



BOSHI WENKU

〔管理学〕

人力资源管理实践及其 影响因素

RENLIZIYUAN GUANLI SHIJIAN JIQI

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内容提要

本书分为两部分：第一部分是论述中国情境下人力资源管理实践的具体内涵，并进行了相应的分类，为人力资源管理实践的研究奠定坚实的基础。第二部分主要从多角度探讨转轨时期我国人力资源管理实践的影响因素，重点验证了战略、所有权、规模与企业年龄四种因素对人力资源管理实践的影响作用，并提出了建议及将来的研究方向。

本书的特色主要体现在以下几方面：(1) 强调“本土性”，本书并非国外理论在中国简单的应用移植，而是力图将其放入中国转轨的独特背景中；(2) 采取科学的研究方法；(3) 追求新的研究视角，同时运用战略人力资源管理理论与制度主义理论探讨中国企业人力资源管理实践的影响因素。

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前 言

近年来，人力资源管理领域的研究开始从微观个体层面拓展到宏观组织层面，学者们开始关注企业中人力资源管理实践的重要性，对此投入了极大的研究热情，研究成果不断丰富。

尽管已有研究取得了长足的进展，但仍有不足之处，主要表现为以下三点：首先，虽然人力资源管理实践对企业竞争优势提升的重要性得到普遍承认，然而迄今为止，关于什么是人力资源管理实践，研究者尚未达成一致意见。其次，国内外不少学者依据自己的观点提出了各种各样的分类方法。但这些分类多数是依据发达国家成熟的市场经济背景提出来的。对于我国当前的企业人力资源管理现状，我们还没有识别出一种较为合适的分类方法来对它们进行归类，或者说我们还不知道哪一种分类比较切合中国企业人力资源管理的实际情况。最后，目前学者较多运用战略人力资源管理理论来解释人力资源管理实践，然而相对于其他成熟的市场经济国家而言，处于转轨时期的中国受制度因素影响更为深刻，单纯运用战略人力资源管理理论解释转轨背景下的中国企业难免偏颇。运用多视角的理论探索我国人力资源管理实践，在国内基本上还是空白。

有鉴于此，本书拟探讨的三个问题是：



- (1) 什么是人力资源管理实践?
- (2) 人力资源管理实践有哪些类型?
- (3) 影响人力资源管理实践的因素有哪些? 这些因素是如何影响人力资源管理实践的?

本书共分为六章。第1章导论主要介绍本研究的现实背景、理论背景、要研究的问题、研究方法、研究的理论意义、现实意义以及本书的贡献。第2章为文献研究,一方面回顾了战略人力资源管理理论与制度主义理论,另一方面对人力资源管理实践分类和影响因素的研究进行了评述。在第3章中,本书阐明了人力资源管理实践的概念,并提出了符合我国国情的人力资源管理实践的分类。第4章则是从理论上对人力资源管理的影响因素进行了探讨。第5章以实证研究的方法分析了当前我国人力资源管理实践的影响因素。最后,第6章对本研究进行了总结,并提出了建议及将来的研究方向。

对问题一和问题二(人力资源管理实践的概念与类型)的研究主要集中在第3章。本书认为,人力资源管理实践是指以提高组织绩效为目的而采取的有共同价值导向和指导思想的一系列的人力资源管理活动。依据企业对内部和外部劳动力市场的依赖程度的高低,本书将人力资源管理实践分为内部型人力资源管理实践和外部型人力资源管理实践两类。

内部型人力资源管理实践和外部型人力资源管理实践的区别在于:在雇佣方面,采用内部型人力资源管理实践的企业倾向于与员工签订较长时间的雇佣合同;而采用外部型人力资源管理实践的企业倾向于与员工签订较为短期的雇佣合同。在内部职业机会方面,当组织出现职位空缺时,采用内部型人力资源管理实践的企业首先考虑的是从企业内部寻



找、挑选合适的人员填补空缺；采用外部型人力资源管理实践的企业以外部劳动力市场聘用为主。在培训方面，采用内部型人力资源管理实践的企业愿意为员工提供大量的、正式的、比较全面的培训；而采用外部型人力资源管理实践的企业倾向于对员工进行非系统的培训。绩效考核方面，采用外部型人力资源管理实践的企业在绩效考核时主要依据能够在短期内直接测量的客观的工作绩效；而采用内部型人力资源管理实践的企业更看重员工努力工作的行为。在薪酬方面，采用外部型人力资源管理实践的企业主要根据员工的工作绩效支付报酬；而在内部型人力资源管理实践的企业中，薪酬的支付主要是以员工的职位为导向。

第4章与第5章重点对问题三（人力资源管理实践的影响因素）进行了研究。

第4章从理论上对人力资源管理实践的影响因素进行了探讨：在全面分析企业战略、所有权、规模、年龄、生命周期、信息结构、文化、行业特征等因素对企业人力资源管理实践影响的基础上，本研究对影响我国企业人力资源管理实践两大重要因素——战略和所有权进行了深层次的剖析。本书认为，企业在制定战略时，需要对外部环境和内部环境进行分析，一旦战略制定之后，企业的人力资源管理实践就需要与之匹配，协助企业实现其战略。同时，所有权也是影响我国企业人力资源管理实践选择的重要因素之一。

第5章则从实证方面对人力资源管理实践的主要影响因素进行了检验。本研究选取了影响我国企业人力资源管理实践的四个因素：战略、所有权、规模、企业年龄来验证这些因素对人力资源管理实践的影响作用。

本研究对北京、杭州、西安等地的 MBA 学生、EMBA



学生以及高层经理研修班学员实施了问卷调查。实证结果表明：所有权对内部型人力资源管理实践有正面影响，防御型战略对内部型人力资源管理实践有部分正面影响，规模和年龄因素能够部分解释内部型人力资源管理实践。

本书还对实证结果进行了讨论。认为所有权能够预测内部型人力资源管理实践的原因在于，在转轨背景下与非国有企业相比，国有企业面临着“组织惯性”，以“三铁”为特征的人事管理已经在人们心中根深蒂固，还难以完全转型，有明显的过去人事管理的痕迹。与非国有企业相比，国有企业更倾向于采用内部型的人力资源管理实践。

战略对内部职业机会、雇佣保障、系统培训的影响并未很好地得到证实。本研究认为，原因可能有以下三点：首先是中国的很多企业还没有明确的战略。其次是我国的人力资源管理实践尚处在初级阶段，还未能有效结合企业战略。最后可能是由于采取探勘型战略的企业主要雇佣知识型员工。当企业的员工具有高价值性和难以模仿性时，企业倾向于通过长期雇佣将知识型员工保留在企业内，并通过内部职业机会、系统培训等方法留住员工。

企业规模能够预测内部职业机会、以职位为基础的薪酬、雇佣保障、系统培训，不能预测以行为为导向的绩效考核。本研究认为，这可能是由于相对于其他人力资源管理实践，绩效考核的实施不容易为外人所观察，企业实施以行为为导向的绩效考核来获取合法性的动力不足。因此，规模对绩效考核的影响并不显著。

企业年龄之所以不能预测以行为为导向的绩效评估、以职位为基础的薪酬，可能是由于企业采用业界普遍认同的“最佳人力资源管理实践”造成的。另外，在系统培训方



面,假设没有得到证实,可能的原因是:培训的方式有很多种,不但包括课堂授课、案例教学等方法,还包括岗位轮换、师徒制等。相比课堂授课,岗位轮换制和师徒制是一种“隐性”的培训,有时即使企业安排了相关培训,员工可能并没有完全意识到。由于员工对培训的概念理解不够全面,在填问卷时会有误差。当然,这从另一个侧面说明量表设计并非完善。

在完成上述三个问题的研究之后,第6章提出了相关的建议。第一,要充分认识非正式制度的作用,克服与人力资源管理目标相冲突的路径依赖。第二,人力资源管理部门应当充当企业的战略伙伴。第三,人力资源管理实践应该做到横向与纵向的一致。第四,加快劳动力市场建设。

本书的贡献在于:

(1) 同时运用两个视角研究我国企业的人力资源管理实践。国外同类研究的视角主要基于战略人力资源管理理论。本书借鉴了战略人力资源管理理论与制度主义理论的研究成果,多角度地解释转轨过程中我国人力资源实践选择的影响因素,丰富了有关领域的认识。

(2) 从理论上较为系统地研究了转轨时期我国企业人力资源管理实践的影响因素。目前,多数学者运用实证方法探讨人力资源管理实践的影响因素,相关的理论分析比较分散和零碎。本书以我国经济体制转轨为背景,在较为合理定义人力资源管理概念的基础上,对人力资源管理实践的影响因素进行了系统的理论分析,尤其是对所有权和战略两个最主要的影响因素进行了深层次的理论探讨,弥补了已有文献的不足。

(3) 对人力资源管理实践的影响因素进行了实证分析。



转轨给中国带来的变化是巨大的。当前情况下，我国企业人力资源管理实践犹如一个“活动的靶子”，究竟是战略还是所有权，或是其他因素对人力资源管理实践的影响更为重要，需要通过实证分析来验证。本书选取了影响人力资源管理实践的四个主要因素进行研究，得出结论：当前阶段，所有权更能影响我国企业的人力资源管理实践。

由于受本人学识所限，本书还存在着一些疏漏和不足之处，恳请专家学者和广大读者批评指正，欢迎随时与本人联系（Email: xielingling666@163.com）。

作者

2009 年 2 月



Abstract

During the recent years there has been a research focuses on shifting from microcosmic individual level to macro-organizational level and increased recognition of the importance of the human resource management practices. Researchers have showed great interests and enthusiasm on the human resource management practices.

Reviewing the domestic and abroad researches in the human resource management practices, we find that the researches on using the strategic human resource management theory to explain human resource management practices is relatively mature.

Scholars interpret the human resource management practices with the strategic human resource management theory on the bases of contingency perspectives. In other words, they believe that the selectiveness of human resource management is influenced by some external and internal factors such as strategy. It is very popular to interpret human resource management practices in the field of management theory. On the other hand, there has been a few researches applying institutionalism theory to interpret human resource management practices. During the transitional period, China is more influenced by institutional factors compared with



other countries in market economy.

Therefore, some researches began to explore the impact of some factors such as ownership and size on the human resource management practices based on the theory of institutionalism.

Although the existing literatures have made great achievements, there are still some disadvantages which mainly reflect in the following three points.

First of all, although it is widely recognized that human resource management practices is the source of organizational competitive advantage so far, researchers have not yet reached consensus on the definition. Secondly, many foreign researchers explore the typology of the human resource management practices under the background of mature market economy. We don't know which one is suitable in china. The studies of the foreign countries on the human resources management practices are mainly based on the theory of strategic human resources management because they are under the background of the market economy. It is not comprehensive to explain the human resources management practices purely with the strategy human resources management theory as our country is being in the middle of transitional economy.

Thus, this book provides answers to the following questions:

- (1) What is human resource management practices?
- (2) What is the typology of human resource management practices?
- (3) Which factors influence the practices of human resource and how the main factors influence the practices of human



resource?

This book is composed of six chapters. In chapter one, we begin with an introduction of the study, putting out the research context, research questions, research methods, the significance of the research and the contribution of our study; In chapter two, we review the theory of strategic human resource management and institutionalism, the classification of human resource management practices and its determinants; In chapter three, we define the human resource management practices and explore the typology of human resource management practices; In chapter four, the determinants of human resource management practices are discussed theoretically; In chapter five, we testify the determinants of human resource management practices on the background of Chinese transitional period empirically. In chapter six, we draw some conclusions of the study, make recommendations and research implications.

The answer of question one and two are mainly focus on the chapter three.

First of all, we define the conception of human resource management practices, and differentiate and analyze it with other similar conceptions. We believe that human resource management practices are series of human resource management activities with the same value and philosophy aiming at the improvement of organizational effectiveness.

Then, we classify human resource management practices into internal type and external type of human resource management practices with the criteria of the enterprise's dependence on



the internal labor market.

The difference of internal type and external type are as follows. With regard to employment, the enterprises adopting the internal type are more likely to sign a long-term contract with the employees, and vice versa. With regard to internal career opportunity, when there is a positions available, the enterprises adopting the internal type are more likely to look for the suitable personnel in the organization, whereas the enterprises adopting the external type are more likely to select from external labor market. With regard to training, the enterprises adopting the internal type are incline to provide a large amount of formal and systematic trainings for employees, whereas the enterprises adopting the external type of human resource management practices are not likely to provide systematic training for employees. With regard to performance appraisal, the enterprises adopting the external type emphasize on taking quantitative outcome which can be measured easily and directly in the short-term as the criteria; whereas the enterprises using the external type pay more attention to the behavior of employees. With respect to salary, the enterprises adopting the external type of human resource management practices tend to pay the salary according to the employee's performance, and vice versa.

The chapter four and the chapter five mainly answer the question three of the study.

In chapter four, we mainly explore the determinants of human resource management practices theoretically.

First of all, the book analyzes the factors such as enterprise



strategy, ownership, size, age, life cycle, information structure, culture and industry characteristics which influence the practices of enterprise human resource management.

Then, we deeply explore and analyze the two important determinants: strategy and ownership.

Strategy is one of the most important determinants of human resource management practices. The relationship between strategy and human resource management practices maybe bilateral relation to some extent. However, we believe that the relationship between them is unilateral relation from up to down in most cases. It is necessary for the enterprise to match the human resource management practices with the corporate strategy to meet the need of organizational object once the strategy is formulated. Therefore, strategy exert profound influence on the selection of human resource management practices.

Ownership is another major factor that influences the selection of human resource management practices. As for the state-owned enterprise, on the one hand, the SOE have more right to make decision of the power of management and power of personnel, the impact of formal institution on the human resource management practices become less gradually. On the other hand, the informal institution like traditional human resource inertia, which replaces the formal institution, continues to exert profound influence on the human resource management practices in the long run. The pre-reform human resource management practices of SOEs which characterized by the "three iron" have become deep-rooted in people's mindset. And it has become a kind of or-



ganizational inertia, which influence the human resource management practices in China at present to a large extent. In general, SOE tend to adopt internal type human resource management practices.

As for private owned enterprises, they tend to adopt external type human resource management practices for it's clear property right and short-term oriented object. At the same time, foreign enterprises depend more on the external labor market to acquire the human resource, which take the two-way selection as their employment rule. Therefore, we can conclude that foreign enterprise prefer to use the external type human resource management practices.

In chapter five, some main determinants of human resource management practices are testified empirically. We select some determinants such as strategy, ownership, age, size to testify whether the factors could influence the human resource management practices.

The questionnaires were sent out to the MBA and EMBA students and members of senior managers seminar. Through collecting and analyzing the data, we found that: ①ownership positive influence on the internal type human resource management practices; ②defender strategy only predict the internal human resource management practices partially; ③size and age can explain the internal type human resource management practices partially.

Besides, this book discusses the results. Ownership can predict the human resource management practices. The pre-reform



human resource management practices of SOEs which characterized by the “three iron” have become deep – rooted in people’s mindset. And it has become a kind of organizational inertia, which influences the human resource management practices in China at present to a large extent. Generally speaking, SOEs tend to adopt internal type human resource management practices compared with the non-SOEs.

Seen from the aspect of strategy, the strategy’s influence on internal career opportunity, employment security and systematic training is not well testified. The reasons are as follows: Firstly, many enterprises in China haven’t explicit strategy; Secondly, the human resource management practices, which is still in its infancy, can not consistent with the corporate strategy. Lastly, the prospector strategy oriented enterprise tends to attract the employee through employment security, internal career opportunity and systematic training, because most of their employees are knowledgeable workers characterized by high value and immitigable.

Seen from the influence of the enterprise size, it could predict the influence of internal career opportunities, position based compensation, employment security, systematic training, and could not predict the behavior oriented appraisals. The reason of why size didn’t have the significant influence on the appraisals maybe that the implementation of performance appraisals can not be observed well by outsiders. Therefore, the enterprise didn’t have enough motivation to implement the behavior oriented appraisals.



Seen from the enterprise age, the reason behind the result that age couldn't predict the behavior oriented appraisals/position based compensation maybe that the enterprises tend to adopt the "best practices" which are widely recognized in business world. In addition, the influence of systematic training on the human resource management practices are not confirmed. Maybe it is caused by mis-understanding of the concept of training by the employees. There are many methods of training, it not only includes classroom teaching but also includes job rotation and apprentice as well. Compared with the explicit classroom teaching method, job rotation and apprentice are implicit. Even if the enterprise provide the implicit training, maybe the employee does not realize that they are given the training. As the staffs may not fully understand the training concepts, some errors may exist in filling the questionnaires. However, it may also indicate that our questionnaire is not well-designed.

Several suggestions are given in the chapter 6 after the three research questions have been explored.

①Avoiding the path dependence which is conflict with the corporate human resource management object. ②Making sure that the human resource department should serve as the strategic partner of the enterprise. ③Making sure that the human resource management practices are vertical and horizon fit. ④Quickening the pace of the construction of the labor market.

The book has four parts of contributions, which are as follows.

(1) Comprehensively utilizing multiple perspectives to ex-