

清华管理学系列英文版教材

Leadership in Organizations

Fifth Edition

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组织中的领导

(第5版)

Gary Yukl

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清华大学出版社

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Gary Yukl

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为了适应经济全球化的发展趋势，满足国内广大读者了解、学习和借鉴国外先进的管理经验和掌握经济理论的前沿动态，清华大学出版社与国外著名出版公司合作影印出版一系列英文版经济管理方面的图书。我们所选择的图书，基本上已是再版多次、在国外深受欢迎、并被广泛采用的优秀教材，绝大部分是该领域中较具权威性的经典之作。在选书的过程中，我们得到了很多专家、学者的支持、帮助和鼓励，在此表示谢意！清华管理学系列英文版教材由清华大学经济管理学院马力、毛波、王雪莉、刘丽文、郎立君、钱小军、姜彦福、蔚林巍等老师审阅，在此一并致谢！

由于原作者所处国家的政治、经济和文化背景等与我国不同，对书中所持观点，敬请广大读者在阅读过程中注意加以分析和鉴别。

我们期望这套影印书的出版对我国经济科学的发展能有所帮助，对我国经济管理专业的教学能有所促进。

欢迎广大读者给我们提出宝贵的意见和建议；同时也欢迎有关的专业人士向我们推荐您所接触到的国外优秀图书。

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世纪之交, 中国与世界的发展呈现最显著的两大趋势——以网络为代表的信息技术的突飞猛进, 以及经济全球化的激烈挑战。无论是无远弗界的因特网, 还是日益密切的政治、经济、文化等方面的国际合作, 都标示着 21 世纪的中国是一个更加开放的中国, 也面临着一个更加开放的世界。

教育, 特别是管理教育总是扮演着学习与合作的先行者的角色。改革开放以来, 尤其是 20 世纪 90 年代之后, 为了探寻中国国情与国际上一切优秀的管理教育思想、方法和手段的完美结合, 为了更好地培养高层次的“面向国际市场竞争、具备国际经营头脑”的管理者, 我国的教育机构与美国、欧洲、澳洲以及亚洲一些国家和地区的大量的著名管理学院和顶尖跨国企业建立了长期密切的合作关系。以清华大学经济管理学院为例, 2000 年, 学院顾问委员会成立, 并于 10 月举行了第一次会议, 2001 年 4 月又举行了第二次会议。这个顾问委员会包括了世界上最大的一些跨国公司和中国几家顶尖企业的最高领导人, 其阵容之大、层次之高, 超过了世界上任何一所商学院。在这样高层次、多样化、重实效的管理教育国际合作中, 教师和学生与国外的交流机会大幅度增加, 越来越深刻地融入到全球性的教育、文化和思想观念的时代变革中, 我们的管理教育工作者和经济管理学习者, 更加真切地体验到这个世界正发生着深刻的变化, 也更主动地探寻和把握着世界经济发展和跨国企业运作的脉搏。

我国管理教育的发展, 闭关锁国、闭门造车是绝对不行的, 必须同国际接轨, 按照国际一流的水准来要求自己。正如朱镕基总理在清华大学经济管理学院成立十周年时所发的贺信中指出的那样: “建设有中国特色的社会主义, 需要一大批掌握市场经济的一般规律, 熟悉其运行规则, 而又了解中国企业实情的经济管理人才。清华大学经济管理学院就要敢于借鉴、引进世界上一切优秀的经济管理学院的教学内容、方法和手段, 结合中国的国情, 办成世界第一流的经管学院。”作为达到世界一流的一个重要基础, 朱镕基总理多次建议清华的 MBA 教育要加强英语教学。我体会, 这不仅因为英语是当今世界交往中重要的语言工具, 是连接中国与世界的重要桥梁和媒介, 而且更是中国经济管理人才参与国际竞争, 加强国际合作, 实现中国企业的国际战略的基石。推动和实行英文教学并不是目的, 真正的目的在于培养学生——这些未来的企业家——能够具备同国际竞争对手、合作伙伴沟通和对抗的能力。按照这一要求, 清华大学经济管理学院正在不断推动英语教学的步伐, 使得英语不仅是一门需要学习的核心

课程，而且渗透到各门专业课程的学习当中。

课堂讲授之外，课前课后的大量英文原版著作、案例的阅读对于提高学生的英文水平也是非常关键的。这不仅是积累相当的专业词汇的重要手段，而且是对学习者思维方式的有效训练。

我们知道，就阅读而言，学习和借鉴国外先进的管理经验和掌握经济理论动态，或是阅读翻译作品，或是阅读原著。前者属于间接阅读，后者属于直接阅读。直接阅读取决于读者的外文阅读能力，有较高外语水平的读者当然喜欢直接阅读原著，这样不仅可以避免因译者的疏忽或水平所限而造成的纰漏，同时也可以尽享原作者思想的真实表达。而对于那些有一定外语基础，但又不能完全独立阅读国外原著的读者来说，外文的阅读能力是需要加强培养和训练的，尤其是专业外语的阅读能力更是如此。如果一个人永远不接触专业外版图书，他在获得国外学术信息方面就永远会比别人差半年甚至一年的时间，他就会在无形中减弱自己的竞争能力。因此，我们认为，有一定外语基础的读者，都应该尝试一下阅读外文原版，只要努力并坚持，就一定能够过了这道关，到那时就能体验到直接阅读的妙处了。

在掌握大量术语的同时，我们更看重读者在阅读英文原版著作时对于西方管理者或研究者的思维方式的学习和体会。我认为，原汁原味的世界级大师富有特色的表达方式背后，反映了思维习惯，反映了思想精髓，反映了文化特征，也反映了战略偏好。知己知彼，对于跨文化的管理思想、方法的学习，一定要熟悉这些思想、方法所孕育、成长的文化土壤，这样，有朝一日才能真正“具备国际战略头脑”。

以往，普通读者购买和阅读英文原版还有一个书价的障碍。一本外版书少则几十美元，多则上百美元，一般读者只能望书兴叹。随着全球经济合作步伐的加快，目前在出版行业有了一种新的合作出版的方式，即外文影印版，其价格几乎与国内同类图书持平。这样一来，读者可以不必再为书价发愁。清华大学出版社这些年在这方面一直以独特的优势领先于同行。早在1997年，清华大学出版社敢为人先，在国内最早推出一批优秀商学英文版教材，规模宏大，在企业界和管理教育界引起不小的轰动，更使国内莘莘学子受益良多。

为了配合清华大学经济管理学院推动英文授课的急需，也为了向全国更多的MBA试点院校和更多的经济管理学院的教师和学生提供学习上的支持，清华大学出版社再次隆重推出与世界著名出版集团合作的英文原版影印商学教科书，也使广大工商界人士、经济管理类学生享用到最新最好质优价廉的国际教材。

祝愿我国的管理教育事业在社会各界的大力支持和关心下不断发展、日进日新；祝愿我国的经济建设在不断涌现的大批高层次的面向国际市场竞争、具备国际经营头脑的管理者的魅力经营下早日中兴。

赵纯均 教授

清华大学经济管理学院院长
全国工商管理硕士教育指导委员会副主任

Preface

This book is about leadership in organizations. The primary focus is on managerial leadership as opposed to parliamentary leadership, leadership of social movements, or emergent leadership in informal groups. The book presents a broad survey of theory and research on leadership in formal organizations. The topic of leadership effectiveness is of special interest. Again and again the discussion returns to the question of what makes a person an effective leader.

The content of the book reflects a dual concern for theory and practice. I have attempted to satisfy two different audiences with somewhat incompatible preferences. Most academics prefer a book that provides a detailed explanation and critical evaluation of major theories, and a comprehensive review and evaluation of empirical research. They are more interested in how well the research is done and what additional research is needed than in the practical applications. Many academics are skeptical about the value of prescriptions and guidelines for practitioners and consider them premature in the absence of further research. In contrast, most practitioners want some immediate answers about what to do and how to do it in order to be more effective as leaders. They need to deal with the current challenges of their job and cannot wait for decades until the academics resolve their theoretical disputes and obtain definitive answers. Most practitioners are more interested in finding helpful remedies and prescriptions than in finding out how this knowledge was discovered.

These different preferences are a major reason for the much-lamented gulf between scientists and practitioners in industrial-organizational psychology and related fields. I believe it is important for managers and administrators to understand the complexity of effective leadership, the source of our knowledge about leadership in organizations, and the limitations of this knowledge. Likewise, I believe it is important for academics to think more about how their theories and research can be used to improve the practice of management. Too much of our leadership research is designed only to examine narrow, esoteric questions that are of interest only to a few other social scientists who publish in the same journals.

Academics will be pleased to find that major theories are explained and critiqued, empirical research on leadership is reviewed and summarized, and many references are provided to enable them to follow up with additional reading on topics of special interest. The field of leadership is still in a state of ferment, with many continuing controversies about conceptual and methodological issues. The book addresses these

issues whenever feasible rather than merely presenting theories and summarizing findings without concern for the quality of research that lies behind the theories. However, the literature review was intended to be incisive, not comprehensive. Rather than detailing an endless series of theories and studies, the book focuses on the 20 percent of the literature that appeared to be most relevant and informative. The book reviews what we know about leadership effectiveness, and the current edition reflects significant progress in our understanding of leadership since the first edition was published in 1981.

For practitioners, I attempted to convey a better appreciation of the complexity of managerial leadership, the importance of having theoretical knowledge about leadership, and the need to be flexible and pragmatic in applying this knowledge. The current edition has many guidelines and recommendations for improving managerial effectiveness, but the book is not a “practitioner’s manual” of simple techniques and secret recipes that guarantee instant success. The purpose of the guidelines is to help the reader understand the practical implications of leadership theory and research, not to prescribe exactly how things must be done by a leader. Most of the guidelines are based on a limited amount of research, and they are not infallible.

Since the last edition, the number of chapters was reduced from 19 to 15 by consolidating related topics into the same chapter, minimizing redundancy among chapters, and deleting some topics that are usually covered adequately in introductory survey courses. The changes made some of the chapters a little longer, but the book is now easier to use in a course with a 15-week format, as well as in shorter courses. This edition includes one new chapter, which was added to cover four important and related topics: ethical leadership, gender and leadership, cross-cultural leadership, and management of diversity. I have added learning objectives at the beginning of each chapter to provide a better overview of what I wanted to accomplish in the chapter.

At the end of most chapters are short cases designed to help the reader gain a better understanding of the theories, concepts, and guidelines presented in the chapter. The cases describe events that occurred in real organizations, but some of the cases were modified to make them more useful for learning basic concepts and effective practices. The reader is asked to analyze behavioral processes, identify examples of effective and ineffective behavior, and suggest effective ways to handle the situation depicted in the case. The cases take from 20 to 30 minutes to discuss.

An instructor’s manual is available with detailed analyses of the cases and suggestions on how to use them. The instructor’s manual also includes a multiple-choice exam for each chapter with items on the major points in the chapter. The manual includes exercises for use in class (e.g., role plays), and some out-of-class activities that help students to understand how they can apply the theory and guidelines. New exercises have been added to this version of the manual.

With its focus on effective leadership in organizations, the book is especially relevant for people who are currently managers and administrators, or who expect to enter a leadership position after completing their college education. The book is appropriate for use as the primary text in an undergraduate or graduate course in leadership. Such courses are found in business schools, psychology departments, sociology departments, departments of educational administration, schools of public administration, and programs in health care administration. The book could be used (in combination with

other texts or readings) for courses in management, supervision, educational administration, health care management, and public administration. Finally, the book will be of interest to practicing managers who are looking for something more than superficial answers to difficult questions about leadership.

In conclusion, thanks are extended to the following people for their helpful comments: Denise Daniels, Seattle Pacific University; Georgia Sorenson, University of Maryland; Kenneth Wallace, Craven Community College; and Kimberly S. McDonald, Indiana-Purdue University.

Gary Yukl
Albany, New York

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