

教育部高校工商管理类教学指导委员会 双语教学推荐教材

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工商管理经典教材·核心课系列

Administration Classics

商学精要

BUSINESS

(第5版)

ESSENTIALS (Fifth Edition)

[美] 罗纳德·J·埃伯特 (Ronald J. Ebert) 著
里基·W·格里芬 (Ricky W. Griffin)
李治德 宁建新 改编



中国人民大学出版社

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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 and 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。

徐二明

中国人民大学商学院

2005 年 1 月

改编者的话

《商学精要》是为入门阶段的商科学生和其他有志于学习商科的人士专门准备的经典教科书，第5版是该书的最新版本。该书的五个版本都是由国际知名的商学教育专家罗纳德·埃伯特和里基·格里芬编写的。长期以来，各版本在北美和世界其他地区的大学里被广泛用作商科专业入门阶段的必修课教材。

在这五个版本中始终坚持的一个观点是，让书中的内容与时俱进，力求反映当今商界发展的最新动态、面临的最新问题和成功的最新经验。第5版仍然继承了这个传统，并将这个传统表现得更加彰明较著。当今的世界正经历着前所未有的迅猛发展和各种激烈变化。一方面我们必须考虑如何解决从未遇到过的问题，应对从未经历过的环境与形势，以便在前人从未涉猎过的领域中发现和探索生存与发展的道路；同时，商业也在以前所未有的方式影响着我们的社会、生活和文化，推动着我们时代的经济发展。《商学精要》第5版在吸收前四个版本经验的基础上，突出当代商务的最新信息和实践经验，突出反映21世纪国际政治、经济、金融、产业、企业、商务、信息等方面与商学理论和实践密切相关的最新动态，以及在全球化背景下商务管理中出现的员工管理、组织文化、道德伦理、法律等一系列最新问题。

作为教材，本书的另一个特点是运用大量最新案例生动地说明每一章节的主要内容。首先，各章的核心案例被分为两部分，分别放在各章的开始和结尾处。这样，核心案例不仅为学习者指明了学习方向，也为学习者总结了学习目标，把贯穿一章的核心内容有机地组织成整体。章末的“问题与练习”（QUESTIONS AND EXERCISES）则以问题的形式帮助学习者综合理解和掌握重要知识点，其中，“问题分析”（Questions for Analysis）引导学习者结合商务管理中的具体问题深入地理解和分析本章的知识要点，并形成自己的见解；“应用练习”（Application Exercises）要求学习者运用本章内容来判断、分析、说明或解决一些商务实践中的问题。这种知识点提要与练习方式突出了商学理论对商务实践的指导意义，表明了商务实践与经验对商学理论的现实引导作用，强调了学习者在学习商学专业知识的过程中需要注重培养运用商学知识的心智、技能和综合能力。

上述特点和优点在这个改编版本中都完整地保留下来；同时，改编版在不影响原书教学目标与组织结构的情况下，对原书做了一些删减，目的是为了更好地适应国内商学教学的实际需要，方便读者使用，减轻读者的经济负担。改编版所做的删减主要有四种。第一，删减了一些图片，因为这些图片不直接说明正文内容，却占据了较大篇幅。第二，删减了部分练习。第三，删减了书末的参考文献条目和索引表。第四，删减了两个附录，这两个附录分别是关于财务管理和商务法律环境的介绍。由于商科专业的本科课程中专门开设了财务管理和商务法律方面的课程，因此没有必要在这里重复介绍有关知识。删减这些内容既不影响教学，也可以减少篇幅和降低成本。为方便读者查找，书末新增了术语索引。

用改编的方式向我国读者介绍原版教材比直接使用原版教材有若干优势。例如，用中、英文列出重要术语使读者能从两种语言的角度去理解这些关键词汇，有利于双语教学和自学，也能使读者体会到发达国家原汁原味的教材模式，并加强中西方语言文化的沟通与交融。但是，改编原版教材为双语教学之用毕竟是近几年的事，需要进一步地探索和积累这方面的经验。欢迎大家对我们的工作提出意见和建议。

作者的话

在思考这一版的修改方案时，我们深切地感受到，在多年建立起来的传统商务实践领域中已涌现出大量的新生事物。看到这样的情况，审视当今的商务实践，我们还真得问这样一个问题：“对商学来说，究竟哪些是新事物，哪些不是新事物？”例如，为了在今天飞速发展的市场上获得长期效益，新的投资策略对传统的投资原则提出了极大的挑战。彼得·L·伯恩斯坦（Peter L. Bernstein）在评论股票市场的长线投资时说：“我们现在到了一个可笑的时期，长线投资的收益没法预料了……以前预示投资收益的种种迹象在如今的投资环境中什么都说明不了。算了，别去搞长线投资了。在今天，长线投资算是跟投资这件事没关系了。”

我们并不认为伯恩斯坦先生真的在提倡投资人完全放弃长线投资策略；相反，他们是在研究和认识非传统的方法，从而使自己适应新的投资环境和新的投资目标。其实，在商务的各个领域都在发生这样的事情：成功的商业人士认识到，“新”与“旧”的对立并不是最关键的问题；最关键的是要知道如何将二者的优势结合起来，以适应商务环境的变化。历史告诉我们，大事件的发生会加速社会环境的变化，而这些变化会改变我们的生活方式、工作方式，以及我们面对未来的方式。此时，首先要摆脱的商务困境是如何在未知的道路上探索生存和发展的途径，同时为员工、业主、供应商和顾客提供某种稳定的环境。问题的答案就在于企业需要保持一种适应各种变化的组织文化；这种文化把变化本身视为一种生存的方式，并且把变化的过程融入企业的战略。现在，商界的领先企业比以往任何时候都知道如何预测新的发展趋势，也知道怎样迅速而又富于创造性地应对这些新趋势。

因此，对处于入门阶段的学生来说，认识企业、政府、公民的共同作用如何影响不同社会环境中的商务营运方式是极有价值的。商科专业的学生需要掌握关于商务各方面如何运作的基础知识和关于商务成功环境的各方面的基础应用知识。需要说明的是，我们的确偶尔要面对破坏性情况，有时甚至是暴力情况，但是我们的商业还是繁荣了、发展了。企业在经历种种变化的同时也在逐渐适应这个不断变化的世界；游戏的规则在整个商务环境中和所有商务实践中都在不断变化。现在，不同的公司可以一俟通知就走到一起搞联合项目，项目完成后又立刻恢复成自己公司的原状，成为相互独立的公司（常常是相互竞争的对手）。雇员与公司领导交流探讨对工作的新设想——如何做这项工作，谁来分派工作中的角色和安排布置工作。现代通讯技术拆除了人们之间地理距离的障碍，在组织有序的团队里，即使队员们分散在世界各地，也能够像聚在一个房间里那样有效地交流和共享信息。

今天，几乎在商务实践的每一方面，从顾客和供应商的关系到雇员和股东的关系，都有许多新方法。很多新方法都超越了传统的商务实践方法，超越的速度之快令人瞠目，也往往带来更好的竞争效果。新方法的出现也引出了一系列独特的法律和伦理问题，这又对人们的商务领导力、商务创新力和商务判断力提出了挑战。面对这些新形势和新问题，我们二人作为作者和教师，在修订《商学精要》第5版时有一种明显的紧迫感：我们手中的这个版本必须抓住时代的这些特色，反映不断发展的商务实践中那些令人激动的方方面面。

罗纳德·J·埃伯特
里基·W·格里芬

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FROM THE AUTHORS

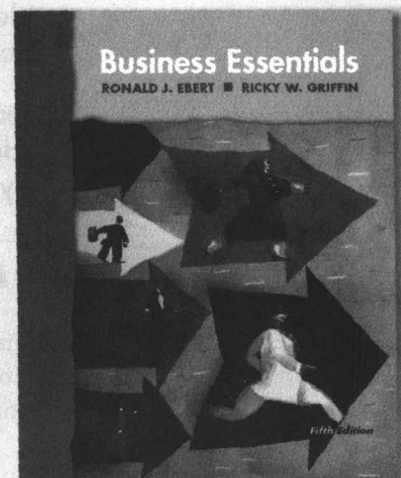
RON EBERT and RICKY GRIFFIN

As we gathered our thoughts for preparing this revision, we were impressed by the vast flow of new developments taking place alongside traditional, long-established business practices. In assessing the landscape of current practices, we often found ourselves returning to the question, "What's really new in business, and what's not?" New investment strategies, for example, are seriously challenging the traditional principle of investing for long-term results in today's fast-paced markets. Commenting on long-term investing in the stock market, Peter L. Bernstein recently remarked, "We've reached a funny position where long run doesn't work. . . . the long-run evidence doesn't fit circumstances as they are today. Forget investing for the long haul. The long run, right now, is irrelevant."

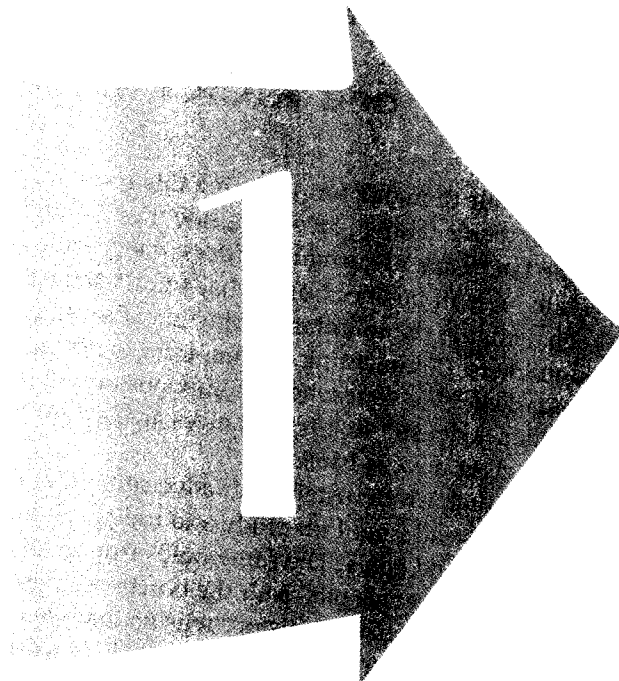
We suspect that Mr. Bernstein isn't advocating that investors forget about long-term strategies altogether but, instead, that they study and understand alternative approaches, so they can adapt to new conditions and goals. The same holds true in all areas of business: Successful practitioners recognize that "new versus old" isn't the crucial issue so much as how to combine the best of both as circumstances change. History tells us that we can expect accelerating changes from dramatic events that will reshape the ways we live, work, and prepare for the future. The foremost business dilemma is how to provide some sort of stability—for employees, owners, suppliers, and consumers—while steering through new uncharted paths. The answer lies in businesses maintaining an adaptive organizational culture, one that expects change as a way of life and builds processes for change into its business strategy. More than ever before, leading businesses have learned how to anticipate new developments and how to respond quickly and creatively.

Therefore, for our introductory business students, there is great value to be gained from understanding how business, government, and citizens, together influence the ways that business is conducted in different societies. Students need to gain a fundamental working knowledge about every aspect of business and the environment in which business prospers. And make no mistake about it, we have prosperity despite occasional, sometimes even violent, disruptions. Through it all, businesses continue to adapt; the rules of the game are constantly changing throughout the business environment and across the range of business practices. Nowadays, companies come together on short notice for collaborative projects and then, just as quickly, return to their original shapes as separate (and often competing) entities. Employees and companies share new ideas about work—about how it gets done, about who determines roles and activities in the workplace. With communications technologies having shattered the barriers of physical distance, tight-knit teams with members positioned around the world share information just as effectively as groups huddled together in the same room.

In nearly every aspect of business today, from relationships with customers and suppliers to employees and stockholders, there are new ways of doing things, and a lot of them are surpassing traditional business practices, with surprising speed and often with better competitive results. Along with new ways come a host of unique ethical and legal issues to challenge the leadership, creativity and judgment of people who do business. For all of these reasons we, as authors and teachers, felt a certain urgency when it became obvious that, in revising *Business Essentials* for its fifth edition, we had to capture the flavor and convey the excitement of business in all of its evolving practices.



PART I: UNDERSTANDING THE CONTEMPORARY BUSINESS ENVIRONMENT



After reading this chapter, you should be able to:

- 1** Define the nature of U.S. *business* and identify its main goals and functions.
- 2** Describe the different types of global *economic systems* according to the means by which they control the *factors of production* through *input* and *output* markets.
- 3** Show how *markets, demand, and supply* affect resource distribution in the United States.
- 4** Identify the elements of *private enterprise* and explain the various degrees of *competition* in the U.S. economic system.
- 5** Explain the importance of the economic environment to business and identify the factors used to evaluate the performance of an economic system.

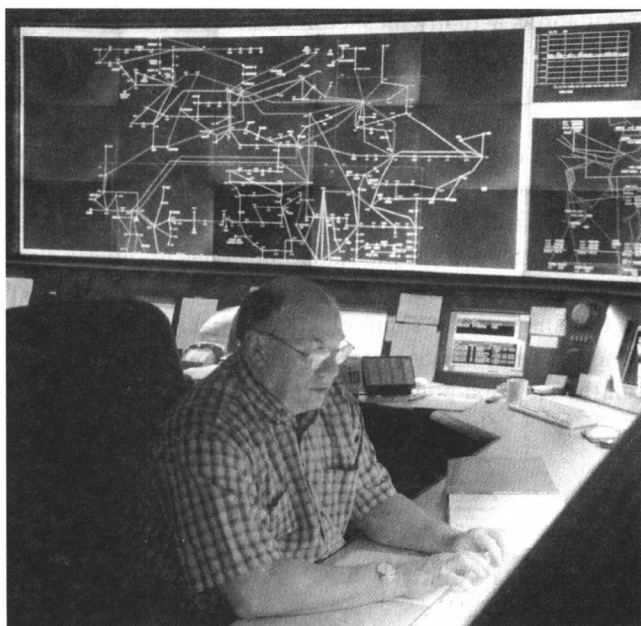
MEGAWATT LAUNDERING AND OTHER BRIGHT BUSINESS IDEAS

The final chapters haven't been written yet, but the Enron saga has already become a part of American business lore. As just about everybody knows by now, Enron Corporation is the largest U.S. company ever to fail (also managing to bring down its lead

UNDERSTANDING THE U.S. BUSINESS ENVIRONMENT

“It never occurred to us that something so vital to society would be treated like a casino.”

—David Freeman, California energy official, on the tactics of power companies in the state’s power shortage



auditor, Arthur Andersen, in the process). Enron is no doubt destined to figure in dozens of case studies on such themes as fraudulent financial practices, corrupt corporate strategy, and lawless leadership.

The Enron story also throws light on some of the basics of the capitalistic free enterprise system—

namely, supply, demand, and freedom of choice. As we will see, Enron managers exploited the relationships between supply and demand to an almost unprecedented degree in their quest for riches beyond legitimate profit.

This chapter of the Enron story opens in California. Like most states, California had long regulated public utility companies. A state agency dictated how much energy was produced and the prices at which it was sold. In the process, the profits of utility companies were indirectly controlled as well. Regulation also meant that supply and demand were