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BUSINESS ADMINISTRATION CLASSICS

人力资源管理

赢得竞争优势

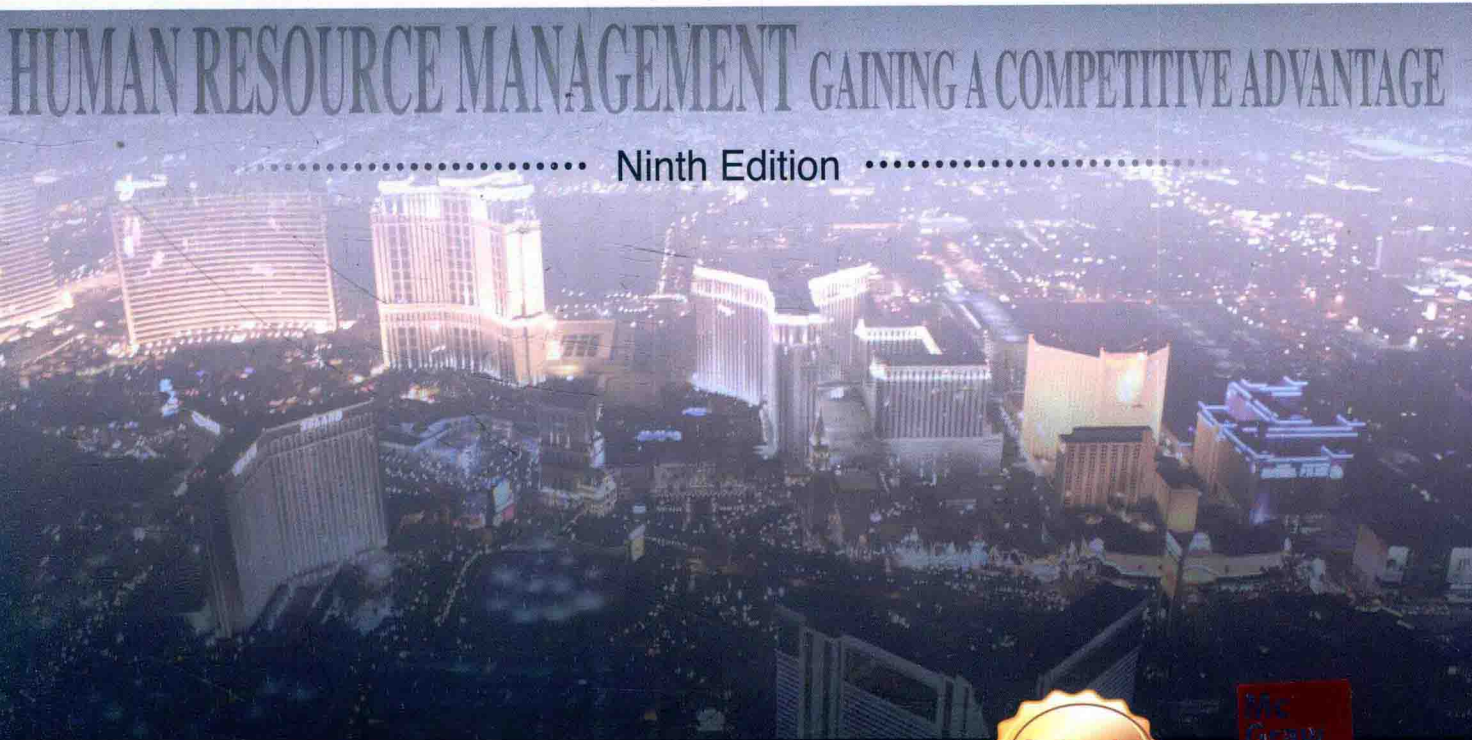
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雷蒙德·诺伊 (Raymond A. Noe)
约翰·霍伦贝克 (John R. Hollenbeck)
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刘昕 改编

著

HUMAN RESOURCE MANAGEMENT GAINING A COMPETITIVE ADVANTAGE

..... Ninth Edition



 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，为使我們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

改编者的话

1987—1997年我在中国人民大学劳动人事学院学习，有机会观察了中国经济从计划经济体制到市场经济体制演变的过程，同时也参与了中国人力资源管理专业从创建到发展的整个过程。中国的人力资源管理学科发展始于20世纪90年代，此前主要是传统的劳动和人事管理的内容。中国人民大学最早于1993年正式在国内首创了人力资源管理本科专业，2003年又设立了人力资源管理专业的硕士点和博士点。但在早期，国内几乎找不到人力资源管理的教材，因此，引入国外经典的人力资源管理教材便成为一项非常紧迫的任务。我在攻读博士学位期间开始翻译和介绍国外的人力资源管理教材，最早与吴雯芳女士合作翻译了由中国人民大学出版社出版的加里·德斯勒的《人力资源管理》（第6版），后来又独立翻译了另一本经典的美国人力资源管理教材《人力资源管理：赢得竞争优势》（第3版）。此后的10多年中，一直坚持对这两本国外经典的人力资源管理教材进行跟踪翻译，目前加里·德斯勒的《人力资源管理》已经跟踪到了第14版，《人力资源管理：赢得竞争优势》已经跟踪到了目前的第9版。

自1997年博士毕业以来，我在人力资源管理领域从事教学、科研以及管理咨询已经整整17个年头，可以说，在阅读、翻译这些经典的人力资源管理教材的过程中获益良多。主要的收获在以下三个方面：首先是夯实了理论基础，熟悉重要的人力资源管理概念、理论以及知识的英文表述，对于阅读英文学术文献和实践文献以及与国外同行交流奠定了坚实的基础。其次是了解了国外在人力资源管理领域的各种最新进展，通过各个版本之间的差异可以把握国外人力资源管理理论和实践的最新动向和热点，有助于寻找前沿性的研究课题和研究方向。最后，可以系统地了解国外的各种人力资源管理理论、技术以及工具发展的背景及其环境要求，从而在将一些人力资源管理理论、工具和方法运用于中国实践时能够有一定的选择性和批判性，而不是不顾国情地照抄照搬，从而有助于逐渐建立中国的人力资源管理理论和实践体系。

对于学习人力资源管理的中国学生或中国读者来说，通过阅读国外原版人力资源管理教材了解该学科的主要内容和一般原理是一种非常好的选择。我在工作过程中遇到过很多人力资源管理领域的从业人员、企业领导者和非人力资源管理从业者，发现他们的工作中遇到的很多问题以及困惑，甚至走的一些弯路，其实都是由于对一些最基本的人力资源管理概念、技术存在误解或不了解导致的，如果有扎实的人力资源管理基本功，很多错误或弯路其实是可以避免的。因此，在当前这种全球化的大时代，对于学习人力资源管理的本科生和硕士生来说，阅读一本人力资源管理教材原著应当成为一门必修课。

雷蒙德·诺伊等著的 *Human Resource Management: Gaining a Competitive Advantage* (Ninth Edition) 是一本非常有特色的经典人力资源管理教材，总体上反映了美国人力

资源研究和教学的最新动向。全书分为五篇：

第1篇主要讨论了企业在将人力资源的充分利用作为获取竞争优势的一个重要手段时所面临的各种环境力量。这些环境力量包括企业的战略方向、法律环境、企业所从事的工作类型以及工作的物理环境安排等。

第2篇所要讨论的是人力资源的获得和准备问题，其中包括人力资源规划与招募、人员甄选与配置以及培训等方面的内容。

第3篇则探讨了企业如何能够确定员工的价值，以及如何才能通过保留和开发战略来充分利用员工才能，包括绩效管理、员工开发以及员工分流与保留等方面的内容。

第4篇阐述了人力资源的薪酬问题，其中包括薪酬结构的设计、对员工个人贡献的认可、员工福利等。

第5篇谈到了人力资源管理中的一些特殊问题，其中包括集体谈判与劳资关系、全球化人力资源管理以及人力资源职能的战略性管理等。

为了便于开展人力资源管理的英语教学，编者本着“难度适中，贴近国情，精简篇幅”的原则对原书的部分章节进行了删减，在此将改编思路介绍如下：

删去章节	删减原因
原第3章“法律环境”	美国的法律环境与中国差别很大
原第13章“员工福利”	与美国的法律环境和本土特点关系很大，对中国的借鉴意义有限
原第14章“集体谈判”	中国的工会和集体谈判与美国的情况差别很大
原第15章“全球化人力资源管理”	这一主题目前还不是大多数中国企业最为关注的问题，而且其余各章节中已经介绍了一些全球化的话题
原第16章“人力资源职能的战略性管理”	第1章和第2章已经论述了一些战略性人力资源管理的主题，为适当压缩篇幅而略去
各章末的练习和案例等	为压缩篇幅而略去，不影响教材内容的完整性

想一览原著全貌的读者，可以参考中国人民大学出版社出版的《人力资源管理：赢得竞争优势》（第10版）和《人力资源管理基础》（第3版）。

希望本书能对我国具有国际化视野的人力资源管理人才的成长做出一点绵薄贡献。改编当中如有不当之处，敬请读者朋友指正。

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刘昕

PREFACE*

The choppy and slow recovery of the U.S. economy means that both consumers and businesses are carefully considering their spending patterns and investments. Both private-and public-sector employers are calling back workers laid off during the recession and/or cautiously adding new employees if they see an increased demand for their products or services. Some companies are struggling to find qualified, talented, and skilled employees despite the many workers available due to the high unemployment rate. Also, they are continuing to examine how they can improve their “bottom line” while reducing costs. This has resulted in not only considering purchasing new technology and upgrading equipment, but putting a greater emphasis on ensuring that management practices and working conditions help employees work harder and smarter.

At the same time companies are taking steps to deal with the current economic conditions, they are also paying closer attention to how to engage in business practices that are economically sound but sustainable. That is, business practices that are ethical, protect the environment, and contribute to the communities from which the business draws the financial, physical, and human resources needed to provide its product and services. Consumers are demanding accountability in business practices: making money for shareholders should not involve abandoning ethics, ruining the environment, or taking advantage of employees from developing countries!

Regardless of whether a company’s strategic direction involves downsizing, restructuring, growth, or a merger or acquisition, how human resources are managed is crucial for providing “value” to customers, shareholders, employees, and the community in which they are located. Our definition of “value” includes not only profits but also employee growth and satisfaction, additional employment opportunities, stewardship of the environment, and contributions to community programs. If a company fails to effectively use its financial capital, physical capital, and human capital to create “value,” it will not survive. The way a company treats its employees (including those who are forced to leave their jobs) will influence the company’s public reputation and brand as a responsible business, and its ability to attract talented employees. For example, the human resource practices at companies such as Google, SAS, REI, and Wegmans Food Markets helped them earn recognition on *Fortune* magazine’s recent list of the “The Top 100 Companies to Work For.” This kind of publicity creates a positive image for these companies, helping them attract new employees, motivate and retain their current employees, and make their products and services more desirable to consumers.

We believe that all aspects of human resource management—including how companies interact with the environment; acquire, prepare, develop, and compensate employees; and design and evaluate work—can help companies meet their competitive challenges and create value. Meeting challenges is necessary to create value and to gain a competitive advantage.

* 为使读者了解原书概貌，前言未作删改。——改编者注

The Competitive Challenges

The challenges that organizations face today can be grouped into three categories:

- **The sustainability challenge.** Sustainability refers to the ability of a company to survive and succeed in a dynamic competitive environment. Sustainability depends on how well a company meets the needs of those who have an interest in seeing that the company succeeds. Challenges to sustainability include the ability to deal with economic and social changes, engage in responsible and ethical business practices, efficiently use natural resources and protect the environment, provide high-quality products and services, and develop methods and measures (also known as metrics) to determine if the company is meeting stakeholder needs. To compete in today's economy companies use mergers and acquisitions, growth, and downsizing. Companies rely on skilled workers to be productive, creative, and innovative and to provide high-quality customer service; their work is demanding and companies cannot guarantee job security. One issue is how to attract and retain a committed, productive workforce in turbulent economic conditions that offer opportunity for financial success but can also turn sour, making every employee expendable. Forward-looking businesses are capitalizing on the strengths of a diverse multigenerational workforce. The experiences of Enron, *News of the World*, and Lehman Brothers provide vivid examples of how sustainability depends on ethical and responsible business practices, including the management of human resources. Another important issue is how to meet financial objectives through meeting both customer and employee needs. To meet the sustainability challenge companies must engage in human resource management practices that address short-term needs but help ensure the long-term success of the firm. The development and choice of human resource management practices should support business goals and strategy.

The role of ethical behavior in a company's sustainability has led us to include more discussion and examples of "integrity in action" in this edition. The actions of top executives and managers show employees how serious they are about human resource management practices. Also, employees look at their behaviors to determine if they are merely giving "lip service" to ethical behavior or if they genuinely care about creating an ethical workplace. As a result, in this edition of the book we include Integrity in Action boxes that highlight good (and bad) decisions about HR practices made by top executives, company leaders, and managers that either reinforce (or undermine) the importance of ethical behavior in the company.

- **The global challenge.** Companies must be prepared to compete with companies from around the world either in the United States or abroad. Companies must both defend their domestic markets from foreign competitors and broaden their scope to encompass global markets. Globalization is a continuing challenge as companies look to enter emerging markets in countries such as Brazil and China to provide their products and services.
- **The technology challenge.** Using new technologies such as computer-aided manufacturing, virtual reality, and social media can give companies an edge. New technologies can result in employees "working smarter" as well as

providing higher-quality products and more efficient services to customers. Companies that have realized the greatest gains from new technology have human resource management practices that support the use of technology to create what is known as high-performance work systems. Work, training programs, and reward systems often need to be reconfigured to support employees' use of new technology. The three important aspects of high-performance work systems are (1) human resources and their capabilities, (2) new technology and its opportunities, and (3) efficient work structures and policies that allow employees and technology to interact. Companies are also using social media and e-HRM (electronic HRM) applications to give employees more ownership of the employment relationship through the ability to enroll in and participate in training programs, change benefits, communicate with co-workers and customers online, and work "virtually" with peers in geographically different locations.

We believe that organizations must successfully deal with these challenges to create and maintain value, and the key to facing these challenges is a motivated, well-trained, and committed workforce.

The Changing Role of the Human Resource Management Function

The human resource management (HRM) profession and practices have undergone substantial change and redefinition. Many articles written in both the academic and practitioner literature have been critical of the traditional HRM function. Unfortunately, in many organizations HRM services are not providing value but instead are mired down in managing trivial administrative tasks. Where this is true, HRM departments can be replaced with new technology or outsourced to a vendor who can provide higher-quality services at a lower cost. Although this recommendation is indeed somewhat extreme (and threatening to both HRM practitioners and those who teach human resource management!), it does demonstrate that companies need to ensure that their HRM functions are creating value for the firm.

Technology should be used where appropriate to automate routine activities, and managers should concentrate on HRM activities that can add substantial value to the company. Consider employee benefits: Technology is available to automate the process by which employees enroll in benefits programs and to keep detailed records of benefits usage. This use of technology frees up time for the manager to focus on activities that can create value for the firm (such as how to control health care costs and reduce workers' compensation claims).

Although the importance of some HRM departments is being debated, everyone agrees on the need to successfully manage human resources for a company to maximize its competitiveness. Several themes emerge from our conversations with managers and our review of research on HRM practices. First, in today's organizations, managers themselves are becoming more responsible for HRM practices and most believe that people issues are critical to business success. Second, most managers believe that their HRM departments are not well respected because of a perceived lack of competence, business sense, and contact with operations. A study by Deloitte consulting and *The Economist* Intelligence Unit

found that only 23% of business executives believe that HR currently plays a significant role in strategy and operational results. Third, many managers believe that for HRM practices to be effective they need to be related to the strategic direction of the business. This text emphasizes how HRM practices can and should contribute to business goals and help to improve product and service quality and effectiveness. An important way, which we highlight throughout the text, is through using "Big Data" and evidence-based HR to demonstrate the value of HRM practices.

Our intent is to provide students with the background to be successful HRM professionals, to manage human resources effectively, and to be knowledgeable consumers of HRM products. Managers must be able to identify effective HRM practices to purchase these services from a consultant, to work with the HRM department, or to design and implement them personally. The text emphasizes how a manager can more effectively manage human resources and highlights important issues in current HRM practice.

We think this book represents a valuable approach to teaching human resource management for several reasons:

- The text draws from the diverse research, teaching, and consulting experiences of four authors who have taught human resource management to undergraduates, traditional day MBA students as a required and elective course, and more experienced managers and professional employees in weekend and evening MBA programs. The teamwork approach gives a depth and breadth to the coverage that is not found in other texts.
- Human resource management is viewed as critical to the success of a business. The text emphasizes how the HRM function, as well as the management of human resources, can help companies gain a competitive advantage.
- The book discusses current issues such as social networking, talent management, diversity, and employee engagement, all of which have a major impact on business and HRM practice.
- Strategic human resource management is introduced early in the book and integrated throughout the text.
- Examples of how new technologies are being used to improve the efficiency and effectiveness of HRM practices are provided throughout the text.
- We provide examples of how companies are evaluating HRM practices to determine their value.
- The Chapter openers, in-text boxes, and end-of-chapter materials provide questions that provide students the opportunity to discuss and apply HR concepts to a broad range of issues including strategic human resource management, HR in small businesses, ethics and HR's role in helping companies achieve sustainability, adopt and use technology, adapt to globalization, and practice integrity. This should make the HR classroom more interactive and increase students' understanding of the concepts and their application.

Organization

Human Resource Management: Gaining a Competitive Advantage includes an introductory chapter (Chapter 1) and five parts.

Chapter 1 provides a detailed discussion of the global, new economy, stakeholder, and work system challenges that influence companies' abilities to

successfully meet the needs of shareholders, customers, employees, and other stakeholders. We discuss how the management of human resources can help companies meet the competitive challenges.

Part 1 includes a discussion of the environmental forces that companies face in attempting to capitalize on their human resources as a means to gain competitive advantage. The environmental forces include the strategic direction of the business, the legal environment, and the type of work performed and physical arrangement of the work.

A key focus of the strategic human resource management chapter is highlighting the role that staffing, performance management, training and development, and compensation play in different types of business strategies. A key focus of the legal chapter is enhancing managers' understanding of laws related to sexual harassment, affirmative action, and accommodations for disabled employees. The various types of discrimination and ways they have been interpreted by the courts are discussed. The chapter on analysis and design of work emphasizes how work systems can improve company competitiveness by alleviating job stress and by improving employees' motivation and satisfaction with their jobs.

Part 2 deals with the acquisition and preparation of human resources, including human resource planning and recruitment, selection, and training. The human resource planning chapter illustrates the process of developing a human resource plan. Also, the strengths and weaknesses of staffing options such as outsourcing, use of contingent workers, and downsizing are discussed. Strategies for recruiting talented employees are emphasized. The selection chapter emphasizes ways to minimize errors in employee selection and placement to improve the company's competitive position. Selection method standards such as validity and reliability are discussed in easily understandable terms without compromising the technical complexity of these issues. The chapter discusses selection methods such as interviews and various types of tests (including personality, honesty, and drug tests) and compares them on measures of validity, reliability, utility, and legality.

We discuss the components of effective training systems and the manager's role in determining employees' readiness for training, creating a positive learning environment, and ensuring that training is used on the job. The advantages and disadvantages of different training methods are described, such as e-learning and mobile training.

Part 3 explores how companies can determine the value of employees and capitalize on their talents through retention and development strategies. The performance management chapter examines the strengths and weaknesses of performance management methods that use ratings, objectives, or behaviors. The employee development chapter introduces the student to how assessment, job experiences, formal courses, and mentoring relationships are used to develop employees. The chapter on retention and separation discusses how managers can maximize employee productivity and satisfaction to avoid absenteeism and turnover. The use of employee surveys to monitor job and organizational characteristics that affect satisfaction and subsequently retention is emphasized.

Part 4 covers rewarding and compensating human resources, including designing pay structures, recognizing individual contributions, and providing benefits. Here we explore how managers should decide the pay rate for different jobs, given the company's compensation strategy and the worth of jobs. The advantages and disadvantages of merit pay, gainsharing, and skill-based pay

are discussed. The benefits chapter highlights the different types of employer-provided benefits and discusses how benefit costs can be contained. International comparisons of compensation and benefit practices are provided.

Part 5 covers special topics in human resource management, including labor-management relations, international HRM, and managing the HRM function. The collective bargaining and labor relations chapter focuses on traditional issues in labor-management relations, such as union structure and membership, the organizing process, and contract negotiations; it also discusses new union agendas and less adversarial approaches to labor-management relations. Social and political changes, such as introduction of the euro currency in the European Community, are discussed in the chapter on global human resource management. Selecting, preparing, and rewarding employees for foreign assignments is also discussed. The text concludes with a chapter that emphasizes how HRM practices should be aligned to help the company meet its business objectives. The chapter emphasizes that the HRM function needs to have a customer focus to be effective.

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