



管理学基础

(注释版)

**Management:
the Basics**

(英) 摩根·威策尔 著



原理篇



经济科学出版社
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“打开经济学之门”

原版注释基础读本

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刘清江 吴鹏昊 译注

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策划人语

《“打开经济学之门”原版注释基础读本》系列丛书是经济科学出版社适应新形势下高校双语教学需求的精心策划之作。

秉承经济科学出版社“繁荣经济科学，宣传服务财政”的办社宗旨，丛书的策划者从中国读者的英文阅读实际水平出发，从海量的国外教材和教辅书中挑选了广义经济学的八本入门读本，内容涵盖经济学、管理学、金融学、营销学等门类，编写体例分为原理篇、概念篇和人物篇三大类，原理篇旨在介绍该学科最基础的理论框架；概念篇则一一介绍该学科最核心的概念；同时，丛书的另外一大创新是：还尝试着加入了人物篇，例如，《管理学基础——人物篇》介绍了自文艺复兴时期以来的50位著名的管理学大师的生平和思想。丛书力图通过原理、概念、人物的多角度、多层面呈现，为初涉经济学领域的青年学子和所有非经济学专业的读者们立体地勾画出一幅完整的学术图景，而且是原汁原味的呈现。

《“打开经济学之门”原版注释基础读本》系列丛书被设计成开放式结构：我们将根据读者的反馈逐渐地出版更多的切合中国读者需求的好作品。丛书知识性和趣味性并重，英文通俗易懂，适合大学本科低年级学生、高职高专学生阅读。

丛书的初衷是出版中文翻译版本，然而在漫长的试译、翻译、校译过程中，一方面是深感语言传达的艰难，另一方面是考虑到时至21世纪，中国读者的英文阅读水平早已经超越了出版者的预期，读者对译文标准性的挑剔也成为出版者的新高度，从而逐渐萌发了出版注释版的想法：为读者提供全英文的读本，只加上少量的中文注解。通过与国外出版者艰难的谈判，最终成功地说服了外方，获得了在中国出版英文注释版的独家授权。为此，我们付出了超出预期好几倍的

辛劳。

然而，这仅仅只是开始，读者的接受和喜欢才是我们最终的目标。希望读者喜欢我们的创意，为我们提供更多的创意！

2011 年 11 月

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WHAT IS MANAGEMENT?

什么是管理

You read a book from beginning to end. You run a business the opposite way. You start with the end, and then do everything you must to reach it.

(Harold Geneen)

读一本书是从头到尾，而做生意却沿着相反的路。你带着目标开始，然后尽力去实现。

——哈罗德·吉宁

Management is the co-ordination and the direction of the activities of oneself and others towards some particular end. For the purposes of this book, we take this end to be the running of a business, but it should be recognized that management exists in other organizations and fields of activity as well. The provision of health care and education, the running of government departments and the armed forces, and the operation of charitable organizations, for example, all require some degree of management. But because the problems and tasks of management in those other organizations are in many ways quite similar to those of businesses, we will take the commercial business as our main focus.

The word 'management' is quite an old one. Its origins lie in the Latin *manus*, meaning literally 'by hand' but also 'power' and 'jurisdiction'. By the later Middle Ages the Italian word *maneggiare* had appeared, referring to any official in

charge of a production facility, such as a cloth manufacturing workshop, or an overseas trading office. This word evolved into the French *manegerie* and then the English 'management', which is first recorded in a document of 1589. By the end of the seventeenth century, the words 'manager' and 'management' were in common English usage, and it was recognized that business organizations employed people whose primary job was to supervise the activities of others.

Although managers have existed for a long time, the idea that 'management' can be studied and taught is a relatively new one. Not until the very end of the nineteenth century did this idea begin to develop in any detail. The scientific revolution of the nineteenth century pervaded all walks of life, with an ethos that life could be improved if its various aspects could be studied and analyzed in detail. Studies of management began first in the workplace, with engineers like Frederick Winslow Taylor, Harrington Emerson and Henri Fayol developing detailed formal theories of management, and then in academia, with the establishment of business schools in the USA at Dartmouth College, the University of Pennsylvania, and then most famously at Harvard University in 1908. From there the formal study of management grew steadily, developing an immense body of theoretical and practical knowledge.

The size of this body of knowledge—the online bookseller Amazon. com lists 32,000 books on management, and the number of journal articles runs into the millions—can be more than a little daunting for the first-time student. However, many of these books and articles are highly specialized, looking only at one small part or aspect of management. Although valuable contributions to the theory and practice of management, these will be difficult if not impossible to understand without at least some background knowledge of what management is and how it functions.

The aim of this book is to provide some, at least, of that

background knowledge by exploring the 'basics' of management. Having said what management is, we should now explain what we mean by 'basics'. Although much of management is complex and technical, it is also possible to reduce the study and practice of management to a relatively small number of fundamental ideas and concepts. These 'basics' are things that are part of all business management, no matter where the business is or what kind of business it is. For example, management has to consider the following:

- Every business needs a set of goals and a strategy for getting there. Without goals and a coherent strategy, much effort will be wasted.
- Every business needs an organization which will pull together resources and people to meet those goals.
- Every organization is made up of people, whose work needs to be guided and co-ordinated. These people all have their own needs and aspirations, which must be accommodated within the organization.
- Every business requires customers if it is to sell ~~its~~ products and services and earn money.
- Every business needs to have something to sell, products and services, if it is to have customers.
- Every business has to manage its money, both that received as income from customers and that put into the ~~business by~~ investors.
- Every business depends on knowledge; without it, people cannot be managed, customers cannot be found and products cannot be made.
- Every business is to some extent affected by culture, both the culture that develops within the organization and the national or local culture of the environment within which it operates.

It must be added that these 'basics' do not create themselves. Strategy does not emerge out of nowhere; someone actually has

to sit down and decide what it is to be. Organizations do not build themselves; someone has to provide the catalyst for them. It is these sorts of basic tasks that form the roles and responsibilities of the manager.

As expressed above, these roles and responsibilities look simple. And at heart, they are. However, just because something is simple does not mean that it is easy. To say that businesses need customers is to state a simple truth; to actually go out and get customers is another matter. Fortunately, there are other 'basics' that we can use to guide us as well. In terms of customers, we can start with a fundamental premise that all customers have needs and wants that they are trying to satisfy. It follows that if we as managers can understand those needs and wants, then we can design products and services that will attract customers and persuade them to buy from us. The study of marketing offers many different ways of doing these things, but it all boils down to the same thing: identify potential customers, learn their needs, then make products and provide services that they want at a price they can afford and that will make a profit for the company. Keeping this basic principle in mind will help make the rest of the study of marketing seem much more clear.

Each chapter in this book goes on to explain the basics of the various major disciplines of management—strategy, organization, human resource management, marketing, production and finance—and then the basics of a few all-embracing influences like knowledge and culture. Before we get into these, however, let us look at a few 'basics of the basics', concepts that underpin all the more specific terms which are used throughout the book.

WHAT MANAGERS DO

管理者该做什么

The above shows what managers are responsible for, but

what exactly do managers do on a day-to-day basis? The problem is that when asked, managers themselves often have trouble describing what it is they do. Researchers such as Henry Mintzberg and Warren Bennis, who have made detailed studies of how managers do their work, speak of the *ad hoc* nature of management and how managers spend much of their time dealing with situations as they arise rather than working through structured lists of tasks and processes. So, any description of what managers do has to be treated with caution, because different managers do different things at different times.

A number of attempts have been made to draw up lists of tasks that managers carry out. The French engineer Henri Fayol divided managerial work into five categories: (1) forecasting and planning, (2) building organizations and systems, (3) directing subordinates, (4) co-ordinating various activities across the business, and (5) guiding these activities so that all parts of the business are working towards the same end. One of the most famous management writers, the American Peter Drucker, also provides five categories: (1) setting objectives, (2) organizing, (3) motivating and communicating, (4) measurement of work accomplished and (5) developing people. There are a number of similarities in the two lists, although there are a few differences as well. Neither list should be taken as absolutely complete, but both give an idea of the nature of managerial work.

At an even more basic level, all the activities described by Fayol and Drucker can be reduced to a few building blocks. In any given situation, what managers ideally do is the following. First, they analyze information and understand what needs doing. Second, they plan what is to be done and decide or agree who will do it. Third, they co-ordinate the resources necessary to carry out the plan and ensure that it is being carried out. Fourth, they look at the results, decide whether the plan was successful and, if not, what further action needs to be taken.

Again, this is simple, but it is not easy. This is particularly the case given that most managers work under severe time pressures and are nearly always doing more than one thing at a time. A dozen or more issues may command their attention simultaneously. There may not be enough time for detailed analysis and planning: snap decisions made in a few seconds may be necessary. It is for this reason that many writers caution against an overly rational approach to management. Another American writer, Chester Barnard, believed that the key traits of a successful manager were not so much the ability to reason scientifically, but things like feeling, judgement, sense, proportion and balance. Another of the basics of management, then, is that common sense and judgement are critical to the role.

THE PURPOSE OF MANAGEMENT

管理的宗旨

Managers do these things, of course, not because they are ends in themselves, but because the business requires it. Let us briefly state two concepts (we will develop these concepts in more detail later in the book, in chapters 2 and 7). First, every business has to have goals. These can be many and various, and can include growing or increasing sales, growing or increasing the size of the market, providing more value for shareholders, providing greater benefit to consumers, and so on. A business must have such goals; without them, efforts lose focus and the business will no longer be able to compete with more focused and directed rivals.

Second, although the reaching of goals is the responsibility of managers, and they will probably also have primary responsibility for deciding what those goals will be, unless managers themselves own shares or are partners in the business, they do not own the company. It is not theirs; it belongs, legally and

morally, to the shareholders who have provided the money to establish the business and allow it to grow. Managers are stewards or custodians. They work for the benefit of the company, and are rewarded for their work with a salary and other benefits. But they must not act in a way which is against the interests of the owners of the company. If they do so, they may be acting unethically, and in many jurisdictions they may also be guilty of offences against the law. For example, in the late 1990s senior managers at Enron and other companies took decisions which increased the share price of those companies, thereby enriching themselves through bonuses and share options, but which proved to be very detrimental to the companies themselves and their owners. Some of those managers have now been prosecuted.

The purpose of management is to carry out the tasks needed to enable the business to reach its goals. But managers are also usually charged by the shareholders with setting those goals themselves. They thus have a dual set of responsibilities: to set realistic goals which the company can meet and which will benefit the owners of the company, and then to ensure those goals are met as planned.

DEFINITIONS 定义

Some of the following terms will be found throughout this book, and an understanding of them will help make later concepts seem more clear.

Capital Capital usually means money invested in the business, although some theorists talk of the organizational strengths of the business and its accumulated knowledge as forms of capital. Capital is an 'input', and is necessary to transform resources (below) into finished goods and services which can be sold to customers. For example, capital is necessary to buy machinery and set up a factory in order to make

cars.

效果

Effectiveness Effectiveness is a measure of how well a business—or a person—is meeting its goals. If the goal is to provide high-quality products that customers want, and the business is succeeding in doing so, then the business is working effectively. If products are poor and customers do not want them, then the business is not being effective.

效率

Efficiency Efficiency is a measure of how well a business—or a person—is using resources. If money and materials are being used well and there is little waste, then the business is working efficiently. If costs are too high or raw materials are being wasted, then the business is said to be inefficient. Exactly what constitutes efficiency varies from business to business and the kinds of products or services being produced.

企业家精神

Entrepreneurship Entrepreneurship is a collective term for a set of behaviours and actions associated particularly with the setting up of new businesses, but sometimes found within previously existing organizations as well. Entrepreneurship has strong connotations of creativity and risk-taking; people described as entrepreneurs tend to be both highly imaginative and willing to accept higher than usual levels of risk. Management academics do not always agree that entrepreneurship should be included as part of management, as management is often seen as aiming to control and limit risk. However, companies tend to appreciate entrepreneurial qualities in their managers.

环境

Environment Environment, in business terms, is the place, time and culture in which the company operates. Many forces in the environment will have an effect on the business, including competition (how many other companies are in the same or similar business, and what are they doing), regulation (how does government treat business and what laws govern its conduct), economics (how strong/weak is demand for goods generally) and more general social issues such as concern for the physical environment, social justice and so on. The factors

in the environment are nearly always outside the control of managers, and they are often forced to respond to these at the same time as planning for the business itself.

Growth Growth is a general term which can mean either 增长 expanding the size of the business (numbers of employees, volume of goods made and sold) or the value of the business, that is to say, the value of its assets and the work it is carrying out. Chapter 7 gives more on how the value of a business is calculated.

Income Income, or revenue, is money the business 收益 brings in through the sale of its products and services. This is one of two ways money can be brought into a business; the other is through invested capital (see above).

Innovation Innovation can be the development of either 创新 new products and services to sell to customers, or new ways of making products and services that reduce costs or increase efficiency (or both). Innovation is in turn dependent on knowledge (see Chapter 8).

Leadership Leadership is often distinguished from 领导 management, in that the main purpose of the leader is to set general goals and then inspire the rest of the organization to move towards those goals; detailed planning and execution are not properly the province of the leader. Leadership is, however, necessary in some aspects of management, particularly in the management of change (see chapters 3 and 9).

Profit Profit is the excess of income over expenditure. If 利润 a business is bringing in more income than it is spending, then it is making a profit; if not, then it is making a loss. Remember that money invested as capital does not count as income, and is not included in the calculation of profit.

Resources Resources are what a business requires in 资源 addition to capital in order to make and sell things. Resources include raw materials and parts from which products are built; human labour and knowledge to make the products; and tech-

技术

nology (see below) to assist in making and delivering them. It is sometimes said that resources are only 'potential', and not realised until capital is provided as a catalyst to turn them into actual goods and services.

Technology Technology includes mechanical and electronic devices which are used to design, make and deliver products and services to customers, or to support other organizational tasks such as communication and co-ordination. Strictly speaking, any artefact used by people at work, such as a hammer or a saw, is technology. At the time of writing, the most widespread and powerful form of technology is the desktop or laptop computer linked to the Internet.

价值

Value Value is what the business puts into the products and services it makes and sells. A collection of parts or a barrel of raw materials has a certain value on it; the business, by combining labour, parts, materials and technology, produces a finished product or service that has a value greater than the sum of all those parts. It is this value that attracts customers (who otherwise would buy the parts and make the product themselves). The process of building in value by the business is known as the value chain.

With these terms in mind, let us now move directly to the first function of management, the setting of goals and the development of strategies for meeting them.

摘要

- 管理是指为实现既定目标而对自己和他人的活动进行的协调和指导。
- 管理的宗旨是执行使企业达到它的目标而需要的任务。
- 尽管在许多方面高度复杂, 管理仍然可以浓缩成简单的基本思想和概念, 即基础知识。这些基础知识存在于所有企业管理中, 无论企业在哪里或者是何种企业。

SUGGESTIONS FOR FURTHER READING

延伸阅读

Bennis, W. , *Managing People is Like Herding Cats* , Provo, UT: Executive Excellence Publishing, 1997.

An easy read and well worth a look; despite its title, the book is about management generally, not just managing people.

Drucker, P. , *Management: Tasks, Responsibilities, Practices* , New York: Harper & Row , 1974.

A classic by one of the all-time great management gurus, this is a big book and takes a while to get through. The definitions of management, however, remain influential. Alternatively, try the shorter essays in Drucker's The New Realities (New York: Harper & Row , 1989) , especially those on management and the liberal arts.

Fayol, H. , *General and Industrial Management* , trans. I. Gray, New York: David S. Lake, 1984.

An early attempt (the book was first published in 1917) to construct a general theory of what management is, this book has indirectly influenced much modern thinking about management.

Grove, A. , *High Output Management* , New York: Random House, 1983.

An attempt to explain what management is and what managers do in simple terms, by a very successful senior manager. Grove's other book, Only the Paranoid Survive, is also worth reading, but this is a very good introduction to the subject.

Mintzberg, H. , *The Nature of Managerial Work* , New York, Harper & Row, 1973.

This was a revolutionary book in its day, and still runs counter to much formal management theory. The picture of how managers actually do management, however, remains a compelling one.