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原版影印美国A级优秀教材
心理学系列

心理学与人力资源管理

第6版

〔美〕韦恩·卡肖　　赫尔曼·阿格尼斯　著

北京大学出版社
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出 版 说 明

　　培文书系心理学英文影印系列旨在面向心理学领域的师生和广大心理科学的从业者和爱好者,推介国外心理学领域的英文原版专著和教材,使我国读者能够接触到原汁原味的第一手资料。

　　需要重申的是,作者本人的有些观点和结论尚需商榷,有些甚至是不可取的,为此提请读者加以甄别。书中的观点均不代表出版社观点。

前　言

与前五版一样，本书也是一本跨学科取向、基于人力资源研究的教材。或许当前这一版最显著的变化是新增加了一位合作者：Herman Aguinis。他带来大量的内容和方法论方面的专业知识，这些优势都在本版教材中得以体现。与过去一样，我们探讨的主题依然是人事心理学——即把心理学的研究和理论应用到组织的人力资源管理（HRM）之中。作为心理学的一个应用领域，人事心理学寻求有效途径，以提高组织的效率，使其成为令人满意的工作场所。

人事心理学是心理学与人力资源管理的交叉学科。它是人力资源管理的一个分支，但不包含以下内容：如劳动法、赔偿与福利、(工作)安全，以及劳资关系等内容。人事心理学也是工业和组织(I/O)心理学——研究工作环境中人的行为——的一个分支。如今，随着工业和组织心理学在多个方向上的迅速发展，人力资源管理似乎已成为工业和组织心理学家们所关注的众多领域中的一个重要领域。

如前五版所包含的内容一样，我们加入了一些纯理论性的、统计学的和心理测量学方面的内容。毫无疑问，一些读者会就这些内容对本书提出批评："现实社会中的很多事情并不是以这种方式处理的。"也许不会受到批评，因为我们认为本书中的某些观点仅为极少数的组织所使用。然而，在早期版本中许多被认为"过时的"主题现在却被视为"主流"——比如，效度概化(validity generalization)、统计力分析(statistical power analysis)、情景访谈等。本书被设计成具有前瞻性跨学科的教材，尽管其中的一些内容是以常规的方式呈现的，并包含了一些统计学、心理测量学和心理学理论的内容，我们仍然认为这些内容在最终的分析中是相当实用、无可替代的。

在撰写这本书时，我们对读者提出了两个假设：(1)他们熟悉人力资源管理、工业与组织心理学所涉及的一般问题；(2)他们具有初等统计学的基础——至少在概念层次上可以理解统计过程，可以较好地计算统计显著性，并能够解释统计显著性的检验结果。与早期的版本一样，我们的目标是：(1)促进该领域获得发展，而不仅仅是证明过去的实

践;(2)提出一个专业人员应该关注的模型;(3)提供科学程序和基础理论,以便那些认真的学生可以为今后大量知识的积累打下坚实的基础。

我们的总目标是,把心理学理论与那些能够使学生和专业人员将理论有效地转化为实践的工具和方法结合起来。我们深深地意识到,在我们所生活和工作的这个复杂、动态的环境里,科学技术的发展比以往任何时候都要快。因此,个人如果要想避免如Armer(1970)所说的"保罗定律"(Paul Principle)现象(指历经一段时间之后,人们好像变得知识缺乏起来,无法像以前那样得心应手地完成工作),他必须接受终生教育。如果本书能体现出这一宗旨,人力资源这一专业领域必将获得极大的丰富。

本书的前五版在许多院校的心理学系、工商学院及职业学校中获得积极的反响。然而,为了反映人事心理学这门学科的发展现状,第6版有必要把各领域中的新观点和研究成果都涵盖到这本书中。我们努力做到这一点,这在书中的直接体现就是,其中有超过500条的参考文献都是全新的。年复一年,该领域都在持续快速地发展着。以下是第6版新增加内容的样例:

- 总体上,我们在这本书中穿插了四个主题:技术、战略、全球化和社会责任。与早期版本一样,每一章都含有最新的问题讨论,以帮助学生思考他们所读到的内容。
- 第1章针对全球化、技术以及人口统计学方面的变化内容对市场、工作、员工、组织结构及工作本身的诸多影响,提出了大量的对策。
- 我们对第2章人力资料管理中有关法律问题的内容做了大量的更新,这是基于判例法在以下领域中的新发展:年龄和国别歧视、残疾、家庭和医疗水平、服兵役、考试、性骚扰、"唯英语 (only English)"规则、优先选拔等。在所有的案例中,我们都提供了预防措施和实用技巧。
- 第3章仍然强调作为一种思维方法的效用论或决策论,同时也强调把组织看作开放系统的观点。接着,我们提出一个连续性、互助性决策网络的雇佣过程模型,该模型是本书剩余部分的指导思想。
- 第4章更详尽地讨论了多维性和动态性效标,包括以下主题:典型绩效对最佳绩效、反生产行为、关系绩效对任务绩效。还对效标的各种不同诠释影响效度系数(validity coefficient)产生的方式作了讨论。
- 第5章强调的重点从以前的绩效评估转向更为广义的绩效管理的方法。尽管对诸如绩效信息来源、来源的一致性及评定偏差等主题作了拓展或彻底更新,但还包含有很多新近的材料,如绩效管理中人—社会交互作用维度的探讨、反馈接受、

公平感和不公平感及其后果。另外针对团队绩效的评定也新增了部分内容。

- 第 6 章对现代测量理论进行了更加详细的探讨，如概化理论和项目反应理论。另外，讨论了信度估计的各种误差来源，以及各种测验误差校正的相对适宜性。此外，对发展新的测量工具所涉及到的步骤也新增了一些内容。

- 第 7 章增加的材料涉及到距限(range restriction)对效度系数的影响，效度概化和交叉验证，以及这些领域中新近的研究成果对人力资源研究及实践所具有的潜在意义。另外，新增的内容还包括用于内容效度的各种策略，以及当区间有效性(local validation) 研究不可行时如何收集效度证据。

- 第 8 章对区分预测(differential prediction)提供了更为全面的处理对策。我们为提高区分预测测验的准确性提出了一些具体的建议，并明确地把对区分效度和区分预测的探讨与一些不利影响相联系。我们还提出一些如何使不利影响最小化的建议，如多种形式的测验分数区间(banding)，我们将从法律、技术和社会的角度进行讨论。我们还从人际关系和公共政策的角度探讨了公平的概念。

- 第 9 章就工作组织变动及其对工作分析的意义进行了详尽的讨论。我们提出八种工作分析时面临的选择，还增加了一些新的方法，如确定最低任职资格、收集相关工作信息(包括基于因特网的方法)、把人格维度纳入到工作分析之中、进行战略性或未来取向的工作分析、使用胜任力模型等。本章最后还讨论了职业信息的最新取向——O*Net（技术）。

- 第 10 章关注战略性劳动力计划。在商务战略、战略计划的替代方法，以及战略性商务与劳动力计划的关系方面都新增了可观的材料。除了对预测劳动力供需方法的传统讨论之外，我们还新增了经营连续性计划和首席执行官(CEO)继任的内容。

- 我们在第 11 章中讨论了网络在招聘雇员和求职者的实践中所产生的革命性影响。我们还讨论了基于研究所得出的结论，涉及到组织形象、招聘者的特征、资源以及裁员对于招聘的影响。新增加部分考虑了雇用管理系统和个人简历智能处理软件的影响力，并增加了从求职者的角度所反映出的求职过程方面的内容。

- 第 12 章讨论了求职表和个人简历表中反映失真的内容，以及如何使失真最小化；在外显测验与人格诚实性测验的差异性方面也新增了更详细的内容，基于计算机的筛选过程，如虚拟现实筛选也是增加的完全崭新的部分。我们对雇用面试的实施方法进行了充分修改，包括社会—人际因素、个体差异、结构效应、使用其他媒介等内容。

- 第 13 章强调选拔系统的效用不仅仅涉及到效度系数。讨论了当前效用估算中取

得的最新技术进展。所增加的新内容还涉及到：管理者对效用分析的认识，以及这些信息如何影响他们对实施新的选拔系统的决策。最后，本章还包含了多属性效用分析的全新内容，此效用分析可以作为合并股东资金时用来评估选拔系统有效性的一种方法。

- 第 14 章探讨使用一般认知能力测验作为基本的选拔工具所涉及到的利益权衡(trade-offs)问题。也检验了伪装对效度和决策产生的影响。还就情景—辨别测验(situational-judgement test)，以及由选拔程序的不同组合所产生的效度和不利影响(adverse impact)问题增添了全新的内容和信息。

- 第 15 章是培训设计，已做了充分的修正。本章首先讨论了现代组织面临的重大挑战以及这些挑战对于培训设计和学习系统的影响。我们将继续强调：发声训练设计的基本原则、通过认真的需求分析谨慎地界定所学内容的必要性、培训目标的详细规范，以及最佳学习环境的创设。我们还引入了一些有关自我调节和用于提高迁移能力的适应性指导的新材料。

- 第 16 章关注培训结果的落实和测量。新增加了一些基于计算机培训和有关标准的内容。另外还引入了最新的测量模型，以克服 Kirkpatrick(1994)四层次模型的不足。原来的材料使用项目评估数据来阐述那些具有影响力的管理决策，而我们则着重强调用实验设计和准实验设计作为推论培训效果的基础。

- 第 17 章是新增加的一章，关注应用心理学的国际性维度。在考察了文化的概念之后，我们强调五个主要的领域：国际性管理潜力的鉴定、国际性任务分配选择、跨文化培训和开发、绩效管理、归国。我们也对心理测量工具进行跨文化使用时所涉及到的一些特殊问题进行了阐述。

- 第 18 章包括五种道德法规的最近修订版。新增的内容涉及到团体道德纲要，并讨论了个体差异变量对道德行为的影响。新增加的部分还对组织研究过程的每个阶段都需要考察的道德问题进行了阐述，并附带有研究计划和研究结果。最后，我们讨论了研究者本人的价值观在实施和报告组织研究的作用。

如果不感谢在完成本书的过程中，我们的家人所提供的精神上的支持与鼓励，我们就太疏忽了。正是他们的关爱和投入使我们度过了那段美好却又艰难的时光！

<div align="right">

Wayne Cascio，Herman Aguinis
于科罗拉多州丹佛市

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Preface

Like its first five editions, this book is an interdisciplinary-oriented, research-based HR text. Perhaps the most significant change in the current edition is the addition of a new coauthor, Herman Aguinis. Herman brings considerable content and methodological expertise, and this edition of the text reflects those strengths. As in the past, our subject matter is personnel psychology — the application of psychological research and theory to human resource management (HRM) in organizations. As an applied area of psychology, personnel psychology seeks to make organizations more effective and more satisfying as places to work.

Personnel psychology represents the overlap between psychology and HRM. It is a subfield within HRM, excluding, for example, such topics as labor law, compensation and benefits, safety, and industrial relations. Personnel psychology is also a subfield with industrial and organizational (I/O) psychology — the study of the behavior of men and women in work settings. Today, with the tremendous growth of I/O psychology in many directions, HRM is appropriately considered only one of many areas to which I/O psychologists have turned their attention.

As in the first five editions, we have included material of a decidedly theoretical, statistical, or psychometric nature. No doubt some readers will criticize the book on these grounds and charge that "things just aren't done that way in the real world." Perhaps not, for we agree that some of the ideas in the book are used by very few organizations. However, many topics in earlier editions that may have seemed "far out" are now considered "mainstream" — for example, validity generalization, statistical power analysis, and situational interviews. The book is designed to be forward-looking and progressive, and, even though some of the material is presented in a conventional manner, with a dose of statistical, psychometric, or psychological theory thrown in, we believe that in the last analysis nothing is more practical.

In writing this book, we make two assumptions about our readers: (1) They are familiar with the general problems of HRM or I/O psychology, and (2) they have some background in fundamental statistics — at least enough to understand statistical procedures on a conceptual level, and preferably enough to compute and interpret tests of statistical significance. As in earlier editions, our goals are (1) to challenge the field to advance rather than simply to document past practice, (2) to present a model toward which professionals should aim, and (3) to present scientific procedure and fundamental theory so that the serious student can develop a solid foundation on which to build a broad base of knowledge.

Our overall objective is to integrate psychological theory with tools and methods that will enable the student or professional to translate theory into practice effectively. We are well aware that in the complex and dynamic environment in which we live and work, scientific and technological advances are occurring faster than ever before. Hence, education must be a life-long effort if one is to avoid what Armer (1970) calls the "Paul Principle": Over time, people become uneducated and therefore incompetent to perform at a level at which they once

performed adequately. If the book projects this one message, then the HR profession will be enriched immeasurably.

The response to the first five editions of this book in psychology departments and in business and professional schools has been particularly gratifying. However, new ideas and research findings in all the areas covered by the book made a sixth edition necessary in order to reflect the state of the art in personnel psychology. We have tried to do just that, as reflected in the fact that more than 500 of the references in this sixth edition are new! Year by year, the field continues to advance rapidly. Here is sample of what is new in the sixth edition:

- At a general level, we have interwoven four themes throughout the book: technology, strategy, globalization, and social responsibility. As in earlier editions, each chapter includes updated discussion questions to help students reflect on what they have read.
- Chapter 1 provides extensive treatment of the impact of globalization, technology, and demographic changes on markets, jobs, people, the structure of organizations, and the very nature of work itself.
- We have updated Chapter 2, on legal issues in HRM, extensively, based on new developments in case law in the areas of age and national origin discrimination, disabilities, family and medical leave, leave for military service, testing, sexual harassment, "English only" rules, and preferential selection. In all instances, we offer preventive actions and practical tips.
- Chapter 3 retains its emphasis on utility or decision theory as a way of thinking, along with a view of organizations as open systems. We then present a model of the employment process as a network of sequential, interdependent decisions that serves as a roadmap for the remainder of the book.
- Chapter 4 has a more detailed discussion of criteria as multidimensional and dynamic, including the topics of typical versus maximum performance, counterproductive behaviors, and contextual-versus-task performance. There is a discussion of how various conceptualizations of criteria affect resulting validity coefficients.
- The emphasis in Chapter 5 has changed from the previous performance-appraisal to a broader performance-management approach. Although there is an extension and thorough update of such topics as sources of performance information, agreement across sources, and rating biases, there is much new material, including a discussion of the interpersonal/social-interaction dimensions of performance management, acceptance of feedback, and perceptions of (un)fairness, as well as the consequences of such perceptions. There is also a new section on the assessment of team performance.
- Chapter 6 has a more detailed discussion of modern measurement theories, including generalizability and item response. Also, there is a discussion of the various sources of error considered by each reliability estimate and the relative appropriateness of various measurement-error corrections. In addition there are new sections on the steps involved in the development of new measurement instruments.
- Chapter 7 includes new material regarding the effects of range restriction on the validity coefficient, as well as validity generalization and cross-validation, and the implications of recent findings in these areas for HR research and practice. Also, there is a new section on how to gather validity evidence when local validation studies are not feasible, as well as various strategies available for content validation.
- Chapter 8 provides a more in-depth treatment of differential prediction. We offer specific suggestions to improve the accuracy of the differential prediction test, and we link explicitly the discussion of differential validity and differential prediction to adverse

impact. We offer suggestions on how to minimize adverse impact, including various forms of test-score banding, which we discuss from legal, technical, and societal points of view. We also discuss the concept of fairness from both interpersonal and public policy points of view.

- Chapter 9 includes extensive discussion of changes in the organization of work and their implications for job analysis. We present eight choices that confront job analysts, plus new methods for establishing minimum qualifications, collecting work-related information (including Internet-based methods), incorporating personality dimensions into job analysis, conducting strategic or future-oriented job analysis, and using competency modeling. The chapter concludes with a discussion of the newest approach to occupational information—the O*Net.

- Chapter 10 focuses on strategic workforce planning. There is considerable new material on business strategy, alternative approaches to strategic planning, and the relationship between strategic business and workforce plans. In addition to our traditional discussion of methods to forecast workforce supply and demand, we include new sections on management succession plans and CEO succession.

- We discuss the revolutionary impact of the Web on the recruitment practices of employers and job seekers in Chapter 11. We also discuss research-based findings on the effects on recruitment of organizational image, characteristics of recruiters, sources, and downsizing. New sections consider the impact of hiring-management systems and intelligent software that processes résumés, plus the process of job searching from the applicant's perspective.

- Chapter 12 discusses the extent of response distortion in application blanks and biodata and how to minimize it; there is also more detail on differences between overt and personality-based honesty tests and an entirely new section on computer-based screening, including virtual reality screening. We have revised our treatment of employment interviews substantially, including social/interpersonal factors, individual differences, the effects of structure, and the use of alternative media.

- Chapter 13 emphasizes that the utility of a selection system includes more than the validity coefficient. It discusses recent technical refinements in the computation of utility estimates and includes a new section on managers' perceptions of utility analysis and how such information affects their decisions regarding the implementation of new selection systems. Finally, the chapter includes an entirely new section on multiattribute utility analysis as a means to incorporate stakeholder input in estimating the usefulness of a selection system.

- Chapter 14 discusses the trade-offs involved in using general cognitive ability tests as a primary tool in selection. It also examines the impact of faking on validity and decision making. There is an entirely new section on situational-judgment tests, along with new information on validity and adverse impact considerations resulting from various combinations of selection procedures.

- Chapter 15, on training design, has been revised substantially. It begins with a discussion of key challenges that modern organizations face and their impact on training design and learning systems. We retain our emphasis on the fundamental principles of sound training design and on the need to define carefully what is to be learned through careful needs analysis, the specification of training objectives, and the creation of an optimal environment for learning. We also include new material on self-regulation and adaptive guidance to enhance transfer.

- Chapter 16 focuses on implementation and the measurement of training outcomes. It includes new sections on computer-based training and criteria. It also incorporates the latest measurement model that attempts to overcome the deficiencies of Kirkpatrick's (1994) four-level model. Original material addresses the issue of influencing managerial decisions with program-evaluation data, although we retain our strong emphasis on experimental and quasi-experimental designs as bases for inferences about training outcomes.

- Chapter 17 is entirely new, focusing on international dimensions of applied psychology. After considering the concept of culture, we emphasize five main areas: identification of potential for international management, selection for international assignments, cross-cultural training and development, performance management, and repatriation. We also address the special issues involved when psychological measurement instruments are transported across cultures.

- Chapter 18 includes updates of each of five codes of ethics that have been revised recently. There is a new section on corporate ethics programs, along with a discussion of the effects of individual differences variables on ethical behavior. New sections address ethical issues to consider at each stage of the organizational-research process, beginning with research planning and ending with reporting results. Finally, we discuss the role of a researcher's values in conducting and reporting organizational research.

We would be remiss if we did not acknowledge the moral support and encouragement of our families throughout the project. Their love and devotion make good times better and bad times a little easier to take.

Wayne Cascio and Herman Aguinis
Denver, Colorado

简明目录
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