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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

PERFORMANCE MANAGEMENT

赫尔曼·阿吉斯 (Herman Aguinis) 著

 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，为使我们的教材更适于教学，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

2005年1月

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Several individuals were extremely instrumental in allowing me to produce this book. I am indebted to Graeme Martin for encouraging me to start this project. Wendy O'Connell helped me gather numerous examples and illustrations that I used throughout. Christine Henle allowed me to use her extremely useful lecture notes. Barbara Stephens, Bonnie Davis, Debra Lammers, and Ray Zammuto gave me excellent and detailed comments that allowed me to improve each of the chapters. Numerous undergraduate, master's, and doctoral students at the University of Colorado at Denver and Health Sciences Center, Instituto de Empresa (Madrid, Spain), and Université Jean Moulin Lyon 3 (Lyon, France) allowed me to beta-test the book and gave me very useful feedback. I thank each of you for your time and intellectual investment in this project. Your coaching and feedback certainly helped improve my performance!

# 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., different 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.

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. Customers want to get the right answer at the right time and they want to receive their products or services promptly and accurately. Only people can make these things happen. Only people can produce a sustainable competitive advantage. And, performance management systems are the key tools to transform people's talent and motivation into a strategic business advantage.

Performance management is a continuous process of identifying, measuring, and developing the performance of individuals and teams and aligning performance with the strategic goals of the organization. Performance management is critical to small and large organizations, for-profit and not-for-profit, domestic and global, and to all industries. 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."

Unfortunately, however, if they have one, 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 because it is a requirement from the "HR cops." And, unfortunately, the only tangible consequence of the evaluation process is that the manager had to spend time away from his or her "real" job duties.

## PLAN FOR THE BOOK

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 manage-

ment is ongoing and cyclical. But, 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 on in a cursory manner first 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. However, due to practical constraints and lack of knowledge about system implementation, many organizations cut corners and do not implement systems following best practices due to environment 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.

Part I includes Chapters 1 through 3 and addresses general as well as strategic considerations regarding performance management. Chapter 1 includes a discussion of 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. The discussion is sufficiently general, yet detailed, 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, various types of rating schemes, and discusses advantages and disadvantages of using various sources of performance information (e.g., supervisor, peers, 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 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 of supervisors to observe and assess performance, as well as those needed to provide constructive feedback.

Part IV is about the relationship between 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.

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 you to have an enjoyable and productive learning experience that will enhance your own individual human capital.

**Herman Aguinis**

*Denver, Colorado*

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CHAPTER

1

# Performance Management and Reward Systems in Context

*A manager is responsible for the application and performance of knowledge.*

—PETER F. DRUCKER

## Learning Objectives

By the end of this chapter, you will be able to do the following:

- Explain the concept of performance management.
- Distinguish performance management from performance appraisal.
- Explain the many advantages and make a business case for implementing a well-designed performance management system.
- Recognize the multiple negative consequences that can arise from the poor design and implementation of a performance management system. These negative consequences affect all the parties involved: employees, supervisors, and the organization as a whole.

Understand the concept of a reward system and its relationship to a performance management system.

- Distinguish among the various types of employee rewards, including compensation, benefits, and relational returns.
- Describe the multiple purposes of a performance management system including strategic, administrative, informational, developmental, organizational maintenance, and documentational purposes.
- Describe and explain the key features of an ideal performance management system.
- Create a presentation providing persuasive arguments in support of the reasons that an organization should implement a performance management system, including the

## ■ 2 PART I Strategic and General Considerations

purposes that performance management systems serve and the dangers of a poorly implemented system.

- Note the relationship and links between a performance management system and other HR functions, including recruitment and selection, training and development, workforce planning, and compensation.

### 1.1 DEFINITION OF PERFORMANCE MANAGEMENT (PM)

Consider the following scenario:

Sally is a sales manager at a large pharmaceutical company. The fiscal year will end in one week. She is overwhelmed with end-of-the year tasks, including reviewing the budget she is likely to be allocated for the following year, responding to customers' phone calls, and supervising a group of 10 salespeople. It's a very hectic time, probably the most hectic time of the year. She receives a phone call from the human resources (HR) department: "Sally, we have not received your performance reviews for your 10 employees; they are due by the end of the fiscal year." Sally thinks, "Oh, those performance reviews. . . . What a waste of my time!" From Sally's point of view, there is no value in filling out those seemingly meaningless forms. She does not see her subordinates in action because they are in the field visiting customers most of the time. All that she knows about their performance is based on sales figures, which depend more on the products offered and geographic territory covered than the individual effort and motivation of each salesperson. And, nothing happens in terms of rewards, regardless of her ratings. These are lean times in her organization, and salary adjustments are based on seniority rather than on merit. She has less than three days to turn in her forms. What will she do? She decides to follow the path of least resistance: to please her employees and give everyone the maximum possible rating. In this way, Sally believes the employees will be happy with their ratings and she will not have to deal with complaints or follow-up meetings. Sally fills out the forms in less than 20 minutes and gets back to her "real job."

There is something very wrong with this picture, which unfortunately happens all too frequently in many organizations. Although Sally's HR department calls this process "performance management," it is not.

Performance management is a *continuous process of identifying, measuring, and developing the performance of individuals and teams and aligning performance with the strategic goals of the organization*. Let's consider each of the definition's two main components:

1. *Continuous process*. Performance management is ongoing. It involves a never-ending process of setting goals and objectives, observing performance, and giving and receiving ongoing coaching and feedback.<sup>1</sup>
2. *Alignment with strategic goals*. Performance management requires that managers ensure that employees' activities and outputs are congruent with the