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Administration Classics

国际人力资源管理

(第5版)

(Fifth Edition)

INTERNATIONAL HUMAN RESOURCE MANAGEMENT

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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出版机构,如培生教育出版集团、麦格劳-希尔公司、圣智学习出版公司等合作,遴选了一批国外最优秀的经济管理类原版教材,涵盖经管类核心课程及各专业主干课程;同时,根据教育部对双语教学教材篇幅合理、定价低的要求,我们广泛听取了有着丰富的双语教学一线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。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，为使我們后续推出的教材更适于教学，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

改编者的话

随着高等教育国际化程度的提高，越来越多的学校和课程开始采用全英文教学模式。在过去的十多年间，我一直在南京大学使用英文讲授“国际企业人力资源管理”课程。就我个人的体会而言，这门课程的教学模式非常成功。这一方面离不开南京大学学生良好的英语水平，另一方面也与国际企业人力资源管理这门课程的性质有关。它本身就是一门非常适合使用英文进行教学的课程，课程的学习对象是一批有志于在跨国公司从事人力资源管理的学生，使用英文教学有利于他们更好地掌握国际企业人力资源管理的术语和内容，更好地进行人力资源领域的交流和沟通。英文教学除了离不开教师和学生的配合，还需要适合的英文版教材。在教学的过程中，我一直在使用彼得·道林教授等人撰写的《国际人力资源管理》一书。这是一本国际通行的国际人力资源管理教材，它的出版对我国国际企业人力资源管理的教学起到了很好的推动作用。

国际企业人力资源管理一直是以跨文化管理为核心的前沿和热门研究领域，也是人力资源管理专业和企业人力资源管理专业的一门核心课程，相对于一般的人力资源管理课程，需要考虑很多独特的跨文化内容。20世纪90年代初，国际人力资源管理比较重视现实的驻外人员管理问题，而现在，人们已经将注意力转移到研究跨国公司人力资源管理的战略性问题，以及跨国公司母公司和子公司之间、子公司和子公司之间关系的问题上。越来越多的跨国公司形成了无国界的、全球导向的公司网络。彼得·道林教授等人撰写的《国际人力资源管理》在探讨跨文化人力资源管理实践的基础上，注重分析跨国企业在实行人力资源管理时面临的选择和做出各种选择需要考虑的若干因素。相对于前几版，第五版融入了更多最新的理论研究和企业实践中发生的案例，因而更加完善，体现了国际人力资源管理这一领域的整体现状和最新发展。在过去的十年中，中国企业对国际人力资源领域的兴趣和迫切性有了很大的提高，很多企业已从最初的引进阶段过渡到走出去阶段，但是也因对跨文化背景下人力资源管理的情况不熟悉而走了弯路，交了学费。因此，进一步学习国际人力资源管理知识，阅读国外优秀的原版著作，对于中国企业加速国际化、提高国际竞争力具有非常重要的意义。

在本书改编的过程中，我请程德俊副教授和我一起合作，他做了大量工作。我们删掉了一些在国内教学中通常不会讲授的内容，减少了本书的篇幅，以适应教学课时的安排，也有利于老师的教学和学生的购买。例如，删掉了国际劳资关系中有关工会和劳资谈判方面的内容，在国际人员配置中有关公平就业法方面的内容等。本书可以作为国际人力资源管理课程的主要教材。同时，可以将 Nancy Adler 的 *International Dimensions of Organizational Behavior* 及 Christopher A. Bartlett 与 Sumantra Ghoshal 的 *Managing Across Borders: The Transnational Solution* 作为辅助教材。这样便于学生更深入地了解国际人力资源管理的相关内容。

祝愿大家在使用本书的过程中得到更大的收获！

赵曙明

Preface

According to the 2006 *World Investment Report* issued by the United Nations, there are currently a total of 77 000 transnational corporations with over 770 000 foreign affiliates which employ 62 million workers worldwide. In 1990, when the first edition of this textbook was published, a total of 24 million workers were employed. This is merely one of many metrics that demonstrate the extent of the globalization of business. With this increase in scale, the role of human resource management in sustaining this increase in international business activity is a central theme of this Fifth Edition of our textbook. In writing this new edition we have retained much of the format that we developed for the Fourth Edition while including expanded coverage of the international business context in which international human resource management operates. A highlight of significant changes to the Fifth Edition includes the following:

- The explicit introduction of a research-based model of strategic HRM in a multinational enterprise in Chapter 1. This model is used as a heuristic point of reference throughout the text and is revisited in Chapter 11 to investigate trends and future challenges.
- All chapters have been reviewed and updated to incorporate the latest empirical research findings and richly detailed information from informed practitioners.
- The addition or enhancement of a number of rapidly developing topic areas in HRM for multinational enterprises, including the following:
 - new strategic forms as they impact HRM capabilities and processes;
 - effectiveness in repatriation, transpatriation practices and strategic uses of global careers;
 - considering and calculating return on investment of expatriate assignments;
 - the complexities of standardizing and customizing HRM practices and activities across local environments;
 - the specific IHRM challenges of offshoring in China – currently one of the most popular offshoring locations;
 - challenges related to more sophisticated performance management activities across cultural, institutional and functional divides;
 - multinational family-owned firms;
 - nongovernmental organizations in the multinational context; and
 - safety and security issues and responsibilities in an age of global risk and uncertainty.
- A majority of the 'IHRM in Action' cases embedded throughout the chapters have been replaced or significantly updated. These changes will help students grasp the principles and models in the chapter and better apply these ideas to a range of settings or contexts.
- Three in-depth cases have been added at the end of the text to replace earlier cases. Two of these new cases have been written by the authors and their professional colleagues specifically for this text as a teaching aide to present

issues of compensation, HR roles and systems across a wide range of operations, HR metrics and planning for international operations.

The challenge of this Fifth Edition has been to organize the complexities particular to HRM activities in multinational enterprises in such a way that provides teachers (of both undergraduate and graduate students) real choice as to how they will present the material. We have tried to find a balance that is meaningful and appropriate to the varying cultures represented by potential adopters and readers, and across educational traditions, institutions and forms, while accurately capturing the compelling realities facing HRM professionals practising in multinational enterprises. As always, we welcome your comments and suggestions for improvement in this task.

A significant change with this edition is a change in the author team following the decision of our colleague, Denice Welch, to withdraw from authorship of the book due to other commitments. We respect this decision and thank her for her considerable effort and contribution to earlier editions of the book. The new author team is an excellent example of collaborative work – across a great many time zones – in the new global context of the twenty-first century with tri-continental representation from the Asia Pacific, Europe and North America.

Acknowledgements

As with previous editions, we have received a great deal of assistance from numerous colleagues in various educational institutions and organizations across the globe. Particular thanks go to the following colleagues for their assistance with this edition of the book:

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Eastern Kentucky University

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About the website

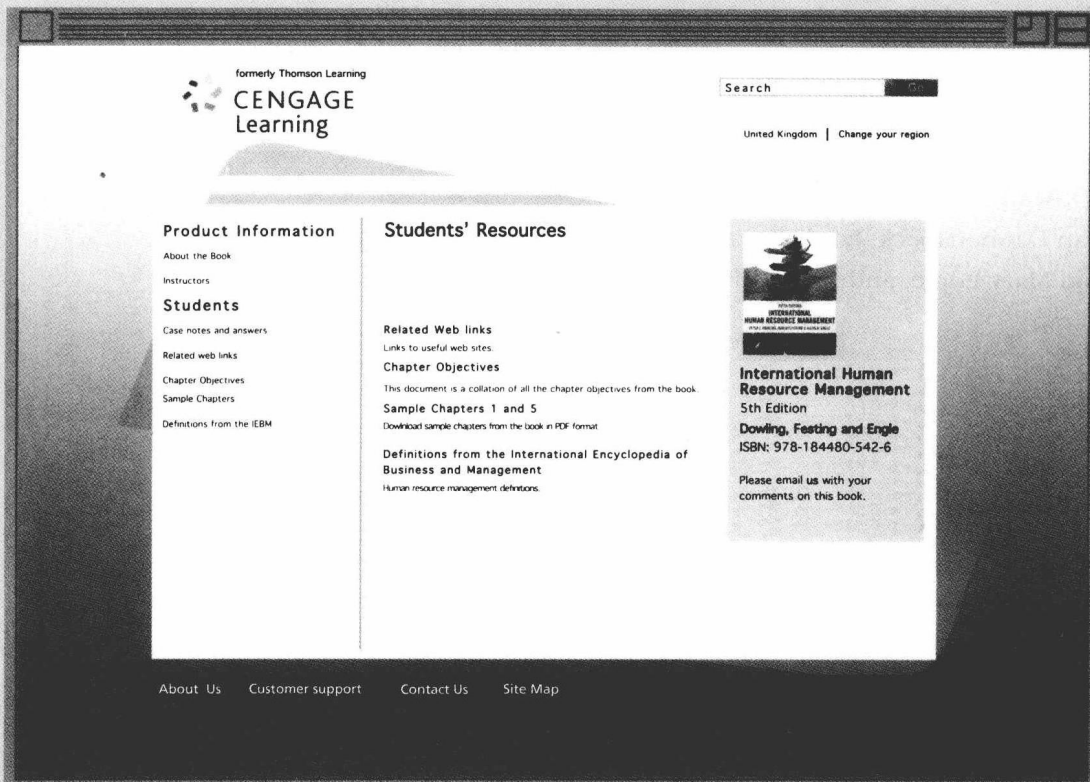
Visit the *International Human Resource Management – Fifth Edition* accompanying website at www.cengage.co.uk/dowling5 to find valuable further material including:

For students

- Related web links to direct you to further resources
- Overviews of each chapter
- Human Resource Management definitions from The International Encyclopedia of Business and Management

For instructors

- Instructor's Manual consisting of teaching notes, how to use the text and answers to questions within the text
- Downloadable Powerpoint slides featuring diagrams and models from the book
- Case notes and answer notes relating to case studies and relevant chapters which will enhance your understanding of ideas within each chapter



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Introduction

Chapter Objectives

In this introductory chapter, we establish the scope of the book. We:

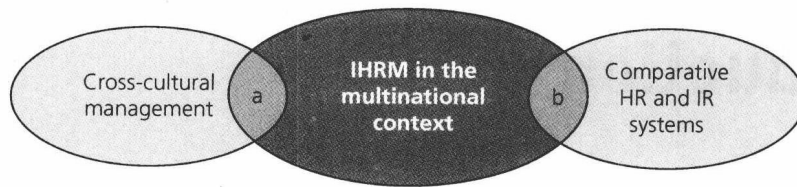
- Define key terms in international human resource management (IHRM) and consider several definitions of IHRM.
- Introduce the historically significant issue of expatriate assignment management and review the evolution of these assignments to reflect the increasing diversity with regard to what constitutes international work and the type and length of international assignments.
- Outline the differences between domestic and international human resource management, and detail a model which summarizes the variables that moderate these differences.
- Present the complexity of IHRM, the increasing potential for challenges to existing IHRM practices and current models, and an increasing awareness of the wide number of choices within IHRM practices due to increased transparency and faster and more detailed diffusion of these practices across organizational units and firms.

Scope of the book

The field of international HRM has been characterized by three broad approaches.¹ The first² emphasizes cross-cultural management: examining human behavior within organizations from an international perspective. A second approach developed from the comparative industrial relations and HRM literature³ and seeks to describe, compare and analyze HRM systems in various countries. A third approach seeks to focus on aspects of HRM in multinational firms.⁴ These approaches are depicted in Figure 1-1. In this book, we take the third approach. Our objective is to

Figure 1-1

Inter-relationships between approaches to the field



explore the implications that the process of internationalization has for the activities and policies of HRM. In particular, we are interested in how HRM is practiced in multinationals – hence the subtitle of this book ‘Managing People in a Multinational Context’.

As Figure 1-1 demonstrates, there is an inevitable overlap between the three approaches when one is attempting to provide an accurate view of the global realities of operating in the international business environment. Obviously, cross-cultural management issues are important when dealing with the cultural aspects of foreign operations. Some of these aspects will be taken up in Chapter 10 where we deal with HRM in the host country context – indicated by (a) in Figure 1-1. Chapter 9 deals with industrial relations issues and draws on literature from the comparative IR field – (b) in the above figure. While the focus of much of this book is on the established multinational enterprise (MNE) – a firm which owns or controls business activities in more than one foreign country – we recognize that small, internationalizing firms which are yet to reach multinational firm status, and family-owned firms, also face international HRM issues.⁵

Defining international HRM

Before we can offer a definition of international HRM, we should first define the general field of HRM. Typically, HRM refers to those activities undertaken by an organization to effectively utilize its human resources. These activities would include at least the following:

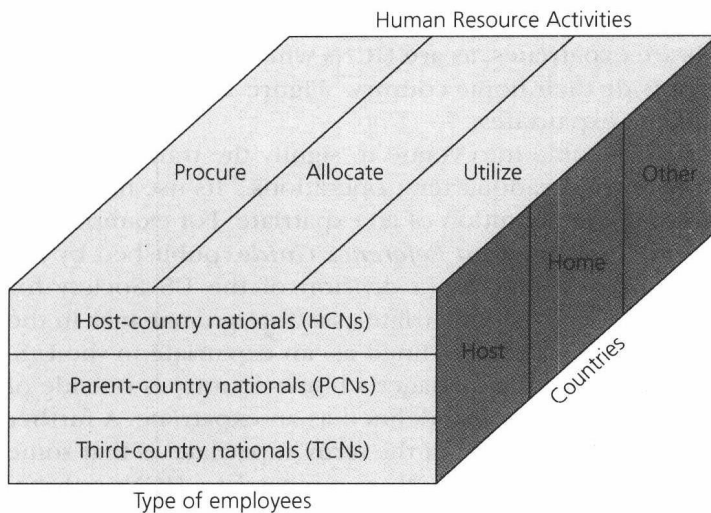
- 1 Human resource planning
- 2 Staffing (recruitment, selection, placement)
- 3 Performance management
- 4 Training and development
- 5 Compensation (remuneration) and benefits
- 6 Industrial relations

The question is of course which activities change when HRM goes international. A model (shown in Figure 1-2) developed by Morgan⁶ is helpful. He presents IHRM on three dimensions:

- 1 The broad human resource activities of procurement, allocation and utilization. (These three broad activities can be easily expanded into the six HR activities listed above.)

Figure 1-2

A model of IHRM



Source: Adapted from P.V. Morgan, 'International Human Resource Management: Fact or Fiction', *Personnel Administrator*, Vol. 31, No. 9 (1986), p. 44.

2 The national or country categories involved in international HRM activities:

- the host-country where a subsidiary may be located;
- the home-country where the firm is headquartered; and
- 'other' countries that may be the source of labor, finance and other inputs.

3 The three categories of employees of an international firm:

- host-country nationals (HCNs);
- parent-country nationals (PCNs); and
- third-country nationals (TCNs).

Thus, for example, the US multinational IBM employs Australian citizens in its Australian operations (HCNs), often sends US citizens (PCNs) to Asia-Pacific countries on assignment, and may send some of its Singaporean employees on an assignment to its Japanese operations (as TCNs). The nationality of the employee is a major factor in determining the person's 'category', which in turn is frequently a major driver of the employee's compensation.

Morgan defines international HRM as the interplay among these three dimensions in Figure 1-2 – human resource activities, type of employees and countries of operation. We can see that in broad terms IHRM involves the same activities as domestic HRM (e.g. procurement refers to HR planning and staffing). However, domestic HRM is involved with employees *within only one national boundary*. Increasingly, domestic HRM is taking on some of the flavor of IHRM as it deals more and more with a multicultural workforce. Thus, some of the current focus of domestic HRM on issues of managing workforce diversity may prove to be beneficial to the practice of IHRM. However, it must be remembered that the way in which diversity is managed within a single national context may not necessarily transfer to a multinational context without some modification.

What is an expatriate?

One obvious difference between domestic and international HRM is that staff are moved across national boundaries into various roles within the international