

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·人力资源管理系列

Administration Classics

绩效管理

(英文版·第3版)

(Third Edition)

PERFORMANCE MANAGEMENT

赫尔曼·阿吉斯 (Herman Aguinis) 著

中国人民大学出版社

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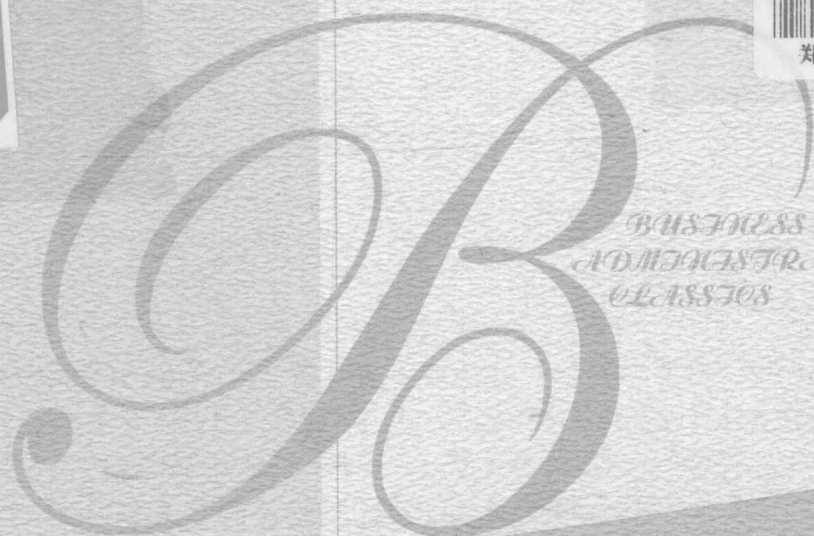
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总序

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，为使我们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

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PREFACE AND INTRODUCTION

In today's globalized world, it is relatively easy to gain access to the competition's technology and products. Thanks to the Internet and the accompanying high speed of communications, technological and product differentiation is no longer a key competitive advantage in most industries. For example, most banks offer the same types of products (e.g., various types of savings accounts and investment opportunities). If a particular bank decides to offer a new product or service (e.g., online banking), it will not be long until the competitors offer precisely the same product. As noted by James Kelley, performance management project leader at Idaho Power, "technology is a facilitator, but not a guarantor, of effectiveness or efficiency of a company's workforce."¹

So, what makes some businesses more successful than others? What is today's key competitive advantage? The answer is people. Organizations with motivated and talented employees offering outstanding service to customers are likely to pull ahead of the competition, even if the products offered are similar to those offered by the competitors. This is a key organizational resource that many label "human capital" and gives organizations an advantage over the competition. Customers want to get the right answer at the right time, and they want to receive their products or services promptly and accurately. Only having the right human capital can make these things happen. Only human capital can produce a sustainable competitive advantage. And, performance management systems are the key tools that can be used to transform people's talent and motivation into a strategic business advantage. Unfortunately, although 96% of human resources (HR) professionals report that performance management is their number 1 concern, fewer than 12% of HR executives and technology managers believe that their organizations have aligned strategic organizational priorities with employee performance.²

This edition includes the following six important changes. More detailed information on each of these issues is provided in the section titled "Changes in This Edition."

- There is an emphasis on the role of the context within which performance management takes place.
- This edition emphasizes that knowledge generated regarding performance management is essentially multidisciplinary.
- This edition emphasizes the important interplay between science and practice.
- This edition describes the technical aspects of implementing a performance management system in detail and, in addition, it emphasizes the key role that interpersonal dynamics play in the process.
- This new edition includes new cases in almost every chapter. Taken together, this new edition includes a total of 43 case studies.
- Each of the chapters includes new sections.

SOME UNIQUE FEATURES OF THIS BOOK

Performance management is a continuous process of identifying, measuring, and developing the performance of individuals and teams and aligning their performance with the strategic goals of the organization. Performance management is critical to small and large, for-profit and not-for-profit, domestic and global organizations, and to all industries. In fact, the performance management model and processes described in this book have been used to create systems to manage the performance of college students.³ After all, the performance of an organization depends on the performance of its people, regardless of the organization's size, purpose, and other characteristics. As noted by Siemens CEO Heinrich von Pierer, "whether a company measures its workforce in hundreds or hundreds of thousands, its success relies solely on individual performance." As an example in the

¹ Generating buzz: Idaho Power takes on performance management to prepare for workforce aging. (2006, June). *Power Engineering*. Retrieved November 26, 2010 from <http://www.powergenworldwide.com/index/display/articledisplay/258477/articles/power-engineering/volume-110/issue-6/features/generating-buzz-idaho-power-takes-on-performance-management-to-prepare-for-workforce-aging.html>

² Workforce performance is top HR priority. (2005). *T+D*, 59(7), 16.

³ Gillespie, T. L., & Parry, R. O. (2009). Students as employees: Applying performance management principles in the management classroom. *Journal of Management Education*, 33, 553-576.

not-for-profit sector, the government in England has implemented what is probably the world's biggest performance management system, and, by statutory force, the performance of teachers and "headteachers" (i.e., school principals) is now evaluated systematically. This particular system includes a massive national effort of approximately 18,000 primary schools, 3,500 secondary schools, 1,100 special schools, 500 nursery schools, 23,000 headteachers, 400,000 teachers, and an unspecified number of support staff.⁴

Unfortunately, few organizations use their existing performance management systems in productive ways. Performance management is usually vilified as an "HR department requirement." In many organizations, performance management means that managers must comply with their HR department's request and fill out tedious, and often useless, evaluation forms. These evaluation forms are often completed only because it is required by the "HR cops." Unfortunately, the only tangible consequence of the evaluation process is that the manager has to spend time away from his or her "real" job duties.

This book is about the design and implementation of successful performance management systems. In other words, it focuses on research-based findings and up-to-date applications that help increase an organization's human capital. Performance management is ongoing and cyclical; however, for pedagogical reasons, the book needs to follow a linear structure. Because performance observation, evaluation, and improvement are ongoing processes, some concepts and practices may be introduced early in a cursory manner but receive more detailed treatment in later sections. Also, this book focuses on best practices and describes the necessary steps to create a top-notch performance management system. As a result of practical constraints and lack of knowledge about system implementation, many organizations cut corners and do not implement systems that follow best practices because of environmental and political issues (e.g., goals of raters may not be aligned with goals of the organization). Because the way in which systems are implemented in practice is often not close to the ideal system, the book includes numerous examples from actual organizations to illustrate how systems are implemented given actual situational constraints.

CHANGES IN THIS EDITION

This edition includes important updates and additional information. In preparation for revising and updating this book, I gathered more than 300 potentially relevant articles and books. About 150 of those were most relevant, and about 50 of those new sources are now included in this edition. These sources have been published since the second edition of the book went into production. This vast literature demonstrates an increased interest in performance management on the part of both academics and practitioners.

This edition includes five important changes throughout the book. First, there is an emphasis on the role of the context within which performance management takes place. Performance management does not operate in a vacuum. Rather, it takes place within a particular organizational context, and organizations have a particular history, unwritten norms about what is valued and what is not, and unwritten norms about communication, trust, interpersonal relations, and many other factors that influence daily activities. Thus, for example, implementing a 360-degree feedback system may be effective in some organizations but not in others (Chapter 8). As a second illustration, some organizations may have a culture that emphasizes results more than behaviors which, in turn, would dictate that the performance management system also emphasize results; instead, other organizations may place an emphasis on long-term goals, which would dictate that performance be measured by emphasizing employee behaviors rather than results (Chapter 4). Also, we need to understand the contextual reasons why performance ratings may not be accurate—particularly if there is no accountability for raters to provide valid assessments (Chapter 6). As yet another example, cultural factors affect what sources are used for performance information: In a country like Jordan, whose culture determines more hierarchical organizational structures, the almost exclusive source of performance information is supervisors, whereas employees and their peers almost have no input; this situation is different in countries with less hierarchical cultures in which not only performance information is collected from peers, but also supervisors are rated by their subordinates (Chapter 6). To emphasize the role of culture, this edition describes examples and research conducted in organizations in Jordan (Chapter

³ Gillespie, T. L., & Parry, R. O. (2009). Students as employees: Applying performance management principles in the management classroom. *Journal of Management Education*, 33, 553–576.

⁴ Brown, A. (2005). Implementing performance management in England's primary schools. *International Journal of Productivity and Performance Management*, 54, 468–481.

6); Japan, China, Turkey, Germany, France, South Korea, Mexico, Australia, and the United Kingdom (Chapter 1); Brazil (Chapter 3); Hong Kong and the Pearl River Delta (Chapter 11); Ghana (Chapter 1); South Africa (Chapter 1); Bulgaria and Romania (Chapter 1); and India (Chapters 1 and 3).

Second, this edition emphasizes that knowledge generated regarding performance management is essentially multidisciplinary. Accordingly, the sources used to support best-practice recommendations offered in this book come from a very diverse set of fields of study ranging from micro-level fields focusing on the study of individual and teams (e.g., organizational behavior, human resource management) to macro-level fields focusing on the study of organizations as a whole (e.g., strategic management). This is consistent with a general movement toward multidisciplinary and integrative research in the field of management.⁵ For example, best-practice recommendations regarding the measurement of performance originate primarily from industrial and organizational psychology (Chapter 5). On the other hand, best-practice recommendations regarding the relationship between performance management and strategic planning were derived primarily from theories and research from strategic management (Chapter 3). In addition, much of the best-practice recommendations regarding team performance management originated from the field of organizational behavior (Chapter 11).

Third, this edition emphasizes the important interplay between science and practice. Unfortunately, there is a great divide in management and related fields between scholars and practitioners. From the perspective of scholars, much of the work conducted by practitioners is seen as relevant but not rigorous. Conversely, from the perspective of practitioners, the work done by scholars is seen as rigorous but mostly not relevant. This “science-practice divide” has been documented by a content analysis of highly prestigious scholarly journals, which regularly publish work that does not seem to be directly relevant to the needs of managers and organizations.⁶ This edition attempts to bridge this divide by discussing best-practice recommendations based on sound theory and research and, at the same time, by discussing the realities of organizations and how some of these practices have been implemented in actual organizations.

Fourth, this edition, as its predecessor, describes the technical aspects of implementing a performance management system in detail. In addition, this edition emphasizes the key role that interpersonal dynamics play in the process.⁷ Traditionally, much of the performance appraisal literature has focused almost exclusively on the measurement of performance—for example, whether it is better to use 5-point versus 7-point scales. However, more recent research suggests that, related to the issue of context mentioned earlier, issues such as trust, politics, leadership, negotiation, mentorship, communication, and other related topics related to interpersonal dynamics are just as important in determining the success of a performance management system. Accordingly, this edition discusses the need to establish a helping and trusting relationship between supervisors and employees (Chapter 9), the role of an organization’s top management in determining the success of a system (Chapter 3), and the motivation of supervisors to provide accurate performance ratings (Chapter 6), among many other related issues throughout the book.

Fifth, this new edition includes new cases in almost every chapter. Taken together, this new edition includes a total of 43 case studies. In addition, the instructor’s manual includes approximately 4 more cases per chapter, for a total of about 40 additional cases. Thus, depending on an instructor’s preference, a course based on this new edition could be taught entirely following a case format or using a lecture and case combination format.

In addition to the aforementioned changes that permeate the entire book, each chapter includes new sections. As illustrations, consider the following chapter-by-chapter nonexhaustive additions:

- Performance management around the world (Chapter 1). This material will be useful in terms of understanding that although performance management systems may have similar goals, their implementation and deployment will be affected by cultural and contextual factors depending on where the organization is located.
- Biases in the job analysis process and their effects in the resulting job analysis ratings (Chapter 2). This material will be useful in terms of providing guidelines on how to gather valid job analysis information.

⁵ Aguinis, H., Boyd, B. K., Pierce, C. A., & Short, J. C. (2011). Walking new avenues in management research methods and theories: Bridging micro and macro domains. *Journal of Management*, 37, 395–403.

⁶ Cascio, W. F., & Aguinis, H. (2008). Research in industrial and organizational psychology from 1963 to 2007: Changes, choices, and trends. *Journal of Applied Psychology*, 93, 1062–1081.

⁷ Aguinis, H., & Pierce, C. A. (2008). Enhancing the relevance of organizational behavior by embracing performance management research. *Journal of Organizational Behavior*, 29, 139–145.

- Relationship between strategies, goals, and firm performance (Chapter 3). This new material will be useful in providing guidelines on the most effective sequence of implementation of the various strategic planning steps as it cascades down and across the various organizational units.
- Voice behavior: Raising constructive challenges with the goal to improve rather than merely criticize, challenge the status quo in a positive way, and make innovative suggestions for change when others, including an employee's supervisor, disagree (Chapter 4). This material will be useful in terms of understanding the multidimensional nature of performance and how different performance dimensions may be valued differently in different organizations.
- Relative percentile method for measuring performance (Chapter 5). This material will be useful regarding the development of measures to assess performance more accurately.
- Open-ended sections included in most appraisal forms (Chapter 6). This material will be useful in terms of learning how to make the most of this information, which is typically underutilized in most performance management systems.
- Calculation of return on investment of portions of a performance management system (Chapter 7). This material will be useful in terms of learning how to document the relative effectiveness, in tangible and financial terms, of a performance management system.
- The feedforward interview (FFI) (Chapter 8). This new material will be useful in terms of understanding how the FFI is a process that leads to uncovering the contextual and personal conditions that lead to success regarding both achievement and job satisfaction.
- Disciplinary process that may lead to termination (Chapter 9). This material will be useful in terms of providing information on what to do when performance problems are identified but employees are unable or unwilling to address them effectively.
- Relationship between new legal regulations and the implementation of performance management systems in China (Chapter 10). This new information will be useful in terms of understanding how the legal environment has a direct impact on performance management practices worldwide.
- Types of learning that can take place as part of the team development plan in the performance planning stage (Chapter 11). This material will be useful in terms of providing a deeper understanding of specific interventions aimed at improving team learning and performance.

Further, the following is a nonexhaustive list of specific topics that have been updated and expanded in each chapter:

- The discussion of voice behavior (i.e., constructive criticisms that challenge the status quo and promote innovative improvements) as an important contribution of performance management systems, performance management's contribution to minimizing employee misconduct, an expanded discussion of allowances, an expanded discussion of the four different dimensions of fairness (i.e., procedural, distributive, interpersonal, and informational justice), the additional strategic purpose of performance management systems as a catalyst for onboarding (i.e., processes helping new employees to transition from organizational outsiders to organizational insiders), and the importance of implementing a system that is congruent with the cultural norms of the organization as well as the culture of the region and country where the organization is located (Chapter 1).
- An expanded discussion of how rater accountability leads to improved accuracy in performance ratings (Chapter 6).
- An expanded discussion of how to evaluate whether the performance management system is working as intended, and a new section on the implementation of online performance management systems (Chapter 7).
- A description of the performance review meetings as work meetings—each one with specific purposes, the need to separate the performance review meetings to minimize negative surprises, an expanded discussion of how to deal with employee defensiveness during the performance review meeting, and the need to consider an employee's personality (e.g., core self-evaluations) in the process of giving feedback (Chapter 9).
- An expanded discussion of nonfinancial rewards (Chapter 10).
- New material regarding challenges faced in implementing performance management with expatriate teams (Chapter 11).

PLAN FOR THE BOOK

Part I, which includes Chapters 1 through 3, addresses general as well as strategic considerations regarding performance management. Chapter 1 discusses the advantages of implementing a successful performance management system as well as the negative outcomes associated with deficient systems, including lowered employee motivation and perceptions of unfairness. This chapter also includes what can be described as the features of an ideal system. Chapter 2 describes the performance management process starting with what should be done before a system is implemented and ending with the performance renewal and recontracting phases. Chapter 3 links performance management systems with reward systems and an organization's strategic plan. This chapter makes it clear that a good performance management system is a critical component of the successful implementation of an organization's strategy.

Part II, including Chapters 4 through 7, addresses the details of system implementation. This discussion is sufficiently general yet detailed enough so that all managers, not just HR managers, will benefit from this material. Chapters 4 and 5 describe some of the technical aspects associated with the assessment of performance and how to identify and measure both behaviors and results. Chapter 6 discusses appraisal forms and various types of rating schemes, and it discusses the advantages and disadvantages of using various sources of performance information (e.g., supervisor, peers, and customers). Finally, Chapter 7 describes the steps involved in implementing a performance management system, including a communication plan and pilot testing of the system before it is implemented.

Part III, including Chapters 8 and 9, addresses employee development issues. Chapter 8 includes a description of employee developmental plans and the advantages of using 360-degree systems for developmental purposes. Chapter 9 addresses the skills needed by supervisors to observe and assess performance as well as those needed to provide constructive feedback.

Part IV, including Chapters 10 and 11, concerns the relationship among performance management, rewards, the law, and teams. Chapter 10 includes a discussion of traditional and contingent pay plans, pay structures, and their links to performance management. In addition, this chapter provides a discussion of legal issues to consider when implementing a performance management system. Finally, Chapter 11 addresses the timely topic of how to design and implement performance management systems dealing with team performance.

FACULTY RESOURCES

Each of the chapters includes a list of its learning objectives as well as summary points and cases for discussion. I hope this additional material will allow students to have an enjoyable and productive learning experience that will enhance your own individual human capital. Also, there are several resources available for instructors including PowerPoint slides, exam questions and answers (multiple choice and essay-type), role plays, and approximately 40 additional cases (about 4 per chapter) that can be used for in-class discussions, examination materials, or take-home homework or examinations. These materials will allow instructors to prepare for teaching this course more quickly and help make teaching this course a more enjoyable and interactive experience. These faculty resources can be downloaded by visiting www.pearsonhighered.com/aguinis and clicking on Instructor Resources.

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Herman Aguinis

Bloomington, Indiana

DEDICATION

To my dear friend Ariel Aisiks, true visionary and global leader who has been teaching me how to be a top performer for more than 30 years.

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