

国家自然科学基金资助出版
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中国古代管理心理思想及其现代价值

朱永新 主 编
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华夏文化与现代管理的融合（代序）

成思危（全国人大常委会副委员长、
国家自然科学基金委员会管理科学部主任）

中华民族有着光辉灿烂的历史与文化，其中也包括许多宝贵的管理思想和管理经验。它们经过五千年的积累与提炼，至今仍在国家和企业的管理实践中发挥着重要的作用。因此，如何将华夏文化与现代管理融合起来，在“古为今用，洋为中用，取长补短，异途同归”的基础上，建立中国特色的管理科学体系，是我们义不容辞的责任。我国古代的管理思想博大精深，据笔者个人的一孔之见，似可归纳为两大类型，即儒家管理思想与兵家管理思想，前者着重于国家及社会管理，其精髓可归纳为“重在治国，以人为本，以和为贵，知人善任”；而后者则着重于管理的战略与战术，其精髓可归纳为“深谋远虑，雄才大略，随机应变，速战速决”。这两类思想在其发展过程中是相互影响，相互渗透的。由于儒家思想是我国文化传统的主流，故其管理思想比较容易被人们理解和接受。而兵家的战略与战术中所体现的管理思想也为我国历代统治者所推崇，其中一些高度智慧的论述早已深入人心。从 20 世纪站在时代前列的孙中山、毛泽东、邓小平三位伟大人物的著作中，常常可以看到他们对我国古代管理思想的引申和运用。对待我国古代的管理思想，我们应当采取“古为今用”的方针。一是要对其进行认真的研究与分析，有些问题还应进行认真的考证；二是要实事求是地加以评价，不要拔得过高，更不应牵强附会，须知古人因受其历史条件限制，不可能为今天的管理问题提供现成的答案；三是要联系实际进行思考，将古代管理思想中的原则与当前的具体情况结合起来；四是要将批判继承与创新发展结合起来，取其精华，去其糟粕，防止食古不化，而应在前人基础上不断创新。

世界各国的管理既有其特殊性（个性），又有其普遍性（共性）。要实现华夏文化与现代管理的融合，就应当采取“取长补短”的方针，从而达到“异途同归”的目的。因此，我们应从管理的共性出发，吸收现代管理理论及方法的精髓，融入我国古代的管理思想，创建出中国特色的管理科学体系。

1. 在战略管理中融入孙子兵法：战略管理是现代管理中的最高层次及首要任务。按照现代管理的模式，它一般包括战略的制定与实施两个方面。在制定战略时，首先要确定战略目标，然后进行环境分析与资源分析。前者主要包括对社会、行业（竞争对

手)、市场(顾客)的分析;后者则主要包括对内部的人、财、物等资源的分析。若分析结果认为达不到所定的战略目标时,就要对其做必要的修改。当认为目标可以达到时,就要将目标按时间及空间进行分解,并确定主要的战略措施及实施的方案。笔者认为,在战略管理中应当融入孙子兵法。在制定战略时,应当做“深谋远虑”,正如孙子所指出的要“庙算”,要按照“五经”(道、天、地、将、法)“七计”(主孰有道?将孰有能?天地孰得?法令孰行?兵众孰强?士卒孰练?赏罚孰明?)的范围,经之以五事,校之以计而索其情,从而确定自己的比较优势和劣势。在确定主要战略措施时,要考虑所需的代价,故孙子曰:“上兵伐谋,其次伐交,其次伐兵,其下攻城”。在实施战略时,要注意随机应变,在坚持战略上的原则性的同时,要注意战术上的灵活性,即孙子所谓的“兵无常势,水无常形”,“以正合,以奇胜”。

2. 在最优决策中考虑信息和人的行为:在第二次世界大战后,有一个时期内特别盛行定量的分析方法,使得管理科学几乎成了运筹学的同义语。近年来,人们逐渐认识到,解决管理问题不能单靠定量分析方法,还必须与定性分析法相结合。因此西方管理科学发展的一个重要趋势是与信息技术和行为科学相结合。例如从一地到另一地的路径选择问题,从传统管理科学家的观点看来,只要用运筹学求出最短路径就可以了。但从经济学家的观点看来,这并不一定是最优的选择,因为可能会在最短路径上因堵车而增加油耗且浪费时间,如能给某一司机提供信息,使其了解路况,则该司机可能会选择另一条更好的道路。但即使所有司机都能通过无线电台而获得路况的完全信息(信息完全对称),行为科学家还要考虑到司机的择路行为,有经验的司机往往会作出更好的判断而选择最佳的路径。这就说明科学技术越发达,人的素质和主动性就更加重要。这与我们古代管理思想中强调以人为本的原则不谋而合。近年来由于经济全球化趋势日益增强,人力资源的重要性更加突出。许多西方管理科学家都着重研究人力资源的管理问题,包括人员的招募、选拔、培养,并采取各种手段(包括提供购买公司股票的期权)来留住人才。我们不但要学习现代的人力资源管理方法,也应当重视运用我国古代使用人才的经验。古代管理思想中很重视知人善任,任人唯贤。正如《管子·五辅》中所言:“古之贤王,所以取名广誉,厚功大业,显于天下,不忘于后世,非得人者,未之尝闻”;司马光上书宋仁宗曰:“为政之要,在于用人,赏善罚恶而已”(《续资治通鉴》卷六十一)。这就先要有知人之明,即所谓“知人者哲”(《尚书·皋陶谟》);“知人者智”(《老子》第三十三章)。宋朝的苏轼在《拟进士对御试策》中指出:“欲立非常之功者,必有知人之明”。然后还要善于用人。一是要用其所长,不求全责备。即所谓“任人之长,不强所短;任人之工,不强其拙。此任人之大略也”(《晏子春秋·内篇问上》);“人固难全,权而用其长者”(《吕氏春秋·举难》);“无求备于一人”(《论语·微子》)。二是量才使用。正如唐朝魏徵所说:“人之才器,各有分限,大小异宜,不可逾量”(《隋书》);南朝萧绎也说:“大器不可小用,小士不可大任”(《金楼子·杂记下》)。三是要不拘一格用人才。“有能则举之,无能则下之”(《墨子·尚贤上》);“不限资考,惟择才堪者为之”(欧阳修《论台官不当限资考札子》)。四是用人不疑,疑人不用。“任贤勿贰,



去邪勿疑”(《尚书·大禹谟》)。正如欧阳修所说:“用人之术,任之必专,信之必笃,然后能尽其才,而可共成事”(《为君难论》上)。此外,在择人的标准上还要强调德才兼备。恰如司马光所言:“才者,德之资也;德者,才之帅也”(《资治通鉴·周纪一》)。汉朝的王符也指出:“德不称其任,其祸必酷;能不称其位,其殃必大”(《潜夫论·忠贵》)。

3. 将“和为贵”的思想引入商业竞争中: 由于竞争规律是市场经济的基本规律之一,因此西方现代管理中十分强调竞争的作用。在“商场如战场,竞争即战争”这一思想的指引下,研究竞争战略,夺取竞争优势,扩大市场份额,创立独家名牌,消灭竞争对手,占据垄断地位,压低进料价格,套住顾客用户等一系列手段似乎是天经地义的做法。企业为了在市场上求生存,就非要与竞争对手拼个你死我活不可。近年来,人们开始认识到单纯强调竞争的思维定式有许多缺陷。为了实现创新的目的,企业应当与供应商、用户甚至竞争对手建立战略伙伴关系。竞争对手之间应当寻求和睦相处的可能性,并将各自的优势综合起来,努力扩大并开拓市场,并分享利益。例如布兰登伯格(Adam M. Brfandenburger)和梅尔巴夫(Barry J. Malebuff)就将其新著命名为《竞争合作》(Co-opertition),指出将竞争与合作相结合是一种革命性的设想;穆尔(James F. Moore)甚至写了一本《竞争的死亡》(The Death of Competition),提出了在工商生态系统时代中的领导与战略。在我国建立社会主义市场经济的进程中,应当以“和为贵”的思想为指导,探索出一条竞争合作的途径。在孔子的思想中,“仁”是核心的内容。他明确指出:“仁者,人也”(《中庸》)。简单地说,仁学就是研究人际关系的学问。要想保持国家的兴盛和社会的稳定,就要妥善地处理好社会各阶层、各成员之间的相互关系。儒家认为处理这种关系的最高原则就是保持和谐。孔子曰:“礼之用,和为贵”(《论语·学而》)。这就是说一方面要有道德规范与等级制度来约束社会各成员的言行,例如“克己复礼为仁”(《论语·颜渊》);另一方面则要用爱护、尊重、宽容、诚信、高效、实效、实惠来保持人际关系的和谐,例如“能行五者于天下,为仁矣。……恭、宽、信、敏、惠:恭则不侮,宽能得众,信则人任焉,敏则有功,惠则足以使人”(《论语·阳货》)。

4. 用中西结合的方法来推进政治体制改革: 继续推进政治体制改革,进一步扩大社会主义民主、健全社会主义法制,是当前一项重要的任务。现代西方政治学研究中采用了许多科学的方法来研究政治体制问题,例如历史—比较方法、心理分析、行为分析、系统分析、结构—功能分析、政策分析等,值得我们认真学习和研究。在推进政治体制改革的过程中,如能将其与我国古代治国思想中丰富的领导艺术和谋略结合起来,一定能够产生更好的效果。例如我国在推进社会主义市场经济体制的过程中,当前遇到一个重要的问题是如何规范国家与企业的关系,进一步明确国家和企业的权力与责任,从而建立一个精简、统一、有效的政府机构。解决这一问题的关键是在政府宏观调控这只“看得见的手”和市场自发调节这只“看不见的手”之间建立合理的力量平衡,即界定政府宏观调控的“度”。目前世界上现有的三种主要模式是以美、英为代表的盎格鲁

撒克逊模式，以德、法为代表的莱茵模式，以及以日本、韩国、新加坡为代表的东亚模式。这三种模式各有优劣之处，但都不能完全适应我国的具体情况。为此既需要用结构—功能分析的方法来确定最终的目标模式，又要运用高度的政治智慧来制定平稳的实施步骤。应当按照我国古代管理思想的原则，明确目标，周密策划，把握时机，掌握节度。

5. 培养有中国文化修养的高层管理人员：在现代管理中非常强调高层管理人员（特别是总裁或 CEO）的素质和能力，并认为这是成败的关键。例如艾柯卡（Lee Iacocca）救活了克莱斯勒（Chrysler）公司而一时成为美国人心目中的英雄。比尔·盖茨（Bill Gates）白手起家创办了微软（Microsoft）公司而致富被人们传为美谈。每一个人的成功都是其才能与机遇的结合。由于机遇是可遇而不可求的，故应当着重培养管理人员的素质与能力。当前我国正处在建立社会主义市场经济的过程中，急需大批优秀的企业管理人员。因此工商管理硕士（MBA）的培养已成为一个热门话题，并受到各方面的重视。应当承认，设立工商管理硕士学位是西方培养管理人才行之有效的途径。但在我国实施时首先要有掌握现代管理理论并有一定实践经验的教师队伍，要招收基础扎实，有上进心，并有一定工作经验的学生，还要有一套既能准确而详尽地阐述西方管理理论及方法，又能联系我国实际的教材（包括管理案例），这都需要我们作出极大的努力。笔者认为，还应注意培养学生的中国文化修养，使它们能够掌握我国古代的管理思想，并能应用于今后的管理实践之中。为此建议在我国的 MBA 的教学计划中应当包括中国古代管理思想的课程，并在各方面加强对中国古代管理思想的研究。

我一直在关注着中华管理文化的研究成果，也一直在为关于中华管理文化的研究做拉拉队的工作。我主持的国家自然科学基金委员会也一直在积极支持这方面的研究。值得欣慰的是，我注意到，全国政协常委、苏州市政府副市长朱永新教授和他的学生一直在努力地耕耘中国古代管理思想的希望田野，他先后主持了《中国古代管理心理学思想史》、《中国古代管理思想的现代价值研究》和《诚信在现代企业中的价值》三个国家自然科学基金的项目。民建苏州市委的同志曾经转交了朱永新同志送我的著作《中华管理智慧》，这是他们的中间研究成果。我看了以后非常振奋，有一批年轻的学者在孜孜不倦地研究中国古代管理思想，而且那么系统，那么专业，是我非常感动的。经过多年的研究，朱永新和他的团队又给了我们一个惊喜，这部 100 多万字的比较完整的关于中国古代管理心理思想及其现代价值的研究成果摆在了我们的面前。尽管这是从管理心理的角度来分析管理思想的发展，但是毕竟为我们真正进入这个领域探索了一条道路。而且，他们用定量研究的方法，对中国古代管理心理学思想在现代企业的应用，进行了非常有价值的研究，这是过去还没有人做过的。朱永新等同志的研究因此就具有开拓的意义，也正因为如此，国家自然科学基金委员会在组织专家对他们的研究进行评估时，一致给予了优秀和有益的鉴定意见。其实，人的心理问题是管理的最深层的问题，被称为东方式管理儒家管理思想的重要特点就是对于人心的调节与控制，一部管理心理学的历史就是一部内容丰富的深层次的管理思想发展史。朱永新和他的团队从管理心理学的角



度审视中国传统管理文化，概括出“以人为本、以德为先、以和为贵、中庸之道、无为而治”五个特点，并且对从殷周到明清时期管理心理学思想的发展历史进行了深入细致的整理。同时，他们还用现代心理学的研究方法，对华夏管理文化如何与现代社会相融合进行了有价值的探索。在本书出版之际，我非常乐意为他们写这样的一些文字，以表达对于他们的敬意和支持。我也希望有更多的有志之士对这一领域进行探索，通过各自的研究与实践来共同创建中华管理文化的宏伟大厦，为中华民族的伟大复兴贡献力量。

英文摘要(Summary)

Ancient Chinese Management Wisdom is a research program, supported by National Nature Science Fund, and undertaken by the research group directed by Professor Zhu Yongxin. The study has been done on the basis of principal theories of management psychology from a perspective of native management psychology, with methods of both a quality research and a quantity research. The study has systematically explored the ancient Chinese management psychology thoughts and the significance of management psychology thoughts from the ideology of the Chinese cultural traditions. Furthermore, the study discusses core characteristics of those thoughts that have placed a great impact on the management practice in the modern society. Ancient Chinese Management Wisdom consists of the research achievements at its earlier stage and four parts which focus on the significant clues of various schools of thoughts, representative figures, great works and ideological trends in the history of the Chinese society. It helps us to make a picture of the beginning, formation, and development of the ancient Chinese management psychology. The new system created by Professor Zhu, which includes management by objective, management by manpower, management by environment, management by time and management by information, covers fundamental contents of the ancient Chinese management psychology as well as their essence, which is Human Oriented, Morals First, Harmony Cherished, Doctrine of Noninterference and Doctrine of The Mean. While looking into the ancient Chinese management psychology, the study has also probed into its modern values. The contents of each part are as follows.

The First part of the book focuses on the beginning and formation of the ancient Chinese management thoughts. Great works like Book of Changes and Book of History, etc. are reviewed. The primary views in this part assert that the ancient Chinese management thoughts could be traced back as early as to three ancient dynasties, Xia, Shang and Chou in the history, which took shape with the strong sense of moral principles in the patriarchal clan system in the agricultural society. Their origins of those essential spirits and core values that are still cherished by people today, such as Tao, Nature, Etiquette, Benevolence, etc. could be found during those periods.

The first part pays attention to studying the debate on how to govern the country by the scholars who followed their management psychology in ancient China. It is believed that it



was the time when ancient Chinese management psychology thoughts were eventually formed. Representative figures and great works from Confucianism, Taoism, Legalist, Mohist School, Strategist and Zonghengist are analysed. Confucian Analects, Mencius, Taoteking, Chuangzi, Spring and Autumn of Lvshi, Xunzi, Hanfeizi, Mozi, Suzi's Arts of War and Guiguzi, present separately different aspects of life, like relationship between human's nature and their needs, psychology thoughts on recruitment, motivation, leadership and organization. Confucianism advocates human-oriented thinking and doctrine of moral, doctrine of the mean, 'following self-cultivation rule' as well as fostering others. The Legalists advocate that the country should be ruled through laws, especially through the combination of laws, tactics and power force. Taoism's management psychology lies in its exploitation of the rules, methods and arts of management featured with Doctrine of Noninterference. Strategist mainly display the strategic thoughts of Full Win without Wars, Information-collection (get to know well about both oneself and his counterpart) and Decision-Making; at the same time show its great concerns on the evaluation, talent training and motivation thoughts. Mohist emphasizes that the country could be enriched by the ways of enriching its people, loving each other and benefiting each other, while speaking highly of the idea of recognizing a person from the conformity of his behaviors and words, and cutting off some entertainment expenses in order to save more.

The second part describes the development of the ancient Chinese management thoughts during the periods from Wei, Jin, South and North dynasties to Sui and Tang dynasties. The findings of this part suggest that the main academic study at that time focused on the relationship between nature and human beings. Thus, the management psychology thoughts evolved forward to a new era.

Governors at the beginning of Han dynasty regarded the New Taoism of HuangLao as the guideline of ruling the country and comforting its people. Schools such as Confucianism and Legalist were gradually mixed in the development of each school. For instance, the book Huinanzi, which inherited and developed the Universe-Forming Theory and gave new explanations to the Doctrine of Noninterference, holds the belief that 'WuWei' doesn't mean doing nothing at all, but doing things while following its rules. On the other hand, the book absorbed a great deal of all kinds of thoughts from Confucianism, Legalist, Yinyanism and other academic schools of thought. Thoughts like Govern the Country by Gentleman's way, Rites and Regulations were highly appreciated. Scholars like Lu Gu, Jia Yi assimilated the distillate from various schools of thought and actually developed viewpoints about leader's features, leader's Influence, talents selection and orientation, management strategy. They were the ones who had had a great impact on the governors' ruling policies during those periods.



During the time of the reign of Emperor HanWu , Dong Zhongshu put forward the thought of three policies for nature and human. Then people started to solely respect the Confucianism. As a result, Dong became the most important scholar of neo - Confucianism in Qin and Han dynasties as well as the founder of the Centralized Autocracy Theory. There are some profound analyses on Dong's management psychology thoughts, especially on his leadership psychology thoughts regarding leader's self - cultivation, how to exert their influence effectively, how to select the proper person and fully encourage them, and so on. The research on Wangchong outlines his materialistic standpoint as 'opposing to hypocrisy, turning against boast, laying stress on effectiveness'. His statement on talent psychology pointed out that the disadvantage lying in the system of official selecting and placing, should call for a management style of 'telling truth from the facts'. Liushao's book Biography of Well-known Figures contains a lot of human resource management psychology thoughts. Our research shows that the work had a analysis on various types of talents, introduced the methods of identifying and selecting talents. The metaphysics was popular at the time, which was practiced with the theory of following nature without defiance and rational existence of social estate system, mixing the thoughts of Confucianism and Taoism, remedying the weakness of the theology in neo - Confucianism. Works of Strategists like LiuTao, JiangYuan, SanLve in Han and Wei have exclusive descriptions on Management By Objective, Management by Environment and management psychology thoughts as decision - making process and psychological assessment. In Sui and Tang Dynasties, feudalism was gradually stepping into its maturity stage, management psychology thoughts made a rapid progress with dynamic interaction among Confucianism, Buddhism and Taoism, and showed meanwhile great concern on the spiritual pursuit. The research on management psychology thoughts in the works of famous thinkers and writers like Hanyu, Liu Zongyuan in Tang dynasty reveals the enrichment of related thoughts on the importance of talents and the methodologies to recognize, place, encourage and train them. In this part, there is a research on the work ZhengGuan Political Essence. The book emphasizes the positive attitude and practical spirit, as well as a peaceful life style of following the nature rule, human resource management psychology and psychology thoughts on leadership.

The third part mainly discusses the management psychology thoughts in Song and Ming dynasties. During this period, Confucian school of idealist philosophy which mainly focused on 'Li Qi', 'Li Yu' and 'Xin Xing' absorbed the thinking modes and the world view of Buddhism and Taoism. It brought the diverged of Confucian Classics and its branches afterwards to its end, while set up an integrated new Confucianism system. It was a landmark. Since then, Chinese management psychology came to a stage of steady improvement.

In this part, the thoughts of certain important figures and works are discussed in regard



to the theme of 'being sage inside, realizing oneself outside'. For example, scholars like Zhuxi, Lu Jiuyuan, Wang Shouren played a dominant role in the late period of the Chinese feudal society. They persuaded people to realize virtues through the way of self-actualization. If people can reach the realm by investigating the reason of everything for the purpose of extending their knowledge to the utmost, then comes the situation of well being like 'family being well ordered, state being well governed and the whole world being in peace'. The fundamental way of self-actualization is to keep the rules of nature while perish the desires. The school represented by Wangchong, Chenliang and Yeshe criticized the thoughts above. Instead, they inherited and developed the Xuzi's notions about actualization, advocated following 'Li' and making it a criterion and letting everything go around it.

The part has also complied the management psychology thoughts of other important characters and works. For instance, Wang Anshi mentioned 'Damingfadu' and 'zhongjianxiancai' in the same breath, gave systematic comments on talent training, nurturing, selecting and using. There are also a great deal of valuable descriptions on the themes like debate on virtues and talents, the essential points in talent selection, the ways of talent employment, methods of talent identification and strategies of talents training in the history book of *ZiZhiTongJian*. In the Ming dynasty, Zhu Yuanzhang annotated *Taoteking*. He pointed out that it was wrong to understand the work from the perspective of nurturing according to the religious doctrine. Instead, he insisted upon recognizing and comprehending it from the point of ruling a country. Some works of Strategists like *TouBiFuTan* and *ZhenJi* put arms and military skills in the first place so as to enhance their function as military force and intimidation. In addition, The works also recognize the difference of personality and competence in talent selection, training and organization at the military base. Works in this period like *RongZhaiSuiBi* and *CaiGenTan* also exhibit adept management intelligence and tactful arts of life.

The fourth part mainly focus on the management psychology in Ming and Qing dynasties. It explores the management psychology thoughts of groups of scholars with lofty ideals at that time like Gu Yanwu, Huang Zongxi, Wang Fuzhi, Yanyuan and Yeshe. We might draw following conclusions from our study: During Ming and Qing dynasties, since the feudal society entered into its downfall, capitalistic economy started to germinate, as a result, the school advocating practice was promoted, and Song Ming philosophy was opposed to. The development of ancient Chinese management psychology thoughts began to take a new trend of pursuing truth and practical use.

For example, Huang Zongxi advocated studying nature science and technology, he even designed a plan to make a reform to change the feudal privilege system. The plan included many proposals, such as parliamentarism, adopting an ancient farmland distribution system,



developing both business and industry, reforming the coinage, and so on. Gu Yanwu studied the historical books and drew lessons from dealing with the nature, irrigation, mineral resources, transportation and geographical changes, etc.. Yanyuan spoke highly of practical learning, he thought that scholars' principal task was not to bend their heads over books, but to devote themselves to the career of governing the country, serving the society and the citizens. Wang Fuzhi broke away from the theological view of history, and systematically generalized the Chinese traditional culture, especially Confucianism. And he also touched upon everything important in the field of management psychology and was then regarded as a great person in the ideology in the period.

The same ideology is reflected from another book Thirty - six Stratagems of a Strategist. The book was written on basis of the changes of Yin and Yang from the Book of Changes. It concludes notions and strategies related to the 'Full Win' policy, which were deduced from the transformational relationships between hard - soft, odd - even, attack - defiance, one - other, subjective - objective, work - ease, etc.. At the same time it greatly enriches the thoughts of management by objective in ancient China.

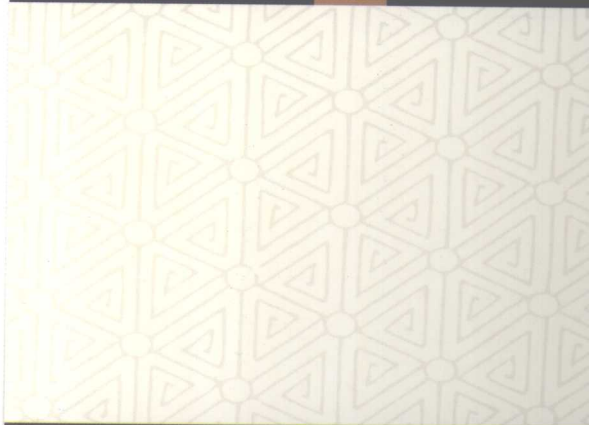
This part summarizes the management psychology thoughts of Kangxi, Yongzheng, Qianlong, the representatives from the ruling class in Qing dynasty. Ruling strategies like showing great respects for Confucianism and Taoism, and citizen - oriented policies were extremely stressed with regard to management psychology, and arguments like the leader's competence, distribution and control of the power of leaders, relationship between the sovereign and his subjects.



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管理心智

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