 1986, the excellence in graduate education award in 2000, and in 2008 the highest award in the system for outstanding research. In 2003, he received an honorary doctorate from DePaul University. A prolific writer, he has published a number of major books and about 200 articles in applied and academic journals. His book *Organizational Behavior Modification*, coauthored with Robert Kreitner, won the American Society of Personnel Administration award for outstanding contribution to human resource management, and another book entitled *Real Managers* is the result of a four-year research study that observed managers in their natural settings. *International Management*, coauthored with the late Richard Hodgetts and Jonathon Doh, also published by McGraw-Hill, is in its seventh edition. He also has two recent books, *The High Impact Leader* (with Bruce Avolio, McGraw-Hill, 2006) and *Psychological Capital* (with Carolyn Youssef and Bruce Avolio, Oxford, 2007). The co-editor-in-chief of the *Journal of World Business*, Professor Luthans is also the editor for *Organizational Dynamics* and *Journal of Leadership and Organizational Studies*. He has been very active in the Academy of Management over the years and was elected a fellow in 1981. He is a former president of the National Academy in 1986 and, in 1997, received the Academy's distinguished educator award. In 2000 he became an inaugural member of the Academy's Hall of Fame for being one of the "Top Five" all-time published authors in the prestigious Academy journals. Also active in the Decision Sciences Institute (DSI), he was elected a fellow in 1987. Professor Luthans has a very extensive research program at the University of Nebraska. Most recently, he has developed positive organizational behavior, or POB (outlined in 2002 articles in the *Academy of Management Executive* and *Journal of Organizational Behavior*), and is conducting research on positive psychological capital and, with close colleague Bruce Avolio, authentic leadership. He has been a visiting scholar at a number of universities in the United States and has lectured at universities and conducted workshops for managers in many countries around the world. In recent years, he has been actively involved in Germany, China, Thailand, Singapore, Russia, Albania, and Macedonia. In addition, he has been on the executive committee of the annual Pan Pacific Conference since its beginning in 1984 and in 1995 was elected a fellow. This international research and experience is reflected in his approach to the field of organizational behavior. In addition, he is an active consultant and trainer to both private- (such as Walmart and Ameritas Life Insurance, Inc.) and public-sector organizations. Since 1998 he has been a senior research scientist with the Gallup Organization. He is an avid golfer and University of Nebraska sports fan. He and Kay, his wife of 47 years, have four grown children and so far six adorable grandchildren.

# Preface 前言

Here is the twelfth edition. As I indicated in the last edition, I am still in what positive psychologists call “flow.” I am so engrossed and passionate about my field of organizational behavior that time just flies. As I have said before, I take considerable pride in the sustainability of this text. It took me four years to write the first edition, and then about a year to do each subsequent edition. Because of the rapidly expanding body of knowledge in organizational behavior, these revised editions through the years have become increasingly challenging. However, I am still—actually even more than ever—in flow in trying to keep this first mainline organizational behavior text totally up-to-date with the very latest and relevant theory building, basic and applied research, and best-practice applications. I decided with this edition to give special recognition of this scientific foundation by adding the subtitle—*An Evidence-Based Approach*.

As is now emphasized in the introductory chapter, the time has come to help narrow the theory/research—effective application/practice gap. This has been my mission from the beginning of this text and my now over 20-year editorship of the journal *Organizational Dynamics*. As “hard evidence” for this theory/research base for this text, I can say unequivocally that no other organizational behavior text has close to the number of footnote references. For example, whereas a few texts may have up to 40 or even 50 references for some chapters, the chapters of this text average more than twice that amount. This latest edition continues the tradition by incorporating recent breakthrough research to provide and add to the evidence on the theories and techniques presented throughout.

Before getting into the specific additions of this new edition, I would like to again point out the distinguishing features that no other organizational behavior textbook can claim:

1. I am convinced at this stage of development of the field of OB, we need a comprehensive theoretical framework to structure our introductory textbooks. Instead of a potpourri of chapters and topics, and maybe using an inductive (or should it be deductive?) sequencing, there is now the opportunity to have a sound conceptual framework to present our now credible (evidence-based) body of knowledge. I use the widely recognized, very comprehensive social cognitive theory to structure this text. I present the background and theory building of this framework in the introductory chapter and also provide a specific model (Figure 1.5) that fits in all 14 chapters. Importantly, the logic of this conceptual framework requires two chapters not found in other texts and the rearrangement and combination of several others. For example, in the organizational context part there is Chapter 4, “Reward Systems,” and in the cognitive processes part, Chapter 7, “Positive Organizational Behavior and Psychological Capital,” that no other text contains.
2. Besides having the only comprehensive theoretical framework for an introductory OB text, a second unique feature is one or more OB Principles at the end of each chapter. Importantly, these principles are derived from meta-analytic research findings. The reason for including meta-analytically derived principles is that the field of organizational behavior has matured to the point where there are not just isolated studies but a stream of research on a number of topics that now need to be systematically (quantitatively) summarized for students and practitioners. For example, Alex Stajkovic and I have completed a meta-analysis of the studies with which I have been most closely associated over the past 35 years, focusing on the positive effect that organizational behavior modification (O.B. Mod.) has on task performance. (This analysis is published

in the *Academy of Management Journal*; a follow-up research study conducted in the largest credit card processing company in the world is in a subsequent issue of *AMJ*; another meta-analysis of all behavioral management studies with emphasis on the different types of interventions was published in *Personnel Psychology*; and most recently nonfinancial rewards were found to be as impactful on unit performance outcomes and employee retention over time as were financial rewards, published in the *Journal of Applied Psychology* with Suzanne Peterson). In addition, Alex and I published in *Psychological Bulletin* a meta-analysis (114 studies, 21,616 subjects) that found a very strong positive relationship between self-efficacy and task-related performance. These provide end-of-chapter evidence-based OB Principles.

3. A third unique feature is an “Evidence-Based Consulting Practices” summary to open up each major part of the text. Specifically, in addition to my long academic appointment at the University of Nebraska, since 1998 I have been a senior research scientist with the Gallup Organization. Mostly known for the famous Gallup Poll, this world-class firm also has a widely known management consulting practice. About half of the “*Fortune 50*” are among Gallup’s recent clients. With my input, Tim Hodges, executive director of Gallup University, drew from Gallup’s tremendous survey research-base consisting of thousands of organizations and millions of people over the years. We provide Gallup’s evidence-based practices relevant to each major part of the text.
4. The fourth unique feature reflects my continuing basic research program over the years. Chapter 7 contains my most recent work on what I have termed “Positive Organizational Behavior” and “Psychological Capital” (or PsyCap). To meet the inclusion criteria (positive; theory and research based; valid measures; open to development; and manage for performance improvement), for the first time the topics of optimism, hope, happiness/subjective well-being, resiliency, emotional intelligence, self-efficacy, and the overall core construct of psychological capital have been given chapter status. Because of my involvement in the emerging Positive Psychology movement through Gallup and my research on PsyCap and authentic leadership with colleagues in the University of Nebraska’s Leadership Institute, I feel the time has come to incorporate this positive approach into the mainstream organizational behavior field.

Besides these truly significant four unique features, there are a number of specific revisions and additions to this edition. These include:

1. The new subtitle “An Evidence-Based Approach” reaffirms the importance of the research foundation to the text. A new major section has been added to Chapter 1 that explains why this evidence-based focus is so critical and what it entails.
2. Because communication, decision making, and perception continue to be important to organizational behavior, in this edition there is a new Chapter 8, “Communication and Decision Making” and perception is added to Chapter 5, “Personality, Perception, and Employee Attitudes.”
3. To make room for the new chapter, the separate chapter on job design and goal setting is now incorporated into Chapter 6, “Motivational Needs, Processes, and Applications.”
4. Besides updating the evidence-base and providing new real-world examples in each chapter, breakthroughs on important new topics such as the following are included:
  - Contextual impact of the recent financial crisis and stock market crash on organizational behavior

- Collins' "Good to Great" expectations
- Managing the global workforce
- Global mindset
- Diversity management skills
- Glass ceiling outside the United States
- Corporate social responsibility (CSR)
- Ethics of downsizing
- "Hollow" organization design
- Modular organization design
- Organization culture in an economic crisis
- Incentive/rewards analysis of the financial crisis
- Costs of obesity
- Neuroscience explanations
- Health-Relationships-Work (H-R-W) well-being model
- Intentional component of psychological capital (PsyCap)
- Background on PsyCap
- Performance impact and research summary of PsyCap
- PsyCap development model and research summary
- Evidence-based happiness
- Broaden and Build Theory of positivity
- Use of Facebook
- Gen X and Gen Y
- Stress from 24/7 technology and job loss threat
- Stress levels around the world
- Bullying problem
- "Slacker teammate" problem
- Followership
- Positive and authentic leadership research

Just as real-world management can no longer afford to evolve slowly, neither can the academic side of the field. With the uncertain, very turbulent environment most organizations face today, drastically new ideas, approaches, and techniques as represented above are needed both in the practice of management and in the way we study and apply the field of organizational behavior. This revision mirrors these needed changes.

**Social Cognitive Conceptual Framework.** The book contains 14 chapters in four major parts. Social cognitive theory explains organizational behavior in terms of both environmental, contextual events and internal cognitive factors, as well as the dynamics and outcomes of the organizational behavior itself. Thus, Part One provides the evidence-based and organizational context for the study and application of organizational behavior. The introductory chapter provides the environmental perspective, historical background, methodology, theoretical framework, and specific social cognitive model for the field of organizational behavior in general and specifically for this text. This is followed by an overall environmental context chapter:

**Chapter 2**, “Environmental Context: Globalization, Diversity, and Ethics (with major sections on globalization, diversity, and a major ending section on the impact of ethics on “bottom-line” outcomes).

After this broad environmental context is laid out in Chapter 2, there are two chapters for the organizational context of the social cognitive framework:

**Chapter 3**, “Organizational Context: Design and Culture” (with special emphasis given to the learning organization and horizontal, hollow, modular, network, and virtual designs; best-practice cultures; and a major section on the culture clashes from mergers and acquisitions) and

**Chapter 4**, “Organizational Context: Reward Systems” (a unique chapter with special emphasis given to money as a reward, effectiveness of pay, forms of “new pay,” recognition systems, and benefits).

The second part of the text recognizes the well-known micro-oriented cognitive processes of the social cognitive framework plus unique topics such as the following:

**Chapter 5**, “Personality, Perception, and Employee Attitudes” (with unique major sections on the role of heredity and the brain and emphasis given to “Big Five” personality traits, the Myers-Briggs personality indicator, the perceptual process, and organizational citizenship behavior);

**Chapter 6**, “Motivational Needs, Processes, and Applications” (with major sections on extrinsic versus intrinsic motives, procedural justice, attribution theory, job design and goal setting); and

**Chapter 7**, the most unique chapter, not only for this text, but any other, on “Positive Organizational Behavior and Psychological Capital.” In addition to the focus on the unique POB psychological states of efficacy, optimism, hope, resiliency, and overall psychological capital, there are also major sections on emotion, multiple intelligences, and general mental abilities.

Parts Three and Four are concerned with the dynamics and behavior management and leadership dimensions of organizational behavior in the social cognitive framework. Part Three contains, in addition to widely recognized topics, the following four chapters:

**Chapter 8**, “Communication and Decision Making” with particular emphasis given to nonverbal and interpersonal communication and behavioral dimensions, styles, and techniques of decision making.

**Chapter 9**, “Stress and Conflict” (with material on stress and conflict from advanced technology and globalization, burnout, and work-family initiatives);

**Chapter 10**, “Power and Politics” (with material on empowerment, trust, resource dependency, and the dynamics of power and politics in the new environment); and

**Chapter 11**, “Groups and Teams” (with material on the punctuated equilibrium model of groups, group/team effectiveness, role conflict and ambiguity, social loafing, cross-functional teams, virtual teams, and cultural/global issues with the use of teams).

The final Part Four gives an applied emphasis to the text. It focuses on *how* to manage and lead for high performance. These applied organizational behavior chapters include the following:

**Chapter 12**, “Behavioral Performance Management” (with material on the role of social cognition, critical analysis of reinforcement theory, pay for performance, social

recognition, and the latest research on contingencies with type of organization and interventions for O.B. Mod. effectiveness).

**Chapter 13, “Effective Leadership Processes”** (with major sections on the historical studies, traditional and modern theories of leadership and the new “authentic leadership” being developed at the University of Nebraska’s Leadership Institute, and leadership across cultures and the GLOBE project).

**Chapter 14, “Great Leaders: An Evidence-Based Approach”** (with major sections on leading in the new environment, leadership styles, including the new positive, authentic style, the activities and skills of leadership, and leadership development programs).

**Pedagogical Features.** Besides the many unique features already described, there are also several strong pedagogical features that have characterized the text over the years. To reflect and reinforce the applications orientation of the text, highlighted, currently relevant, boxed real-world OB in Action examples appear in each chapter. In this twelfth edition there are many new real-world examples drawn from *BusinessWeek* articles. In addition to these application boxes, the text also features experiential exercises at the end of each part. The exercises get participants involved in solving simulated problems or experiencing firsthand organizational behavior issues. Also there are end-of-chapter Internet exercises to get students involved in online relevant resources and vehicles for discussion and critique.

Besides the usual end-of-chapter short organizational behavior discussion cases, there is also at least one Real Case at the end of each chapter. These cases are drawn from recent real-world events (excerpted from current *BusinessWeek* articles) and are intended to enhance the relevancy and application of the theories and research results presented in the chapter. These end-of-chapter real cases serve as both examples and discussion vehicles. It is suggested that students read them even if they are not discussed directly in class. The intent is that they can serve as supplemental readings as well as discussion cases.

This edition also contains learning objectives at the start of each chapter. These objectives should help students better focus and prepare for what follows in the chapter. Finally, the chapters have the usual end-of-chapter summaries and review and discussion questions.

**Intended Audience.** Despite the four unique features and very extensive updating (having anywhere from 5–30 or more new references per chapter) throughout, the purpose and intended audience of the book remain the same. As in the earlier editions, this edition is aimed at those who wish to take a totally up-to-date, evidence-based approach to organizational behavior and management. It does not assume the reader’s prior knowledge of either management or the behavioral sciences. Thus, the book can be used effectively in the first or only course in either four-year or two-year colleges. It is aimed primarily at the required organizational behavior course, at the undergraduate level or in the M.B.A. program. I would like to especially acknowledge and thank colleagues in countries around the world who have used previous editions of the book and point out that the continued international perspective and coverage should make this new edition relevant and attractive. Finally, the book should be helpful to practicing managers who want to understand and more effectively manage their most important assets—their human resources.



**Acknowledgments.** Every author owes a great deal to others, and I am no exception. First and foremost, I would like to acknowledge the help on this as well as many other writing projects over the years that I received from my deceased friend and colleague, Professor Richard M. Hodgetts of Florida International University. Next, I would like to acknowledge the total support and standards of excellence provided by my friend and longtime department chairman, Sang M. Lee and my former colleague now at the University of Washington, Bruce Avolio. Special thanks goes to Cathy Watson from the Management Department staff who has been very helpful to me over the years. I can never forget the education, encouragement, and scholarly values I received from Professors Henry H. Albers and the deceased Max S. Wortman when starting out in my academic career. Over the years, I have been very lucky to have been associated with excellent doctoral students. I would like to thank them all for teaching me as much as I have taught them. In particular, I would like to thank Don Baack, Steve Farnier, and Suzanne Peterson who have helped on previous editions. I am also very grateful to those professors who used the previous editions of the book and gave me valuable feedback for making this revision. The reviewers for this edition are Charles B. Daniels, Old Dominion University; Laura Finnerty Paul, Skidmore College; and James Harbin, Texas A&M University–Texarkana. Finally, as always, I am deeply appreciative and dedicate *Organizational Behavior*, twelfth edition, to my wife and now grown children and their families, who have provided me with a loving, supportive relationship and climate needed to complete this and other projects over the years.

# Contents in Brief 简要目录

## PART ONE

### Environmental and Organizational Context 1

- 1 Introduction to Organizational Behavior: An Evidence-Based Approach 5
- 2 Environmental Context: Globalization, Diversity, and Ethics 31
- 3 Organizational Context: Design and Culture 57
- 4 Organizational Context: Reward Systems 88

## PART TWO

### Cognitive Processes of Organizational Behavior 123

- 5 Personality, Perception, and Employee Attitudes 125
- 6 Motivational Needs, Processes, and Applications 156
- 7 Positive Organizational Behavior and Psychological Capital 199

## PART THREE

### Dynamics of Organizational Behavior 245

- 8 Communication and Decision Making 247
- 9 Stress and Conflict 277
- 10 Power and Politics 312
- 11 Groups and Teams 339

## PART FOUR

### Managing and Leading for High Performance 373

- 12 Behavioral Performance Management 378
- 13 Effective Leadership Processes 413
- 14 Great Leaders: An Evidence-Based Approach 445
- Footnote References and Supplemental Readings 482
- References for Application Boxes and Real Cases 548

## INDEX 551

## 第一编

### 外部环境和组织情境

- 第1章 组织行为学导言：循证方法
- 第2章 外部情境：全球化、多样性和道德规范
- 第3章 组织情境：设计和文化
- 第4章 组织情境：报酬系统

## 第二编

### 组织行为的认知过程

- 第5章 人格、知觉与员工态度
- 第6章 动机需要、过程与应用
- 第7章 积极组织行为学与心理资本

## 第三编

### 组织行为的动力学

- 第8章 沟通与决策
- 第9章 压力与冲突
- 第10章 权力与政治
- 第11章 群体与团队

## 第四编

### 高绩效的管理与领导

- 第12章 行为绩效管理
- 第13章 有效的领导过程
- 第14章 卓越的领导者：循证方法



# Contents 详细目录

About the Author iv

Preface v

## PART ONE

### ENVIRONMENTAL AND ORGANIZATIONAL CONTEXT 1

Evidence-Based Consulting Practices 1

#### Chapter 1

##### Introduction to Organizational Behavior: An Evidence-Based Approach 5

Learning Objectives 5

The Challenges Facing Management 6

Undergoing a Paradigm Shift 8

A New Perspective for Management 10

Evidence-Based Management 12

Historical Background: The Hawthorne Studies 13

*The Illumination Studies: A Serendipitous Discovery* 13

*Subsequent Phases of the Hawthorne Studies* 14

*Implications of the Hawthorne Studies* 15

Research Methodology to Determine Valid Evidence 16

*The Overall Scientific Perspective* 16

*Starting with Theory* 17

*The Use of Research Designs* 18

*The Validity of Studies* 19

Defining Organizational Behavior 20

Theoretical Foundation for Organizational Behavior 20

*Cognitive Framework* 20

*Behavioristic Framework* 21

*Social Cognitive Framework* 22

The Conceptual Framework for the Text 25

Summary 25

Ending with Meta-Analytic Research Findings 26

Questions for Discussion and Review 27

Internet Exercise: Nonjobs or Telecommuting 27

Real Case: The Big Squeeze on Workers 28

Organizational Behavior Case: How Is This Stuff Going to Help Me? 29

Organizational Behavior Case: Too Nice to People 29

作者简介

前言

## 第一编

### 外部环境和组织情境

#### 第1章

##### 组织行为学导言：循证方法

管理所面临的挑战

经历一个范式的转变

管理的新观点

循证管理

历史背景：霍桑研究

照明研究：一个偶然的发现

霍桑研究的后续阶段

霍桑研究的启示

确定有效证据的研究方法

总体的科学观点

从理论开始

研究设计方案的运用

研究的效度

界定组织行为

组织行为学的理论基础

认知架构

行为主义理论

社会认知理论

本教科书的概念架构