

高等学校经济管理英文版精编教材

人力资源管理基础

英文版·原书第3版

A Framework for Human Resource Management
3rd Edition

(美) 加里·德斯勒 (Gary Dessler) 著
佛罗里达国际大学
赵曙明 改编



机械工业出版社
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本书以具有可读性和可理解性的形式,提供了一个关于人力资源管理的概念和技巧的简略但深刻的回顾。本书既可以作为人力资源导论性课程的教材,与应用性人力资源课程配合使用,也可以作为混合性课程的辅助教材、专业性人力资源课程教材以及人力资源实践者用来更新人力资源相关技能的教材等。

本书适用于管理专业和相关专业的学生、研究生以及人力资源管理的实践者。

Gary Dessler, A Framework for Human Resource Management, 3rd Edition.

ISBN 0-13-144092-6

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本书法律顾问 北京市展达律师事务所

本书版权登记号:图字:01-2006-4261

图书在版编目(CIP)数据

人力资源管理基础(英文版·原书第3版)/(美)德斯勒(Dessler, G.)著;赵曙明改编. - 北京:机械工业出版社, 2007.1

(高等学校经济管理英文版精编教材)

书名原文: A Framework for Human Resource Management (3rd Edition)

ISBN 7-111-20492-1

I. 人… II. ①德… ②赵… III. 劳动力资源-资源管理-高等学校-教材-英文
IV. F241

中国版本图书馆CIP数据核字(2006)第148289号

机械工业出版社(北京市西城区百万庄大街22号 邮政编码 100037)

责任编辑:程琨

北京牛山世兴印刷厂印刷·新华书店北京发行所发行

2007年1月第1版第1次印刷

184mm×260mm·22.75印张

定价:45.00元

凡购本书,如有缺页、倒页、脱页,由本社发行部调换

本社购书热线:(010) 68326294

投稿热线:(010) 88379007

出版说明

教育部在2001年颁布了《关于加强高等学校本科教学工作提高教学质量的若干意见》，明确要求高校要积极开展双语教学。为适应经济全球化的挑战，培养现代社会需求的高级管理人才，推进高校“教育面向现代化、面向世界、面向未来”的发展，双语教学逐渐在我国大学教育中推广开来。

机械工业出版社华章分社为了满足国内广大师生了解、学习和借鉴国外先进经济管理理论、经验，开展双语教学的迫切需求，与国外著名出版公司合作出版了“高等学校经济管理英文版精编教材”系列。我社出版的该系列教材都是在国际上深受欢迎并被广泛采用的优秀教材，其中大部分教材是在国外多次再版并在该领域极具权威性的经典之作。为了让该系列教材更好的服务于读者，适应我国教学的客观需求，针对读者反映外版教材存在部分内容与我国的教学需要不符的问题，我社还专门邀请国内在该学术领域有一定研究的专家学者，结合国内教学的实际对原版图书进行了必要的删节和调整，因此读者在阅读过程中可能会发现跳页的现象，因为文中提到的页码或内容有可能已被删掉，由此给读者带来的诸多不便，我们深表歉意。

在此我们需要提请广大读者特别注意的是，由于我社所选择出版的该系列图书其原书作者均来自先进管理思想比较集中的欧美国家，他们所处国家的政治环境、经济发展状况、文化背景和历史发展过程等与我国社会发展状况之间存在着显著差异，同时作者个人人生观、价值观以及对待各种问题认识也仅仅只代表作者本人的观点和态度，并不意味着我们完全同意或者肯定其说法。敬请广大读者在阅读过程中，立足我国国情，以科学分析为依据，仔细斟酌，批判接受、客观学习和借鉴。

最后，这套英文版精编教材从引进到定稿出版得到了清华大学、北京大学、南开大学、南京大学等高校很多专家学者的大力支持和帮助，对他们的辛勤劳动和精益求精的工作态度在此深表谢意！能为我国经济管理学科的理论教育与实践发展以及推动国家高校双语教学计划略尽绵薄之力是我们出版本套教材的初衷，也实为我们出版者之荣幸。

欢迎广大读者对我社出版的这套教材和各类经济管理类读物多提宝贵意见和建议，您可以通过 hzjg@hzbook.com 与我们联系。

导 读

今天在这里，我非常高兴地给大家推荐美国佛罗里达国际大学管理学与国际企业管理学教授加里·德斯勒所著的优秀教材《人力资源管理基础》（第3版）。这本精编版的人力资源管理教材可能很多人并不是非常熟悉，但一提起他的《人力资源管理》，大家一定都是耳熟能详。德斯勒教授所著的经典教材《人力资源管理》自1978年面世以来，已经10次修订再版，并被翻译成10种不同文字在不同国家和地区出版，该书一直受到美国及国际管理教育界的关注和好评。

由于《人力资源管理》篇幅偏大，这本优秀教材在我国的使用受到了很大的限制。首先，对于大部分管理专业的学生而言，他们未来的职业生涯是作为一般管理者，不一定从事专业人力资源管理工作。他们不需要深入了解工作分析、人员招聘、薪酬设计等人力资源管理专业技术和技巧。对于人力资源管理专业的学生而言，人力资源管理的各个重要职能通常又可以通过后续课程加以详细了解，因而在人力资源管理概论性课程中也不需要讲解得过于详细。在实际教学过程中，《人力资源管理》教材中的大部分内容在教学过程中很难涉及到，只是作为学生深入阅读的参考资料。从一般管理者的角度来看，我们需要编写一类更为侧重于人力资源管理基本概念和原理的概述性教材。其次，现在翻译的《人力资源管理》教材很多，但很多高校为了适应国际化的要求已经逐步开展全英文教学或者双语教学。为了适应全英文教学或双语教学的需要，我们迫切需要引进一批合适的原版教材。通过原版教材的使用，学生可以直接了解人力资源管理的专用术语和概念。为了使中国学生学习方便，教材的篇幅不宜太大，语言需要简单通俗，概念应该清晰突出。这样一本英文版《人力资源管理基础》（第3版）教材完全符合全英文教学和双语教学的需要。最后，现在工商管理教材书的一大趋势是越来越厚，这导致很多教材的购买价格偏高。很多学生向我们反映每学期的教材费用很高，很多优秀的教材买不起。从这个角度来看，这本精编版的《人力资源管理基础》（第3版）能够减轻学生的负担。

作为国内较早开设人力资源管理课程的大学之一，南京大学拥有一批融合东西方人力资源管理理论和实践经验背景的专业教授。本课程现处于国内领先地位，在国际人力资源管理教学研究中有较大的影响。教育部将南京大学作为《人力资源管理》课程师资的培训基地充分说明了该课程在全国高校的领先地位。我于1991年从美国学成回国以后，一直积极探索使用全英文在研究生层次开展人力资源管理教学。通过十多年的努力，我发现在中国高校的一批优秀学生中完全可

以开展全英文教学。全英文教学无论对于提高学生的外语能力，还是培养学生的国际化视野、接触国内外最新理论和实践成果都具有非常重要的作用。在这里我非常感谢机械工业出版社华章分社能够邀请我改编加里·德斯勒教授的《人力资源管理基础》（第3版）一书。根据我多年的教学经验和体会，我对原书进行了一些调整，主要是删除了反映美国国情的公平就业机会和员工多样性、劳工运动、工会和法律等，这些内容与中国国情不太吻合，同时在我国大学教学过程中一般也很少涉及到这些内容。

最后，我衷心祝愿这本经典的《人力资源管理基础》（第3版）教材能够给大家的教学和学习提供有益的帮助！

赵曙明 博士

南京大学商学院院长、教授、博导

2006年11月18日于日本九州大学

前言

本书以具有可读性和可理解性的形式，为学生和人力资源实践者提供了一个关于人力资源管理的概念和技巧的简略但深刻的讲解。你可以用多种方式来使用本书：既可以作为人力资源导论性课程的教材，与应用性人力资源课程配合使用，也可以作为混合性课程（例如人力资源管理和组织行为）的辅助教材、专业性人力资源课程教材（如高技术企业的人力资源），以及人力资源实践者用来更新人力资源相关技能的教材等。我非常感谢教授、学生、管理者和Prentice Hall公司销售人员的共同努力，使得本书不仅成为英文，而且成为包括中文在内的其他几种语言中最畅销的人力资源教材之一。

一如既往，你将会发现最新的这一版与第2版在大多数方面类似。由于所有的管理者都具有与人员管理相关的责任，我将本书目标不仅设定为即将成为人力资源管理者们的读者，更放在了所有将成为管理者们的学生身上。本书的基本主题——提供精确但深刻的人力资源核心概念和技巧——并没有改变，章节结构也与前一版基本相同。

然而，为了不断改进我也进行了一些修改。当然，所有各章的研究和主题已经更新，用来反映人力资源管理领域最新的发现和思考。另外：

新的“战略开放者”（strategy openers）说明每章的材料如何与公司战略计划相联系，每章中均出现的一个新的人力资源框架说明了本章内容在人力资源管理过程中的角色。

最新更新的第9章“人力资源管理中的伦理和公正待遇”提供了人力资源管理者在进行人力资源管理决策时，如何考虑伦理和公正待遇问题的理论和实践的解释。

修改后的第6章“绩效管理和评估”强调了绩效评估在公司绩效管理中的作用。

新增加的每章后的案例提供了对人力资源管理的概念和技巧进行课堂分析和讨论的额外机会。

一个新的人力资源管理全球模型提供了在全球企业中人力资源管理的深入回顾。

没有许多人的努力，没有哪本书能够达到现在的水平。当然，本书也不例外。首先，我要感谢花费了大量时间对本书提供了许多有用建议的评审者。评审者包括：Benjamin Bekhor，Pasadena城市大学；Rich Cober，Cleveland州立大学；Susan Gardner，加利福尼亚州立大学；Caren Goldberg，乔治华盛顿大学；Kelly Anne Grace，佐治亚理工学院；Mary Anne Hyland，Adelphi大学；Thomas Kanick，Broome社区大学；Kathryn Lewis，加利福尼亚州立大学；Daniel O. Lybrook，普渡大学；Gwen Torkelson，Madison地区技术学院；Pamela R. Johnson博士，加利福尼亚州立大学；Patrick

McHugh, 乔治华盛顿大学。

我对以上全体成员表示衷心的感谢。

对Prentice Hall公司,我非常感谢所有第3版专业团队成员的努力,包括编辑Jennifer Simon、市场经理Anka Braun、产品编辑Kelly Warsak和Brittney Corrigan-McElroy、助理编辑Christine Genneken。我还要感谢Natalie Anderson,他建议我要写那些使得本书现在变得非常成功的内容。对家里,我要感谢妻子Claudia的支持和儿子Derek的支持、帮助以及对有关实践的建议。

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Chapter

1

Managing Human Resources Today

- What Is Human Resource Management?
- The Changing Environment and Duties of HR Management
- HR's Strategic Challenges
- HR and Technology
- The Plan of This Book

When you finish studying this chapter, you should be able to:

- Answer the question "What is human resource management?"
- Discuss the components of the changing environment of human resource management.
- Describe the nature of strategic planning.
- Give examples of human resource management's role as a strategic partner.

INTRODUCTION

The first few years of the 21st century were rough for Dell Computer and the PC industry. To maintain its status as the world's number-one PC maker, Dell's average price per computer fell to about \$2,000 in the first quarter of 2001, from about \$2,300 the year before. Its profit margin fell from 21% to 18%. The only way it could keep that 18% margin intact while cutting prices was to find new ways to slash costs.¹ For a company that had always pursued a low-cost strategy, doing so wouldn't be easy. How could Dell cut costs from an already lean operation? The firm's HR managers had to find ways to support Dell's cost-cutting efforts.

WHAT IS HUMAN RESOURCE MANAGEMENT?

Human resource management refers to the practices and policies you need to carry out the personnel aspects of your management job, specifically, acquiring, training, appraising, rewarding, and providing a safe, ethical, and fair environment for your company's employees. These practices and policies include, for instance:

- Conducting job analyses (determining the nature of each employee's job)
- Planning labor needs and recruiting job candidates
- Selecting job candidates
- Orienting and training new employees
- Managing wages and salaries (how to compensate employees)
- Providing incentives and benefits
- Appraising performance
- Communicating (interviewing, counseling, disciplining)
- Training and developing
- Building employee commitment

And what a manager should know about:

- Equal opportunity, ethics, and affirmative action
- Employee health and safety and ethical treatment
- Grievances and labor relations

Why Is HR Management Important to All Managers?

Why are these concepts and techniques important to all managers? Perhaps it's easier to answer this by listing some of the personnel mistakes you *don't* want to make while managing. For example, you don't want

- To hire the wrong person for the job
- To experience high turnover
- To find employees not doing their best
- To have your company taken to court because of your discriminatory actions
- To have your company cited under federal occupational safety laws for unsafe practices
- To allow a lack of training to undermine your department's effectiveness
- To commit any unfair labor practices

Carefully studying this book can help you avoid mistakes like these. More important, it can help ensure that you get results—through others. Remember that you could do everything else right as a manager—lay brilliant plans, draw clear organization charts, set up modern assembly lines, and use sophisticated accounting controls—but still fail, for instance, by hiring the wrong people or by not motivating subordinates. On the other hand, many managers—from presidents to generals and supervisors—have been successful even without adequate plans, organizations, or controls. They were successful because they had the knack for hiring the right people for the right jobs and motivating, appraising, and developing them. Remember as

you read this book that getting results is the bottom line of managing and that, as a manager, you will have to get these results through people. As one company president summed it up:

For many years it has been said that capital is the bottleneck for a developing industry. I don't think this any longer holds true. I think it's the workforce and the company's inability to recruit and maintain a good workforce that does constitute the bottleneck for production. I don't know of any major project backed by good ideas, vigor, and enthusiasm that has been stopped by a shortage of cash. I do know of industries whose growth has been partly stopped or hampered because they can't maintain an efficient and enthusiastic labor force, and I think this will hold true even more in the future.²

Line and Staff Aspects of HRM

All managers are, in a sense, HR managers, because they all get involved in activities such as recruiting, interviewing, selecting, and training. Yet most firms also have a separate human resource department with its own human resource manager. How do the duties of this departmental HR manager and his or her staff relate to line managers' human resource duties? Let's answer this question by starting with short definitions of *line* versus *staff authority*.

Line Versus Staff Authority

Authority is the right to make decisions, to direct the work of others, and to give orders. In management, we usually distinguish between line authority and staff authority. **Line managers** are authorized to give orders. In addition, line managers are in charge of accomplishing the organization's basic goals. The managers for production and sales are generally line managers, for example. **Staff managers**, on the other hand, assist and advise line managers in accomplishing these goals. HR managers are generally staff managers. They have the authority and responsibility for advising line managers (such as those for production and sales) in areas such as recruiting, hiring, and compensation.

Managers may move from line to staff positions (and back) over the course of their careers. For example, line managers in areas like production and sales may well make unplanned career stopovers as staff HR managers. A survey by the Center for Effective Organizations at the University of Southern California found that about one-fourth of large U.S. businesses appointed managers with no HR experience as their top HR executives. Reasons given include the fact that these people may find it easier to give the firm's HR efforts a more strategic emphasis, and the possibility that they may sometimes be better equipped to integrate the firm's HR efforts with the rest of the business.³

In general, firms have an average of one HR employee for each 100 people in the workforce, although that ratio declines as total employment rises. HR and line managers generally share responsibility for most HR activities. For example, HR and line managers in about two-thirds of the firms in one survey shared responsibility for skills training.⁴ (Thus, the supervisor might describe what training she thinks the

new employee needs, HR might design the training, and the supervisor might then ensure that the training is having the desired effect.)

Line Managers' Human Resource Management Responsibilities

All supervisors thus spend much of their time on personnel-type tasks. As one expert says, "The direct handling of people is, and always has been, an integral part of every line manager's responsibility, from president down to the lowest-level supervisor."⁵

For example, one major company outlines its line supervisors' responsibilities for effective human resource management under the following general headings:

1. Placing the right person in the right job
2. Starting new employees in the organization (orientation)
3. Training employees for jobs that are new to them
4. Improving the job performance of each person
5. Gaining creative cooperation and developing smooth working relationships
6. Interpreting the company's policies and procedures
7. Controlling labor costs
8. Developing the abilities of each person
9. Creating and maintaining departmental morale
10. Protecting employees' health and physical conditions

In small organizations, line managers may carry out all these personnel duties unassisted. But as the organization grows, line managers need the assistance, specialized knowledge, and advice of a separate human resource staff.⁶

The Human Resource Department's HR Management Responsibilities

The human resource department provides the specialized assistance that the line managers need.⁷ A summary of the HR positions you might find in a large company, along with their salaries, is presented in the organization chart in Figure 1.1. As you can see, HR positions include compensation and benefits manager, employment and recruiting supervisor, training specialist, employee relations executive, safety supervisor, and industrial nurse. Examples of job duties include:

Recruiters: Maintain contact within the community and perhaps travel extensively to search for qualified job applicants.

Equal employment opportunity (EEO) representatives or affirmative action coordinators: Investigate and resolve EEO grievances, examine organizational practices for potential violations, and compile and submit EEO reports.

Job analysts: Collect and examine detailed information about job duties to prepare job descriptions.

Compensation managers: Develop compensation plans and handle the employee benefits program.

Training specialists: Plan, organize, and direct training activities.

Labor relations specialists: Advise management on all aspects of union-management relations.⁸