

PRENTICE HALL  
essence of management  
SERIES

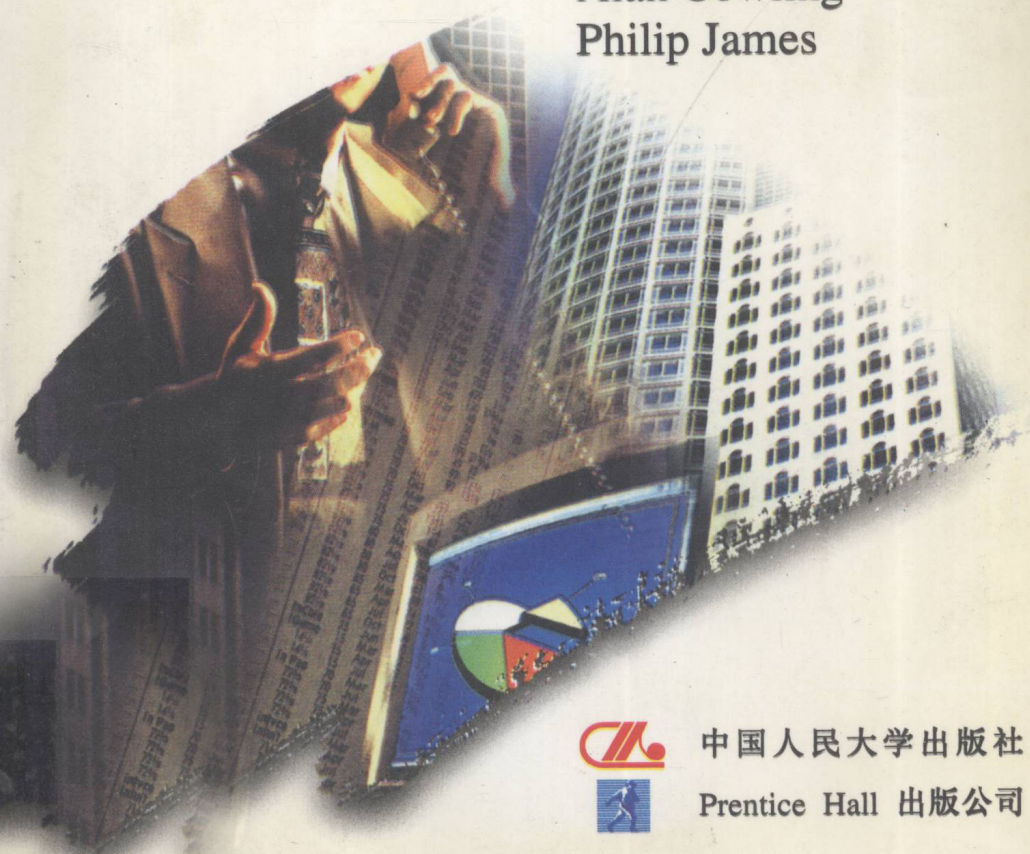
工商管理精要系列·影印版

# 人事管理与产业关系

## PERSONNEL MANAGEMENT AND INDUSTRIAL RELATIONS

阿伦·考林 著  
菲利普·詹姆斯

Alan Cowling  
Philip James



中国人民大学出版社



Prentice Hall 出版公司

工商管理精要系列 · 影印版

---

---

---

---

---

# 人事管理与产业关系

**Personnel Management  
and Industrial Relations**



中国人民大学出版社



Prentice Hall 出版公司

## 图书在版编目(CIP)数据

人事管理与产业关系:英文/考林(Cowling, Alan)、詹姆斯(James, Philip)著·影印版

北京:中国人民大学出版社,1997.12

(工商管理精要系列·影印版/巴克利主编)

书名原文:The Essence of Personnel Management and Industrial Relations

ISBN 7-300-02492-0/F·772

I. 人…

II. ①考…②詹…

III. 企业管理-人事管理-英文-影印版

IV. F272.92

中国版本图书馆 CIP 数据核字(97)第 28278 号

Alan Cowling and Philip James; The Essence of Personnel Management and Industrial Relations

Copyright © Prentice Hall International(UK) Ltd., 1994

All rights reserved. For sale in P. R. China only

本书英文影印版由中国人民大学出版社和 Prentice Hall 出版公司合作出版, 未经出版者书面许可, 不得以任何方式复制或抄袭本书的任何部分。

本书封面贴有 Prentice Hall 防伪标签, 无标签者不得销售。

版权所有, 翻印必究。

工商管理精要系列·影印版


## 人事管理与产业关系

阿伦·考林

著

菲利普·詹姆斯

---

出版:  中国人民大学出版社  
(北京海淀路 157 号 邮编 100080)  
Prentice Hall 出版公司

发行: 中国人民大学出版社

经销: 新华书店

印刷: 北京市丰台区印刷厂

---

开本: 787×1092 毫米 16 开 印张: 13.25 插页 1

1997 年 12 月第 1 版 1997 年 12 月第 1 次印刷

印数: 1—5 000

---

定价: 21.00 元

(图书出现印装问题, 本社负责调换)

# 《工商管理精要系列·影印版》

## 出 版 说 明

《工商管理精要系列·影印版》是中国人民大学出版社和西蒙与舒斯特国际出版公司继《工商管理经典译丛》之后，共同合作出版的一套大型工商管理精品影印丛书。

本丛书由欧洲著名管理学院和管理咨询公司的教授和专家撰写，它将 90 年代以来国际上工商管理各专业的最新研究成果，分门别类加以精练浓缩，由享誉世界的最大教育图书出版商 Prentice Hall 出版公司出版。每一本书都给出了该专业学生应掌握的理论框架和知识信息，并对该专业的核心问题和关键理论作了全面而精当的阐述。本丛书虽然篇幅不长，但内容充实，信息量大，语言精练，易于操作且系统性强。因此，自 90 年代初陆续出版以来，受到欧洲、北美及世界各地管理教育界和工商企业界读者的普遍欢迎，累计发行量已达数百万册，是当今国际工商管理方面最优秀的精品图书之一。

这套影印版的出版发行，旨在推动我国工商管理教育和 MBA 事业的发展，为广大师生和工商企业界读者，提供一套原汁原味反映国外管理科学研究成果的浓缩精品图书。有助于读者尽快提高专业外语水平，扩大知识面，掌握工商管理各专业的核心理论和管理技巧。

本丛书可作为管理院校的专业外语教材和各类企业的培训教材，对于那些接受短期培训的企业管理者、MBA 学生，以及想迅

## II

速了解工商管理各专业核心领域的师生来说，本丛书更是极具价值的藏书和参考资料。

为了能及时反映国际上工商管理的研究成果，中国人民大学出版社今后将与 Prentice Hall 出版公司同步出版本丛书的其他最新内容并更新版本，使中国读者能借助本丛书，跟踪了解国际管理科学发展的最新动态。

1997 年 8 月

# Contents

<b>1</b>	<b>Introduction</b>	<b>1</b>
<b>2</b>	<b>Planning the organization, planning the people</b>	<b>3</b>
	Planning the organization	4
	Designing an organization – the options available	4
	Factors influencing choice of organization structure	9
	Planning the people	11
	Personnel records	14
	Predicting labour wastage	14
	Measuring absenteeism	17
	Controlling absenteeism and wastage	19
	Adding a strategic dimension	21
	Putting the plan together	22
	A human resource planning case study – ICL	23
	References	26
<b>3</b>	<b>Recruitment and selection</b>	<b>28</b>
	Recruitment policy	29
	The labour market	30
	Employment costs and the recruitment process	31
	Job definition	33
	Job specifications	34
	Key result areas	35
	Language used in job specifications and key result area statements	36
	Competencies and selection	36
	Finding applicants	37

Advertising for staff	38
Short listing	39
Selection	40
Criteria for selection methods	40
Interviewing	45
Intelligence tests	46
Personality tests	49
References	49
Biodata	50
Ability tests	52
Assessment centres	53
References	53
<b>4 Motivation and reward management</b>	<b>55</b>
Motivation	56
Reward management	59
Maintaining competitive rewards	61
Achieving internal equity based on job content	63
Payment by results	67
Appraisal	68
Pay for skills and competence	70
Performance management	72
References	75
<b>5 Change, quality and integration</b>	<b>76</b>
Culture	76
Communications	87
Total-quality management and continuous improvement	89
Training for change	91
Rank Xerox UK Ltd – a case study in integration, change and quality	96
References	99
<b>6 Occupational health and safety</b>	<b>100</b>
Accidents and ill health at work	100
The legal framework	103
Management of health and safety at work	109
References	117
<b>7 Trade unions and collective bargaining</b>	<b>120</b>
Trade-union membership, structure and government	120
Management–union relations	131
References	149

<b>8 Employee participation</b>	<b>152</b>
What is participation?	152
Main forms of participation	154
Trends and rationales	161
Impact of participation	166
References	169
<b>9 Conflict and discipline at work</b>	<b>171</b>
Conflict and its causes	171
Grievance and disputes procedures	181
Disciplinary procedures	185
References	191
<b>10 Achieving an integrated approach</b>	<b>193</b>
References	199
<b>Index</b>	<b>200</b>



# Introduction

We are all affected by personnel management and industrial relations policies and practices. As managers we may be implementing these policies as part of our daily work. If we are senior managers, we will probably have a say in what these policies should be. As employees we are employed under terms and conditions derived from these policies. If we are members of trade unions, we have an influence on these policies through our representatives. And as members of the public we can notice and experience the differences in the quality of service we receive from both public- and private-sector organizations which, in turn, reflect differences in the calibre of staff recruited, the training they have received and the importance they attach to servicing our needs.

This book provides an introduction to personnel management and industrial relations policy and practice for managers and students of management. It is hoped that those on general management and advanced business studies courses, as well as those specializing in personnel management, will find it helpful.

Too often personnel management and industrial relations are treated as two entirely different subjects. Modern practice in organizations is, however, increasingly to bring the two together as part of a policy of creating coherent and effective systems for the management of people. Therefore this book also brings them together. Its other distinctive feature lies in its up-to-date nature and the emphasis placed on presenting the material in a clear and concise fashion without the extended academic passages frequently found in larger texts. References are provided for further reading for those whose appetite for further study has been whetted.

The title of the book has been kept to 'personnel management and industrial relations', notwithstanding the growing currency of the term 'human resource management'. In part this reflects, as the concluding chapter notes, the fact there is still considerable debate taking place as to what the latter term means. It also, however, reflects the fact that many organizations and academic courses still draw a clear distinction between the two areas of activity.

The book commences with a discussion of manpower planning. The next three chapters then focus on the processes involved in recruiting, motivating and rewarding staff. These are followed by an examination of how employees influence organizational decision-making through collective bargaining and other forms of involvement. The last two substantive chapters then look at the nature, extent and resolution of conflict at work, and the issue of occupational health and safety. The final concluding section provides a brief discussion of the need for organizations to integrate their personnel and industrial relations policies, both with each other and with more general business plans, and considers how far employers are at present achieving such integration.

Readers may choose to read the book from start to finish. However, each chapter has been written to provide a self-contained review of the topic under consideration to aid those who prefer to 'dip' into chapters relevant to their current interests.

## Planning the organization, planning the people

Organization brings people together for a purpose. As outlined in the previous chapter, organizations today are attempting to clarify their purpose or mission, and to state this in simple terms. Mission statements refer to service quality, satisfying customers, financial return on shareholder capital, maintaining market share or, in the case of public-sector organizations, satisfying political objectives and public needs. In order to achieve their purpose or mission organizations need to be shaped in well-designed structures. Plans then have to be drawn up to ensure that the right numbers and quality of staff are recruited, retained, trained and motivated.

Creating the right kind of organization and ensuring that it is properly staffed requires a considerable amount of planning. Organizations cannot be changed overnight, and it is important to get the structure right. Planning for people also takes time and requires relevant information and well-founded forecasts. The responsibility for this planning is shared between the personnel department, who should be capable of supplying up-to-date information about the staffing situation and forecasts concerning the labour market, line management, who should constantly be thinking ahead about their own departments, and the specialist corporate planning department, who should be looking across the board at markets, finance, operations and human resources. Precisely how the responsibility for planning is shared is a matter that can only be decided by each organization, because there is no magic formula. However, part of the answer lies in the factors examined in the following sections on organization design.

'Structure follows strategy' has been a much quoted maxim of

corporate planners in the past. The rule has been that the first priority is to decide on a strategy for markets, products, services and finance. Following this, a structure can be designed to put the desired strategy into place. However, thinking is changing on this order of priorities. Structure is now becoming a primary concern. Asked to state his order of priorities on this issue, Tom Peters, widely regarded as one of the world's leading writers and thinkers on management, recently assigned top weighting to structure, followed by systems and people. Strategy, he argues, should then be set subsequently at strategic business unit level. 'Top management', he adds, 'should be creative of a general business mission'.<sup>1</sup>

---

## **Planning the organization**

---

As indicated, the first stage is clarifying the purpose or mission. Subsequently a number of questions have to be answered, in order to decide on the most appropriate type of structure, commencing with the following:

- How centralized or decentralized should we be in our operations and decision-making?
- How many layers do we really need?
- How formal or informal should our manner of operations be?
- Should each member of staff report to only one supervisor?
- What should be the spans of control?
- Should staff be located in departments consisting exclusively of their fellow specialists?

Having attempted to answer these questions, we are in a position to consider the different options available to us.

---

## **Designing an organization – the options available**

---

A number of basic models and variations are available. These are:

### **Model 1: A traditional hierarchical structure**

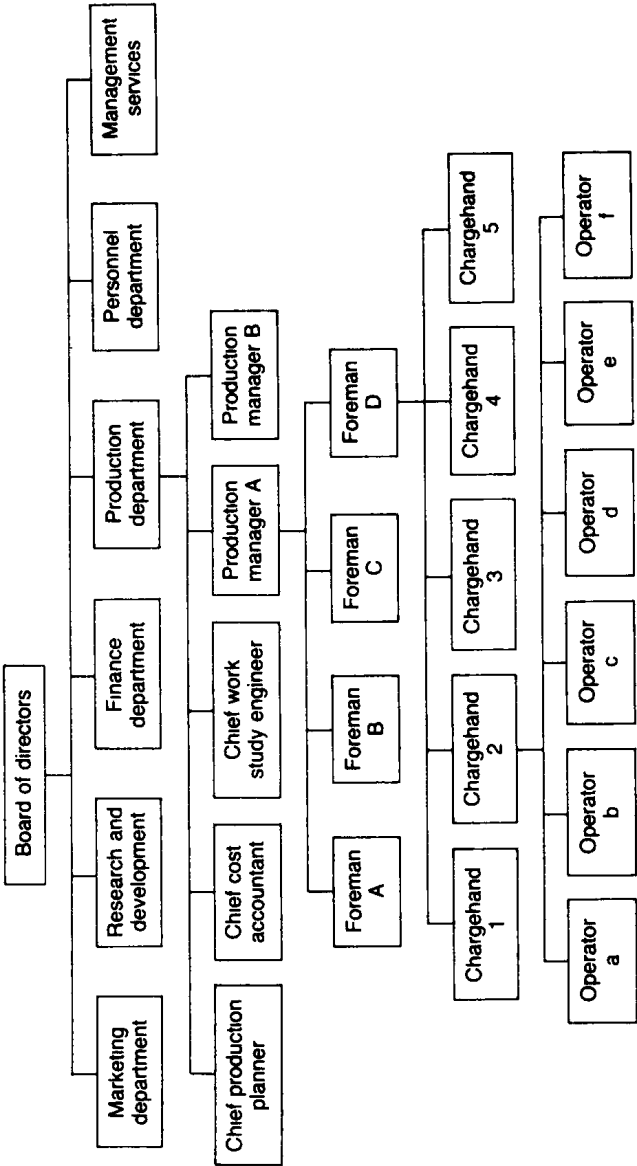
Traditional hierarchical structures are based on theories developed in the first quarter of this century in accordance with so-called 'scientific management' principles. These principles have influenced the design of most medium- to large-scale organization during the first sixty years of the twentieth century.

- Decision-making is located at the top of the organization.
- All staff report to only one superior.
- Spans of control are limited where possible to fewer than ten people.
- Commands and official information must be transmitted through 'proper' channels of information, from the top to the bottom of the organization.
- Staff are grouped by speciality into departments and sections.
- Authority derives from status in the organization's hierarchy.
- Jobs are precisely defined in written job descriptions.
- The so-called line departments are those that directly generate revenue (e.g. sales and production), whereas the so-called 'staff' departments provide a support and advisory service to the line departments (e.g. personnel, accounts).

This model assumes that staff work as individuals and not as groups, and the primary source of motivation is money. Because it treats the organization as a machine, it is given the label of 'mechanistic'.

A special version of model 1 is a so-called 'bureaucratic' structure, widespread in the past amongst public-sector organizations. To the above principles it adds a degree of impersonality whereby staff are selected by a central unit, possess security of tenure and are expected to work strictly within the limits of their job descriptions.

A structure designed on these lines can be represented by a traditional organization chart, shown in Figure 2.1. The possible advantages of this type of structure are stability, conformity and control. The possible disadvantages are inflexibility, inability to change, poor communications and lack of co-operation between departments and the different levels in the organization.



Illustrating: 1. span of control (five or six); 2. line and staff departments;  
3. specialization; 4. unity of command; 5. scalar chain; 6. chain of command (six levels).

**Figure 2.1** Conventional organization chart (manufacturing concern)

## **Model 2: An 'organic' structure**

An 'organic' structure is in many ways the opposite of a 'mechanistic' structure, and has influenced thinking on the design of organizations for the past thirty years as the limitations of the traditional model were exposed.<sup>2</sup>

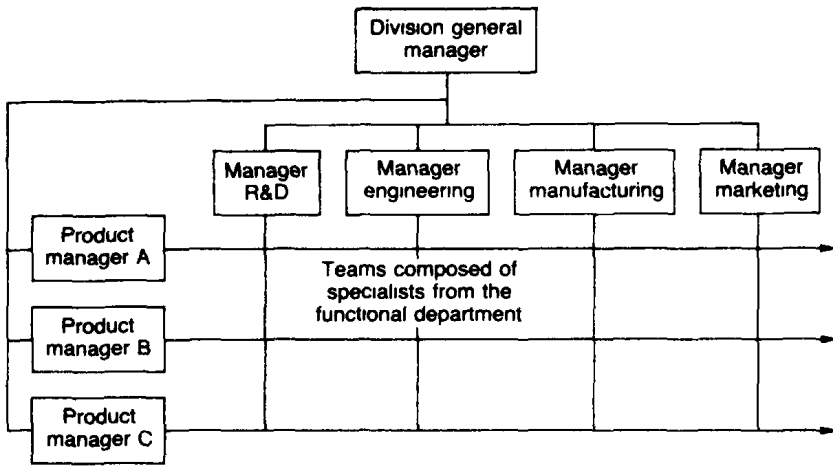
- Decision-making is delegated to those with relevant knowledge irrespective of formal status.
- Staff do not have precise job descriptions, and adapt their duties to the needs of the situation.
- Information is informal, and all channels of information are used.
- There is high interaction and collaboration between staff, irrespective of status or department.
- There is an emphasis on flexibility, co-operation, and informality.

Because of its inherent flexibility, it is not possible to capture an organic structure in an organization chart or simple diagram. The possible advantages of this type of organization are flexibility, capacity for change, good communications and concerted team effort. The possible disadvantages are a lack of structure and the inability to mass produce articles requiring repetitive and boring work routines.

## **Model 3: A matrix structure**

A matrix structure is an attempt to overcome the rigidities imposed on organizations by an exclusive allegiance to one department and one 'boss'. Individual members of staff are allocated to a specialist department, representing their 'home' base, but spend most of their time working in mixed teams with staff from other specialist departments on projects, under the day-to-day control of one or more project leaders. There can be further dimensions to a matrix, as when staff also report to a geographically located head office, as in a multinational organization.

A simple matrix 'project' structure is depicted diagrammatically in Figure 2.2. The possible advantages are good team working, good communications and a focus on the tasks to be accomplished. The possible disadvantages are confusion created by different reporting relationships, lack of job security when projects are completed, and



**Figure 2.2** A simple matrix project structure

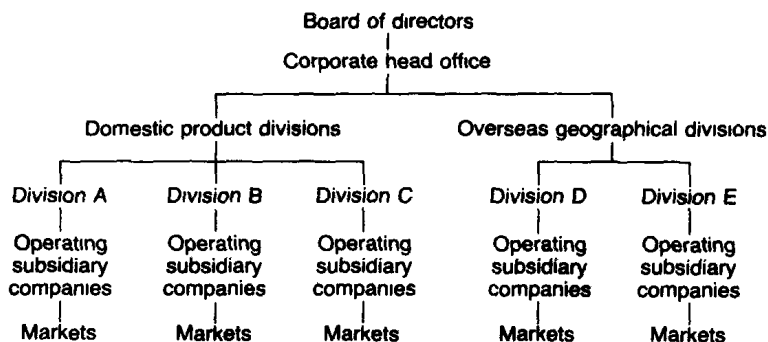
lack of career development as specialization gives way to teamworking.<sup>3</sup>

### Variations to basic models

Each model is capable of being varied to some degree by measures including the following:

1. *Divisionalization.* An organization can be split up into divisions. Divisions can be based either on geography, e.g. a 'Midlands' or 'Northern' division, or by product and market, e.g. a 'chemicals' or 'petroleum' division, as portrayed in Figure 2.3. Divisions are co-ordinated from a central headquarters. The possible advantages of divisionalization are that staff are closer to their customers and centralized bureaucracy can be reduced, allowing staff to work better together for a common purpose. The possible disadvantages are loosening of control and a weakening of identification with the present organization.
2. *Decentralization.* Decision-making is delegated as far down the organization as possible. This enables decisions to be made by those with relevant technical expertise, who are closer to customers. One version of decentralization in the private sector is the creation of strategic business units (SBUs) that are smaller than divisions. The possible advantages of decentralization are





**Figure 2.3** A divisional structure

that decisions are made at the point of operation and delivery; and the possible disadvantages are that the centre may lose control and there may occur a degree of anarchy.<sup>4</sup>

3. *Delaying.* The number of levels between top management and the shop floor is drastically reduced, frequently with a target of fewer than five layers. Possible advantages include improved communications, cutting out of bureaucratic layers that slow decision-making, cost savings and better relationships between management and workers. Possible disadvantages include negative impact on career prospects as promotion prospects are restricted, and stress created by enlarged job boundaries.
4. *Inverting pyramids and including customers.* In order to make the point that organizations exist to serve customers, and that head office staff exist to support the operating line management, organization structures are now sometimes portrayed in an inverted form, as shown in Figure 2.4.

---

## Factors influencing choice of organization structure

---

There is no one correct model with universal applicability. Organizations must introduce the structure that is most relevant to achieving corporate goals and to the prevailing circumstances. Furthermore, they must be prepared to change these structures as circumstances