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领导学
——领导的艺术与科学

英文版·第7版

安弗莎妮·纳哈雯蒂 （Afsaneh Nahavandi） 著

THE ART AND SCIENCE OF LEADERSHIP

·········· Seventh Edition ··········

中国人民大学出版社

全新版

工商管理经典教材·核心课系列

BUSINESS ADMINISTRATION CLASSICS

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To the memory of Frederick Rhodewalt, my professor and friend. His scholarship continues to inspire me.

总　序

随着我国加入WTO，越来越多的国内企业参与到国际竞争中来，用国际上通用的语言思考、工作、交流的能力也越来越受到重视。这样一种能力也成为我国各类人才参与竞争的一种有效工具。国家教育机构、各类院校以及一些主要的教材出版单位一直在思考，如何顺应这一发展潮流，推动各层次人员通过学习来获取这种能力。双语教学就是这种背景下的一种尝试。

双语教学在我国主要指汉语和国际通用的英语教学。事实上，双语教学在我国教育界已经不是一个陌生的词汇了，以双语教学为主的科研课题也已列入国家"十五"规划的重点课题。但从另一方面来看，双语教学从其诞生的那天起就被包围在人们的赞成与反对声中。如今，依然是有人赞成有人反对，但不论是赞成居多还是反对占上，双语教学的规模和影响都在原有的基础上不断扩大，且呈大发展之势。一些率先进行双语教学的院校在实践中积累了经验，不断加以改进；一些待进入者也在模仿中学习，并静待时机成熟时加入这一行列。由于我国长期缺乏讲第二语言（包括英语）的环境，开展双语教学面临特殊的困难，因此，选用合适的教材就成为双语教学成功与否的一个重要问题。我们认为，双语教学从一开始就应该使用原版的各类学科的教材，而不是由本土教师自编的教材，从而可以避免中国式英语问题，保证语言的原汁原味。各院校除应执行国家颁布的教学大纲和课程标准外，还应根据双语教学的特点和需要，适当调整教学课时的设置，合理选择优秀的、合适的双语教材。

顺应这样一种大的教育发展趋势，中国人民大学出版社同众多国际知名的大出版公司，如麦格劳-希尔出版公司、培生教育出版公司等合作，面向大学本科生层次，遴选了一批国外最优秀的管理类原版教材，涉及专业基础课，人力资源管理、市场营销及国际化管理等专业方向课，并广泛听取有着丰富的双语一线教学经验的教师的建议和意见，对原版教材进行了适当的改编，删减了一些不适合我国国情和不适合教学的内容；另一方面，根据教育部对双语教学教材篇幅合理、定价低的要求，我们更是努力区别于目前市场上形形色色的各类英文版、英文影印版的大部头，将目标受众锁定在大学本科生层次。本套教材尤其突出了以下一些特点：

● 保持英文原版教材的特色。本套双语教材根据国内教学实际需要，对原书进行了一定的改编，主要是删减了一些不适合教学以及不符合我国国情的内容，但在体系结构和内容特色方面都保持了原版教材的风貌。专家们的认真改编和审定，使本套教材既保持了学术上的完整性，又贴近中国实际；既方便教师教学，又方便学生理解和掌握。

● 突出管理类专业教材的实用性。本套教材既强调学术的基础性，又兼顾应用的广泛性；既侧重让学生掌握基本的理论知识、专业术语和专业表达方式，又考虑到教材和管理实践的紧密结合，有助于学生形成专业的思维能力，培养实际的管理技能。

● 体系经过精心组织。本套教材在体系架构上充分考虑到当前我国在本科教育阶段推广双语教学的进度安排，首先针对那些课程内容国际化程度较高的学科进行双语教材开发，在其专业模块内精心选择各专业教材。这种安排既有利于我国教师摸索双语教学的经验，使得双语教学贴近现实教学的需要；也有利于我们收集关于双语教学教材的建议，更好地推出后续的双语教材及教辅材料。

● 篇幅合理，价格相对较低。为适应国内双语教学内容和课时上的实际需要，本套教材进行了一定的删减和改编，使总体篇幅更为合理；而采取低定价，则充分考虑到了学生实际的购买能力，从而使本套教材得以真正走近广大读者。

● 提供强大的教学支持。依托国际大出版公司的力量，本套教材为教师提供了配套的教辅材料，如教师手册、PowerPoint 讲义、试题库等，并配有内容极为丰富的网络资源，从而使教学更为便利。

本套教材是在双语教学教材出版方面的一种尝试。我们在选书、改编及出版的过程中得到了国内许多高校的专家、教师的支持和指导，在此深表谢意。同时，为使我们后续推出的教材更适于教学，我们也真诚地期待广大读者提出宝贵的意见和建议。需要说明的是，尽管我们在改编的过程中已加以注意，但由于各教材的作者所处的政治、经济和文化背景不同，书中内容仍可能有不妥之处，望读者在阅读时注意比较和甄别。

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PREFACE

Leading people effectively is a tremendous challenge, a great opportunity, and a serious responsibility. Since the first edition of *The Art and Science of Leadership* was published, the call for leadership has been growing. Our organizations and institutions, more than ever, need effective leaders who understand the complexities of our dynamic global environment, who have the intelligence to deal with complex problems, and who have the sensitivity and ability to empathize with their followers to motivate them to strive for excellence. Every civilization has focused on its leaders, revering or reviling them. Throughout history, the fate of millions has depended on the leadership qualities of emperors, kings, queens, and other leaders and on their power struggles and succession battles. Children all over the world learn early, through the fairy tales they hear and read, the art they see, and the advice they get, that leaders matter and that the happiness and misery of people depend on the goodness or evilness of leaders.

It is no wonder, then, that we are fascinated by those who lead us. Some consider leadership to be a magical process. Indeed, when we reflect on historical figures or meet some of the leaders of our times, we can be transfixed by their seemingly magical exploits. They move armies, create new countries, and destroy whole civilizations through what often appears to be the sheer strength of their will. The actions of some business leaders during the recent financial crisis is further indication of the power of good and bad leadership. At every level, leaders can affect our very existence on this planet.

Although leaders are the ones who dazzle us, we often fail to consider that they alone can accomplish nothing. It is the strength of their followers that moves history. It is the army of foot soldiers that achieves victory. It is the hard work of employees that turns a profit in a faltering company. It is the initiative of volunteers that achieves an institution's goals. It is the dedication of public servants that makes government work. We also must remember that many extraordinary leaders found themselves shunned and rejected by the people who once admired them. President Charles de Gaulle's road to the leadership of France was long, tortuous, and fraught with failure. After coming to office as a hero after World War II, he was forced out of office twice. Winston Churchill of Great Britain was removed from office on two occasions and faced long periods in his life during which his leadership was neither valued nor wanted. More recently, Benazir Bhutto of Pakistan moved from national hero to national villain and back to hero several times before her assassination. George Watson Jr. was booted out of office after successfully leading IBM for many years. Jack Welch, former CEO of General Electric and considered by many to be one of the most successful U.S. CEOs, was nicknamed Neutron Jack in his early days at GE for decimating the company workforce through layoffs. Many elected leaders around the world face similar challenges. Their magic does not work all the time and with everyone.

If a leader's powers are truly magical, why do they wax and wane? Why are they not effective all the time? Why are they effective with some followers and not others? These questions, along with many others, will be addressed in this book.

For our organizations to be effective and for society to function successfully, we must be able to select, develop, and train the right leaders and know how to help them succeed. Because the processes of leading others to achieve organizational goals are applicable in any institutional settings, this book presents a broad review and analysis of the field of leadership with application to business, public, and other organizations. Current research goes far in demystifying

leadership and teaching it to the rest of us mortals. Although we still come across some leaders whose performance and behavior escape the bounds of scientific explanation, by and large, we know a good deal about leadership and how to train people to be leaders. The cornerstone of our new knowledge is that *leaders are made, not born;* most of us can learn to become better leaders. Maybe only a few of us will someday shape human civilization, but to a great extent, we all can improve our leadership skills, connect with our followers, and engage them to shape our organizations and communities.

SOME BASIC ASSUMPTIONS

The seventh edition builds on the strengths of the previous six editions while updating theories and examples. The many debates and controversies within the field of leadership are presented in this edition as they were in the first six. I continue to emphasize integration of the concepts and distill useful and practical concepts from each theory while taking a strong cross-cultural perspective. The guiding philosophy, assumptions, and methods remain the same.

- *Leadership is about others.* Leaders exist to help others achieve their goals. While we tend to focus on the person of the leader, effective leadership is and should be about others, not the leader.
- *Leadership is a complex process* that cannot be explained by one word, one concept, or through a simple definition or action.
- *We all can learn to become better leaders.* For some of us, the learning is easier in certain areas than in others, but with motivation, practice and support from our organizations, we all can improve our leadership skills. While it is not easy to move teams, departments, and organizations toward higher levels of effectiveness and efficiency, there is no magic involved in achieving these goals. We can use the many existing leadership theories to achieve them.
- *A cross-cultural perspective is essential to understanding leadership.* Leadership is not a culture-free process. The book includes extensive cross-cultural and gender-based analyses of leadership as a major part of the discourse about leadership effectiveness.
- *Theories are useful tools.* While they sometimes appear esoteric, complicated, and even contradictory, theories are useful tools that help clarify the complex process of leadership. No one theory alone explains that complex process, but many of them together (even the old ones!) can provide a relatively complete picture of what it takes to lead effectively.
- *Application and practice are essential to learning.* You cannot learn to lead from a book or in a classroom alone. Knowledge is essential; the concepts and theories presented cover that aspect. But to learn to lead, you have to practice. The many examples, cases, and the various pedagogical features such as the *Leadership Challenges* as well as end-of-chapter exercises and self-assessments offer opportunities for engagement and are a starting point for practice to complete the theoretical knowledge.

NEW TO THE SEVENTH EDITION

Research in the field of leadership is dynamic, extensive, and multidisciplinary. As has been the case with every edition, extensive research has gone into this edition. Additionally, I had the opportunity to teach several large undergraduate leadership classes for the past couple of years and my students' feedback has shaped many of the revisions that you will see in this edition. Although the overall structure remains the same, the outline in many chapters has been changed

and I have added several new features to ensure that students can learn more easily and apply what they learn more readily. Specific changes include the following:

- Close to two hundred new references have been added throughout the chapters, almost all dating from 2010 forward.
- Close to 150 references were removed because newer more current research was available, the examples no longer fit, or leaders had left or retired.
- Updated and revised learning outcomes for each chapter.
- Two new pedagogical features in all the chapters:
    - Each chapter starts with a "*The Leadership Question*" that focuses the student on the theoretical or practical issues covered in the chapter. The question is specifically addressed at some point in the chapter in "*The Leadership Question—Revisited*" segment.
    - Each chapter includes a "*What Do You Do?*" feature that presents a brief action-oriented scenario to help students connect the material with hands-on applications.

In addition to general updates of research and examples in all the chapters, six of the ten chapters have been substantially revised. Changes include the following:

- In Chapter 2:
    - A substantial revision of the presentation of the GLOBE research
    - Substantial revision and of the material on gender and diversity
    - New exercise added—*World Map*
    - *Cultural Mindset* self-assessment revised
- In Chapter 4:
    - New material and new self-assessment on proactive personality
    - New material on the Dark Triad replaces separate coverage of Machiavellianism and Narcissism
    - Extensive revision on the section on leaders who fail
    - New case about Zhang Xi of Soho-China
- In Chapter 6:
    - Chapter is retitled to address the new era in leadership research
    - Extensively revised presentation of value-based leadership including servant, authentic, and positive leadership
    - New "*Applying what you learn: Balancing a positive approach with realism*"
    - Revised self-assessment on Authentic Leadership
    - Extensive revision of the Avon-Andrea Jung case to reflect her leaving the company
- In Chapter 7:
    - New "*Leading change: Public Allies*"
    - Extensive revision of the *Leadership in Action* case to reflect changes in leadership at P&G
- In Chapter 8:
    - New "*Leading Change: Google*"
    - New material on helping teams become effective
- In Chapter 9:
    - Structure of the chapter has been revised
    - New "*Leading Change: Ford's Alan Mulally*"
    - New exercise – *The Six Hats*
    - Extensively revised *Leadership in Action* that reflects Best Buy's change in policy

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WHO SHOULD READ THIS BOOK?

The Art and Science of Leadership is targeted to students of leadership—whether they are advanced undergraduate and graduate students or managers with a desire to learn and grow. It is written for those who want not only to understand the various theories and research in the field but also to apply that knowledge to become better leaders and to improve the leadership of their organizations. The examples and cases are from different types of industries and from the private and public sectors. Although the theories often are developed and tested by psychology and management researchers, they have broad applicability to all organizations and their leadership.

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*This product may not be available in all markets. For more details, please visit www.coursesmart.co.uk or contact your local Pearson representative.

简明目录

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Building Blocks

Part I lays the foundation for understanding the processes of leadership. After studying Part I, you will be able to define the basic elements of leadership and be ready to integrate them to understand more complex leadership processes. Leadership involves interaction among several key elements: a leader, followers, and the situation. Since its beginnings in the West in the late nineteenth century, the formal study of leadership has generated many definitions of the concept. As with any social phenomenon, culture strongly influences not only our definitions of leadership but also how we actually lead and what we expect of our leaders. Tracing the history of the field can help us understand how our current views of leadership have developed and enable us to become aware of how the process of leadership and our images and expectations of effective leaders change with organizational, social, and cultural evolutions.

Chapter 1 provides a working definition of leadership and effectiveness, explores the reasons why we need leadership, describes the roles and functions of leaders, and discusses their impact. Chapter 2 focuses on understanding the role of culture in leadership. Several models for describing culture are presented, and the roles of gender and diversity in leadership are explored. Chapter 3 presents a history of the field of leadership and reviews the theories that provide the foundation for current approaches. Individual differences that affect leadership are discussed in Chapter 4. They include demographic differences, values, abilities, skills, and several personality traits. Chapter 5 reviews the concept of power and its importance to leadership.

1

Definition and Significance of Leadership

After studying this chapter, you will be able to:

1. Define leadership and leadership effectiveness.
2. Discuss the major obstacles to effective leadership.
3. Compare and contrast leadership and management.
4. List the roles and functions of leaders and managers.
5. Explain the changes in organizations and how they affect leaders.
6. Summarize the debate over the role and impact of leadership in organizations.

THE LEADERSHIP QUESTION

Some leaders are focused on getting things done while others put taking care of their followers first. Some look at the big picture, and others hone in on the details. Is one approach better than the other? Which one do you prefer?

Who is a leader? When are leaders effective? These age-old questions appear simple, but their answers have kept philosophers, social scientists, scholars from many disciplines, and business practitioners busy for many years. We recognize bad leadership. Bad leaders are dishonest, self-centered, arrogant, disorganized, and uncommunicative. However, being honest, selfless, organized and communicative are necessary, but not sufficient to be a good leader. This chapter defines leadership and its many aspects, roles, and functions.

EFFECTIVE LEADERSHIP

We recognize effective leaders when we work with them or observe them. However, leadership is a complex process, and there are many different definitions of leadership and leadership effectiveness.

Who Is a Leader?

Dictionaries define *leading* as "guiding and directing on a course" and as "serving as a channel." A leader is someone with commanding authority or influence. Researchers have developed many working definitions of leadership. Although these definitions share several elements, they each consider different aspects of leadership. Some define leadership as an integral part of the group process (Green, 2002; Krech and Crutchfield, 1948). Others define it primarily as an influence process (Bass, 1960; Cartwright, 1965; Katz and Kahn, 1966). Still others see leadership as the initiation of structure (Homans, 1950) and the instrument of goal achievement. Several even consider leaders to be servants of their followers (Greenleaf, 1998). Despite the differences, the various definitions of leadership share four common elements:

- First, leadership is a *group and social phenomenon*; there can be no leaders without followers. Leadership is about others.
- Second, leadership necessarily involves interpersonal *influence* or persuasion. Leaders move others toward goals and actions.
- Third, leadership is *goal directed* and *action oriented*; leaders play an active role in groups and organizations. They use influence to guide others through a certain course of action or toward the achievement of certain goals.
- Fourth, the presence of leaders assumes some form of *hierarchy within a group*. In some cases, the hierarchy is formal and well defined, with the leader at the top; in other cases, it is informal and flexible.

Combining these four elements, we can define *a leader as any person who influences individuals and groups within an organization, helps them establish goals, and guides them toward achievement of those goals, thereby allowing them to be effective.* Being a leader is about getting things done for, through, and with others. Notice that the definition does not include a formal title and does not define leadership in terms of certain traits or personal characteristics. Neither is necessary to leadership.

This broad and general definition includes those who have formal leadership titles and many who do not. For Jonas Falk, CEO of OrganicLife, a start-up company that provide nutritious school lunches, leadership is taking "an average team of individuals and transform(ing) them into superstars" (Mielach, 2012). For consultant Kendra Coleman, leadership is about taking a stand (Mielach, 2012). Bill Gates, founder of Microsoft, considers empowerment to be an essential part of leadership (Kruse, 2013). For the CEO of the Container Store, "leadership and communication are the same thing. Communication is leadership" (Bryant, 2010). In all these examples, the leader moves followers to action and helps them achieve goals, but each focuses on a different element that constitutes leadership.

When Is a Leader Effective?

What does it mean to be an effective leader? As is the case with the definition of leadership, effectiveness can be defined in various ways. Some researchers, such as Fred Fiedler, whose Contingency Model is discussed in Chapter 3, define leadership effectiveness in terms of group performance. According to this view, leaders are effective when their group performs well. Other models—for example, Robert House's Path-Goal Theory presented in Chapter 3—consider follower satisfaction as a primary factor in determining leadership effectiveness; leaders are effective when their followers are satisfied. Still others, namely researchers working