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公共管理英文版教材系列

Classics of Organization Theory

FIFTH EDITION

（第五版）

组织理论经典

Jay M. Shafritz 杰伊·M·沙夫里茨 J. Steven Ott J·史蒂文·奥特 编

中国人民大学出版社

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出版说明

21世纪，我国的公共管理学呈现良好的发展势头，在教育界、理论界、实务界等社会各界的共同努力下，公共管理专业教育正逐渐与世界同步。为了全面深入地反映国外公共行政与公共管理的发展脉络，系统完整地介绍国外公共行政与公共管理专业的经典著作和最新研究成果，让国内读者直接阅读原汁原味的英文原著，提高教学研究和实际工作水平，中国人民大学出版社引进了公共管理英文版系列教材，影印出版。

本系列教材所选书目均系国外公共行政与公共管理领域最权威的专家所著的经典著作，是国外知名大学正在使用的权威教科书，综合反映了当前本领域的理论发展现状与实际操作水平。本系列教材注重理论与实践紧密结合，对于系统培养学生思考和解决实际问题的能力大有裨益。同时，所选教材行文流畅，简洁易懂，便于阅读。

为了使读者对每本教材有一个整体了解，把握该书在公共行政与公共管理学中的地位与价值，我们特别邀请专家对每本书撰写了导读，并把目录翻译成中文，供读者阅读时参考。同时，中国人民大学出版社将于近期陆续推出本系列教材的中文版。

需要特别提及的是，我们出版这套系列教材，并不表明我们赞成这些著作中的每一个观点。这些著作都基于西方特定的行政生态，是西方公共行政与公共管理理论与实践发展的产物，读者在阅读时不应忘记“取其精华，去其糟粕”的原则。

当前，我国的高等教育改革取得了突破性的进展，其中一项切实的举措即是规定有条件的高校实行双语教学，教育部对此也有具体的要求。贯彻这一精神，满足我国高等教育国际化发展的需要，提高学生阅读专业英语资料的能力，也是我们影印出版这套公共管理教材的初衷。

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导　读

组织理论（organization theory），或称组织与管理理论，实际上就是一般的管理学理论。各种不同的组织理论试图解释与预测组织与其成员在不同的组织结构、文化与环境下是如何行动的。作为一个跨学科、综合性的学术研究领域，组织理论建立在众多的学科（包括政治学、社会学、经济学、商业管理、公共行政、心理学、社会心理学、文化人类学以及数学、统计学、系统理论、工业工程、哲学及伦理学、历史与计算机科学等）的基础之上。

美国匹兹堡大学的沙夫里茨（Jay M. Shafritz）教授和犹他大学的奥特教授（J. Steven Ott）合编的《组织理论经典》（*Classics of Organization Theory*）是一本在西方特别是美国的大学里有相当大影响的组织与管理方面的经典文选（教科书）。该书收录了组织与管理领域最著名作者的最重要作品，它们已经受了时间的考验——都是组织与管理领域受到最多争议与赞誉的传世之作，是经久不衰的经典著作。在这两位主编看来，编辑《组织理论经典》一书的目的在于帮助组织理论领域的新手入门，使他们了解该领域的重要议题、观点与理论。“《组织理论经典》并不仅仅是告诉读者大师们说了些什么，而是用他们自己的话来展示其作品；它要用伟大的理论家们的话来诉说组织理论的历史。”

组织是指具有一定目标的社会单位。组织确立目标，吸引参与者，得到并分配资源，以达成目标；它使用某种结构形式分工协作，依靠某些成员实施领导与管理。自从有了人类社会，就有了组织。人类的生存和发展以组织作为前提，人类的狩猎、生产、战争和家庭生活都必须以组织的形式来进行。与此同时，人类关于组织的知识以及用知识指导行动也源远流长。例如，摩西的岳父就曾建议摩西设立指挥链，以便将他绝大多数的决策权交给下级行使，因为由他来完成所有的决策没有效率。然而，在漫长的历史时期，组织理论一直处于休眠状态，它们只是富有冒险精神的企业家与狡猾的政客凭直觉办事的领域。

直到20世纪初，人们才开始对组织理论这一领域进行自觉的研究，它的诞生以科学管理运动的兴起为标志。“收集数据、对数据进行理性分析并在此基础上有效利用资源便是科学管理的全部内容”。科学管理的先驱者们相信，与凭直觉或经验作决策相比，如果管理者拥有决策需要的客观事实并据此决

策，组织的绩效就能得到提高。彼得·德鲁克（Peter Drucker）曾断言，科学管理的出现“可能是美国继《联邦党人文集》以后对西方思想所作的最大与最持久的贡献。”

组织是开放的系统，它们既受外部世界的影响，也影响着外部世界。组织理论不是在真空中发展起来的。它们反映了世界的变化发展。在近百年的现代组织理论的发展历程中，组织理论领域出现了大量的理论、流派及代表人物。依照沙夫里茨和奥特的说法，某些组织理论与其他理论相容，或以其他理论为基础——它们作出解释或预测，它们认为组织的哪些方面比较重要，它们作出关于组织及其所处世界的各种假设，以及确定研究组织的有效方法等。它们倾向于使用同样的语言或术语。这种相容的理论或理论家团体通常被称为学派、视角、传统、框架、模型或范式等。1961 年，哈罗德·孔茨（Harold Koontz）就将当时的各种组织与管理理论描述为“语义丛林”。

那么，什么样的文献才算作是组织理论的“经典”？本书编者依据如下三个标准来判定和选择：一是选择的论著与作者必须是组织理论领域被引用最多的理论和理论家（最新的文献除外，如关于组织文化与信息技术方面的文献）。二是每篇论著提出的论断必须得到了广泛的赞同或受到了持续的批评，换言之，论著必须具有重要性——它必须是此后构建组织理论不可缺少的部分。三是该论著必须具有可读性（需要熟读组织理论文献的人非常重视这个标准）。

组织理论常见的分类方法，或是根据流派或理论来进行分类，或是根据最重要的作品的写作时间来分类。《组织理论经典》一书的编者力图将两种方法结合起来，既以学派为主线来编辑文献，又保留传统的、以历史为导向的方法。这些经典文献是围绕重大观点或组织理论的“学派”按照写作年代来编排的。每一编都重点介绍组织理论的一种主要观点；而在每一编中，绝大多数入选作品都是按照时间顺序排列的，以便读者了解该领域的思想演化过程。

编者将 49 篇经典文献归入 9 大学派之中，即编入本书的 9 编之中（各编既反映了时代的顺序，也反映了对组织的不同观点）。

此外，两位主编还为本书写了一个“导论”，并附有一个关于组织理论的“大事记”（编年史）。“导论”解释了为什么在将组织理论分类方面具有不同的观点或框架，以及本书为什么选择了它所用的框架；解释了组织理论如何反映了当时世界的形势；说明了本书决定收录或不收录某篇论文的标准；展示了本书的组织框架。“导论”包括了一个从公元前 1491 年到公元 1999 年的组织理论的“大事记”，它介绍了这段时期内的重大事件与组织理论领域的主要作品。读者可以从“大事记”中看到组织理论的学术发展历程和各种各样的主题与观点，从而理

解时代背景对该领域的影响。

本书的编辑还具有以下几个特色：一是编者为每一编写了一篇较长的、阐述组织理论某一个学派的导读性“引言”，介绍该学派中心议题和思想，将学派与其他学派的观点作了比较，并简要评价各篇论文对该领域的贡献；二是为了帮助读者了解各部作品的历史背景，编者在每篇“引言”的后面附上了“组织理论大事记”，对该领域的重大事件与重要论著做了概述；三是编者对绝大多数的选入文献都作了删节，从而使它们更具可读性，这些删节有利于读者将注意力集中在使该文献成为经典的中心思想上；四是编者在每一编都附有了该学派重要论著的索引（不管这些论著是否被本书收录）。

《组织理论经典》（英文版）收入了西方组织理论名家的名作，这些经典文献经历了时间的考验，涉及组织理论的基本流派，涵盖了它的众多基本主题，并展示出该学科的基本知识框架。这是一本很好的英文版教材，它的出版有助于我国管理学者和学生比较全面、系统和准确地了解西方组织与管理理论，了解组织与管理理论发展史以及各种流派及其代表人物的思想观点，奠定扎实的组织与管理理论的知识基础。正如本书编者所说：“许多最基本的东西都是一成不变的。这就正如物理学上的万有引力定律不会因学术潮流与技术进步的原因而改变一样。或者说它就像制造宇宙飞船必须从学习牛顿开始，设计与管理组织必须从学习法约尔、泰勒与巴纳德开始一样。未来必须以历史为基础。这也是本书所要做的：为那些想了解和/或发展组织理论的人提供一个找到最基础的东西——组织理论经典作品——的地方。不管其中某些作品的年代已经有多久远，它们绝对没有过时。经典就是经典，因为它对每一代研究组织理论的学者与实际工作者都具有很高的价值。”

《组织理论经典》（英文版）可以作为我国管理学门类的各学科、专业的本科生、研究生（包括 MBA、MPA 学员）的“管理学原理”、“组织与管理学原著选读”、“管理学思想史”、“西方组织理论”和“专业英语”等课程的教材或教学参考书，尤其是适合于作为相关课程双语教学的教材。

陈振明

2004 年元旦

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Foreword

In this anthology of classical works in organization theory, Shafritz and Ott have captured the essence, if not all the details, of an extensive and intricate subject. This assertion requires asking ourselves, what is the "essence" of organization theory? Put another way, what was the fundamental problem that the classic writers were trying to resolve?

The answer to these questions is found in the fourth selection in this book, in Henry Towne's paper, "The Engineer as an Economist." One needs only to ponder Towne's title to find the motive behind most of the classicists' work. Ask yourself, what do engineers and economists have in common? Without too much effort I am sure you will conclude, "the quest for efficiency." Towne's linking of management with its root sciences of engineering and economics through the concept of efficiency (E = O/I) was a brilliant stroke that has to be one of the great monuments of managerial lucidity.

It is not as if the concept of efficiency had gone unnoticed before Towne wrote of it. Indeed, even in biblical times, Jethro, Moses' father-in-law, advised Moses to set up a chain of command and to delegate most of his decision-making authority to lower levels, because trying to do it all himself was inefficient (Exodus: Chapter II 18:9). However, prior to Towne's work, there was little systematic knowledge of administration. As a matter of fact, the idea of "management" was barely realized and the notion of "executive" hardly understood.

But Towne wrote at a propitious time. He was driven by the Progressive Movement's reform endeavors and took the first steps to create a scientific body of thought that applied to the administration of public and private organizations. In this regard, the Scientific Management movement was a product of both Progressivism and Towne's attempt to get those people interested in management to contribute to the annual proceedings of the American Society of Mechanical Engineers. Frederick W. Taylor's epic paper "A Piece-Rate System," written in 1895, was a result of Towne's request.

Scientific Management was all about the efficiency of resource utilization based upon the collection of data and the rational analysis of that data. Organizational performance would be enhanced, so the scientific management pioneers believed, if management had at its disposal objective facts for making decisions, as opposed to the intuitive or rule of thumb methods used in the past. Thus science and rationality became the watchwords of efficiency.

But organization theory was more than "facts," as Bacon said, "like grapes, ripe and ready for plucking." Facts required a framework for understanding and this is where pertain the contributions, between the two World Wars, of the great builders of classical organizational theory. They are represented in this volume by Max Weber, Chester I. Barnard, and Luther Gulick. These writers proposed two enduring themes in organization theory. The first theme is purely structural, that is, according to what methods and principles an organization arranges its functions to maximize *coordination*. This issue concerns the never ending problem of achieving a balance between vertical and horizontal differentiation, in other words between hierarchy and the division of labor.

The second theme concerns *cooperation*, and it was a matter dear to Chester Barnard. He was the first practicing manager to recognize that the applied behavioral sciences could be useful to management as means to motivate workers and to encourage them to have a pleasing view of their work situation. Drawing in part upon the Hawthorne studies in human relations, Barnard's book, *The Functions of the Executive*, became recognized as the paradigmatic statement of modern managerialism. He stressed that cooperation was based upon the mutual interest that workers and managers had in the success of an enterprise. But he went further to show that management had to be proactive in nurturing that sense of mutual interest by using the applied behavioral sciences to influence the attitudes and actions of subordinates.

Lest we risk losing the point, let me reemphasize that the great twin themes of coordination and cooperation in organization theory were in fact creatures of efficiency, that most fundamental of all organizational imperatives. These themes, blossoming in the interwar years, reached full bloom by midcentury, exemplified in the work of Herbert A. Simon, Richard M. Cyert, and James G. March. Drawing upon Barnard's inspiration, these writers viewed management as a process imbedded in a system of patterned relationships. During the 1960s, systems theory emerged and tried to do what Barnard had all along hoped to see done, to develop a general theory of interrelationships and interdependencies that explained the behavior of complex organizations.

Systems theory in management came to naught, however, largely because it did not move beyond the normative to include a descriptive, quantitative side that had any degree of generality. Through most of the 1970s, 1980s, and 1990s, organization theory fragmented with the theme of coordination pursued by the structuralists, the theme of cooperation explored by the behavioralists, and the idea of efficiency all but disappearing in the ensuing flood of specialist literature. The last chapters of this volume (Chapters V through IX) reflect this trend with subjects such as culture, gender, ecology, information technology, and on and on, tending to suggest that management is slipping into postmodern anarchy.

It takes a great deal of perspicacity to assemble a collection of readings that reflects the changes that organization theory went through during this century. The editors of this book deserve our admiration. One can hope that in their next edition the editors will find evidence in the literature that the field is rediscovering some of the fundamentals with which it began. This is not a plea for organizational revisionism, but for theoretical coherence.

William G. Scott
Professor of Management
University of Washington

Preface

Classics of Organization Theory is a collection of the most important works in organization theory, written by the most influential authors in the field. *Classics* does not just tell the reader what the "masters" said, it presents their works in their own words. These are theories that have withstood the test of time—the critically acclaimed masterworks in the field. Although this book contains a sprinkling of important current works, its focus is the enduring classics. It tells the history of organization theory through the words of the great theorists.

Classics is designed to help people who are new to the field of organization theory "get into," understand and appreciate its important themes, perspectives, and theories. Thus, we describe and explain what organization theory is, how it has developed, and how its development coincides with developments in other fields, as well as the contexts in which these great works were written.

Most of the articles are organized chronologically within major perspectives or "schools" of organization theory. Each chapter focuses on one major perspective of organization theory. Readers thus can immerse themselves in one perspective at a time, before moving on to the next. The chapters (and the major perspectives of organization theory) are:

- Classical Organization Theory
- Neoclassical Organization Theory
- Human Resource Theory, or the Organizational Behavior Perspective
- "Modern" Structural Organization Theory
- Systems Theory and Organizational Economics
- Power and Politics Organization Theory
- Organizational Culture and Sense Making
- Organizational Culture Reform Movements
- Postmodernism and the Information Age

Several other features that help to make *Classics* "reader friendly":

- The Introduction explains why there are competing perspectives or frames for grouping theories of organization, and why we chose the particular framework that is used in *Classics*.
- The Introduction explains how theories of organization reflect what is going on in the world at the time (for example, World War II or the "flower child"/antiestablishment/self-development era of the 1960s); defines the criteria used for including and excluding works (for example, "Should the serious student of organization theory be expected to be able to identify this author and his or her basic themes?"); and presents the organizing framework for the book.

- The Introduction contains a chronology of important events and contributions to the field of organizational theory from 1491 B.C. into the 1990s. The chronology allows one to see the intellectual development of the myriad themes and perspectives of organization theory, and to comprehend the impact of time and context on the development of perspectives across the field.
- The opening pages of each chapter identify the central themes and issues of the perspective, contrast the perspective with others, and briefly summarize the contributions each article has made to the field.
- Most of the articles have been shortened to make them more readable. The editing down helps readers to focus on the central ideas that make an article a classic.
- Each chapter contains a bibliography of the most important books and articles from the perspective (whether or not the works are reproduced in *Classics*).

CHANGES FROM THE FOURTH EDITION TO THE FIFTH EDITION

The fourth edition incorporated major changes from the third edition. A number of friendly critics had repeatedly asked us to update the book's coverage—to bring the book "into the 1990s." Other reviewers, though, had urged us to resist the temptation to venture into theories that had not passed the test of time. We had taken a firm position up through the third edition, but we softened our stand somewhat in the fourth. In attempting to walk a fine line between the classics and newer areas of theory, we incorporated organizational economics, information technology, postmodernism, feminist theory, diversity, and multiculturalism.

The fifth edition retains the same chapters as the fourth, but a number of readings have been added and others deleted. Chapter V, "Systems Theory and Organizational Economics," and Chapter IX, "Postmodernism and the Information Age," have been reworked quite substantially. As in the fourth edition, the most recently written inclusions are largely in the concluding three chapters. Thus, readers who want only "pure classics" of organization theory probably should put this book down after reading Chapter VI. Those who also want exposure to some of the emerging perspectives of organization should venture into Chapters VII, VIII, and IX. As William G. Scott has written in the Foreword, "Through most of the 1970s, 1980s, and 1990s, organization theory fragmented . . . The last chapters of this volume (Chapters V through IX) reflect this trend . . . tending to suggest that management is slipping into postmodern anarchy." Although it is always difficult to select enduring classics from among the rich choices available, we believe we have accomplished this goal in the fifth edition.

The following selections, listed by chapter, have been added and deleted:

Chapter II. Neoclassical Organization Theory
New Addition
Robert K. Merton, "Bureaucratic Structure and Personality" (1957)

Chapter III. Human Resource Theory, or the Organizational Behavior Perspective
Deletion from the Fourth Edition
Taylor H. Cox, Jr., "Intergroup Conflict" (1993)

New Additions

Fritz J. Roethlisberger, "The Hawthorne Experiments" (1941)
Bart Victor and Carroll Stephens, "The Dark Side of the New Organizational Forms" (1994)

Chapter V. Systems Theory and Organizational Economics (The section on "Population Ecology" has been deleted.)

Deletions from the Fourth Edition

Fremont E. Kast and James E. Rosenzweig, "General Systems Theory: Applications for Organization and Management" (1972)
Michael T. Hannan and John Freeman, "The Population Ecology of Organizations" (1977)
Lex Donaldson, "The Ethereal Hand: Organizational Economics and Management Theory" (1990)

New Additions

Jay B. Barney and William G. Ouchi, "Learning from Organizational Economics" (1986)
Paul H. Rubin, "Managing Business Transactions" (1990)

Chapter VI. Power and Politics Organization Theory

Deletion from the Fourth Edition

Michael D. Cohen and James G. March, "Leadership in an Organized Anarchy" (1974)

New Addition

James G. March, "The Power of Power" (1966)

Chapter VII. Organizational Culture And Sense Making

Deletion from the Fourth Edition

Gareth Morgan, "Images of Organization" (1986)

New Addition

Scott D. N. Cook and Dvora Yanow, "Culture and Organizational Learning" (1993)

Substitution

"Defining Organizational Culture," from the second edition of Edgar H. Schein's *Organizational Culture and Leadership* (1993), replaces the same chapter from the first edition.

Chapter VIII. Organizational Culture Reform Movements

Deletion from the Fourth Edition

David Osborne and Ted Gaebler, "Reinventing Government: Introduction" (1992)

New Addition

Al Gore, "Creating a Government that Works Better and Costs Less: Report of the National Performance Review" (1993)

Chapter IX. Postmodernism and the Information Age

Deletions from the Fourth Edition

Shoshana Zuboff, "In the Age of the Smart Machine: The Limits of Hierarchy in an Informated Organization" (1988)
Karl E. Weick, Jr., "Technology as Equivoque: Sensemaking in New Technologies" (1990)
L. Douglas Kiel, "Nonlinear Dynamical Analysis: Assessing Systems Concepts in a Government Agency" (1993)

New Additions

Janet Fulk and Gerardine DeSanctis, "Articulation of Communication Technology and Organizational Form" (1999)

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