

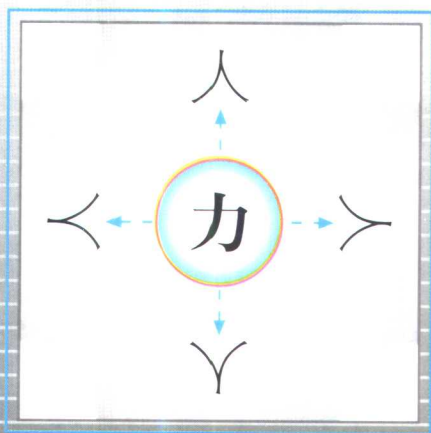
RENLI ZIBEN YUNYING

人力资本运营

李宝元/著

新经济时代

企业经营战略与致胜方略



企业管理出版社
ENTERPRISE MANAGEMENT PUBLISHING HOUSE

人力资本运营

新经济时代企业经营战略与致胜方略

李宝元 著

企业管理出版社

图书在版编目 (CIP) 数据

人力资本运营——新经济时代企业经营战略与致胜方略/李宝元著. - 北京: 企业管理出版社, 2001.9

ISBN 7-80147-592-5

I. 人… II. 李… III. 企业 - 人力资本 - 研究 - 中国
IV. F272.92

中国版本图书馆 CIP 数据核字 (2001) 第 061276 号

书 名: 人力资本运营——新经济时代企业经营战略与致胜方略

作 者: 李宝元 著

责任编辑: 阎书会

技术编辑: 杜 敏

书 号: ISBN 7-80147-592-5/F·590

出版发行: 企业管理出版社

地 址: 北京市海淀区紫竹院南路 17 号 邮编: 100044

网 址: <http://www.cec-ceda.org.cn/cbs>

电 话: 出版部: 68414643 发行部: 68414644 编辑部: 68428387

电子信箱: 80147@sina.com emph1979@yahoo.com

印 刷: 北京鑫正大印刷厂

经 销: 新华书店

规 格: 850 毫米 × 1168 毫米 32 开 16.25 印张 370 千字

版 次: 2001 年 9 月第 1 版 2001 年 9 月第 1 次印刷

印 数: 5000 册

定 价: 30.00 元

版权所有 翻印必究·印装有误 负责调换

2001.10.12

导 语

以人为本者胜

新经济法则：以人为本者胜

在人类跨入新世纪的当今社会，所谓知识经济浪潮扑面而来，诸如“新经济”、“新管理”云云使人目不暇接，什么“数字化生存”、“虚拟化社会”等等时刻挑战着人们的生存状态和生活环境，所有这些，说穿了，实质上都是从不同角度反映了传统物本经济的人本化发展大趋势，在当今“人本经济”的社会市场环境中，“以人为本者胜”已经成为个人、企业和国家生存竞争和赶超发展的基本法则。

——就个人而言，比尔·盖茨何以成功？就是因为他拥有无与伦比的企业家和专业化人力资本，拥有凝聚和整合团队人力资本的优良策略！

——从企业来看，世界 500 强强在何处？就强在各有强大的人力资本队伍和人本管理绝招，无不拥有“以人为本”的战

略方针、治理结构、政策措施！

——拿国家比较，欧美国家凭何发达昌盛？凭的就是高素质、专业化的人力资本之源源不断引进、形成和快速积累！凭的就是它们有保护和弘扬人力资本产权的完备法制体系，有促进人力资本、特别是企业家和专业化人力资本形成积累的宽松社会环境！

究竟何谓“以人为本者胜”？IBM创始人沃特森的话可以直白地回答你：“你可以接收我的工厂，烧掉我的厂房，然而只要留下这些人，我就可以重新建起IBM。”可以肯定几乎所有成功的企业家都说过、会说或首肯类似沃特森这样的话；而同样可以肯定的是，几乎所有失败的企业家大都要么没有说过或不会说这样的话，要么是无知、漠视、不以为然或不承认这话所隐含的生存法则和意义。这就是“新经济”下的“新法则”，它在今天比过去任何时候都来得普遍，都更加“放之四海而皆准”，如同重力法则制约着今天社会生活的方方面面。

如果要对“以人为本者胜”作“理论”点的回答，中外经济学家、社会学家、未来学家都曾从各个角度和层面作出过或正在作出理论解析和判断，那么其中最直接、最有说服力的一种经济理论解说就要数人力资本论了。

以人为本者胜：人本经济发展指向

按照马克思主义观点，经济发展的实质是人的全面发展。一个社会经济运行和发展的基本指向，简言之，就是以人为中心，随着人的专业化人力资本的持续积累和社会生产力的不断提高，从满足人的有限的物质自然性需求到满足人的无限广阔和全面发展的精神社会性需要。

经济发展的根本出发点和最终目的，是人类自身的发展，

是作为社会主体的人自身生产能力的持续提高，是全体社会成员福利状况的不断改善。

经济运行与发展的真正含义在于，通过不断的技术经济组织结构的调整演进和社会经济制度安排变革变迁，使每个社会成员都能通过最大限度地发挥自己的聪明才智和技能（人力资本），平等自主地选择和享有经济增长所带来的物质和精神文明成果，以使自己个人特性得到自由、全面的发展。

因此，关注人力资本的投资、形成和积累，促进人的全面发展，乃是人类社会经济发展的永恒主题和大趋势；特别是在依托自然资源和物质投入推动的物本型经济已走到尽头的今天，大力开发人类自身的智能资源，走以人力资本为依托的人本型经济发展之路，已成为当代世界经济的大趋势、新潮流。

以人为本者胜：现代企业理论解析

人力资本论自 20 世纪中叶创立，经过半个多世纪的发展演变和传播，现在已成为“经济学中应用最多的理论之一”，被推广应用于各个应用学科和研究领域。

人力资本论同样被广泛应用于企业产权和管理制度安排及变革问题的研究领域，并业已在理论上证明：人力资本运营乃现代企业生存与发展的战略层面，是企业知识经济全球化的滚滚浪潮和日趋激烈的市场竞争环境中求生存、谋发展的制胜方略。

现代企业理论认为，企业实质上是一种由人力资本与非人力资本组成的“不完全和约”，人力资本产权在企业所有权安排中具有一种特殊决定性的地位和作用，非人力资本产权的权能和权益必须通过人力资本的直接参与和使用而间接发挥作用

和实现。

企业所有权制度安排随契约条件的改变而在企业利益相关者的互动博弈中实现变迁，随着经济发展水平的提升，人力资本及其所有权在企业契约中具有越来越大的竞争优势，并在与非人力资本进行竞争与合作的博弈过程中不断演化出多元优化的所有权安排及公司治理模式。

以人为本者胜：人本管理大趋势

管理思想来自于制度现实。企业经营管理及其理论思想随企业制度的历史变迁及人们对企业的性质和组织结构的认识深化而演进。

从大的历史发展趋势来看，随着企业制度从古典单一的主制到近代多样化的合伙合作制再到现代多元化的公司制演进，人力资源要素在企业生产经营活动中的地位和作用越来越突出，人力资本产权相对于非人力资本产权在企业所有权制度安排中的主导地位和作用不断得到发扬光大，“以人为本”的管理思想在管理现代化过程中逐渐被人们认可、共识，成为现代管理理论思想的主流和大趋势。

从70年代开始，新技术革命突飞猛进，经济全球化浪潮滚滚而来，知识经济端倪初现，人力资源、特别是知识工人和专业化的人力资本越来越成为决定企业市场竞争成败的战略要素；同时，随着产业和经济民主化运动的推进，严格的反歧视、平等就业、劳动保障方面的法规纷纷出台，以及工会高度组织化的外部压力不断加剧，使得企业生产经营过程中人与人之间的关系比过去任何时候都更加复杂化。

在这样的时代背景下，战略性的、全面系统的、真正“以人为本”思想为指导的现代人力资源管理，作为“人类工作生

活管理模式的革命”就风起云涌地发展起来。

人力资本运营：以人为本者致胜方略

虽然经济学和管理学的前沿研究存在概念、视角、方法及思路上的差异，但对“以人为本者胜”竞争法则的理论认可，“人本经济”与“人本管理”是不谋而合的，实际上是从不同角度对经济运行和发展的人本化规律、特别是经济运行和企业运营在“新经济”时代的走向和大趋势之理论回应。

本书的基本努力目标是：吸收、借鉴和利用现代经济学和管理学的有关研究成果，对现代企业经营管理在人本层面的运行规律和运作原理进行系统深入的理论实证研究，进而建立起“人力资本运营”新概念，以人力资本理论为基础框架来开辟研究思路，展开理论逻辑体系，努力形成契合现代企业实际和中国情况的企业经营管理新架构。

人力资本运营，作为现代企业经营管理的新理念和战略层面，它是指通过战略性投资形成特定技术结构和人力资本存量，进而对这些不同形态和专业化功能的人力资本按照组织目标及要求加以激励使用、整合配置和协调控制，从而达到人力资本保值增值进而实现团队产出和组织收益最大化的目的。

现代企业人力资本运营，一般说来，包括三大运作管理环节或层面：（1）人力资本投资战略规划与企业人力资本的形成管理；（2）通过制度安排和激励机制促进企业人力资本使用效率及绩效水平不断提高；（3）适应外部市场竞争环境，保持、维护和整合企业人力资本存量。

企业人力资本运营是一个周而复始、连续不断的动态过程，在这样的动态运作过程中，运营者须用战略眼光和计划管理能力对人力资本投资活动进行预期决策，并设计和制定相应

的激励机制及方案，还要求能够把它灵活地、权变地、艺术地运用于实际的经营管理工作中去，其最终衡量标准和成功标志乃是一定时期企业人力资本回报率的高低或人力资本价值收益的大小。

基于此，把经济学和管理学的有关研究成果统一纳入一个完整的理论框架，从企业经营管理的战略层次上去审视和研究生产经营过程中人与人之间利益矛盾和社会性冲突，更为深刻地把握制度的要义和管理的实质，从而使我们很容易找到解决现实问题、提高经营管理水平的契机或钥匙。

目前，中国经济正处于转型期，企业结构类型基本形成了国有企业、民营企业和外资企业的三足鼎立状态。从人力资本投资与形成、人力资本激励使用以及人力资本整合管理三个基本层面，审视转型期中国三类企业人力资本运营的制度基础、历史演变、现实状况及存在的矛盾和问题，提出新世纪中国企业高效运作和发展在人力资本运营方面应有的制度框架及战略对策，将具有重大的现实意义。

ABSTRACT

New economic rule: those who use human-based strategy will win.

In modern society, with the advent of the so called “knowledge – based”, such as “new economy”, “new management”, etc., all these have put great challenge to our traditional living environments and conditions. But the above is no more than the humanized trend of our traditional materialized economy. So we may say that humanized economy has become the core law for the survival and development of individuals, enterprises and countries.

—why has Bill Gates succeeded? For his ownership of entrepreneurs and the specialized human capital! And for the superb tactics of the integrity and syntheses of team human resource!

—what is the strengthen of Big 500? For their strong human capital and human resource management skills!

—what the reason for prosperous economy of western developed countries? For their constant introduction, formation and fast accumulation of high-quality and specialized human capital! For their comprehensive legislative system protecting and developing property rights.

What on earth is “those who use human-based strategies will win”? The initiator of IBM Watson may answer this question: “ you may undertake my factories, put fire on my workshops, whatever, I can rebuilt IBM with my staff!” I am sure that all other entrepreneurs

have expressed such words; and I am also sure that those who have failed must be ignorant, indifferent or not accept the connoted survival law in those words. This is the “new law” under “new economy”. It has been more pervasive and more omnipotent than anytime in the past!

Economist foreign and domestic have expounded this theory from different stratum and perspectives, but from my point of view, the most effective and persuasive may be the human capital theory!

Those who use human-based strategies will win: the orientation of economy development in the future

In light of Marxism, what economy development means is in fact the full development of human. The end development direction of a society, in a word, is human-centered development, with the sustaining accumulation of specialized staff and the improvement of productivity.

The fundamental outset and ultimate aim of economic development, to tell the truth, is the self-development of our human beings! That is to say, it is the enhancement of the self-productivity of the main body of society-human being and the constant improvement of welfare the whole society members!

The true meaning of development lies in the following: through the constant enhancement of productivity and the transformation of economic mechanisms, every member may work with his all vim, and choose with his own will and enjoy the material and spiritual products equally. Only in this way everyone develop freely and comprehensively!

Due to above analysis, attending the investment, formation and accumulation of human capital, and promoting people's full develop-

ABSTRACT

ment, is the perpetual topic and great trend of economics development for human society; especially nowadays, when the materialized development that rely heavily on natural resource and material input has come to an end, which make exploiting the intellectual resource inherent in ourselves and advancing in ways of humanized economic development dependent of human capital a great trend of the next century!

Those who use human-based strategies will win: the analysis of modern enterprise theory

Since its establishment in the middle of 2000s, human capital theory has become "one of the most useful theories in practice" and has been utilized in all kind of fields after development of more than 50 years.

Equally, human capital theory has been widely introduced in those fields such as enterprise property right and management system arrangement. At the same it has been verified in theory: that human capital strategies is of the strategic importance to the survival and development of a enterprise and is the decisive point for a enterprise!

Modern enterprise theory takes in for granted that enterprise in essence is an "incomplete contract" comprised of human and non-human capital, and human property play a specially crucial role in the mechanism arrangement of enterprises. In other words, it must through direct participation and utilization can non-human capital indirectly realize its utilization.

With the speeding of economic development, human capital has been of more and more preponderance in enterprise contract, meanwhile, it has been evaluated into multi-factored property right arrange-

ment and company management structure in its competition and cooperation process with non-human capital.

Those who use human-based strategies will win: the great trend of human capital management

The thought of management comes from the reality of system. The corporation's management and the thought of theory change with the whirligig of the system of corporation and with the deepened understanding of characters of corporation, and of organizing structure.

Viewpoint from the great trend of history development, the status and the functions of the factors of human capital become more important than non-human capital. The human-based management thought is acceptable and becomes the mainstream and main trend of modern management thought.

Since 1970, the new technology revolution has developed greatly. Economic globalization and knowledge economy come to debut. Human capital, especially knowledge employer and specialized human capital become the important factor to determinate the result of competition. With the development of the democracy movement of industry and economic, many laws put into practice such as strict anti-discrimination and equal employment opportunity, ensure. And the stress of labor union's externalization makes the relationship of humans more complex than anytime before.

Under the condition of such backgrounds, strategically, general and systematic human-based management as the revolution of living and working model come into being.

ABSTRACT

Human capital operation: The strategies and skills of those who use human-based management

Though there is difference between the research of economics and management in conception, angle, ways means and conceptual framework, they all accept the theory of "those who use human-based strategies view will win" In fact, the human-based economy and human-based management theory reply to the rules especially to the trends of economic operation.

The basic purposes of this book is: reference and using the fruit of modern economic and management, to research deeply and systematically the operation rule and operation principle of modern operation and management on human-basement. Then we may try to establish the new concept of human capital operation and format the new operation structure which caters to modern enterprises condition.

Human capital operation, as a new conception of strategic importance to a enterprise, means: formatting special technical structure and human capital storage through strategic investment, furthermore, motivating, collocating and coordinating those specialized human capital according to organization target and requirement, and in the end reaching such goals as the increment of human capital, and maximizing organization output and profit.

Generally modern corporation human capital operation contains three levels:

(1) The strategic investment of human capital and the management of human capital;

(2) To promote the efficiency of human capital and develop its level by system arrangement and motivation mechanism.

(3) Keeping, sustaining and synthesizing the quantity of human capital adapting to external environment.

Human capital operation is a constant, dynamic process. In such dynamic process, operators must make forecast strategy, design and establish corresponding correspond motivation mechanism, and utilize it freely into management practice using strategic viewpoint and management capacity. The ultimate gauge is the human capital ROI and income.

In light of above analysis, integrating economics and management into a whole theory structure, discerning and researching the contradiction and socialized conflict between people on the basis of strategic operation, is the way in which we can easily find the key to practical problems in enterprises operation.

At present, there are government-owned, private and foreign-owned types of enterprises in transiting China. From the investment and formation, motivation and synthesized management of human capital, researching the system basis, historical evaluation, practical condition and problems of the three types of enterprises, and finding the systematic structure and strategies of in the field of human capital operation for the efficient operation of enterprises in China, will be of great practical point.

目录

导语

英文摘要 (abstract)

正文章节目录

1 概念界定 **——与人力资本运营意义**

1.1 人力资本论：经验应用最多的理论之一 /2

1.2 相关概念释义 /4

1.3 人力资本及其基本特征 /6

1.4 生产，投资与人力资本形成 /14

1.5 精神创造力：人力资本的实质功能 /18

- 1.6 人力资本的流动与配置 /22
- 1.7 人力资本使用：产权特性与制度安排 /23
- 1.8 人力资本运营：现代企业经营管理新理念 /25
- 1.9 人力资本运营研究的思路和意义 /28

2 企业制度变迁 **——与人力资本产权安排**

- 2.1 企业是什么：现代经济学定义 /32
- 2.2 制度安排：企业所有权及治理结构 /36
- 2.3 人力资本产权在企业制度安排中的地位 /40
- 2.4 古典企业中的人力资本产权与运营 /45
- 2.5 近代企业中人力资本权益的确认和提升 /51
- 2.6 现代公司制中的人力资本股权安排 /68
- 2.7 员工持股与一般人力资本股权化 /74
- 2.8 股份合作制及其中的人力资本产权 /87
- 2.9 企业家和经理及其人力资本配置机制 /97
- 2.10 经理层持股：MBO 与期股权 /105
- 2.11 小结：企业制度安排的人力资本化趋势 /130

3 投资战略选择 **——与企业人力资本形成**

- 3.1 组织修炼，知识创造与企业人力资本形成 /134
- 3.2 企业人力资本投资及其战略意义 /143