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工商管理经典英文版·人力资源管理系列

Human Resource Development

人力资源开发

(第3版)

兰迪·L. 德西蒙 (Randy L. Desimone)

乔恩·M. 沃纳 (Jon M. Werner) / 著

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北京

by Randy L. Desimone, Jon M. Werner and David M. Harris
Human Resource Development, 3rd Edition
EISBN: 0-03-031932-3

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981-243-349-X

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图书在版编目(CIP)数据

人力资源开发—Human Resource Development:第3版/德西蒙,沃纳,哈里斯著.一影印版.—北京:清华大学出版社,2003

(工商管理经典英文版·人力资源管理系列)

ISBN 7-302-06498-9

I. 人… II. ①德…②沃…③哈… III. 劳动力资源—资源开发—英文 IV. F241

中国版本图书馆 CIP 数据核字(2003)第 023234 号

出 版 者:清华大学出版社

<http://www.tup.com.cn>

社 总 机:010-62770175

地 址:北京清华大学学研大厦

邮 编:100084

客 户 服 务:010-62776969

责任编辑:康 锐 陈阳群

封面设计:李亚莉

版式设计:北京楠竹文化发展有限公司

印 刷 者:中国科学院印刷厂

发 行 者:新华书店总店北京发行所

开 本:787×1092 1/16 印张:46.5 插页:2

版 次:2003年7月第1版 2003年7月第1次印刷

书 号:ISBN 7-302-06498-9/F·509

印 数:1~3000

定 价:96.00元

21世纪的人类社会正处于一个前所未有、复杂多变的环境之中，企业的生存方式和发展模式也随之改变。中国企业面临着以下严峻的挑战：

全球化的冲击。中国经过10多年的努力，终于加入了WTO，全面融入了全球化的经济体系。但是随之而来的问题是，中国企业不得不面对强大的外国企业的挑战，包括市场挤压和人才争夺等等，这就促使中国的企业必须具有全球化的意识，从更高的视角制定和实施企业发展战略。

高科技的发展。高科技的发展，一方面提高了企业生产与服务的质量和效率，降低了企业成本；但另一方面，由于技术可模仿性的增强，也加剧了企业之间的竞争。

知识资本的地位显著提高。伴随着全球化趋势的加剧，以及科技日新月异的发展，知识资本逐渐取代了财物资本而上升到企业战略性资源的地位，成为企业价值增值的主要源泉。所以，能否吸引、获得、培训和激励员工，尤其是知识型员工，对于企业能否赢得竞争优势至关重要。

在这种大环境下，现代人力资源开发与管理也逐渐显现出新的特点：

1. 人力资源管理是企业战略的重要组成部分，是建立和保持企业核心竞争力的关键。从高层领导到中低层管理者，都必须对企业的人力资源管理负责，而不仅仅是由企业人力资源部门人员唱“独角戏”。

2. 现代人力资源管理强调员工对企业的重要性，人力资源既然是资源，就需要经营。企业应该以一种全新的视角看待员工，要按照营销的思维开发组织中的人力资源，即站在员工需求的角度，通过提供令员工满意的职业生涯规划 and 人力资源产

品与服务，来吸引、保留、激励和开发企业所需要的各层次人才。

3. 21世纪人力资源管理的核心是如何通过价值链的管理，来实现人力资本价值的增值。而价值链的设计和实施，就是对人才进行激励和开发的创新过程。

为了应对知识经济带来的以上挑战，我国的企业必须借鉴国外先进的企业管理理论和实践经验，尤其是人力资源管理领域的丰富经验。为此，我们与国际著名的汤姆森学习集团、麦格劳·希尔教育出版公司合作，引进出版了这套国外人力资源管理领域的经典丛书，以期能够为中国人力资源管理教育和企业的人力资源管理实践，提供最前沿的管理理念、最实用的技能和方法，以及最具操作性的案例，从而全面提升我国人力资源管理研究和实践的水平以及企业的竞争力。

在本丛书版本的甄选过程中，我们本着重视结构、宁缺毋滥、参考世界著名商学院人力资源管理专业设置和教材选用情况，以及对中国企业具有实用性的原则，重点确定了一批内容新、国外采用量大、操作性强的优秀教材。本套丛书覆盖了人力资源开发与管理各重要领域的最新研究成果，并汇集了世界各国企业在人力资源开发与管理方面的大量优秀案例，包括《战略人力资源》、《人力资源开发》、《人力资源甄选》、《职业生涯管理》、《薪酬手册》和《经理人薪酬完全手册》等。

本丛书的读者包括：全国各工商管理院校教师与高年级本科生、研究生、MBA、各企业和事业单位高中级管理者、人力资源管理研究者、咨询机构人员和管理培训人员，以及对人力资源管理感兴趣的广大社会自学者。

希望我们这套丛书能为中国企业形成“以人为本”的管理文化，全面提升企业竞争力做出应有的贡献。

和君创业·闻洁工作室

2003年3月

一个组织能否成功，在很大程度上取决于其成员的知识技能水平与工作动机，这已是无可争议的事实。当今社会，商业竞争不断加剧，越来越多的组织开始关注人力资源开发活动，以便组织中的成员能够胜任不断变化的工作和挑战。在过去的岁月里，有大量的事实表明，人力资源开发工作已经为企业和组织的生存和发展做出了重要的贡献，证明了自身的价值。但由于企业和组织面临的挑战错综复杂，如劳动力多元化等新问题的出现，使人力资源开发工作的难度大大增加。为了确保人力资源开发活动的有效性，负责培训与开发的专业人员必须要审慎选择人力资源开发的内容与方法。

值得庆幸的是，人力资源开发领域不仅已积累了丰富的理论、研究和实践成果，还有新的发现源源不断地充实进来。本书的目的，就是要帮助学生、从事人力资源开发的专业人员以及管理者充分地利用这些知识和经验。我们相信，这样不仅能使他们的工作更富有成效，还可以促进其所在组织的其他成员提高工作效率。

本书针对的读者对象

首先，我们希望为修读商务、经营管理、公共行政管理、教育管理以及其他培养人力资源开发后备人才的专业的大学生和研究生提供一本综合性的教材。为此，本书：

- 全面覆盖了人力资源开发领域所涉及的内容（以美国培训与开发协会能力研究（the American Society for Training and Development's competency study）的界定为依据），从入职

培训到技能培训，从个人职业发展到组织发展，内容丰富详实

- 详细解释了成功地进行人力资源开发活动所必须了解的概念、程序和实战技能
- 生动展示了相关概念和理论在各类组织中的运用
- 清楚描述了在人力资源开发活动中直线管理者与人力资源开发专业人员各自的角色分工
- 真实反映了人力资源开发领域当前的实践和研究状况

此外，本书还是业内人士极好的知识和技能资源库。最后，我们希望为那些没有接触过人力资源开发课程，不具备相关工作经验，或者说对这方面知之不多的经理和一线主管人员，提供一本全面的入门读物。我们希望本书的内容能对他们的培训和人力资源开发工作有所助益，使他们能更加理解和支持、更加充分地利用组织在人力资源开发上的资源投入。

本书在教学方法上的特色

本书提供了大量的教学辅助手段，以提高学生的学习效率，增强他们对课程的兴趣。这些辅助手段包括：

- 学习目标和开篇问题，这是每一章开篇都有的内容
- 作为引子的案例，我们把它放在每章的正文之前，以方便读者将这一章的内容放在一定的情景下去理解
- 例证、图解和参考文献，丰富多彩的内容将帮助读者更好地理解 and 吸收相关的知识
- 对开篇案例的回顾，每一章的正文以此作为结束，以阐明如何用这一章的内容去解释该案例中的问题
- 关键术语和概念列表，放在每章的末尾
- 思考题，用来启发学生的思维，使他们有机会学习如何运用这一章讲授的内容
- 练习题和加框部分的内容，有助于学生进一步学习如何运用相关的知识，使他们能清楚地理解书中的内容是如何与实际生活紧密联系起来的

此外，本书还介绍了众多的企业案例，引述了大量企业高层领导和人力资源开发人员的言论和观点，以便强化对相关概念的记忆和理解，论证人力资源开发对组织成功运作的重要性。

第3版新增的内容

在第2版的基础上，本书进行了内容的修订和更新，以反映自1997年以来人力资源开发在理论和实践上的思考和探索。与第2版相比，第3版新增了350个信息源，新增或经重大修订的部分举例如下：

- 涵盖了更多的人力资源开发中的战略问题，对人力资源开发应与组织的远景和目标相协同作了更多的阐述（第1章）

- 调整了员工行为的影响因素这部分内容的编排，突出了影响因素的宏观和微观之区分，阐明了这些因素与提高个人和组织绩效的关系（第2章）
- 探讨了成人学习理论及其在人力资源开发中的运用（第3章）
- 介绍了360度评估与人力资源开发需求分析的关系（第4章）
- 充实了人力资源开发目标设置部分的内容，新增了两个应用性练习（第5章）
- 增加了有关“人力资源开发项目实施”一章的内容，该章介绍了新兴的培训载体，比如基于公司内部局域网的培训手段等（第6章）
- 介绍并评价了新的人力资源开发评估模型和评估设计的进展，对投资回报率（ROI）和人力资源开发效果的评估进行了更深入的分析（第7章）
- 补充了更多测量入职培训效果的方法（第8章）
- 分析了美国联邦政府在资助基础技能培训上发生的变化，推行ISO9000认证对质量培训的影响，以及目前有关安全培训的问题（第9章）
- 对全面绩效管理中的员工辅导作了更详细的阐述（第10章）
- 介绍了雇员咨询效果和工作场所健康促进项目上的最新研究进展和相关统计数据，以期引起读者对酗酒、吸毒、工作压力、高血压和一些健康问题的关注（第11章）
- 论述了当前职业生涯发展的新动向，其中囊括了一些新的概念和提法，比如“变化的”或者说“新型”的劳资关系、易变性职业生涯、新型的职业生涯和职业发展模型、基于团队的职业发展，以及个人对职业发展应承担的责任（第12章）
- 阐述了近年来对以下问题的研究和思考：管理工作的本质、战略性管理开发、全球化管理开发、基于胜任能力的管理教学和开发、领导行为和高层经营管理人员开发的新做法（包括基于转换型领导和基于工作经验的方法）（第13章）
- 更新了关于以团队为基础实施干预的内容，以及由学习型组织这一新概念引发的组织发展问题的相关内容（第14章）
- 进一步强调了人力资源开发中牵涉到的法律问题，并对组织中管理激励的多元化作了更详尽的分析（第15章）
- 在本书末尾附了关键术语及概念解释

在更新和充实本书内容的同时，我们保持和发扬了以往版本的优点和长处，那就是在坚实的理论研究基础上，用浅显易懂的文字、全面系统的视角去探讨人力资源开发问题，尽量在内容安排上做到理论、研究和实践的综合平衡。为了增强可读性，方便读者对参考文献的检索，我们把所有的引文出处以章后注的形式放到了每一章的最后。

我们欢迎广大读者和有意借鉴本书内容的人提出宝贵意见和建议。来信来电请参照联系方式：

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致谢(略)

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PREFACE

An organization's success is determined as much by the skill and motivation of its members as by almost any other factor. While this has always been true, the pace and volume of modern change is focusing attention on ways human resource development (HRD) activities can be used to ensure organization members have what it takes to successfully meet their challenges. Yet, while there is solid evidence that HRD works, it is not a "magic bullet." The challenges many organizations face are complex, and new dimensions, such as an increasingly diverse workforce, make it more difficult to ensure HRD efforts will succeed. Unless those responsible for training and developing make informed choices about the content and methods of delivering the developmental experience, the results of many HRD efforts will fail to meet expectations.

Fortunately, there is a rich and growing base of theory, research, and practical experience in HRD efforts. We wrote this book to help students, HRD professionals, and managers at all levels take advantage of this knowledge and experience. We firmly believe that if they do so, they will increase their effectiveness, along with that of individuals with whom they work and the organizations of which they are a part.

INTENDED AUDIENCE. We wrote *Human Resource Development* to serve primarily as a comprehensive text for undergraduate and graduate courses in business, management, public administration, educational administration, and other fields that prepare students to train and develop other people. As such, the book:

- covers the entire field of HRD (as defined by the American Society for Training and Development's competency study), from orientation and skills training, to career development and organizational development.
- provides a clear understanding of the concepts, processes, and practices that form the basis of successful HRD.
- shows how concepts and theory can and have been put into practice in a variety of organizations.
- focuses on the shared role of line management and human resource specialists in HRD.
- reflects the current state of the field, blending real-world practices and up-to-date research.

In addition to being an appropriate text for academic courses, this book is an excellent resource for HRD professionals. It can also serve as a comprehensive

introduction for managers and supervisors who have had limited (or no) course work or experience with HRD. Not only can they become better trainers and developers, they will become more informed consumers of the HRD efforts offered by their organizations.

PEDAGOGICAL FEATURES. We have included a number of pedagogical aids in the text to enhance student learning and interest. These aids include:

- *learning objectives and opening questions* at the beginning of each chapter.
- an *opening case* in each chapter that places the contents of the chapter into a meaningful context.
- *illustrations, examples, and references* throughout the chapter to help students better assimilate the information.
- a *return to the opening case* to provide closure and show how the chapter contents may be used to address the issues in the case.
- a list of *key terms and concepts* at the end of each chapter.
- *end of chapter questions* intended to stimulate thought and provide students with an opportunity to use the information.
- *Exercises and boxed inserts* have been included in many chapters to provide further experience with applying materials from the text, or seeing how the materials relate to a real-world setting.

In addition, numerous examples from organizations, along with perspectives offered by organization leaders and HRD professionals, are used to reinforce concepts and demonstrate the importance of effective HRD to organizational success.

NEW TO THE THIRD EDITION. The third edition of this book has been updated to reflect the thinking on HRD theory and practice that has taken place since 1997. Information from over 350 new sources has been added. Some examples of areas that have either been significantly revised or added to the second edition are:

- Expanded coverage of strategic issues in HRD, and how HRD efforts should align with the goals and objectives of the organization (Chapter 1).
- Our discussion of the influences on employee behavior has been reorganized to emphasize the macro- to micro-influences on behavior, and how this relates to the ultimate goals of positively impacting personal and organizational outcomes (Chapter 2).
- Discussion of adult learning theory and how this can be applied to HRD interventions (Chapter 3).
- Relevance of 360-degree appraisal for HRD needs assessment (Chapter 4).
- Expanded coverage concerning determining HRD objectives, including two application exercises (Chapter 5).
- A new chapter on implementing HRD programs, which includes a description of new training media, including intranet-based training (Chapter 6).

- Description and evaluation of new models of HRD evaluation, advances in evaluation design, and expanded discussion of the use of return-on-investment (ROI) and utility estimates for communicating HRD effectiveness (Chapter 7).
- Expanded coverage of ways to measure the effectiveness or orientation programs (Chapter 8).
- Discussion of changes in federal support for basic skills training, the impact of ISO 9000 standards on quality training and current issues pertaining to safety training (Chapter 9).
- An expanded focus on coaching as part of an overall performance management process (Chapter 10).
- Updated research and statistics on the effectiveness of employee counseling and work site health promotion programs to address issues such as alcohol and drug abuse, stress, hypertension, and fitness (Chapter 11).
- Presentation and discussion of the shifts that are occurring in career development, including ideas such as the changing or “new” employment relationship, protean careers, new models of careers and career development, team-based career development, and the individual’s responsibility in career development (Chapter 12).
- Discussion of recent thinking about the nature of managerial work, strategic management development, global management development, competency-based management education and development, and new practices in leadership and executive development, including transformational leadership-based and work-experience based approaches (Chapter 13).
- Updated discussion of team-based interventions and presentation of organizational development issues created by the advent of the learning organization concept (Chapter 14).
- A greater emphasis on legal issues in HRD, as well as an expanded discussion of diversity management initiatives in organizations (Chapter 15).
- A glossary of key terms and concepts has been added to the end of the book.

At the same time, we have worked hard to maintain the elements that have made the previous editions a useful and meaningful resource to students and practitioners, including clear writing, a comprehensive approach to HRD, a strong research base, and a balance between theory, research, and practice. To promote ease of reading, yet still provide easy access to the reference materials, all citations have been moved to endnotes in each respective chapter.

We welcome questions, comments, and suggestions from users and potential adopters of this book. You can reach Randy DeSimone by “snail mail” at the Department of Management & Technology, Rhode Island College, 600 Mt. Pleasant Avenue, Providence, RI, 02908, by telephone at (401) 456-8036, and by e-mail at rdesimone@ric.edu. You can reach Jon Werner at the Department of Management, University of Wisconsin-Whitewater, Whitewater, WI 53190, by telephone at (262) 472-2007, or by e-mail at wernerj@mail.uww.edu.

ACKNOWLEDGEMENTS. We continue to be impressed by and grateful to the talented and dedicated team at The Dryden Press. We thank Tracy Morse for her commitment to the project and the Dryden leadership team for their encouragement and support for our undertaking a third edition of this book. We appreciate the guidance Bobbi Bochenko provided to us at the beginning of the development of this edition. Heather Hogan deserves special thanks for her advice and guidance during the bulk of the development and delivery of the manuscript. We are grateful to Andrea Archer for her skill in shepherding the completed manuscript through the production process. Linda Blundell earned much appreciation for her advice and assistance in obtaining permissions. We also thank Mary Duerson for expert copyediting, and Cliff Kallemeyn and all of the talented folks at Clarinda for their expertise in the design and production of the book. Thanks to all of you.

Randy DeSimone thanks his colleagues at Rhode Island College for their continued and genuine enthusiasm for this project. In particular, I thank I. Atilla Dicle, Crist Costa, and Halil Copur, who each served as department chairperson during the development of this book, for their support, especially by way of sympathetic class scheduling and arranging released time from teaching. My department's student assistants, Jen Richard and Beth Winsor, earned thanks for their help in doing some of the clerical tasks that are a part of producing a manuscript.

Randy DeSimone again thanks his family and friends for their support. In particular, I thank my mother and father, Mary and Carmen DeSimone, for their continued love and support, and for their pride in the work that I have done. Thanks especially to my mother, who not only read the book, but put it to use in her work and encouraged her colleagues to do the same. How many management authors can say that? I am also grateful for the encouragement I have received from my brothers and sisters, aunts and uncles, and my wife's mother and sister. Thanks are due to John Fiore, Marjorie Roemer, Meg Carroll, and David Blanchette for their support, friendship, and wisdom during the writing process. Above all, I thank my wife and best friend, Taina, for her unwavering love, wisdom, and bedrock support. Your encouraging me to undertake a second edition, with the knowledge from our experience during the first edition of the sacrifices you would have to make, is a selfless act I will always appreciate. And, as always, you were with me every step of the way, offering humor, love, advice, perspective, and an attentive ear exactly when I needed them most. Thank you, Taina.

Jon Werner thanks his wife, Barbara, and his children, Hans, Noelle, and Abigail, for their love, support, and patience during the revision process for the third edition. You mean so much to me. Ich liebe Euch! I thank my mother, Dorothy, for her sacrificial love and support of me throughout my life. I thank mentors such as Ken Wexley, John Hollenbeck, and Dan Ilgen for helping to shape my academic career, as well as my uncle, Robert Davis, whose guidance and insights have meant so much to me. I am grateful for the support I have received from my department colleagues, especially my HR colleagues: Peggy Anderson, Steve Havlovic, Marcia Pulich, and Dick Wagner. I'm also extremely grateful for the support provided by my department chair, Christine Clements. I thank Dick Wag-

ner and Roger Yin for their helpful reviews of particular chapters in the third edition, Eric Radomski, Meaghan Voigt, and Dan McCrea for the excellent research assistance each provided, and Ruthann Guendert for all her work with the endnotes (and other matters). I thank Jean Mausehund, Joann Oravec, and Kim Marino for their contributions to this project.

The publisher and the authors wish to acknowledge the following reviewers for providing extremely valuable input and suggestions on the development of this edition:

Helen "Pidge" Diehl, St. Thomas University
William Ferris, Western New England College
Barbara Lyon, Tarleton State University
Margaret C. Lohman, Florida State University
Douglas M. McCabe, Georgetown University
Sheila McGinnis, Metropolitan State College of Denver
Karen Overfield, Carnegie-Mellon University, Education Management Corporation
Fred Pugh, Fontbonne College
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第1章 人力资源开发引论	1
引言	2
人力资源开发的发展与演变	4
人力资源管理与人力资源开发/培训的关系	7
人力资源开发的职能	9
人力资源开发专业人员的角色	16
组织与人力资源开发专业人员面临的挑战	20
人力资源开发的大体流程	23
本书的内容编排	27
第2章 影响员工行为的因素	33
引言	34
员工行为模型	35
影响员工行为的外部因素	37
激励——影响员工行为最基本的内部因素	45
影响员工行为的其他内外部因素	60
第3章 学习与人力资源开发	73
引言	74
学习与辅导	75
提高学习效果	80
学习过程中的个体差异	92
学习策略和类型	101
教学心理学和认知心理学近期的研究进展	105
第4章 人力资源开发需求分析	125
引言	126
战略/组织层面的需求分析	131
任务层面的需求分析	137
个体层面的需求分析	146
确定人力资源开发需求的优先次序	154
关于人力资源开发模型的争论	155
第5章 人力资源开发项目设计	163
引言	164