

人力资源管理基础(第2版)

(美) Raymond A. Noe John R. Hollenbeck Barry Gerhart Patrick M. Wright 著

Fundamentals of Human Resource Management (Second Edition)



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出 版 说 明

为了适应经济全球化的发展趋势,满足国内广大读者了解、学习和借鉴国外先进经济管理理论和管理经验的需要,清华大学出版社与国外著名出版公司McGraw-hill教育出版集团合作影印出版了一系列商科英文版教材。鉴于大部分外版教材篇幅过长,且其中部分内容与我国的教学需要不符,我们请专家学者结合国内教学的实际要求,对所选图书进行了必要的删节。我们所选择的图书,基本上是在国外深受欢迎、并被广泛采用的优秀教材的缩减版,其主教材均是该领域中较具权威性的经典之作。在选书和删节的过程中,我们得到了很多专家、学者的支持、帮助和鼓励,在此表示谢意!

由于原作者所处国家的政治、经济和文化背景等与我国不同,对书中所持观点,敬请广大读者在阅读过程中注意加以分析和鉴别。

我们在对原版图书进行删节的同时仍采用了原书的页码,因此读者在阅读过程中可能会发现有漏页、跳页的现象,而且文中提到的页码或内容有可能已被删掉从而无法找到,由此给读者带来的诸多不便,我们深表歉意。

我们期望这套影印书的出版对我国经济管理科学的发展能有所帮助,对我国商科的教学,尤其是商学本科的教学能有所促进。

欢迎广大读者给我们提出宝贵的意见和建议;同时也欢迎有关专业人士向我们推荐您所接触到的国外优秀图书。

清华大学出版社经管事业部

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引言

中国的学生要不要使用英文版的教材，一直有争议。有人认为，我们应该使用自己编写的教材，这样才能更准确地反映我们在课堂上所要表述的观点。用国外的原版教材，有些隔靴搔痒，不能解决中国的实际问题。持不同意见的观点认为，尽管各国在管理体制上有意识、制度、文化等差异，但管理本身是在国际环境下具有共同性的问题。特别是，中国的企业在经济全球化的环境下，需要更多地了解国外的管理理论与现状。在这种情况下，就需要引进一些外版的教材。一则，用于满足我们教学的部分需求；二则，更好地了解外版教材的教学服务体系；三则，为我们的师生创造英语教学的环境。

在进行 2004 年本科教指委的工作规划时，我曾特别谈及，要加强对本科教育中教书“育人”、服务于学生的使命的认识，继续优化专业课程设计，扩大精品课程建设，增加专业导向课程，尤其要加强对国际商科与经济管理学科教学进展的研究，并引进最新的教学成果，包括教材及教学资源。这一切都是为了更好地为国家与社会培养更好的人才。

为此，清华大学出版社与美国麦格劳—希尔教育出版公司的合作，引进出版这套“精编版”的英文工商管理教材，也是体现这一理念。这套教材吸收国际最新教学成果，提供全方位的教学资源，并借助英语的语言媒介，将会大力提升与发展中国工商管理教学水平，提高学生使用英语语言和网络手段获得长久的终生学习的能力和兴趣，进而提高我国工商界的国际竞争力。这是一件具有重大意义的工作。

在同美国麦格劳—希尔教育出版公司的中国首席代表姜峰先生讨论引进国际上在工商管理教学的最新成果时，基本上确定了引进本套教材及教学资源的基本格调，即对“国际最新教学成果”的几个共同认识：一是国际上教学技术的进展究竟走到了哪一步，我们就引进到哪一步。二是要注意教学技术的发展给教学及教材带来了的影响，我们要借鉴新的教学辅助手段。

最近几年，我在美国授课的过程中，注意到教学网络技术：CMS，课程管理系统。通过这个教学辅助系统，教师可以将所要讲授的课程内容简单地张贴到一个系统化的网页上，包括教学演示文件 PPT、章节提要（Lecture Notes）、在线阅读资料，以及问答题、简答题还有课后大作业等，还可以很简单地开设自己课程的在线论坛 BBS。学生在注册后，便成为在线学生，通过该平台与教师交互，完成习题、在线提交作业，在线考试，自动出评测分析报告。这一切是以教师为中心，完全解决了教师对于自己教学内容、以及对学生及教学过程的网络化数字化管理的问题，并可多次复用、异地复用。这个在线学习系统

(BlackBoard, WebCT, eCollege) 等不同于国内各高校自己研发的以学籍管理或居于录像、课件的远程教学为中心的校园管理平台, 直接解决大学的核心问题: 即“大师”们对课程教学内容的管理问题, 成为对教师授课最好的在线数字化辅助支持平台。

2003 年 12 月底, 从姜峰先生处得知 BlackBoard 在中国落地, 便通过他与赛尔毕博公司接触, 很快决定在中国人民大学商学院引进该平台支持教学。2004 年的春季学期, 我商学院 247 位教师, 所有 364 门课程全面上线, 2000 多名学生在线注册学习, 引发了人大商学院一场真正意义上的“教学革命”。教师与学生实现了很好地沟通与互动, 学生之间也有了很好地学习谈论的天地。目前, 我商学院的经验, 已经成为赛尔毕博支持国内院校教学上线发展的典范, 成为 BlackBoard 在国内的示范教学网站。

课堂教学同网络平台结合之后, 又给教学带来了新的挑战, 也给教材和教材的出版商们带来了新的机遇。历史悠久的麦格劳 - 希尔教育出版公司积极适应这种挑战, 在商科及经管教材的出版上做了战略性的调整: 即将教材本身做“薄”, 出版一批新型的、跨媒介的教材: 将研讨性、探索性、展开式的学习内容放到网上, 将动态交互性的内容放到网上; 印刷版的教材从过去强调各章节内容全面, 呈现教学过程、学习环节, 转向到注重概念性及引导性, 展现学习的核心内容。同时, 他们将教材配套的教学资源做得更“全”, 将更多的内容上线后全面依托网络, 更加动态地呈现教学内容及教学过程; 并为不同的教学平台提供完全解决方案, 提供跨平台的不同版本的内容“子弹”。无论采用 BlackBoard 或 WebCT 等平台, 教师们都可以从出版商处获得标准的教学资源包, 为自己采用的教材轻松搭建课程网站, 实现教学的在线革命。

总之, 教学在革命, 教学的手段也在革命。我们要看到工商管理教学在国际上的各种变化, 努力跟上时代的发展变化, 使我们的学生真正获得国际水准的教育。为此, 我衷心地感谢这批教材的国外作者们, 正是他们不懈的教学实践, 为给我们学科的发展带来源源的活力; 同时感谢国内外的出版界的人们, 感谢他们对教材、教材市场的永恒的追求, 不断地帮助我们提升教学的水准; 衷心希望这批适应新的教学需要的国际最新教材的出版能抛砖引玉, 再次带动整个工商管理教育无论是本科、高职高专教学还是 MBA、EMBA 教学的发展。

子曰: “学而时习之, 不亦悦乎”。在这场教学革命中, 我们有更大的勇气面临新的教学的挑战, 将中国的工商管理教育推向世界一流的前列!

徐二明

中国人民大学

2004年金秋于北京

In tribute to the lives of Raymond and Mildred Noe
—R.A.N.

To my parents, Harold and Elizabeth, my wife, Patty, and
my children, Jennifer, Marie, Timothy, and Jeffrey
—J.R.H.

To my parents, Robert and Shirley, my wife, Heather and
my children, Chris and Annie
—B.G.

To my parents, Patricia and Paul, my wife, Mary, and my
sons, Michael and Matthew
—P.M.W.

ABOUT THE AUTHORS

Raymond A. Noe is the Robert and Anne Hoyt Professor of Management at The Ohio State University. He was previously a professor in the Department of Management at Michigan State University and the Industrial Relations Center of the Carlson School of Management, University of Minnesota. He received his BS in psychology from The Ohio State University and his MA and PhD in psychology from Michigan State University. Professor Noe conducts research and teaches undergraduate as well as MBA and PhD students in human resource management, managerial skills, quantitative methods, human resource information systems, training, employee development, and organizational behavior. He has published articles in the *Academy of Management Journal*, *Academy of Management Review*, *Journal of Applied Psychology*, *Journal of Vocational Behavior*, and *Personnel Psychology*. Professor Noe is currently on the editorial boards of several journals including *Personnel Psychology*, *Journal of Applied Psychology*, and *Journal of Organizational Behavior*. Professor Noe has received awards for his teaching and research excellence, including the Herbert G. Heneman Distinguished Teaching Award in 1991 and the Ernest J. McCormick Award for Distinguished Early Career Contribution from the Society for Industrial and Organizational Psychology in 1993. He is also a fellow of the Society for Industrial and Organizational Psychology.

John R. Hollenbeck is currently the Eli Broad Professor of Management at the Eli Broad Graduate School of Business Administration at Michigan State University. He received his PhD in Management from New York University in 1984 and joined the Michigan State faculty that year. Dr. Hollenbeck has published over 60 articles and book chapters, with more than 35 of these appearing in the most highly cited refereed outlets (*Journal of Applied Psychology*, *Academy of Management Journal*, *Personnel Psychology*, and *Organizational Behavior and Human Decision Processes*). Dr. Hollenbeck was the acting editor at *Organizational Behavior and Human Decision Processes* in 1995, the associate editor at *Decision Sciences* from 1999 to 2004, and the editor of *Personnel Psychology* between 1996 and 2002. Prior to serving as editor, he served on the editorial board of these journals, as well as the boards of the *Academy of Management Journal*, *Academy of Management Review*, *Journal of Applied Psychology*, and *Journal of Management*. Dr. Hollenbeck was the first recipient of the Ernest J. McCormick Award for Early Contributions to the field of Industrial and Organizational Psychology in 1992 and is a Fellow of the American Psychological Association.

Barry Gerhart is Professor of Management and Human Resources, the Bruce R. Ellig Distinguished Chair in Pay and Organizational Effectiveness, and Director of the Strategic Human Resources Program, School of Business, University of Wisconsin–Madison. His previous faculty appointments include serving as Area Coordinator of the Organization Studies area at Vanderbilt University's Owen Graduate School of Management and as Chair of the Department of Human Resource Studies, Cornell University. His major fields of interest are human resource management and strategy, compensation, and business performance. Professor Gerhart received his BS in Psychology from Bowling Green State University and his PhD in Industrial Relations from the University of Wisconsin–Madison. Current and past editorial board appointments include the *Academy of Management Journal*, *Administrative Science Quarterly*, *Industrial and Labor Relations Review*, the *International Journal of Human Resource Management*, the *Journal of Applied Psychology*, and *Personnel Psychology*. In 1991, Professor Gerhart received the Scholarly Achievement Award from the Human Resources Division, Academy of Management. He is also a Fellow of the American Psychological Association and of the Society for Industrial and Organizational Psychology. Professor Gerhart is co-author of the book, *Compensation: Theory, Evidence, and Strategic Implications*, as well as co-editor of *Compensation in Organizations*.

Patrick M. Wright is Professor of Human Resource Studies and Director of the Center for Advanced Human Resource Studies in the School of Industrial and Labor Relations, Cornell University. He holds a BA in psychology from Wheaton College, and an MBA and a PhD in Organizational Behavior/Human Resource Management from Michigan State University. Professor Wright teaches, conducts research, and consults in the area of Strategic Human Resource Management (SHRM), particularly focusing on how firms use people as a source of competitive advantage. He has published over 50 research articles in journals such as *Academy of Management Journal*, *Academy of Management Review*, *Strategic Management Journal*, *Organizational Behavior and Human Decision Processes*, *Journal of Applied Psychology*, *Personnel Psychology*, and *Journal of Management* as well as over 20 chapters in books and edited volumes such as *Research in P/HRM* and *Handbook of I/O Psychology*. He currently serves on the editorial boards of *Personnel Psychology*, *Human Resource Management Journal*, *Human Resource Management Review*, *Journal of Management*, *Human Resource Planning*, *Management and Organization Review*, *Journal of Management Studies*, and *Journal of Managerial Issues*.

He has co-authored two textbooks, has co-edited a number of special issues of journals dealing with the future of Strategic HRM as well as Corporate Social Responsibility. He has taught in Executive Development programs and has conducted programs and/or consulted for a number of large public and private sector organizations. Dr. Wright served as the Chair of the HR Division of the Academy of Management, and on the Board of Directors for SHRM Foundation, World at Work, and Human Resource Planning Society.

PREFACE

The “good, the bad, and the ugly” appropriately describes how human resource management practices have recently appeared in the media. If you have watched television or read any newspapers or magazines in the last several months you have undoubtedly come across reports dealing with ethics and legal challenges to business practices (such as the discrimination lawsuits against Wal-Mart), and offshoring and outsourcing of jobs (such as IBM plans to send 5,000 jobs to India). On the bright side, companies such as Wegmans Food Markets (the supermarket chain), J. M. Smucker (the jam and jelly company), Container Store (the storage and organization store), and A. G. Edwards (financial services firm) give employees a chance to make a difference at work and as a result have received positive media attention for being included on Fortune magazine’s list of “The 100 Best Companies to Work For.” These media reports highlight how choices that companies have made about human resource management practices influence employees, managers, shareholders, the community, and ultimately, the success of the company.

■ FOCUS AND APPROACH OF *FUNDAMENTALS OF HUMAN RESOURCE MANAGEMENT*

Following graduation most students will find themselves working in businesses or not-for-profit organizations. Regardless of their position or career aspirations, their role in either directly managing other employees or understanding human resource management practices is critical for insuring both company and personal success. As a result, *Fundamentals of Human Resource Management* focuses on human resource issues and how HR is used at work. *Fundamentals of Human Resource Management* is applicable to both HR majors and students from other majors or colleges who are taking a human resource course as an elective or a requirement. An important feature of *Fundamentals of Human Resource Management* is that the book is rich with examples and engages the student with applications. Students not only learn about best human resource practices but they are actively engaged in learning about human resource issues through cases and decision-making. This is critical for helping students learn how to find, develop, and nurture talent, one of the most important tasks in organizations but one which according to a recent *Fast Company* article titled “Why we hate HR,” is woefully performed in most companies. For example, as described in detail in the guided tour of the book, each chapter includes “Thinking Ethically” which confronts students with ethical issues regarding managing human resources and asks them to make and justify their decisions, and several different cases (*BusinessWeek* Cases and additional end-of-chapter cases) which look at events of real companies and encourage students to critically evaluate each situation and apply the chapter concepts. “Did You Know” boxes are included in each chapter. The information provided in these boxes shows students how the issues raised in the chapter play out in compa-

nies. Some examples include the top ten causes of workplace injuries, the importance of first impressions in the interview, and the effects of the glass ceiling on the number of women CEOs. Adopters of *Fundamentals* have access to Manager's Hot Seat exercises which include video segments showing scenarios that are critical for HR success including ethics, diversity, working in teams, and the virtual workplace. Students assume the role of manager as they watch the video and answer questions that appear during the segment—forcing them to make on-the-spot decisions. *Fundamentals of Human Resource Management* also provides students with “how to” perform HR activities such as interviewing that they are likely to have to perform in their jobs. Finally, *Fundamentals of Human Resource Management* shows how the Internet can be useful for managing human resources.

While other books may have similar coverage of HR topics, the author team believes that three features distinguish this book from the rest: timely coverage of important HR issues, easy to read, and features that grab students' attention and get them actively involved in learning. For those of you who adopted the first edition of *Fundamentals* we thank you and hope you will continue to use the second edition! For those of you considering *Fundamentals* for adoption we hope you agree that the book's features make *Fundamentals* your text of choice for human resource management!

■ ORGANIZATION

Fundamentals of Human Resource Management includes an introductory chapter (Chapter 1) and five parts.

Chapter 1 discusses why human resource management is an essential element for an organization's success. The chapter introduces human resource management practices and human resource professionals and managers' roles and responsibilities in managing human resources. Also, ethics in human resource management is emphasized.

Part 1 discusses the environmental forces that companies face in trying to effectively utilize their human resources. These forces include economic, technological, social trends, employment laws, and work design. Employers typically have more control over work design than development of equal employment law or economic, technological, or social trends but all affect how employers attract, retain, and motivate human resources. Some of the major trends discussed in Chapter 2 include greater availability of new and inexpensive technology for human resource management, the growth of the use of human resources on a global scale, changes in the labor force and the types of skills needed in today's jobs, and a focus on aligning human resource management with the company's strategy. Chapter 4, “Analyzing Work and Designing Jobs,” shows how jobs and work systems determine the knowledge, skills, and abilities that employees need to provide services or produce products and influence employees' motivation, satisfaction, and safety at work. The process of analyzing and designing jobs is discussed.

Part 2 deals with identifying the types of employees needed, recruiting and choosing them, and training them to perform their jobs. Chapter 5, “Planning for and Recruiting Human Resources,” discusses how to develop a human resource plan. The strengths and weaknesses of different employment options for dealing with shortage or excesses of human resources including outsourcing, use of contract workers and downsizing are emphasized. Strategies for recruiting talented employees including use of electronic recruiting sources such as job boards and blogs are emphasized. Chapter 6, “Selecting Employees and Placing Them in Jobs,” emphasizes that selection is a process starting with screening applications and résumés and concluding with a job

offer. The chapter takes a look at the most widely used methods for minimizing errors in choosing employees including applications and résumés, employment tests, and interviews. Selection method standards such as reliability and validity are discussed in understandable terms. Chapter 7, “Training Employees,” covers the features of effective training systems. Effective training includes not only creating a good learning environment, but managers who encourage employees to use training content in their jobs and employees who are motivated to learn. The advantages and disadvantages of different training methods, including e-learning, are discussed.

Part 3 discusses how to assess employee performance and capitalize on their talents through retention and development. In “Managing Employees’ Performances,” (Chapter 8) we examine the strengths and weaknesses of different performance management systems including controversial forced distribution or ranking systems. “Developing Employees for Future Success” (Chapter 9) shows the student how assessment, job experiences, formal courses, and mentoring relationships can be used to develop employees for future success. Chapter 10, “Separating and Retaining Employees,” discusses how to maximize employee satisfaction and productivity and retain valuable employees as well as how to fairly and humanely separate employees if the need arises because of poor performance or economic conditions.

Part 4 covers rewarding and compensating human resources, including how to design pay structures, recognize good performers, and provide benefits. In Chapter 11, “Establishing a Pay Structure,” we discuss how managers weigh the importance and costs of pay to develop a compensation structure and levels of pay for each job given the worth of the jobs, legal requirements, and employee’s judgments about the fairness of pay levels. The advantages and disadvantages of different types of incentive pay including merit pay, gainsharing, and stock ownership are discussed in Chapter 12, “Recognizing Employee Contributions with Pay.” Chapter 13, “Providing Employee Benefits,” highlights the contents of employee benefit packages, the ways that organizations administer benefits, and what companies can do to help employees understand the value of benefits and control benefits costs.

Part 5 covers other HR goals including collective bargaining and labor relations, managing human resource globally, and creating and maintaining high-performance organizations. “Collective Bargaining and Labor Relations” (Chapter 14) explores human resource activities where employees belong to unions or are seeking to join unions. Traditional issues in labor-management relations such as union structure and membership, the labor organizing process, and contract negotiations are discussed, as well as new ways unions and management are working together in less adversarial and more cooperative relationships. In “Managing Human Resources Globally” (Chapter 15) HR planning, selection, training, and compensating in international settings are discussed. We show how global differences among countries affect decisions about human resources. The role of human resources in creating an organization that achieves a high level of performance for employees, customers, community, shareholders, and managers is the focus of Chapter 16 “Creating and Maintaining High Performance Work Organizations.” The chapter describes high-performance work systems, the conditions that contribute to high performance, and introduces students to the ways to measure the effectiveness of human resource management.

supplements for instructors



INSTRUCTOR'S MANUAL

The Instructor's Manual includes chapter summaries, learning objectives, an extended chapter outline, key terms, description of text boxes, discussion questions, summary of end-of-chapter cases, video notes and additional activities, and references to Annual Editions articles.



TEST BANK

The test bank includes multiple choice, true/false, and essay questions for each chapter. Rationales and page references are also provided for the answers.

INSTRUCTOR PRESENTATION CD-ROM

This multimedia CD-ROM allows instructors to create dynamic classroom presentations by incorporating PowerPoint, videos and the Instructor's Manual and Test Bank.

BROWNSTONE'S DIPLOMA FOR WINDOWS

This test generator allows instructors to add and edit questions, create new versions of the test, and more.

VIDEOS

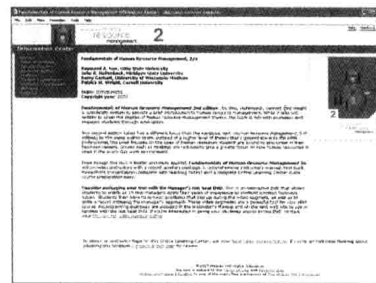
12 new videos on HRM issues accompany this edition. The accompanying video cases are included on the text Web site. Teaching notes are included in the Instructor's Manual.

POWERPOINT

This presentation program features slides that include lecture material, key terms, additional content to expand concepts in the text, hotlinks, video clips, and discussion questions that can be used in CPS (see below). The PowerPoint is found on the Instructor CD-ROM and on the Instructor and student Center of the Online Learning Center. The PPT also now includes detailed teaching notes.

CPS (WIRELESS CLASSROOM PERFORMANCE SYSTEM) by eInstruction

If you've ever asked yourself, "How can I measure class participation, or "How do I encourage class participation?" then CPS might be the product for you. CPS enables you to record responses from students to questions posed in a PowerPoint slide, even record attendance, and offers a variety of reporting features, including easy export to WebCT or Blackboard grade books. For your students, it's as easy as using buttons on a remote control. Questions can be designed by you, or questions are already included in the Fundamentals of Human Resource Management PowerPoint. Ask your local sales representative how to get CPS for your classroom.



ONLINE LEARNING CENTER

(www.mhhe.com/noefund2e)

This text-specific Web site follows the text chapter by chapter. There is a new guide linking the PHR/SPHR certification exam with the text. Instructors can access the downloadable supplements such as the instructor's manual and Hot Seat DVD notes. OLCs can be delivered multiple ways—professors and students can access them directly through the textbook Web site, through PageOut, or within a course management system (i.e., WebCT, Blackboard, TopClass, or eCollege).

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