高效
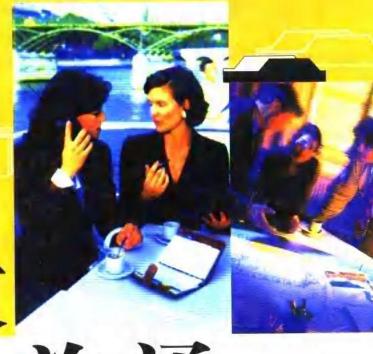# 商务沟通

（英文版·第7版）

Effective Business Communications

(SEVENTH EDITION)

赫塔 A. 墨菲
(Herta A. Murphy)

赫伯特 W. 希尔德布兰特
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简 P. 托马斯
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MBA 专业精品教材

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机 械 工 业 出 版 社

凡购本书，如有缺页、倒页、脱页，由本社发行部调换

出版者的话

　　在全球经济一体化的激烈竞争格局中，中国正处于前所未有的经济与产业结构调整与转型的关键时期。飞速发展的社会与错综复杂的变革要求我们的经济与管理水平有一个飞跃。

　　为了能让读者系统地学习、借鉴国际上先进的管理理论、方法和手段，机械工业出版社从一些世界著名出版公司引进了一批一流品质的经济管理名著，组成了这套《世界经济管理文库》。其中所选图书均为当前国际上最为流行和权威的教材，大部分多次修订重版，有的多达十几版。作者都是哈佛、芝加哥、斯坦福等著名商学院的教授，使您足不出国，便可领略世界知名学府的文化精粹。

　　为了给中国的MBA教学提供一套完整的MBA系列教材，继与清华大学经管学院、加拿大毅伟管理学院合作共同策划出版的《国际通用MBA教材》与《国际通用MBA教材配套案例》丛书之后，近期，我社又和中国人民大学工商管理学院联手，共同策划本套《MBA专业精品教材》丛书。《国际通用MBA教材》涉及了所有的MBA核心课程，而本套《MBA专业精品教材》包括了MBA各个不同专业方向的全部课程及选修课程，它为各类工商管理学院培养更适

合社会需要的专门管理人才提供了丰富的教材资源库。全套丛书按专业分类，包括经济学、战略管理与组织、管理科学、财务与金融管理、会计、市场营销、商务技能等7大系列、60多个品种。

为了保持原作的原汁原味，这套丛书是以英文原版的形式出版的。这样可以避免因翻译而造成的歧义和出版时间的滞后，以便让读者能亲身体味原作者的精彩文风，并在第一时间洞悉经济管理学科各个领域的最新学术动态。

由于作者所处的社会、政治环境的不同，书中所述难免有不妥之处，请读者在阅读时注意比较和鉴别，真正消化吸收其中的精华，这也就达到了出版者出版本套丛书的目的。我们真诚地希望这套《世界经济管理文库》的出版，能为提高中国的MBA教学水平、推动中国的改革开放事业尽点绵薄之力。

机械工业出版社
1998年8月

序　言

　　当前，我国正处于知识经济初露端倪的时代,管理科学已经成为兴国之道，这给我国工商管理教育带来新的机遇与挑战。今年9月，又将有4000余名工商管理硕士生满怀着理想与希望进入各大学学习。一大批机关分流干部与经贸委系统的管理人员也要经过入学考试，在职学习并申请工商管理硕士学位。如何办好工商管理硕士（MBA）项目，为国家和社会培养出一批又一批符合市场需求的高质量的工商管理硕士，是全国可以授予工商管理硕士学位的56所院校所共同考虑与研究的问题。

　　在这里，MBA课程设计是成功的关键环节之一。记得在1984年的夏天，在加拿大国际开发总署的资助下，加拿大蒙特利尔大学、麦吉尔大学、康克迪亚大学以及魁北克大学蒙特利尔分校的教授们为中国人民大学的年轻教师讲授了管理经济学、会计学、管理学以及管理信息系统等MBA课程。在1985年夏天，加拿大的教授们又讲了另外4门MBA课程。当时，我并没有真正了解这些MBA课程与我过去所学的管理课程在实质上有多大的区别，也没有理解这些课程之间的内在联系，对于MBA核心课与选修课以及专业的主修与副修的区别与联系更是知之甚少，只是感

到加拿大教授的教学在内容和手段上与我们传统方式有较大的区别。1988年初，我到加拿大麦吉尔大学管理学院研修后，才真正对MBA的课程设计有所了解。此后，我先后到美国布法罗纽约州立大学管理学院与澳大利亚悉尼科技大学管理学院任教，又对MBA课程之间的内在联系有了更切身的体会。为了更好地了解美国MBA教育的新潮流，今年6月，我又随中国管理学院院长代表团考察了美国著名管理学院，出席了在芝加哥举办的"全球管理教育论坛会"。

综观北美的工商管理教育，在全球化、信息化与整合化的挑战下，实在是强调其实用性。纵然有的教授学者看重自己的象牙宝塔，勾画着纯理论的模型与理论。但在MBA的教育上，美国现有的750余所管理学院，特别是为美国管理学院联合会（The American Assembly of Collegiate School of Business, AACSB）所承认的300余所管理学院，培养目标明确，课程设计体现出其为社会需求与市场服务的宗旨，没有半点的含糊。美国著名的管理院校明确自己的教育使命，把视野放在全球与创新上，不断地迎接新的挑战，将所授的知识与社会的实际需求密切地结合起来，期望培养出真正的高质量的管理人才。例如，哈佛商学院明确地提出，该院的使命是"影响企业的实践"，培养全面的管理者（general managers），指出"我们要对企业的领导人在如何完成他们的工作上，即在他们如何提出与解决问题、确定战略方向和采取行动上施加重大的影响。同时，我们鼓励从实践中获得反馈，以便了解这些领导人如何在实践中应用我们的思想与知识，从而进一步发展与提炼我们的理论与知识。"麻省理工学院斯隆管理学院的使命"尊重有用的工作"，"为产业提供服务"，提出"作为管理教育与研究的世界领导者，麻省理工学院斯隆管理学院要培养能在快速发展与高度竞争的全球企业环境中获得成功的管理者。当前持续不断的技术创新已成为每个产业各个方面生产力和增长的关键，因此，这正是我们的时机。"伯克利加利福尼亚大学商学院从学院的成立始，就将教育的重点放在国际与企业家的舞台上，研究迅速发展的全球经济，为学生提供创新的学习机会。

根据上述的使命，美国著名的管理学院教育模式基本上有三大流派：一是以哈佛商学院为代表的培养全面管理人员的模式。斯坦福商学院的培养方式也是属于这种模式。他们培养的是全面的MBA，而不是专业化的MBA，通过

为学生提供必要的专业知识，使之毕业以后成为企业或其他组织中高层的有效的全面管理者，而不是职能部门的管理人员。二是以芝加哥大学管理学院为代表的培养专业管理人员的模式，其方向是为企业和组织培养专业的管理人员。斯隆商学院亦属于这种类型。三是介于两者之间的模式。美国多数管理院校采用的是这种培养目标，如伯克利商学院、西北大学的凯洛格商学院、洛杉矶加州大学、康乃尔大学管理学院以及杜克大学管理学院等。因此，各个管理学院在其课程设计上有着不同的战略重点。

哈佛商学院MBA课程设计的思路是"在日益增长的全球商务环境中，提高学生进行战略性与关键性思考的能力。"斯坦福商学院MBA课程设计的思路是"确保学生获得管理运行的知识，了解企业运行的经济、政治和社会环境，以及掌握作为管理者所必须的行为技能。"同时，"MBA项目也要设计成为一种可以终身学习的模式。这样，今天的学生将在今后贯穿其事业的复杂而快速变化的管理世界中有能力自如地作出调整。"斯隆管理学院MBA课程设计的思路是"对日益增长的市场全球化和密集的竞争正在改变工作性质的这一事实作出反映。"哥伦比亚商学院MBA课程设计的思路是"让学生掌握作为管理者能够在全球经济中进行有效竞争所需的基本学科与应用的职能领域。"

总之，这些学院在设计MBA课程时，首先，考虑的是学生要了解全球的竞争环境。其次，考虑学院所在的地域和环境。例如，哥伦比亚商学院极其强调该院处于纽约这个金融中心，其战略重点是国际、金融和纽约，培养出的学生要适合在国际大城市从事金融工作。因此，该学院在课程设计上就对财务与金融等相关课程有所侧重。再次，考虑学院自身资源的特点，如斯隆管理学院在技术管理上设置较多的课程，而哈佛商学院则在全面管理与竞争战略课程上有所突出。最后，要使学生获得相关的专业知识，了解研究与实践的前沿，如企业伦理、领导精神、创新、以及企业与政府关系等。

在课程设计的内容上，美国管理学院根据自己的情况，多按传统划分为核心课程与选修课程。课程内容上并不划一，门数上也多少不等。在学习核心课之前，学生要预先学习计算机应用和技能、商务沟通以及基本数量分析方法等课程。在核心课上，各学院基本上开设了经济学、统计或数据分析、会计、财务、市场营销、运作管理、组织行

为、人力资源管理、战略管理以及公共管理等课程。当然，也有例外。芝加哥大学管理学院就不设置核心课。在选修课程上，除哈佛商学院外，各学院基本上设置了专业，如管理经济学（Managerial Economics）、会计（Accounting）、财务管理（Financial Management）、税收（Taxation）、管理科学（Management Science）、信息系统（Information Systems）、市场营销（Marketing）、组织行为学（Organization Behavior）、人力资源管理（Human Resource Management）、国际商务（International Business）、战略管理(Strategic Management)以及公共管理(Public Management)等。最具特色的是斯隆管理学院的课程设计。该学院除了设计出体现管理基础原理和技能的六门核心课以外，根据学生今后所要从事的工作方向，创造性地设计自我管理模块(Self Managed Track)与管理模块（Management Track）。自我管理模块包括应用宏观与国际经济学、财务管理或财务理论、信息技术、产业关系与人力资源管理、运作管理导论和市场营销导论等六门课。如果学生希望将来从事较为全面的管理工作，则可以选择自我管理模块。而学生希望成为更专业的管理人员，则可以选修管理模块。在这个模块中，有六个分模块，即战略管理与咨询（Strategic Management and Consulting）、新产品与风险开发(Product and Venture Development)、信息技术与企业变革(Information Technology and Business Transformation)、金融工程(Financial Engineering)、财务管理(Financial Management)以及制造与运作(Manufacturing and Operations)。这种设计打破传统职能性课程的框架，切实反映市场的声音，力图符合具体职业领域的要求，使学生能在今后的工作中更快地进入某个具体的管理角色。

我国工商管理硕士教育总体来说，还处在试点阶段之中。在课程设计上，全国工商管理硕士教育指导委员会规定了核心课的指导大纲。经过多年的建设，MBA核心课的教材已经初步满足教学的需求。当然，在质量上还有待进一步完善。随着MBA教学的深入发展，一些院校在培养全面管理人员的基础上，进一步根据自己院校的区域环境和办学条件，探索开设专业方向，以便培养出更适合社会需要的专门管理人才。这就对课程设计提出了新的要求，希望有更专门化的课程支持不同的专业方向。这不仅对教师的科研提出了更高的要求，而且对教材的建设也提出新的

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需求。教材不足便是当前工商管理教育中最大的困惑之一。

为了满足工商管理专业方向的发展以及相应的课程设计，在中国人民大学工商管理学院的策划下，机械工业出版社推出了英文版的《MBA专业精品教材》，填补教学用书中空白，力图缓解MBA各专业教学上的急需。在这套丛书中，我们精心选择了北美在经济学、战略管理与组织、管理科学、财务与金融管理、会计、市场营销以及商务技能等7个专业的英文版教材，期望对国内各管理学院所开设的管理专业有所帮助。同时，有志于学好MBA某个专业的管理人员、研究生甚至本科生也可以通过系统地学习该专业所列的教材，掌握个中三昧。

当然，在学习西方的管理理论与经验时，需要认真对待其内在的文化底蕴。正如同样是绘画，西方的绘画注重光线与颜色，体现出一种形象思维，而中国画则注重线条，体现出内在的逻辑思维，从而表现出中国文化与西方文化的差异。本世纪初以来，我国知识分子一直在研究与吸收西方文化，力图西学中用。正如有人所讲，学习的方法有三种形式，一是鸟瞰的方法，二是仰视的方法，三是平视的方法。鸟瞰者，持才傲物，看不起其他民族的文化，更看不起其他民族的管理理念与方法。仰视者，自卑自弃，看不起自己民族的文化，盲目追求其他民族的管理理念与方法。要真正作到西学中用，而不是仅仅学到一些皮毛的话，则需要运用平视的方法，拉开距离，去观察与学习世界上一切优秀的管理理念与方法。今天，我们利用西方的管理理论与实践，是为了更合理地推动中国的管理教学与科研，促进中国的管理实践，切不可邯郸学步，而是真正做到"以我为主、博采众长、融合提炼、自成一家"。

徐二明 博士

中国人民大学管理学教授
中国人民大学工商管理学院院长
全国MBA教育指导委员会委员
1998年盛夏于北京

To my husband, Gene,
with love and remembrance
—H. M.

To my wife, Dee
—H. H.

To my husband, Hugh
—J. T.

Preface

Pick up any newspaper, read scholarly research studies, look at personnel want ads; invariably the term *communication* is used. Thus this seventh edition continues the main thrust of the past six editions: Managers and executives—indeed, all employees of organizations—must possess excellence in written and oral communication. Our term for communication in the business world is *business communication;* that is, we are concerned with the movement of ideas via either the written or oral word, in both for-profit or nonprofit organizations.

This book seeks to develop communication skills needed by those preparing for, or who are already in, a business or management position. The seventh edition strengthens the research orientation and solid academic base of the previous editions. This fact, along with the authors' combined total of more than 75 years of teaching undergraduate, graduate, and executive students at major American and foreign universities, means that extensive pragmatic teaching in the classroom adds to the academic base.

We maintained flexibility in the text; it can be adapted to either a one- or two-semester or a quarter-length course at both two- and four-year colleges and universities. Additionally, we have used the book in many continuing education and executive programs in the United States and abroad. Finally, *Effective Business Communications* has proved valuable as a handy reference guide long after the course has been completed.

NEW MATERIALS AND CHANGES

■ **This textbook is more than 200 pages shorter than previous editions.** Accomplishing that task was not easy because both authors and readers become quite comfortable with familiar examples and topics. Regardless, we omitted repetitious explanations but retained and added new examples; decreased theoretical underpinnings but kept pragmatic advice; combined related topics and replaced long illustrations with shorter examples; omitted involved research discussions and inserted concise Communication Probes.

■ **We omitted the obvious, shortened the familiar.** All the core business topics of the past six editions are there; they are simply in brief form, along with concise research probes and more checklists, the latter to verify that students have adequately covered the topic. Even long-used exercises have been omitted from the text, but these tested and true exercises are folded into the *Instructor's Manual.*

- **We are in paperback.** When the three authors were in school, they too had to purchase textbooks for classroom use while on a limited budget. This edition is less expensive than a hardcover book.
- **Communication Probes.** To acknowledge the source of related information, numerous research Communication Probes are included in each chapter, rather than an inordinate number of footnotes. These probes are succinct summaries of research statements relating to communication issues discussed within the chapter. Scholarly journals are the dominate source of these statements, but pragmatic and popular business-related journals are also cited.

    We underpin many pragmatic suggestions with research-oriented statements. Perceptive readers will quickly see that the 1960s and 1970s were the heyday for much communication research; we recognize that fact, but we also added recent communication studies that are new or are built upon previously completed efforts.
- **New Chapters.** *Chapter 4, "Business Communication and the Ethical Context."* One cannot avoid the term *ethics* in the business world: Newspapers report daily on unethical activity; at annual meetings stockholders raise questions that challenge company policies; and foreign governments scrutinize the behavior of nondomestic firms. Thus one chapter is devoted to ethical concerns, focusing on backgrounds to ethical contexts, influences on personal ethics, and communication and ethical issues.

    Chapter 5, "Business Communication and the Technology Context." Three-year-olds play games on their computers. High school students—and students even younger—surf the Internet. Dual telephone lines (fax and phone) are hooked to many American homes. Instant worldwide communication is common. Interviews are conducted via computer. CD-ROMs make data instantly available. Communicating via satelite is the norm. All these tools recognize that students, and the world of business, increasingly depend on linking technology with central business communication principles. Thus Chapter 5 merges technology with both internal and external communication. We touch the future but do not omit the past.
- **New Appendix.** *Appendix A, "Visual Aids in Business Communication."* Visuals are so dominant in both written and oral communication that an entire appendix is devoted to their discussion. Increasingly, boards of directors demand consistency in all visuals; managers demand that reports avoid drab black and white visuals that contain no color; instructors demand that the familiar three visual categories of pie charts, bar graphs, and line graphs no longer be options in business communication but mandatory. Long columns and rows of figures can be made more vivid. Appendix A suggests ways in which to add vividness to either oral or written business communication.
- **International Examples.** Business is no longer insular. It is not limited to the continental United States, nor are employees or you as a potential executive confined to domestic concerns. Thus, about a third of our examples are from outside the United States. Because one of the authors lived nearly 20 summers in Asia and because that part of the world is turning eagerly to capitalism, many foreign examples are from Asia. But those examples are not relevant to Asia alone; they are applicable to other sections of the world as well.

- **Sidenotes.** Whereas the Communication Probes are research-oriented statements embedded in the text, the sidenotes in the margins are brief summary statements that isolate significant points in the text that should not be ignored. Occasionally we draw an inference or offer an opinion: to reinforce the statements in the text, and possibly show our bias.
- **Exercises and Problems.** Every chapter's exercises begin with two questions demanding an international awareness. As businesses become more global, students—and instructors—must become familiar with differences and similarities in culture and global business communication. We often link the frequent in-class foreign students (with their own communication perceptions) with native class members. Both groups learn from the assignments; both learn about each other's culture; both improve their current and future communication skills as they begin jobs in global corporations. All the exercises are based on the instructors' involvement in or awareness of the international business environment.

    Long-time users of previous editions are adamant that we retain "old chestnut" exercises. We did remove some from this edition, but those we moved—along with our suggested responses—to our new *Instructor's Manual*. This compromise allowed us to add many new examples and exercises yet keep popular questions from previous editions.
- **Streamlined Prose.** Each chapter that was retained from the sixth edition was rewritten for the seventh. As stated earlier, this book is 200-plus pages shorter than previous editions, yet it includes the core of business communication principles. The authors, and other instructors, often supplement those central ideas by turning to innumerable other articles and research studies that relate to the topics in this text. That is the intent behind our more concise writing: to lay the foundation for effective business communication. Then through Communication Probes, new examples and illustrations, new topics, and an increased emphasis on international issues, students and instructors can supplement the information provided here.

SPECIAL LEARNING FEATURES AND BENEFITS

Principles of the Seven C's

No one knows the original source of the seven Cs; emphasis on these principles of completeness, conciseness, consideration, concreteness, clearness, courteousness, and correctness is present in the works of Greek and Roman writers and affirmed in the Renaissance. We simply—as in the previous six editions—continue to give the principles luster, in mnemonic form, to guide readers in choosing the content and style of presentation adapted to the purpose and recipient of each message.

Examples

Exemplary pedagogy moves on the wheels of good examples. As we mentioned, at least a third of the examples are international in nature. More than 400 examples are directly from actual business and professional organizations. Classroom-

tested, the examples have benefited from comments received from thousands of students and instructors over the years.

Checklists

Previous editions were known for their usable and workable checklists. In this seventh edition, Chapters 8, 9, and 10 have detailed capsule checklists; Chapter 7 is an entire chapter of examples acting as visual checklist; and all other chapters have checklists embedded within. In fact, each checklist lets readers review their progress, their homework, or even their understanding of the text. More than 100 checklists are now part of the text.

Cases

Most chapters include minicases—some people call them incidents—and problems that quickly lend themselves to in-class analysis and impromptu evaluations via either written or oral assignments. We continue the tradition of including as many real instances as possible, omitting of course any reference to identifiable companies or individuals.

Visuals

With today's PC software for graphics, it is a simple task to include illustrations, graphs, charts, and tables to enhance prose and text discussion of a report or oral presentation. Whenever we could visually enhance our prose, we did so, even including an entire appendix devoted to visuals.

References and Explanatory Notes

Previous editions included numerous source citations as further support for the text discussion. We omitted many of these citations in this edition, except in Chapter 4, "Business Communication and the Ethical Context," which depends heavily on outside examples and citations. Only when necessary is a citation included to which either the student or the instructor can turn for additional reading. We used a modified version of the American Psychological Association (APA) citation format.

Outlines and Summaries

We live in a visual world. Thus, each chapter opens with an outline of the main topics followed by our traditional **PAL:** Porch (*brief opening remarks*), Aim (*core purpose of the chapter*), and Layout (*major topic divisions of the chapter*). A summary of the most important concepts discussed ends each chapter.

Databases

Technology's footprint is obvious in this seventh edition. No longer can anyone avoid the increasing use of databases in law, the social sciences, business, and a host of other areas. References to CD-ROMs and the proliferating visual world

of information are included where appropriate. Our intent is to awaken students and encourage them to pursue the increasing numbers of electronic sources—as supplements to this text—useful for well-documented written or oral forms of business communication.

Appendixes

Positioning the following topics in the appendixes does not diminish their importance; it stresses their centrality in business communication:

■ Appendix A, "Visual Aids in Business Communication," focuses on six common forms of visual support: outline charts, tables, bar graphs, pie charts, line graphs, and area graphs, along with examples of each.
■ Appendix B, "Grammar, Punctuation, and Style," includes more than 60 examples that illustrate the common mechanical problems facing communicators.
■ Appendix C, "Business Communication and Legal Issues," looks at five areas each businessperson will face in the future: defamation; invasion of privacy; misrepresentation and fraud; laws regarding employment, credit, and collections; and copyrights and computer data security.

SUPPLEMENTS

Instructor's Manual

To help fellow teachers do a better job of instructing, the *Instructor's Manual* includes our suggestions, comments, and assistance for each chapter:

■ Background information, including possible course content and organization; suggestions for conducting various courses using this textbook; longer, unique cases with simulation exercises.
■ Possible answers and suggestions for each of the exercises, problems, and cases in the text chapters.
■ Transparency masters. Some illustrate significant text concepts; others extend the textual material; several display possible answers to chapter exercises and problems.

Microsoft PowerPoint™ for Checklists

Each of the shorter checklists (all those but the longer capsule checklists in Chapters 8, 9, and 10) is available on a disk for instructors to project via computer. We found in our classes that each checklist is a superior discussion starter.

Test Bank

A test bank is available, prepared by Betty Pritchett of Kennesaw State University. Each chapter contains a variety of questions, with answers.

Computerized Test Bank

The test bank is also available in Microtest III™, a computerized test-preparation system in DOS, Windows, and Macintosh platforms.

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McGraw-Hill has been our publisher since 1972, which is a lengthy relationship. We would like to acknowledge the efforts of Bonnie Binkert, former senior editor, as our motivator and inspiration who got us going on this seventh edition. Her insights over the years are not overlooked. Our new editor, Karen Westover, continues the tradition of able adviser. To her, and the many other staff members of McGraw-Hill, we are grateful.

To Mary Farrell, a not-behind the scenes copyeditor, we also owe much appreciation. Her semantic and grammatical hoe forced us to cultivate the words we planted in the text. We may not be entirely weed-free, but if there are any unwelcome plants, the fault is with the original gardeners, the authors.

With consummate sincerity we continue to affectionately dedicate this book to three persons who endured out of love our affairs with modern office technol-