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A CASE STUDY ON REFLECTION AND ASSIGNMENT OF HTTEA THINK TANK'S LEADERSHIP SIGNATURE: BASE ON THE MIT FOUR CAPABILITIES MODEL

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Abstract

In order to better help organizations and individuals master the self-analysis model and become more effective leaders. Using the example of the HTTEA think tank, created by the authors in 2017, this study uses The MIT Four Capabilities Model to conduct a series of self-analysis of the characteristics of individual and organizational leadership, including strengths, weaknesses, and so on, and to form individual and organizational leadership signatures. Based on the analysis of the differences and similarities between individual and organizational leadership characteristics, an effective path to action to improve leadership is finally formed, and this self-analyzing case study is provided to the academic and business circles for reference and further research. In addition, there is not much reference because this article is based on a case study by The MIT Four Capabilities Model to obtain findings and conclusions.

Keywords: The MIT Four Capabilities, Model Leadership Signature, Case Study

Introduction

1. HTTEA Think Tank

HTTEA is the first overseas independent think tank organization for China's peaceful reunification, which is the presidium unit of the East Africa China Peaceful Unification Promotion Association and the East Africa China General Chamber of Commerce, led by Han Jun, chairman of the East African China Peaceful Unification Promotion Association. The main part of the think tank system is composed of 10 presidents of East Africa, including Somalia, Kenya, Egypt, Rwanda, Malawi, Sudan, Southern Sudan, Seychelles, Tanzania, and Uganda, and nearly 100 presidents of the China Association for the Promotion of Peaceful Unification. At the same time, we invite professionals with outstanding professional attainments and well-known Chinese entrepreneurs, social activists, and other social celebrities to join us. The HTTEA think tank, while based in East Africa, also invites influential or representative professionals from China, Southeast Asia, and other countries in the world to join. In May 2017, the Somali Association for the Promotion of China's Peaceful Unification submitted the HTTEA plan to the China Association for the Promotion of Peaceful Unification and the Overseas Chinese Affairs Office of the State Council. The response received was: We are happy to see its success and provide all possible assistance, including the docking of high-end institutions. HTTEA's development goal and mission: to be the first overseas high-end think tank for China's peaceful reunification. He is the most influential think tank for peaceful reunification in the ten East African countries and actively promotes the policy of community of human destiny in the ten East African countries. It conducts investigations and studies in the fields of East Africa, African

society, economy, culture, military affairs, and security. Under the guidance of the strategy of civil-military integration, we have extensively explored with African countries the realistic opportunities for cooperation in the field of civil-military integration. In the spirit of gathering talents from all over the world and integrating consensus from all over the world, think tanks welcome patriots who support the reunification of the motherland and are committed to the peaceful reunification of China to join in and work unremittingly for the great cause of rejuvenation of the Chinese nation.

2. Purpose and Significance of Research

By building a leadership signature that belongs to individuals and organizations, the MIT Four Capabilities Model enables you to plan your next steps based on differences and similarities in your leadership characteristics, which can effectively improve your individual's leadership and make you a more effective leader.

3. Research Questions

Question 1：What does the MIT Four Capabilities Model mean by several parts?

Question 2：In the case of HTTEA Think Tank, how can the MIT Four Capabilities Model be used to assess the leadership of individuals and organizations to form leadership signatures?

Content

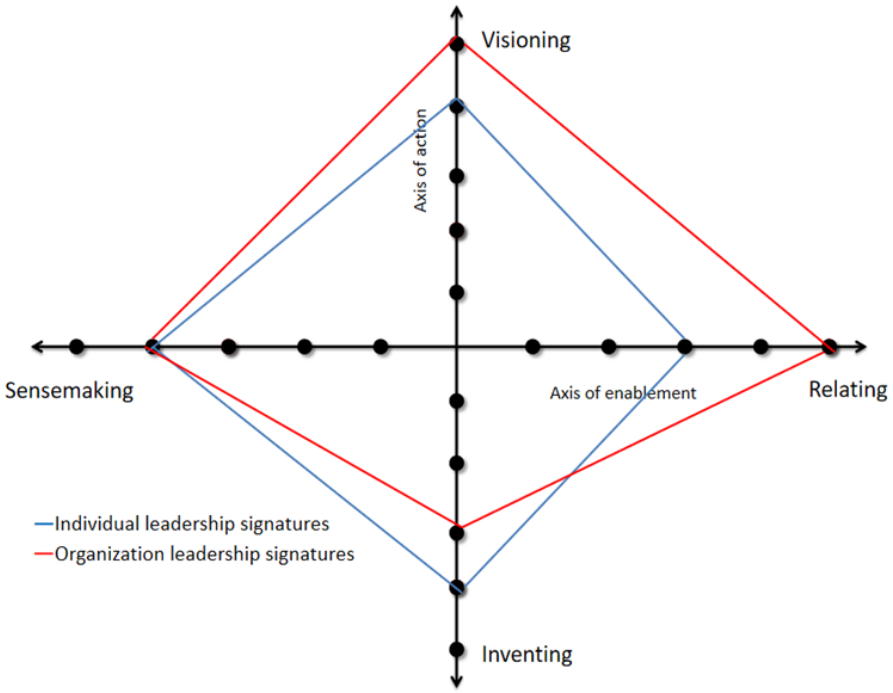

Figure1: Personal Leadership Overlay with HTTEA Think Tank's Organizational Leadership Signature

Source: This research arranges

1. Sensemaking

1.1 Insights

This study used The MIT Four Capabilities Model to analyze the characteristics of personal and organizational leadership, including strengths, weaknesses, and so on. Sensemaking,

emphasizing "Making sense of the world around us, including environmental, economic and technical changes" but it is not enough for us to understand the world around us, MIT Sloan School of Management Professor Deborah Ancona (2005) in his paper Leadership in an Age of Uncertainty, gives three criteria for A. Explore the Wider System, B. Map System, C. Act and Update that concerns the implementation of Sensemaking. The three labels contain eight sub-elements, represented by A1-C2 (Figure 2 to 4). This study applied these criteria to assess individual and organizational leadership, which in turn led to leadership signatures.

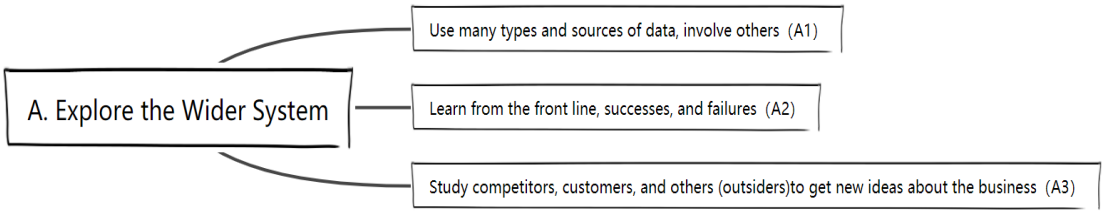

Figure 2: Explore the Wider System
Source: Deborah Ancona (2005)

I work for a think tank, and I personally excel in using multiple data sources, databases, and types of data, which is a fundamental requirement of our day-to-day work, A1. I have also been at the forefront of research, research front line has always adhered to the Learn from The Front Line, Successes, And Failures (A2) our work is also to constantly study competitors, research customers, research outside the outside world, so as to obtain new information in the first place, to form effective judgment and prediction. This is highly consistent with the A3.

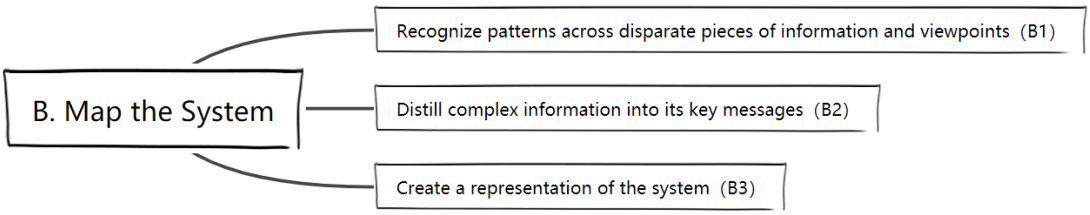

Figure 3: Map the System
Source: Deborah Ancona (2005)

My job as CEO of the HTTEA think tank is to identify different information and perspectives, as well as to use a variety of channels for analysis and judgment. I also have a need for continued progress and precision in this area, which is an area that needs to be sustained and keep pace with the times (B1). We often use mind master mind map tools in our work to refine complex information into key points (B2), and in the mind, map to clearly state its complex logical relationship, and then carry out effective systematic analysis and judgment, in the complex problem

analysis of the logically layered brain map can reflect a new system, in-depth study I will refer to this brain map to create a system architecture (B3) related to the problem.

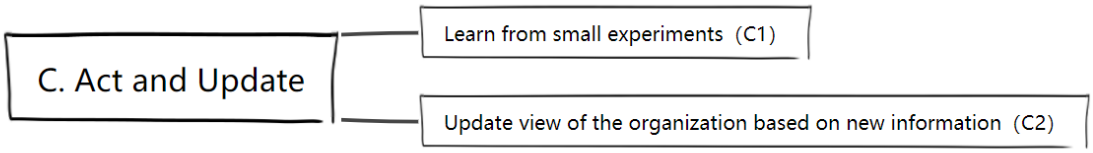

Figure 4: Act and Update
Source: Deborah Ancona (2005)

Personal leadership, which is targeted at me from a behavioral and updated perspective, is lacking in this regard. We have many effective experiments in management, but there are not many, and there is a lack of systematic pre-experimental programs. We generally use long-term observations to advance my insight and leadership through natural experimentation, but the less-than-adequate C1 aspect needs to be improved. I often follow the views of new information upgrading organizations, often by obtaining the right information and valid evidence, then forming the views of new organizations, and targeting information to the population through the think tank's strategic communications cluster in the hope of expanding their influence, which is consistent with C2's requirements.

I hold a position as CEO in the HTTEA think tank, which operates independently. But the core power of think tanks must include financial sponsors, business sources, and other stakeholders, forming a complex organizational form. HTTEA, as the organization's leadership signature, is similar to my personal leadership signature on the eight sub-elements of Sensemaking, which is related to my personal CEOs, and my own simultaneous evaluation of the individual and organizational systems. The difference is that your organization's Sensemaking resources are richer and more complex. For example, HTTEA funders are richer in their data types and sources, often have multiple think tanks, and their research on competitors, clients, and even HTTEA think tanks is more in-depth and their analysis of the program is more accurate. My personal research is focused on several areas of Thailand or China, while the research of the HTTEA system is focused on different areas in different countries in the same region, so the refinement of information and ideas in B. Map the System, C. Act, and Update is more global and accurate. In short, HTTEA's organizational system leadership is stronger and more controlling than my personal leadership.

1.2 Insights gained

Personal leadership, even the CEO's personal leadership signature, is significantly different from the organization's leadership signature. In Sensemaking, my personal leadership and HTTEA organizational leadership can be compared using eight sub-elements to find that the two are very similar, or even basically consistent. Sensemaking gave me four points in the leadership signature. But the next problem is that even if the two are similar, there are differences in depth, breadth, and precision, that is, personal leadership is strong, there is still a gap in the organization of leadership in the system. As an individual, I have more resources and information than any other employee, but it's hard for me to have information beyond the CEO hierarchy to the capital side, just

as personal leadership is not in the same dimension as leadership in a large organizational system, where the CEO has a hard time rising to conduct a comprehensive study (possibly confidential) of the resources at the disposal of the capital side, while the larger system of the capital side can provide insight and analysis to me in a reduced dimension. This means that there may be dimensional indignity in insights, and if you want to manage them better, your individual leadership must continue to improve and achieve dimensional upgrades in time and space.

1.3 Planned Actions

By using The MIT Four Capabilities Model, sensemaking's three core elements and eight sub-elements to my personal leadership diagnosis and assessment, I think I face the need for personal leadership escalation. The main goal of this upgrade is to be able to obtain the depth, breadth, accuracy of the monthly HTTEA think tank, and even beyond the ability of large system data analysis and judgment. This requires me personally to have a more advanced intellectual development model in the LARGE think tank system that goes beyond the capital and client-side. Personally, I hope to gradually complete the dimensional upgrade of personal leadership in time and space through the following methods and steps:

1. There should be stronger layers of the heretical system, such as more specialized capital, more types, and broader sources of data. For example, according to their own business needs, you can choose the University of California, Berkeley, Columbia Business School Certificate of Excellence program, called formal alumni, so that you can open a more authoritative, more resource-rich, more energetic high-quality university global alumni network, intellectual resources, information resources, network resources upgrade.
2. Join the Harvard Alumni Association Entrepreneurs Network, Harvard Business School's world's largest angel investment network, and other capital networks to find more opportunities.
3. In response to business resource needs, extensive participation in the existing academic, information, interpersonal networks of well-known local institutions, such as the Asian Institute of Management network in the Philippines. These can also be obtained through the executive education model of the network pass.
4. Extensive participation in meetings with clear threshold access conditions with regional influence and access to new resources.
5. Follow Professor Catherine's networking model at Columbia Business School, highlighting your role as an information intermediary, establishing resource transit channels in personal and organizational information, and preventing people in the organization's system from crossing over me and gaining access to more valuable networks and information resources. Establish other systems for separating personal resources from organizational resources as the basis for a new network model.

2. Relating

2.1 Insights

Ancona (2005) tells us that the meaning of Relating is Developing key relationships in organizations. Maanen (2021) further explains this meaning in the course as a sign that the lasting Capacity to Create with And Build Social and Political Capital emphasizes the need for leaders to build social and political capital through contact with others, which is a very important capability and a capacity that is generally difficult to establish and maintain. Specifically include D. Inquiry E. Advocacy F. Networking three criteria, which can be broken down into nine sub-elements, in D1-F3 (Figure 5 to 7). I apply these criteria to complete the signature of personal and organizational leadership.

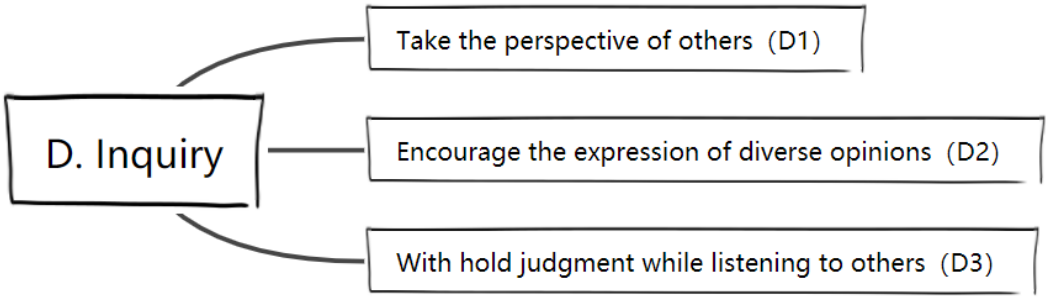

Figure 5: Inquiry
Source: Deborah Ancona (2005)

Personally, I see things from someone else's point of view in terms of exploration, but I still don't do enough (D1). Although I have various investigative assumptions, I also try to think differently about the motivations that arise from the other person's behavior. The age, identity, background, and native family of the subjects surveyed are all key factors influencing their thinking, and this aspect still needs to be learned for me, or to reach out to representatives of similar situations, through their auxiliary judgment can achieve more effective results. Encouraging people to express different opinions and not to judge when listening, it is not easy for me to prevent the effects of paranoia caused by anchoring thinking, that is, to assume that one party has no problem, in such stereotypes, it is not easy to achieve a comprehensive and accurate judgment. Encouraging others to express different views, but these views may be based on principled issues that may not be acceptable to us, in which case more methods and stronger leadership are needed to manage the emergence of those principled opinions, which can be a huge challenge if they are kept within a certain intensity and reasonable range. This is a huge challenge for me at the personal leadership level and a direction that needs to be taken in the future. I need to be as independent and neutral as possible to better fulfill the Inquiry requirements.

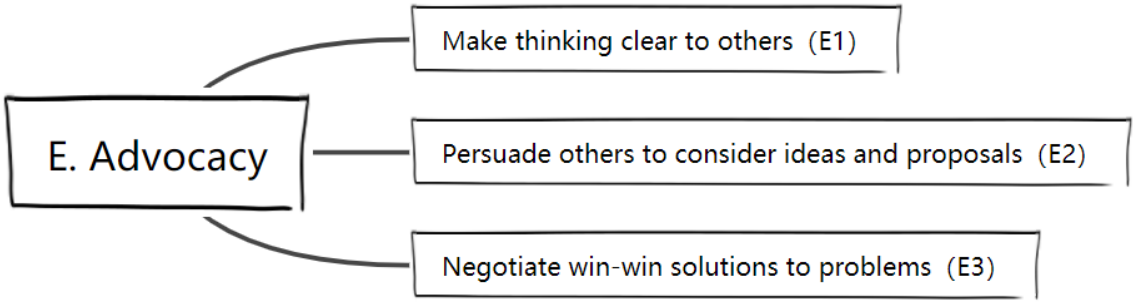

Figure 6: Advocacy
Source: Deborah Ancona (2005)

I do train a lot of people in critical thinking, logical thinking, strategic thinking, and I can see the results of my employees' long-term efforts in these areas. It also creates a rational way of guiding others' ideas based on facts, evidence, evidence, and cases, advising them on their confusion and tracking their improvement (E2). Negotiate win-win solutions I have been working hard to do my best, both internally and externally, but this win-win situation is the need for strong confidence to

establish a long-term cooperative partnership, although there are many efforts, the real realization of the need to really use different methods and means for different objects, only the two sides are equal or unilateral top-down respect can be achieved. In reality, in order to truly achieve a win-win situation, we must first evaluate whether the goals of both sides can be achieved, rather than all things are treated according to the equal share model. I'm more focused on win-win, which means that both goals are achievable and used as a criterion for judging. E3's problem I can handle relatively well.

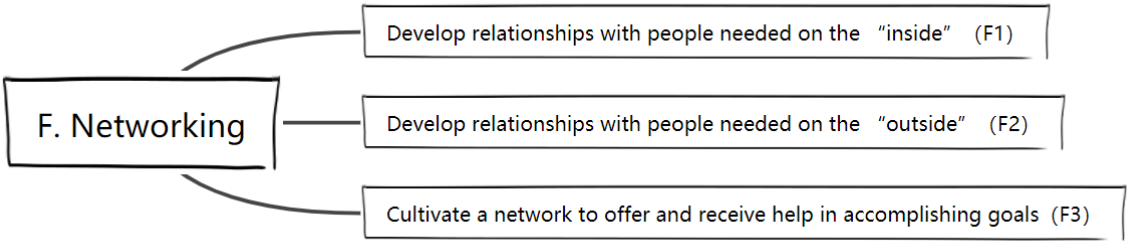

Figure 7: Networking
Source: Deborah Ancona (2005)

My personal leadership strengths are also weaknesses in building network relationships through F standards. The advantage is that the existing network already has a considerable height, in some issues can also play a relatively powerful role. However, the current dynamic expansion of network resources is insufficient, that is, the need for more levels, more complex, more different cultures, different regions of the introduction and upgrading of new network relations. I have a mature set of approaches to managing people with consistent goals or similar networks, but there may be differences in goals, and new relationships that are distant from the current business need to be effective and cost-effective. This is the question that my personal leadership is currently facing with in-depth transformation and upgrading in F1, F2, and F3. That's why I gave a 3-point score in the lating diagnosis.

Signed by the HTTEA think tank, which is the organization's leadership, the main reason for giving a score of 5 in the Rating diagnosis. The dominant leadership model within HTTEA is similar to my personal model. But HTTEA's organizational competence goes far beyond my personal abilities because HTTEA's leadership stems from a collection of senior researchers, executive teams, capitalists, and individual clients. These resources are factual, but not controlled by someone. That's why we usually talk about the importance of collective strength over individual power. HTTEA senior researchers and members have complex and high-end backgrounds, involving experts and scholars in certain fields of China's top universities, key governments, dignitaries, chambers of commerce, key members of civil society organizations, or their focal points. These channels are also external is introverted or hidden, the mode of play cannot be completely determined, is a virtual, difficult to observe ~~the~~ mesh, but the form cannot be fully determined organizational leadership model.

2.2 Insights gained

This part of Relating has shown me the huge difference between personal and organizational leadership, where an organization's abilities depend not only on technical capabilities, but also on explicit levels that can be fully observed, and where hidden and even incognito resources play a role, even at critical times. Network construction, and through the cultural integration of common goals, the interpersonal network will gradually play a huge force, this force can often go beyond the CEO or executive team strength of the collection, the formation of high-impact

information-oriented, strategic precision information analysis-oriented set influence, channel power, political participation in the proposed force as a whole. Eventually, the organization will be called a virtual, even spiritually and purposeful, highly integrated organization with self-purification and self-growth, from a loose pattern. My next step is to strengthen my influence and broaden my appeal, make THETA's cultural construction more distinctive, and attract more industry elites to participate.

2.3 Planned Actions

The specific action plans and steps are as follows:

1. Keep a strong insight into the frequent introduction of issues that the public, leaders, and other agencies do not notice that may have an overall impact, and make precise recommendations to solve them. Create an insightful image of a think tank.
2. Accurately deliver accurate information and effective analysis to key core populations, resulting in an analysis similar to the high-end internal reference level.
3. Use the competency assessment criteria provided by The MIT Four Capabilities Model to form a detailed working paper that uses the requirements of specific terms as an analytical template for analytical reports. For example, F1 Relationships with People You Need Internally can be converted to What Insider Support Is Required in operation, and how much do you know about these people? Details of hobbies, styles, taboos, and so on need to be refined, as well as relationship building and maintenance (plans, cycles, etc.). In this way, individual leadership is gradually promoted. Internally, this model can also be followed by different levels of executives, employees, and other people through this model, improve their respective leadership levels and thus promote the organization's leadership to a higher level.

3. Visioning

3.1 Insights

Deborah Ancona (2005) gives the meaning of Visioning in his paper Leadership in an Age Of Uncertainty: Visioning: Create a vision of the future, Visions are important because of the provided they. motivation for people to give up their current views and ways of working in order to change. Maanen (2021) explains this meaning further in the course: "Visioning Where we are going and why" is the vision to account for the mission and reason. Specifically, G: Create and Communicating vision H: Energizing two standards, which can be broken down into 7 sub-elements, in G1-H4(Picture 8 to 9). I apply these criteria to sign up for personal and organizational leadership, vision is my strength, I give myself a vision rating of 4, our organization I used my vision to combine the characteristics of the organization from the beginning in a unified model, the organization's many elites, in the common vision and common culture to form consistent assessment rules and all conditions of the organization form, in the vision of the organization I gave a score of 5 points.

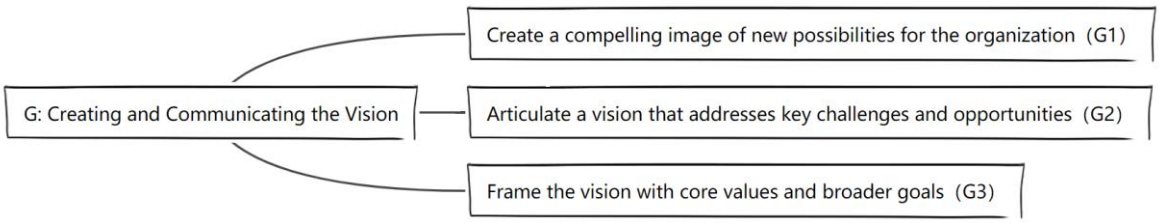

Figure 8: Creating and Communicating the Vision
Source: Deborah Ancona (2005)

My ability to create and communicate my vision is outstanding, and that's my strength. Because I'm CEO, I can align my personal vision with the company. My personal vision is to mobilize the elite of overseas Chinese, join the organization to conduct research on economic, commercial, investment, and political situations in the host country, and get first-hand real data, resources, and so on. Be able to provide targeted and valuable advice to relevant government agencies or organizations. When I process and send information, I follow the principle of ensuring authenticity, and when I comment, I analyze it on the basis of real information, ensuring my image of leadership. My personal behavior and vision are highly consistent (G1). I take overseas Chinese as the perspective to deal with key adjustments and crises, regardless of personal gain or loss, to the interests of overseas Chinese groups as the first driving force to mobilize all forces, make full use of the existing communication path, the use of strategic communication and communication methods for them to solve problems, this is my vision to deal with challenges and crises. This vision will take more form when it is implemented into action. For example, during COVID-19, my organization and I accurately spread the situation in China around the world, and the real situation faced by Chinese around the world accurately to the decision-making level. We have helped overseas Thais solve a series of problems related to the safety, fairness, and efficiency of vaccines for embassy appointments online. Let the Thai overseas Chinese can get rid of the early 100,000 people together online to grab vaccines, a large number of people cannot grab, complain about the situation, so that they later more relaxed appointment to the vaccine. I solved this problem by sending open letters about the real situation, regardless of personal gain or loss, and by accurately transmitting the situation to the decision-making level. (G2) The core value that I personally set is to quickly carry out risk warning, find out the root cause, accurately disseminate, solve the problem. So I always build a personal vision that highlights overseas vision, real information, accurate dissemination, and effective problem solving as important goals, realistic and pragmatic, rather than personal utilitarian (G3).

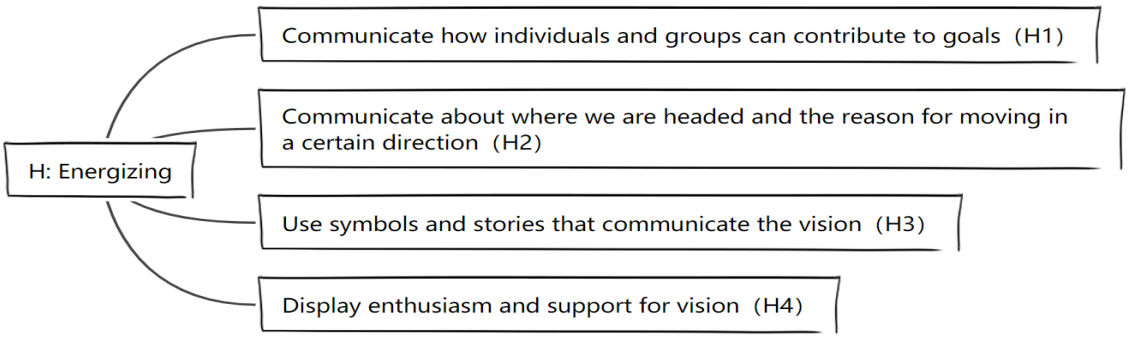

Figure 9: Energizing
Source: Deborah Ancona (2005)

In terms of motivation, to make my vision more followed by people, and called their ideals and goals, become a truly common vision. I let everyone stick to the basis of personal values for their existence. Follow my direction, strengthen the understanding of the function of think tanks, be good at finding social hot issues, difficult problems, grasp their phenomena, explore the inherent laws, find ways to solve problems, so as to contribute to the goal of achieving our goals (H1). When my team members rarely complete tasks, I praise them, watch us communicate our strategy with them, and then we make recommendations, and things go further. I am a good high-speed team member we pursue the problem-solving reason is to through their own efforts, so that the country, society a little change, become better, to achieve the goal of modernization of national governance

capacity (H2). I'll also share every success story that has been solved through our suggested issues, and these true stories support my vision (H3). Any short-term enthusiasm is not enough to support the realization of the vision, my enthusiasm is reflected in action, daily insist on search, sustainable development hot spots, I share them, all the members of the organization will feel the enthusiasm, not a day of enthusiasm, but continuous, daily, become everyone's reading habits, become a part of everyone's life. This enthusiasm and support are ongoing and time-tested. But I think I still need to improve my leadership in terms of vision, and I gave myself a score of 4.

My personal case is unique, and my personal leadership signature is based on my CEO status, so that the similarity and convergence between my vision and that of my organization, HETEA, is high, and the similarity is high. For example, the process of forming an organization's vision is actually the process of forming my vision. In order to ensure that the organizational vision follows my vision for a long time and stick to it, I refuse financial assistance to change our organizational goals. As a think tank, the first thing to do is to do independent research, independent organizational personality, not because of the trend of interests and deviate from this organizational personality, not to become the capital manipulation, for the capital to do things tools. HTTEA's vision has always maintained the characteristics of never forgetting the original, keeping pace with the times. Under my leadership, the main members have always adhered to the national and national positions, adhered to the common destiny of mankind's public welfare objectives, around how to make our country, our nation, our governance capacity become better as the goal, to overseas Chinese perspective as an entry point, caring for our common group. In the dissemination let us solve the problem as the first goal, rather than highlight our organization's identity, image as the first. HTTEA think tank organization in the vision and my personal vision of the difference, in addition to the above discussion, the most prominent reflected in THETA's vision is long-term, beyond the life cycle, is hoping to be able to withstand the test of history, is hoping to be inherited by the core elite, is hoping to guide the overseas Chinese generation, to contribute to the national grand blueprint. My own vision is phased, needs to inherit and inherit, needs to be achieved through the selection of elites, scope and time are limited, this is why I gave the HTTEA organization vision assessment of 5 points.

3.2 Insights gained

The MIT Four Capabilities Model Visioning made it clear to me that in addition to Creative and Communicating the Vision, I need Energizing. Before I learned about the model, although I was using intense methods and tools, I didn't know that motivation was an essential element of my vision, or that the motivation of the vision needed to communicate where we were going and why we were moving in a certain direction. That is, motivate more members of the organization to know how to do it and why to do it. And it's about communicating with each member, not just in executive positions. They also need to be told how individuals and groups contribute to their goals in an effective way that aligns vision with the implementation of their goals. This method and means of motivation are some of my important gains.

3.3 Planned Actions

My Energizing standard for the vision is an important implementation goal, and the specific action plans and steps are as follows:

1. Before any task is carried out, in addition to telling the members of the organization about the importance of this matter, it is emphasized that this task is a node in our way forward, that the work of think tanks is often much more meaningful than procedural work, and that the results can often solve certain problems in society or make some changes to existing rules, even affecting some people.

2. Tell members why we are moving in this direction. Tell them that the job can make the necessary contribution to individual and team goals. We rarely emphasize the KPI problem, we seize the individual initiative to change the consciousness of society.

3. Design and vision-related symbols, edit better story sets through our suggested social changes.

4. Identify ways and means by which management can express enthusiasm and support for the vision and implement them in implementation.

4. Innovating

4.1 Insights

Ancona (2005) in the paper Leadership in an Age of Uncertainty gives the meaning of Innovating: creating new ways of working together. Maanen (2021) further interprets this meaning in the course as Taking the steps to implement the vision of the future. Specifically: I: Innovating J: Executing. The two standards of ng can be subdivided into five sub-elements, which are represented by I1-J2 (Figure 10 to Figure11). I apply these criteria to complete the signature of personal leadership and organizational leadership. We can see that there is a view of invention that emphasizes that invention is to create new ways of cooperation because invention itself will change the existing intellectual property structure and form new cooperative relations and modes. There is also an emphasis on vision and the realization of future vision. One is to observe around existing and structural changes, and the other is to think around the future vision of individuals or organizations. For Inventing, I give the individual leadership signature a score of 4 and the organizational leadership signature a score of 3.

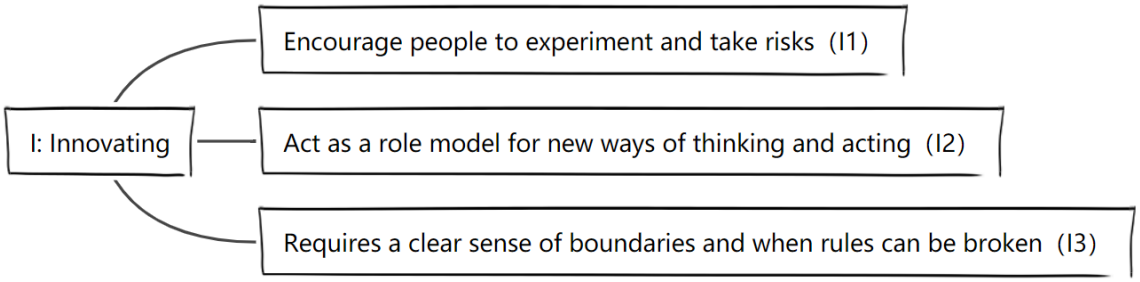

Figure 10: Innovating
Source: Deborah Ancona (2005)

Trying and taking risks is the premise of innovation, innovation must first be creative, I as the CEO of HTTEA think tank to encourage innovation is a necessary behavior. In order to be at the forefront of the times, think tanks need to try to innovate in terms of research objects, research methods, research perspectives, and research methods. In the process of strategic communication, we must grasp the policy orientation and face the risks brought by a large number of uncertainties, so we must face the risks when we go to the forefront and carry out frontier communication. I personally encourage people to take risks, and I myself often take risks after passing a risk control assessment (I1). In my personal research, I often break the conventions and use a variety of critical thinking methods to study, draw conclusions, and collect evidence to support the conclusions. I am often able to lead team members in this area, demonstrate my attitude through my actions, and set an example (I2). The risk of think tanks mainly comes from dissemination, which for me is mainly targeted dissemination with real names, in which case the rules become very important. Whether the rules can

be broken involves personal judgment, and to what extent the rules can be broken also requires wind control analysis. Personally, I have a strict risk control analysis procedure, the core of which is that the things involved must be true and have a clear source, in line with our research position, bottom line, and standards, and the goal is in line with our vision (i3).

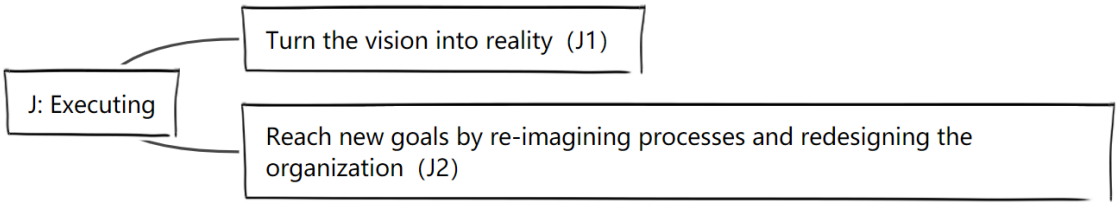

Figure 11: Executing
Source: Deborah Ancona (2005)

Every day I personally focus on directions and areas that are consistent with my vision. And I try to find the potential risks of cutting-edge issues that could have a serious impact in every possible way. I am concerned about the protection of the interests of overseas Chinese, mutual assistance among overseas Chinese and some solutions to the problems of overseas Chinese; I pay attention to the problems that the country encounters in the process of modernization, which involve the need to improve the modernization of national governance capacity, and give effective suggestions and so on. These are my efforts to turn vision into reality (J1). In order to solve the difficult problems that need long-term observation and tracking, I adopt the mode of project management, design and adjust the organizational form, and redesign the process of dealing with the relevant problems. The goal is to make this form more suitable for the need to pay attention to stage problems. For example, I integrate the resources of some experts and professionals according to the theme, open thematic sharing communities and groups, expand information sources by observing everyone's interaction and guiding everyone's discussion, participate in more social interpersonal network construction, and achieve new goals (J2). I give myself a 4 in my personal leadership signature.

HTTEA think tank organization this evaluation I give is 3 points, one of the important reasons is not the organization's innovation ability, execution ability is not good. But through risk analysis, I do not recommend that organizations take too many risks in this area of leadership. I do not recommend that an organization take part in risky activities in an independent capacity. If something goes wrong in a risky matter, it may affect the future of the organization itself. Therefore, it is generally in the case of strong reliability and stability that the organization meets the challenge. Similarly, whether the organization should be called a model and role model also needs comprehensive consideration, HTTEA through a variety of practices, found that low-key organization and getting rid of the individual portfolio model may be more suitable for the long-term development needs of the organization. In short, the organization is to encourage everyone to innovate, encourage everyone to turn vision into reality, encourage everyone to break the existing rules in research, but do not estimate the risk of the whole staff and the risk of the organization, but strictly divide the personal situation of different personnel, absolutely by whom to take risks and under what circumstances. These are the differences between my personal and organizational leadership signatures under the criteria of Inventing.

4.2 Insights gained

Inventing tells me that besides innovation, there is also an emphasis on execution. There are risks in innovation and the requirement to break the rules at the right time. In addition to the implementation of the vision into reality, it also includes the redesign of the organization and workflow to meet the requirements of new goals. The invention is the perfect combination of innovation and execution. It requires individuals and organizations to gradually strengthen their leadership in this area, and take risks when they are suitable, but the premise is to clarify the bottom line and the best time to break the rules. Constantly try new combinations to meet new goals, and new goals need to be aligned with the organizational vision. This means that change is always accompanied by personal and organizational development. These are the contents that I have not deeply realized before.

4.3 Planned Actions

I set out specific action plans and steps to develop the organization to encourage member risk-taking and process organizational redesign to meet the new goals as follows:

1. Assess the organization's understanding of risk and determine the extent to which it applies.
2. Solve the problem of self-limited consciousness and break the boundary of thinking. Set the conditions that encourage members of the organization to take risks and the timing of breaking the rules.
3. Evaluate new goals regularly, reorganize existing resources, set up new processes and new organizational forms according to the requirements of new goals.
4. Recognize individuals who have achieved results or demonstrated performance in their innovation and serve as role models for new ways of thinking and behaving.

Conclusions

This study used The MIT Four Capabilities Model to systematically analyze and evaluate the characteristics of individual and organizational leadership, including strengths and weaknesses, resulting in a leadership signature for HETEA Think Tank. By analyzing the differences and similarities between individual and organizational leadership characteristics, a series of effective paths for organizations and individuals to take action to improve leadership are formed. This paper also pioneers the use of this self-analysis case study for reference and further research in academia and business.

Suggestions

From development to application, the leadership model is based on the subjective judgment of the consultant or the company's human resources department, so the leadership model is subjective. In the process of leadership model development, the consultant itself is a tool. A consultant's understanding of a leader's abilities and work ethics will have a direct impact on the progress and accuracy of model development. This study innovatively provides this self-analysis case study to academia and the business community for reference and further research. However, for organizational structures with more levels, or for leaders at different levels of the organization, whether this analysis model is still valid is still a question that can continue to be explored in-depth in future research.

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A SUMMARY OF THE RESEARCH ON CHINA'S CYBERSECURITY RISK IDENTIFICATION AND CONTROL BASED ON NGOS

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Abstract

The Fourteenth Five-Year Plan outlines the need to strengthen network security protection, improve national network security laws, regulations, and system standards, and strengthen security guarantees for data resources in important areas, important networks, and information systems. In advancing international exchanges and cooperation in cyberspace, there can be no national security without cyber security. China's cyber security risks have always existed. Social media has always been exposed to risks. Without intervention, it may affect network security, thereby affecting national cultural security and posing a challenge to the national governance system. This article is based on the CNKI database, selected domestic scholars from 2001-2021, published research papers on non-governmental organizations and network security in CSSCI journals, and Web of Science database, selected from 2001-2021, published in Research papers on NGOs and network security in SCI, SSCI, ESCI journals. In this article, the bibliometric analysis method is used to sort out and analyze the relevant literature. And a more comprehensive presentation of the research themes and research status of non-governmental organizations, as well as the research themes and research status of national security and network security will be given. The deficiencies of existing research and the breakthrough areas of follow-up research will be pointed out.

Keywords: NGO, Network Security, National Security

Introduction

On February 17, 2017, President Xi Jinping put forward clear requirements for current and future national security work at the National Security Work Symposium. It is necessary to build a strong network security line of defense, improve the level of network security protection, strengthen the protection of critical information infrastructure, increase core technology research and development efforts and market-oriented guidance, strengthen network security early warning and monitoring, ensure big data security, and achieve all-perception and effective protection. It is necessary to actively shape the external security environment, strengthen cooperation in the security field, and guide the international community to jointly maintain international security. (Xi, 2017)

As Xi Jinping said at the first meeting of China's Central Cyber Security and Informatization Leading Group on February 27, 2014, "Without cyber security, there would be no national security, and without information security, there would be no modernization." (Xi, 2014). Cyber security is the most complex, realistic, and severe non-traditional security facing China. This objectively requires us to pay attention to the prerequisite question of whether the research methods and conclusions are conducive to maintaining network security when studying NGOs such as the "Milk Tea Alliance".

Through the bibliometric analysis of literature, this article summarized the history and current situation of theoretical research in the field of non-governmental organizations and network security and combined with the objective reality of the development of the field to sort out and analyze the

relevant literature. The experience of analyzing theoretical research on “NGOs” and “Network Security and National Security” is insufficient. Through literature review and analysis, it is found that in recent years, there are very few studies on the influence of NGOs on China’s cyberculture security, and most of the authors are come from the theoretical circles and don’t know much about the practical activities of NGOs. How to strengthen the combination of theory and practice has become an important topic in the current research and development of non-governmental organizations and network security.

Content

Non-governmental organizations are social organizations that are independent of the government system have a certain degree of public nature and undertake certain public functions. These organizations are active in various fields of human social life. Their forms, scales, and functions vary widely, but generally have the basic attributes of non-government, non-profit, public welfare or mutual benefit, and voluntary. Non-governmental organizations are civil and autonomous, which means that such organizations are independent of the government in terms of the system. They are not part of the government’s organizational system and are not directly subject to government authority. However, it does not mean that non-governmental organizations and the government or politics do not have any relationship. In fact, like interest groups, non-governmental organizations often get involved in politics and try to influence relevant government policies. In recent years, some international non-governmental organizations have had an impact on the security of all countries. They use the network to carry out ideological infiltration and pose a threat to national network security. Therefore, it is of great significance to study the impact of current NGOs on China's cybersecurity.

Since the bibliometric analysis method needs to select the literature period for 10 consecutive years or longer, the data in this article will be searched in CNKI (China Knowledge Network) for a limited period of time from 2001.01 to 2021.07, and "NGO", "national security" and "network security" in Chinese as the subject headings to search.

Remove irrelevant documents and filter out duplicate documents. The results are as follows: “National Security”, “Network Security" related CSSCI journals have 263 articles, and “NGOs”, “NGO Organizations" related CSSCI journals have 291 articles. The abstract of these articles was carefully read and analyzed.

The analysis tools used in this article include NoteExpress and Citespace. NoteExpree is to carry out statistical analysis of the imported document bibliographic information. Then, use Citespace software to make a keyword co-occurrence map, a mutation keyword map, a research author cluster co-occurrence map, and a research institution cluster co-occurrence map.

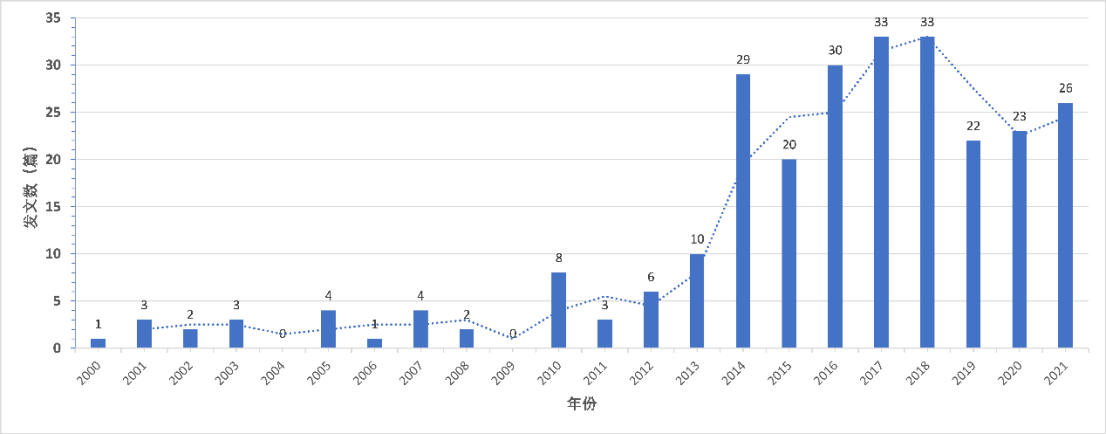

Figure 1: Annual distribution map of China's national security and cybersecurity literature

As can be seen in figure 1, the annual distribution of national security and network security literature is relatively large and the majority of studies were conducted between 2014 and 2021, with 33 articles published in 2016 and 2017. The research and development of national security and network security meet the needs of China's overall national security concept. On April 15, 2014, Xi Jinping put forward for the first time the overall national security concept at the first meeting of the Central National Security Committee presided over, and for the first time systematically proposed "11 kinds of security." The definition of “network security” in the “Network Security Law of the People’s Republic of China” that was implemented on June 1, 2017, means “to take necessary measures to prevent attacks, intrusions, interference, destruction, and illegal use of the network, as well as accidents, Keep the network in a stable and reliable operation state, as well as the ability to ensure the integrity, confidentiality, and availability of network data". The introduction of a series of policies has prompted scholars to pay more attention to the study of network security issues.

The keywords of the literature are the core and essence of the article. They are the author’s highly generalized and condensed topic of the article. They are highly representative. Therefore, the keywords of the article are analyzed, and the keywords with high frequency are often used to determine the topic issue of the research.

This paper uses Citespace software to draw a keyword co-occurrence map (Figure 2). The size of the node can reflect the frequency of keyword appearance. The larger the node, the more frequently the keyword appears, which is the research hotspot and common concern of researchers. And the problem is mainly focused on these vocabularies.

Figure 2: Network security and national security literature keyword co-occurrence map

Frontier research reflects the current state of thinking in a research field. In Citespace, frontier research is determined based on sudden words extracted from document titles, abstracts, keywords, and identifiers. Therefore, using the burst word detection technology and algorithm provided in the Citespace software, a large number of topic words can be detected by examining word frequency, and the frontiers of NGOs research can be revealed based on the changing trend of word frequency. According to the mutation detection function of Citespace, the top 18 keywords with the highest emergence in the research on network security and national security are analyzed (Figure 3). The red bar indicates the year when the hot keyword emerges, and the strength indicates the emergence. It can be seen from figure 3 that in recent years, frontier research has mainly focused on "cyberspace governance", "cyber ideological security", and "overall national security concept". This may be because the Internet has developed more rapidly in recent years and has an increasing impact on people’s lives. And ideological security and cyberspace governance issues must be paid attention to, which can be analyzed by the timeline chart of Citespace (Figure 4).

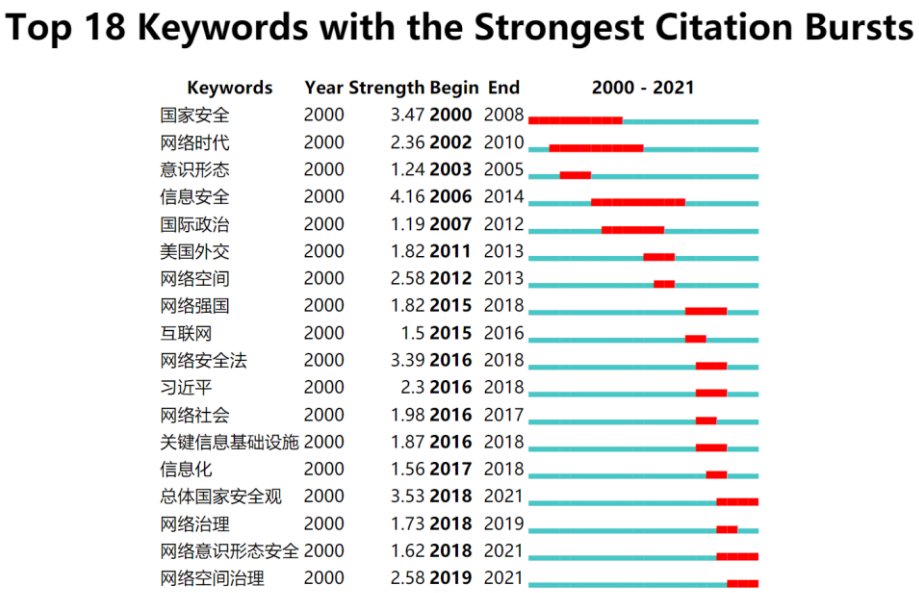

Figure 3: Abrupt keywords for network security and national security issues

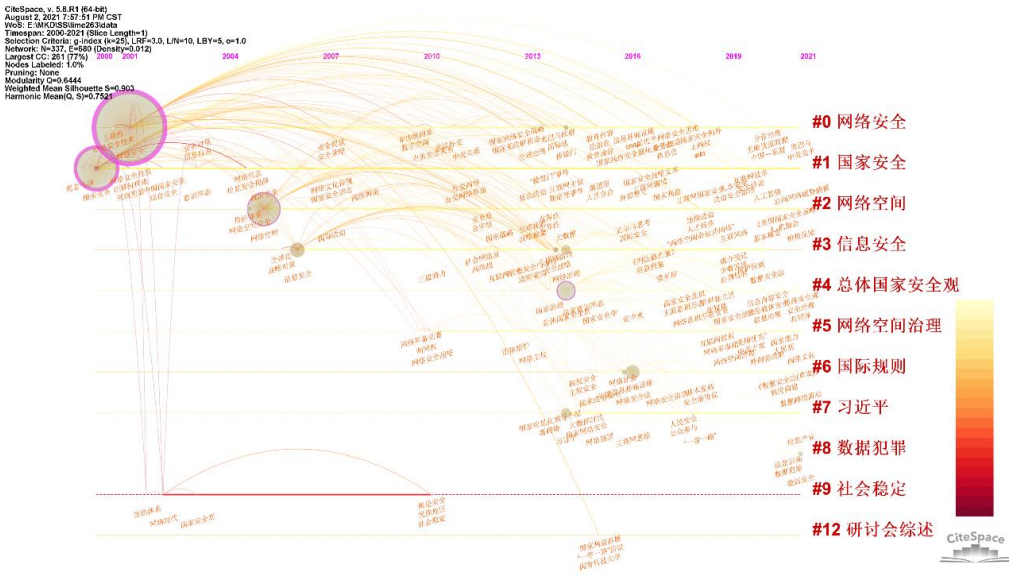

Figure 4: Keyword timeline diagram

As shown in figure 5, among all authors, the network security research group, Wang Yimin, Shen Yi, Li Hengyang, Cai Cuihong, Liu Yuejin, and Liu Jinrui have been cited more frequently. The main results are: Liu Yuejin (2017) summarized the five main aspects of the overall national security layout: the first one is to improve the national security system; the second is to innovate the theory of national security; the third is to promote the construction of the rule of law in national security; the fourth is to improve national security Strategic planning and the fifth is to promote national security publicity and education. Wang (2014) elaborated on the era connotation of the cybersecurity concept under the new situation, analyzed the internal logic of cyberspace security strategy and cybersecurity concept, and explored the implementation path of cyberspace security strategy from eight aspects.

These results have laid the foundation for the research of network security. There are many authors who study network security, but the close cooperation among them is relatively weak.

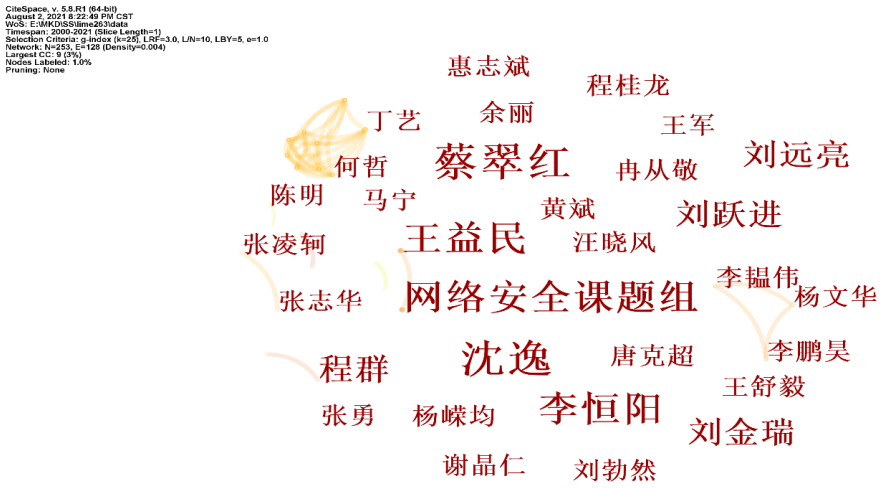

Figure 5: Cluster co-occurrence diagram of major authors on cybersecurity and national security issues

Figure 6 shows that the American Research Center of Fudan University, the School of International Relations and Public Affairs of Fudan University, the American Research Institute of the Chinese Academy of Social Sciences, and the E-Government Research Center of the National School of Administration account for relatively large proportions, and most of the research institutions and scholars are come from these universities. However, these institutions have little control over the communication paths of other institutions.

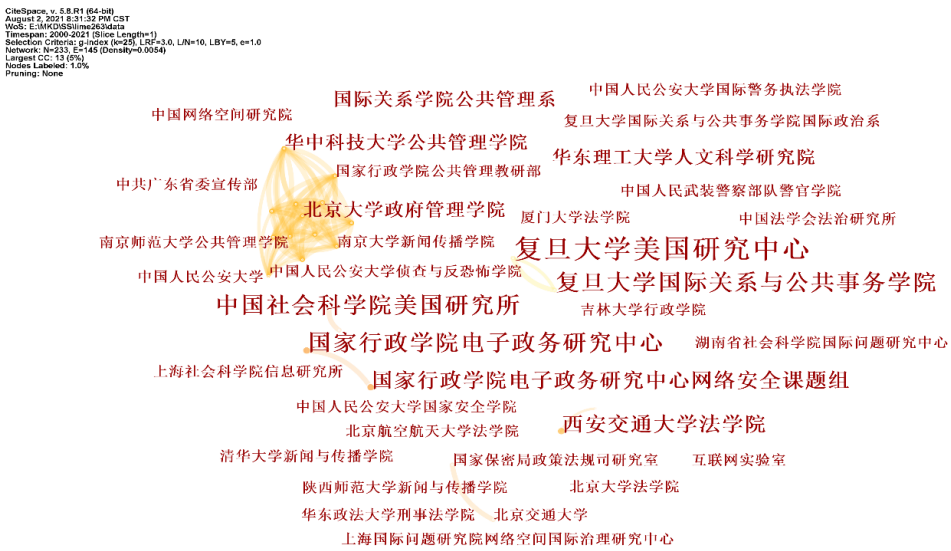

Figure 6: Cluster co-occurrence diagram of major research institutions

From the above content, we can find that there are many shortcomings in the research on national security and cultural security issues. Although there is a lot of research, there are many similarities in network security precautions, and there are many phenomena of mixing precautions. At

the same time, many scholars are unclear about the concept and use the concept explanation subjectively and broadly at will. For example, some scholars define politics as the core of state power and political security as the core of overall national security. The inverted use of this concept is an existing problem in current research, which affects the practical significance of research on national security and network security for China's national governance.

There are many research perspectives on cyber security and national security in China, but most of them are mainly based on cyber ideological issues. Through keyword quantitative analysis, we found that from 2001 to 2021, the hot and high-frequency keywords of the paper did not show an increasing trend like the number of articles, which just proves that most of the research only inherited the opinions of early scholars and did not innovate. There is an urgent need to add new keywords to attract the attention of academia.

In general, the research on national security and network security issues has shown that: more and more scholars and research institutions have joined the research of network security and their research perspectives have shown a trend of diversification. But there is a lack of interdisciplinary research which needs to continue to be expand by new perspectives of cybersecurity research.

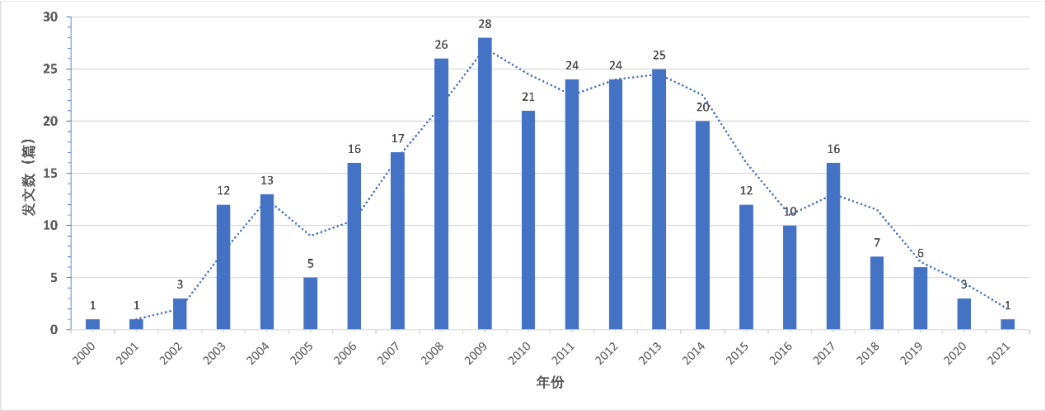

Figure 7: Annual distribution map of NGOs and NGOs organization literature

As can be seen in figure 7, the annual distribution of the literature of NGOs has a large overall number. Among them, the majority of studies were conducted between 2006 and 2017, and 2009 has the most published articles which were 28 articles. Since then, research on NGOs has gradually declined, and in recent years there has been very little research. In 2019, Guo Rongkeng, Huang Zhifeng, Cham Zijie, Li Zhiying, and many other Anglo-American agents and Hong Kong insurgents were rampant in Hong Kong. These people distort the truth and make chaos in Hong Kong. The "Milk Tea Alliance" spread rumors about China on the Internet, "splashing dirty water" on China, distorting China's "democracy" and "human rights" issues. They used the name of "supporting the people" in the Asia-Pacific region to "smear China", distorted and cut the truth, used the guise of "anti-amendment", openly advocated "Hong Kong independence", and shouted the slogan "Recover Hong Kong, Revolution of the Times". With the outbreak of the COVID-19 in 2020, the "Milk Tea Alliance" has planted China to spread the new coronavirus. During the anti-government movement in Myanmar in early February 2021, Hong Kong chaos activist Luo Guancong spread false information such as "China supports the military coup in Myanmar" on his social media platform to arouse anti-China sentiment among the people. However, domestic scholars have paid little attention to the research of NGOs in recent years.

It can be seen from figure 8 that several keywords such as "non-governmental organization", "NGO", "international non-governmental organization", and "global governance" are more prominent, appearing more frequently, and are also important keyword co-occurrence nodes.

Figure 8: Keywords co-occurrence map of NGO literature

According to the mutation detection function of Citespace, the top 22 keywords with the highest emergence in the research of NGO issues are analyzed (Figure 9). The red bar indicates the year when the hot keyword emerges, and the Strength indicates the emergence. It can be seen from figure 9 that, the frontiers of research have mainly focused on “overseas NGOs in China”, “social governance”, “US NGOs”, and “foreign NGOs” in recent years. This may be because there are overseas NGOs pushing behind the Hong Kong and Taiwan issues. This can be analyzed by the time zone analysis diagram of Citespace (Figure10).

Top 22 Keywords with the Strongest Citation Bursts

Keywords	Year	Strength	Begin	End	2000 - 2021
ngo	2000	4.1	2000	2006	
全球化	2000	3.19	2002	2006	
联合国	2000	2.91	2002	2008	
第三部门	2000	1.71	2004	2006	
法律地位	2000	1.36	2004	2009	
民间组织	2000	1.14	2004	2006	
市场失灵	2000	1.2	2006	2009	
行政管理	2000	1.2	2006	2009	
全球治理	2000	1.74	2007	2008	
社会功能	2000	1.37	2008	2010	
公共危机治理	2000	1.15	2008	2011	
公民参与	2000	1.1	2010	2011	
准入制度	2000	1.21	2011	2014	
社会管理	2000	1.74	2012	2015	
国际非政府组织	2000	1.5	2012	2014	
社会资本	2000	1.19	2012	2016	
境外非政府组织	2000	2.19	2014	2017	
政治安全	2000	1.12	2014	2016	
现代化	2000	1.23	2015	2016	
在华境外非政府组织	2000	2.21	2016	2019	
社会治理	2000	1.1	2016	2019	
美国非政府组织	2000	1.76	2017	2019	

Figure 9: Abrupt keywords for non-governmental organization issues

Figure 10: Keyword time zone analysis diagram

Since the bibliometric analysis method needs to select the literature period for 10 consecutive years or longer, the data in this section is used for advanced retrieval in Web of Science. The limited period of time is 2001-2021, and "non-governmental organization"; "NGO"; "national security" and "network security" are selected as subject terms to search. After filtering these articles, the results of research papers on non-governmental organizations and network security published in SCI, SSCI, and ESCI journals are as follows: the number of "national security" and "network security" related journal articles are 1,625; the number of "non-governmental organization" and "NGO" journals related journal is 1,484." In this article, their abstracts will be carefully read and analyzed.

NoteExpress and Citespace will be used to analyze Web of Science data. NoteExpree is to carry out statistical analysis of the imported document bibliographic information. Then, use Citespace software to make a keyword co-occurrence map, a mutation keyword map, a research author cluster co-occurrence map, and a research institution cluster co-occurrence map.

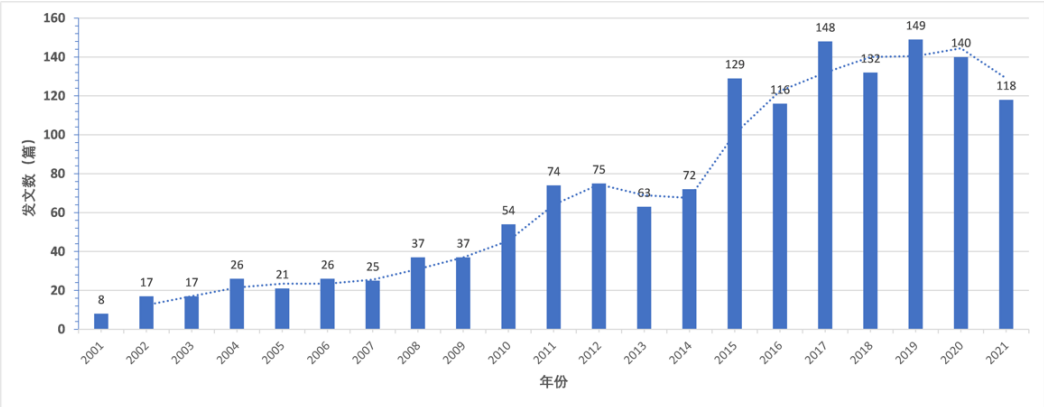

Figure 11: Annual distribution of "non-governmental organization" documents

In figure 11, the annual distribution of "non-governmental organization" documents has a large overall number. Among them, most of the studies were conducted between 2008 and 2021, and

the most published articles in 2019 were 1625 articles. It can be seen from the W0S literature data that the global research on NGOs has increased yearly since 2008.

From figure 12, several keywords such as "NGO", "management", "politics", and "civil society" are more prominent and appear more frequently. They are also important keyword co-occurrence nodes and are the focus of scholars' research. From the size of the node, it can be seen intuitively that "NGO" has the highest frequency of research.

Figure 12: The co-occurrence map of "NGO" literature keywords

According to the mutation detection function of Citespace, the top 25 keywords with the highest emergence in the research of NGO issues are analyzed (Figure 13). The red bar indicates the year when the hot keyword emerges, and the Strength indicates the emergence. It can be seen from figure 14 that in recent years, the frontiers of research have mainly focused on "non-governmental organization", "gender", "nonprofit organization", and "right". This may be because the power of non-governmental organizations has created various riots around the world in recent years, which could be seen from figure 14.

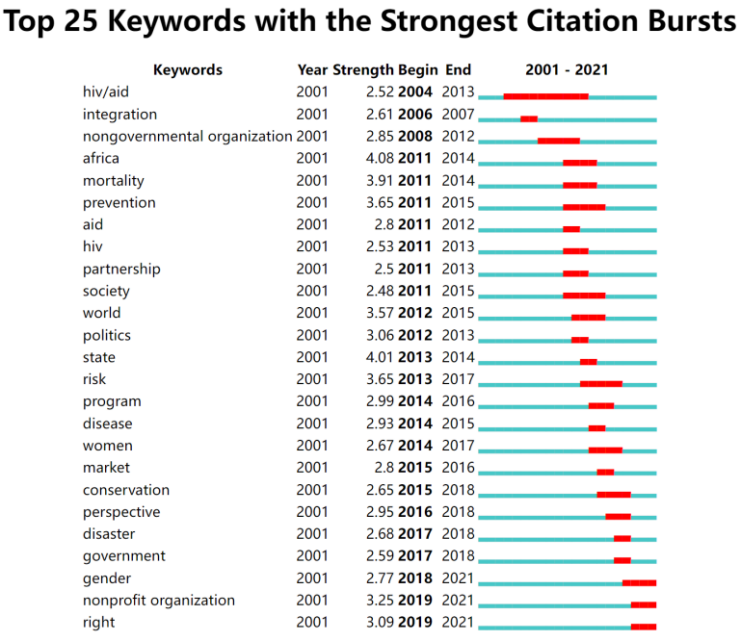

Figure 13: Mutation keywords in the "NGO" question

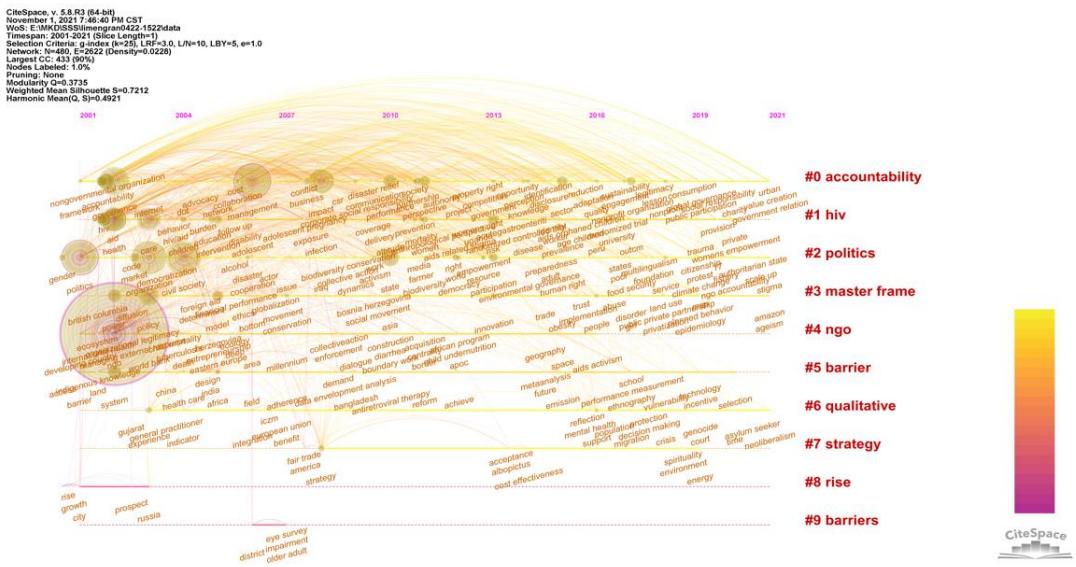

Figure 14: Keyword time zone analysis diagram

As shown in figure 15, M Rezaul Islam, Johnmichael Davis, and Brendan O'Dwyer are cited more frequently among all authors. These results have laid the foundation for the research of NGOs. There are many authors who study NGOs, but the close cooperation among the authors is relatively weak.

Figure 15: Cluster co-occurrence diagram of the main authors of the "NGO" problem

Figure 16 shows that London Sch Hyg & Trop Me, Kings Coll London, Unix Oxford, and Univ Michigan account for relatively large proportions, and most universities cooperate with social research institutions. However, these institutions have little control over the communication paths of other institutions.

Figure 16: Cluster co-occurrence diagram of major research institutions

The above content shows that there are many relevant research perspectives on the issue of "NGO", and there are also many studies on the development of NGOs in China. Through research methods, investigation methods, some scholars believe that China's policies do not make foreign NGOs disappear or be restricted in China.

Through keyword measurement analysis, we found that from 2001 to 2021, the hot and high-frequency keywords of the paper did not show a rapid growth trend like the number of posts. In short, the research of "non-governmental organization" and "NGO" shows that more and more scholars and

research institutions are participating in the research of non-governmental organizations and research perspectives have shown a trend of diversification. But there is a lack of interdisciplinary research which needs to continue to be expand by new perspectives of research.

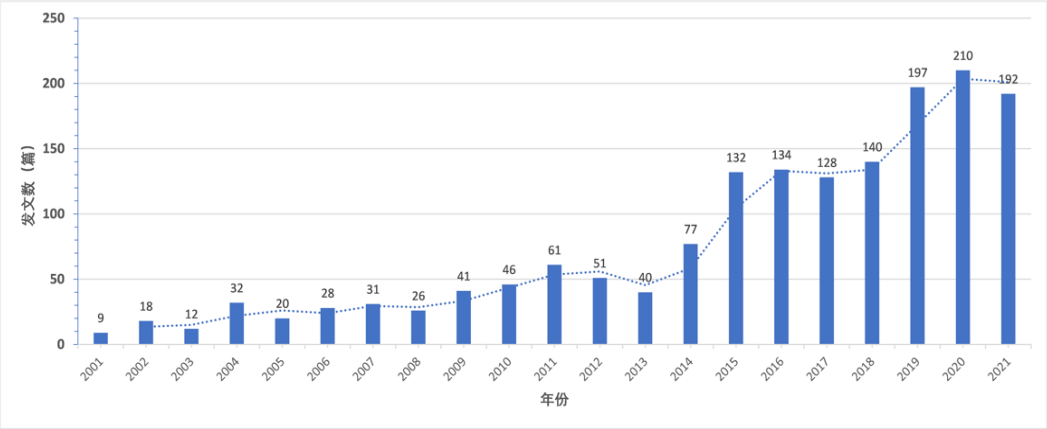

Figure 17: Annual distribution of "national security" and "network security" documents

As can be seen in Figure 17, the annual literature distribution of "National Security" and "network Security" is generally large. Among them, most studies were conducted between 2014 and 2021, with the largest number of 1,484 papers published in 2020.

It can be seen from figure 18 that several keywords such as "network", "security", "government", "system ", and "impact " are more frequently appearing as important keywords. From the size of the nodes, we can intuitively see that the research frequency of "network " is relatively high.

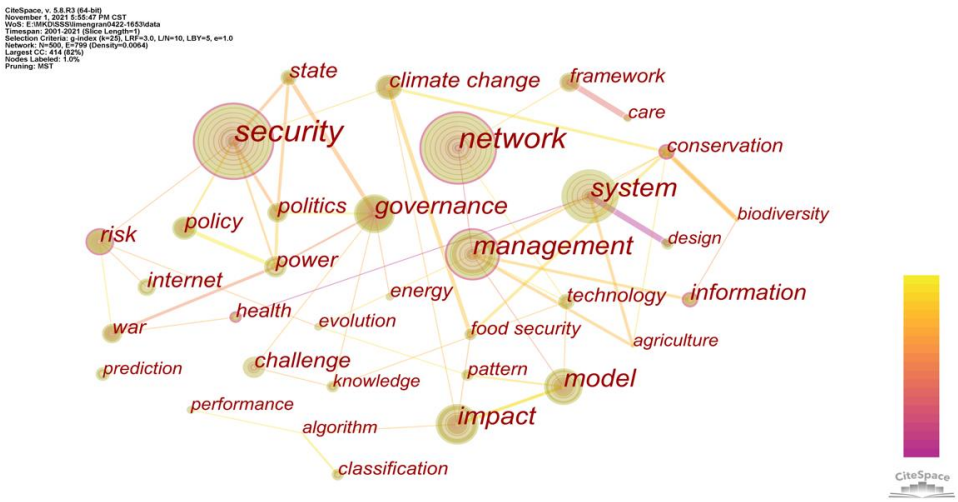

Figure 18: The co-occurrence map of “national security” and “network security”

Figure 19 shows that frontier research has mainly focused on "impact", "politics", "network", and "internet of things". Although there are more studies on "national security" and "network security", most of them are from the perspective of network computer technology, which can be analyzed by time zone analysis chart (Figure 19).

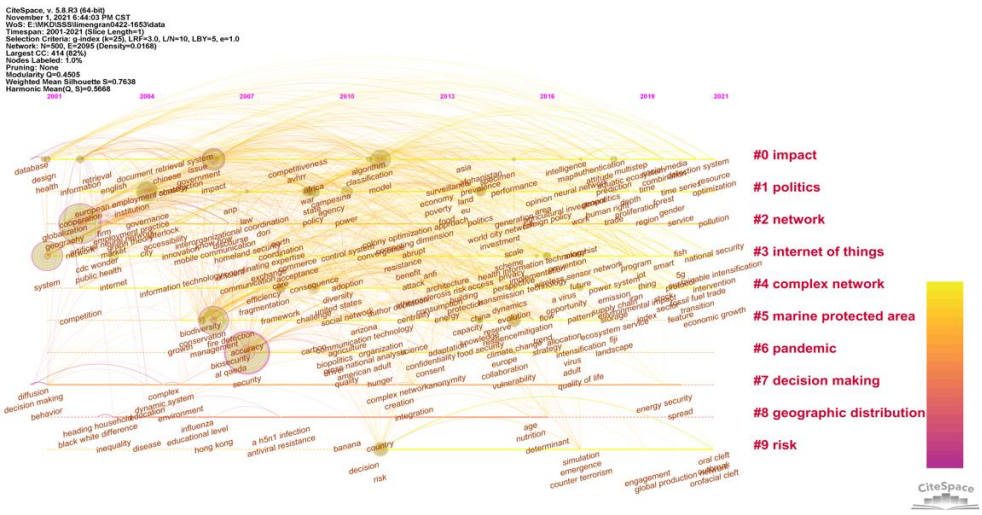

Figure 19: Keyword time zone analysis diagram

Foreign research on non-governmental organizations and network security related theoretical results are relatively rich, and the current research status is mainly viewed from two aspects:

The first one is network security research. There is little literature on the overall research of network security in foreign countries because most of them are elucidating on specific issues. Developed countries headed by the United States have advantages in the process of developing network culture. Supported by a complete processing system, network security issues are under control. However, the problem of developing countries facing the impact of a strong network is more prominent. In terms of holistic research, American scholar Paul Rand conducted research on cyberculture security from a military perspective in his article "On the Cyber Security Culture of the U.S. Army" (Paul Rand, 2012). In the book "The Carnival of Netizens: Reflections on the Disadvantages of the Internet", Andrew Keene focused on the damage of online plagiarism and plagiarism to personal cultural rights and social creativity (Andrew Keene, 2010).

The second is the related research on NGOs. The influence of Non-Governmental organizations is expanding day by day. Foreign scholars theorize the accountability system of Non-Governmental organizations from practical theory, global governance, and new institutionalism and analyze the history of non-governmental organizations. They believe that international relations theories often prejudge and misread non-governmental organizations (William E. DeMars, 2015). Western economic recession, China's economic development is on the rise, and in developing countries, laws restricting the flow of foreign capital to domestic non-governmental organizations have surged. As Western powers support NGOs' norms of democracy and development, it is recommended that the government cooperate with NGOs and sometimes use trade sanctions to encourage compliance with this norm. Will China's trade growth become the beginning of restrictions that affect NGOs? As an important export destination, China has expressed different national sovereignty norms to NGOs and does not sanction those developing countries that have enacted restrictive NGO laws. NGO scholars should realize that there are multiple norms regarding the relationship between the state and NGOs, and the acceptance of norms is affected by the power to support specific norms (Christopher, 2021).

There are many domestic types of research on network security and national security, but the research materials on the influence of NGOs on network security have not been retrieved in the existing databases. The issue of network security has become more and more important in the 21st

century. At present, there are two main aspects of domestic scholars' research on cyber security and national security viewpoints.

First is the issue of network security. China's cyber security issues have become increasingly prominent. "At this stage, national cyber security capabilities have deficiencies in legislative technology, internal cyber security capabilities of government agencies, diversified governance experience, and international rule of law participation capabilities, which restrict the development of cyber security and informatization." (Guo & Zhang, 2021). Meanwhile, some scholars have put forward countermeasures to the network cultural information security communication mechanism based on blockchain technology: assess professional skills; set safety indexes; optimize the joint gatekeeping mechanism; improve the chain structure and give priority to pushing high-quality cultural information with high security; combine multiple chain structure to expand the communication scene; develop network security protection technology to improve technical support (Wang, Li & Li, 2020). And WeChat, which is frequently used, has a negative influence on network security due to its political public opinion. Maintaining a benign dynamic balance between WeChat political public opinion and network political security mainly requires the combination of constitutional authority and belief in the rule of law. Maintain the consistency of strategic governance and strategic governance, unify technological governance and ethical governance, unified dominance and multiple centers, and match the control and guidance of mainstream online media (Zhang & Zhang, 2020). In order to stabilize cybersecurity issues, it is also necessary to explore the path of cyber ideological security governance from the perspective of non-traditional security, and strengthen system construction: enhance cyberspace security system constraints and awareness of the rule of law; strengthen information filtering: enhance network public opinion screening and network Information management and control capabilities; enhancing cultural self-confidence: strengthening the dominant position and resistance of mainstream ideology; enhancing governance synergy: exploring the construction of a network ideological security governance community (Cheng & Xie, 2020).

And second is the study of national security. Domestic scholars have relatively abundant research on the overall national security concept. First, the study on the definition of the connotation of national security. Domestic scholars believe that national security mainly includes state, ability, and behavior. Some scholars believe that national security refers to a state that the country has neither external threats and violations nor internal chaos and diseases (Liu, 2004). Some scholars also believe that national security is the unity of subjective and objective states. "National security is a security status and a security mentality." (Li, 2002). Some scholars believe that national security refers to the ability of a country to maintain a safe state. For example, Sun Jinping believes that "national security is a state and the ability to maintain this state" (Sun, 2000). Other scholars believe that national security is a strategic measure to achieve security. Zhonggang believes that "national security is a measure to maintain the country's long-term survival, act for the welfare and health of the people." (Zhonggang, 2006).

Conclusions

Network security issues will remain the focus of research by international scholars for a long time in the future. From the existing relevant literature, relevant Chinese scholars have conducted more systematic and comprehensive theoretical research on network security. However, the breadth and depth of it are not enough, and a systematic theoretical system has not been formed. At the same time, the network security governance suggestions put forward are similar, and there is no further innovation. Cyber terrorism has gradually become a global topic and a concern of the people of the country in the 21st century. With the introduction of the overall national security concept in China,

many scholars have conducted research on the combination of the overall national security concept and cyberculture security. Therefore, in future research, the perspective should be opened up to find out the current impacts and threats on cyber security.

At present, there are many types of research on China's cybersecurity in the academic circles, mainly with themes such as national governance, overall national outlook, cultural security, ideological security, etc. However, there are very few studies on the influence of NGOs on China's cyber cultural security in recent years. Most of the viewpoints come from theory, and there is no research on the practical activities of NGOs. How to strengthen theory and practice has become an important topic in the research of current non-governmental organizations and network security-related issues.

With the continuous advancement of the national governance system and governance capabilities, the Chinese government is paying more and more attention to cybersecurity issues. Not only consider how to effectively solve the problems, but also consider how to effectively meet the people's growing cyber culture needs. How to meet the needs of the public and the development of network culture, and effectively avoid and control the network risks brought by non-governmental organizations is the goal to be achieved by current network security governance.

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ACADEMIC LEADERSHIP PRACTICE FOR COLLEGE OF ART AND DESIGN, GUANGDONG UNIVERSITY OF PETROCHEMICAL TECHNOLOGY

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Abstract

This study adopted the mixed-method research by interviewing five leaders from the Art and Design College of the Guangdong University of Petrochemical Technology and surveying 33 full-time instructors by using a questionnaire. The purpose of the qualitative research part is to explore the art instructors' perception of academic leadership for the College of Art and Design, while that of the quantitative research part is to identify the current academic leadership practice in the College of Art and Design. The interview time of the qualitative study was about an hour, and the whole process was recorded. It revolves around five questions, mainly about: (1) the current situation of higher education, (2) Setting development direction, (3) leadership practice, (4) Staff development, (5) Personal characteristics of academic leaders. The investigation found that the practice level of academic leadership in Art and Design College was not high, and the instructors' perception of academic leadership was that it needed to be strengthened. And a descriptive statistical analysis was used to analyze 14 aspects, the mean scores as follow, Setting Direction (3.44), Promoting and Collaboration (3.69), Building Networks & Relationships (3.27), Accountability (3.60), Decision Making (3.50), Managing Diversity (3.64), Environmental Sustainability (3.53), Teaching and Learning (3.66), Academic Freedom (3.56), Developing Faculty (3.48), Academic Credibility (3.77), Knowledge (3.94), Emotional Competencies (3.73), and Cognitive Capabilities (3.84). It also found that 14 variables are strongly correlated with each other.

Keywords: Academic leadership, College of Art and Design, Guangdong University of Petrochemical Technology

Introduction

There is no doubt about the importance of higher education. As Dani (2018) pointed out education is crucial to the future of society, and it will play a leading role in the future. Under the trend of economic and political globalization, China's higher education is facing opportunities and challenges. In particular, the administration of universities in China is more prominent. It is common that instructors' teaching and administrative functions often overlap (Wang & Wang2019).

Academic leadership has a long tradition of being valued in higher education (Askling & Stensaker, 2002). As a key link to cultivating talents, how to improve the academic leadership of the instructors of higher education institutions deserves our consideration. This is also one of the important tasks undertaken by Chinese universities

As the only Petrochemical University in South China, the development of academic leadership in the Guangdong University of Petrochemical Technology is not only conducive to the improvement of instructors' academic leadership but also can provide a reference for other universities of science and technology.

This study investigated and interviewed the instructors of the College of Art and Design of the Guangdong University of Petrochemical Technology, attempting to explore their knowledge of academic leadership and identify the current leadership of the College. At the same time, it provided theoretical support for other educators to study academic leadership in the future.

Research Objective(s)

1. To explore the art instructors' perception of academic leadership for the College of Art and Design at the Guangdong University of Petrochemical Technology.
2. To identify the current academic leadership practice in the College of Art and Design of the Guangdong University of Petrochemical Technology.

Literature Review

Definition of Academic Leadership

In academia, there are many different definitions of academic leadership. The earliest description of academic leadership is the interlinkage of academic freedom in research, publications, teaching, and civil rights（Blackburn & Gerber, 1974).

In the field of education, most educational models originate from organizational science（Burke, 2010). Many researchers believe that academic leadership overlaps with traditional leadership. According to Sathye (2004), academic leadership is "a special case of general leadership." He further stated that it existed in the academic environment or academic institutions. Similarly, Antony and Antony (2017) suggested that academic leadership was the same as traditional leadership. The academic leaders not only focus on change in management but also focus on personal humility and professional will in the process of leadership implementation.

Academic leadership has also been seen as the responsibility of formal administrators. Marshall Orrell, Bosanquet, and Thomas (2011) pointed out that academic leadership mainly referred to those appointed as management positions by universities, and they all have specific responsibilities and functions. Academic leadership is the function of someone in a position to identify the need to change, to allocate resources to change, to manage and facilitate the change actively, to monitor and motivate during the transformation, and finally deliver change within higher education, both at the institutional level and the departmental/college level (Anthony & Anthony, 2007). This view is consistent with the traditional leadership theory, which emphasizes influence and authority to guide their followers (Burke, 2010).

The Challenges of Academic Leadership

The challenges faced by academic leadership come mainly from external pressures and internal contradictions.

On the one hand, economic globalization has brought many new challenges to education. These issues mainly included:(1)the reduction of public investment in education, (2) business-driven courses, (3) increasingly stringent accountability, (4) quality assurance of teaching, and (5) students as customers and performance-based management models all challenge the operation and development of academic institutions (Laing & Ling, 2011; Kurniawan & Puspitaningtyas, 2013). Especially, as Laing and Laing (2011) stated, the model of students as consumers hindered the development of essential functions such as academic leaders, students, and teachers.

On the other hand, universities face challenges due to their complexity of academic context, goals, and values. Different from the management ability of the business community, in colleges and universities, academic leaders are often selected according to their academic ability (Anthony & Anthony, 2007). According to Ramsden (1998), the increased competitiveness of the university is more important. For example, the use of technology and high-quality teaching through new media is contrary to earlier values. It requires academic leaders not only to have academic skills but also to have the ability to deal with problems.

Jones (2013) described the challenges he found when he defined academic work as increasingly fragmented. The horizontal dispersion of academic disciplines in subject groups is accompanied by an increasing role in educational development institutions outside of student affairs and academic institutions, completing complementary or competitive academic work. Universities are increasingly using contract lecturers, researchers, and management consultants as outside lecturers. This undoubtedly challenges the autonomy of academic leaders.

Academic in Higher Education

The Effectiveness of Academic Leadership has always attracted people's attention. Shahmandi Silong, Ismailม Samah, and Othman(2011) reviewed the literature on effective academic leadership. They demonstrated that effective academic leaders, such as deans and department heads of research universities, should use various leadership styles related to background models. Influential academic leaders also need leaders to assume the essential leadership roles in research universities, primarily when operating globally, to develop systematic leadership development plans to ensure academic leadership in research universities. It implied that university leaders should improve their leadership skills to meet the needs of university survival and development.

Similar to the idea that leadership is an effective process, Spendlove (2007) demonstrated that academic leadership was the process by which the influence of goals could be achieved in higher education. The study identified that effective leaders should have the main characteristics of attitudes, knowledge, and behavior. This study is beneficial for the establishment of a systematic university leadership approach.

According to the views of Ramsden (1998), who defined academic leadership as the normal process of promoting, managing, developing, and encouraging academic staff, he stated that linking leadership to effective change could make it more effective. He believes that the most critical feature of an effective academic leader is the same values as academics. At the same time, he elaborated on the four responsibilities that academic leaders should have. It contained Vision, Enabling, Developing, and Learning to lead.

Ramsden also pointed that academic leadership is a leader in professionals who have some stable characteristics. These characteristics are mainly manifested in (1) leadership in teaching, (2) leadership in research, (3) strategic vision and networking, (4)collaborative and motivational leadership, (5) fair and efficient management,(6) development and recognition of performance, and (7) interpersonal skills.

Some researchers have also investigated the characteristics of academic leadership. Akhter and Haque (2012) conducted a study about the expectations of students for academics and academic leaders. They identified the essential qualities of academics at the following levels from a sample of 280 students in seven departments: Communication, Competency, Honest and Trustworthy, Humanism, Intelligence, Judgment, Motivation, Supportive, Vision, Knowledge, Integrity, Confidence, Accessibility, Patience, Dedication.

Although most of these qualities are similar to traditional leadership, "humanism," "intelligence," and "judgment" are the qualities that academic leadership is somewhat different from general leadership. This also supports the difference between academic leadership and general leadership due to the uniqueness of the context.

There is no doubt that academic leaders play a vital role in the reform of higher education. Mehmood, Khan, Raziq, and Tahirkheli (2012) surveyed 150 university instructors in Pakistan and tried to understand their views on change management and the part of academic leaders in accepting change and implementing it in higher education. Finally, the study found that the integration of change was necessary to improve the quality of higher education, and academic leaders had the responsibility to play a role in change management.

In addition, some scholars have established a framework of variables related to academic leadership. Siddique, Aslam, Khan, and Fatima (2011) explored the link among the variables as academic leadership, motivation of faculty members, and organizational effectiveness in higher education. It is found that administrative, educational, or research-oriented academic leaders can motivate instructors directly or indirectly by using various external or internal incentives and make organizations more effective through additional efforts. This conceptual framework is helpful for management and educators in higher education. It shows how an effective organization can provide quality services to its clients and explore effective leadership strategies to maintain the quality of instructors. However, the author believes that effective criteria are the criteria to measure the satisfaction of students and instructors, which coincides with traditional leadership, which also reflects its narrowness.

Methodology

The design of this study is a combination of qualitative and quantitative methods. Firstly, five senior leaders (including the dean, associate dean, department head, and two directors ---A1, A2, A3, A4, A5) of the institute were interviewed. Thirty-three full-time instructors from the Art and Design College of the Guangdong University of Petrochemical Technology were surveyed with the use of a questionnaire. This study was conducted from March 15, 2021, to May 10, 2021.

The qualitative research part explores the Art instructors' perception of Academic Leadership for the College of Art and Design. The interview time of the qualitative study was about an hour, and the whole process was recorded. It mainly revolves around the following five questions. Q1: What are your views on the current situation of higher education in China? Q2: How do you think an academic leader should set the direction for the future development of the Institute? Q3: What kind of leadership practice do you think can improve the quality of teaching and learning? Q4: How to develop faculty members? Q5: What characteristics should an effective academic leader have?

The quantitative research part aims to identify the current academic leadership practice in the College of Art and Design. A total of thirty-three questionnaires were distributed, and 31 were recovered. The respondents included 13 males and 18 females. The academic rank structure is unbalanced, consisting of one professor, six associate professors, and 24 lecturers. The researcher used the Current Academic Leadership Practices for Higher Education Questionnaire developed by Dani (2018). The questionnaire used a 5-level Likert scale and consisted of two parts. The first part was about the demographic background, such as academic rank, teaching duration, and gender. And there were 62 questions in the second part, and the questions covered 14 aspects. namely, Setting Direction (SD), Promoting and Collaboration (PC), Building Networks & Relationships (BNR), Accountability (AC), Decision Making (DM), Managing Diversity (MD), Environmental Sustainability (ES), Teaching and Learning (TL), Academic Freedom (AF), Developing Faculty (DF),

Academic Credibility (AC), Knowledge (K), Emotional Competencies (EC), and Cognitive Capabilities (CC).

Definition of the Terms

1. **Academic Leadership** refers to the normal process of promoting, managing, developing, and encouraging academic staff.
2. **Leadership Practice** refers to measures used by university leaders to improve the quality of teaching and learning.
3. **Staff Development** refers to the instructors' professional development, such as professional training and other activities to develop the instructors' academic leadership competencies.
4. **Setting Direction** refers to the leaders setting the future development direction of the department.
5. **Promoting Collaboration** refers to encouraging instructors to cooperate in teaching and scientific research activities.
6. **Building Networks and Relationships** refer to developing and maintaining a positive relationship with the network of stakeholders.
7. **Accountability** refers to being responsible for State priorities, Academic concerns, and financial management.
8. **Decision Making** refers to a process by the academic leaders to help enhance the high institution's efficiency.
9. **Managing Diversity** refers to the management of gender and cultural differences in higher education institutions to promote their diversified development.
10. **Environmental Sustainability** refers to academic leaders creating awareness and learning opportunities to contribute to a sustainable future.
11. **Teaching and learning** refer to a process that academic leaders constantly update curriculum resources, improve students' learning experience and development.
12. **Academic Freedom** refers to the privileges of the instructors. It reflects that academic activities such as discussion and publication of articles in accordance with the law are not interfered with and controlled by their institutions.
13. **Academic Credibility** refers to the modeling of academic capability and the distribution of expert power to academic leaders.
14. **Knowledge** refers to the knowledge that academic leaders should have about university operation and management and efficient teaching methods.
15. **Emotional Competencies** refer to learning and working ability based on emotional intelligence.
16. **Instructors** refer to the instructors of the Guangdong University of Petrochemical Technology.

Results

The findings of this study consist of qualitative and quantitative components. The qualitative part is as follows:

Current Situation of Higher Education in China

China is now in a period of rapid development. The trend of political and economic globalization has brought opportunities and challenges to China's higher education. Three

respondents (A2, A3, A4) expressed concern about the future employment of university students at present. One respondent explained:

The orientation of most universities is not clear enough, especially in the curriculum; the application-oriented is not prominent. Given the unbalanced development of education among regions in China, we should balance the development situation of the area with the unified standards stipulated by the state when cultivating talents. Otherwise, it will be difficult for students to adapt to society in the future. (A2)

The other participants also believed that the training of talents should meet the needs of society.

From the perspective of our professional field, whether we as instructors can give students the ability to rely themselves on society is crucial. (A3)

The applicability of the course is not enough, and the students' ability to solve problems is not enough. (A1)

What they describe shows that at present, the curricula of higher education in China cannot fully match the needs of society, and students' ability to adapt to society should be strengthened.

Setting Development Direction

Setting goals for the department by academic leaders in universities is directly related to the future development of the department. All five leaders expressed their opinions and said that setting goals must be based on the actual situation of the university.

In daily management, it is imperative to carry out practice according to the characteristics of different majors to achieve research results. (A1)

We should see the shortcomings of the development of our department at present. For example, there are many young teachers in our school and the age structure is unreasonable, so how to improve this situation is what we need to consider. (A2)

Our development should start from our specialty and highlight the specialty. Individual orientation conforms to the overall development direction of the college. (A3) In addition, setting goals should have a longer-term vision, not only in our school but also in consideration of China's national conditions and international situation. As several other respondents have expressed:

In curriculum design, we need to integrate our national conditions. Therefore, the actual situation of the country should also be taken into account when setting development goals. The development discoveries set up should also be in line with international standards and have a global perspective. (A4, A5)

Leadership practice

There is no doubt that good leadership practice can improve the quality of teaching. In view of the actual situation of the Art and Design College, 3 respondents believed that the construction of instructors' morality has a significant impact on the improvement of teaching quality.

Instructors should first have the virtue of instructors and have a kind and inclusive heart to devote themselves wholeheartedly to teaching. So, it is necessary to strengthen the construction of instructors' morality (A1).

Education is a conscientious profession. To improve the quality of teaching, instructors should first cultivate their good professional qualities. Among them, the construction ofinstructors'morality is the root. (A3)

Developing scientific management systems and policies can effectively improve the quality of teaching, as the following respondent stated:

Our college's talent training program is constantly changing, which has caused great trouble for teaching. The formulation of talent training programs should be carried out through investigation, data analysis, and implementation, rather than sudden changes in the implementation process. Therefore, at present, the new training plan should draw lessons from previous failures, conduct scientific research and analysis, and then practice. (A2)

In last year's evaluation, our college's talent training program was questioned by experts. Three thorough reforms have been carried out in just four years. Although the original intention of the reform is to improve the quality of teaching, it also causes confusion in instructors' daily teaching. (A5)

In addition, one respondent responded that securing funding for scientific research could optimize teaching resources, thereby improving and updating teaching equipment.

Last year, the dean received 1 million yuan in research funding. With these funds, she purchased the triangle piano and Orff instruments for the college, which provided conditions for the development of Orff courses. This is a practical solution to the teaching problems of the college. (A4)

Staff Development

All five leaders believed that they should provide opportunities to have professional training according to their staff and instructors' personal conditions to promote their professional development.

Respect instructors' personal development and set development goals for them according to their personal background. Give them a clear direction of action so that instructors have a certain degree of academic freedom. (A4, A3, A2)

Instructors are encouraged to participate in training to improve themselves. For example, attend academic seminars or master courses. Instructors'knowledge reserves should be updated at any time to enrich their professional knowledge. (A1, A5)

Personal Characteristics of Academic Leaders

From the interviews with five participants, terms like Authority, Integrity, Vision, Decisiveness, Good Communication Skills, and Knowledgeable appeared most frequently. These terms also reflect participants' perceptions of the personality characteristics of academic leaders.

As an academic leader, first of all, he should be at the forefront of his professional field. In other words, he/she should also be an academic authority in his field and have outstanding achievements. A knowledgeable person has his unique charm (A1).

The academic leader should pay attention to communication with the instructors. In the context of universities, instructors' academic freedom should be respected. He should be sensitive and considerate. Establishing good relations with other instructors can help. Establishing good relationships with other instructors can help me to rally our team to achieve its goals. (A2, A3)

Personal integrity can increase others' trust in themselves. It's because everyone else knows you're fair and benevolent. Everyone will trust you and support your decision. Naturally, you build your authority. (A2, A4)

In a team, leaders should take responsibility and deal with things decisively when things happen, which significantly improves efficiency (A5).

Quantitative Survey Findings

The following content is based on a descriptive statistical analysis. The interpretation of each category goes as follows:

1. Setting Direction. Creating an environment that supports achieving goals by providing resources and motivation is seen as Paramount. Respondents generally agreed that a direction needed to be set, in which explaining the organization's vision to stakeholders was seen as the most important. The mean score was 3.44.

2. Promoting Collaboration. The highest score was 3.69 for teaching and non-teaching staff working together to achieve organizational goals.

3. Building Networks & Relationships. In this category, the highest score is the establishment of educational networks with other local and global institutions and educators, with an average score of 3.27.

4. Accountability. The respondents asked seven questions about the accountability system. The highest score was 4.03 for leading and managing quality assurance through compliance with academic and infrastructure standards. The average score of all the questions is around 3.6, indicating that everyone has a relatively uniform recognition of the accountability system.

5. Decision Making. In this group of questions, respondents believe that making independent decisions in an emergency is the key to academic leadership, giving, the average score, 3.50.

6. Managing Diversity. In this group of questions, diversity management with the highest degree of approval was recruiting high-quality staff, instructors, and students from the perspectives of religion and gender, with an average score of 3.64.

7. Environmental Sustainability. Respondents did not score high on environmental sustainability but created, and educated instructors and students rated political, economic, and environmental change at 3.53.

8. Teaching and Learning. In this group of questions, the respondents' highest score is that leadership provides technical support to search for new knowledge and improve teaching skills, with a score of 3.94, and the final average score is over 3.66.

9. Academic Freedom. Generally speaking, the score of this part is not high, which may be because academic freedom is within a particular policy range in China. For music teachers, art is different from the humanities, and they feel little about academic freedom.

10. Developing Faculty. In this section, the lowest score is given to instructors for the opportunity to experience leadership and assign them to temporary leadership roles. (For example, make them leaders of committees, meetings, etc.), which I think is suitable for China's unique national conditions. On the one hand, Chinese universities have a strict bureaucratic structure; on the other hand, most Chinese universities leaders have not received strict leadership training but achieve promotion by virtue of their professional titles and scientific research achievements.

11. Academic Credibility. The mean score (3.77) for this part is active participation in regular teaching/regular classes.

12. Knowledge. In this part, the mean score was 3.94. The respondents believed that academic leaders must understand the latest trends and best practices in pedagogy.

13. Emotional Competencies. In this section, the mean score is 3.73 for establishing and maintaining a good relationship with subordinates, colleagues, and superiors. Such a score is expected and very consistent with the characteristics of China's "relational society."

14. Cognitive Capabilities. The highest score in this part is to accept the challenge and believe in success, with a score of 3.84. The respondents believed that academic leaders, like other leaders, should accept the challenge and motivate the team to achieve the goal, so they should believe in success.

Finally, let's take a look at the 14 academic leadership frameworks of each part of the relationship. The correlation coefficient is a measure of the closeness of the correlation between

variables. The author intends to find out the relationships and properties of the 14 research variables to lay a foundation for further data mining in the future. Since all the 14 variables in this paper are continuous variables, we chose the Pearson correlation coefficient. Pearson correlation coefficient is applied to the situation where the measurement level of variables is continuous numerical type, and the variables are generally normally distributed or approximately normally distributed, and the sample size should be more than 30. The above conditions are met in this study. If Pearson's correlation coefficient is <0.3, it indicates that the two variables are weakly correlated. If the value is between 0.3 and 0.6, it indicates that the two variables are moderately correlated. A value greater than 0.6 indicates a strong correlation between variables.

In this study, 14 variables are strongly correlated with each other. As shown in table 2, significant P values were all 0.000 < 0.05, and correlation coefficients were almost all over 0.6, with the highest even reaching 0.925. Among them, the correlation coefficient reached 0.925 for Promoting Collaboration and Emotional Competencies, which was also in line with our understanding that the two sides needed strong Emotional management ability. Another pair of variables with a correlation coefficient of 0.896 was Decision Making and Developing Faculty, indicating that the two variables were highly correlated. However, we also find a pair of variables, Managing Diversity and Cognitive Capabilities, whose correlation coefficient is only 0.48 in the whole table. In fact, by the numerical standards of the correlation, the correlation is still moderate, but other variables are more correlated. In short, all 14 variables were correlated.

Table 1: Mean Score, Standard Deviation of all categories

Categories	**N**	**Mean**	**Std. Deviation**
Setting Direction	31	3.4435	.74641
Promoting Collaboration	31	3.6935	.78980
Building Networks and Relationships	31	3.2661	.75536
Accountability	31	3.6037	.75747
Decision Making	31	3.5000	.65121
Managing Diversity	31	3.6371	.70368
Environmental Sustainability	31	3.5269	.63113
Teaching & Learning	31	3.6559	.72000
Academic Freedom	31	3.5565	.79506
Developing Faculty	31	3.4774	.84171
Academic Credibility	31	3.7742	.74230
Knowledge	31	3.9355	.72224
Emotional Competencies	31	3.7258	.74975
Cognitive Capabilities	31	3.8387	.66036
Valid N (listwise)	31		

Table 2: Correlations of all Structures of Academic Leadership**. Correlation is significant at the 0.01 level (2-tailed).

Pearson Correlation Sig.(2-tailed) N	SD	PC	BNR	AC	DM	MD	ES	TL	AF	DF	AC	K	EC	CC
SD	 .31	.000 .31	.000 .31	.000 .31	.000 .31	.000 .31	.000 .31	.000 .31	.000 .31	.000 .31	.000 .31	.000 .31	.000 .31	.000 .31
PC	.821** .000 .31	.1 .31	.728** .000 .31	.839** .000 .31	.861** .000 .31	.854** .000 .31	.797** .000 .31	.844** .000 .31	.858** .000 .31	.884** .000 .31	.830** .000 .31	.675** .000 .31	.925** .000 .31	.674** .000 .31
BNR	.696** .000 .31	.728** .000 .31	.1 .31	.775** .000 .31	.793** .000 .31	.823** .000 .31	.768** .000 .31	.789** .000 .31	.751** .000 31	.826** .000 .31	.740** .000 31	.532** .000 .31	.756** .000 .31	.501** .000 .31
AC	.818** .000 .31	.839** .000 .31	.775** .000 .31	.1 .31	.843** .000 .31	.755** .000 .31	.833** .000 .31	.865** .000 .31	.861** .000 .31	.891** .000 .31	.874** .000 .31	.764** .000 .31	.881** .000 .31	.703** .000 .31
DM	.852** .000 .31	.861** .000 .31	.793** .000 .31	.843** .000 .31	.1 .31	.767** .000 .31	.816** .000 .31	.823** .000 .31	.845** .000 .31	.896** .000 .31	.770** .000 .31	.622** .000 .31	.850** .000 .31	.663** .000 .31
MD	.650** .000 .31	.854** .000 .31	.823** .000 .31	.755** .000 .31	.767** .000 .31	.1 .31	.808** .000 .31	.782** .000 .31	.794** .000 .31	.848** .000 .31	.779** .000 .31	.477** .000 .31	.879** .000 .31	.480** .000 .31
ES	.820** .000 .31	.797** .000 .31	.768** .000 .31	.833** .000 .31	.816** .000 .31	.808** .000 .31	.1 .31	.820** .000 .31	.824** .000 .31	.841** .000 .31	.816** .000 .31	.638** .000 .31	.820** .000 .31	.628** .000 .31
TL	.836** .000 .31	.844** .000 .31	.789** .000 .31	.865** .000 .31	.823** .000 .31	.782** .000 .31	.820** .000 .31	.1 .31	.807** .000 .31	.922** .000 .31	.792** .000 .31	.764** .000 .31	.799** .000 .31	.744** .000 .31
AF	.838** .000 .31	.858** .000 .31	.751** .000 .31	.861** .000 .31	.845** .000 .31	.794** .000 .31	.824** .000 .31	.807** .000 .31	.1 .31	.870** .000 .31	.780** .000 .31	.621** .000 .31	.866** .000 .31	.600** .000 .31
DF	.845** .000 .31	.884** .000 .31	.826** .000 .31	.891** .000 .31	.896** .000 .31	.848** .000 .31	.841** .000 .31	.922** .000 .31	.870** .000 .31	.1 .31	.804** .000 .31	.648** .000 .31	.887** .000 .31	.675** .000 .31
AC	.738** .000 .31	.830** .000 .31	.740** .000 .31	.874** .000 .31	.770** .000 .31	.779** .000 .31	.816** .000 .31	.792** .000 .31	.780** .000 .31	.804** .000 .31	.1 .31	.718** .000 .31	.850** .000 .31	.596** .000 .31
K	.745** .000 .31	.675** .000 .31	.532** .000 .31	.764** .000 .31	.622** .000 .31	.477** .000 .31	.638** .000 .31	.764** .000 .31	.621** .000 .31	.648** .000 .31	.718** .000 .31	.1 .31	.637** .000 .31	.824** .000 .31
EC	.741** .000 .31	.925** .000 .31	.756** .000 .31	.881** .000 .31	.850** .000 .31	.879** .000 .31	.820** .000 .31	.799** .000 .31	.866** .000 .31	.887** .000 .31	.850** .000 .31	.637** .000 .31	.1 .31	.600** .000 .31
CC	.787** .000 .31	.674** .000 .31	.501** .000 .31	.703** .000 .31	.663** .000 .31	.480** .000 .31	.628** .000 .31	.744** .000 .31	.600** .000 .31	.675** .000 .31	.596** .000 .31	.824** .000 .31	.600** .000 .31	.1 .31

Discussion

Through interviews, we can learn the following points. Firstly, what are the views of the college leaders on higher education? Secondly, how should academic leaders practice? Thirdly, the characteristics that academic leaders should possess most. Through the analysis of the questionnaire, we identified the academic leadership practice level of the college from 14 main aspects. It is found that these instructors mainly have a one-sided understanding of academic leadership. For academic leaders, the most important thing is to have professional knowledge while ignoring the ability of academic leaders to influence others.

It is worth noting that among the 14 aspects, the aspect with the highest mean score is “knowledge”. This result is in agreement with people’s cognition of academic leaders in China. It is

also in line with the fact that leaders in Chinese universities achieve administrative promotion through academic achievements. Similarly, the mean scores of the other two decisions: academic creativity and cognitive capabilities are also high. These results may be caused by the following reasons. Basically, in Chinese colleges and universities, a leader will face a lot of administrative work. If he or she can participate in regular teaching and regular classes, he or she must pay more pain than an ordinary leader and be respected by more instructors. And the respondents also believe that academic leaders, like other leaders, should accept the challenge and motivate the team to achieve the goal, so they should believe in success. In addition, building networks and relationships have the lowest score. Although the respondents all think it is crucial to establish connections with other excellent teaching resources. The lowest score of this part is to develop academic interfaces for knowledge exchange, joint research, and student employment, which may be because most of the interviewees are ordinary instructors and are not necessarily capable of establishing academic interfaces.

Conclusion

According to the research findings, we can give the following suggestions to the academic leaders of the Art and Design College of the Guangdong University of Petrochemical Technology. Firstly, academic leaders should formulate scientific systems, policies, and management plans to ensure and improve the work efficiency of instructors. In particular, they should give instructors more opportunities to participate in relevant leadership training activities. Secondly, the instructors should strengthen their understanding of academic leadership and actively participate in daily academic activities to promote the development of their academic leadership. Finally, leaders and instructors should enhance communication to think more comprehensively in day-to-day management and reform.

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HOW SUSCEPTIBILITY TO EMOTIONAL INFECTION AFFECTS EMPLOYEES' WORK PROCRASTINATION: THE MODERATING EFFECT OF SELF-MONITORING

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Abstract

Procrastination has become a common phenomenon in society. At present, there are relatively few studies on procrastination at work, and work procrastination will cause considerable harm to employees and organizations. The purpose of this article is to explore the impact of the susceptibility to emotional infection of office workers on the leader-member exchange and then affect the staff's work procrastination behavior, and the extent to which self-monitoring can inhibit the occurrence of work procrastination. Therefore, how to affect work procrastination has become an indispensable subject for research. At the same time, emotions have a non-negligible impact on human life, and an appropriate emotional state is a necessary condition for maintaining physical and mental health. After reviewing the literature, this article uses emotional infection theory and leadership exchange theory from an emotional perspective to construct a research framework between emotional infection susceptibility and work procrastination through a rigorous logical relationship. Finally, the research in this article can also provide theoretical guidance to future researchers.

Keywords: Susceptibility to Emotional Infection, Leader-Member Exchange, Self-Monitoring, Work Procrastination

Introduction

Background

In the past two decades, research on procrastination has become more and more popular, although procrastination has been studied from different perspectives, including personality, motivation, clinical, and context (Klingsieck, 2013). But academics pay less attention to procrastination in the workplace (DeArmond, Matthews, & Bunk, 2014), and it has only recently developed into other areas of life, such as health and work.

Work procrastination is defined as delaying work-related actions by deliberately engaging in non-work-related actions (Metin, Taris, & Peeters, 2016), but this kind of procrastination is intentional to employees, but it does not intend to harm others on the idea of the benefit of the organization. According to the survey, employees spend about one and a half to three hours a day on

personal activities during working hours (Paulsen, 2015), such as drinking coffee, surfing the Internet, chatting with friends, and posting in some moments. It also shows that procrastination is a common behavior in modern society. So, is procrastination good or bad for employees and the organization? Through literature review, it is found that procrastination at work is a bad thing, and procrastination at work may adversely affect employee well-being and organization (Metin, Peeters, & Taris, 2018).

On the individual side, Herweg and Müller (2011) found that high levels of procrastination can cause individuals to produce negative emotions such as anxiety and depression. They can also lead to individual poor performance, low levels of self-confidence, and low levels of emotional well-being (Kim & Seo, 2015), thereby damaging physical and mental health. The procrastination behavior of employees in the work area also has a direct impact on their own job performance, salary, and job happiness. Nguyen, Steel, and Ferrari (2013) found that high levels of procrastination are related to lower wages, shorter employment, and greater unemployment or underemployment.

Despite these findings and concerns about procrastination, there are few studies. In terms of organization, the procrastination of individual employees will affect their own performance, and then have an indirect impact on organizational performance, such as reducing the overall work efficiency of the organization and increasing production costs (D' Abate & Eddy, 2007). Therefore, our research on work procrastination is of great significance to the employees and the organization, and the previous research results are few, and there is a clear need to support further research on this topic (Metin, Peeters, & Taris, 2018). In the process of reviewing the literature, it is found that although scholars have studied many factors that affect work delay, they lack an in-depth discussion of work delay from the perspective of emotional contagion. Therefore, this paper starts research after discovering this research gap.

Emotions have a non-negligible impact on human life. An appropriate emotional state is a necessary condition for maintaining physical and mental health, promoting personality perfection and creativity. On the contrary, emotional abnormality is not only an important inducement of various mental disorders but also a key factor that causes humans to do wrong things. Through research, Barsade, Coutifaris, and Pillemer (2018) found that emotional infections are widely used in organizations and have a significant impact on employees themselves and the organization. Based on this, this leads to the research question of this article: How does the susceptibility to emotional infection affect employees' work procrastination?

In order to answer this research question, this article takes office employees as the research object, starts from the emotional infection theory and the leading member exchange theory, introduces leader-member exchange as an intermediary variable, and self-monitoring as a moderating variable, and then explores "susceptibility to emotional infection" and the internal mechanism of the relationship between "work delays". The reason why this article chooses to fill up the research gap is that emotion is an indispensable factor for people at work, and emotions have a great impact on employees themselves. Leadership exchange is to highlight the interpersonal relationship between

leaders and employees, which is work. It is an indispensable part of obtaining resources in China, so this article chooses to explore the relationship between them to fill the gap.

A Leader-member exchange relationship refers to a mutually beneficial exchange relationship established by the leader and the members of the organization (Yukl, 2019). This relationship is through the work interaction between the leader and the employee. If the leader and the employee have a good interaction, then it helps to promote a high-quality exchange relationship based on mutual respect, trust, and contribution that is beyond the scope of the employment contract.

On the contrary, it forms a low-quality exchange relationship that does not exceed the scope of the employment contract and lacks trust, encouragement, and support between leaders and employees. Exchange relationship. Self-monitoring is the tendency of individuals to use observation information to adjust and control their own behavior and self-presentation after observing the surrounding environment (Snyder, 1974), that is, employees with high self-monitoring personality will follow the observed external information and change the tendency of one's own behavior so that oneself can obtain the maximum benefit.

Leadership exchange and self-monitoring are both related to the employees themselves and the organization. Self-monitoring is a personality trait that brings different influences to the organization through the employees themselves. The exchange of leadership members is the exchange of mutual benefits between leaders and employees, and it concerns employees. The available work resources and the impact of employees on the organization, so this article incorporates the exchange of leadership members and self-monitoring into the research to explore the relationship between them.

Research motivation

The motivations of this study are divided into three parts. The first motivation is to answer the questions just raised through research and explore the relationship between susceptibility to emotional infection and work procrastination. The second motive is that after consulting the literature, no scholars have yet found the relationship between susceptibility to emotional infection and work procrastination. The third motivation is to explore the influencing factors of employee work procrastination, which is very valuable and significant to the organization.

Research purpose

This research attempts to propose a new research framework through the theory of emotional contagion and the exchange theory of leadership members. The first purpose is to explore the relationship between the variables in the framework, 1) the relationship between emotional susceptibility and the exchange of leaders, 2) the relationship between leader exchange and work procrastination, 3) self-monitoring and emotional infection The second purpose of the relationship between susceptibility and work procrastination is to provide research data for later researchers.

Research significance

The theoretical significance is to fill up the gaps in research through research, make a contribution to the academic community, and provide future scholars with thinking and new research suggestions. The practical significance lies in the research that found that emotional susceptibility will negatively affect the exchange of leadership members and positively affect work procrastination. Therefore, managers should be informed that they should pay more attention to the psychological state and emotional changes of employees, reduce the workload of employees in time, and improve employees and leaders. The high-quality exchange relationship between the employees reduces the procrastination of the work of the employees, and at the same time provides feasible suggestions for the survival and development of the organization.

Originality

There are three points of originality in this research, as follows:

(1) Through the study of work procrastination, extend it from other fields to the field of organizational behavior, and guide scholars to explore new research directions.

(2) The current research does not link emotional susceptibility to work procrastination. This is the first research conducted in this article.

(3) This article discusses the basis of emotional contagion theory and leader-member exchange theory, narrates the logical relationship between variables, and provides a new theoretical basis for others to study.

Literature Review

Emotional infection theory

In the process of interacting with each other, people will involuntarily observe and imitate the behavior, body language, facial expressions, and tone of the communicator, etc., and translate the received information into their own behavior. And this synchronization is two-way, and eventually, the two communication partners will form cross-infection with each other (Hatfield, Cacioppo, & Rapson, 1993). Emotional infection theory mainly explains the process of emotional infection, and in this process, the infected person will observe, imitate, and eventually change their behavior. Linked to the framework of this article, those who are more susceptible to emotional infection Employees, they may be affected by the emotions of others, and change their original behavior (i.e. emotional impulse), and finally affect the relationship with the leader.

Susceptibility to emotional infections

A hierarchy of emotions, dividing emotions into two categories: positive and negative. Positive emotions include two basic emotions: love and happiness, and negative emotions include three basic

emotions: anger, sadness, and fear. Based on five basic emotions, Hatfield, Cacioppo and Rapson (1994) first launched a study on emotional infection and proposed an imitation-feedback mechanism.

The imitation-feedback mechanism is divided into imitation, feedback, and susceptibility. It is a classic theory of emotional infection and susceptibility. Imitation is that people can imitate the expressions, sounds, postures, and actions of their peers very quickly, and coordinate with them; Able to automatically imitate a large number of emotional features in an instant, and empathize; feedback is to imitate facial expressions, sounds, postures, and actions and give feedback, the subject's emotional experience is often affected; susceptibility is that people always tend to “capture” others’ Emotions (Hatfield, Cacioppo, & Rapson, 1993). After reviewing the literature, this article defines it as being vulnerable to emotional infection from others.

There is no good or bad susceptibility to emotional infection. From an emotional point of view, if employees are infected by the positive emotions of others, then employees will gradually converge and have positive emotions, and positive emotions will promote employees' physical and mental health and mood. Pleasant, keep employees energetic, it is possible to improve the enthusiasm of employees; if employees are infected by negative emotions of others, such as anger, anger, sadness, etc., employees will also become angry, angry, sad, and this negative emotion.

Not only will it damage the mental health of employees, but in severe cases, it will also cause employees to make negative behaviors, such as passive sabotage and anti-productive behaviors, harming the interests of others or organizations. Petitta, Probst, Ghezzi and Barbaranelli (2019) found in the model that happy emotional contagion can reduce employees’ cognitive failures, thereby reducing the occurrence of workplace accidents, while angry emotional contagion can increase employees’ cognitive failures and easily cause workplace accidents happened.

Petitta and Jiang (2020) found in the model that positive emotion (happiness) infection will reduce employees’ mental insecurity and work burnout, and negative emotion (fear) infection will increase employees’ sense of insecurity and increase employees’ Job burnout. From the perspective of emotional susceptibility, employees with high emotional susceptibility are susceptible to the emotions of others.

As employees come into contact with people with different emotions at work, their emotions can easily change, and they can be with happy people. Employees will feel happy, and employees will feel sad when they are with someone who is sad. Emotions are an individual’s internal resource. When emotions continue to change, employees’ psychological resources will continue to be consumed, making it easy to feel exhausted. It will lead to inattention at work and reduce work efficiency. Not only that, employees with high emotional susceptibility, because their emotions are easily affected by the emotions of others, they often use emotions, and the managers of the organization value the benefits for the organization, not the emotions, and the emotional people usually do will to sacrifice part of the benefits, therefore, employees with high emotional susceptibility are not liked by managers.

Employees with low emotional susceptibility are difficult to be affected by the emotions of others, nor will they be disturbed by emotional events in the organization. Employees will maintain their own strength, full of vitality and energy every day, which will improve their work efficiency. And this type of employee will not be emotional, be meticulous in their work, act in accordance with the organization's rules, and take their own interests and organizational interests as the prerequisite, so they are often loved by leaders and have a closer relationship with them.

The activation of emotional contagion occurs unconsciously and automatically, but when the brain receives emotional signals, individuals will be consciously aware of this emotional communication, and emotional contagion, like an epidemic, can be through large-scale social interactions. Gathering and communication among employees who interact at work (Petitta & Naughton, 2015).

Positive emotions enable people to operate in their best condition, stay positive and happy, and maintain sufficient energy. The transmission of positive emotions can be used as a work resource, which can help employees, to improve their work performance of employees. Happy contagion will motivate employees and help them avoid safety hazards and reduce accidents and injuries. Petitta, Probst, Ghezzi and Barbaranelli (2019) found that moody emotional contagion among employees is indirect to the possibility of experiencing workplace accidents through cognitive failure.

On the contrary, the contagion of negative emotions degrades the working status of employees, and employees will feel burnout and lethargy at work. This will not only damage the health of employees but also reduce their work performance. Nahrgang, Morgeson and Hofmann (2011) found that work needs related to emotions (for example, interpersonal relationships that require emotions) can harm the health of employees and hinder them from working safely. When people are affected by positive emotions, the level of emotional consistency is significantly higher than that of negative emotions. Low-power people may be more susceptible to the emotions of others, especially those with high power. Employees can be infected by the positive emotions of the leader, thereby enhancing work efficiency.

Orden and Joiner's (2006) research both show that the closer the relationship between two individuals is, the more likely they are to be affected by each other's emotions, that is, the stronger their emotional susceptibility is. It can be seen from the analysis that the susceptibility to emotional infection is accompanied by the consumption of resources. The consumption of resources is related to the working status of employees, and therefore affects the relationship between employees and leaders, and the susceptibility to emotional infections also affects people's lives. Emotional changes will also affect people's behavior. For example, when employees are highly susceptible to emotional infections, they are susceptible to the negative emotions of others, and gradually they will also have negative emotions, making employees unable to concentrate on work. Performance without being recognized by the leader, which in turn affects the relationship between them.

Leading members-exchange

In organizations, due to the limitation of organizational resources and leadership energy, leaders will treat all employees unequally (Graen, Dansereau, & Minami, 1972). Therefore, leaders will establish different levels of relationships with employees. Leadership member exchange relationships, employees with high-quality leadership member exchange relationships get more organizational resources, and they will also produce higher performance returns to the organization.

The exchange relationship between leaders and employees is gradually established and established during the work of superiors and employees (Graen and Uhl-Bien, 1995). The exchange of low-quality leaders is based on a formally agreed, tangible, and balanced economic exchange, and does not go beyond employment. The scope required by the contract is a contractual exchange. High-quality leader-member exchange is a working relationship based on social exchange, characterized by loyalty, commitment, support, and trust.

The exchange of leaders and members can be understood as a dynamic, two-way, reciprocal relationship, and a social exchange, which can be divided into low-quality exchanges and high-quality exchanges (Sparrowe & Liden, 1997). Low-quality exchange is often referred to as "exchange outside the circle", and high-quality exchange is often referred to as "exchange within the circle." The so-called "external exchange" refers to the exchange relationship between the leader and the subordinates only within the scope of work. Subordinates take up less time for the leader and get fewer training opportunities and job attention.

The so-called "intra-circle exchange" refers to the exchange relationship between the leader and the subordinates that is beyond the scope of work, such as the leader having more humanistic care for the subordinates, trust and recognition, development opportunities, and power grants. Through literature review, this article finds that the definition of exchange of leadership members proposed by various scholars is similar, so this article defines it as a mutually beneficial exchange relationship between leaders and employees based on the most classic definition.

The research on the exchange of leadership members is generally divided into two aspects: cause and consequence, and the result aspect is divided into the impact on the employee's work results, such as employee performance, productivity, organizational citizenship behavior, etc. (Boer, Deinert, Homan, & Voelpel, 2016; Morganson, Major, & Litano, 2017), on the other hand, is the impact on employees' psychological results, such as emotions, psychological insecurity. (Creary, Caza, & Roberts, 2015).

The research of Krishnan (2005) found that transformational leadership has a positive effect on the exchange of leaders. It is easier for transformational leaders to obtain useful resources and information than other types of leaders, and have an impact on the exchange of leaders. In addition, the emotional factors between leaders and members will have a certain impact on the exchange of leaders, and positive emotions can promote high-quality exchanges of leaders.

Research by Tangirala, Kilduff and Menges (2007) shows that leaders who are at the core of the organization are more likely to establish high-quality exchange relationships with employees. Organizational resources have a positive impact on the exchange of leaders, and the number of departments has a negative impact on the exchange of leaders (Henderson, Liden, Glibkowski, & Chaudhry, 2009). Aryee and Chen (2006) verified the complete mediating role of employee psychological empowerment between the exchange of leaders and employees' job performance, psychological withdrawal behavior, and job satisfaction. Similarly, the exchange of leadership members can have an impact on organizational citizenship behavior through employees' fair perceptions.

Harris, Wheeler and Kacmar (2011) empirically show that the exchange of leadership members has a positive impact on the two dimensions of employee job embedding, i.e., in-work embedding and out-of-work embedding. Portoghese, Galletta, Battistelli and Leiter (2015) studied the influencing factors of employee turnover intention at multiple levels and found that job satisfaction is related to turnover intention at the individual level, but the most directly related to employee turnover intention at the unit level is with leadership The quality of exchange between.

The exchange of leadership members affects the work resources, such as work autonomy, development opportunities, and social support, etc., positive employees' work performance (Breevaart, Bakker, Demerouti, & Van Den Heuvel, 2015). It can be seen from this that it can be analyzed that the exchange of leadership members is based on a mutually beneficial exchange relationship between the leader and the employee, and this relationship will affect the employee's resource acquisition at work, and finally affect the employee's behavior. After reviewing the literature, it is found that there is a certain connection between the exchange of leaders and the procrastination of work.

Self-monitoring

The definition of self-monitoring, which refers to the tendency of individuals to use observation information to adjust and control their own behavior and self-presentation after observing the surrounding environment (Snyder, 1974). Self-monitoring personality includes the ability to monitor oneself. For high-level self-monitoring individuals and low-level self-monitoring individuals, there are differences in their ability and tendency to identify relationship cues in the context and adapt to the environment.

Self-monitoring can reflect differences in the degree of interpersonal relationship through personal behavior, which is considered to be a predictor of specific employee behavior (Tasselli, Kilduff, & Menges, 2015), and it can also affect other characteristics (Barrick, Parks, & Mount, 2005). Help have a more detailed understanding of individual behavior. In public, individuals with high self-monitoring personalities will not make counterproductive behaviors due to relationship pressure.

However, in private situations, a high self-monitoring personality has stronger opportunism, hoping to reap their own benefits through anti-productive behaviors (Oh Charlier, Mount, & Berry, 2014). Dynamic social network research shows that high self-monitoring will introduce more network connections and expand its network scale, while for newly introduced node contacts, there may not be a direct relationship with the original network, which leads to high self-monitoring.

Personality with individuals is more likely to occupy structural holes, and thus have an advantageous intermediary position in social networks, and have more weak connections (Sasovova, Mehra, Borgatti, & Schippers, 2010). In addition, the influence of self-monitoring personality on structural holes also works through the path of leader-member exchange and network diversity. Self-monitoring personality can improve the quality of exchanges between leaders and members, increase the diversity of their own network, and have more structural holes in the network, which also means a good intermediary position (Wang, Hu, & Dong, 2015).

Dalal, Meyer, Bradshaw, Green, Kelly and Zhu (2015) proposed that self-monitoring can be used to manipulate the level of internal variability of people's behavior in different situations. Explain that personality has a strong influence on behavior. Compared with people with higher self-monitoring, the behavior of people with lower self-monitoring will be more predictable, but self-monitoring has nothing to do with the internal fluctuations of the person's personality itself (Lievens, Lang, De Fruyt, Corstjens, & Van de Vijver, 2018). Huang, Yin and Lv (2019) found through the job requirement-resource model that self-monitoring can reduce symptoms such as anxiety and restlessness and can improve teachers' job well-being.

It can be seen from this that it can be analyzed that the exchange of leadership members is based on a mutually beneficial exchange relationship between the leader and the employee, and this relationship will affect the employee's resource acquisition at work, and finally affect the employee's behavior. After reviewing the literature, it is found that there is a certain connection between the exchange of leaders and the procrastination of work.

Procrastination in work

Ferrari, Johnson and McCown (1995) pointed out that procrastination originated in Latin, which means that things will be done tomorrow. At present, the academic circles have not unified the definition of procrastination, and they hold three views: traits, behavior tendencies, and behaviors. Procrastination is a personal trait that procrastination when performing tasks or making decisions.

Procrastination is an irrational tendency to postpone what should be done to achieve a goal; Steel (2007) proposed that procrastination means that people voluntarily postpone starting or completing a planned behavior despite anticipating that the behavior will bring about adverse consequences. Then Klingsieck (2013) expanded the definition of procrastination, that is, despite the anticipated procrastination, the negative consequences are greater than the positive consequences, and the individual still voluntarily postpones necessary and important activities of the individual. Steel

(2007) developed an irrational procrastination scale, including a total of 9 items. Later, some scholars developed procrastination at work scale (Procrastination at Work Scale, PAWS) (Metin, Taris, & Peeters, 2016).

Through literature review, it is found that the current definition of work procrastination in academic circles has not yet been unified. Some people think that work procrastination is irrational and do not consider it a consequence of procrastination, while others believe that procrastination is rational and can already predict procrastination.

After the consequences, this research has synthesized the views of many scholars and finally believes that work procrastination is to do things unrelated to work during working hours and postpone work-related things, such as drinking coffee during working hours, browsing the web, playing games, Wait in a daze. Procrastination is divided into traits and behaviors. Students who procrastinate in traits are not aware of the long-term negative consequences of this behavior, will not seek help from others, and have not made changes themselves, because procrastination is already part of the essence (Stead, Shanahan, & Neufeld, 2010).

Nguyen, Steel and Ferrari (2013) found through research that women's procrastination is slightly lower than men's, and individuals with low income, unemployed or short-term employment have a higher level of procrastination. Pychyl and Flett's (2012) research show that individuals with strong perfectionism are more likely to show procrastination behavior. In terms of behavior, studies have shown that characteristics such as the degree of task aversion, task rationality, job autonomy, and job requirements will affect individual procrastination behavior (Metin, Taris, & Peeters, 2016).

Eerde (2003) regards procrastination as a strategy for managing negative emotions or seeking problem solutions. However, long-term habitual procrastination is still regarded as an irrational problem behavior in a success-oriented modern society full of competition and time pressure. It will not only cause a waste of time and resources but also affect the individual's studies and career. Even physical and mental health have adverse effects (Howell & Watson, 2007). Procrastination will affect the individual's physical and mental health.

Specifically, procrastination can cause the individual to produce negative emotions such as anxiety and depression, which will damage the individual's physical and mental health (Herweg & Müller, 2011). Procrastination will have an impact on personal happiness at work, and employees who procrastinate will have less happiness at work. Procrastination will also have an impact on an individual's job performance and salary level. Employees' procrastination behavior has a negative predictive effect on their job performance and salary level.

How does the susceptibility to emotional infection affect the exchange of leadership members?

From the perspective of emotional events, for employees with high emotional susceptibility than low emotional susceptibility, employees' physical and mental conditions and cognitive activities are more likely to be affected by emotional events in the organization, when employees experience

emotional events in the organization, employees with high emotional susceptibility will be more likely to be affected by emotions. Leadership exchange refers to the establishment of a mutually beneficial relationship between leaders and employees (Graen & Uhl-blen, 1995).

According to the exchange theory of leadership members, due to the constraints of resources, energy, and time, leaders will establish different exchange relationships with different employees and adopt differentiated management strategies. Leaders prefer employees who are oriented to the company's interests and can give the leader or Organizations bring benefits, so leaders are less likely to like employees who are prone to emotions. Therefore, employees who are easily affected by emotions often do not get the attention of the leader and will produce relatively low-quality exchange relationships.

Analyzed from the perspective of resources, employees who are highly susceptible to emotional infections are often affected by the emotions of others, and employees will consume a lot of internal resources during each emotional change. The consumption of resources will cause employees to feel tired and lack energy. The inability to concentrate on the work will eventually lead to distrust and unwillingness from the leader, so only low-quality exchange relationships can be obtained. Based on the above, this article makes hypothesis:

H1: Emotional infection susceptibility *will negatively affect the exchange of leadership members*

How does the exchange of leaders affect work procrastination?

In the case of limited internal resources in the organization, leaders often do not give equal treatment to each employee. Instead, they treat subordinates differently based on their relationship with subordinates, their abilities, contributions, etc., and form different qualities from different subordinates. The leading members exchange relationships (Graen & Cashman, 1975). In the high-quality exchange relationship between leaders and members, the leader will give his subordinates more work autonomy and work resources, as well as more decision-making space, and show more trust and respect (Dulebohn, Bommer, Liden, Brouer, & Ferris, 2012).

According to the exchange relationship, employees will return to their leaders, increase their work commitment, and do more things that are beneficial to the organization. In other words, when employees receive many benefits such as promotion, salary increase, trust, and support from their leaders, they will be rewarded to the organization. When employees realize that work procrastination will lead to inefficiency of the organization and cause harm to the organization, there will be no work procrastination for employees. At the same time, leadership members exchange high-level employees. Not only is it a contractual or contractual relationship with the leader, but also the trust, support, and more humanistic care from the leader. The relationship between employees and the leader will be closer, so employees will work actively, and will not show work procrastination.

High-quality exchange relationships between leaders and members will increase employees' enthusiasm for work and generate more work performance. Bowler, Paul and Halbesleben (2019) found in their research that high-quality exchange relationships between leaders and members can encourage followers to have more organizational citizenship behaviors. Leaders maintain high-quality exchange relationships with employees at work, which can stimulate employees' organizational commitment, and organizational commitment represents employees' identity and sense of belonging to the organization, so employees will have positive performance Behavior, so it will reduce work procrastination.

Based on the above, this article makes hypothesis:

H2: The exchange relationship between leaders and members will *negatively affect work procrastination*

How does self-monitoring regulate the relationship between the susceptibility to emotional infection and the exchange of leadership members?

Self-monitoring means that individuals intentionally adjust their behavior and public image according to the environment in order to enhance their status and maximize their own interests (Barrick, Parks, & Mount, 2005). If individuals with high self-monitoring find that cooperation with others cannot bring their own benefits, they will not cooperate with others. In summary, it shows that employees with high self-monitoring will Information and different situations to adjust their behavior to maximize their benefits.

As mentioned earlier, for employees with high emotional susceptibility than low emotional susceptibility, employees' physical and mental conditions and cognitive activities are more likely to be affected by emotional events in the organization, when employees suffer from emotional events in the organization, employees with high emotional susceptibility will be more easily affected by emotions.

Leaders prefer employees who think about the interests of the organization. Such employees can be the leader and the organization Bringing benefits, leaders will dislike emotional employees. Therefore, employees who are susceptible to emotional infection have low-quality exchange relationships with their leaders. We deduced that emotional susceptibility will negatively affect the exchange of leaders.

When an employee is an individual with high self-control, the employee will think that maintaining a high-quality exchange relationship with the leader will gain more benefits, because if they can become an insider of the leader, the employee will get more resources and return If they can get more trust and respect, then employees will find ways to become insiders of the leader, change themselves in other ways, and gain the goodwill of the leader, so self-monitoring will weaken the relationship between emotional susceptibility and the exchange of leaders. Conversely, when

employees are individuals with low self-monitoring, self-monitoring has no effect on the relationship between susceptibility to emotional infection and exchanges of leaders.

In other words, when employees with a high degree of self-monitoring find that emotional misuse will damage the organization's interests and cause the employees themselves to be disliked by the leader, the employees will try to control themselves, reduce the impact of emotional susceptibility, and reduce their emotional misuse, and ultimately It will reduce the influence of emotional infection susceptibility on the exchange of leaders, so self-monitoring will weaken the relationship between emotional infection susceptibility and the exchange of leaders. Based on the above, this article makes the hypothesis:

H3: Self-monitoring has a negative moderating effect between the susceptibility *to emotional infection and the exchange of leadership members*

Integrate the various research hypotheses described above and draw a research framework diagram, as shown in Figure 1.

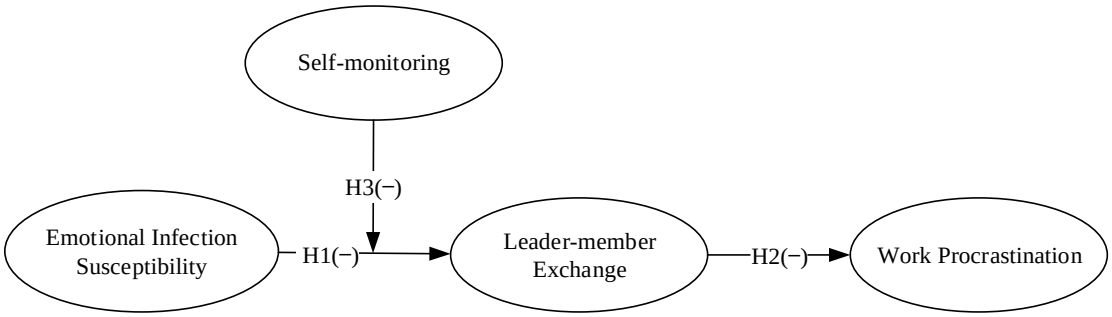

Figure 1: Research framework diagram

Conclusion

In this study, we raise the research question of how susceptibility to emotional infection affects employees' work procrastination. We also propose three hypotheses that reflect the relationship between susceptibility to emotional infection, exchange of leadership members, work procrastination, and self-monitoring. This article finally concludes that employees who are easily affected by other people's emotions tend to be emotional at work and are not liked by their superiors. Therefore, they have a lower-quality exchange relationship with their leaders, compared to employees who have high-quality exchange relationships. Employees with low-quality exchange relationships showed more work procrastination, which responded to the research questions in this article. At the same time, it was found that self-monitoring of personality helps employees improve the exchange relationship with their leaders, thereby reducing employee procrastination in work.

This paper expects that the research framework can solve some problems in the organization, such as exploring the factors that affect office employees' work delays, hoping to attract the attention

of the organization, help improve the work efficiency of employees, and help the organization gain more benefits. This research is suitable for companies with a large number of office employees or autonomous employees. It can effectively prevent employees from procrastinating at work and provide certain assistance to the organization.

Suggestion

After researching and drawing conclusions, this article found some deficiencies. Therefore, it provides suggestions for subsequent research. Only the following research directions are listed for reference:

(1) This article studies work procrastination from an emotional point of view, and only considers the aspects that are easily affected by the emotions of others. Then, in the future, we can conduct research from the perspective of easily affecting the emotions of others to verify whether there are different effects on work procrastination?

(2) More variables can be included, from an emotional point of view, to discuss the impact on work procrastination

(3) There are few studies on work procrastination at present, and work procrastination can be studied from other aspects to enrich the research results of work procrastination.

(4) The influence of emotional susceptibility on work procrastination can be further explored. In addition to being affected by interpersonal relationships, there may also be factors affecting the work environment.

(5) On the basis of this article, it is also possible to change the research object, expand the research scope, and lay the foundation for the research of work delay.

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PERCEPTION OF COST AFFECTING PERCEPTION OF DESTINATION AND SATISFACTION: ANDAMAN AND GULF COAST MEDICAL TOURISM

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Abstract

A study of the relationship of perceived cost affecting the perception of destination image and medical tourism satisfaction in the region of the Andaman and Gulf Coast of European tourists involved quantitative studies. The sample data was collected for 184 people in 4 southern provinces (Gulf of Thailand and Andaman Coast): Phuket Province, Krabi Province, Surat Thani Province, and Songkhla Province who had used medical services in hospitals and medical facilities in the area. The research instrument was a questionnaire that consisted of three latent variables: perceived cost, perceived end image, and satisfaction. The results showed that most of the respondents were male, Christian, and from Russia. The baseline statistical analysis of latent variables and observable variables revealed that the perception of the destination image and perception of expenses had the highest effect on overall perception at the level. overall satisfaction was at the highest level. The results of the measurement model analysis met the criteria. The relationship between an observable variable and a latent variable was at a good level. The results of the structural equation analysis revealed that the perceived cost had a statistically significant direct relationship to the perception of the destination image. The perception of destination image was also statistically significantly correlated directly to satisfaction whereas the perceived cost had no direct relationship to satisfaction. However, when the endpoint image was perceived as a moderator variable, the path between perceived cost and satisfaction was statistically significant.

Keywords: Perceived Cost, Perception of Destination Image, Satisfaction, Medical Tourism

Introduction

The service of tourists in Thailand has increased and affected the Thai economy and society. Most of the country's income also comes from tourism. The Tourism Authority of Thailand has divided the tourism areas into the North, the Central, the West, the Northeast, the East, the South, and Bangkok. From the statistics of tourists in 2019 before the epidemic situation of COVID-19, the South of Thailand has the second-highest number of foreign tourists after Bangkok at 28.30 percent. As a result, the southern region has a high income from foreign tourists as well. The group of foreign tourists who travel to Thailand the most is the group from Europe, followed by tourists from the East (Ministry of Tourism and Sports, 2019).

The Ministry of Tourism and Sports has divided tourism in Thailand into a variety of forms. Medical tourism is a tourism that can grow and generate a lot of income in Thailand. This is consistent with the data from the Kasikorn Research Center (2016), which stated that the income of tourists who came to Thailand that generates higher income than general tourists is medical tourists.

Medical tourists are considered a group with high-paying power. It is therefore an opportunity for Thailand to expand its economy further. Medical tourism refers to foreign tourists traveling from

their home country to receive medical and health care from their destination country (Ji & Tae, 2012). Medical tourists come to use various medical services such as Cosmetic surgery, Dentistry, Cardiac surgery, Orthopedic surgery, Bariatric surgery, Fertility/reproductive system, Cell and tissue transplantation, Eye surgery, Diagnostics, and Checkup (Hoz-Correa, Munoz-Leiva, & Bakucz, 2018).

In 2020, due to Thailand and abroad experiencing the impact of the COVID-19 outbreak crisis, this issue affects the expansion plan to accommodate foreign medical tourists and affects private hospitals in Thailand, especially private hospitals that have plans to mainly accommodate foreign medical tourists. Private hospitals that provide medical services to foreigners in the southern region, both the Andaman coast and the Gulf of Thailand, are all affected by this problem. Data from the Kasikorn Research Center (2020) indicates that during the past year 2020, private hospital business is one of the businesses that have been affected by the Covid-19 crisis which caused revenue and net profit to shrink. The Kasikorn Research Center has forecasted the direction of the private hospital business in 2021 under the assumption that there is no new wave of COVID-19 outbreak and the government can gradually ease international travel. This will be able to attract medical tourists to Thailand again.

A literature review of past research can conclude that factors affecting the willingness of medical tourists to re-use the same hospital or clinic, which arise from the perception of medical services at hospitals or clinics that can answer needs and meet expectations. One of the most important and well-studied variables influencing the willingness of re-use by medical tourists is the satisfaction factor in receiving medical services (Han & Hwang, 2015; Hashemi, Jusoh, Kiumarsi, & Mohammadi, 2015; Kim, Choi, Ahn, & Kim, 2017), destination image perception (Abubakar & Ilkan, 2016; Han & Hyun, 2015), and medical cost (Han & Hyun, 2015; Lee & Kim, 2017).

Under the COVID-19 Crisis and preparation before the official announcement of the government's opening of the country after controlling the epidemic situation of COVID-19, this research focuses on the study of how cost perception affects perception of destination and medical tourism satisfaction in the Andaman coast and the Gulf of Thailand of European tourists. The researchers hope that findings from this study can be used to explain how the relationship of cost perception studies affects perception of destination and medical tourism satisfaction. Moreover, the results of such factor analysis can be used to manage appropriate medical tourism after the epidemic situation has subsided.

Research Objective

To study the relationship of perceived cost affecting the perception of destination and medical tourism satisfaction in the Andaman coast and the Gulf of Thailand of European tourists

Literature Review

Perceived cost

According to The theory of push and pull factors, John and Larke (2016) argue that the factors that drive medical tourists to a destination country are based on medical advice, family, and friends. In addition, the insurance in the country is not enough to cover the treatment (cosmetics, fertility dentistry, treatment, etc.), want privacy and maintain confidentiality, previous medical tourism experience, the proximity of the destination, ease of international travel, and social status (age, gender, income, etc.).

Factors that attract medical tourists to travel to the destination country include reduced medical expenses, service quality, the language proficiency of physicians and personnel, certified medical facility, less waiting time, do not have access to treatment or medicine in their home country, hospital reputation, and the reputation of the operator. The recognition of medical expenses refers to the patient's perception of medical expenses and other costs involved in the healing process (Abubakar, Ilkan, Al-Tal, & Eluwole, 2017; Han, Kim, Kim, & Ham, 2015; Saadatnia & Mehregan, 2014).

An (2013) stated that expenditure is one of the most frequently cited incentives. Expense is an important step in the decision for medical tourists to leave their home country, especially for patients coming from private health systems that do not have a universal health insurance fund. Cost is thought to be a key factor in encouraging patients to find appropriate medical care information. This is in line with the data from John and Larke (2016) showing that medical expenses are a factor in attracting medical tourists to the destination country. According to Tontus and Nebioglu (2018), expenditure is directly related to population health and household income. Moreover, health expenditures are directly and indirectly linked to the global economy. Traveling to treatment for patients is primarily related to financial and economic capabilities. The needs to reduce costs in health care have a direct impact on the population due to the impact of economic changes, especially the cost of living and limited health insurance policies which enable people to seek access to better health care.

Huei, Mee, and Chiek (2015) compiled medical cost data. They found that the rising cost of medical care in developed countries. for example the United States, has resulted in pushing people to travel to other developing countries for medical treatment due to service charge and the cost for treatment in the United States being up to five to ten times as high which is significantly higher than that of developing countries.

Perceived destination image

Destination image refers to the destination of tourism that tourists perceive where the image of the destination affects the satisfaction of tourists. It is believed that a destination with a positive image influences the travel decision-making process. Importantly, the image of the destination may influence the intention to return (Hsu, Yen, Chang, & Woon, 2016; Hallmann, Zehrer, & Müller, 2015).

The image of a place is very important to medical tourists as it plays a part in the marketing of medical tourism. The image of place refers to the countries and destinations visited by medical tourists. They found that destination perception played an important role in helping hospitals reach and attract more international tourists to medical services. Baloglu and McCleary (1999) and Wang and Hsu (2010) describe the image of a place in two dimensions: 1) Cognitive Image 2) Affective Image. Tontus and Nebioglu (2018) say that it is important to focus on the image of a destination that tourists consider: reputation, weather, attractions, infrastructure, and historical background. This part is considered a factor that influences the perception of the patient and plays an important role in patient decision-making regarding country selection and hospital selection. Currently, information on the Ministry of Tourism's website plays an important role in informing medical tourists about the image of their destination.

Satisfaction

Patient satisfaction with medical care is a multidimensional concept. Most of them correspond to the key characteristics of the service provider, such as the service provider's technique of service, infrastructure, interaction, atmosphere, and service. Patient satisfaction has a positive influence on

patient confidence that strengthens the image of the hospital. This results in increased service usage, market share, and gaining a competitive advantage. Therefore, service providers, including hospitals, should focus on working towards achieving customer satisfaction and building customer loyalty. This makes satisfied customers more likely to exhibit good behavioral intentions that contribute to the long-term success of healthcare providers (Aliman and Mohamad, 2015).

Huei et al. (2015) described the satisfaction of medical tourism as the level of patient demand that was set and responding to patient satisfaction is important for healthcare providers in three areas: 1) Maintain relationships with patients 2) Identify strengths and weaknesses in the organization 3) Achieve financial benefits.

Choi, Cho, Lee, Lee, and Kim (2004) stated that healthcare providers' satisfaction leads to higher rates of patient retention and referrals. Therefore, satisfaction affects medical practice. Mechinda, Serirat, Anuwichanont, and Gulid (2010) reviewed the literature and found that Satisfaction is a great predictor of future willingness to return. Satisfaction is the overall emotional response resulting from the use of a product or service. That comes from the expectations of customers which, when they are met, will be satisfied. If expectations are lowered, satisfaction will also increase.

From the review of the aforementioned literature, the following hypotheses were tested:

H1: Cost perception is directly related to the perception of the destination.

H2: Perception of the destination image is directly related to satisfaction.

H3: Cost perception is directly related to satisfaction.

H4: Perception of the destination image as the moderator variable between perceived cost and satisfaction.

Methodology

This research is quantitative research. The purpose of this research was to study the relationship of perceived cost affecting the perception of destination image and satisfaction of medical tourism in the Andaman coast and the Gulf of Thailand among European tourists. The population used in this research was medical tourists who came to use services in hospitals and medical establishments in Thailand in the tourism areas of the southern region. The target population is European foreign tourists who have used services from hospitals in the area including private hospitals in Surat Thani Province, Songkhla Province, Phuket Province, and Krabi Province. Data were collected in the area where tourists use the service with a focus on keeping the accommodation near the hospital, mainly in front of the hospital.

Determination of sample groups used in this research for Structural Equation Modeling (SEM) was mainly taken into account in order to estimate the parameters by using the maximum likelihood method, the minimum criteria for determining the sample size for analyzing the structural equation model (SEM), 5 to 10 respondents are used for each parameter to be estimated (Hair, Black, Babin & Anderson, 2010). In this study, data were collected between 2019 and 2020, during the COVID-19 pandemic. Therefore, the sample group who is willing to answer questions is quite limited. Hence, were able to collect data from a sample of 200 people, but the most complete questionnaire was 184, which is still 5 times higher than the observed variables. As a result, this sample number can be accepted and considered sufficient to analyze the data according to the structural equation.

The research instrument was a questionnaire developed from the study of concepts, theories, and research papers which consisted of 4 parts: Part 1 Questionnaire on general information of the respondents; Part 2 Questionnaire on the perception of costs, The questionnaire was developed from

An (2013), Fetscherin and Stephano (2016), Han and Hyun (2015), S. Lee and Kim (2017), Mee, Huei, and Saadatnia and Mehregan (2014); Part 3 Questionnaire on the perception of the destination image. It is based on Abubakar, Ilkan, Al-Tal, & Eluwole (2017), Hsu, Yen, Chang, and Woon (2016), Prayogo and Kusumawardhani (2016), Cham, Lim, Sia, Cheah, and Ting (2020); and part 4 questionnaire about satisfaction is developed from Han and Hwang (2015), Prajitmutita, Perény and Prentice (2016), Shahijan, Rezaei, Preece, & Ismail (2015).

The nature of the questions is a 5-level estimation scale, with the answer criteria on a scale of 1 to 5. There are scoring criteria from 5, 4, 3, 2, and 1, with 1 being the lowest to 5 the most, respectively. Instrument quality checks use internal conformity with Cronbach's Alpha Coefficient in the confidence test. From the results of the analysis of the confidence of the whole date, it was found that the value was .935, which is greater than .70, which is within the acceptable range.

The researcher collected the data by herself along with language experts due to data collection of foreign medical tourists in the area of 4 southern provinces (Gulf of Thailand and Andaman) including Phuket, Krabi, Surat Thani, and Songkhla by asking who had used medical services in hospitals and medical facilities in the area.

The basic statistical analysis in the questionnaire used descriptive statistics to describe the characteristics of the samples and variables used in research. The details are as follows. Analysis of the basic statistical data of the sample consisted of frequency and percentage to describe the initial characteristics of the sample. The basic statistical analysis of variables consisted of mean, standard deviation, skewness, kurtosis of observable variables to check the distribution of variables, and data analysis to answer research problems according to objectives. In this data analysis, the structural equation model analysis process was used which consisted of 1) confirmatory component analysis and 2) Data analysis by Structural Equation Modeling.

Results

The results showed that The European survey respondents consisted of 184 participants; most of them were males, 118, representing 64.1%, and 66 females, representing 35.9%. Most of the respondents were Christian, 131, representing 71.2%, followed by 37 non-religious people accounting for 20.1%, followed by Buddhism 14 people accounting for 7.6 % and Islam, 2 cases, accounting for 1.1 %, respectively. The top three respondents from Europe with the most respondents came from Russia with 50 cases (26.1%), followed by France with 38 (20.65%) and the United Kingdom (33%). 17.93 respectively.

The baseline statistical analysis of latent variables and observable variables revealed that the perception of the destination image and the perception of cost had the highest overall perceived effect, with mean values of 4.58 and 4.33, respectively, and also had the highest overall satisfaction effect with a total average of 4.56. For each aspect mean of the 3 latent variables, the mean was also the highest in the criteria before being introduced into the process of further analysis of the structural equation model. There are 3 latent variables and 19 observable variables through average analysis standard deviation Skewness and kurtosis of observable variables. It was found that the skewness and kurtosis values were not more than – 1.96, + 1.96, considered normal distribution as shown in Table 1.

Table 1: Basic statistical values of observable variables

Symbol	Observable variable	Mean	Opinion Level	Std. Deviation	Skewness	Kurtosis
PDI	Perception of destination image, mean 4.58					
d1	Thailand is famous for its medical services and medical tourism.	4.63	Strongly agree	.527	-.992	-.128
d2	Thailand offers medical tourists the opportunity to combine treatment with relaxation.	4.67	Strongly agree	.525	-1.309	.744
d3	Thailand is an ideal place for medical care recipients to recuperate.	4.53	Strongly agree	.627	-.979	-.087
d4	Thailand is a beautiful country.	4.64	Strongly agree	.535	-1.127	.251
d5	Hospitals in Thailand have the most modern medical equipment.	4.57	Strongly agree	.596	-1.058	.121
d6	Hospitals in Thailand offer a wide range of medical services.	4.60	Strongly agree	.563	-1.065	.149
d7	Hospitals in Thailand have received many international standards and have a history of providing excellent medical services.	4.57	Strongly agree	.588	-.991	-.003
d8	Providing medical services in Thailand can be cost effective.	4.56	Strongly agree	.624	-1.114	.172
d9	Traveling to Thailand for medical purposes is easy.	4.51	Strongly agree	.661	-.995	-.165
d10	Thailand is the country that can deal with the COVID-19 epidemic best.	4.53	Strongly agree	.661	-1.078	-.018
PC	Perceived Cost Average 4.33					
c1	Medical expenses in Thailand are not very expensive.	4.36	Strongly agree	.727	-.683	-.821
c2	The price of medical services in Thailand is reasonable.	4.41	Strongly agree	.733	-.810	-.706
c3	Medical expenses in Thailand are cheaper than in their home country.	4.32	Strongly agree	.746	-.586	-.985
c4	Health insurance in your home country can cover medical treatment in Thailand.	4.36	Strongly agree	.749	-.710	-.881

Table 1: Basic statistical values of observable variables (cont.)

Symbol	Observable variable	Mean	Opinion Level	Std. Deviation	Skewness	Kurtosis
SAT	Satisfaction Average 4.56					
s1	I am very happy to receive medical services at hospitals in Thailand.	4.62	Strongly agree	.550	-1.085	.179
s2	I feel good that I decided to receive medical services at a hospital in Thailand.	4.60	Strongly agree	.563	-1.065	.149
s3	This medical tourism experience in Thailand is to be expected.	4.42	Strongly agree	.665	-.732	-.543
s4	Choosing a medical service at a hospital in Thailand is a great decision.	4.59	Strongly agree	.620	-1.259	.495
s5	Very satisfied with all the services that hospitals in Thailand provide.	4.59	Strongly agree	.575	-1.041	.103

From Table 1, the perception of the destination image found that it has the greatest perceived value in all issues with means average between 4.51 – 4.67. The highest mean is Thailand offers medical tourists the opportunity to combine treatment with relaxation. This is followed by Thailand is a beautiful country and Thailand is famous for medical services and medical tourism respectively. It has a standard deviation between .525 and .627, a skew between -1.309 and - .991, and kurtosis between -.165 and .744.

It was found that the perceived cost was the highest in all aspects, with an average of between 4.32 – 4.41 in order of mean as follows: The price of medical services in Thailand is reasonable. Medical expenses in Thailand are not very expensive and health insurance in the home country can cover medical treatment in Thailand. Lastly, medical expenses in Thailand are cheaper than in their home country. It has a standard deviation between .727 and .749, a skew between -.810 and - .586, and kurtosis between -.985 and -.706.

Satisfaction was found to have the highest level of satisfaction. Particularly, the issue is very happy with medical services at hospitals in Thailand. This is followed by feeling good in deciding to receive medical services at a hospital in Thailand with a mean satisfaction score between 4.42 – 4.62. It has a standard deviation between .550 and .665, a skew is between -1.259 and - .732, and kurtosis between -.543 and .495.

The results of the Pearson correlation coefficient were analyzed to determine the preliminary consensus of the structural equation model analysis, that is, the variables must be related. T he researcher was able to find the relationship between 19 observable variables and the correlation coefficient between the variables was analyzed to see the relationship and any variable greater than .90 will have multicollinearity problems as shown in Table 2.

Table 2: Analysis of the relationship between the observed variables studied in the model

	d1	d2	d3	d4	d5	d6	d7	d8	d9	d10	c1	c2	c3	c4	s1	s2	s3	s4	s5
d1	1																		
d2	.707*	1																	
d3	.461*	.559*	1																
d4	.496*	.535*	.682*	1															
d5	.466*	.510*	.507*	.628*	1														
d6	.461*	.447*	.441*	.450*	.580*	1													
d7	.360*	.406*	.463*	.423*	.431*	.615*	1												
d8	.516*	.560*	.359*	.376*	.444*	.511*	.592*	1											
d9	.523*	.588*	.488*	.438*	.540*	.542*	.484*	.621*	1										
d10	.468*	.514*	.487*	.492*	.508*	.551*	.495*	.499*	.713*	1									
c1	.353*	.342*	.236*	.338*	.338*	.208*	.168	.331*	.309*	.258*	1								
c2	.406*	.390*	.303*	.431*	.415*	.328*	.274*	.382*	.429*	.377*	.827*	1							
c3	.395*	.460*	.438*	.477*	.404*	.430*	.377*	.452*	.473*	.393*	.644*	.693*	1						
c4	.412*	.415*	.392*	.492*	.438*	.422*	.362*	.415*	.443*	.383*	.669*	.713*	.733*	1					
s1	.379*	.420*	.395*	.425*	.432*	.410*	.381*	.385*	.426*	.284*	.225*	.251*	.334*	.444*	1				
s2	.424*	.392*	.379*	.468*	.417*	.380*	.351*	.433*	.409*	.330*	.288*	.301*	.352*	.487*	.692*	1			
s3	.356*	.351*	.392*	.445*	.406*	.452*	.404*	.347*	.392*	.372*	.176	.226*	.379*	.336*	.548*	.568*	1		
s4	.473*	.412*	.415*	.463*	.425*	.489*	.440*	.409*	.438*	.421*	.210*	.319*	.386*	.415*	.520*	.536*	.633*	1	
s5	.485*	.402*	.410*	.386*	.404*	.470*	.435*	.434*	.437*	.274*	.231*	.272*	.382*	.427*	.537*	.537*	.503*	.689*	1

** Correlation is significant at the 0.01 level (2-tailed)
* Correlation is significant at the 0.05 level (2-tailed)

From Table 2, the correlation coefficient analysis between the variables found that all observable variables were related and no variable higher than .90 will cause a multicollinearity problem. In conclusion, there were three latent variables that were imported into the equation, namely, the perception of the destination image, cost perception, and satisfaction. This has a total of 19 observable variables and leads to the process of analyzing the measurement model and further analysis of the structural equation model.

The results of the measurement model analysis in the corroborative component analysis revealed that $\chi2$ = 255.721 , df = 144, $\chi2$ / df = 1.775, CFI = 0.949, TLI = 0.940, RMSEA = 0.065, SRMR = 0.049. The straightness analysis of the measurement model examines the component weights of the observed variables, which should be greater than 0.50, and if greater than 0.70 is very good. In terms of confidence structurally, it was found that the mean extractable variance (AVE) should be greater than 0.05 and the latent variable component confidence (CR) should be greater than 0.07. This means that the indicators in the measurement model can be true representations of latent variables. When testing for validity, the component weights of all observed variables were greater than 0.50 and the statistical significance level of 0.001 was meet the criteria that can be described in Table 3. It showed that the relationship between an observable variable and a latent variable was at a good level. Therefore, the measurement model was tested for further structural equation analysis.

Table 3: Results of the validity analysis of the latent variable group measurement model in terms of service quality and observable variables

Symbol	Observable variable	Element weight		S.E.	Z	R^2
		standard	Raw Score			
Destination Perception (PDI) (AVE = 0.501 ,CR = 0.908)						
D1	Thailand is famous for its medical services and medical tourism.	0.672	1.000	0.045	14.974***	0.452
D2	Thailand offers medical tourists the opportunity to combine treatment with relaxation.	0.714	1.059	0.041	17.538***	0.510
D3	Thailand is an ideal place for medical care recipients to recuperate.	0.657	1.163	0.046	14.151***	0.431
D4	Thailand is a beautiful country.	0.686	1.039	0.044	15.663***	0.471
D5	Hospitals in Thailand have the most modern medical equipment.	0.724	1.218	0.040	18.278***	0.524
D6	Hospitals in Thailand offer a wide range of medical services.	0.738	1.171	0.038	19.300***	0.544
D7	Hospitals in Thailand have received many international standards and have a history of providing excellent medical services.	0.680	1.126	0.044	15.372***	0.462
D8	Providing medical services in Thailand can be cost effective.	0.712	1.253	0.041	17.351***	0.507
D9	Traveling to Thailand for medical purposes is easy.	0.756	1.411	0.036	20.822***	0.572
D10	Thailand is the country that can deal with the COVID-19 epidemic best.	0.701	1.307	0.042	16.605***	0.491
Perceived Cost (PC) (AVE = 0.673, CR = 0.891)						
C1	Medical expenses in Thailand are not very expensive.	0.741	1.000	0.039	18.952***	0.549
C2	The price of medical services in Thailand is reasonable.	0.808	1.100	0.032	25.445***	0.653
C3	Medical expenses in Thailand are cheaper than their home country.	0.852	1.180	0.028	30.176***	0.727
C4	Health insurance in your home country can cover medical treatment in Thailand.	0.875	1.217	0.026	33.999***	0.766

Table 3: Results of the validity analysis of the latent variable group measurement model in terms of service quality and observable variables (cont.)

Symbol	Observable variable	Element weight		S.E.	Z	R^2
		standard	Raw Score			
Satisfaction (SAT) (AVE = 0.560, CR = 0.864)						
S1	I am very happy to receive medical services at hospitals in Thailand.	0.688	1.000	0.046	14.945***	0.471
S2	I feel good that I decided to receive medical services at a hospital in Thailand.	0.701	1.046	0.044	15.756***	0.491
S3	This medical tourism experience in Thailand is to be expected.	0.735	1.296	0.040	18.201***	0.541
S4	Choosing a medical service at a hospital in Thailand is a great decision.	0.831	1.367	0.031	26.556***	0.691
S5	Very satisfied with all the services that hospitals in Thailand provide.	0.777	1.184	0.036	21.446***	0.603

The researcher analyzed the structural equation model for both direct and indirect influence paths. The results of the analysis of the direct influence coefficient (DE: Direct Effects) consisted of the following assumptions:

Hypothesis 1 Perception of cost: It was found that the coefficient of direct influence on the perception of the destination image was 0.674 (Z = 13.436, p = 0.000), which is statistically significant from the test results and is in accordance with the given assumptions.

Hypothesis 2 Perception of the destination image had a direct relationship to satisfaction. It was found that the perception of the destination image had a direct influence coefficient on the satisfaction of 0.714 (Z = 8.718, p = 0.000), which statistical significance from the test results are in accordance with the given assumptions.

Hypothesis 3 Perception of cost: There was a direct correlation to satisfaction. It was found that the perception of cost had a direct influence coefficient on the satisfaction of 0.075 (Z = 0.801, p = 0.423), which was not statistically significant. From the test results, it did not meet the given assumptions.

The results of the indirect effect coefficient analysis (IE: Indirect Effects) consisted of Hypothesis 4, perception of destination image was the diametrical variable between perceived cost and satisfaction. It was found that perception of destination image was the diametrical variable between perceived cost and satisfaction. The indirect influence coefficient was 0.337 (Z = 5.108, p = 0.000), which was statistically significant. The test results are in accordance with the given assumptions.

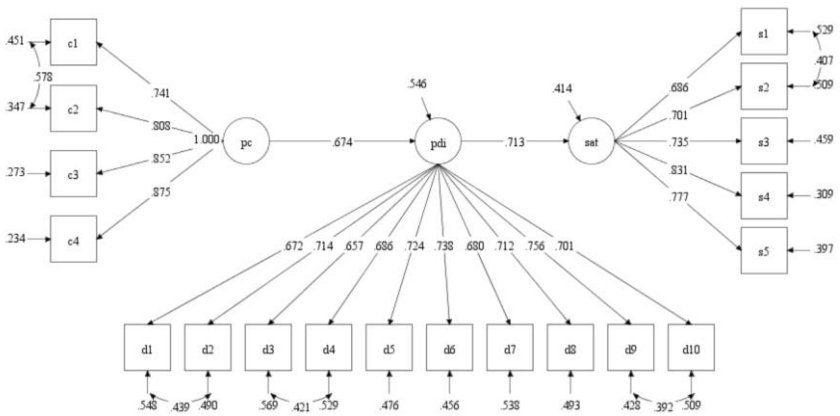
Table 4: The results of the direct and indirect influence coefficient analysis of the hypothesis

Hypothesis	Influence path	Coefficient of influence	**Z**	**p**	Accept/reject hypothesis
1	PC→ PDI	0.674	13.436***	.000	Accept
2	PDI→SAT	0.714	8.718**	.000	Accept
3	PC→ SAT	0.075	0.075	.423	Reject
4	PC→PDI→SAT	0.337	5.108**	.000	Accept

The results of the analysis of the Total Effects (TE) of the structural equation model, influence of moderator variables on the perception of cost and satisfaction are shown in Table 5.

Table 5: The results of the coefficient analysis of the direct influence, indirect influence, and total influence

Causal variable	Influence	Effect variable	
		PDI	**SAT**
PC	DE	0.674***	0.075
	IE	-	0.481***
	TE	0.674***	0.556***
PDI	DE	-	.696***
	IE	-	-
	TE	-	. 696***
R^2		**0.454**	**0.586**



χ2= 255.721, df = 144, χ2 / df = 1.775, CFI = 0.949, TLI = 0.940, RMSEA =0.065, SRMR = 0.049

Picture 1: Test results according to the hypothesis line

Discussion

From the results of the study, it was found that the perception of expenses directly affects the perception of the destination image. This is consistent with research by Sultana, Haque, Momen, and Yasmin (2014) whereas the perceived cost does not directly affect satisfaction. It might be because there are other variables that have an influence, including the perception of the image of the destination. It may be logical that medical tourists visiting for treatment have a destination image

factor as an additional attraction from the consideration of medical expenses only. Due to the global impact of the COVID-19 pandemic, Thailand should create awareness among medical tourists to feel that medical services in Thailand are worth the cost and has a destination image that meets the needs. These medical tourists will certainly be willing to pay for their medical care for which foreign medical tourists can compare the costs before receiving medical services in detail before entering the service in order to seek treatment from the destination country at a cheap cost and with good quality. This includes the fact that the hospital offers expenses through the hospital's website as well.

In regards to the image of the destination of medical tourists from European tourists, the researchers pointed out those European groups have perceived that Thailand allows medical tourists to combine treatment with relaxation. Thailand is a beautiful country and famous for its medical services and medical tourism. This is the reason that the southern Andaman coast and the Gulf of Thailand are the areas where European expatriates choose to use medical services. When medical tourists perceive the image of a destination and are satisfied with it, this is consistent with research by Lu and Wu (2015), indicating that the image of the destination is both impressive and pleasurable. Creating a good destination image is therefore an advantage of continuing medical tourism. From now on after the opening of the country, if nursing homes or hospitals in the South, the Gulf of Thailand, and the Andaman Coast can create a clear perception of the destination image towards the COVID-19 epidemic management system it will be the issue of trust, impression, and satisfaction among European medical tourists.

Conclusion

In a study of perceived cost affecting the perception of destination image and satisfaction: Medical tourism on the Andaman coast and the Gulf of Thailand of European tourists, it was found that 184 European respondents were mostly males rather than females. Part of this is that while collecting data, male European tourists are more willing to provide information. The top three samples from Europe are from Russia followed by France and the United Kingdom. For the results of the baseline statistical analysis of latent variables and observed variables, it was found that the perception of the destination image and the perception of cost had the highest effect on overall perception at the level. Overall satisfaction was at the highest level. For each aspect mean of the 3 latent variables, the mean was also the highest in the criteria.

The results of the measurement model analysis met the criteria. The relationship between observable variables and latent variables was at a good level. The results of the structural equation analysis revealed that the perceived cost had a statistically significant direct relationship to the perception of the destination image. The perception of the destination image has a direct relationship with satisfaction that was statistically significant, whereas the perceived cost had no direct relationship to satisfaction. However, when the endpoint image was perceived as a diametrical variable, the path between perceived cost and satisfaction was statistically significant.

Contribution of this research, it was found that the perception of medical expenses among medical tourists is not the main factor that this group of tourists chooses to use medical services in the area. Therefore, reflecting on the findings of the research, it is clear that the image of a destination is a key factor in driving. For this reason, relevant agencies such as nursing homes and hospitals in the southern region of the Gulf of Thailand and the Andaman coast can use this information for planning services.

The researcher has the opinion that hospitals in the southern region are the most advantageous in terms of the destination image. This is an opportunity to expand the service base for more medical tourists in the future. Therefore, medical service providers need to promote the positive image of the

hospital and develop the positive image of the tourist attraction simultaneously. The medical service providers need to build a network of cooperation with all sectors in the area, both the public and private sectors, such as the provincial tourism and sports office. Tourism Promotion Association Local hotels or entrepreneurs in various fields involved in the area should coordinate, cooperate, and create readiness for further expansion of medical tourism. This is an important point in re-using the service and referrals via electronic channels after the COVID-19 epidemic situation. Researchers suggest that medical tourists do not consider the cost of treatment only but there must be a comparison of the image of the place. The service provider must be able to reflect the value and create satisfaction as well and this will definitely give hospitals and medical facilities in the area an advantage.

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THE RELATIONSHIP BETWEEN TEACHERS' PERCEPTION TOWARDS ORGANIZATIONAL CULTURE AND THEIR JOB SATISFACTION AT KANTANA INSTITUTE, THAILAND

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Abstract

The main purpose of this research was to study the relationship of the teachers' perception towards their organizational culture and their level of job satisfaction at Kantana Institute in Thailand during the academic year 2021-2022. A total of one hundred and twenty-three (123) from the English department under International Education at Kantana Institute were surveyed for this study. The main resource of data was the questionnaire that investigated the teacher's perception towards organizational culture and their job satisfaction at Kantana Institute. The collected data were analyzed by using the mean, standard deviation, and Pearson Product Moment Correlation Coefficient. The research findings indicated that the level of organizational culture was high in the school and from the results of the teachers' job satisfaction. The correlation analysis result showed there was a strong positive relationship between teachers' perception towards organizational culture and their level of job satisfaction. The recommendations based on the results showed 1) Teachers constantly improve their adaptability, increase their sense of responsibility as teachers, and actively communicate with administrators to reflect their views on the surrounding environment, 2) Future researchers should extend their studies to public and private higher education institutions to better assess lecturers' job satisfaction and organizational culture, and 3) Managers' perceptions of organizational culture and job satisfaction also need to be considered. In order to have a deeper understanding and be more accurate, descriptive explanatory exploratory research, qualitative, qualitative, and quantitative research methods should all be considered.

Keywords: Teachers' Perception, Organizational Culture, Job Satisfaction

Introduction

The teacher is an awesome profession, teachers bear the responsibility of educating and cultivating talents for society, its status is lofty. Thailand attaches great importance to the development of education. Many people would like to be teachers in Thailand. As Thailand continues to develop, its economy improves, its quality of life improves, and its population continues to grow, education has become a topic worthy of attention. With the increasing number of teachers in the institute, how to obtain the recognition of young teachers, improve the involvement, adaptability, consistency, and mission of teachers, establish a good organizational culture, constantly improve the working conditions and environment of teachers, and improve their job satisfaction. It has become a topic worthy of attention and research for many education administrators.

The leader is a very important role in an organization, but the members of the organization are also crucial to the development of the organization. (Bogler, 2001). A great organization needs leaders and participants to gain common ideas and establish a culture that is suitable for all members of the organization to be recognized as involvement, adaptability, consistency, and mission (Boyd, 2011).

As a result, teachers are a responsible and creative collective with a high level of passion for organizational culture. How to get along with students has become a unique factor in the organizational culture of this group, and mission is the key to organizational culture (Blase, 2013).

Xu and Chen (2004) believe that teachers' job satisfaction is the key to whether teachers can engage in teaching for a long time, which is related to teachers' feelings, beliefs, attitudes, and personal pursuits. Other researchers believe that organizational success is the key to individual success, teachers' success comes from the success of student groups and institute organizations, and the organizational culture of students and institute is an important factor affecting teachers' recognition and job satisfaction (Marzano, 2013).

Further studies by Kamaylar (2016) found that when teachers receive the increase in salary level and the care, help, and understanding from leaders, they will be more determined in their choice of ideals and beliefs and more willing to engage in the profession of teaching. Superior organizational culture has more opportunities for teachers to improve themselves in all aspects. To improve the efficiency and quality of teaching, help students acquire more and more comprehensive knowledge, promote students' sustainable development and lifelong growth (Littrell, 2009). Rastogi (2015) believes that teachers need six kinds of support from principals: emotional support, value support, evaluation support, tool support, skill support, and information support.

Kantana Institute is an institute that fits ~~to~~ job satisfaction, comfort, and the development of organizational culture. It has been running for more than a decade. This institute is beneficial to the community, and it has enough teachers needed for the study. The researcher believed that Kantana Institute, which is quite beneficial to its community, is one of the most suitable organizations for the study since this study could have some significant advantages to the institute where the study is conducted. In other words, by choosing Kantana Institute for the study, this study may be more beneficial to the organizational culture and job satisfaction.

In addition, continued improvement in job satisfaction is influenced by the college environment, including organizational infrastructure, students, and organizational culture. It is also affected by internal and external satisfaction. Internal satisfaction includes employee rewards, promotions, leadership recognition, achievement, responsibility, and diligence. External satisfaction includes supervision, working conditions, interpersonal relationships, work intensity, salary and incentive, employee welfare and job security, and other positive organizational culture that can improve teachers' job satisfaction. Therefore, the purpose of this study is to explore the organizational culture integration of teachers and the job satisfaction of teachers in the process of institutional capacity building.

Research Objectives

1. What is the level of teachers' perception towards organizational culture at Kantana Institute, Thailand?
2. What is the level of teachers' job satisfaction at Kantana Institute, Thailand?
3. Is there any relationship between teachers' perception towards organizational culture and job satisfaction at Kantana Institute, Thailand?

Literature Review

Culture is the backbone of every organization and the most prominent component of an institute (Pinnington, 2000). Culture may be measurable as well as intangible and influenced by a person's norms, expectations, and behaviors by others or laws that regulate association (Pyhu, 2016). Institute culture strongly affects the expectation of teachers (Littrell, 2009)

Higher education organizational culture is characterized as university group practices, ethics, and values of all members within a University (Littrell, 2009). Integrating each element to encourage strong culture and individual one is the role of leadership (Lwin, 2014). The culture within higher education is, according to Marzano (2013), a collective, mutually forming a pattern of norms, principles, activities, and beliefs that directs individual behaviors as well as group behaviors, offering a reference structure for the organization. The environment of college and university will be decided by its culture through mission, teamwork, tactics, socialization, and leadership (Beaugez, 2016).

1. Organizational Culture Theory (Denison, 1995)

Four cultural characteristics of productive organizations are listed below with comparisons to the literature on organizational research. Denison and Mishra (1995) offer a theory of more thorough analysis of these characteristics: (1) Involvement, (2) Adaptability, (3) Consistency, and (4) Mission.

(1) Involvement: With an efficient organizational environment, inspiring employees, creating communities around their organizations, and improving human capital at all levels can occur. Leaders are committed to their jobs and believe that they are part of the organization (Winer, 2005).

Involvement concerns the personal engagement of individuals within the organization and reflects a focus on the internal dynamics of the organization and flexibility. Its characteristics are-

• Empowerment—Individuals have the authority, initiative, and ability to manage their own work. This creates a sense of ownership and responsibility towards the organization.

• Team orientation— It puts emphasis on working cooperatively for shared interests for which all employees feel different. To get the job done, the organization is dependent on collective commitment.

• Capability development—The continually invests in improving the capabilities of its employees' skills to stay competitive and meet ongoing business needs (Wood, 2003).

(2) Adaptability: Ironically, well-integrated is the hardest to reform (Bogler, 2001). External alignment and external adaptation are frequently at odds with this. Adaptable organizations are guided by their customers, take chances and benefit from their mistakes, and have the capacity and expertise to facilitate progress. The overall capacity of the organizations' structures is improved to deliver value to their customers (Alghamdi & Abuhassan 2020). Adaptation is described as the willingness of the staff to understand what the client needs, learn new knowledge, and adapt in response to requests. Adaptability depends on the exterior and versatility.

• Creating change— The organization, in order to satisfy evolving demands, should create innovative forms. It can read the market climate, adapt rapidly to new developments, and forecast future change.

• Customer focus— The company knows clients' potential needs and responds to them in terms of predicting. That represents the degree to which a problem pushes the company to please its clients.

• Organizational learning— The organization gathers, integrates, and interprets environmental feedback into incentives for promoting creativity, information acquisition, and capacity building (Winer, 2005).

(3) Consistency: Organizations often appear to be successful when they have strongly cohesive, well structured, and well developed "solid" cultures (Blase & Burbank, 2013) is grounded in a collection of fundamental beliefs, and even though there are different points of view, subordinates and leaders are able to find consensus. This continuity is a strong source of cohesion and social alignment arising from intellectuality and uplifted adaptations (Bogler, 2001). Consistency is

mentioned in common principles as well as product structures and processes which represents a consistent, internal emphasis.

• Core value- Group leaders share a collection of principles that establish a sense of belonging and a consistent set of priorities.

• Agreement- Organization leaders should come to an agreement on important matters. This includes both the underlying level of agreement and the ability to reconcile differences when they occur.

• Coordination and integration—Different functions and units of the organization can work together well to achieve common goals. Organizational boundaries do not interfere with getting work done (Hicks, 2011).

(4) Mission: Productive organizations have a strong sense of mission and strategy that identifies operational objectives and strategic priorities and communicates a view of how the organization should investigate the future (Blase & Burbank, 2013). When the basic purpose of an institution varies, a transformation may exist in certain areas of the culture of the organization.

Mission refers to the aim and direction of an organization and its external perspective symbolizes the organization.

• Strategic direction and intent—Strong strategic goals express the mission of the organization and make strong how everybody will contribute to the organization.

• Goals and objectives—A clear set of goals and objectives can be linked to the mission, vision, and strategy, and provide everyone with a clear direction in their work.

• Vision—The organization has a shared view of a desired future state. It embodies core values and captures the hearts and minds of the organization's people while providing guidance and direction.

Range *al et*., (2011) pointed out that job satisfaction refers to an individual's value orientation towards work and a happy emotional state that meets individual expectations. Shiue (2001) pointed out that there is a natural coupling gene between teachers and students, and students' cognitive level and knowledge level are directly affected by the quality of the lecturer's lectures. Johnson and Kamaylar (2003) believe that job satisfaction is an attitude towards life. The inconsistencies of each person's work result in each person having a different attitude towards work, including supervision, recognition, responsibilities, salary, and benefits. The personal emotional state of life is job satisfaction. As a lecturer, the lecturer should maintain a good psychological state and a healthy body. Beaugez (2016) believes that efficiency is related to job satisfaction to a certain extent. The more achievements and rewards a person can obtain, the easier it is to obtain job satisfaction.

Herzberg's Theory of Job Satisfaction (2003)

Hygiene factors:

Herzberg (2003) found that many factors have an impact on job satisfaction: (1) employee benefits, the higher the level of employee benefits, the higher the level of employee satisfaction; (2) supervision, which means that supervisory personnel should be competitive and fair; (3) the higher the work intensity, the more dissatisfied people feel; The lower the work intensity, the higher the satisfaction; (4) higher wages will encourage employees to work hard, and it is easier to increase employee satisfaction; (5) job security, The more secure the job is, the more satisfaction will be increased; (6) interpersonal relationship, including the personal relationship with colleagues and managers, to coordinate the relationship between all parties to create good job satisfaction.

Motivation factors:

Motivational factors are the teaching methods of the lecturer, which are the internal factors of the work itself. Motivational factors include:

(1) Achievement is achieved by achieving the goals you set for yourself; (2) recognition by the leader makes you feel satisfied; (3) Diligence and employees' attitude to achieve satisfaction; (4) Promoted to the superior, Increases job satisfaction.

The individual's motivation to work is relatively simple and can be negotiated internally and externally (Hicks, 2011). According to Herzberg (2003), it is necessary to first understand yourself and fully mobilize your own strengths in combination with personal career planning (Alghamdi *al et*., 2020). As mentioned above, Hertzberg (2003) pointed out that internal and external satisfaction is related to job satisfaction, and internal and external satisfaction is direct and effective for improving job satisfaction.

Hertzberg (2003) used a variety of methods to obtain information on job satisfaction. First, focus on asking how you feel about your holistic work. Actively carry out surveys to collect the development of people from different groups and regions, focusing on possible differences in work intensity, wages and incentives, employee benefits, and job security in organizations.

Staff rewards are a part of job satisfaction, but many people get a good reward in their work, but they cannot get satisfaction in their work, which may not effectively improve job satisfaction (Herzberg, 2003). To avoid employee dissatisfaction, Herzberg (2003) points out, company leaders need to tailor their decisions to suit the individual and make the lecturer feel comfortable with the discount. Hertzberg concluded that job satisfaction comes from thinking about practice, motivation increases demand for growth, and job satisfaction depends on motivation when engaging in the practice.

Rastogi (2015) hierarchy of needs is of great significance for guiding realization: from the bottom up are physiological needs (food, water, sleep, oxygen, warmth, and freedom from pain), safety, social belonging, self-esteem, and self-actualization, while the pursuit of job satisfaction is at the high level. Hertzberg's (2003) theory included the requirements of Rastogi (2015). The pursuit of material is increasingly difficult to meet the needs of lecturers, as teachers, they are more inclined to the spiritual pursuit, both the pursuit of job satisfaction and work achievement. Herzberg found that different levels of economic development have different levels of needs. The higher the level of economic development is, the higher people's levels of needs are. As a high-level demand, job satisfaction is affected by different stages of economic development.

Blase (2013) believed that lecturers' job satisfaction was influenced by working environment, leader recognition, working style, and teaching achievement. Then the lecturer is not busy with work often due to non-competitive and unfair factors. Johnson and Kamaylar (2003) proposed that we should attach importance to the role of principals and give full play to their role in building organizational culture and environment. An excellent principal can provide opportunities for the growth of lecturers and increase the job satisfaction of teachers.

Range, Scherz, Holt, and Young (2011) applied Herzberg's motivation-hygiene theory to the German goods retail service industry. The researchers wanted the chief officer to issue 200 questionnaires, which were sent to the sales staff through the supervisor. The questionnaire recovery rate was 80%, with a total of 160 replies from the sales staff in the German commodity retail service industry. According to the data, salespeople have had mixed reactions. Motivation and hygiene factors to fully investigate sales staff job satisfaction. The researchers conclude that each salesperson is an individual and that Hertzberg's motivation-hygiene theory can be applied to specific target populations for specific industry research.

Shiue (2001) studied the relationship between teachers' job satisfaction and their teaching performance. The study took place in a basic education high school in Yangon, Myanmar, and involved 120 school teachers. Teachers believe that working conditions and interpersonal relationships are important factors affecting their job satisfaction in school, and they are moderately satisfied with salaries. The sense of achievement and responsibility can make them get motivation, and motivation is the key to the generation of teaching passion.

Beaugez (2016) conducted a study on job satisfaction of 70 graduate teachers in a private university in Washington, USA. Researchers found that they are more satisfied with their jobs. They believe that the teaching environment is good, the salary level is high, the pressure of college teachers is relatively low, and they can coordinate the relationship between life and work well, so they can obtain higher job satisfaction. They also believe that if schools further reduce research pressure and work intensity, they will achieve higher job satisfaction.

Methodology

This study is based on Denison (1990) Organizational culture theory and Herzberg (1959) Job satisfaction theory, a questionnaire survey was adopted as a research instrument. The researcher applied a quantitative approach with a correlational research design to accomplish the research objectives. Descriptive statistics (mean and standard deviation) were utilized to analyze the data collected so that the researcher will be able to determine teachers' perception toward organizational culture and their job satisfaction at Kantana Institute. The source of data is the total number of teachers teaching from the English department under International Education at Kantana institute in the academic year 2021. Data collection was conducted in October 2021, during the first semester of the institute's academic year.

With the data that will be collected, the researcher will apply the Pearson coefficient of correlation method of analyzing data to determine if there is a significant relationship between teachers' organization and their job satisfaction at Kantana Institute.

Results

1. Teachers' perception towards organizational culture at Kantana Institute, Thailand.

The construct one of the teachers' perceptions towards organizational culture in involvement which got the total mean score at 3.97. That mean score was in the scale range of 3.51–4.50 and regarded as high. There were twelve items in this construct and "Lecturers are rewarded for experimenting with new ideas and techniques" was found to have the highest mean score at 4.60, which was almost very high.

The construct one of the teachers' perceptions towards organizational culture in adaptability ~~which~~ got the total mean score at 4.05. That mean score was in the scale range of 3.51–4.50 and regarded as high. There were five items in this construct and "Lecturers regularly seek ideas from seminars, colleagues, and conferences" was found to have the highest mean score at 4.38, which was almost high.

The construct one of the teachers' perceptions towards organizational culture inconsistency which got the total mean score at 4.09. That mean score was in the scale range of 3.51–4.50 and regarded as high. There were five items in this construct and "Lecturers take time to observe each other teaching" was found to have the highest mean score at 4.38, which was almost high.

The construct one of teachers' perception towards organizational culture in the mission which got the total mean score at 4.11. That mean score was in the scale range of 3.51– 4.50 and

regarded as high. There were five items in this construct and "Teaching performance reflects the mission of the university" was found to have the highest mean score at 4.35, which was almost high.

2. Teachers' job satisfaction at Kantana Institute, Thailand.

Teachers' job satisfaction as intrinsic satisfaction which got the total mean score at 4.07. That mean score was in the scale range of 3.51– 4.50 and regarded as high. There were twelve items in this construct and "The chance to work alone on the job" was found to have the highest mean score at 4.53, which was almost very high.

Teachers' job satisfaction as extrinsic satisfaction which got the total mean score at 3.86. That mean score was in the scale range of 3.51– 4.50 and regarded as high. There were eight items in this construct and "The way that my supervisor handles his/her team" was found to have the highest mean score at 4.38, which was almost high.

3. The relationship between teachers' perception towards organizational culture and job satisfaction at Kantana Institute, Thailand.

Based on the analytical result of research objectives one and two, it was identified that both the levels of teachers' perception towards organizational culture and job satisfaction were high at 4.05 and 3.96 mean scores respectively. The value of Pearson correlation (r) was 0.728 and sig. (2-tailed) was .000. Since the Sig. (2-tailed) was smaller than .05 (even .01), the relationship between teachers' perception towards organizational culture and job satisfaction was significant.

Table 1: To identify the level of teachers' perception towards organizational culture at Kantana Institute, Thailand (n=123).

Teachers' perception towards organizational culture	Mean ($\bar{x}$)	Standard Deviation	Interpretation
Involvement	3.97	.103	High
Adaptability	4.05	.66	High
Consistency	4.09	.29	High
Mission	4.11	.32	High
Total	4.06	.34	High

Table 2: To identify the level of teachers' job satisfaction at Kantana Institute, Thailand (n=123).

Teacher' job satisfaction	Mean ($\bar{x}$)	Standard Deviation	Interpretation
Intrinsic Satisfaction	4.07	.23	High
Extrinsic Satisfaction	3.86	.21	High
Total	3.97	.22	High

Table 3: Correlation between teachers' perception towards organizational culture and job satisfaction

Teacher' job satisfaction	Teachers' perception towards organizational culture			
	Involvement	Adaptability	Consistency	Mission
Intrinsic Satisfaction	.821**	.629**	.622**	.669**
Extrinsic Satisfaction	.637**	.804**	.730**	673**
Total	.768**	.727**	.817**	.764**

Table 4: To determine the significant relationship between teachers' perception towards organizational culture and job satisfaction at Kantana Institute, Thailand.

		Job Satisfaction	Conclusion
Teachers' perception towards organizational culture	Pearson Correlation	.728**	There is a significant relationship
	Sig.(2-tailed)	.000	

Discussion

1. The level of teachers' perception towards organizational culture

The key factor of involvement is enthusiasm. To improve the enthusiasm of teachers, we should reduce the accountability of teachers and create a relaxed and pleasant working environment. As a school administrator, actively improving teachers' sense of involvement is equivalent to improving managers' decision-making book review.

Littrell (2009) indicated that adaptability can be understood as a kind of culture: adaptive culture can be improved through psychological processes. When school administrators care about subordinates in daily life and make them feel warm, adaptive culture will have an effect and subordinates will adapt to the new environment faster.

According to Marzano (2013) research, consistency needs to increase teachers' coordination ability, which is influenced by organizational culture. Communication and coordination are relatively easy in a harmonious environment. However, if you travel in a narrow organizational environment, if the collaborative culture becomes difficult, the exchange between teachers, communication and assistance is difficult to achieve, so consistency affects organizational efficiency.

Lwin (2014) studied an Examination of the Relationship between Principals' Emotional Intelligence and Teachers' Attitudes Toward Personal and Professional Development and School Culture. The study claimed that school leaders should have reflective practice and strong communication with teachers for teachers' professional and personal growth in the working environment.

2. The level of teachers' job satisfaction

Rastogi (2015) argues that higher salaries are often considered a factor in improving teacher job satisfaction, but in fact it is often a weak factor in measuring teacher satisfaction. Higher salaries can increase investment in teachers and reduce their attrition. Principals should not ignore the importance of higher teacher salaries and other benefits to retain good teachers and improve teacher job satisfaction. Marzano (2013) conducted a study in which he found that teachers were most satisfied with the nature of the teaching profession. The teachers take pride in their work and enjoy their achievements in teaching and student performance. Lwin (2014) argues that in the teaching profession, the nature of the job brings more satisfaction than other professions.

Student behavior is closely related to teacher job satisfaction. Kamaylar (2016) found that students' classroom discipline problems greatly affected the satisfaction of new teachers in their first year of work. Littrell (2009) pointed out that working conditions and students' poor disciplinary performance were the reasons for teachers' dissatisfaction. The setting of the school environment makes urban teachers feel more stressed and out of control over students' bad behavior, while rural teachers say they are more dissatisfied with poor working conditions than with students' problems.

3. The relationship between teachers' perception towards organizational culture and job satisfaction at Kantana Institute, Thailand

Organizational culture and job satisfaction are highly correlated, and they influence and promote each other. Boyd (2011) believes that organizational culture is an important link in campus negotiation and how to improve teachers' participation. Mission, consistency and adaptability become the key factors, which have an important impact on teachers' career and are related to job satisfaction. On the other hand, Beaugez (2016) believes that teacher's job satisfaction is the basic element of whether a teacher can grow. Only when a teacher is satisfied with the profession he or she is engaged in, will he or she love the profession of teacher. If he or she loves the profession of teacher, he or she will actively participate in the construction of the school, have a sense of responsibility, and constantly adapt to the environment of the school, thus becoming an active promoter of organizational culture. Research shows that school administrators actively build a good organizational culture, so that teachers are satisfied with the teaching work, so as to lay a solid foundation of organizational culture for the development of organizations.

Conclusion

Teachers' perception towards organizational culture. The level of involvement, adaptability, consistency and mission were interpreted high.In conclusion, school culture is related to teachers' daily life and teaching, which is what every teacher and every school needs to face. The establishment of a campus with a good organizational culture requires the participation of every teacher, the need for every teacher to adapt to the campus environment, the need for teachers to maintain consistency and shoulder the mission of teachers. Teachers should have the ability to adapt to different environments and organizational strategies, so as to better adapt to organizational culture and contribute to the better development of organizational culture. A good organizational culture not only improves the teaching quality of the school, but also realizes the value of teachers and increases job satisfaction (Kamaylar, 2016).

Teachers' job satisfaction. Teachers at Kantana Institute had a high level of intrinsic satisfaction. Teachers at Kantana Institute had a high level of extrinsic satisfaction. Student behavior is closely related to teacher job satisfaction. Kamaylar (2016) found that students' classroom discipline problems greatly affected the satisfaction of new teachers in their first year of work. Littrell (2009) pointed out that working conditions and students' poor disciplinary performance were the reasons for teachers' dissatisfaction. The setting of the school environment makes urban teachers feel more stressed and out of control over students' bad behavior, while rural teachers say they are more dissatisfied with poor working conditions than with students' problems.

The relationship between teachers' perception towards organizational culture and job satisfaction. There was a significant relationship between teachers' perceptions towards organizational culture and job satisfaction at Kantana Institute, Thailand. The Pearson correlation (r) was 0.728 and sig. (2-tailed) was .000 which means the relationship between teachers' teachers' perceptions towards organizational culture and job satisfaction was highly positive. Boyd (2011) believes that organizational culture is an important link in campus negotiation and how to improve teachers' participation. Mission, consistency and adaptability become the key factors, which have an important impact on teachers' career and are related to job satisfaction. On the other hand, Beaugez (2012) believes that teacher's job satisfaction is the basic element of whether a teacher can grow. Only when a teacher is satisfied with the profession he or she is engaged in, will he or she love the profession of teacher. If he or she loves the profession of teacher, he or she will actively participate in the construction of the school, have a sense of responsibility, and constantly adapt to the environment of

the school, thus becoming an active promoter of organizational culture. Research shows that school administrators actively build a good organizational culture, so that teachers are satisfied with the teaching work, so as to lay a solid foundation of organizational culture for the development of organizations.

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THEORETICAL ANALYSIS OF THE IMPACT OF STRATEGIC HUMAN RESOURCE MANAGEMENT ON EMPLOYEE PERFORMANCE

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Abstract:

The past decade has seen an increasing interest in the impact of strategic human resource management (SHRM) on employee performance. This interest has resulted in enormous organizations focusing more on their role in promoting strategic human resource management. The field of strategic human resource management has similarly ought to be effectively integrated into the employee performance process through the organizational functions. However, our understanding of how strategic human resource management affects employee performance and the action mechanism still needs to be further explored. Motivated by this gap, this paper developed a theoretical framework on the interaction between SHRM and employee performance. To guide our analysis, the present study draws on classical theorizing in the SHRM literature on the distinction between them. Key to this study does not only seek to bridge the literature on SHRM and employee performance but more importantly, to put forward countermeasures on how to optimize the impact of SHRM on employee performance through different management stages.

Keywords: Strategic Human Resource Management, Employee Performance, Action Mechanism

Introduction

With the intensification of market competition, HRM has been upgraded from the individual level to the organizational level and has gradually begun to focus on the role of human resources in the process of achieving the strategic goals of the organization, hence forming strategic human resources management. Strategic human resource management and employee performance are critical topics in modern business management. However, most enterprises lack an accurate definition of the relationship between strategic human resource management and employee performance and lack a perfect strategic human resource management evaluation system. Some scholars believe that strategic human resource management is to optimize human resource management and reasonably allocate performance with the goal of enterprise development so that enterprise development and human resource management can be organically combined, and the enterprises can maintain their core competitiveness in the fierce market competition and bring economic benefits to them. The core goal of strategic human resource management is to improve organizational performance and employee

performance. In order to achieve their core goal, it is necessary to establish a scientific human resource management system of recruiting, nurturing, employing, and retaining people to promote the better development of the enterprise. Therefore, it is of great practical significance to explore the impact path of strategic human resource management on employee performance.

1. Concept of strategic human resource management and employee performance

1.1 definition of strategic human resource management

In 1981, American scholar Devanna first proposed the concept of strategic human resource management, marking the birth of the discipline. In academic circles, strategic human resource management is divided into three definitions: first, feature-oriented. Compton (2009) proposed that strategic human resource management is mainly in accordance with the match of organizational strategy to adopt corresponding practical activities, and eventually form an effective system, process, and relevant measures; Second, results-oriented. Oppel EM(2016) believe that strategic human resource management can further help the organization to maintain an advantage in competitive relationships, which makes the company further improve its performance and help the organization to achieve its mission and goals; The third is comprehensive orientation. Truss and Gratton (1994) proposed that the result orientation, as well as the feature orientation of strategic human resource management, are two important features that can make the company competitive and make companies maintain better business strategies, and keep the internal management coherent.

This article holds the view that strategic human resource management is a program that combines adaptability and unity by closely integrating the strategy and organization, hence achieving the goal of enhancing enterprises' competitive advantage through the planning, organization, and management in process of human resource management.

1.2 definition of employee performance

Many scholars have explored employee performance theory and broken it down into three perspectives: the outcome perspective, the behavioral perspective, and the holistic perspective. The behavioral perspective is also the viewpoint adopted in this study. Williams and Anderson (1991) believe that behavior performance can be observed at the individual level to identify employee behaviors that are closely related to the performance of corporate goals. This view emphasizes the impact of three factors on performance: process, context, and interpersonal relationship. This research has also been endorsed by most researchers. Besides, the representative scholar of outcome perspective is Tench R and Jones B (2014), who summarized employee performance based on observable and measurable work outcomes or work efficiency, and argued that only the final evaluable results can reflect the level of performance. However, this view has been challenged by many researchers. There is a risk that the final assessment is inaccurate and the employee's excitement may deteriorate because they pay too much attention to the results, ignore the payment process and neglect the employee skills. The comprehensive performance perspective considers behavior, outcomes,

employee skills, work motivation, work attitude, and so on. Qu jiaojiao (2018) provided a broader theory on this basis, arguing that the overall performance achieves unification of dynamic and static procedures and outcomes. However, his view is only theoretically analyzed, without empirical evidence, and the actual results need further examination.

2. Relationship and influence between strategic human resources and employee performance

2.1 study on the mechanism of the role of strategic human resource management on employee performance

All the activities and policies of strategic human resource management (hereinafter referred to as SHRM) are based on the strategic objectives of the organization and can be divided into five major parts in general: recruitment policy, job policy, training policy, incentive policy, and welfare benefits. Strategic human resource management is mainly about people, in which the organizational climate and personal characteristics directly affect the performance results of strategic human resource management. The organizational climate includes the working style of leaders, company rules and regulations, and organizational culture. Personal traits mainly include personal ability, attitude, and work motivation. Personal characteristics and organizational climate affect employee performance, which is expressed in two aspects: in-role performance and organizational citizenship behavior, where organizational citizenship behavior includes employee satisfaction, loyalty, and citizenship behavior, and in-role performance include employee productivity, service capability, and work quality. Based on the intrinsic connection between strategic HRM and employee performance above, the mechanism of strategic human resource management on organizational performance is represented in Figure 1.

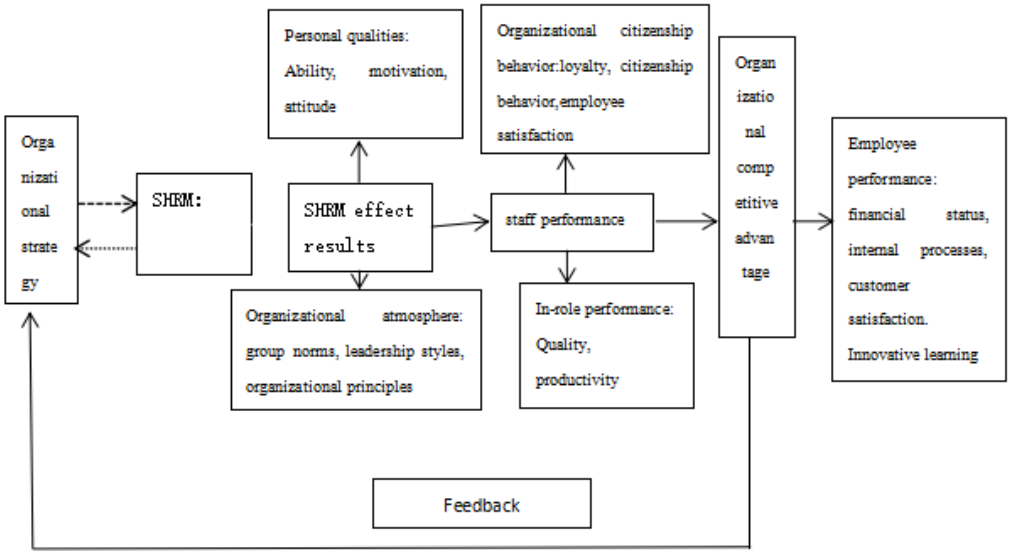

Figure 1: action mechanism model of strategic human resource management on employee performance

2.2 transmission mechanism of the impact of strategic human resource management on employee performance

(1) SHRM activities - SHRM direct effects

Strategic human resource management guides the practice of human resource management activities through recruitment policies, post policies, performance appraisal, incentive policies, and welfare policies, which includes the entire closed-loop of strategic human resource management policy of selecting, nurturing, employing, and retaining employees, and directly affects the organizational climate and personal characteristics of employees. In terms of personal characteristics of employees (in-role performance), the recruitment policy can be sorted out to find the best employees for the development of the company, the training policy enables new employees to quickly integrate into the collective, so as to be competent for the job. The performance appraisal can better determine the goals so that employee motivation and organizational goals have been reached. Motivation policy stimulates employees' motivation and changes employees' work attitudes, and training policy improves employees' skills. In terms of organizational employee behavior, a good working climate, corporate culture, policy implementation, harmonious subordinate handling, and good welfare benefits will make employees have a greater sense of belonging to the company and thus put more effort into their work. Overall, strategic human resource management can directly affect employee performance within the role and organizational behavior.

(2) Direct result of SHRM - employee performance

Employee performance includes employee in-role performance and organizational employee behavior, and employee in-role performance and organizational employee behavior influence each other. Employees' personal ability, work efficiency, service quality, and work attitude are the basis for organizational performance, while work norms, welfare benefits, and superior care in the organization are important guarantees to promote employee performance within the role. Therefore, employee performance within the role and employee behavior promote and influence each other. The individual employee's contribution to the organization is not only influenced by the individual's ability but also the individual's attitude and work motivation will always affect the employee's performance. Generally speaking, in a good organizational climate, employees' personal ability can be improved faster, their passion and motivation will be stronger, and employees' positive attitude will in turn promote the development of the organization. Thus, strategic HRM achieves improvements in performance and employee behavior within employee roles through a series of purposeful individual behaviors.

(3) Employee performance - organizational competitive advantage.

Organizational competitive advantage, which is also the market competitiveness of a company, refers to the favorable conditions that the organization has in all areas of productivity, company structure, product quality, brand effect, product development, and marketing management. These conditions are based on the output of all employee performance. Employees' personal competence directly affects the organization's productivity; skilled production operations can drive

the organization's productivity, while the behavior of other employees in the organization affects employee satisfaction, and employee satisfaction and personal competence work together to ensure product quality. In addition, fair and scientific company management policies and management norms will improve the motivation of employees, and harmonious relationships between superiors and subordinates form a good corporate governance structure, which in turn ensures product development, marketing management, team culture, etc., which in turn has a positive effect on the maintenance and development of the company's brand and will further enhance the organization's competitive advantage. More importantly, a good corporate governance structure will reduce the turnover rate of employees and reduce organizational operating costs. In summary, this paper argues that the achievement of employee performance will help organizations better build competitive advantage.

(4) Organizational competitive advantage - organizational performance.

The generation of organizational competitive advantage promotes the improvement of organizational performance. With the full use of existing organizational resources, enterprises can make uniform use and allocation of various resources and develop diversified business strategies that can help them save costs, seize market opportunities and gain benefits. For example, if the organization's production efficiency has an advantage in the market, then it can adopt a low-cost strategy to quickly occupy the market; if the organization has an advantage in product development, then it can rely on product innovation and R&D to drive the organization's development. The generation of organizational competitive advantage allows the organization to take the lead in market expansion and create more economic benefits. The creation of organizational competitive advantage makes employees have more sense of belonging to the organization, and the organization will also allocate more economic benefits to employees, therefore, the creation of organizational competitive advantage will have a direct role in promoting organizational performance.

2.3 mutual coordination mechanism of the impact of strategic human resource management on employee performance

The mutual promotion and coordination among strategic human resource management, employee performance, and organizational competitive advantage form the coordination mechanism of strategic human resource management's influence on organizational performance. On the one hand, strategic human resource management aims at organizational development strategy, proposes scientific management methods through management activities such as selecting, nurturing, employing, and retaining employees, constantly and dynamically coordinating, participating in, and matching the organization's strategy formulation, and proposes implementable implementation programs. These practices will work directly with the employees themselves, making the employees' professional skills in the organization wait for improvement, and the sense of belonging and security increase, thus promoting the improvement of employee performance and helping the organization to create a competitive advantage. In addition, the competitive advantage of the company also leads to the continuous adjustment and optimization of strategic human resource management, which ultimately improves organizational performance. The difference between strategic HRM and

traditional HRM is that the identity of HR managers has changed: from being the recipient of the organizational system to being the maker and executor of organizational strategy. Strategic HRM takes the organization's strategic development as its goal, not only to make the rules of the organization's strategy but also to assist in its implementation.

As the market competition intensifies, organizations want to occupy a favorable position in the fierce market competition, they need to analyze the external environment changes externally, so as to set a clear development direction. Internally, it needs to analyze internal competitive strengths and weaknesses, coordinate planning, and develop rules, plans and goals. All these require the participation of strategic human resource management, which formulates clear and explicit plans for human resource management processes on the basis of a clear organizational development strategy to ensure the implementation of the organization's overall business strategy. The core of strategic human resource management lies in the management of people. Through the implementation of various strategic human resource management projects, individual employees are closely integrated with the development strategy of the organization, so as to organize a professional team with excellent strength and loyalty to the organization. Strategic human resource management not only enhances employees' personal skills, but also promotes employees' motivation through the care of organizational atmosphere, and keeps employees' passion and motivation through various incentive policies. Therefore, strategic human resource management has a positive effect on employee performance and there is a mechanism of mutual coordination between the two.

2.4 main impact of strategic human resource management on employee performance

In summary, it is clear that strategic HRM is internally consistent. The impact of an organization improving employee performance by motivating and reinforcing corporate strategy is more profound than the impact of a single or fragmented HR practice program on employee development.

(1) The impact on employee motivation

In the development of the modern economy and society, the human factor is becoming more and more important. How an enterprise can effectively manage its employees, fully mobilize their motivation, and let them create more value for the enterprise is the primary task of the enterprise's human resource management department, as well as a key factor to promote the development of the enterprise. To strengthen strategic human resource management in enterprises, it is mainly to systematically develop and cultivate human resources, develop a perfect incentive system, efficiently deliver corporate value orientation, and achieve consistency between employee value and organizational value, so as to effectively improve employee performance and corporate performance. At the same time, the organization should establish a compensation system that is in line with the actual development of the enterprise, set the evaluation standards of more work and more pay, and better performance and better pay, so as to promote the differentiated distribution of employees' income, improve the strength and breadth of incentives, form the overall synergy of performance innovation, and improve employees' work enthusiasm and efficiency.

(2) Impact on the quality of employees' skills

Human resource value refers to the value created by employees in their work, and this value is both the potential value of employees and the external value of employees. Through enterprise strategic human resource management, employees are prompted to fully understand the relationship between their abilities and personal performance, and personal gains, and are motivated to learn knowledge and improve their skills. The main purpose of enterprise training is to enable employees to acquire the knowledge and abilities needed for their work and to help them better perform their current or future work. Therefore, in order to ensure the quality of enterprise staff training, a scientific and reasonable training plan and implementation plan should first be formulated on the basis of sufficient research to enhance the work skills and abilities of employees and continuously improve work efficiency. At the same time, strengthening the scientific nature of training work can make employees fully feel the importance of the enterprise to them, stimulate their work enthusiasm, and promote the continuous development and improvement of the level of employee performance work.

(3) Impact on the effectiveness of the workforce

The maximum effectiveness of the workforce comes from the effectiveness of the strategic human resource management of the enterprise, especially the creation of corporate culture and the scientific nature of the compensation and incentive system. Strategic human resource management is to fully mobilize the effectiveness of employees through the establishment of a scientific system of recruitment, assessment, incentive, welfare and other benefits to finally improve the comprehensive strength of the enterprise and enhance its competitiveness. Strategic human resource management should be people-oriented, through the recruitment of outstanding talents into the company's team, so that people can make the best use of their talents and people. The organization should implement scientific human resource planning, provide skills training to new employees to enhance their working ability, and at the same time provide employees with appropriate welfare benefits to strengthen their loyalty to the organization and ultimately promote the long-term development of the company. To strengthen strategic human resource management, the organization should also continuously improve the recruitment plan to attract high-quality talents to the company, which has a very important impact on the performance improvement of the company. If the organization can recruit high-quality employees who are in line with the company's values and goals, it can not only promote the company's performance but also improve its social influence. At the same time, when studying the criteria for recruitment and selection, it is important to meet the actual situation of corporate development and better serve the overall corporate strategy.

3. Relevant measures to optimize the impact of strategic human resource management on employee performance

3.1 Establish a Scientific and Strategic Human Resources Planning Scheme

The major difference between strategic HRM and traditional HRM is that strategic HRM is a strategy based on the strategic development direction of the organization, while traditional HRM is more microscopic and is a management activity based on the human resource allocation of existing employees. Strategic HRM is the management process of providing human resources for the future development of the organization based on the forecast of the external competitive environment and the internal resources of the company. Strategic human resource management is a systematic project with many strategic elements. First, the organization should make a clear analysis of the external environment and forecast the future characteristics of the organization's demand for personnel, and at the same time conduct a verification analysis of the internal human resources that can be deployed. According to the distribution of internal and external resources, a set of systematic recruitment and personnel training programs are developed in an integrated manner. Secondly, strategic human resource management has some detailed regulations and requirements for staff entry, training, promotion, compensation and benefits, etc. Specifically, it covers all the work in the process of human resource management, and has a clear plan for each position of personnel to ensure that each has its own role and prevent the situation of shifting responsibilities and unclear duties. Further, strategic human resource management focuses on the cultivation of corporate culture and creates a harmonious working atmosphere for employees, so that employees have a greater sense of security and belonging to the organization and reduce the employee turnover rate. In addition, strategic human resource management has the following characteristics: First, strategic human resource management has a certain degree of precedence, while guiding human resource management work, it can sense the changes in the external market environment and adjust the internal management system of the organization accordingly, and its goal is to improve the effectiveness of each employee, so as to promote the sustainable development of the organization. Secondly, strategic human resource management is integrated into nature. Strategic human resource management is the maker and implementer of the organization's internal rules, which is related to the success or failure of the organization's entire human resource management work and the organization's business strategy. Therefore, it is very important to work to do good planning of strategic human resource management, and the organization must hire professionals to form a professional planning team to implement and establish a scientific strategic human resource planning program.

3.2 Establish a perfect scientific performance management system

Establishing a perfect scientific performance management system is an important management tool to create employee value, important support to achieve the strategic goals of the enterprise, and an important leading guarantee to continuously improve the market competitiveness of the enterprise. Performance management takes into account both process and results, focuses on prior

communication and planning, and is a management system with prior, intermediate, and post-event control as the main body. Scientific performance management not only emphasizes the result but also focuses on the process of achieving the result, through the whole process of reflection, evaluation, feedback, and improvement to finally achieve the goal. Strategic human resource management is aimed at corporate strategy, then the goal of performance management is also needed to be oriented to the strategic goals of the organization. Based on this, the organization needs to directly link employee performance with business performance, fully mobilize employees' work motivation and initiative, ensure work efficiency and quality, and promote the overall performance of the enterprise. At the same time, the principle of fairness should be fully integrated into the incentive system to play the role of incentive and assessment mechanism to deeply explore the potential ability of employees, so that they can maintain a strong sense of competition and make them show their talents in their jobs to promote the sustainable and stable development of the enterprise.

3.3 Establish a systematic recruitment program

Systematic recruitment plan is a systematic recruitment plan made by analyzing the external environment and taking inventory of internal talents, and oriented by the strategic development of the enterprise. It includes the following aspects: First, before recruitment, sufficient preparation must be done to take inventory of the internal personnel of the organization and make reasonable planning for internal human resources. Only before recruitment must be well prepared to ensure the smooth implementation of the recruitment process; secondly, a detailed recruitment plan needs to be formulated according to the recruitment requirements of each department and the strategic development goals of the organization, and the hiring department needs to provide detailed talent recruitment criteria and requirements, such as, for example, education, work experience, professional requirements, etc. HR management needs to carefully check before formulating recruitment criteria; in addition, the, in addition, organization should test and select the recruiters, the test is generally divided into aptitude test, personality test, interest test, intelligence test, etc. The selection method is mainly based on written tests, interviews, etc. The recruitment test and selection methods are different for different positions; finally, after the test and selection, the results of the test need to be systematically analyzed to finalize the entry personnel, and the entry personnel's various files Finally, after the test and selection, we need to analyze the test results systematically to finalize the staffs and check the files of the staffs to ensure the authenticity and legality of the staff files, and finally, we require the staffs to undergo medical examination within the specified time period.

3.4 Strengthen staff training

Scientific and perfect human resource management should first strengthen staff training, regular staff training, spread corporate culture so that the corporate culture is rooted in the hearts of employees. In addition to developing and implementing a perfect talent training plan, for example, the training of talents should start from the grassroots level, so that the talents gradually understand the development content of the enterprise, gradually become veteran employees of the enterprise, and contribute to the development of the enterprise. In the process of talent training, it is necessary to

establish an effective communication platform with the employees, to understand the inner dynamics of the employees and their work in a timely manner, to adjust the management mode according to the inner dynamics of the employees, to make targeted training plans, and to let the new employees feel the importance of the enterprise. Let the new employees can play their own talent, and contribute to the development of the enterprise. In addition, the old employees and new employees should establish a friendship platform, through mutual help, mutual learning, common progress, can regularly carry out the old and new employees exchange meeting, establish an effective communication channel, and finally improve the staff system.

3.5 Scientific optimization of human resources allocation

At the present stage, many enterprises lack scientific human resources allocation, resulting in many employees being unable to do the job, but always in the position is not eliminated, and ultimately due to the mismatch of personal ability and affect the achievement of the overall project goals. Irrational human resource allocation will not only affect the efficiency of the organization's human resource management but also restrict the development of the enterprise. Therefore, in the configuration of human resources management must be integrated planning, under the premise of clear corporate strategic development goals, combined with the current market environment in which the enterprise and the internal performance of the enterprise and the development of a reasonable plan. The premise of developing scientific human resource management configuration is the need to set up a special intelligent management department, hire professionals, accurately understand the needs of each department and each position within the enterprise, and position each job function from the demand. In human resources management work, we must focus on the principle of motivation, stimulate the potential of each employee, improve the efficiency of the staff, and implement the elimination mechanism, for some employees who are not competent for the position, can not let them sit on the position, but in accordance with the relevant assessment methods of the company when the break. The implementation of scientific human resources allocation, not only can better improve the performance of employees, but also promote the development of the organization.

Conclusion

With the continuous development of the economy and society, the competitive situation faced by enterprises is becoming more and more intense. In order to better adapt to the current market development needs and gain competitive advantages in the fierce market competition, organizations need to combine their own reality and pay full attention to strategic human resource management. Through a comprehensive and detailed, multi-angle analysis and research, this paper argues that organizations need to continuously explore and innovate in the process of human resource management, effectively implement and apply enterprise strategic human resource management, give full play to its role advantages, enhance the performance of enterprise employees, and lay a solid foundation for sustainable development of enterprises.

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WHAT GOES AROUND COMES AROUND? HOW LEADERS WITH INCLUSIVE HUMOR PROMOTE CONSTRUCTIVE DEVIANT BEHAVIORS OF EMPLOYEES

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Abstract

Based on social exchange theory and emotional event theory, this article aims to examine how inclusive leadership humor can improve employees' constructive deviant behavior from a new perspective of employee psychological capital. This study also explores the moderating role of interest development in the proposed model. The research results show that there is a positive relationship between inclusive leadership humor and employee psychological capital (EPC), and there is a positive relationship between EPC and employees' constructive deviant behaviors. Interest development significantly regulates the relationship between EPC and employees' constructive deviant behaviors. These findings have enlightening significance for the study of inclusive leadership humor, EPC, and employee constructive deviant behaviors.

Keywords: Inclusive Humor; Psychological Capital; Interest Development; Constructive Deviant Behavior of Employees

1. Introduction

1.1 Introduction

Innovation is an inexhaustible driving force for a company's development and an important foundation for maintaining a company's sustainable competitive advantage. The most important resource in a company is people. In order to enhance the organization's innovation ability and competitiveness, employees who are the most basic unit of innovation in the organization must have innovative thinking and the ability to escape inherent patterns. People with this ability are compared to "the most sought-after resource" (Andriopoulos, 2003). This resource is the foundation of the company's survival, but it is also affected by factors such as the limitation of organizational resources and the leader's adherence to rules. All innovative ideas can have practical opportunities, which leads managers to selectively accept innovative ideas with low risk and high value. This approach will inevitably make most employees' innovative ideas due to lack of permission and support from superior's abortion.

Once an employee's innovative idea is rejected by the leader, there are only two results: either continue or stop. That is, after being rejected, most of the employees may accept the decision of the leader, believing that the leader has his own arrangements and considerations, and finally choose to give up; or ignore the leader's refusal and continue to implement the innovative ideas they think are valuable. Increase investment in innovation in follow-up work (Amabile *et al*., 2018). Or directly predict that one's own ideas will be rejected as soon as they are proposed, and skip reporting to their superiors to carry out their own innovative behavior privately. This employee behavior is called Creative Deviance (Berg, 2016).

The deviant and innovative behavior of employees has dual attributes. The "reasonableness" of the target makes it constructive, that is, constructive deviant behavior, but the "deviation" of the behavior can be destructive (Liu, Chow, Zhang, & Huang, 2019). Judging from the research results of the existing literature, the majority of scholars who support the "rationality" of the purpose believe that once deviant innovation is successful, it can usually significantly improve individual innovation performance and bring technological and product innovation to the enterprise. This kind of "reasonableness" also causes deviant innovations to occur frequently in future employee innovation practices. Because of this, the research on constructive deviant behavior of employees has aroused great interest in the academic community.

1.2 Research questions

According to Martin, Puhlik-Doris, Larsen, Gray, and Weir. (2003), humor can be divided into two types: positive humor and negative humor. The former includes inclusive humor (using kind language to entertain others and achieving a good relationship between superiors and subordinates to create a good working environment and atmosphere) and self-improvement humor (used to cope with stress and maintain humor in difficult times), while the latter includes offensive humor (sarcasm, manipulative, derogatory or derogatory humor) and self-defeating humor (humor used for excessive self-deprecating, pleasing, or defensive denial).

Specifically, positive humor is considered to be potentially beneficial to a person's mental health, can basically meet the psychological needs of employees, and can also be understood as a way of working to cultivate positive energy and reduce psychological pressure, thereby making Their followers cultivate more energetic, healthy, and positive mental literacy at work (Wood, Beckmann, & Rossiter, 2011). Studies have shown that humor has many benefits and advantages, which can help improve the reputation of leaders and subordinates and can also change the attitude of employees.

Humor can also reduce tensions and conflicts, solve problems smoothly. It also plays a positive role in the generation and development of an optimistic organizational culture and helps to create a beneficial environment in social relations. These are all brought about by positive humor. The benefits of using inclusive humor, leaders use to make employees more likely to be willing to maintain an optimistic relationship with them to motivate employees and enhance employee

psychological capital (EPC), which includes four aspects: self-confidence (self-efficacy), optimism, hope, and toughness (Luthans, Youssef， & Avolio, 2007). Inclusive and humorous leaders ultimately influence the correlation between constructive deviant behaviors of employees through EPC.

1.3 Research purpose

This research aims to establish a model to solve the connection between inclusive humor and constructive deviant behaviors of employees. When establishing inclusive humor and employee constructive deviant behavior model, we further borrowed from the Affective Event Theory (Weiss et al., 1996), and we further borrowed from the Affective Event Theory to propose a mediating variable called EPC, can potentially explain the connection between inclusive humor and constructive deviant behavior of employees. Finally, the moderating variable of the relationship between inclusive humor and constructive deviant behavior of employees is proposed and tested: interest development.

In general, the research of this article is to link the emotional event theory from the concept and experience and establish a model to explain how inclusive humor can affect the constructive deviant behavior of employees through EPC.

In modern workplaces, fewer and fewer people are willing to sacrifice their own interests to try innovation, especially deviant innovation is even more difficult. Innovation as a company's competitive advantage is undoubtedly very unfavorable. This study will explore how tolerant and humorous leaders can change the constructive and innovative behaviors of employees through their influence on the psychological capital of employees, and obtain the results, and provide business managers with suggestions for reference.

2. Literature review and hypothesis

2.1 Theoretical basis: emotional event theory

Affective Event Theory (AET) helps explain how the leader’s humor leads to employee involvement. AET pointed out that events or events at work can have immediate positive or negative effects on employees. This study focuses on positive emotions (emotions) as an explanatory variable for the influence of leaders' inclusive humor on subordinates' behavior. Positive influence is important in AET because it is expected to affect important work behaviors (Weiss & Cropanzano, 1996). In other words, in this study, the emotions at work (positive emotions) regulate the relationship between the work environment and work results.

Therefore, this study tested a mediation model, in which the leader's inclusive humor may induce positive emotions or emotions (as a mediating variable) at work, which may then positively affect the constructive deviant behavior of employees. In addition, we also propose the development of interest in this process as its moderating effect.

2.2 Leaders' inclusive humor and constructive deviant behaviors

Leader-tolerant humor refers to the behaviors (such as ridicule and jokes) that leaders use to their employees. They often produce "contrasting jokes" through non-standard methods. It has three characteristics: (1) represents the goodwill of the leader; (2) creates a relaxed and pleasant atmosphere; (3) slightly violates traditional norms to a certain extent.

Employee deviant innovation is an innovative behavior that is carried out privately and spontaneously by employees without the formal authorization of the organization and management. The innovative behavior for the purpose of improving the organization’ s interests also has three characteristics: (1) the employee is not authorized to do it spontaneously and privately; (2) the organization norms are formed challenges;(3) for the purpose of improving organizational performance (Martin, Puhlik-Doris, Larsen, Gray, & Weir , 2003).

Humorous behavior itself is a demonstration of mild violation of norms. In an organization, leadership behaviors shape the behavior orientation of subordinates. Accordingly, when subordinates make deviant innovations, they will have a higher sense of permission and feel that minor violations of the norm are allowed. According to the benign violation theory (BVT; Mcgraw, 2010), breaking some benign rules is necessary and beneficial. In short, BVT believes that humorous displays often require benign norm violations. The leader’s humorous behavior communicates to other members of the organization that it is acceptable to break some of the existing rules.

Therefore, subordinates are more likely to increase workplace violations (Robinson & Bennett, 1995). In their view, violations are not "unforgivable", but can be tried with confidence. This workplace violation allows employees to continuously explore new ideas without sacrificing the original production model, thus increasing the possibility of constructive deviant behavior. If employees feel that their company attaches great importance to innovation, it will make them believe that innovation activities are encouraged, even if their innovation fails, they will not be punished, their subjective efforts will be stimulated, and they will actively try innovative methods (Hommel, Colzato, Fischer, & Christoffels, 2011).

Conversely, if employees believe that the organization does not value innovation as they say, or will suffer huge losses if they fail, then employees are less likely to try innovation and new processes or methods (Liu, Chow, Zhang, & Huang, 2019).

Inclusive humor can create a relaxed and pleasant atmosphere in the organization. Employees are more daring to open up and be friends with leaders. In such an atmosphere, subordinates can freely develop, communicate and implement their ideas without worrying about any negative consequences. Humorous leaders may refrain from criticizing upcoming mistakes or even make interesting comments. Subordinates only need to put ideas into practice in a more relaxed and interesting way (Carmeli, Reiter-Palmon, & Ziv, 2010).

The emotional event theory believes that the mental state of leaders can be perceived by employees as environmental influences, which in turn affects their attitudes and behaviors (Scott &

Bruce, 1994; Weiss & Cropanzano, 1996). The leader's inclusive humor has a positive impact on subordinates, who see him as a role model. Therefore, subordinates will introduce new ways and methods to find a common language with their leaders (Grigoryan, Lebedeva, & Breugelmans, 2018). Therefore, inclusive humor has a positive impact on employees' constructive deviant behaviors.

Hypothesis 1: Leaders' inclusive humor has a positive effect on employees' constructive deviant behaviors.

2.3 The mediating role of psychological capital

Psychological capital (EPC) includes four aspects: self-confidence (self-efficacy), optimism, hope, and resilience (Luthans, Youssef, & Avolio, 2007). Although most research on EPC focuses on its structural dimensions and connotation level, we still have reason to believe that there is a close relationship between humorous leaders and employee EPC (Gupta & Singh, 2014). Given the ability of humor to produce a series of positive results in the workplace (Karakowsky, Podolsky, & Elangovan, 2020), it is considered a valuable tool for leadership. As a leader, it is important to show humor at work (Cooper, Kong, & Crossley, 2018).

In fact, as a communication strategy to amuse employees (Pundt, 2015), leader inclusive humor has been shown to have a positive impact on employees' emotions, attitudes, performance, and other positive behaviors (e.g., Cooper, 2005; Hughes & Avey, 2008; Yam, 2018; Guenzi, Rangarajan, Chaker, & Sajtos, 2019). In addition, when leaders use humor to share interesting things with employees, employees can personally feel the promotion and support from the leader, these employees will inevitably be more engaged in work and maintain higher innovative behaviors to create better results.

Many humor researchers believe that there is a connection between positive humor and positive emotions. The more people who actively use humor, the less humor responds to stress (Martin, Puhlik-Doris, Larsen, Gray, & Weir, 2003). Martin (1993) showed that using a better sense of humor is related to having a more positive self-concept. Studies have shown that individual self-perception has a significant impact on employee innovation behavior (Tierney & Farmer, 2011). The influence of leadership on employee behavior is often not direct but generated by the employee's inner psychology and cognition (Shin & Zhou, 2003; Cho & Dansereau, 2010; Walumbwa, Peterson, Avolio, & Hartnell, 2010).

The innovation process is full of risks and complexity, especially the constructive deviant behavior studied in this article. The difficulty can be imagined. At this time, the optimistic mentality of employees is particularly important (Tierney, Farmer, & Graen, 1999; Silla & Gamero, 2018). The inclusive humor of leaders can gain subordinates' trust in themselves through kind and interesting language, and provide cognitive and emotional assistance to employees through actions so that they can maximize their talents. In turn, employees also increase confidence in their own pursuit of goals (Rego, Sousa, Marques, & e Cunha, 2012).

Generally speaking, employees with high self-efficacy are more likely to take risks and challenge tasks (Gong, Huang, & Farh, 2009), and are more able to use innovative methods to solve problems. Leaders with inclusive humor usually have good relationships with subordinates. That provides employees a relaxed and harmonious working atmosphere, output positive energy and optimism to employees, and give positive feedback to employees for their contributions. This can give them great trust and employees can stay away from those negative and negative things. Emotions, but focus on the positive side, and further encourage employees to make higher-level innovative behaviors.

At the same time, the positive feedback and response of the leader will enhance the resilience of employees. Even in the face of pressure or adversity, they will actively respond to and face difficulties, and ultimately achieve success. Such employees are indomitable and creative in solving problems. Employees with a high sense of self-efficacy are more confident in their innovative ideas and are more willing to propose novel ideas in the workplace. Although self-efficiency means that employees have the ability to do innovative things, employees who have higher hopes for their own work can do challenging work in different ways (Luthans, Avey, Avolio, & Peterson, 2010).

In order to obtain the support of the leader for their own innovative ideas and behaviors, high-level employees make practical solutions based on the leader's hobbies and demonstrate the decision to overcome all difficulties. Optimistic people are more likely to control their own destiny and face difficulties and failures more calmly. They usually have positive expectations of themselves; therefore, it is easier to implement innovative behaviors (Sweetman, Luthans, Avey, & Luthans, 2011). Based on the above arguments, we assume that:

Hypothesis 2: Psychological capital plays a mediating role in the leader's inclusive humor and the employee's constructive deviant behavior.

2.4 Moderating role of interest development

Hidi and Renninger (2006) define interest as cognitive and emotional motivation variables, including the mental state of individuals during their participation in certain content, and their re-engagement over time. The motivational tendency of the content. They describe the development of interest as going through four stages, starting from the initial trigger and extending to the well-developed interest.

Hidi and Baird (1986) proposed an important difference between the two types of situational interest, reflecting the process in which situational interest is first triggered and then maintained in a specific situation. Situational factors such as teaching style or ranking variables can first trigger or “capture” interest through attention and emotional processes, but once situational interest is stimulated, it may or may not continue, depending on the external support in the situation (Hidi & Renninger, 2006).

Interest as a motivational variable refers to a mental state of participation or repeated participation in a particular content tendency. Interest is always connected with a specific topic, task or activity, so it is a concept with specific content. Interest is also expressed as an emotional state. People will show great enthusiasm for things of interest and produce a positive emotional experience (attention, curiosity). This kind of affirmative emotional experience will prompt individuals to have a desire to further search for information related to specific content.

Through repeated participation, the individual obtains more knowledge related to specific content. If he or she realizes the significance and value of this knowledge, their interest in specific content will further develop into individual interest. In this process, the individual produces positive emotions (that is, psychological capital), which is also accompanied by a series of cognitive processing. Emotion is the modulator of cognition rather than the result of cognitive processing.

The internal needs (motivation) of the individual play an important role in the development of interest. In recent years, many researchers have begun to recognize the important role those affective components play in the study of learning motivation, and interest is a motivational variable that links affective and cognitive components.

The better the degree of interest development, the more positive emotions and motivation in the employees' hearts can be mobilized, thereby strengthening the influence of psychological capital on employees' constructive deviant behaviors. Because the employees' inner motivation is stimulated, they want to achieve the ultimate in their work. This kind of extreme will have an element of innovation. This kind of innovation is not made by sticking to the rules. In many cases, it can be achieved through constant trial and error or even transgression. As the saying goes: "Interest is the best teacher in life". With interest, the heart will have inexhaustible motivation and enthusiasm to explore something. The same is true for employees.

Employees who are originally very motivated and do the work that they are just interested and passionate about will be 100% devoted to work. Unexpected results are created in the work, and the higher the degree of interest development, the more obvious the employee's psychological capital will be to the employee's constructive behavior.

Hypothesis 3: Interest development positively moderates the relationship between leaders' inclusive humor and constructive deviant behaviors

Based on the above research hypotheses, draw the overall research framework of this research, as shown in Figure 1.

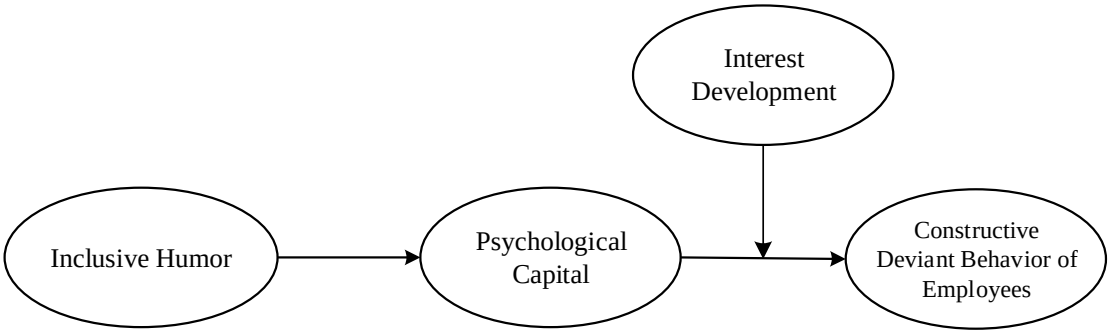

Figure 1 Research framework diagram

3. Conclusion and discussion

(1) Leaders' inclusive humor has a significant positive impact on employees' constructive deviant behaviors. Previous studies have shown that leadership humor has a significant impact on employees' extra-role behaviors. The results of this article also verify the positive stimulating effect of leaders' inclusive humor on employees' constructive deviant behaviors and other extra-role behaviors. The new generation of employees such as the "80s and 90s" has become the main force to enhance the innovation ability of the enterprise. Unlike the older employees of the "60s and 70s", they need a relaxed and pleasant working environment to display their talents. The leader's inclusive humor combines principle and flexibility, and emphasizes respect and support for each employee, encourages employees to give full play to their talents, and creates a good working environment for employees to make constructive deviant behaviors.

(2) The mediating role of psychological capital: refers to a positive psychological state of an individual in the process of growth and development. It is a core psychological element that transcends human capital and social capital and is a psychological resource that promotes personal growth and performance improvement. With the increasing speed of competition and change in modern enterprises, more and more corporate managers realize that employees generally have work pressure and ideological burden. They pay attention to salary and benefits but pay more attention to growth and progress, and can accept heavy work and lower salaries. The reality is under pressure, but psychological comfort is urgently needed.

The humor of leadership can just give contemporary employees a relaxed working environment, relieve various pressures brought about by economic development, and employees' mentality becomes brighter, and they are willing to express themselves, give play to their talents, and contribute to the company (or unit). Make your own contribution, that is, be willing to put your energy into work, increase investment in work, and make innovative behaviors.

(3) Moderating role of interest development. Interest as a motivational variable refers to a psychological state of participation or repeated participation in a particular content tendency. Interest is also expressed as an emotional state. People will show great enthusiasm for things of interest and

produce a positive emotional experience (attention, curiosity). This kind of affirmative emotional experience will prompt individuals to have a desire to further search for information related to specific content. Interest development positively regulates psychological capital and employee input and constructiveness.

Up to now, there are relatively few articles about interest development as a moderating variable for research on related topics. This will become a groundbreaking exploration. Interest may be the best mentor to lead employee behavior, even if the average employee will explore himself For positive employees, if they can be supported by interest, they may also be more willing to make behavior changes, that is, they will do things that deviate from the original rules and regulations, but they are not always sticking to the rules. . The main point of this research is to positively regulate the constructive deviant behaviors of employees.

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WHY EMPLOYEES HAVE LOW PSYCHOLOGICAL RESILIENCE: THE BOTH EFFECTS OF INTERNET ADDICTION AND WORKPLACE INCIVILITY

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Abstract

In the modern workplace, due to the continuous increase of competitive pressure, employees with low psychological resilience cannot handle the problems encountered at work well. Undoubtedly, it is very unfavorable for the organization. This study prospectively explores why employees' psychological resilience is low. Based on two different perspectives, one is from one's own reasons: Internet addiction; the other is from the influence of external adverse factors: the workplace incivility. Based on the above two perspectives, the reasons for the lower psychological resilience of employees are explored. A questionnaire was gained online and 400 valid samples were collected for analysis. The results showed that: 1) Internet addiction negatively affects harmonious work passion 2) Harmonious work passion positively affects psychological resilience; workplace incivility negatively moderates the relationship between style work passion and psychological resilience. From the above results, it can be seen that workplace incivility and Internet addiction are the two main reasons for the lower psychological resilience of employees.

Keywords: Workplace Incivility; Internet Addiction; Harmonious Work Passion; Psychological Resilience

1. Introduction

1.1 Background

Due to technological progress, globalization, and competition, contemporary jobs are becoming more and more variable, and there are too many uncertain situations in the workplace that employees need to face (Näswall, Kuntz, Hodliffe, & Malinen, 2013). According to related studies, coping with these uncertain situations in the workplace needs to be supported by employees with

strong psychological resilience, that is to say, employees with low psychological resilience cannot cope with challenges at work well (Lantman, Mackus, Otten, Kruijff, Loo, Kraneveld, & Verster, 2017). The psychological resilience of employees may be affected by external factors as well as their own factors.

A study by Schilpzand Pater, and Erez (2014) pointed out that workplace incivility will create a negative working environment, which in turn will have a negative impact on the work efficiency of employees or organizations. In this situation, employees may need to continuously spend time and energy to deal with the adverse effects of workplace incivility, so they may reduce their own harmonious work passion, thereby reducing their own psychological resilience. At the same time, the employee's own Internet addiction may also cause a decrease in psychological resilience.

Weissenfeld Abramova and Krasnova (2019) believe that people with Internet addiction cannot control the time they use the Internet, which will eventually lead to the original psychological function of self-regulation being reduced (Shrivastava, Sharma, & Marimuthu, 2018), so individuals with high Internet addiction will be addicted to the Internet and cannot extricate themselves, which will cause them to be unable to concentrate on work (Evren, Dalbudak, Evren, & Demirci, 2014), possibly it will decline their own harmonious work passion, thereby reducing their own psychological resilience.

Therefore, this study explores whether workplace incivility and Internet addiction will reduce employees' harmonious work passion, thereby reducing employees' psychological resilience, and provide a reference and basis for related companies and subsequent academic research.

1.2 Research questions

According to related studies, the phenomenon of workplace incivility is common in the working environment of general organizations and may have a negative impact on individuals and organizations (Opengart, Reio, & Ding, 2019). At the same time, with the popularity of the Internet, more and more employees are addicted to the Internet during work but ignore their own work (Poon, 2018).

For employees, these two scenarios may have a relatively unfavorable impact on the employee's own psychological resilience. Therefore, this research explores whether employees' psychological resilience will be affected by their own Internet addiction and external factors in the workplace incivility, and thus raise the question of this research:

1) Will employees' Internet addiction reduce the psychological resilience of employees by reducing the harmonious work passion?

2) Will the workplace incivility from the outside reduce the impact of harmonious work passion on psychological resilience?

1.3 Research purpose

In the modern workplace, due to the continuous increase in competitive pressure, employees with low psychological resilience cannot handle the problems encountered at work well (Lantman, Mackus, Otten, Kruijff, Loo, Kraneveld, & Verster, 2017). There is no doubt that this is very unfavorable for organizations. This study will explore what factors cause the employees' own low psychological resilience.

Based on two different perspectives, one is from one's own reasons: Internet addiction; the other is from the influence of external adverse factors: the workplace incivility. Based on the above two perspectives, the reasons for the lower psychological resilience of employees are discussed, the results are obtained, and a suggestion for business managers can be provided for reference.

2. Literature Review

2.1 The impact of Internet addiction on employees' harmonious work passion

Because it is easy to access the Internet in the current Internet age, most people have developed a dependence on or addiction to virtual platforms. This phenomenon is called Internet addiction, which refers to the individual’s lack of ability to control Internet use, which leads to individuals being addicted to the Internet and cannot extricate themselves.

This phenomenon can adversely affect individuals in different areas of life (Davis, 2001). In other words, Internet addiction is an individual's excessive use of the Internet during a specific browsing time (Evren, Dalbudak, Evren, & Demirci, 2014). For example, employees use computers or smartphones for long periods of time during working hours to perform non-work-related behaviors (Weissenfeld, Abramova, & Krasnova, 2019).

Individuals with Internet addiction cannot control their use of the Internet, so they will be addicted to the Internet and cannot extricate themselves. At this time, employees cannot concentrate on their work. Harmonious work passion is a strong tendency. People like activities that they think are important and identify with, and invest a lot of time in them (Vallerand, Blanchard, Mageau, Koestner, Ratelle, Léonard, & Marsolais, 2003).

When employees are overly addicted to the Internet, they don’t have too much time and energy to devote to their work. This is because individuals are too immersed in the Internet and may

ignore their main or important work (Weissenfeld, Abramova, & Krasnova, 2019). Therefore, this study proposes that as the employee's degree of Internet addiction becomes higher, his own harmonious work passion will decrease accordingly.

H1: Employee Internet addiction will negatively affect harmonious work passion.

2.2 The impact of harmonious work passion on employees' psychological resilience

Harmonious work passion is a positive feeling that individuals are willing to enjoy work, and their willingness to invest time and energy in work (Ferneet, Lavigne, Vallerand, & Austin, 2014). Employees with harmonious passion may show more enthusiasm for work, and do more time and energy at work. Often this type of employee also behaves positively. They can maintain a state of enthusiasm no matter whether they are facing life or work, and the psychological resilience is the employee's own kind of unfavorable situation and being able to be positive.

The ability to cope with and minimize adverse effects (Mancini & Bonanno, 2009). Individuals with higher psychological resilience are also more positive. Therefore, this study proposes that individuals with higher harmonious work passion will have a corresponding higher psychological resilience.

H2: Harmonious work passion will positively affect employees' psychological resilience.

2.3 The moderating effect of workplace incivility between harmonious work passion and psychological resilience

Workplace incivility is also called incivility in the workplace or rude behavior in the workplace. Anderson and Pearson (1999) defined workplace incivility, which is a kind of violation of the rules that employees should respect each other in the workplace, the existence of unclear intention to harm, and low-intensity deviant behavior, which is relatively rude. That is, it may show impolite attitudes and disrespect for others.

Workplace incivility includes demeaning speeches, expressing insults, repulsive behaviors, and other low-intensity behaviors. These behaviors do not have a clear intention to harm others, but still violate social norms and cause psychological harm to employees (Anderson & Pearson, 1999). When employees face workplace incivility, they will think that their bosses or colleagues are degrading or repelling them (Cortina, Magley, Williams, & Langhout, 2001).

When employees perceive more disrespect and rejection in the workplace, their attitude towards work is more likely to fall into a negative emotional state. Workplace incivility increases the

psychological burden of employees, which makes employees feel that they are being excluded and unfairly treated, and may also make them feel disgusted at work. The other person feels that they cannot realize their personal values, leading to the inability to accept their current work, and ultimately reducing their own harmonious work passion (Birkeland & Nerstad, 2016).

With the reduction of harmonious work passion, employees may have been using their own resources and abilities to deal with the negative effects of workplace incivility, which may lead to a decrease in their psychological resilience. In summary, this research proposes hypotheses:

H3: Workplace incivility will negatively moderate the impact of harmonious work passion on psychological resilience

Based on the above research hypotheses, draw the overall research framework of this research, as shown in Figure 2.1.

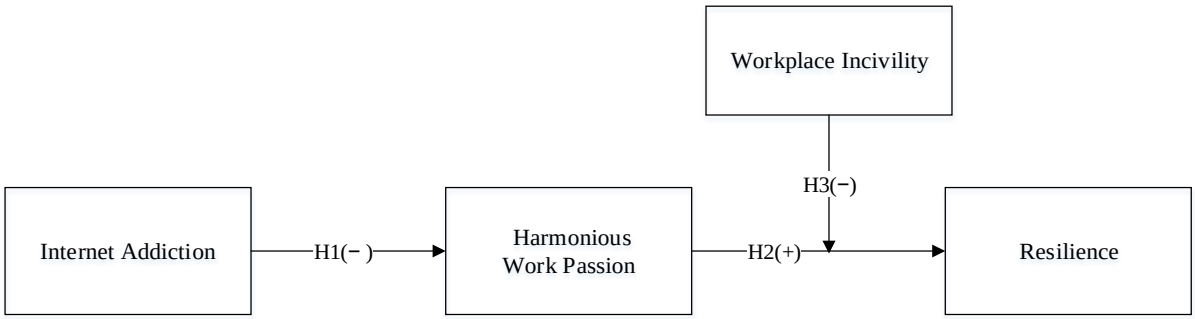

Figure 1: Research framework diagram

3. Research methods and design

3.1 Sampling

The subjects of this study are mainly employees in public and private hospitals. The research samples are mainly drawn from Huai'an, Lianyungang, and Taizhou in Jiangsu Province, China.

Based on the employees (doctors, nurses, and technicians) in private and public hospitals in these places. To investigate, during the epidemic, it is inconvenient for hospitals to directly issue answers offline. Therefore, this study conducted questionnaire surveys in an online-based manner.

After collecting the questionnaire data, invalid questionnaires were eliminated, and then statistical analysis was carried out based on valid questionnaire data.

3.2 The process of the data collection

The original scales for measurement are all from English literature, and the scales are processed by the method of translation-back translation before the scales are used. During the processing, I have consulted senior research experts to discuss and revise 5 times, and after querying relevant literature and citing English scales.

After the detailed modification of the text, the final Chinese scale was obtained, and then the scale was printed out and went to the hospital to ask the medical staff of different age groups for the question and answer questions, asking them whether they understood the questions in the questionnaire. So as to determine whether it can be answered effectively, and then revised and reviewed by the instructor to finally determine the question of the scale, plus the 7 control variables selected in this study, namely gender, age, education level, job position, and department, The nature of the work unit and the current working age, and then make a questionnaire for online collection.

3.3 Measurement

Workplace incivility: This study uses the Uncivilized Workplace Scale developed by (Cortina Magley Williams and Langhout (2001). The scale uses a Likert five-point scoring method. The scoring method ranges from "completely disagree" to "completely agree" from 1 to 5 Score, the higher the score, the higher the degree of uncivilized influence on the respondent.

Internet addiction: This study uses a scale developed by Young (1998), with a total of 8 items. The scoring method ranges from "completely disagree" to "completely agree" and counts 1 to 5 points. The higher the score of the respondent, the higher the degree of internet addiction.

Psychological resilience: This study adopts the scale developed by Sills and Stein (2007) and uses the Likert five-point scoring system to allow respondents to evaluate their own psychological resilience. The scoring method ranges from "completely disagree" to "completely agree". Calculate 1 to 5 points, the higher the score, the stronger the psychological flexibility of the interviewee.

Harmonious work passion: This study adopts the passion scale developed by Vallerand Blanchard Mageau Koestner Ratelle Léonard and Marsolais (2003) and uses the Likert five-point scoring system to allow respondents to evaluate their own harmonious work passion. From "to "fully agree", 1 to 5 points are counted in turn. The higher the score, the higher the respondent’s harmonious work passion.

3.4 Questionnaire screening

It is mainly for the elimination of control variables. The elimination criteria are as follows:

1) Answer the fourth question job position. Since the research object of this study is only a doctor, a nurse, and a technician, if someone chooses other options, it is not. The questionnaire was deemed invalid because it was within the scope of the research object designed by this research;

2) The department to answer the fifth question. If someone chooses the patient or the patient's family and other options, it is not within the scope of the research object designed by this research. Therefore, it is judged as an invalid questionnaire;

3) There are contradictory answers to the logical relationship question, for example, between 18 and 25 years old, graduated with a bachelor degree, but working in the current position for more than 10 years is not logical, so the questionnaire is judged as invalid;

4) If there are too many uniform choices of a number o f too many neutral answers in the questionnaire, it will be judged as an invalid questionnaire;

5) If the work experience option "None" is selected, it will be regarded as an invalid questionnaire. This is because the main research object of this research is the in-service employees who have relevant work experience. If there is no work experience, they are not the main research object of this research.

In the end, after eliminating invalid questionnaires according to the above method, 400 valid questionnaires remain in this study, and the questionnaire effective rate is 71%.

4. Results

4.1 Descriptive statistical analysis

This study uses statistical analysis to perform descriptive statistical analysis on valid questionnaires, refer to Table 1. The characteristics of the valid samples are as follows: males account for 55.5% and females 44.5%.

Table 1: Characteristics of Valid Samples

Characteristic	Group	Number	Percentage
Gender	Male	222	55.5
	Female	178	44.5
Age	18-24	38	9.5
	25-30	68	17.0

Table 1: Characteristics of Valid Samples (cont.)

Characteristic	Group	Number	Percentage
	31-40	68	17.0
	41-45	21	5.3
	46-50	70	17.5
	51-55	25	6.3
	55-60	39	9.8
	61 and above	71	17.8
Education	Vocational high school and below	40	10.0
	Junior college	114	28.4
	Undergraduate	199	49.8
	Master degree and above	47	11.8
Position	Doctor	55	13.8
	Nurse	154	38.4
	Technician	191	47.8
Department	Outpatient	115	28.7
	Emergency	110	27.5
	Inpatient Department	175	43.8
Hospital ownership	Public	109	27.2
	Private	291	72.8
Work experience in the current job position	Within 1 year	29	7.2
	More than 1 year to less than 3 years	68	17.0
	More than 3 years to less than 5 years	37	9.3
	More than 5 years to less than 10 years	40	10.0
	More than 10 years	226	56.5

The age distribution is relatively even, and the proportion of males is slightly higher than that of females. In the job of this position, the proportion of technicians and doctors is relatively high; the degree of the respondents is mainly concentrated in college and undergraduate, accounting for 28.4% and 49.8%, respectively, and those with a master's degree and above account for a relatively low proportion. The education of the respondents is generally low. This is because most of the jobs in the sample are nurses and technicians. In the hospital, the education for these two positions is not very high, college or undergraduate is enough.

The job position of the respondent is college, and most of them are nurses and technicians, accounting for 38.4% and 47.8% respectively; their departments are mainly concentrated in outpatient and inpatient departments, accounting for 28.7% and 43.8%, respectively; the nature of the

respondent's work unit is mainly concentrated in private hospitals, accounting for 72.8 %; The working-age of the respondents is mainly concentrated in the stage of more than 10 years, accounting for 56.5%, indicating that most of the respondents have been working in the current position for a long time, and they are more familiar with their current working status.

4.1 Mean, standard deviation, correlation analysis, and reliability

This study uses descriptive statistics to analyze the average and standard deviation of the four variables uses the Pearson correlation coefficient to calculate whether the correlation between the variables is significant, and uses reliability analysis to test the reliability of the questionnaire (see Table 4.2).

The analysis results show that the average values of workplace incivility, psychological resilience, harmonious work passion, and Internet addiction are all greater than 2.5 and very close to 3. The degree of work passion and Internet addiction is relatively high; the standard deviations of workplace incivility, psychological resilience, harmonious work passion, and Internet addiction are: 1.110, 1.045, 1.055, 0.968, indicating that they are within the normal distribution; the correlation coefficients between the variables are all significant at the level of 0.001, which indicates that there is a certain correlation between the variables; the Cronbach's α value of the workplace incivility scale is 0.903; the Cronbach's α value of the Internet Addiction Scale is 0.901; the harmonious work passion amount the Cronbach's α value in the table is 0.912; the psychological resilience scale, Cronbach's α value is 0.897. Since the Cronbach's α values of the above variables are all greater than 0.7, the reliability of the entire scale is high and the consistency is good.

Table 2: Mean, Standard Deviation, Correlation, and Reliability

Variables	M	SD	1	2	3	4
1. Workplace incivility	2.897	1.110	.903			
2. Psychological resilience	3.269	1.045	-.163***	.901		
3. Harmonious work passion	3.152	1.055	-.274***	.673***	.912	
4. Internet addiction	2.941	0.968	.183***	-.548***	-.283***	.897

Note 1: * is significant at the 0.05 level, ** is significant at the 0.01 level,*** is significant at the 0.001 level.

Note 2: The diagonal is the Cronbach's α coefficient of each variable.

4.2 Confirmatory factor analysis

It can be seen from Table 4.3 that χ^2/df is 1.04, which is less than 3, SRMR is 0.036, which is less than 0.05, GFI and AGFI are both greater than 0.8, NFI is greater than 0.8, IFI is greater than 0.8, and CFI is greater than 0.8., RMSEA is 0.010, which is less than 0.08. Each fitting index meets the general research criteria, so it can be obtained that the measurement model has a good model fit.

In this study, the structural equation model was used for confirmatory factor analysis, and the more rigorous AVE method was used to evaluate the convergent validity and discriminative validity of the scale (refer to Table 4.4 and Table 4.5).

Table 3: Measurement Model Fitting Index of CFA

Fitting index	χ^2	*df*	χ^2/df	RMSEA	SRMR	GFI	AGFI	NFI	IFI	CFI
Indicator criteria	–	–	＜3	＜.08	＜0.05	＞.80	＞.80	＞.80	＞.80	＞.80
Model indicators	445.2	428	1.04	.010	.036	.934	.924	.936	.997	.997

Convergent validity refers to the degree of correlation between different items of the measurement of latent variables (Campbell & Fiske, 1959). The measurement of convergent validity generally takes the average extracted variance (AVE) and combined reliability (CR) of the observation items. The confirmatory factor analysis results show that the AVE values of workplace incivility, harmonious work passion, and Internet addiction are all greater than 0.5.

Although the AVE value of psychological resilience is less than 0.5, it is already very close to 0.5. Therefore, it can indicate that the workplace is uncivilized and harmonious. The various factors of work passion, Internet addiction and psychological resilience can well explain the amount of variation, that is, measurement indicators can effectively represent various latent variables; the CR values of workplace incivility, harmonious work passion, psychological resilience and Internet addiction are respectively The values are 0.904, 0.912, 0.897, 0.901. According to the analysis, the results of the data are within the acceptable range of convergent validity and meets the research requirements (refer to Table 4.4).

When the discriminative validity test is performed, it is reflected by the correlation coefficient matrix between the variables. When the common variance of the model index and its latent variable is larger than the common variance of the latent variable and other latent variables, it indicates that the measurement model has better discriminative validity (Koufteros, 1999).

After data analysis, it is found that the AVE square roots of workplace incivility, harmonious work passion, Internet addiction, and psychological resilience are all greater than the correlation coefficients between the variables, which shows that the data in this study has good discriminative validity (refer to Table 4.5).

4.3 Analysis of structural equation model

Through the establishment of a structural equation model to test the direct relationship between the data, it mainly explores whether there is correlation and significance between Internet addiction, harmonious work passion and psychological resilience.

It can be seen from Table 4.6 that χ^2/df is 0.951, which is less than 3, SRMR is 0.024, which is less than 0.05, GFI and AGFI are both greater than 0.8, NFI is greater than 0.8, IFI is greater than 0.8, and CFI is greater than 0.8. , RMSEA is 0.000, which is less than 0.08. Each fitting index meets the general research criteria, so it can be obtained that the structural model has a good model fit.

It can be known from Table 4.7 that the path coefficient from Internet addiction to harmonious work passion is -0.314, and the p-value is significantly correlated at the level of 0.001. Therefore, the negative influence of H1 Internet addiction on harmonious work passion is supported; the path coefficient from harmonious work passion to psychological resilience is 0.458, and the p-value is significantly correlated at the level of 0.001. Therefore, the positive impact of H2 harmonious work passion on psychological resilience is supported (refer to Table 4.7).

Table 4: Results of CFA

Variables	Estimate	AVE	CR
	.668		
	.760		
	.733		
Workplace incivility	.744	.574	.904
	.768		
	.836		
	.782		

Table 4: Results of CFA (cont.)

Variables	Estimate	AVE	CR
	.782		
	.783		
	.734		
Psychological resilience	.791	.597	.912
	.741		
	.790		
	.785		
	.577		
	.789		
	.696		
	.770		
Harmonious work passion	.661	.494	.897
	.618		
	.762		
	.718		
	.706		
	.753		
	.751		
	.770		
	.657		
Internet addiction	.727	.534	.901
	.735		
	.690		
	.755		

Note 1: The above factor loading estimates are all standardized coefficients.

Table 5: Results of Discriminative Validity

Variables	1	2	3	4
1. Workplace incivility	.757			
2. Psychological resilience	-.163**	.773		
3. Harmonious work passion	-.274**	.673**	.703	
4. Internet addiction	.183**	-.548**	-.283**	.731

Note 1: * is significant at the 0.05 level, ** is significant at the 0.01 level, *** is significant at the 0.001 level.

Note 2: The diagonal is the square root value of each variable AVE.

Table 6: Fitting Indexes of Structural Equation Model

Fitting index	χ^2	*df*	χ^2/df	RMSEA	SRMR	GFI	AGFI	NFI	IFI	CFI
Indicator criteria	–	–	<3	<.08	<.05	>.80	>.80	>.80	>.80	>.80
Model indicators	236.8	249	.951	.000	.024	.953	.944	.955	.997	.999

Table 7: Analysis Results of The Structural Educational Modeling

Path	Coefficients	*p*-value	Hypothesis	Results
Internet addiction → harmonious work passion	-.314*	.028	H1	Supported
Harmonious work passion → psychological resilience	.458***	.000	H3	Supported

Note: * is significant at the 0.05 level, ** is significant at the 0.01 level, *** is significant at the 0.001 level.

4.4 Regression analysis

This study uses linear regression to test the moderating effect of psychological resilience, with gender, age, nature of work unit, current working age, and education level as control variables. Examine the moderating test of H3 workplace incivility to harmonious work passion and psychological resilience (see Table 8).

M1 from Table 8, it can be seen that the control variable can explain the 20.6% variation of psychological resilience, and M2 is adding the independent variable harmonious work passion and adjustment. After the variable workplace incivility, it can explain 50.7% of the variance of Internet addiction, the standardized coefficient of psychological resilience (β estimator) for harmonious work

passion is 0.603***, and the standardized coefficient of psychological resilience (β estimator) for workplace incivility, it is 0.083* and the F estimator is 59.709***, both significant.

M3 can explain 56.5% of the variance of psychological resilience after adding the interaction item of workplace incivility and harmonious work passion, and the standardization of psychological resilience by harmonious work passion The coefficient (β estimator) is 0.534***, and the normalized coefficients (β estimator) of the interaction terms of workplace incivility, workplace incivility and harmonious work passion for psychological resilience are respectively .038 and -0.252***, and the F estimator is 65.864***, it is concluded that psychological resilience plays a negative role in regulating the relationship between workplace incivility and Internet addiction (refer to Table 4.8).

In order to further explain the moderating effect of workplace incivility, this study conducted a simple slope test based on the data in Table 4.6 and drew a simple effect analysis diagram. From Figure 2, it can be seen that in the low harmonious work passion.

Although the high workplace incivility group is higher than the low workplace incivility group, the high workplace incivility group is significantly lower than the low workplace incivility group at the time of high harmonious work passion, so the high workplace incivility will negatively regulate harmonious work The impact of passion on psychological resilience (refer to Figure 4.1).

4.5 Results of analysis

In this study, employees (doctors, nurses, and technicians) in private and public hospitals in Huai'an City, Lianyungang City, Taizhou City, Jiangsu Province and other places were used as the survey subjects for this study, and the survey was collected using online questionnaires.

Table 8: The Moderating Test of Workplace Incivility in The Relationship Between Harmonious Work Passion and Psychological Resilience

Variables/Models	**Psychological resilience**		
	M1	M2	M3
Gender	.258***	.125**	.112**
Age	.260**	.206**	.198**
Education	.017	-.024	-.019
Nature of work unit	-.033	-.062	-.052
Tenure	.036	-.032	-.027

Table 8: The Moderating Test of Workplace Incivility in The Relationship Between Harmonious Work Passion and Psychological Resilience (cont.)

Variables/Models	Psychological resilience		
	M1	M2	M3
Harmonious work passion (HWP)		.603***	.534***
Workplace incivility (WI)		.083*	.038
HWP × WI			-.252***
Adj. R^2	.206	.507	.565
Adj. ΔR^2		.301	.058
F	21.735***	59.709***	65.864***

Note 1: The dependent variable is psychological resilience.

Note 2: The coefficients appearing in the above table are standardized coefficient β estimates.

Note 3: * is significant at the 0.05 level, ** is significant at the 0.01 level, *** is significant at the 0.001 level.

Note 4: In gender, 1 represents male and 2 represents female; in age, 1 represents 18-25, 2 represents 25--30, 3 represents 30-35, 4 represents 40-45, and 5 represents 45-plus Within ~50, 6 means above 50~55, 7 means above 60; education level 1 means technical secondary school and below, 2 means junior college, 3 means undergraduate, 4 means master's degree and above; 1 means public institution in the nature of the work unit Hospital, 2 represents a private hospital; 1 represents less than 1 year, 2 represents more than 1 year to less than 3 years, 3 represents more than 3 years to less than 5 years, 4 represents more than 5 years to less than 10 years, 5 represents More than 10 years.

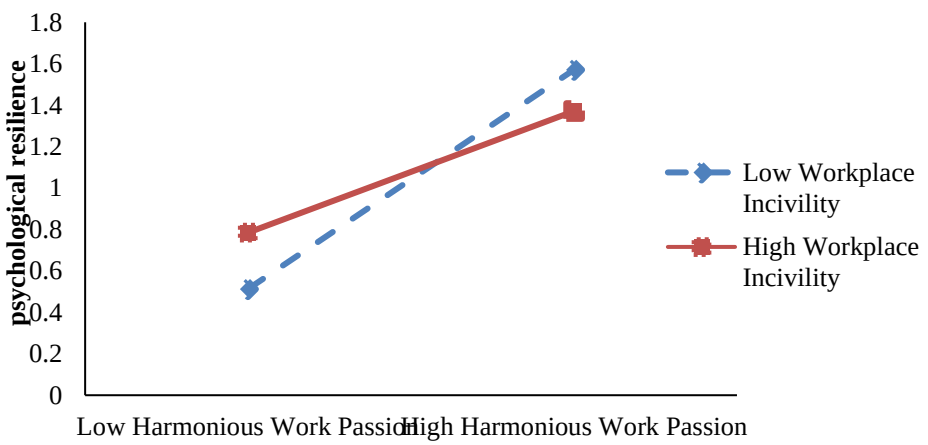

Figure 2: The moderating effect of workplace incivility between harmonious work passion and psychological resilience

After collecting the questionnaire, we used regression analysis and structural equation model to analyze the data in the questionnaire, and analyzed the correlation between the four variables of workplace incivility, harmonious work passion, psychological resilience, and Internet addiction, and focused on the discussion of Internet addiction. How does addiction lead to low employees' psychological resilience through harmonious work passion and the adjustment effect of workplace incivility? In the end, this article draws the following results: 1) Internet addiction negatively affects harmonious work passion; 2) Harmonious work passion positively affects psychological resilience; (3) Workplace incivility is negatively moderation between harmonious work passion and psychological resilience.

Integrating the above structural equation model and regression analysis, the results of the various research hypotheses obtained, draw the overall research results of this research, see Figure 2.

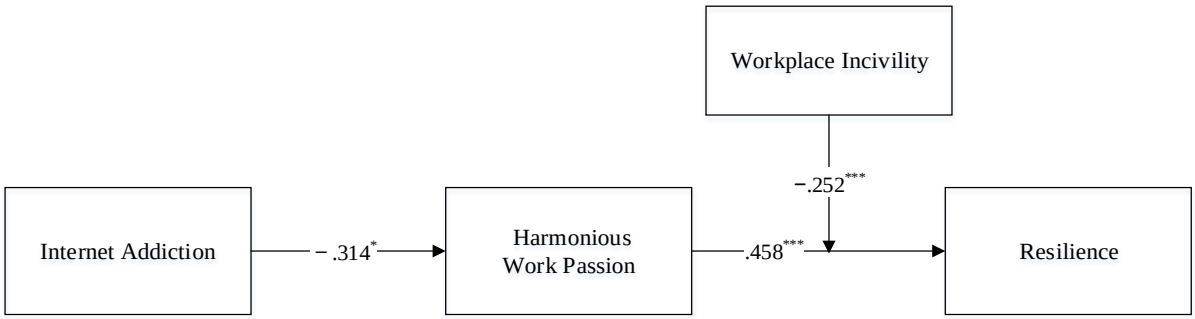

Figure 3: Diagram of Research Results

Note 1: * is significant at the 0.05 level, ** is significant at the 0.01 level, *** is significant at the 0.001 level.

5. Conclusion

According to the research results of section 4, it can be known that employees with high Internet addiction cannot control their use of the Internet, they are constantly addicted to the Internet and cannot extricate themselves. Excessive energy is wasted on mobile entertainment, which leads to the inability to devote energy to work. Further reduce their own harmonious work passion, which leads to a decrease in psychological resilience. At the same time, the research results also found that when employees are treated with workplace incivility, they will think that their boss or colleagues are degrading or ostracizing them. Employees who are excluded from work are vulnerable to lower self-esteem and lower sense of control in social interactions, leading to Employees can't concentrate on work, reducing their own harmonious work passion, and may show lower psychological resilience.

This research is based on two different perspectives. One is from one's own reasons: Internet addiction; the other is from the influence of external adverse factors: workplace incivility will cause the decrease of employees' psychological resilience, and the result is business management.

5.1 Research recommendations

The results of this research show that employees' own Internet addiction and the influence of external factors such as uncivilized and negative situations in the workplace will have a relatively negative impact on psychological resilience. Therefore, this research suggests that companies should consider how to reduce employees' Internet addiction and restrain employees' Internet addiction. Start with the source of uncivilized behavior in the workplace.

1) How to prevent uncivilized behaviors in the workplace. According to related studies, a civilized working atmosphere will greatly reduce the occurrence of uncivilized behaviors in the workplace. The hospital management and their employees look like a human body in a coordinated manner Work; the management department formulates decisive policies and procedures to establish a framework for a civilized atmosphere in the workplace, control the behavior of medical staff, and establish an example of pleasant and civilized behavior, with the department head as the management agent. Similarly, hospital employees are the executives of the management. They obey the instructions of the management, which means that the department leaders in the hospital need to actively mobilize the working atmosphere in the department and establish an atmosphere of unity and friendship among department heads. As an example, promote the cooperation between colleagues in the department, in order to enhance the relationship between colleagues, thereby reducing the occurrence of the uncivilized workplace to a certain extent (Hossny & Sabra, 2020).

2) How to reduce the Internet addiction of employees? The human resource management practices formulated by the organization can inhibit Internet addiction by inducing employees to focus on their work. The focus of work can be turned into the happiest moment in an individual's life. The implementation of an effective and high-performance work system provides employees with many incentives and safeguards and conveys the organization's trust and support to employees, which can be improved by improving employees. The psychological experience and inner feelings of the employees can restrain employees' Internet addiction. Therefore, companies should appropriately reduce the rigid assessment methods and rigid dogmatic management systems that are eager for quick success and a quick profit, actively pay attention to the psychological experience and emotional needs of employees, formulate and implement scientific and reasonable human resource management

practices, and give employees more autonomy and participation in decision-making rights. The principle of the right person for the job and the right person for the job can maximize the motivation of the employees and increase their focus on work.

5.2 Limitations

Although this research has achieved some valuable results, it also has certain limitations, which can be further improved and strengthened in future research.

1) The results of this study are limited to doctors, nurses, and technicians in the medical industry. It does not mean that other industries also have the same influence mechanism. Moreover, with resource constraints, the subjects of the survey are only urban hospitals. Medical staff, employees of organizations with other characteristics (for example, township hospitals) are not considered. Therefore, in the follow-up research, you can consider increasing the number of employees in township hospitals to conduct surveys. Similarly, future research can also consider including other industries in the survey and analysis.

2) The method of questionnaire survey. Since the epidemic is still in a serious state, this study mainly uses online questionnaire surveys to conduct questionnaire surveys. The data collection and analysis methods are relatively simple. Therefore, this study suggests that interviews can be considered in future surveys. To further understand the actual situation in-depth with the research methods.

3) The variables involved in this research only choose a single dimension to discuss and do not make the research hypothesis of the mediation model. Therefore, this research suggests that subsequent research can consider in-depth discussion of the framework constructed by this research, and choose multiple dimensions to explore the framework of the relationships between variables.

4) This study is only a cross-sectional study, and only the interrelationships of the current research variables can be observed. If you consider the changes in the time sequence of causality to observe, what changes will exist between these variables, and it needs to be tracked. Let's explore further. In the later research, you can consider exploring in the way of longitudinal research design. For example, one time is to measure whether the research subjects have suffered uncivilized treatment in the workplace in the past period of time and then to measure their psychological resilience in two weeks. Phase research to explore whether they will reduce their psychological resilience after being uncivilized in the workplace.

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悖论式领导对企业创新绩效的影响研究
THE INFLUENCE OF PARADOXICAL LEADERSHIP ON ENTERPRISE INNOVATION PERFORMANCE

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摘要

在当今激烈的商业竞争中，企业的经营环境纷繁复杂，工作中随时会出现新的矛盾从而产生新的悖论。然而悖论的本质认为万事万物皆有正和反两面，这两面同时存在、相互斗争，却也是联系甚至是统一的平衡关系。本文通过梳理悖论式领导的已有研究，分析其现有研究的不足，运用阴阳哲学力求拓宽悖论式领导的现有理论，提出本研究的假设：悖论式领导对企业创新绩效具有正向影响。借鉴国内外相对成熟的相关量表对各变量的测量题项进行设置，形成初始量表，通过小组访谈法的方法对量表题项进行精简，净化量表测量题项，最终确定了正式量表，据此设计了本研究的调查问卷。应用文献研究法、问卷调查法、实证研究法等，分析得出悖论式领导对企业创新绩效具有正向影响。

关键词: 悖论式领导 阴阳哲学 创新绩效

Abstract

In today's fierce business competition, the business environment of enterprises is complex, and new contradictions will appear at any time, resulting in new paradoxes. However, the essence of paradox holds that everything has positive and negative sides, which exist and struggle with each other at the same time, but they are also a balanced relationship of connection or even unity. By combing the existing research on paradoxical leadership, this paper analyzes the shortcomings of its existing research, and tries to broaden the existing theory of paradoxical leadership by using yin-yang philosophy; At the same time, based on high-order theory, resource-based view, organizational dual theory and other related theories, using the method of combining theoretical research and empirical research, using literature research method, questionnaire survey method and empirical research method, it is analyzed that paradoxical leadership has a positive impact on enterprise innovation performance.

Keywords: Paradoxical Leadership, Yin-yang philosophy, Innovation Performance

引言

在今天的经营活动中，会存在从表面上看来符合逻辑的前提中推导出自相矛盾的结论；也可能发现看起来不可调和的对立关系下掩藏着的是一个和谐的生态系统。当今的企业领导者们正在面对着各种难以处理的矛盾，或是看似矛盾的需求，领导者们被期望：既要做更多

授权，又要其加强控制；既要布置员工独立作业，又要加强团队合作；既要不断改进现有产品，又要研发新产品；他们必须在保证企业现有竞争能力的同时， 提高企业应对外部动态环境的灵活性与创新性。应对这种悖论管理挑战，如何兼顾是领导者们对组织进行有效管理所不可缺少的。

研究目的

领导者经常面临各种组织悖论，例如在管理高层管理团队时，如何平衡结构化的管理和考虑下属需求之间的矛盾。但他们最关心的是未来组织成功的企业发展。道教的阴阳哲学认为宇宙是一个动态的、和谐的、不断变化的系统。与宇宙系统中的所有实体一样，公司随着其相互关联的环境要素而变化。因此，要理解企业发展中的悖论及其管理，就必须同时考虑时间和环境的力量。也就是说，领导者在考虑股东、利益相关者和其他外部集体力量、社会实体和环境机构的需求时，必须同时考虑当前和未来的成功。因此，当基于推翻过去来创造未来时，他们必须管理多个新出现的悖论。在今天的经营活动中，会存在从表面上看来符合逻辑的前提中推导出自相矛盾的结论；也可能发现看起来不可调和的对立关系下掩藏着的是一个和谐的生态系统。当今的企业领导者们正在面对着各种难以处理的矛盾，或是看似矛盾的需求，领导者们被期望：既要做更多授权，又要其加强控制；既要布置员工独立作业，又要加强团队合作；既要不断改进现有产品，又要研发新产品；他们必须在保证企业现有竞争能力的同时，提高企业应对外部动态环境的灵活性与创新性。应对这种悖论管理挑战，如何兼顾是领导者们对组织进行有效管理所不可缺少的。

随着知识经济和网络经济的兴起，技术生命周期快速缩短，技术环境日趋复杂，新技术研发和商业化的难度加大。在中国全面推进供给侧结构性改革的大背景下，引导企业合理规划创新战略、兼顾长短期发展，是推进企业取得市场领先地位、实现经济结构转型和产业升级的必经之路。企业既需要通过“利用式创新”实现对现实利益的获取，同时还要具备远景观念，通过“探索性创新”积极开拓新技术，具备长期竞争的优势。技术创新方式的选择，与企业高管的领导行为有着密切联系。

综上所述，企业高层管理者需要具备处理各种悖论关系的能力，进而来抉择企业技术创新的战略及方式，以使企业获得短期经营效益的同时，拥有长期发展的潜力。悖论式领导是否会促进企业的双元创新？能否提高企业的创新绩效都是本文所关注的内容。

文献综述

悖论式领导

目前，学界对悖论式领导的研究尚处于起步阶段，研究者对于悖论式领导概念的界定比较少，尚未达成共识。主要集中在以下三个视角：

第一类观点是基于特质与认知视角。这种观点认为悖论式领导采用“二者都”而不是“二选一”的思维方式（Smith & Lewis，2011），认为领导者所具有的自我复杂性和情绪调节特质，为领导者识别、接受和整合矛盾提供认知框架（Waldman，2001）。

第二类观点是基于行为视角。这一观点强调悖论式领导所展现出看似矛盾实际上却相互联系的行为，这种行为是为了满足同时和持续存在的相互矛盾的工作场所的需要（Zhang et al., 2015; 罗瑾琏 et al.，2015，2017）；认为高绩效期望和高管理支持的领导行为。

第三类观点能力视角。该定义强调悖论式领导超越矛盾的能力，具体表现为接纳能力、差异化能力和整合能力（Smith et al., 2011）。接纳能力强调领导者保持开放的心态接纳

悖论，承认相互竞争的需求是组织内在组成部分，学会与它们相伴相生。差异化能力侧重于认识每个备选方案的区别及独特贡献，而整合能力则是通过发展信任、开放的文化，寻求各备选方案之间的协同效应（刘燕君等，2019）。综上，由于研究视角的不同，学者们对悖论式领导的概念尚未达成统一认识。

借鉴以上学者对悖论式领导风格的研究成果，本研究将悖论式领导界定为领导者接纳组织中存在的悖论，根据情境需要，采用看似矛盾实则相关的领导行为，来实现组织战略规划。

为了描述行为的两个方面，本文借鉴 Zhang et al. (2015) 的观点，使用 “既……又……” 术语来描述五个行为维度，具体包括：(1) 既保持距离又拉近距离; (2) 既同等对待下属又允许个性化; (3) 既坚持自我又兼顾他人; (4) 既强制执行工作要求又允许灵活性; (5) 既维持决策控制又允许自主性。

既保持距离又拉近距离。领导者分配垂直结构关系来定义他们与追随者在地位、等级、权威和权力上的距离 (Antonakis & Atwater, 2002)。然而，尊重追随者自身的意愿，本质上需要将身份差异最小化，并搭建密切的人际关系 (Antonakis & Atwater, 2002)。即管理者不强调地位差异，保持冷漠，避免形成人际关系。事实上，领导者行为如何影响追随者，以及追随者如何评价行为，取决于领导者与追随者之间的亲密度和距离之间的平衡 (Howell, Neufeld，& Avolio, 2005)。然而，领导-成员交换 (LMX) 表明，密切的关系可以提高下属积极的工作态度和行为。领导与成员的亲密度也可能破坏追随者对领导者的魅力属性。因此，领导者需要保持距离，同时建立人际关系。为了处理层级距离和人际关系亲密的矛盾，主管“不仅仅把员工当作下属”(引用自我们下面的一次访谈)。他们在处理工作问题时保持等级区分，同时形成密切的人际关系。

既同等对待下属又允许个性化。为了将一致性作为一种关键原则，以其在社会群体中的成员身份来对待人们，领导者可能会将下属分配到具有相同特权、权利和地位的同质职位，而不表现出偏袒 (Lewis, 2000)。然而，这种统一性可能使他们失去人格，剥夺他们独特的个人身份。已有的领导理论建议以独特或个人的方式对待下属，如通过变革型领导的个性化考虑和群体内的差异化 (Boies & Howell, 2006) 领导者可以协调一致性和个性化。

既坚持自我又兼顾他人。结构导向意味着领导者是影响的中心，而考虑他人意味着领导者关心或尊重他人。关心他人被认定为更具有伦理道德 (Jones et al., 2007)，而以自我为中心、傲慢和不关心他人被视为自恋的标志 (Galvin et al., 2010)。一些研究人员呼吁组织应拓宽其层级结构，采用共同领导或集体领导的方式。然而，领导者有潜力协调自我中心和他人中心。例如，高度自信、渴望成为关注中心的领导者，即“生产性自恋者”，可以同时表现出谦卑和对他人价值的认可 (Rosenthal & Pittinsky, 2006)。虽然团队成员角色很重要，而以层级为基础的领导仍然发挥着重要的作用: “共享领导并不排斥其他领导形式和行为，但可以同时参考其他方法，如垂直领导”。简而言之，悖论导向的领导者或许能够保持他们的核心影响力，同时与追随者分享认可和领导力。

控制和自治，纪律和授权，以及权威和民主 (Lewis, 2000)，表明了两个不同的方面:行为方面的控制和灵活性，以及决策方面的控制和自治。控制分为两类:行为控制，即用纪律和要求来规范下属行为;输出控制，在决策中运用权威来确保下属的工作成果。

因此，我们提出了这样两个维度: (a) 既强制执行工作要求又允许灵活性。(b) 既维持决策控制又允许自主性。即领导者在工作过程中控制下属的行为和决策，同时给予员工灵活自主的自由裁量权。

创新绩效

创新绩效作为组织绩效的一种特定形式，主要是用来评价企业日渐增多的创新活动的效率和效果。熊彼特提出“创新”一词，将创新表述为与过去不一样的新奇的产品、生产方法、市场或供应来源。经济合作与发展组织将创新划分为产品创新（关于产品或服务的属性以及拓展功能的显著改善或创造）、过程创新（改善组织效率的工具）、营销创新（帮助企业恢复市场中的地位、增加销售收入的渗透市场的活动）和组织创新（拓展公司能力和愿景、提高员工满意度等组织转型活动）。学者们对于创新绩效内涵和外延的维度也纷纷进行了划分，大致可以归纳为基于过程的划分和基于结果的划分。

Meeus 和 Oerlemans (2000) 基于创新过程视角上，指出企业的创新绩效是产品和过程的创新，企业通过创新实现组织的经济绩效。Hagedoom 和 Cloodt (2003) 提出从创新思想的产生到产品改进或创造的整个过程所取得的成就就是创新绩效。Atuahene-Gima (2005) 认为创新绩效是企业绩效的提升，不过这种提升的手段不同以往，是企业开展创新的手段将产品或过程进行改造而实现的。Alegre (2008) 将创新的过程划分为用户需求响应度、产品品牌知名度、产品利润率以及产品市场竞争力四方面来衡量创新绩效。Kimer et al.（2009）等认为员工培训、技术预测和利用也可以算作为非研发创新绩效的一部分。Linton (2009) 将创新绩效分为生产过程和产品 / 服务改变的技术创新，和新社会系统引入的社会创新两大维度。Prajogo 和 Ahme（2010）认为创新绩效指产品创新的成果和种类以及变革的速度。Hervas-Oliver et al.（2011）指出非研发创新的绩效包括外部知识的搜索和而获取、人力资源的团队建设和创新管理等。郑刚等(2014)认为创新绩效并不仅限于企业的研发创新，比如市场、管理和制度等也属于创新绩效的一部分。沈克正 (2017) 将企业的创新绩效表述为知识管理、创新过程、投入产出、创新能动、市场导向和组织沟通六大维度。

基于创新结果视角的研究存在狭义和广义两方面，广义上讲，创新绩效反映了企业的实际产出，而狭义的创新绩效指组织的创新结果，如技术创新绩效或研发创新绩效等，如企业研发的专利、新推出的产品或是新的工艺流程。于晓敏 et al.（2017）认为创新绩效是资源的增殖，是资源要素所获取的效率的提升。孙善林和彭灿（2017）认为创新绩效包括显性、隐性和协同三个维度。王旭超 et al.（2018）基于互联网行业的特征，将创新绩效概括为以下六种：新产品开发成功、用户规模增加或粘性增加、企业业绩提高、企业服务体系更加完善和服务效率得到提升。

阴阳哲学

阴阳是中国哲学基本范畴，哲学中的阴阳并非实体物质，也并非事物所固有的客观本质，而仅仅表示事物间的一种对应关系，这种对应关系拿今天的话来讲，就是要在参照系中描述事物。在没有参照物的情况下，就是“混沌”，一旦有了参照物，“一”就“出现”了，“二”也随之“出现”。所谓“一分为二”同时又“合二为一”。万事万物都有一太极，即阴阳。阴阳无限可分；阴阳也无限可合。阴阳学说的核心是“变”。“变（化）”是阴阳学说的精髓。“万物负阴而抱阳，冲气以为和”。阴阳对立、阴阳交感、阴阳相推，最终维持一种平衡，正如太极拳中对阴阳的理解一样。陈鑫《太极拳图说？太极拳弄圆歌》：“我有一丸，黑白相和；虽是两分，还是一个。大之莫载，小之莫破；无始无终，无右无左。”变化的核心实际上又是不变。《老子》第 2 章：“天下皆知美之为美，斯恶矣。……故有无相生，难易相成……。是以圣人处无为之事，行不言之教，万物作焉而不辞。”第 5 8 章：“祸兮福之所倚，福兮祸之所伏？”这都是阴阳相对运作的结果。“祸福同门”的意思就是不动心。六祖慧能棒喝慧明法师时说：“不思善、不思恶，哪个是惠明本来面目？”这与《老子》的负阴抱阳有异曲同工之妙。不思

善、不思恶、不思亦不思，从而清静、无为、无言、忘言，如此则滴水中含摄万象，于不动道场转大法幢。所以在阴阳变化中有个不变化的东西，可以叫做 “本体” 或 “道”。变与不变反映了阴阳之间深刻的辩证关系。《老子》说：“道生一，一生二。”

从产生时间和流传时间而言，阴阳论时间久、范围广，而辩证法虽然在欧洲也有很多年的历史传承，但进入中国仅是新文化运动前后。二者的内涵也不一样。阴阳论的实质，乃是本体论。此之本体，在《易经》曰“易”，在《老子》曰“道”。所谓“一阴一阳谓之道，阴阳不测谓之神”。而辩证法，偏向于逻辑学角度作为工具而出现。当然，两者之间确实也有相通之处。南怀瑾先生《易经杂说》中分析“错”、“综”、“复”、“杂”四种卦象关系时指出，“易以道阴阳”，这个阴阳变化的逻辑范畴达到了“四面、八方”（“八卦”）之多。事物发展变化中不但在纵向上形成上下之对应对比，在横向上出现左右之相反相合，并在时间序列上出现前后的对照反差，进而其自身又出现内外之变化，它是一种多维、动态、系统性、整体性、乃至于全息性地来观照万物的一种系统理论。当然这种理论有时候也可以看起来很简单。而辩证法之“正、反、合”、“否定之否定”、“对立统一规律”、“扬弃”等内涵相比而言是有共通之处的，所以在中西互释中经常拿来作为典范。

高阶理论

高阶理论的核心观点是，企业战略及效果等组织产出是企业高管价值观念和认知的反映（Hambrick and Mason,1984;Hoffm and Hegarty,1993）。具体来说，高层管理者会对他 / 她所面临的组织情境做出高度个性化的解释和选择；高层管理者的行为是认知、价值观、经验等个性特征的反映；高层管理者决定着组织战略的形成，也影响着组织中其他成员的行为（陶建宏等，2013）。高阶理论的验证和应用，需要在个人、组织和环境等多维度综合考察，涉及心理学、社会学及战略和经济学等多学科。高管心理过程对战略选择的影响需要被进一步揭示，高管搜寻、解译、分析、运用信息的机制应被特别关注正如（Hambrick, 2007）所总结的，高阶理论自被提出以来，在多领域得到了广泛应用。从资源基础观出发，Ireland et al.（2003）认为高层管理者有效分配和管理资源的能力与企业创新有密切联系。Kwee et al.（2011）检验了高管团队公司治理模式对战略更新路径的影响，研究认为盎格鲁－撒克逊公司治理模式更有可能推进利用性和外生性战略更新路径，莱茵公司治理模式更有可能促成探索性和内生性战略更新路径。Hoffman and Hegarty（1993）研究了高层管理者对产品创新、市场创新和管理创新的影响，认为领导的专业知识与企业的产品创新和市场创新成果有较强相关性，领导的一般管理能力、外向型专业能力和搜索活动等特征对产品创新和市场创新具有较强相关关系，而领导的一般管理能力、内向型专业能力、资源获取能力和计划控制活动与管理创新有较强相关关系。Guo et al.（2013） 实证检验了商层管理者的管理技能、创业技能和管理连带对商业模式创新的正向作用。也有学者开始从领导的个性角度探讨其与企业战略之间的关系。综上所述，在高阶理论不断被研究应用的情况下，回归到高阶理论的本源，直接从领导的认知因素替代甚至表示领导因素，考察领导其对企业战略选择和绩效影响的研究还相对较少，己成为当前学术界面临的新挑战（Hambrick, 2007）。

研究方法

研究采用理论研究与实证研究相结合的方法。在研究过程中，主要是在已有研究理论基础上，结合新创企业的特点及情境进行逻辑推演，然后运用适当的定量分析方法加以验证。因此本文采用的研究方法主要有：文献研究法、问卷调查法、实证研究法等。

一、文献研究法

文献研究是开展学术研究必不可少的方法之一。在构建理论模型和研究框架之前，本文首先对相关的基础理论进行梳理与归纳。通过对文献的筛选、阅读和整理，主要对组织双元理论、高阶理论、资源基础观等理论进行梳理与总结，发现已有理论与研究问题的结合点。同时，对双元创新、多层级网络结构及新创企业绩效的相关研究文献进行梳理和总结，以探究现有研究的贡献及不足之处，为本文的后续研究奠定理论基础。

二、问卷调查法

本文主要是运用问卷调查法收集研究所需数据。在文献研究的基础上，构建本研究的理论模型，并提出相应的研究假设。按照问卷设计的方法和逻辑，设计调研问卷，同时开展实地调研，收集研究所需数据。

三、实证研究法

按照现有科学理论提出研究设计，并根据所观察或收集到的数据，确定条件与现象间因果关系。本文基于文献调研的相关成果，构建理论模型，提出研究假设，进而通过问卷调查获取所需研究数据，严格验证相关推测，科学得出研究结论。

研究结果

有较多学者对于管理者特质的角度进行了研究。从领导者特征对企业绩效的影响上来说，March（1991）认为，要想有效地实现高绩效，必须发挥领导平衡各方力量的能力。企业充分采取单一性的探索性创新活动，可能会造成实验成本过高而经济收益甚微的高风险境地，相反地，仅仅只重视利用式创新活动，可能会使组织陷入永远达不到最优绩效的次优水平从而丢掉领先优势。相关学者发现企业的核心刚性与能力陷阱，正是因为管理者固化企业自身的资源和能力水平，不断强调企业现存的技术与能力而产生的；领导者过于过分强调探索或许可以提高组织不断创新能力，但与此同时也是高风险的，很可能使企业陷入探索性活动反复失败的无限循环。对于企业存在的看似矛盾但相互关联、相互依赖的要素间的持续性冲突的管理者，即能够有效解决企业悖论冲突的管理者，企业效率通常较高，从而企业绩效通常有着更优异的水平（Levinthal 等，1993）。

由此，本文得出假设：

H1:悖论式领导对企业创新绩效具有正向影响。

H1a:悖论式领导对企业产品创新绩效具有正向影响。

H1b:悖论式领导对企业流程创新绩效具有正向影响。

针对本文的研究，每个变量都结合现有文献的理论研究，提炼总结并适应中国情境所设计出的测量指标。本文的研究变量都是一个程度的概念，而且这些因素很难通过定量的客观数据来衡量。另外本研究涉及的变量难以用客观数字描述，各种组织行为难以进行客观对比。因此，尽管主观打分的方式容易存在一定的主观偏误，但是本次问卷设计的所有度量指标均采用李克特 5 点计分法。问卷要求回答者按“1”至“5”之间的数字来衡量特定问题符合实际情况的吻合程度，“1”表示“完全不同意”，“2”表示“不同意”，“3”表示“不确定”，“4”表示“同意”，“5”表示“完全同意”。

悖论式领导采用 Zhang et al. (2015) 基于东方阴阳哲学观编制的测量量表，共 5 个维度，22 个题项。子维度分别为:既保持距离又拉近距离 (4 个题项)、既维持决策控制又允许自主性 (4 个题项)、既同等对待下属又允许个人化 (5 个题项)、既强制执行工作要求又允许灵活性 (4 个题项)、整合自我中心与他人中心 (5 个题项)。既保持距离又拉近距离的示例题目为：“既表

现出，上下级的职位差别，同时又考虑下属面子”; 既维持决策控制又允许自主性的示例题目为: “控制工作上的重要问题，但细节交给下属决定”; 既同等对待下属又允许个人化的示例题目为: “给下属分配相同的工作量，同时在不同的工作任务.上会考虑每个人的长处和能力”; 既强制执行工作要求又允许灵活性的示例条目为: “工作上要求严格，但同时允许下属犯错误”; 整合自我中心与他人中心的示例条目为: “要求别人尊重自己，但同时表明别人也值得尊重”。

对创新绩效测量方法的选取，需要依赖所研究的视角。基于研发绩效的视角， Chen（2012）将创新绩效的测量指标选取为“企业专利转化数量占企业专利授权数的百分比”，Stek & Geenhuizen（2015）将创新绩效的测量指标选取为“企业专利申请数”；基于非研发绩效的视角，Kimer & Kinkel (2009) 将创新绩效的测量指标选取为“人力资源管理、团队工作建设、外部知识搜索等管理工具”，郑刚 et al.（2014）将创新绩效的测量指标选取为“市场创新、管理创新、制度创新等”；基于财务绩效的视角，Adner & Kapoor（2010）将创新绩效的测量指标选取为“新产品销售率”，王一卉 et al.（2013）将创新绩效的测量指标选取为“企业新产品产值与企业全部产值之比”；另外，Klassen & Menor (2007) 将创新绩效的测量指标选取为“产品在对用户需求响应度、品牌知名度、市场竞争力以及获利能力的提升”；Hagedoorn & Cloodt（2003）将创新绩效的测量指标选取为“研发投入、专利数量、专利引用次数和新产品数量”；钱锡红 (2010)将创新绩效的测量指标选取为“新技术或工艺、新产品研发成功率、市场反应、新产品或服务”。

本研究的调查时间为 2021 年 3 月 1 日至 2021 年 5 月 15 日，为期两周时间，共回收调查问卷 500 份。以无效问卷标准 (1.不符合样本需求的问卷，即被筛选题项自动去除的问卷；2.作答不认真的问卷，包括连续 5 个题项以上选择同一答案，或使用同一 IP 地址多次作答的问卷。) 筛除无效问卷后剩余有效问卷数量为 444 份，有效回收率为 88.8%。 本次调查中 51.8% 被调查者为女性，48.2% 被调查者为男性。从被调查者的教育背景上看，被调查者具备大专以下学历、本科学历、硕士研究生学历以及博士研究生学历的人分别占 23.2%、54.3%、14.2% 和 8.3%。在现公司的工作年限方面，被调查者的在现公司的工作年限主要集中在 1-3 年，为 34.9%。进一步探讨所在公司的成立年限，最多为 3 年以下的企业，为 32% 现公司员工人数占比最大为 201-500 人，占 27%。所在公司的公司性质最多为中外合资企业，占比 25%。现公司的行业性质最多的是环保新能源类，占比 17.1%。

本文采用层次回归，先进行主效应的假设检验。检验悖论式领导对产品创新和流程创新的影响，分别将产品创新和流程创新设置为因变量，性别、学历、您在现在公司的工作年限、您现在公司成立的年限、您现公司的员工人数、您现公司的公司性质和您现公司的行业类型为控制变量，悖论式领导为自变量进行回归分析。通过回归分析，构建了两个模型 M1 和 M2。由数据可知，由悖论式领导与产品创新组成的回归模型 F 统计量为 31.183，且回归效果显著，因此回归模型的设定是合理的。调整后的 R2 为 0.066，意味着在线口碑能解释购买意愿变异的 6.6%。悖论式领导的回归系数为 0.265，且在 0.001 水平上显著，说明悖论式领导对产品创新有正向影响，从而验证了 H1a。由悖论式领导与流程创新组成的回归模型 F 统计量为 28.430，且回归效果显著，因此回归模型的设定是合理的。调整后的 R2 为 0.054，意味着在线口碑能解释购买意愿变异的 5.4%。悖论式领导的回归系数为 0.259，且在 0.001 水平上显著，说明悖论式领导对流程创新有正向影响，从而验证了 H1b。

研究结果与讨论

本文以高阶理论为基础，结合阴阳哲学，提出了三个假设悖论式领导对企业创新绩效具有正向影响；悖论式领导对企业产品创新绩效具有正向影响；悖论式领导对企业流程创新绩效具有正向影响。经实证检验，三个假设均得到验证。

对比前人的研究成果,本研究在以下方面有所进展：

本文剖析了悖论式领导与企业创新绩效提升之间的内在机理,构建起了“悖论式领导——企业创新绩效”的理论逻辑,提出本研究的逻辑主线：一是企业实现创新竞争力的重中之重在于推动企业识别创新机遇以及有效的创新活动；二是来本文基于高阶理论，通过实证检验悖论式领导对企业创新绩效的影响研究。对丰富悖论式领导与创新的关系研究具有一定创新性。

创新点一所阐述的逻辑主线中存在以下构念：悖论式领导行为作用于企业创新绩效提升；事实上,为实现上述的关键构念，本研究是建立在两个具体概念阐释的基础之上：一是明确悖论式领导的概念界定与测量的维度。本研究在梳理相关文献的基础上，针对悖论式领导进行了详细地剖析；二是判断悖论式领导行为的几个维度分别有针对性地影响了企业创新绩效,在此影响过程中具有不同的作用机理。

对于悖论式领导行为对双元创新的影响研究多集中在个体和团队层面，在组织层面视角去分析的较少。本文基于高阶理论，通过实证检验悖论式领导对企业创新绩效的影响。对丰富悖论式领导与创新的关系研究、完善企业创新理论具有一定创新性。

研究结论

本研究得出悖论式领导行为对企业创新绩效具有正向影响的结论。此结论将悖论式领导行为的研究延伸到了企业创新绩效的层面。丰富了对悖论式领导再企业战略层面的研究。悖论式领导者行为可能会启发企业管理者。国际公司在全球或新的国家环境下运营时，可能会特别感受到不确定性和复杂性的影响。基于悖论的视角可以帮助管理者更好地理解如何应对不断增加的不确定性，这些不确定性往往涉及管理行为方面的竞争可能性。无容置疑，处理悖论正成为各级组织领导的一项日益重要的技能。管理和组织理论缺乏一个框架来展示如何从悖论视角来揭示其对企业创新绩效的影响。相反，人们鼓励领导者从情境角度思考，并根据诸如下属方面或组织环境等变量在行为选择中进行选择。

此外，通过在形成这种联系的过程中架起东西方思维的桥梁，我们为管理实践做出了独特的贡献。

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并购财务风险因素案例分析--以阿里并购拉查达为例
FINANCIAL RISK FACTORS IN M&A -- TAKE ALI'S ACQUISITION OF LAZADA AS AN EXAMPLE

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摘要

随着全球经济的发展，企业经济规模和业务范围不断的扩大，很多公司实施海外经济战略并在世界各地建立自己的子公司。中国企业参与全球竞争的时间较短，出于获取核心技术和分散风险等刚性战略需求使中国企业在国际上出现了并购热潮。本文以阿里巴巴并购 LAZADA 为例进行研究，根据互联网行业的特征及该行业的发展趋势，结合相关财务指标来具体分析阿里巴巴并购 LAZADA 前后的财务风险因素，数据主要来自阿里巴巴集团网 (https://www.alibaba group.com/cn/ir/secfilings) 以及同花顺财经 (http://www.10jqka.com.cn)， 运用财务指标分析法具体分析定价风险、融资风险、支付风险、金融整合风险和并购的影响因素，最后提出并购带来的财务风险的防控建议。借鉴其成功之处，为中国未来的互联网跨境企业并购提供参考。最后得出阿里巴巴并购 LAZADA 的财务风险产生影响较大的是融资风险和支付风险，最后针对并购后财务风险的总体控制进行分析评价，从中得到启示。

关键词: 跨境电商 协同效应 多元化 并购 财务风险管理

Abstract

With the development of the global economy, the economic scale and business scope of enterprises continue to expand, and many companies implement overseas economic strategies and establish their own subsidiaries around the world. Chinese companies have participated in global competition for a relatively short period of time, and due to rigid strategic needs such as acquiring core technologies and diversifying risks, Chinese companies have experienced a wave of mergers and acquisitions internationally. This article takes Alibaba's acquisition of LAZADA as an example to conduct research, according to the characteristics of the Internet industry and the development trend of the industry, combined with relevant financial indicators to specifically analyze the financial risk factors before and after Alibaba's acquisition of LAZADA, the data mainly comes from the Alibaba Group website (https://www.alibabagroup.com/cn/ir/secfilings) and Flush Finance (http://www.10jqka.com.cn), using financial indicator analysis method to analyze pricing risk, financing risk, payment risk, financial integration Risks and the influencing factors of mergers and acquisitions, and finally put forward suggestions for the prevention and control of financial risks brought about by mergers and acquisitions. Drawing on its success, it provides a reference for China's future Internet cross-border enterprise mergers and acquisitions. Finally, it is concluded that the financial risks of Alibaba's acquisition of LAZADA have a greater impact on financing risks and payment risks.

Finally, the overall control of post-merger financial risks is analyzed and evaluated, and inspiration is obtained from it.

Keywords: Cross-Border, E-Commerce, Synergy, Diversification M&A, Financial Risk Management

引言

随着中国企业实力的增强和经济增长放缓，国内市场逐渐趋于饱和，中国企业开始着眼于全球市场，海外并购是企业进军全球市场的重要方式，中国企业海外并购正处于一个蓬勃发展的新阶段。国际数据商 Dealogic 的数据显示，从 2010 年至 2016 年 4 季度，中国企业海外并购的金额和数量一直在攀升。2015 年度中国企业海外并购的金额和数量都创新了新纪录，其中并购总金额达到 1109 亿美元，这是中国年度海外并购金额首次突破 1000 亿美元的关口，也是海外并购总额连续第六年增长。2016 年前 4 个季度累计并购金额为 1739 亿美元，已经超过了 2015 全年的数额。并且，中国首次取代美国，成为全球最大的海外资产购买者。《2020 年中国企业并购市场回顾与 2021 年前瞻》显示，2020 年中国的并购活动交易金额增长了 30%，达到 7338 亿美元，是自 2016 年以来的最高水平，并购交易数量比上一年增加了 11%，跨境交易量有所减少，私募股权基金活跃度大幅上升。中国约占全球并购市场的 15%，在全球市场中扮演着越来越重要的角色。

2020 年至今，新冠疫情危机和随之而来的旅行限制，与地缘政治风险升级的叠加，进一步削弱了中国对外投资的势头。上半年中国企业共完成 128 笔海外并购交易，总交易额略超 120 亿美元，较 2019 年同比下降超过 40% (Li, 2020)。根据商务部研究院对外投资合作研究所的研究，迄今为止，中国企业跨国并购的总成功率约为 40%，高于全球。这主要因为中国企业整体比较谨慎，锁定的目标比较少，不轻易发起收购，所以第一阶段的成功率可以达到锁定目标项目的 70% 左右；此外，多数并购发生在 2008 年的金融危机之后，并购成本比较低，交割后的整合总体也比较顺利（张咏, 2012）。虽然众多企业都进行了相应的扩张策略，但经过调查研究发现很多企业在开展跨国并购后的绩效表现却不乐观，没能实现 “1+1 ＞ 2” 的正向协同效应，并购后期的资源整合不恰当甚至导致营收亏损。在这样的现实情况之下，开展中国企业海外并购的财务风险控制是当下一个重要议题，此议题的研究有利于中国互联网企业在积极走向国际化的同时学会采取相应的财务风险管控来预防海外并购所带来的损失，实现企业长久发展。阿里巴巴在海外并购活动中算是一个相当典型的成功案例，阿里巴巴在 2016 年 4 月份收购东南亚电商 LAZADA 后，年底财报显示其国际零售业务收入高达 1.68 亿美元，相较于 2015 年增长 2.5 倍，由并购活动所产生的企业效益非常显著。企业的发展不能只靠内部自身驱动，还需要依靠外部的促进作用去实现内外联动，协同发展，而外部促进的作用就是指企业通过海外兼并等方式进行扩张，其中跨国并购是最常见的一种模式，在企业实现跨国经营的同时，进行市场拓展和产品分销，进而打造市场竞争优势。并购因其交易时会产生大量的现金流，因此并购后对可能产生的财务风险控制的是否得当是判断该并购案成功与否的一项标准。并购活动中会面临诸多风险，财务风险首当其冲。而随着不断发展和创新的 “互联网+” 的出现，也会使互联网企业在并购活动面临了越来越多的可变要素。因而，对互联网企业并购活动中的财务风险探究是目前企业并购研究中的重要方向。实际上，并购是一种变相的形式融资行为 (Malcolm，2012)。在并购过程中收购时，资本需要不断地和将要收购的单位根据投入的需要进行大量财务交换的支持。这势必会增加对企业资金正常流动的财务风险影响，以及可能会对其日常财务管理造成不良后果。财务风险主要是指企业兼并过程中的职业收购的资金流动带

来的各种风险。企业的财务风险在不同的并购模式下，可以决定是否成功收购的致命因素。所以并购中更应该关注并购过程财务的流通路径以及财务风险管控。

阿里巴巴是中国最大的电子商务在线交易平台，英国《经济学人》杂志称其为“世界上最伟大的集市”，*为打开东南亚市场，阿里巴巴选择并购 LAZADA 的意义重大，代表国际在线交易平台的发展趋势，因此，本文选择了阿里巴巴并购 LAZADA 为研究案例进行说明。*

研究目的

本文经过对阿里巴巴并购 LAZADA 的案例进行剖析，通过对并购双方企业的财务风险因素、并购的财务流程介绍了阿里巴巴并购前、中以及并购后所能遇到的财务风险，由此本文研究的目的和意义有以下几点：

1. 目的: 通过阿里巴巴并购 LAZADA 对跨境电商平台进行系统分析，根据其财务流程探索海外互联网企业并购财务风险关键影响因素以及财务风险控制方法。

2. 理论意义: 本文以阿里巴巴并购 LAZADA 为例，根据海外并购的特点及财务风险因素的构成，以企业的财务风险控制为出发点进行研究，以此来摸索阿里巴巴并购 LAZADA 的财务流程路径，结合财务指标分析法研究并构建互联网公司海外并购财务风险模型，丰富了财务风险分析方法相关理论的同时也对海外互联网并购公司财务管控有了新的认识，为该领域提供了多种研究思路，进一步完善并购财务风险理论，有着非常重大的理论意义。

3. 现实意义: 通过对阿里巴巴并购 LAZADA 并购案分析。企业实施海外并购时要对被并购企业的价值做出评估，实施可行性分析，筹措并购资金，确定合理的支付方式等，每个环节都涉及到财务管理工作，由此会产生财务风险。由于财务管理工作贯穿于企业海外并购始终，所以，财务风险管控是企业实施海外并购应解决的核心首选问题。

研究中国企业海外并购财务风险因素分析，具有一定的现实意义和研究价值。一方面，有助于中国企业实施海外并购时候对财务工作的重视；另一方面，有助于企业制定合理的海外并购的财务战略规划，提高财务风险的预测能力和防范能力；同时，还有利于中国政府加强对企业开展海外并购实践的宏观指导，降低企业海外并购的风险。

文献综述

1. 多元化经营理论：为获取更大的市场份额和分散单一经营所带来的风险是企业实施多元化经营战略的主要目的。多元化经营理论认为企业通过并购其它行业中的企业实行多样化的经营有助于分散管理者和其他雇员工作风险，保护组织资本和声誉资本以及有利于获得财务和税收方面的好处。多元化经营可以降低因并购而引起的现金流量的波动，从而提高公司的负债能力 (Lewellen, 1971)。多元化经营的另一个税收优势在于可以减轻税法对单一企业收益与损失的非对称性处理带来的税收侵害，*Myers 和 Majd* (1986) 指出，非多元化企业处于税收劣势的原因是当企业收益为正时，企业要向政府交税；当企业为了分散经营风险而进行跨国并购活动时，最好选择与本企业产品周期性波动存在互补关系的企业或产品周期性波动较为稳定的企业进行并购 (Hussain & Li, 2018)。此外，多元化经营还有利于企业向新兴行业转移。若一个企业在国家内的某一行业市场已经发展了相当长的一段时间，则该企业的市场份额已趋近饱和，很难实现大幅度的增长，并且反垄断法的存在也会给企业具体的市场份额设置一个较为严格的限制，在这种情况下，企业自身的发展将受到严重阻碍。因此，企业可以实施多元化经营战略，通过并购新兴企业实现从增长速度慢、收益率低的行业向增长速度快、收益率高的行业转移，进而实现自身的进一步发展。根据多元化经营理论本文研究的多元化主要体现在以下几

点：a. 进行全球战略布局;b. 占领东南亚市场，提升市场份额;c. 抢占资源，降低交易成本;d. 提高盈利水平，改善财务绩效。

2. 协同效应理论：企业双方通过取长补短，相互促进能够使两者的联合产生 “1+1>2” 的效益，而这一效果分别体现在企业的营收情况、管理效率和技术创新这三个层面。Servaes (1991)指出企业开展并购活动对于并购双方而言均能产生较大的经济效益，双方通过在产品、技术方面的相互弥补和改进能进一步提升企业的实力。卢永琴和熊伟 (2009) 以 2000-2002 年间所发生的大型并购事件作为研究样本，构建 DID 双重差分模型来验证企业并购所带来的协同效应，研究表明企业的财务协同效应最为显著。本文中指的是阿里通过并购 LAZADA 之后能提升双方的企业绩效，进而产生 “1+1＞2” 的经营效。根据阿里所提供的年报可知，阿里在进行海外扩张之前，其国际零售业务的收入全部都是来源一全球速卖通在国际上的普及，但是所创造的营业额在整个阿里集团的营收当中占比及低，在 2015 年所披露的财报数据显示仅为 2%，然而在阿里收购 LAZADA 后所发布的第一份财务报表中显示， 阿里的国际零售业务营收得到了迅猛发展， 高达 1.68 亿美元，占比达到了 4%，相比与上年度同期增长率达 123%，而根据 2017 年阿里的年度财务报表显示。其国际零售业务额达到了 73.36 亿元，增长率达到了惊人的 232%。 阿里通过并购活动实现了经营的跨越式增长，将自身的核心业务推广至海外市场，极大丰富了企业的盈利模式，改善了财务效益，产生了协同效应。

3. 并购风险管理理论：企业并购风险管理包括识别、估计、分析和规避风险。企业并购风险管理的目的是减少风险带来的负面影响，使企业得到较大的利润。企业并购风险主要由财务风险与经营风险购成，财务风险为最关键因素。并购财务风险也是通常所说的融资风险。Healy (1992) 认为，企业并购财务风险是企业兼并或收购失败后，企业管理所需费用增加或企业市场价值下降等的可能性。杜攀 (2012) 认为，企业资本结构和企业融资对资金的需求会对并购活动造成一定的影响。从广义上讲，财务风险是指企业日常经营中，因不确定因素导致公司实际经济效益与预期经济效益不一致，致使经济效益不确定的可能性增加。汤谷良 (2002) 认为，如果企业有并购想法，企业要考虑的不仅仅是日常经营管理的风险，还要考虑并承担一定的战略目标选择风险、融资风险以及财务整合风险等。孙文军 (2002) 认为，融资方式会影响到公司股东的收益，融资方式也是合并后资本运作和日常运营所带来的财务风险的一部分。中国学者艾志群认为被并购公司定价、融资、流动性和偿还债务等作为一部分杠杆效应是并购的基本风险（艾志群，2002）。在鉴定方面，陈和爱 (1998) 建议选择合适的被并购公司的定价模型以降低定价风险。史红燕 (2003) 认为，增加未来现金流将降低偿债风险。陈传兴分析了金融风险主要采用案例研究法和杜邦方法（陈传兴，2014）。以上研究得出，现有的研究理论强调的研究财务风险，包括定价，融资、支付和整合。预防措施控制金融风险的措施只是一般性建议。因此，本文跨境并购财务风险分析通过分析 2016 年阿里巴巴并购 LAZADA，对跨境收购方提出财务风险控制并提供学习经验的建议。

中国学者对企业海外并购的研究主要集中在企业并购风险的内容、风险影响因素分析、风险规避措施等；但系统性的研究企业海外并购的财务风险的文献依旧很少。这需要国中理论研究者进一步完善对企业海外并购的财务风险，形成完善的理论研究体系，指导中国企业的海外并购。综上所述，根据前文所梳理的国内外研究现状，本文拟从案例本身出发，选取阿里巴巴并购 LAZADA 这一具体事件作为研究对象，深度挖掘此次并购取得成功的关键因素，以理论基础作为支撑，通过对比分析来研究企业并购前后绩效的表现情况，看是否对企业的市场拓展具有促进作用，技术整合效率是否提高以及企业管理水平是否取得了改善；最后提出相应的对策建议为国内其他企业在开展海外收购活动时提供一定的参考价值和借鉴作用。

研究方法

1. 事件研究法 (Event Study)，又称超额收益法，由 Ball 和 Brown (1968) 开创，其思路是根据不同的研究目的，事件发生日为基准日，比较基准日前后的股票收益率变化，反映短期之内股票市场的收益变化。

2. 财务分析法：财务指标分析 (Financial Index Analysis) 是指以企业的财务数据为基础，主要比较并购前后的并购方的财务指标，来反映并购对于企业包括偿债能力、运营能力、盈利能力和发展能力等的影响。财务指标法对于以赢利为目的现代企业都具有适用性，但也应法意根据单个企业所处的行业、盈利模式等特性选择合适的、具有代表性的指标。Ertsen (2008) 对于收购后企业绩效分析的指标主要为是否增加了股东收益和是否改善了企业账目，衡量的标准是将企业收购前后的股价波动情况和主要财务指标变化情况进行分析，其中主要财务指标分为企业盈利能力、未来企业发展能力以及企业经营运作能力。具体分类见下表。

表 1: 跨国并购效果的评价衡量标准

主营业务经营数据	**通过主营业务经营数据反映收购前后企业生产经营运作变化情况**		
股价波动	**通**过收购前后一定时期的股价波动情况来反映收购完成后企业市值是否达到预期或者超过并购前水平		
主要财务指标	**盈利能力**	净资产收益率(ROE)	该指标主要衡量企业资本有效利用率，从而反映收购前后股东投资的收益水平变化
		总资产收益率(ROA)	该指标的高低衡量单位资产的净利润变化情况，反映企业发展竞争实力
		主营业务利润率	该指标是最主要的利润总额，直接反映企业经营获利能力
	发展**能力**	营业收入增长率	该指标直接反应收购前后企业的收入变动情况，衡量企业市场份额和经营能力
		净利润增长率	该指标衡量收购前后资产变化规模，数值越大，表明企业经营效率越好
		总资产增长率	该指标衡量收购前后总资产规模扩张情况变动，数据越大，表明企业经营效率越好
	运营**能力**	总资产周转率（次）	该指标衡量收购前后企业资产利用效率和销售水平间的变化关系
		应收账款周转（天）	该指标越小，反应企业流动资金使用率高，经营竞争能力强

结果和讨论

盈利能力：主要是考察企业主营业务收入的情况以及获利能力的大小，业务利润率越高则企业的发展情况越好，本文选取销售毛利率、净资产收益率和营业利润率这三个财务指标来判断企业盈利能力的强弱，本文对阿里巴巴集团盈利能力变化趋势的研究主要以自身纵向对比来合理评价此项财务指标。

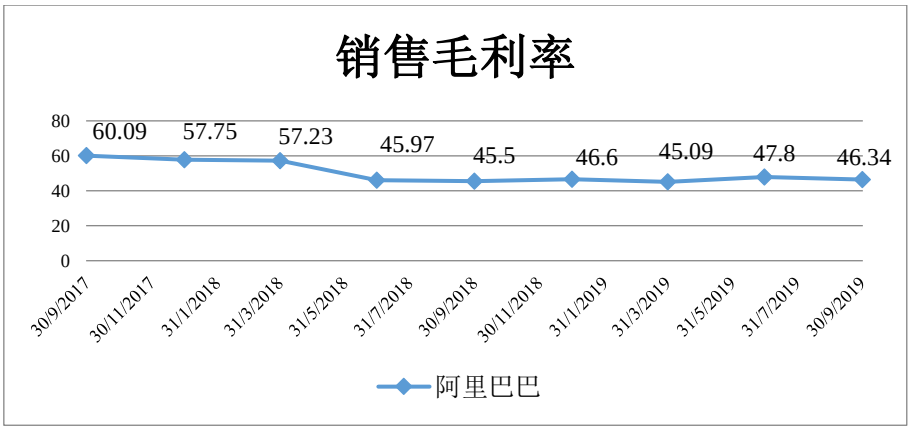

图1: 销售毛利率长期变化趋势
来源: 阿里巴巴业绩分析 (2017-2019). 同花顺财经

由上图可得，2017 年 9 月底至 2018 年 6 月底阿里的毛利率出现下降，直至当年度 9 月又有回升，但始终在 45%浮动，这主要是由于其将 C2C 市场、旗舰店 (LAZMALL) 和跨境电商业务进行了明确的划分。2018 年 3 月毛利率有所降低是由于 LAZADA 陆续在东南亚地区推行 LAZMALL。随着系统功能的加强业务范围的扩大，LAZADA 的客户范围持续增加，毛利率也一直保持稳定状态。

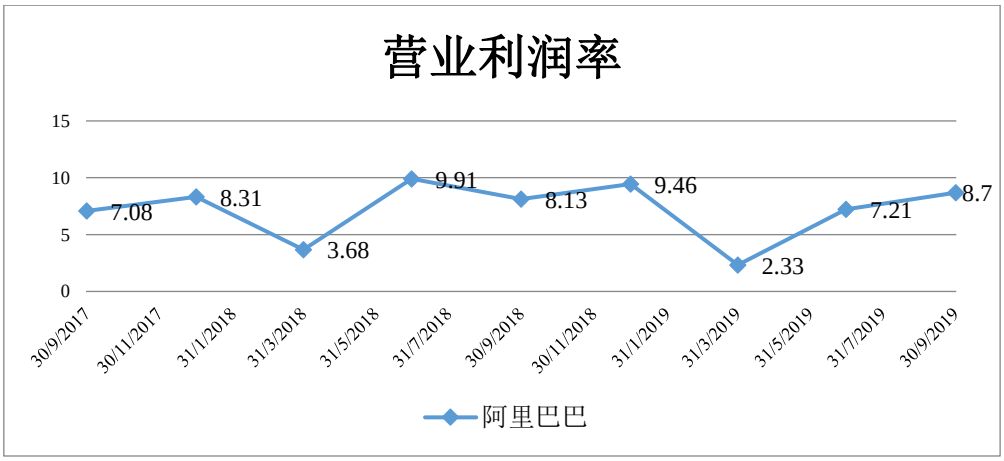

图2: 营业利润率长期变化趋势
来源: 阿里巴巴业绩分析 (2017-2019). 同花顺财经

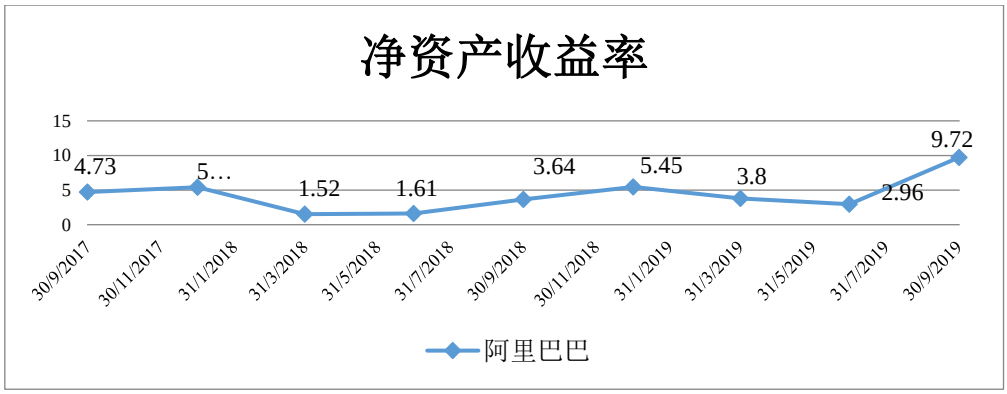

图3: 净资产收益率长期变化趋势

来源: 阿里巴巴业绩分析 (2017-2019) 同花顺财经

从营业收益率和净资产收益率的角度来看，阿里巴巴公司均呈现周期性的变化，长期来看阿里的这两个财务指标均呈现上升势头。财报显示，2018 年第一季度，阿里海外营收主要来源于 LAZADA。由于 LAZADA 以及全球速卖通 (AliExpress) 的业绩表现强势，阿里巴巴海外业务季度收入增长高达 26.38 亿元，同比增长两倍多，这进一步扩大了在中国以外地区的消费者群体。2018 年 第四季度财报显示，从 2018 年 12 月开始，LAZADA 加强了其核心市场业务，并减少了部分商品类别的直销风险。这种商业模式的转变导致市场 GMV 的加速增长，但同时也导致同期直接销售收入下降，阿里巴巴的净利润下滑较多。相较于营收，其利润增长逐渐放缓并呈现下降趋势，直到 2019 年第二三季度开始恢复回落，利润逐步攀升，企业盈利能力逐步增强。由此，阿里巴巴集团的销售毛利率后期虽然有所降低，但维持在一个稳定的数值，此外其营业利润率和资产收益率在并购后期均有上涨，因此得益于阿里的跨国并购事件，其盈利能力略有上升。

营运能力：可以更有效的分析企业资产使用效率，及时发现资产运用过程中所存在的问题与不足，利于企业调整资产负债结构。由于阿里巴巴库存的流动性非常大，极少存在商品存货，在财务报表中也无法获取存货周转率和应收账款周转率的数据，因此本文选取了总资产周转率、流动资产周转率以及固定资产周转率来分析并购后的财务表现来分析阿里巴巴集团并购 LAZADA 公司后的营运能力。

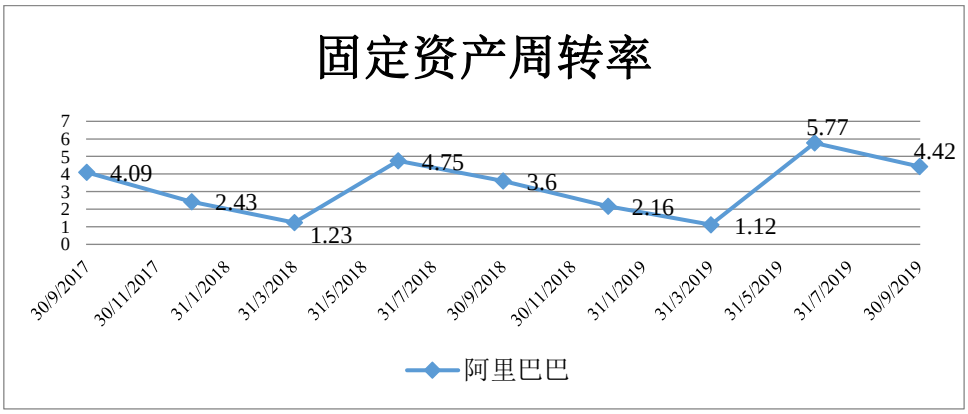

图5: 固定资产周转率长期变化趋势

来源: 阿里巴巴业绩分析 (2017-2019) 同花顺财经

根据阿里巴巴的财务报表所公布的数据可知，到 2019 年 6 月底第二季度收入为人民币 1,149.24 亿元（167.41 亿美元），较 2018 年同期的人民币 809.20 亿元增长 42%，这主要是因为中国商业零售业务的增加，虽然中国零售市场收入持续保持强劲增长，但阿里的固定资产周转率仍维持在平均水平，变化不大。该企业流动资产周转率变化较平缓，相差不远，在数值 1 上下波动，2017-2018 年下降较多，2019 年开始又有所回升，19 年第二季度的值比前两年的流动资产周转率都要高，阿里巴巴的营运能力略有降低，同时也说明在 2017 到 2018 年之间，阿里巴巴集团没有充分利用流动资产展开相应的投资。可以在对长期投资保持原有规模的基础上，进一步加大对短期投资的决策需求，由此强化流动资产在企业运营管理中带来更多收益的保障性能力。

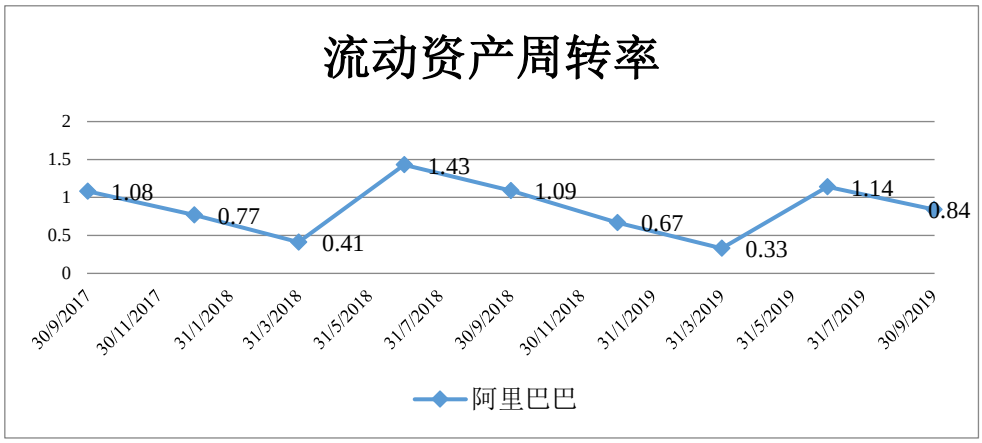

图6: 流动资产周转率长期变化趋势
来源：阿里巴巴业绩分析 (2017-2019) 同花顺财经

阿里巴巴的总资产周转率偏低，2017 - 2019 年期间阿里巴巴的总资产周转率（次）整体变化不大，在 2018 年有所下降，意味着在此阶段，企业的生产能力在慢慢下降，所实现的利润空间逐步缩小；但在 2019 年之后逐步回升，因此长期来看反映出阿里巴巴总资产周转率不断加快，资产使用效率得到进一步提升，说明企业的经营管理效果逐渐转好。

综上可知，阿里巴巴集团在并购后，其营运能力整体上略有下降，并购后阿里巴巴对自身的运作模式进行了调整，资源整合效果明显得到改善，资产负债结构有了较大的调整，使得企业内部的运营体系更加完善，运营能力逐步提高，所以各项营运指标均维持在稳定的区间内，总体而言营运能力虽有所下降但保持在一个正常水平。

偿债能力：是用来客观评价企业所能承担的债务风险能力的大小，流动比例反映企业短期偿债能力的大小，两者成正比的关系，而产权比率和企业长期债务的偿还能力呈负相关关系；此外，资产负债率则和企业的举债能力密切相关，因此也被选做用来衡量企业偿债能力的一项重要指标。综上所述本文选取了流动比率、产权比率、资产负债率和流动负债率四个指标分析阿里巴巴并购 LAZADA 后的短期及长期偿债能力的变化情况。

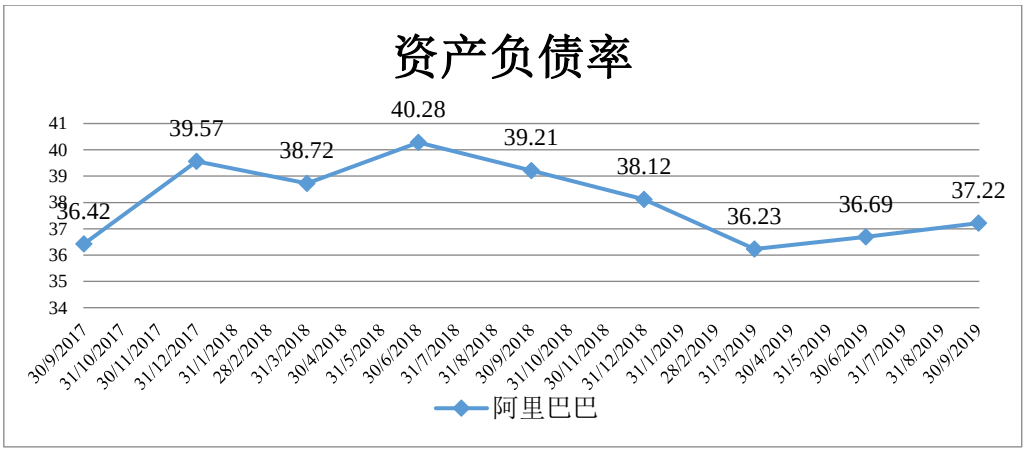

图7: 资产负债率长期变化趋势

来源：阿里巴巴业绩分析 (2017-2019) 同花顺财经

由于资产负债率和流动负债率的适宜水平分别是 40% ~ 60% 和 30% ~ 70%，根据图 6 和图 7 可知，从 2017 年第三季度到 2019 年第三季度阿里的两项指标维持在 38.05 和 54.34 的均值，略微上升，这是由于 LAZADA 和 AliExpress 所推动的国际商业零售业务所产生的收入不断增长，从而不断推动阿里公司市值的提高，保持着较高的资产份额。这也说明企业充分利用了财务杠杆效应，结构稳定性在不断提高，获利能力逐步增强。作为当今世界头号互联网电商集团阿里巴巴，依托其强大的资产实力和资本运营属性，其债务偿还能力没有大幅降低。根据以上分析，可以知道在并购后的长期过程中得益于保持着较好水平的资产负债率和流动负债率，阿里巴巴集团的负债比率较低，但由于流动比率在降低而产权比率上升，因此其偿债能力小幅度下降。

企业发展能力：是用来衡量企开拓新市场的潜能大小，影响企业能否长期持续经营的重要标准；这一能力取决于诸多因素，例如企业自身的管理制度、外部环境因素和资源技术等；根据前人的研究现状和理论基础，本文选取了二项指标来共同考察阿里巴巴在并购后的长期发展能力。

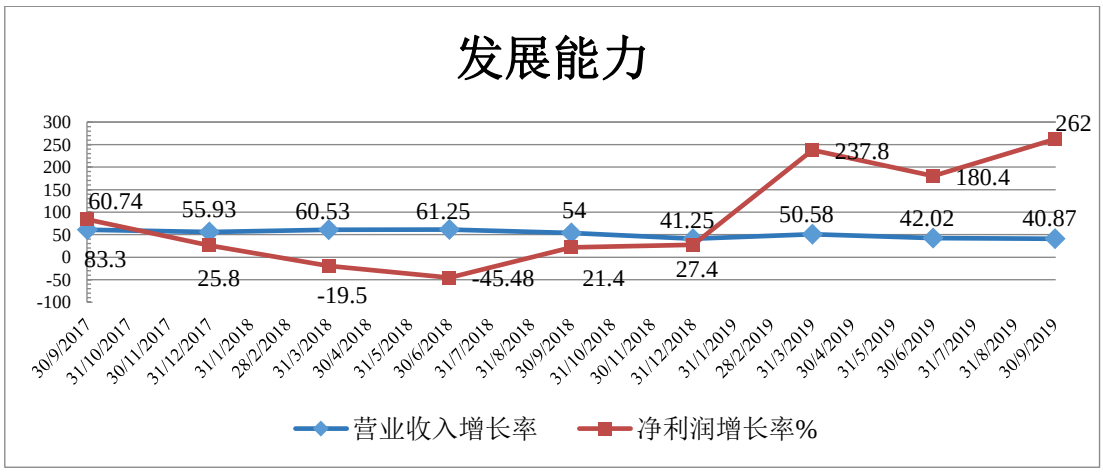

图8: 发展能力变化趋势

来源：阿里巴巴业绩分析 (2017-2019) 同花顺财经

在 2017 年 9 月底到 2019 年 9 月底，阿里巴巴的营业收入增长率和总资产增长率的变化趋势一样，呈现出先下降后逐步上升的态势，2018 财年的营业收入为人民币 2502.66 亿元（398.98 亿美元），较 2017 财年的人民币 1582.73 亿元增长 58%。这一增长主要是由于国内外商业零售业务持续快速增长及阿里云的扩张所致，在业务板块细分方面，2018 财年阿里巴巴的国际商业零售业务收入为人民币 142.16 亿元（22.66 亿美元），较 2017 财年的人民币 73.36 亿元增长 94%。这一增长主要是由于来自 LAZADA 和 AliExpress，受这两个市场 GMV 强劲增长的推动。在 2017 财年的收入为人民币 1582.73 亿元（229.94 亿美元），较 2016 财年的人民币 101143 百万元增长了 56%。在国际商业零售业务领域，2017 财年的国际商业零售业务收入为人民币 73.36 亿元 （10.66 亿美元），比 2016 财年的人民币 22.04 亿元增长 233%。该增长主要是由于 LAZADA 的合并以及速卖通产生的收入增加。净利润增长率在 2017 年 9 月份逐渐开始下降，主要原因是由于 LAZADA 作为一家初创型企业，阿里巴巴对其所追加的投资资金项目不能立即实现经济效益，会有一个变现过程，此外围绕着 LAZADA 电商业务所开展的支付和物流运输建设成本的投入导致支出成本过高，因此净利润增长率有所下降，2018 年的总资产增长率也是出现小幅波动。而在 2018 年年底，营收增长率和净利润增长率开始大幅度回升，原因在于 LAZADA 在 2018 年被阿里巴巴战略投资 20 亿美元，进而获得了对 LAZADA 的完全控股权，根据阿里巴巴 2019 年所公布的第一季度财报显示，由 LAZADA 所创造的海外营收占比显著提高，投资回报率也得到加强，阿里巴巴的长期发展趋势比较稳健。阿里巴巴集团在收购 LAZADA 后，由于在东南亚地区的业务迅速扩张，两大发展能力指标均保持着较高的水平，净利润增长率虽然在 2018 年 6 月份跌落至谷底，但凭借着后期的反弹而达到一个新的高度，从阿里巴巴所采取的策略来看，通过将传统单一的运营模式进行融合，创新企业的运作模式，全力打造完整的生态圈，这些举措进一步增强了企业的实力，使阿里巴巴朝着好的方向在发展。

并购后经营管理绩效评价

a. 资本市场价值提高

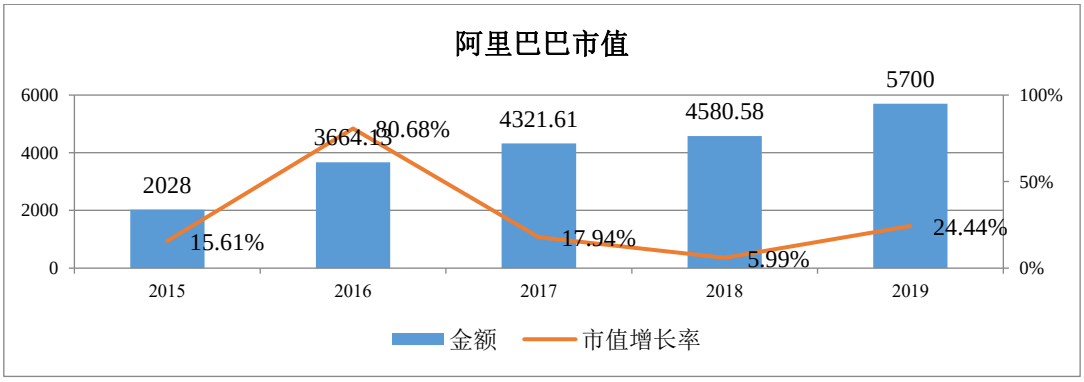

图9: 2015-2019阿里巴巴市值变化

来源：阿里巴巴集团网站

LAZADA 一直都是东南亚地区电商行业的龙头企业，在当地拥有最大的市场份额和较好的口碑，得益于此次的并购事件，阿里巴巴的国际地位得到不断提高，公司价值不断攀升，发展速度迅猛，国际影响力逐步显现。如图 4.13 所示，阿里巴巴在 2015-2019 年间的资本市场价值得到不断提升，其中提升度最大是在 2016 年，涨幅程度高达 80.68%，主要原因在

于阿里巴巴于 2016 年 4 月份并购东南亚 LAZADA 企业，2016 财年第一次将其营收并入阿里巴巴的财务报表之内，实现了较大增长。在 2019 年年终市值排名当中，阿里巴巴首次超过腾讯，以 5700 亿美元的市值排名亚洲区互联网公司中的第一名。阿里巴巴通过此次的并购活动成功提升了在资本市场的价值，运用技术整合、资源规划以及营销服务等手段推动着企业的长远进步和发展，其次借助 LAZADA 的本土化优势将其业务扩张到东南亚周边的其他国家，辐射范围广泛。

b. 赢得跨国市场份额: 一方面，阿里巴巴将中国商户引入东南亚的电商生态圈中，通过对 LAZADA 的线上平台输入自身的电商服务体系，进而搭载更加完备的生态业务圈；另一方面，在并购后期的资源整合中，阿里巴巴宣布与 LAZADA 共享大数据分析平台，用来分析客户的购物数据和个人商品偏好，借助此方法可以更好的开展东南亚地区的市场业务，有助于卖家针对性的研发新产品和调整业务经营方位。

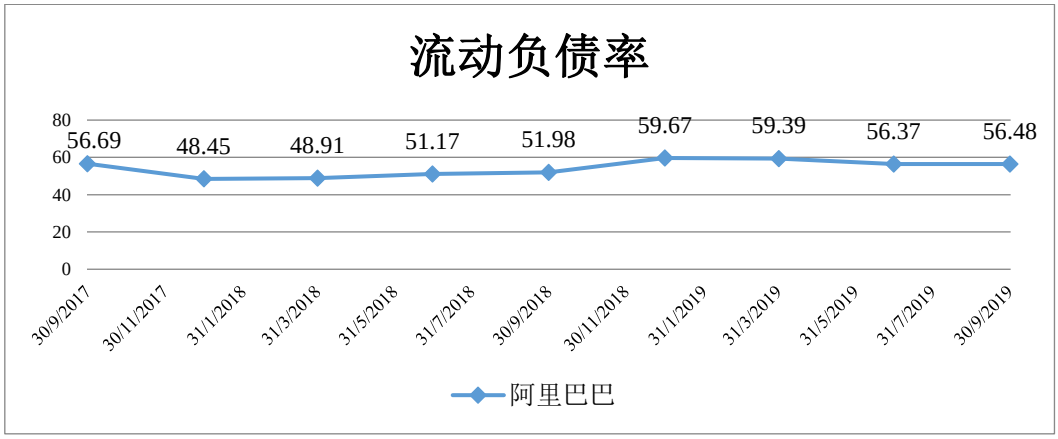

图10: 流动负债长期变化趋势

来源：阿里巴巴集团网站

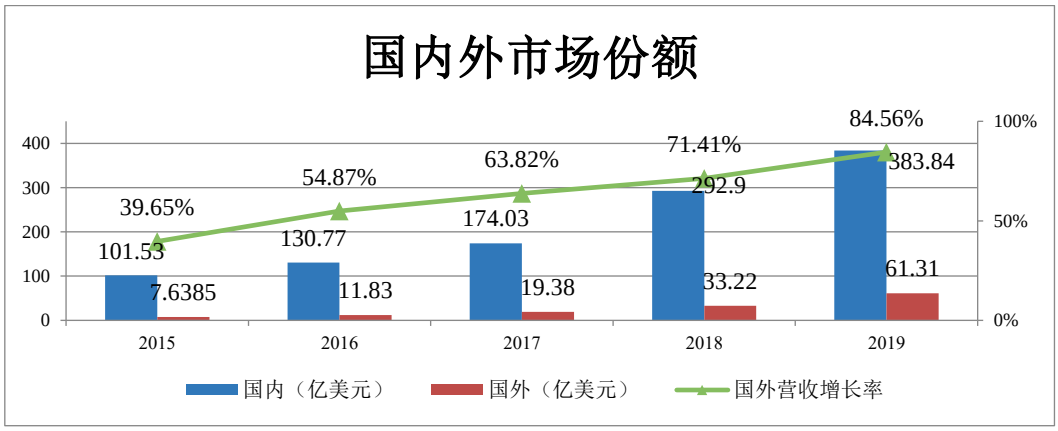

图11: 2015-2019阿里巴巴国内外营业收入

来源：阿里巴巴集团网站

在 2016 年 4 月阿里巴巴收购 LAZADA 后，根据 LAZADA 的当年年报数据显示，2016 年 LAZADA 的成交订单量，比 2015 年提高了 2.5 倍。此外从阿里巴巴发布的财报中可以发现，被收购后的 LAZADA 所占比的营业市场份额一直在不断增长。阿里巴巴在 2016 年第二季度来自国际零售业务的营收达 1.68 亿美元，占总营收的 4%，跟 2015 年同期相比增长 123%，而在增长的 123% 中，有近 90% 来源于 LAZADA 的营收所得。2018 年 3 月 31 日，阿里巴巴发布财报表示在速运通和 LAZADA 上的月活跃用户达 8300 万人，受益于 LAZADA 以及全球速卖通（AliExpress）的收入增长，阿里巴巴在 2018 年海外营业收入达 33.22 亿美元，同比增长 71.41%，通过此次并购事件，阿里巴巴进一步扩大了在中国以外地区的消费者群体，赢得了跨国市场分额。

结论和建议

打造完备的跨境电商生态系统：对于互联网电商行业而言，进行全球扩张是企业最主要的发展方式和竞争手段，能促进企业自身的发展和产业的升级，但是作为新兴市场中的跨境电商企业，阿里巴巴并购东南亚 LAZADA 的绩效评价及其启示仅通过并购行为进行扩张布局远不利于企业长期持续发展，因此企业若想扎根于国际市场，必须通过立足于实际，做好长远的规划，实行国际化经营战略，制定远大的全球化发展目标。阿里巴巴通过并购 LAZADA 平台作为市场跳板，在一时之间风靡东南亚的电商市场，这能打造阿里巴巴的核心电商业务在国际市场中的影响力，与此同时阿里巴巴还将支付宝与 LAZADA 自有支付系统 Hello Pay 链接起来，构建了更加完备的金融支付体系，也为支付宝的推广使用打开了渠道；在物流方面的建设，阿里将菜鸟物流与 LAZADA 自建物流体系很好的融合在一起，共同参与东南亚地区的物流建设；因此阿里巴巴布局海外市场不仅拓展了核心电商业务，还将产业布局到了支付和物流领域，阿里巴巴通过多元化的全球战略，极大丰富了海外经营模式。因此同行业的其他企业在海外扩张的战略上要以此为鉴，运用多样的扩张模式，在拓展业务的同时加强自身优势的建设，打造全方位的海外经营模式，综合运用大数据功能来打造更加完备的平台服务系统，实现物流的高效、资金的高周转以及服务质量的极大提高，构建一张全球战略的布局网，实现平台用户数量和交易量的快速增长。

创新电子商务的商业模式：由于传统的电子商务模式 B2B、B2C、C2C 比较单一、缺乏创新性，因此很多企业正在试图将单一的业务模式进行融合，开创了新的业务运作模式即 B2B2C，很明显这是将三种单一模式的汇集，通过中小企业领域和个人消费用户平台的连接，开创了一种新型业务流通模式。LAZADA 公司最初采取的是垂直型管理模式，通过自营商城进行线上交易，通过效仿亚马逊的商业模式搭建专属的存货仓储体系，最核心的业务板块是 B2C 模式，待自营商城扩大后又拓展了 C2C 的商业模式，因此 LAZADA 具备较丰富的经验和坚实的业务模式基础，所以被阿里巴巴收购之后开创了全新的 B2B2C 的新兴市场。通过后期的业绩表现也足以证明 B2B2C 的商业模式有助于促进 LAZADA 销售额的增长，根据相关数据显示，运用新的商业模式所创造的营业收入占据了公司全部收入的 70%，这意味阿里巴巴和 LAZADA 平台连通之后，更多的商家可以享受一站式 “履约”服务，不仅扩展了商品上架规模还有效降低了库存压力。因此对于中国互联网电商来说，开发新的电子商务模式将有利于加快库存商品的周转，能够极大提高企业的营运能力，将生产者、商家和消费者更紧密的联系起来，提高平台的业务效率，更高效的延伸产业链。

密切关注财务指标的变化与风险：由于互联网电商企业的资产构成比较特别，流动资产占据了大头比例，而负债比率也比较高，这就是所谓的高风险轻资产行业；该行业的用户群

体基数较大但单笔成交金额却可以很小，产品的流转周期更迭频繁，所花费在平台运营和宣传媒介上的投资费用较多。因此本案例重点考察了阿里并购前后的盈利能力、偿债能力和营运能力，还针对项目现金流量表测算了净资产收益率、净利润增长率及总资产增长率。

互联网企业在经营过程当中会投入大量的财务资金进行产品研发，虽然会带来巨大的现金流量，但也需要承担较大的资金占用风险和财务风险；此外由于现金流的敏感性较强，对于相关财务指标的变化非常敏感，因此如果企业平台运营不当则势必会导致企业陷入资金荒，增值业务收入降低，投资回报期延长，所以对于开展跨国并购的互联网企业而言，关注现金流量的变化，加强资金的管理，密切关注相关财务指标的变化就显得尤为重要，此外由于平台用户的黏性不具有固定性，而产品的定制都是围绕客户需求展开，因此通过流量引导，加快产品的更新换代也是重要课题之一。

遵循“先小后大”的海外并购战略

进行海外并购的中国互联网企业通常是具备雄厚资本，实力强劲的大厂，例如：阿里、京东和腾讯，每家企业为了海外扩张而纷纷进行大规模的并购活动，利于企业获得相应的市场资源，降低获取成本及提高核心竞争力。虽然大部分互联网电商企业都在进行扩张，但根据一些案例的总结，发现很多大厂的并购并不是全部成功，阿里也不例外，其在印度市场并购 Snapdeal 的失败事件为阿里巴巴后进入东南亚市场提供了经验教训，由于东南亚的电商市场发展尚不成熟，平台搭建和业务体系等方面还不够完善，处于一个起步和逐步上升的阶段，因此进入的难度和壁垒都比较低；其次东南亚地区都是发展中国家，电商市场发展空间广阔，对其进行战略投资受到绝对的欢迎，因此通过阿里巴巴的前后并购事件对比可知，中国跨境电商企业在并购对象选取的时候最好采取“先小后大”的并购战略，这样能更加有效的去攻克市场壁垒和并购中可能遇到的难题，沿着“一带一路”沿线国家作为海外市场开拓对象，选择高潜质优的企业作为并购标的。

研究局限与未来研究方向

本文从经济学和管理学双重视角对中国企业海外并购的财务风险进行研究，研究过程中，对中国企业海外并购财务风险的影响因素分析不够。海外并购的财务风险是在全球经济一体化，各国企业参与全球竞争的背景下产生的，但并购同时也会对并购双方企业的财务状况产生负面影响，本文未能对影响的程度作深入研究。

中国企业在对东盟直接投资时，首先要对投资目的国的区位环境进行深入的调查研究，掌控可预见的风险。同时对于变化比较大的政治环境和市场环境，尤其要密切做好应对风险的前期准备，准备企业面临风险时的应急预案，避免因突发事件引起的经济损失。首先，防范政策变动带来的风险。企业在投资东道国的时候一定要对东道国的政治环境进行一个详细的分析和预测，并在日常经营活动中及时主动的关注分析东道国政府的政策信息，做好风险评估，提前做好准备，防范因政策变化给企业投资带来的损失。其次，防范经济波动带来的风险。比如 1998 年的亚洲金融危机，所以主动了解东盟各国的市场经济变动情况，做好充分的风险防范工作和应急预案，最大程度的降低企业损失。

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大数据环境下的客户关系管理创新发展研究
INNOVATIVE DEVELOPMENT OF CUSTOMER RELATIONSHIP MANAGEMENT IN BIG DATA ENVIRONMENT

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摘要

随着我国互联网的高速发展，大数据分析已成为当今筛选与锁定潜在客户的重要手段，在客户关系管理中得到广泛应用。但当前我国企业客户关系管理方式并未得到有效创新，本文论点立足于大数据时代企业客户需求视角，依托大数据的优点对客户关系管理进行结构创新，研究新型客户关系管理模式，旨在推动企业向更加高效的客户关系管理发展。

关键词: 大数据 客户关系管理 创新发展

Abstract

With the rapid development of China's Internet, big data analysis has become an important means to screen and lock potential customers today, and has been widely used in customer relationship management. However, the current enterprise customer relationship management mode in China has not been effectively innovated. This thesis is based on the perspective of enterprise customer demand in the big data era, relying on the advantages of big data for structural innovation of customer relationship management, research the new customer relationship management mode, aiming to promote the development of enterprises to more efficient customer relationship

Keywords: Big Data, CRM, Innovative Development

引言

中国第三产业的迅速发展，加速企业结构性改革，优化产业结构，对各领域的服务业发展提出了新要求，这使得中国企业直接或间接的加强了客户关系管理方面的投入，确立了以客户为中心的企业发展战略，为新形态下的客户管理提供指导思想，创新客户管理模式和运营机制，给企业的市场营销战略提供创新型思路。大数据的环境下现代企业的客户关系管理来说具有双重性，既要面对市场环境变化的挑战，但在竞争的环境下也获得核心竞争力的机会。企业如何利用大数据创造更多经济效益，获得更稳固、更长期、更有价值的客户关系，是企业当前必须解决的问题。企业之间的市场竞争态势和演进路径也发生了一系列的变化，企业之间竞争的从产品竞争、服务竞争开始转向了客户竞争，竞争的模式从关注产品、技术、服务等演变为全面关注客户关系，使得客户关系领先战略成为客户导向型竞争。因此企业开始重视自己的客

户资源，加强客户关系的管理，提高客户的满意度与忠诚度，来提升客户价值，通过维持长期的良好的客户关系来获取持续竞争优势。

内容

1. 大数据环境下客户关系管理的新变化

客户关系管理是以客户价值为中心，通过采集客户信息后，归纳总结判断来分析客户需求，实现精准营销，实现价值变现和利润增长的效果。在传统的商业模式下，经常将产品作为中心，轻视客户体验，不注重差异化，一味追求产品的销售量，因此，对于客户关系维护投入成本较低。随着互联网的高速发展，供消费者选择的产品越来越多，市场风格开始追求多样化和差异化，产品也不在是决定性因素，客户福利与服务品质愈发重要。这也是我国企业客户关系管理的第一次革新，以产品为导向升级成以客户为导向。刘佳霁 (2021) 企业通过客户关系管理了解客户的真正需求，实现精准打击锁住顾客，同时进行针对性差异化服务，从而达到公司业绩的稳定增长和利润闭环，实现企业整体优化[1]。大数据环境下，每个企业都必须重视并且关注消费产品的分析，从而有效的明确消费者的购物消费倾向，并且也能够针对部分不同的消费人员实行制定策略。也可以根据不同消费者的年龄、偏好、性别进行统一的研究，能够较好地完成大数据的处理与优化，经过大数据的分析，能够帮助企业针对市场需求进行较为全面的市场分析分析与研究，建立有针对性的企业发展战略，并且能够提供必要的产品，为企业在今后的发展提前布局。在必要的情况下，企业通过制定大数据信息平台，按照不同的技术应用手段进行划分，对消费者进行针对性的提高，这样才能够有效的保证市场需求与企业的发展提供创新。根据消费者购买需求的变化，在不同时间段内提供相应产品的生产和销售方案。

2. 大数据环境下客户管理模式创新必要性

王海茵 (2021) 大数据环境下企业面临更多挑战，企业要关注大数据的发展情况，创新企业的管理模式[2]。企业员工的工作效率对企业的发展有着重要影响。大数据技术环境下，企业能够有效提高数据的搜集和获取速率，缩短了企业员工搜集数据的时间，提升工作效率。企业员工数据的处理效率也是影响其工作效率的重要原因，因此，企业管理人员应积极创新管理模式，提高职员的工作效率，使企业职员能够在获取数据的第一时间内，对包含图片、视频或音频等在内的数据进行分析处理，从而加快企业的发展步伐。

2.1 实现对客户管理目标针对性制定

企业要想在竞争激烈的市场环境中博得头筹，需要以针对性的管理、发展目标制定为支撑。通过对相关软件工具的有效应用，实现对大数据的深度采集、挖掘、整合以及处理，能够帮助企业快速且全面地掌握市场发展信息、自身经营信息等，在此基础上依据对数据处理结果的分析来科学调整发展、经营决策，确保其管理与发展目标的制定符合企业发展需求。同时，依托于大数据技术的应用可以实现客户信息管理优化的目标，通过海量信息采集与处理体现出企业信息管理的最大作用，并为企业和客户沟通、交流提供信息支撑。

2.2 有助于增强客户黏性

大数据环境下现代的信息是对称的信息，客户对产品满意度水平也处在实时发生变化，为了能够全方位满足客户需求，提高客户黏性，企业的首先要做到了解到客户的消费习惯及消费偏好，不断改进产品及效劳层次。通过去客户的互动从而获得有效的信息途径，企业在海量的互动数据当中分析获取到有价值的相关信息，对于企业更加直观清晰的认识客户消费习惯及消费偏好将大有裨益，企业才能更加清楚制定出能够更好满足客户需求的产品及效劳。利用大数据挖掘算法，对客户消费行为数据进展深度挖掘，建立相应模型并预测客户在未

来的消费行为，从而不断调整满足消费者需求的产品及市场销售策略，防止客户流失，提升客户的满意度，增强客户的忠诚度，增强客户黏性。

2.3 实现对客户信息处理与管理优化

王静 (2021) 大数据环境下客户管理信息管理与处理开展迎来更为艰巨的挑战，要想实现在短时间内进行海量数据信息的有效处理与采集，需要以大数据技术的合理应用为关键基础[3]。依据对客户管理信息处理需求的分析，构建符合客户管理信息特点的映射模型，并以商用服务器为载体发挥出高性能计算机集群平台的功能，对海量数据信息采用相应算法进行处理，可以在显著提升客户管理信息处理效率的同时，确保其信息管理工作开展符合企业发展需求。同时，企业各部门数据信息可以借助数据模型的应用来实现高效、全面处理，通过对信息管理与处理的优化提升企业决策制定的科学性与合理性。

2.4 降低企业维护客户关系成本

要提高企业盈利水平的最直接方式就是降低本钱。第一企业通过大数据分析可以更加有针对性的开展市场销售及顾客管理，节省了大量人力、物力及财力方面的投入；第二，可优化业务操作流程，提高资源配置效率，提升企业隐形收入；第三，大数据分析可帮助企业实现不同消费者类型与销售人员之间的最佳匹配，间接提高企业知名度及美誉度，增强客户黏性的效果。

3. 新型客户关系管理模式的创新方向

3.1 建立客户大数据分析平台

对客户关系管理接入公司的客户数据分析平台，实现企业信息管理的网络化、标准化、自动化、 集成化，提高工作效率和监控、决策水平。依托大数据分析来维护顾客关系，对顾客特点进行后台备注并实现企业内部数据互通，以此来实现每个客户经理都能对顾客进行差异化服务，提升客户服务体验，把控服务质量，维护好顾客对企业或品牌的忠诚度，充分了解顾客的价值诉求，并实施贴切的营销策略。

3.2 企业组织变革

信息技术的不断发展推动客户关系模式向新业态转型，对应的企业组织形态也需改变原有的组织架构，例如，现有的企业客户关系管理部门大多以三方面为主，一为客户经理部门，二为市场拓展部门，三为售后服务部门。但当今时代对客户关系管理提出了新要求，大数据分析成为客户关系管理的最佳赋能，甚至只需要专业数据分析人员对客户进行数据采集分析就可以为以上三个部门提供独有的数据信息，以此来解决人工收集归纳信息不全面，低效率的问题，并可以为企业提供精准的报告。故，企业客户关系管理部门也应进行组织变革。

4. 大数据环境下客户管理模式创新策略

4.1 客户关系管理平台搭建

要想进一步实现对客户管理模式的创新，需要依托于大数据技术的应用来实现客户整合，通过深入分析客户需求、加强与客户交流，实现对企业产品生产与服务提供的优化。针对客户关系管理平台的构建，一方面可以进一步推动企业创新管理，另一方面则可以为企业效益获取的增大提供保障。针对客户关系管理平台的构建，需要明确其闭环精细化营销体系构建的必要性，作为客户关系管理中的重要组成，其营销体系的精细化、闭环化构建是客户管理模式创新的重要环节。其具体环节包括：

A 用户细分

立足于用户生命周期角度进行新老用户的分析，需要以不同营销模型来分别对待新用户、老用户。同时，需考虑到高低消费水平用户之间的差异性，倘若企业仅采取一种

营销模式来对待所有用户，势必会影响到营销转化率的提升。所以，需依据对数据挖掘、画像标签等技术的应用实现企业用户、消费者的精准细分。在用户细分时以相关业务为基准，依据对数据变量的掌握来实现对所有用户的有效细分，包括基础属性、爱好偏好、时间等变量指标的应用。

B 建立客户关系数据库

通过企业与客户的互动所产生的用户信息积累丰富数据库，通过其他渠道获取客户信息，收集所有网络上的数据信息置入，形成更加全面的用户信息数据库。齐姗姗 (2021) 通过标签精确获得不同消费者的需求，围绕影响产品购买因素来构建数据库结构，建立完整的用户标签体系[4]。企业关注消费者的动态需求，对整个数据库进行动态数据更新和数据补充。

C 数据挖掘与数据分析

企业应注重运营数据的积累与分析。数据挖掘是从大规模的交易数据和互动数据中提取出与之相关的信息，利用计算机算法分析相关信息之间的联系，建立合理的架构。精确地进行个性化分析，得到准确无误的客户挖掘及客户跟踪，按照不同的客户互动信息备注客户标签。唐伟 (2018) 通过数据挖掘，企业能够清楚哪些客户只关心价格，哪些客户是可以培养忠诚的客户，对目标客户进行细分，按消费者消费等级或者消费金额进行划分，明确具有价值的客户，将更多有效的资源服务于更高价值的客户[5]。

4.2 企业和客户关系决策支持系统构建

企业和客户关系决策的制定直接影响到自身发展水平，所谓决策，是指企业依托于相关技术、方法的应用从多个发展方案中择选出最佳方案，以此用于企业发展现实问题的解决或确定未来其发展方向。以往企业决策管理工作的开展难以满足大数据时代发展需求，所以企业需要借助大数据等技术的应用来构建决策支持系统，进而为企业和客户关系决策的开展提供良好支撑。首先，企业可以充分借助云计算技术来发挥出大数据的功能与价值，确保其数据分析、数据处理等工作的开展得到优化。同时，云计算技术的合理应用还能起到数据结构化的作用，进而为企业和客户关系决策提供多样化的数据信息支撑。企业决策信息采集、决策信息评价、决策信息管理等工作开展得益于云计算技术应用而达到服务质量提升的目的，确保企业决策需求得到满足。其次，决策支持系统构建。即在运筹学、行为科学、管理科学等学科融合的前提下，依托于对仿真、计算机、大数据等技术的应用构建决策支持系统。该系统的构建不仅具备智能化、自动化处理的特点，也能为企业决策活动的开展提供保障。在实际决策活动开展期间，领导者可以依托于决策系统进行相关背景资料、数据信息的全面获取，并按照相关标准要求进行决策问题的识别，依托于决策模型的构建为决策者提供最佳发展方案。通过对决策系统人机交互功能的充分发挥，确保其决策活动的高效开展。以往企业决策无法以全面、实时的数据信息为支撑，再加上市场环境的变幻莫测，使得企业针对风险问题的预测存在较大偏差，所以急需在大数据环境下进行决策支持系统的创新构建。为实现对发展决策的高效率、高质量开展，基于大数据、计算机、互联网等技术的应用构建契合自身发展需求的决策支持系统，并通过对大群体决策体系的有效构建，确保在企业和客户关系决策过程中能够实现全员参与。

4.3 客户管理人才队伍完善构建

客户管理模式的创新离不开对管理人才的引进与应用，并且数据管理队伍的素质能力直接影响到客户管理模式的创新成效。鉴于此，为进一步促进客户管理模式的创新，需要依据对现有管理队伍实际情况的分析，强化对培训教育工作的开展。大数据环境下客户管理、决策等工作的开展离不开数据分析、数据管理等工作，数据分析师所起到的作用逐渐显现。对此，始重视对数据分析师的培养，定期开展关于统计分析、分布式处理等技术的培训教学，并

通过实际业务的开展来实现对人员素质能力的强化。同时，强调对大数据应用的全员参与，即要求企业所有人员均需具备一定的大数据意识与能力。另外，立足于数据管理队伍构建情况的分析，实施内部竞聘、薪酬体系改善、人才梯队建设等方式进行管理队伍的高水平构建，以期通过对人员队伍能力素质的提升，为客户管理模式的创新构建提供人才支撑。

结论

总之，客户关系管理已经成为企业不可或缺的重要组织部分，企业离不开客户关系管理，客户关系管理决定企业的下限，有一个完美的客户关系管理机制可以为企业实现利润的稳定增长，形成产业闭环，培养沉淀用户，提高企业品牌声誉，赢得市场竞争，抵御竞争对手，获取市场先机等的必要手段和决定性战略。我们应该把握时代脉搏，积极拥抱大数据，使用大数据来为客户关系管理进行结构性优化，削减不必要的人力部门，增加以信息技术为基础的信息资源整合部门，实现企业资源优化，合理规范配置，以此来提高企业的综合竞争力。

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管理者自利与企业创新绩效：基于研发投入的中介效应
MANAGER SELF-INTEREST AND CORPORATE INNOVATION PERFORMANCE: BASED ON THE MEDIATING EFFECT OF R&D INVESTMENT

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摘要

由于委托-代理问题，企业的所有权与经营权相分离，委托人与代理人的目标并不完全一致，代理人普遍具有自利倾向。本文基于委托-代理理论、信息不对称理论，以中国沪深 A 股上市公司 2012-2020 年的数据样本为研究对象，剔除金融、房地产类财务报表特殊及 ST、*ST 财务数据异常，对本研究结果产生较大异常影响的企业，共获得 9449 个有效观测值，实证研究了管理者自利行为对企业创新绩效的影响。研究结果表明：管理自利行为对企业研发投入和创新绩效都具有显著的负效应；研发投入对企业创新绩效具有显著的正向影响；研发投入在管理者自利行为与企业创新绩效间起到完全中介的作用。该研究结论从实践角度丰富了管理者自利行为对企业创新绩效的影响研究，对企业内部治理和组织结构优化方面具有重要的现实意义。

关键词: 管理者 自利行为 研发投入 创新绩效

Abstract

Due to the principal-agent problem, the ownership of the enterprise is separated from the management right, the objectives of the principal and the agent are not completely the same, and the agent generally has a tendency of self-interest. Based on the principal-agent theory and the theory of information asymmetry, this paper takes the data samples of China's Shanghai and Shenzhen A-share listed companies from 2012 to 2020 as the research object, excluding the special financial statements and St, *ST financial data anomalies, which have a great abnormal impact on the research results, and obtains a total of 9449 effective observations, This paper empirically studies the impact of managers' self-interest behavior on enterprise innovation performance. The impact of performance. The research results show that managers self-interest has a significant negative effect on enterprise R&D investment and innovation performance; R&D investment has a significant positive impact on enterprise innovation performance; R&D investment plays a role between manager's self-interested behavior and enterprise innovation performance The role of complete intermediary. This research conclusion enriches the research on the influence of managers' self-interested behavior on enterprise innovation performance from a practical point of view, and has important practical significance for enterprise internal governance and organizational structure optimization.

Keywords: Managers, self-interested behavior, R&D investment, innovation performance

引言

研究背景

随着全球化的进程、科学技术的迅猛发展、互联网经济的席卷，中国市场化程度不断提升，产业结构调整效果显著，知识密集型企业在这样的大背景下得到了充分的发展。同时，受经济全球化、经济转型升级和贸易摩擦等诸多因素影响，全球经济增长放缓，宏观环境日趋复杂，各行业竞争剧烈。一场突如其来的疫情更是直接考验着各行各业面对危机的应变与生存能力，面临错综复杂的易变环境，企业需要寻找新的利润增长点。创新是一个国家兴旺发达的不竭动力，是一个民族进步的灵魂。企业创新是企业管理的一项重要内容，是决定公司发展前途的关键要素。谁能下好创新这步先手棋，谁就能在竞争中抢得先机、赢得主动。管理者（本文特指高层管理者）是企业运营和发展的核心动力，是最重要、最活跃的因素，是企业发展的基础和保障。

1. 中国创新发展现状

根据世界知识产权组织发布的《2020 年全球创新指数》报告，尽管在 2020 年中国的创新能力攀升至第 14 名，是进入前 30 名的唯一中等收入经济体，对全球创新格局的影响力不断扩大。但与发达国家相比，中国的创新投入和产出仍存在明显差距，创新机制建设大幅落后于欧美等高收入经济体，创新人才培育不足，创新竞争力不强、后劲不足。在芯片、软件、机器人、新材料、发动机、飞机、汽车、机床、医学技术、农业技术等领域，中国全面落后于发达国家。2018 年，美国宣布禁止本土公司向中兴通讯出口任何技术或产品，让中兴陷入“失芯”窘境；持续对华为等中国科技公司进行技术封锁，长期打压，使国内的企业承受着巨大的压力。因此，人们开始意识到能否创新已成为企业成败的关键，不创新，就灭亡。创新是一个企业不竭生命动力的来源，只有懂得随市场改变而不断进行创新的企业，才能在市场中获得永恒的生命。

2. 中国企业管理现状

企业管理是企业发展的核心，中国企业经过几十年的发展，特别是改革开放以来，企业管理模式发生了根本的变化，更加适应了市场经济的模式。企业的经营与发展成长、产品研发和创新等活动，都需要企业管理者进行计划、组织、指挥、协调和控制等有效的管理。企业管理者如何高效地利用和配置资源，培育自身的研发能力，是企业创新的关键环节，也是企业实现经济收益的前提。余江舟 (2012)，姚计华与王海芳 (2013)，夏宇 (2020) 研究认为：管理者及其管理行为决定了组织的生存与发展，一个组织的成败在很大程度上取决于管理者的决策行为，合格的管理者往往又是创新者和改革者，管理者的思想就是组织的文化和未来发展的方向。然而，由于代理问题和信息不对称等问题，企业所有权与经营权相分离，管理者和股东的目标利益并不完全一致，形成了股东和管理者之间的利益冲突（陈翔宇与万鹏，2016；魏卉与李平，2020；孟茜与杨丁麟，2021）。尽管现代组织的治理机制，早已发现此问题，并将代理人的利益与组织利益相结合的概念设计于代理人的激励措施之中。但是中国很多企业发展都不长，管理水平起点低，管理理念陈旧，管理规划不明确，管理制度不完善，缺乏高水平的专业性管理人才等问题，严重阻碍企业的发展。管理者为了追求自身利益的最大化而采取有损于股东的利益，还存在非效益投资、在职消费、超常薪酬、盈余管理及不完全披露会计信息等私利行为。

3. 管理者自利行为与企业研发投入的内存联系

企业研发活动具有长期性，存在较高的风险和不确定性，成功率不高，一般短期内很难产生效果，且较高的研发投入一般会对企业短期的绩效产生影响，与企业眼前要实现盈利

是互相矛盾的。目前大多数企业对管理者激励及考核衡量的指标都基于企业当前的绩效，无法对周期长的创新绩效进行衡量。因此，由于管理者自利行为的存在，他们为了一己私利，一般只会着眼于能为他们带来超额薪酬和奖励的眼前的、可见的企业短期绩效，而对周期长、风险较大的研发创新活动缺乏足够的兴趣，从而影响了企业的研发投入。没有研发投入，企业就无法进行研发环境的搭建，无法进行人才的引进和管理，研发创新活动就无法正常开展，也就无所谓创新产出。长远来看，缺乏研发投入的企业，没有竞争力，会越来越拉大与同行的差距，最终一定会被淘汰出局。

研究问题

基于以上背景，本论文以委托代理理论、创新理论和资源基础理论等理论为指导依据，通过理论分析以及对文献资料的梳理来构建管理者自利行为影响企业创新绩效的理论模型，分析管理者自利行为、研发投入与企业创新绩效之间的关系。同时，深入探究研发投入在管理者自利行为与企业创新绩效之间的中介效应。

研究目的

在前人学者研究的基础上，深入探究管理者自利行为对企业创新发展的影响。为优化企业的研发投入、提升企业创新绩效以及完善企业内部的治理机制提供一定的理论指导；为投资者如何挑选有效的管理对象提供理论依据；为企业内部控制相关制度的制定提供理论借鉴。

研究的意义

本文厘清了管理者自利行为、研发投入及企业创新绩效三者之间的关系，检验了研发投入的中介效应，丰富了企业投资决策、公司治理机制规范和创新战略实施的相关研究。将管理者自利行为纳入观测范围进行研究和对比分析，能够更好地掌握当前企业管理的现状，以便及时调整策略，实现企业创新长效发展。

文献综述

理论基础

1. 委托-代理理论

委托-代理理论是制度经济学契约理论的主要内容之一，美国经济学家伯利和米恩斯提出了“委托-代理理论”，倡导所有权和经营权分离，所有者保留企业所有权，而将经营权交给经理人。（李元旭 et al.，2020；万里霜，2021）认为，随着生产力的大发展和规模化的出现而产生了委托代理关系（周杰，2008；王煜宇 & 何松龄，2018）。随着生产力的发展，分工的细化，产生了一大批具有专业知识和能力的代理人。他们根据约定，权力所有人雇佣专业代理人为其服务，并授予一定的决策权力和支付相应的报酬。目前，委托代理理论已被学者们广泛应用于经济、政治、管理等各学科之中。它论蕴含了两方面的基本假设：一方面是公司股东和管理者相互协作，追求公司效用的最大化。另一方面因委托人与代理人的效用函数不一样，委托人追求的是自己企业价值的最大化，而代理人追求自己的工资津贴收入等私利的最大化，这导致两者的利益发生冲突。

2. 创新理论

美国哈佛大学教授约瑟夫·熊彼特把创新定义为建立一种新的生产函数，即企业家实行对生产要素的新结合（孙早 & 韩颖，2018；黄群慧，2021）。它包括: (1) 引入一种新产品；(2) 采用一种新的生产方法；(3) 开辟新市场；(4) 获得原料或半成品的新供给来源；(5) 建立新的企业组织形式（高彦彦，2018）。熊彼特分析了创新与经济发展的内在规律性，揭示了

创新是经济发展的推动力。他认为，创新过程是从内部不断破坏旧的经济结构，形成新的经济结构的内在变革的创造性破坏过程，创新不仅是一种技术变动的现象，更是一个社会过程（唐丽艳 et al.，2019）。随着科技进步、社会发展，对创新的认识也是在不断演进的。特别是进入 21 世纪，知识社会的到来，对创新模式的变化进一步被研究、被认识。

3. 信息不对称理论

上世纪 70 年代，经济学家提出信息不对称理论，它为市场经济提供了一个新的视角。李飞 (2010) 认为由于利益双方对信息的掌握程度是有差异的，信息掌握充分的一方往往处于有利地位，而信息掌握不充分的一方处理不利地位。信息不对称理论从委托-代理理论衍生而来，现在看来，信息不对称现象简直无处不在，按照这一理论，在企业管理中，管理者比股东更了解企业有关的各种信息，因此管理通常利用信息不对称因素而采取一些与股东利益不一致的行为，从而使自己从中获得更多的超额收益。

研究综述

1. 企业创新绩效研究综述

在一个行业中，企业创新决定了一个企业是引领者还是模仿跟随者。企业创新最终目标是实现企业的最佳效益，即取得较高的创新绩效。随着技术驱动型经济发展，创新成为了企业在市场竞争中提升核心竞争力的必由之路。创新研究具有一定的理论前沿性与重大的实践指导意义，学术界对其关注由来已久，特别是对企业创新绩效的影响因素研究，吸引了众多中外学者的研究与探讨。

(1) 环境因素对创新绩效的影响

关于环境因素对创新绩效的影响，诸多个学者都曾进行深入的研究。创新环境与创新绩效相互关联，相互影响，相互促进，环境因素对创新具有驱动效应 (Frank & Hess，2007)。王郁蓉与师萍 (2015) 研究表明创新环境与创新绩效之间存在着显著的互动关系。环境因素主要包括制度环境、区域环境及人力资源环境等。制度环境是影响企业创新决策、创新绩效的关键因素，对高技术产业创新绩效有显著正向影响（石盛林与陈圻，2015）。任雪娇 et al. (2019) 认为创新企业应主动适应制度环境以提高创新绩效。区域创新环境对企业创新绩效也有较大影响，中国东部地区较发达，经济水平较高，企业的吸收能力较强，创新效果较好，创新产出较高。人力资源环境直接影响创新绩效（徐彪 et al.，2011）。另外，学者也基于环境动态性的调节作用进行了大量的研究。许骞 (2020) 研究发现，环境动态性正向调节了知识吸收能力与企业创新绩效之间的关系，且正向调节了知识吸收能力的中介作用。

(2) 组织因素对企业创新绩效的影响

学者针对组织因素的影响做了大量的研究，包括组织结构、组织冗余以及组织文化等。随着经济全球化和信息化的发展，越来越多的理论家和实践者已经认识到，企业组织结构对企业创新绩效产生重要影响。张小娣与赵嵩正 (2012) 的研究结果表明：组织结构正向影响创新绩效。关于组织冗余对企业创新绩效的影响，学者没有得出一致的结论。郭立新与陈传明（2010）研究结果表明，组织冗余在第一阶段对企业技术创新绩效有负向影响，在第二阶段对企业技术创新绩效有正向影响。万伦来与吴少卿 (2016) 研究表明，组织冗余与企业创新绩效之间呈现倒"U"形曲线关系。同时，企业创新能力在很大程度上依赖于组织文化，适应性组织文化对于企业创新绩效具有积极影响（赵晓煜与刘言哲，2020）。齐振兴与朱必祥 (2020) 对组织文化、知识管理与零售企业创新绩效的相关性进行了分析，结果表明：集体文化类零售企业偏向于采取积极人际化的知识管理策略来提高创新绩效，谋利文化类零售企业偏向于采取

积极流程化的知识管理策略来提高创新绩效，分散文化类零售企业偏向于通过保守流程化的知识管理策略来提升企业创新绩效。

2. 管理者自利行为相关研究综述

亚当·斯密在他的著作《国富论》中指出，“经济人”的行为具有明显的趋利性。他认为自利行为不仅是从事经济活动的判断标准，还是从事经济活动的根本动力和唯一目的。在经济活动中，必然是包含了自己和别人双方面的利益。由此可见，“经济人”具有按照其理性追求自身利益最大化的根本特征。

(1) 管理者自利行为的内涵

随着企业所有权与经营权的分离，引发了所有者与经营者之间的“委托-代理问题”。根据“理性经济人假说”，委托人与代理人的目标并不完全一致。每个人在从事经济活动中都以追求自身利益最大化为动机和目的。刘仕琦 (2017) 人认为管理者自利行为是不可回避的客观现实。

(2) 管理者自利行为的具体表现

根据前人学者研究的文献来看，管理者的自利行为主要表现在超额薪酬、在职消费、管理费用率、过度投资、自由现金流及闲暇时间等几个方面。

管理者权力理论认为，管理者利用手中的权力给自己设置超额薪酬，是其自利行为中最常用最直接的一种表现形式。高管通常利用手中的权力影响寻租，获得超过正常的，且不能解释的薪酬（郭科琪，2014）。Bebchuk 与 Fried (2003) 研究发现，高层管理者存在“攫取租金”的自利动机，常常凭借手中的权力，主导自身薪酬契约的设计，从而导致偏离最优薪酬契约。在职消费是管理层在行使职权、履行职责过程中所发生的，由企业支出的各种相关费用。高管人员很容易从这些费用中获取好处。Bebchuk 与 Fried (2003)，刘虹君 (2019) 认为管理者通过在职消费会侵蚀企业的资源，进而会损害所有者的剩余权益。高管在职消费会受到其自身权力大小的影响，高管权力越大，其享受的在职消费越多（张铁铸与沙曼，2014）。过度投资是一种低效率投资决策行为。由于增加公司规模或进行多元化经营能够在不同方面满足管理者的私人利益，因此管理者很可能乐于从事这种行为。在缺乏有效内部监管的环境下，很容易发生过度投资等委托-代理问题，王丽娟 et al. (2021) 研究发现央企高管出于自利动机，为获得某些灰色利益而进行过度投资。

(3) 管理者自利行为的制约

由于自利动机，代理人的行动并不总是考虑委托人的最大利益，进而导致委托人和代理人的目标不一致。因此，需要制定相应有效的监管措施和约束机制，加强对管理者自利行为的约束。首先，建立健全激励和约束机制，通过促进管理者与股东目标利益趋同，可缓解由于管理者自利行为造成的代理成本（赵康生 et al.，2017）。其次，加强董事会的监督力度，何瑛与马添翼 (2021) 研究表明，董事会非正式层级能够约束管理者的自利行为和抑制管理者的过度自信，从而有助于提升企业长期并购绩效。再次，加大会计信息披露强度，能对管理者进行有效的监督。孙彤与薛爽 (2019) 认为如果加入对信息披露的激励机制，鼓励高质量信息披露，能有效减少高管自利行为。另外，张娆 et al. (2017) 认为，主管部门应将目前孤立进行的预测信息监管和内部人交易监管联系起来一并监管。

企业研发投入相关研究综述

研发投入主要指企业进行科学研究与试验发展的经费支出，是企业创新发展的基本保证。近年来，随着国际社会对创新发展的不断关注，如何提高企业研发投入也受到了格外的重视。根据对已有文献的梳理发现，研发投入的影响因素主要来自宏观和微观两方面。

1. 在宏观方面

在宏观上，政府的直接投入、行业市场竞争以及金融发展环境等影响了企业的研发投入，政府宏观调控对企业研发投入有着巨大的影响。其中，政府资助效果表现为杠杆效应，政府补贴对企业研发总投入有诱导效应（徐宝达 & 赵树宽，2017）。张帆与李娜 (2021) 通过建立博弈理论模型分析了政府创新补贴、市场竞争程度和技术溢出效应等因素对企业研发投入的交互影响及内在运行机制，结果表明：政府创新补贴和技术溢出效应的大小、市场竞争程度密切相关，这些因素对创新投入会产生交互影响。市场竞争也会促使企业加大创新投入的力度。刘芳 (2019) 认为市场竞争对企业研发投入有正向影响，也就是说企业外部市场竞争越激烈，企业的研发投入越大，自主研发能力越强。

2. 在微观方面

在微观上，对研发投入的影响存在诸多因素。CEO 变更会影响企业的研发投入。韩洁 et al. (2015) 实证分析后发现，新任 CEO 在任期第一年倾向于加大研发投入，当公司管理层存在过度自信倾向时，新任 CEO 在任期初始阶段与研发投入的正相关关系更强。产业技术属性也对企业研发投入决策产生影响，在技术机会较多的产业，企业更倾向于投入研发活动（王芳与赵兰香，2016）。还有董事会资本、CEO 股权激励对企业研发投入产生影响。严若森与钱晶晶 (2016) 实证研究表明，董事会资本与企业研发投入显著正相关，CEO 股权激励在其中存在正向调节效应。股权结构也是影响企业创新投资决策的重要因素，大股东具有攫取控制权私有收益的倾向，导致大股东的堑壕效应。但机构投资者能够进行理性投资，积极参与公司治理，机构投资者持股与研发投入呈显著的正相关关系（郑毅 et al.，2016）。另外，还存在有新产品市场需求、行业市场竞争和外部筹资环境等因素的影响，学者也进行了大量的研究。

总之，通过上述对学术界的研究成果进行回顾，可以看出前人在相关领域进行了大量的研究，研究成果丰硕。对管理者自利行为、研发投入、企业创新绩效及其影响因素的研究，具有一定的理论前沿性与重大的实践指导意义。但对管理者自利行为、企业创新绩效变量的衡量还没有形成统一的量化方法，指标设计存在较大差异。同时，管理者自利行为与企业创新绩效之间的传导路径需要进一步明晰。

研究假设

1. 管理者自利行为、研发投入及企业创新绩效之间的关系

创新作为科技发展的源泉，在经济社会发展中发挥着不可取代的关键作用，创新日益成为企业、国家综合竞争力的关键指标。创新不仅带动着社会经济的发展、改变着世界。同时，创新也是企业的生命之源，使得企业维持着持续快速的发展。但是，企业创新发展存在着长期性和风险性，创新绩效无法在短期内就能体现出来。

管理者在组织管理活动中起决定性作用，是决定企业成败的关键。根据委托-代理理论，由于委托人与代理人的目标并不完全一致，代理人可能为更多地追求自身利益的最大化，而更在乎短期的绩效目标，而对企业长期的创新发展作出不利的决策，违背企业价值最大化的目标（赵莹 et al.，2018）。王超发，王树斌与杨德林 (2021) 研究表明管理者所掌握的资源配置权力和其自身利益之间存在着天然的纽带关系。所以管理者自利行为会偏离股东所有者利益，产生代理冲突，从而对企业创新绩效产生负面影响。基于以上理论，提出如下假设：

H1：管理者自利行为对企业创新绩效有负面影响，即管理者自利行为指数越高，企业创新绩效越差。

2. 管理者自利行为与企业研发投入

一个企业的研发水平体现着它的竞争力。只有通过对研发的不断投入，企业才能与时俱进把握住发展机遇，形成长久的竞争优势，促进企业发展，才能使股东利益最大化。然而，在现代企业制度下，企业管理者掌握着企业的实际控制权，所拥有的权力及其偏好行为会对企业的健康发展产生重要影响，进而影响着企业研发投入的决策。由于研发投入的风险性、长期性及不确定性，管理者在对企业的研发投入作出决策时，不可避免地受到内外部环境因素的影响，存在从自身利益出发的行为。为了眼前短期的业绩，管理者常常会做出短视的投资行为，风险小、成本低、回报快的项目通常是他们的最优选择，而对创新投入等风险大、周期长的研发项目投入有限，造成管理者自主创新力度不够的现状（赵莹 et al.，2018）。从而影响到企业研发投入的最优决策。因此提出本文第二个假设：

H2：管理者自利行为对企业研发投入有负面影响，即管理自利行为指数越高，企业研发投入越少。

3. 研发投入与企业创新绩效

企业的研发创新活动实质上是企业的投资行为，研发投入是获取创新资源的基础和激励创新的动力。徐维祥 et al. (2018) 研究发现，研发投入对企业创新具有激励作用。Aghion et al. (2018)，肖延高 et al. (2019)，何筠与李碧寒 (2020) 认为伴随着研发投入的增加，企业技术升级以及知识更新频率加快，其知识储备和技术资本不断积累，从而促进技术外溢，提升企业整体创新能力。基于上述分析，本文提出本文第三个假设：

H3：企业研发投入对企业创新绩效有正面影响，即企业研发投入越多，企业创新绩效越好。

4. 研发投入在管理者自利行为与企业创新绩效间的中介效应

研发投入是企业的一项战略决策，对企业创新绩效产生重要影响。研究表明，企业研发投入越高，创新效果越好。学者何保国 (2019) 研究认为较高的创新投入强度使得企业能在同行业中始终保持竞争优势，进而获得了较好的绩效水平。同时，企业的创新投入受到管理者的决策影响。管理者的自利行为显著削弱了研发创新的投入强度，从而影响了企业的创新绩效。本文认为，企业管理者自利行为与企业绩效间存在着“管理者自利行为—企业 R&D 投入—企业创新绩效”三步链的中介传导机制。因此，提出本文第四个假设：

H4：企业研发投入在管理者自利行为与企业创新绩效之间存在中介效应。

研究框架图

本文在相关理论及综述的基础上，从管理者自利行为、研发投入及企业创新绩效之间的关系出发，构建了本研究的框架模型，如图 1 所示。其中，管理者自利行为为解释变量，企业创新绩效为被解释变量，企业研发投入强度为中介变量。

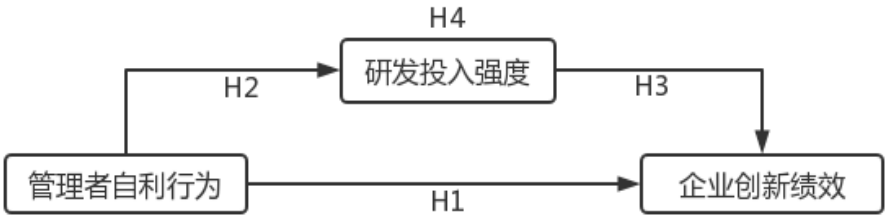

图1: 研究框架图

1. 研究模型的建立

基于以上的实践与理论背景，本文以管理者自利行为与企业创新绩效的相关性为题进行研究，尝试探究管理者自利行为与企业创新绩效之间关系的作用机理，进一步分析研发投入的中介效应。其中，被解释变量、中介变量、解释变量分别为企业创新绩效 (IP)、研发投入 (RD)、管理者自利行为 (Self)；控制变量包括盈利能力 (ROA)、自由现金流量比 (Free)、托宾 Q 值 (TobinQ)、区域 (Area)、行业 (Indu) 及年份 (Year) 虚拟变量。根据研究需要，本文采用面板模型进行实证分析，并按照研究所提出的理论假设建立面板计量回归模型如下：

(1) 管理者自利行为与企业创新绩效的关系模型。以企业创新绩效为被解释变量，管理者自利行为为解释变量，并纳入控制变量建立如下模型 (1)。

$$Ip_{i,t+1}=\beta_0+\beta_1Self_{i,t}+\beta_2ROA_{i,t}+\beta_3Free_{i,t}+\beta_4TobinQ_{i,t}+\beta_5Area_{i,t}+\beta_6Indu_{i,t}+\beta_7Year_{i,t}+\varepsilon \quad (1)$$

(2) 企业研发投入与创新绩效的关系模型。以企业创新绩效为被解释变量，研发投入为解释变量，并纳入控制变量建立如下模型 (2)。

$$Ip_{i,t+1}=\beta_0+\beta_1RD_{i,t}+\beta_2ROA_{i,t}+\beta_3Free_{i,t}+\beta_4TobinQ_{i,t}+\beta_5Area_{i,t}+\beta_6Indu_{i,t}+\beta_7Year_{i,t}+\varepsilon \quad (2)$$

(3) 管理者自利行为与研发投入的关系模型。以研发投入为被解释变量，管理者自利行为为解释变量，并纳入控制变量建立如下模型 (3)。

$$RD_{i,t}=\beta_0+\beta_1Self_{i,t}+\beta_2ROA_{i,t}+\beta_3Free_{i,t}+\beta_4TobinQ_{i,t}+\beta_5Area_{i,t}+\beta_6Indu_{i,t}+\beta_7Year_{i,t}+\varepsilon \quad (3)$$

(4) 研发投入在管理者自利行为与企业创新绩效之间的中介效应模型。以企业创新绩效为被解释变量，管理者自利行为为解释变量，研发投入为中介变量，并纳入控制变量建立如下模型 (4)。

$$Ip_{i,t+1}=\beta_0+\beta_1Self_{i,t}+\beta_2RD_{i,t}+\beta_3ROA_{i,t}+\beta_4Free_{i,t}+\beta_5TobinQ_{i,t}+\beta_6Area_{i,t}+\beta_7Indu_{i,t}+\beta_8Year_{i,t}+\varepsilon \quad (4)$$

研究方法

选择研究对象

为了更好地研究管理者自利行为与企业创新绩效的关系，本研究选择了中国 2012-2020 年沪深 A 股上市公司数据样本为研究对象。剔除金融行业、房地产行业、ST、*ST 企业，剔除数据不全的记录，共获得 2251 家企业，9449 个有效观测值。

确定研究方法

本研究综合运用计量经济学、管理学、组织行为学等理论思想与方法，以规范研究辅以实证分析，对“管理自利行为一 R&D 投入一创新绩效”这一作用路径进行论证。首先采用理论分析的方法，在阅读大量文献及结合本文自身研究的基础上，梳理了企业创新绩效、管理者自利行为及研发投入的相关文献，提出假设，建立理论模型，并对核心变量进行概念界定，为本文的研究提供了基础理论支持。然后进行实证分析，以企业创新绩效为因变量，管理者自利行为为自变量，研发投入为中介变量，运用 Excel 进行数据收集整理，并使用 Spss24 进行相关性分析，并使用广义估计方程 (GEE) 对提出的理论假设进行实证检验，论证管理者自利行为、研发投入与企业创新绩效之间的相互关系。

进行数据收集、整理

本研究以管理费用率衡量管理者自利行为、研发投入总额的对数值衡量研发投入强度、滞后一期的专利申请总数的对数值衡量企业创新绩效，以及盈利能力、自由现金流量比及

托宾 Q 值等财务指标为控制变量进行研究。上市公司数据来源于 RESSET 数据库，专利数据来源于 CSMAR 数据库。此外，为了排除极端值的影响，对连续变量进行前后 1%水平上的缩尾处理。

变量说明

1. 被解释变量

本文被解释变量为企业创新绩效。据中国国家知识产权局发布 2019 年度主要工作统计数据披露，发明专利的授权周期平均为 17.3 个月，专利从申请到披露的审核周期较长。同时考虑到专利申请数能直观地反映企业创新产出，采用专利申请数衡量企业创新成果更具代表性，且专利是衡量创新能力的常用指标，具有通用性、一致性和易得性等特点，通过对比分析各种企业创新绩效测量方法的优、缺点。选择从创新产出这一角度出发，参照易靖韬 et al. (2015)，黄海杰 et al. (2018) 等的做法，将企业年度专利申请总数作为被解释变量的度量指标，可使研究结论更为稳健。又因为企业从研发投入到创新产出需要一定的周期，本文借鉴于茂荐与孙元欣 (2020) 等的方法，最终选用滞后一年的专利申请总数作为企业创新绩效的替代变量。

2. 解释变量

管理者的自利性主要体现在通过在职消费等行为来实现自身利益，以及为了自身短期收益最大化而抵制一些有利于公司长期发展的创新活动等行为。管理者自利行为的代理方法很多，本文参考李云鹤 (2014)，邓路 et al. (2017)，李晓慧 et al. (2019)，黄俊威 (2020) 等的做法，选取管理费用率(管理费用占主营业务收入的比例) 作为公司管理层自利程度的代理变量。该值越高，管理层用于自身消费的相对费用越多，代理成本越高。

3. 中介变量

本文的中介变量是企业研发投入强度，研发投入主要是指公司的用于研究与开发活动的投入。本文借鉴前人的研究认为研发投入能较好衡量公司在创新方面的重视程度和所分配资源的大小，也能很好地反映出管理者对公司创新决策的实施和执行情况。绝对投入能客观刻画出不同公司在创新投入的重视程度、能力高低和具体大小，具有较强的可比性和实际意义。因此，本研究参照王佳 (2020)，陈文磊 (2021)，耿晔强与郭伟 (2021) 等的做法，选择创新投入的绝对指标即研发投入费用总额的自然对数作为创新投入的测量指标。

4. 控制变量

在参照管理者自利和企业创新行为相关研究的基础上，研究围绕公司特征层面和公司治理机制层面控制了一些其他被发现会对企业创新意愿、创新结果或创新新效率存在影响的因素。本文参照前人的文献研究结果，选取盈利能力 (ROA)、自由现金流量比 (Free)、托宾 Q 值(TobinQ)、区域 (Area)（东部地区为 1，西部地区为 0）作为控制变量。同时，再引入企业所处的行业 (INDU) 和年度 (Year) 两个虚拟变量进行控制。

进行数据分析

本研究首先对样本数据进行描述性统计分析，查看各变量的极值、平均值、中位数及标准差；然后进行相关性分析，初步获得各变量间的相关性；最后进行回归检验，对各变量的相关性及中介效应进行深入的分析和检验，并得出结论。

研究结果

本研究对管理者自利行为、研发投入及企业创新绩效的关系，以及研发投入的中介效应进行了深入的分析，详细内容如下：

描述性统计分析

本文首先对研究样本中的各变量进行描述性统计分析。通过运用 Spss 24.0 软件对各样本中变量的极值、均值、标准差及中位数进行统计，观测样本数据的整体分布特征，结果见表 1 所示。

表 1: 研究变量描述性统计

变量	最小值	最大值	平均值	中位数	标准差
创新绩效 (Ip_{t+1})	0.6931	6.4630	2.7438	2.6391	1.2595
管理者自利行为 (Self)	1.2826	37.1201	9.6254	8.1818	6.4792
研发投入 (RD)	14.8629	22.0213	18.1186	18.0223	1.3105
盈利能力 (ROA)	-12.0765	24.7577	6.3575	5.6851	5.6455
自由现金流量比 (Free)	-0.9486	0.6127	-0.0221	0.0061	0.2282
托宾 q 值 (TobinQ)	0.5884	24.2560	4.5990	3.5007	3.7945
区域 (Area)	0.0000	1.0000	0.7040	-	0.4563

通过描述性统计分析，表 1 列出了相关变量的极小值、极大值、均值、标准差以及中位数。从统计结果来看，创新绩效的极小值为 0.6931，极大值为 6.4630，标准差为 1.2595，说明不同企业间的创新程度、创新效果差异较大；均值为 2.7438，中位数为 2.6391，均值大于中位数，说明大部分的企业创新绩效较一般，只有少部分的企业创新效果明显。管理者自利行为的极小值为 1.2826，极大值为 37.1201，说明不同企业管理者的自利行为程度差异很大，自利行为受到多种外部因素的影响；均值为 9.6254，中位数为 8.1818，说明管理者自利行为基本呈正太分布。研发投入极小值为 14.8629，极大值为 22.0213，说明不同企业的研发投入也存在较大差距；均值为 18.1186，中位数为 18.0223，说明各企业的研发投入强度呈正太分布。另外，不同企业的资产收益率、自由现金流量比及市场估值相差较大，但基本呈正态分布；从地理区域来看，东部地区的企业明显多于西部地区。从描述统计结果总体来看，与实际情况基本吻合，各变量的数据具有合理的数据范围，能够为下一步分析提供依据和基础。

相关性分析

对被解释变量、解释变量、中介变量及部分控制变量进行相关性分析，结果如表 2 所示。

表 2: 各变量相关系数表

变量	Ip_{t+1}	Self	RD	Free	ROA	TobinQ	Area
Ip_{t+1}	1						
Self	-0.076**	1					
RD	0.423**	-0.155**	1				
Free	0.039**	-0.156**	0.089**	1			
ROA	0.082**	-0.152**	0.096**	0.264**	1		
TobinQ	-0.063**	0.211**	-0.070**	0.006	0.114**	1	
Area	0.016	0.047**	0.073**	-0.012	0.062**	0.022*	1

注: **、*分别表示双尾检验在 1%和 5%水平上显著。

从表 2 相关性分析的数据中可以看出，管理者自利行为与公司创新绩效的相关性系数为-0.076**，存在显著的负相关，说明管理者自利行为不利于企业的创新发展，在一定程度上

验证了假设 H1。研发投入与企业创新绩效的相关系数为 0.423**，存在显著的正相关，说明加大研发投入对企业创新绩效有积极的促进作用，在一定程度上验证了假设 H3。管理者自利行为与研发投入的相关系数为-.155**，存在显著的负相关，说明管理者为了自身的利益，存在短视的自利行为，从而阻碍企业长期的研发投入，在一定程度上验证了假设 H2。另外，自由现金流量比、及盈利能力与企业创新绩效的相关性系数分别为 0.039**、0.082**，呈显著正相关，说明盈利能力好，自由现金流量充足有利于企业的创新发展。管理者自利行为与自由现金流量比及盈利能力的相关系数分别为-.156**、-0.152**，呈显著的负相关，说明管理者的自利行为指数较高的企业，股东的控制力较弱，对企业管理层的监管不力，经营不善，盈利能力较差，自由现金流量较低。盈利能力与企业创新绩效、研发投入的相关性系数分别为 0.082**、0.096**，呈显著正相关，说明企业的盈利情况能正向影响其研发投入，进而促进企业的创新发展，有利于企业创新绩效的提升。另外，由于所有变量的相关系数值都小于 0.5，不存在多重共线性。

假设检验

由于本文研究的样本数据包含了同一个企业不同年份的多个观测值，其有时间序列和截面两个维度，为“时间序列-截面数据”，即“面板数据”。故可能存在某些不随时间变化的异质性因素使同一个企业不同年份的观测值相关。当同一公司不同年份的观测值不相互独立而导致自相关存在时，广义估计方程 (GEE) 估计要比固定效应模型和随机效应模型更一致更稳健。(Liang & Zeger，1986；王铁男 et al.，2017) 顾刘金 (2018) 认为广义估计方程是在广义线性模型的基础上发展起来的, 专门用于处理纵向数据等重复测量资料的统计模型, 包括不均衡的纵向数据，它解决了重复测量数据非独立性问题, 可得到稳健的参数。因此本文参照王铁男 et al. (2017) 的研究，采用广义估计方程 (GEE) 对模型进行了估计与回归。在相关性分析的基础上，运用 Spss 24.0 的广义估计方程 (GEE) 对各假设模型做进一步回归分析。结果如下表 3 所示：

表 3: 直接效应和中介效应回归结果

变量名称	模型 (1) Ip_{t+1}	模型 (2) Ip_{t+1}	模型 (3) RD	模型 (4) Ip_{t+1}
常量	1.563**	-5.853**	17.579**	-5.815
管理者自利行为 (Self)	-0.015**		-0.029**	-0.002
研发投入 (RD)		0.421**		0.42**
盈利能力 (ROA)	0.015**	0.008*	0.016**	0.008*
自由现金流量比 (Free)	0.116	0.023	0.234**	0.017**
托宾 q 值 (TobinQ)	-0.024**	-0.014*	-0.025**	-0.013*
区域 (Area)	0.067	-0.013	0.185**	-0.011
行业 (Indu)	控制	控制	控制	控制
年份 (Year)	控制	控制	控制	控制

注: **、*分别表示双尾检验在 1%和 5%水平上显著

表 3 的回归分析结果给出了管理者自利行为与研发投入及企业创新绩效的关系以及研发投入的中介效应。从模型 (1) 来看，管理者自利行为与企业创新绩效的回归系数为 -0.015，在 1% 水平上显著负相关，说明管理者自利行为阻碍了企业的创新发展，自利行为越严重，企业创新效果就越差，结果验证了假设 H1。从模型 (2) 来看，企业研发投入与企业创新绩效的

回归系数为 0.421，在 1% 水平上显著正相关。结果表明，研发投入能够显著地提高企业创新绩效，即研发投入对企业创新发展的影响是正向、积极的，从而验证了假设 H2。从模型 (3) 来看，管理者自利行为与研发投入的回归系数为 -0.029，在 1% 水平上显著负相关，说明自利的管理者存在短视行为，只在乎眼前的短期收益，对研发创新等长期的投入不积极，从而忽略了企业的研发投入，结果验证了假设 H3。另外，盈利能力、自由现金流量比与研发投入及企业创新绩效均呈显著的正相关，说明企业的盈利能力越强，资产回报率越高，创造的利润越多，自由现金流也就越多，自由现金流量比也就越大，可用于研发投入的资金也就越多，从而更有利于促进企业创新的发展；所在区域与研发投入在 1% 水平上显著正相关，表明东部发达地区企业的资金更丰厚，研发基础条件更佳，研发投入要远远高于西部地区的企业。

中介效应检验

从以上分析结果可知，加大研发投入力度有利于促进企业创新发展，提升企业的创新绩效。但由于委托-代理问题，管理者的自利、短视行为会影响企业的研发投入，进而影响企业的创新发展，降低了企业的创新绩效。以此为基础，为验证研发投入在管理者自利行为与公司创新绩效之间的中介作用。根据温忠麟与刘红云 (2020) 的中介效应检验方法，从模型 (1) - 模型 (4) 依次检验系数，系数 a、b 及 c 的值分别为 -0.029**、0.421** 及 -0.015**，且在 1% 水平上显著。而系数c′的值为 -0.002，但不显著，说明企业研发投入在管理者自利行为与企业创新绩效之间存在完全显著的中介效应。由此表明，研发投入在管理者自利行为与企业创新绩效间具有完全传递的作用，表现为完全中介作用，结果验证了本文提出的假设 H4。

稳健性检验

为了验证上述回归结论是否可靠，本文采用替换被解释变量的方式进行了稳健性检验。具体操作是：将企业创新绩效的测量指标用滞后一年的发明专利总数作为稳健性检验指标。从回归检验结果来看，稳健性检验所得结论和上文完全一致，说明上述的研究结论是稳健的。

总结

本研究在对大量相关文献进行阅读和综述，对委托-代理理论、创新理论等理论进行分析的基础上提出假设，建立回归模型，并对管理者自利行为、研发投入及创新绩效等变量进行界定。对相关变量进行了描述性统计和相关分析，并使用广义估计方程 (GEE) 对提出的理论假设进行实证检验，并就模型的稳健性加以验证。从分析检验结果来看：管理者自利行为与企业创新绩效具有显著的负相关性，即管理者自利行为指数越高，企业创新绩效越差；管理者自利行为与企业研发投入具有显著的负相关性，即管理自利行为指数越高，企业对研发创新的投入越少；研发投入与企业创新绩效具有显著的正相关性，即企业对研发投入越大，企业的创新绩效越好；研发投入在管理者自利行为与企业创新绩效之间存在完全的中介效应，即管理者自利行为通过企业的研发投入影响创新绩效。

讨论

近年来，学者对企业创新绩效进行了大量的研究，大多从环境因素、组织因素等方面着手探讨对企业创新绩效的影响。从个体因素，特别是管理者自利行为方面对企业创新绩效进行研究的文献少之又少。本文从管理者自利行为出发，研究了管理者自利行为、研发投入及企业创新绩效间的相互关系，并检验了研发投入在管理者自利行为与企业创新绩效之间的中介效应。阐明了管理者自利行为、研发投入及企业创新绩效之间关系的作用机理。通过对相关概念

的界定，进行了细致的研究设计，从委托--代理理论、资源基础论及创新理论中归纳出与本文研究密切相关的思想与观点，并提出了基于相关理论的研究假设。本文以中国沪深 A 股上市公司 2012-2020 年的 2251 家企业，共 9449 个有效观测值作为研究对象，分别对管理者自利行为、研发投入及企业创新绩效之间的相互关系，研发投入的中介效应进行深入探讨。研究结果显示: (1) 管理者自利行为对企业研发投入和创新绩效都有着显著的负向作用。管理者的自利、短视行为对自己的个人利益有强烈的追求，倾向于选择那些眼前的、短期的、能迅速获得回报的项目进行投资。而研发投入具有高度不确定性，周期长，一旦失败造成损失可能还要承担相应责任。在这种情况下，管理者就缺乏对创新研发的积极性，对企业研发投入缺乏兴趣。由于研发投入的不足，无法保障企业创新研究的发展，致使企业创新绩效表现不佳。(2) 企业研发投入与创新绩效呈显著的正相关，即企业研发投入越大，其创新绩效越好。(3) 企业研发投入在管理者自利行为与企业创新绩效之间具有完全中介作用，即管理者自利行为通过研发投入影响企业创新绩效。

管理者代理问题建立在现代企业所有权和控制权相分离的基础上, 管理者自利行为不利于的企业研发的投入，从而影响企业的创新发展，有碍企业创新绩效的提升。因此，如何强化对管理者自利行为进行限制和监管，从根本上降低管理者自利行为对研发投入及企业创新绩效的影响，保护投资者利益，既是理论前沿也是实践中需要解决的问题。本文认为上市公司应该着力完善公司治理结构，加强大股东对管理层的监督；在公司重大决策上，应充分发挥董事会的作用，落实和增强独立董事的责任感和监督力，健全监事会的职能，加强对管理者行为的监督；在实施薪酬激励方案时，要防止管理层之间共谋操纵激励方案的制定与实施；此外，还应建立健全市场监管法律法规，建立切实有效的制度、措施来约束管理者自利行为，提高法律执行效率。

本文仍存在一定的不足，目前度量管理者自利行为和企业创新绩效的指标非常多，没有统一的标准，利用某一方面单因素来衡量变量指标，代表性存在先天的不足，未来研究有待进一步完善综合指标计量法，提升研究分析结果的准确性。

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顾客参与服务创新的研究综述——基于文献计量学的分析
CUSTOMER INVOLVEMENT IN SERVICE INNOVATION: BASED ON THE VIEW OF BIBLIOMETRICS

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摘要

服务经济时代下，服务创新是企业核心竞争力的重要源泉，而顾客参与是实现服务创新的重要途径，是企业构建生态化创新新模式不可或缺的环节。现有文献都聚焦于特定主题或研究框架的构建，但仍存在着一定的研究局限。本文采用文献计量分析方法对顾客参与服务创新的研究现状进行梳理和解读，分别在 Web of Science (WOS) 数据库和知网 (CNKI) 数据库收集文献资料，结合 Citespace 软件，运用主题分析、关键词共现网络分析等内容，聚焦顾客参与服务创新的研究现状，提炼三大热点问题包括顾客参与服务创新的动机、价值共创过程和创新绩效，期望未来的研究从研究视角、研究内容和实践情景上有所突破，能更好的指导企业开展创新实践。

关键词： 顾客参与 服务创新 研究综述 文献计量学

Abstract

In the era of service economy, service innovation is an important source of enterprises' core competitiveness, and customer participation is an important way to realize service innovation and an integral part of enterprises' construction of a new ecological innovation model. The existing research focuses on the construction of specific topics or research framework, but there are still some research limitations. This paper uses the bibliometric analysis method to sort out and interpret the research status of customer participation in service innovation , lookup literature in the web of Science (WOS) database and China national knowledge infrastructure (CNKI) database respectively, and focus on the research status of customer participation in service innovation by using theme analysis and keyword co-occurrence network analysis combined with Cite Space software, focus on the research status of customer participation in service innovation, summary three hot issues including the motivation of customer participation in service innovation, value co creation process and innovation performance, and expect future research can achieve in research perspective, research content and practical scenarios，and guide enterprises to carry out innovative practice better and better .

Keywords: Customer Involvement, Service Innovation, Research Review, Bibliometric

引言

近年来，服务业成为越来越多国家的经济支柱产业，服务经济在世界经济中的占比不断上升，全球产业结构正从“产品经济”向“服务经济”转变。服务创新是服务业发展和经济增长的关键因素。通过服务创新，增加产品附加值，提升资源利用效率，不仅能够推动服务业自身的发展，还可以促进其他产业的转型升级，转变经济增长方式，成为社会变革的催化剂和经济可持续增长的新引擎。互联网使得企业获取资源的范围渐渐开放，随着开放式创新的研究逐渐兴起，创新模式不再是以往单一的企业内部的创新活动，而是“有目的知识流入和流出以此来加速内部创新同时通过创新的外部使用来扩大市场”)Chesbrough, 2012(。基于此，针对企业多方参与特征以及多方参与面临的效率问题，顾客参与和服务创新之间的影响途径、效应机制尚未明朗，需要对顾客参与服务创新的相关文献进行深入解读，探讨如果有效提高企业服务创新绩效的机制与途径，以期促进服务业发展，确保实现经济发展结构优化与升级。

随着服务经济的到来，服务创新作为满足消费者需求、提升企业核心竞争力的主要途径，是实现服务业产业结构优化升级和可持续发展的重要保障。服务创新以差异化、个性化的服务方式，扩展产品的整体内涵，更大程度满足消费者的需求；缺乏持续的服务创新，企业难以在激烈的市场竞争中胜出，服务创新是企业抓住市场潜在消费者的机会，通过提供差异化、高品质的服务，有助于帮助企业树立形象，提升核心竞争力，实现更好更快的发展。互联网技术日益成熟和服务经济的发展，为许多企业的顾客—企业互动创造了空间，逐步形成服务创新生态化的新模式，消费者在新模式中也由被动参与变为主动导向，只有满足消费者需求的创新才能获得竞争优势。而服务本身的生产与消费不可分离的特性决定了顾客参与是服务生存和传递的重要组成部分，因此，服务创新必须要让顾客参与其中（肖成，2019）。在许多企业的服务创新实践中，顾客对服务创新各阶段的影响现象屡见不鲜，如小米社区以交流和互动替代此前的个人信息展示，用产品圈的新形态社区实现顾企协同，帮助消费者实现互动创新的深度体验；中国移动通信集团的打造的中国移动应用市场构建众多顾客参与的开放式网络平台，已在全球范围内实践了多种灵活的合作模式；淘宝、京东电商平台结合小红书、抖音、快手等直播营销模式的生态价值创造等。这些服务创新实践表明，企业服务创新主体逐渐由单边市场的企业—顾客的二元关系演变为多边市场的商家—平台—消费者多元网络关系，顾客参与成为促进企业服务创新发展、构建生态化创新新模式不可或缺的重要组成部分。

研究目的

顾客参与服务创新被认为是促进企业服务创新发展、构建生态化创新新模式不可或缺的重要组成部分，但无论是从研究内容上还是从研究方法上，都缺乏稳定的核心学术观点，尤其是于两者间的影响途径、效应机制，不同的学者们分持不同的观点。本文通过大量的文献研究和相关结论的提炼，旨在全面回顾服务创新参与服务创新的研究框架，分析理论发展趋势和研究热点，系统梳理研究发展演进脉络，以期为推进该领域的研究进展提供一些理论指导。

研究综述

顾客参与企业的创新活动研究

目前，顾客参与企业创新的研究成果主要聚焦在服务创新的生产和消费两个层面，前者主要探讨企业与顾客的互动与交流来掌握顾客的需求，并据以设计、开发新的产品，包括用户参与角色、用户参与新产品开发阶段)Liu et al.,2019；Chang W., 2019(和产品创新绩效提升

路径)Morgan et al., 2018；Jiao et al., 2020(研究；后者主要基于服务主导逻辑理论强调顾客是价值的共同创造者，聚焦价值共创因素)Martinezcanas et al., 2016；Lan et al., 2017(和价值共创结果)Chan et al., 2010；Akman et al., 2019(研究。现有研究虽然不同层面强调了顾客参与的重要性，然而，服务产品的生产和消费更注重顾客参与，顾客参与服务创新的程度与效应不仅影响了企业创新的价值共创，还决定了企业创新的绩效提升。因此，不管是服务产品的生产领域还是消费领域，顾客参与都是服务产品实现创新和价值共创的重要载体)Jiao et al., 2020；Akman et al., 2019(。此外，一些学者对顾客参与企业产品创新文献进行了综述研究。如 Schweitzer et al.)2020(研究 153 篇聚焦顾客参与根本性产品创新的实证论文发现，顾客类型、产品操作方式和顾客参与创新阶段三方面因素影响顾客参与根本性产品创新；Rashid et al.)2019(运用引文分析法，对被引次数最高的 23 篇与社交媒体环境下用户参与产品创新的文献进行分析，识别出理论视角、用户特征和企业特征三个热点主题；Fuller et al.)2019(通过对 141 篇关于顾客体验对用户情感和行为影响的文章进行归纳总结，提出用户整合体验框架和影响用户体验的四维度因素，包括交互特征、任务特征、用户特征和环境特征。

顾客参与服务创新的效应研究

Auh et al.)2019(部分学者认为顾客参与对服务创新存在积极作用，顾客参与有助于提高顾客认同感，强化企业认同，形成企业的竞争优势。李惠璠 et al.)2009(, Carbonell et al.)2009(通过实证研究指出，参与可以提高技术质量和创新速度，从而促进企业竞争优势的提升。Lin 和 Huang)2013(运用实证研究和结构方程模型分析了台湾省 179 家高新技术企业，研究结果表明顾客作为信息资源提供者和共同开发者对新产品开发绩效的产生影响，并验证了组织间关系的中介作用。也有部分学者认为顾客参与创新存在消极因素，可能会降低生产者市场，压缩一部分市场份额)Gambardella et al., 2017(。还有 Mahr et al.)2014(研究结果表明，用户共创知识的相关性、新颖性和成本分别与用户接受度呈正向、倒 U 型和负向影响，从而对市场和财务绩效产生不同作用。周学春)2014(基于顾客角色视角，研究了顾客角色感知中角色模糊、角色冲突与角色负荷的存在对顾客满意产生的负向影响。

顾客参与服务创新的价值共创动机及过程研究

顾客参与服务创新的动机方面，Martin 和 Horme)1995(认为顾客从参与创新的预期利益越大，其参与到服务创新中的动机就越大；Nambisan)2002(提出，顾客参与服务创新不仅可以改善服务质量以满足自身需求，而且参与其中可带来更多乐趣与知识，因此，顾客对于参与创新是具备自愿性和主动性的。Lundkvist 和 Yakhief)2004(则认为，良好的顾客参与创新的活动是保持顾客与企业内部创新开发者的良好沟通，以使其能联合产生新创意。

从共创过程来看，Wong et al.)2016(提出共同创造框架，认为机会、社区、合作和文化四个阶段构成价值共创过程；Bettiga 和 Ciccullo)2019(分析了 13 个协同创造案例，根据顾客和供应商参与过程的程度不同，提出三种价值共创类型：用户驱动型（顾客参与多个阶段而供应商参与一个阶段）、供应商驱动型（顾客参与一个阶段而供应商参与多个阶段）和企业驱动型（顾客和供应商均参与一个阶段）。又如价值共创因素方面。Martinezcanas et al.)2016(指出顾客参与价值共创活动有助于提升个人与企业的价值，包括三因素：注重学习、享乐、自我尊重和表达的内部因素，注重物质奖励、社会资本和地位的外部因素以及为满足他人需求和福利的超越性因素；Lan et al.)2017(以 Mobike 共享平台企业为例，认为在共享经济中，促使顾客参与价值创造的因素主要包括自我效能感、责任认知、报酬期待以及学习过程。此外，Ind et al.)2019(指出，用户参与价值共创的动力来源于企业情感激励以及企业在线社区文化构

建。综上，通过对价值共创因素的识别，可有效促进顾客参与价值共创过程力度，从而为企业以及各创造更高的价值。

综上，现有文献都聚焦于特定主题或研究框架的构建，研究成果各有侧重，但仍存在以下两方面的研究局限需深入探究：一是研究内容方面，现有综述文献多是针对某一特定主题，如针对根本性产品创新、社交媒体、用户体验等进行回顾，忽略了对顾客参与服务产品创新理论视角的研究。而在服务主导逻辑（Service-Dominant logic，简称 S-D 逻辑） 和体验经济时代下，顾客参与对于服务创新的机制研究仍需完善，它们之间内部影响机理的研究有待进一步探究。二是研究方法上，现有综述文献多采用定性研究方法筛选高被引文献，依靠主观构建的研究框架归纳已有研究内容，缺乏借助文献计量工具从理论视角以及演进视角探究用户参与产品创新历程的系统性研究。因此，本文采用文献记录法对 Web of Science)WOS(和知网)CNKI(两大常用数据库中关于顾客参与服务创新的文献进行深入解读，以期找到顾客参与服务创新的研究热点与趋势。

研究方法

基于研究背景和目的，本文采用文献计量分析方法对顾客参与服务创新的国内外研究现状进行梳理和解读。具体而言，首先分别在 Web of Science)WOS(核心合集数据库和知网)CNKI(数据库中收集国外、国内的文献资料，运用 WOS、CNKI 和 Citespace 软件，系统梳理顾客参与服务创新的国外、国内研究现状；然后运用主题分析、关键词共现网络分析等内容，聚焦顾客参与服务创新的研究热点，解读研究趋势。

研究结果

基于 WOS 数据库的国际研究现状

首先在 Web of Science)WOS(的核心合集数据库中，用主题“顾客参与”)Customer participation/Customer involvement/User involvement/User participation/ Participation of user/ Participation of customer(和主题“服务创新”)service new development/Service Innovation）进行交叉检索，通过数次初始检索，最终拟定的检索表达式为：)TS =)Customer participation(OR TS =)User involvement(OR TS =)User participation(OR TS =)Customer involvement((AND)TS =)Service Innovation(OR TS =)service new development((。通过检索，查找到 364 篇初始文献。为进一步确保研究的有效性，进一步阅读标题和摘要，对这些文献进行初步筛选，除去会议、报纸等来源和部分主题明显不符的文章，保留 342 篇文献进行下一步分析。文献的基本指标分析见表 1。

表1: WOS 基本指标分析

文献数	施引文献（合计）	施引文献（去除自引）	被引频次（合计）	被引频次（去除自引）	篇均被引数	H 指数（高引用次数）
342	6069	6023	6366	6305	18.61	34

来源: 根据 WOS 检索结果整理得出

从整体上看，所选 342 篇文献篇被引数 18.61，H 指数（高引用次数）为 34，说明文献整体质量较高，具备一定的研究价值。按年份的被引频次和出版物分布见图 1。

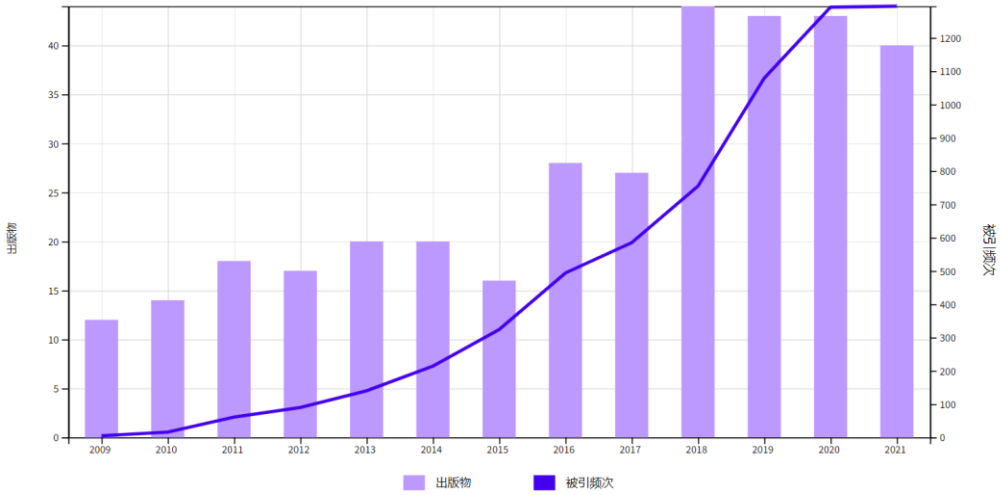

图1: WOS按年份的被引频次和出版物分布

来源: 根据 WOS 检索结果整理得出

从图 1 中我们看到，出版物数量逐年增长，至 2018 年达到最高值 44，2019 年至 2021 年虽略有下降，但也稳定保持在 43 的数值；从被引频次上看，被引频次基本保持逐年稳定增长的趋势（2021 年数据只统计 1-10 月），说明所选文献具备一定的参考价值。

1. 总体趋势分析

342 篇文献的总体趋势图见图 2。文献发表的年份基本分布在 2009-2021 年之间（2021 年为截止至 10 月的数据）；从整体上看，2016 年-2021 年间顾客参与服务创新的相关研究成果比较丰富，2018 年和 2016 年达到最高数量（44 篇），2019 年和 2020 年发表文献数量稍有下降（43 篇），2021 年 1-10 月发表文献 40 篇，可初步预计研究热度基本能与前几年保持一致。

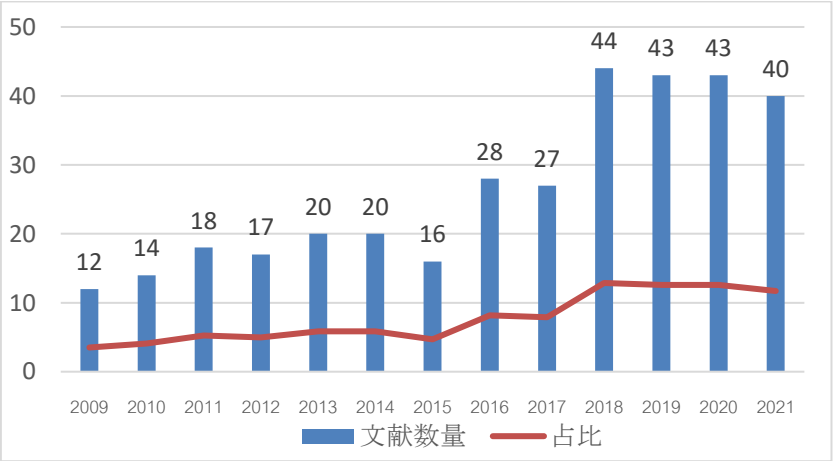

图2: WOS总体趋势示意图

来源: 根据 WOS 检索结果整理得出

2. 研究领域分析

按照研究领域分析，所选 342 篇文献研究最集中的领域方向是“工程”（88 篇）、“计算机科学”（69 篇）和“环境科学与生态学”（54 篇），其次为“健康管理科学服务”（47 篇）和“科技及其他”（41 篇），“商业经济学”和“公共环境与职业健康”（39 篇），和“宏观经济管理与可持续发展”（30 篇）。从数量上看，关于顾客参与的研究方向集中于技术创新而非服务创新，而专门针对服务业创新中顾客参与行为、机制的研究尚未得到重视。研究方向分布图（前 10 名）见图 3。

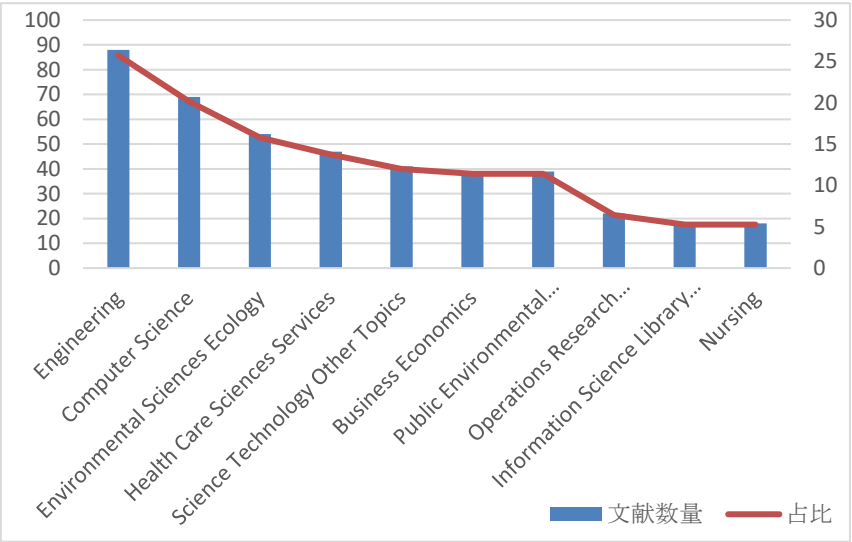

图3: 研究方向统计图(TOP10, WOS)

来源: 根据 WOS 检索结果整理得出

3. 主题（术语）分析

在 Citespace 中设置阈值，整理文献中高频出现的术语，将这些术语按照出现的频次进行排序，排在前十位的术语（见表 2）分别是“服务消费者“”半结构化访谈“”用户参与“”实践意义“”焦点小组“”服务参与“”可持续发展“”发展过程“”用户体验”和“服务用户参与”。我们可以看到，关于顾客参与服务创新的研究集中表现为两类，一类代表着研究内容，如服务用户、服务参与、用户体验等，另一类代表研究方法，如半结构化访谈、焦点小组等。

表 2: WOS 高频主题（术语）TOP10

序号	主题	中心性系数	频次	年份
1	Service user	0.31	24	2010
2	Semi-structured interviews	0.32	18	2015
3	user involvement	0.27	12	2009
4	Practical implications	0.05	10	2013
5	Focus group	0.11	9	2012
6	Service involvement	0.04	7	2018
7	Sustainable development	0.05	7	2016
8	Development process	0.11	7	2013

表 2: WOS 高频主题（术语）TOP10 (续。)

序号	主题	中心性系数	频次	年份
9	User experience	0.07	6	2013
10	Service user involvement	0.05	6	2011

4. 文献互引网络分析

文献互引网络是由文献间引用和被引用的关系构成的集合，能较直观的展示不同文献之间引用关系，描述学科间的关系和科学领域的发展。342 篇文献的互引网络图见图 4。

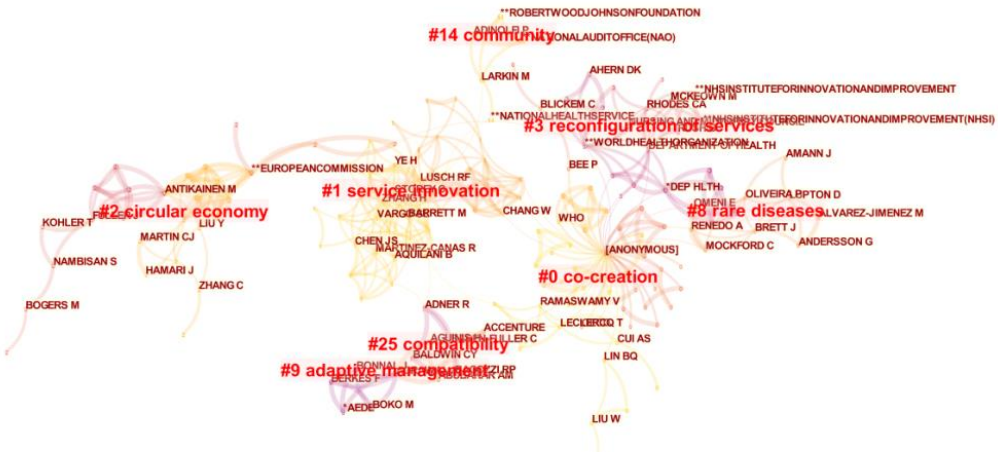

图4: WOS文献互引网络图

从整体上看，网络图呈现了区域发展的特征，网络紧凑型不高，形成若干密度较大的中心区域，不同区域间的知识和信息的相互联系不强，可见目前国际上顾客参与服务创新的研究学术流派较多，高水平研究人员研究之间的继承和发展联系不明显，还未围绕共同规范建立学术共同体，学科发展尚处于发展阶段。按照被引频次排序，前十篇高被引文献情况见表 3。

表 3: WOS 高被引文献)TOP10(

序号	作者（年份）	文献题目	发表刊物	被引数
1	Carbonell, P; Rodriguez-scudero,et al. (2009)	Customer Involvement in New Service Development: An Examination of Antecedents and Outcomes	Journal of product innovation management	250
2	Lin, R. J., Chen, R. H., & Chiu, K. K. S.(2010)	Customer relationship management and innovation capability: an empirical study	Industrial management & data system	141
3	Edvardsson, B.et al. (2012)	Customer integration within service development-A review of methods and an analysis of insitu and exsitu contributions	Technovation	112

表 3: WOS 高被引文献)TOP10((续。)

序号	作者（年份）	文献题目	发表刊物	被引数
4	Wilkinson, C.R. & De Angeli,A.i (2014)	Applying user centred and participatory design approaches to commercial product development	Design studies	99
5	Rayna, T., Striukova, L.,& Darlington,J. (2015)	Co-creation and user innovation: The role of online 3D printing platforms	Journal of Engineering and Technology Management	98
6	Gillard, S.G. et al. (2013)	Introducing peer worker roles into UK mental health service teams: a qualitative analysis of the organisational benefits and challenges	BMC health services research	87
7	Chen, K.H. et al. (2016)	Service innovation and new product performance: The influence of market-linking capabilities and market turbulence	International Journal of production economics	78
8	Papastathopoulou, P.,& Hultink,E.J. (2012)	New Service Development: An Analysis of 27 Years of Research	Journal of product innovation management	61
9	Schneebeli, C. et al. (2010)	Service user involvement in undergraduate mental health nursing in New Zealand	International Journal of mental health nursing	57
10	Balka, K., Raasch C., & Herstatt C.. (2014)	The Effect of Selective Openness on Value Creation in User Innovation Communities	Journal of product innovation management	50

来源: 根据 WOS 检索结果整理得出

5. 关键词共现网络分析

关键词共现网络是由文献关键词及共现关系形成的集合网络，也被称为“共词网络”，它是以“知识单元——”文献的关键词为基础构建的一类特殊知识网络。关键词共现网络作为一种研究方法，不仅可以从微观层面揭示了科学知识体系内的实体关系特征还以其演化过程反映了科学概念和科学命题的增长规律。在分析 342 篇文献的关键词共现网络时，为更清晰显示网络关系，将 “出现频次” 和 “共现频次” 筛选阈值进行调解，最终形成 网络分布图见图 5。

图5: WOS索引聚类主题分析图 (TOP10)

342 篇文献中，按出现频率进行排名，出现频次大于 10 的关键词见图 5。将这些关键词进行聚类后发现，排在前五位的关键词类别标签分别是 “服务主导逻辑”(Service-dominant logic(、“绩 效”(Performance(、“三 维 互 动”(Three-way interaction(、“顾 客 参 与”(Customer participation(和“网络创新”(Customer participation(，这五类关键词标签对应顾客参与服务创新研究中关于创新绩效、共创过程等热点问题。

基于 CNKI 数据库的国内研究现状

首先在 CNKI 用主题“服务创新”和主题“顾客参与”进行交叉检索，查找到 212 篇初始文献。为进一步确保研究的有效性，通过阅读标题和摘要，对这些文献进行初步筛选，除去会议、报纸等来源和部分主题明显不符的文章，保留 199 篇文献进行下一步分析。文献的基本指标分析见表 4。所选文章总被引数 2184，总下载数 143838，篇均下载数为 722.8，居于比较高的水平，但篇均被引数仅为 10.97，下载被引比偏低，仅为 0.015。与国际研究现状对比，国内现有研究成果被引情况并不理想。

表 4: CNKI 基本指标分析

文献数	总参考数	总被引数	总下载数	篇均参考数	篇均被引数	篇均下载数	下载被引比
199	13643	2184	143838	68.56	10.97	722.8	0.015

来源: 根据中国知网检索结果整理得出

采用 CNKI 和 CiteSpace 软件对 199 篇文献进行分析，包括总体趋势分析、研究层次分析、主题分布、学科分布、文献互引网络、关键词共现网络、作者合作网络等，通过全面梳理基本概况，进一步剖析研究热点和趋势。

1. 总体趋势分析

199 篇文献的总体趋势图见图 6。文献发表的年份基本分布在 2007-2021 年之间（2021 年为截止至 10 月的数据）；引用的参考文献基本都发表于 2000 年之后，引用的参考文献数量最多（71 篇）的年份是 2012 年；引证文章则分布在 2007 年之后，于 20019 年达到最大值 184 篇。从整体上看，顾客参与服务创新的研究在 2013 年-2019 年间比较活跃，2014 年和 2016 年达到最高数量（23 篇），2020 年和 2021 年研究热度稍有下降。

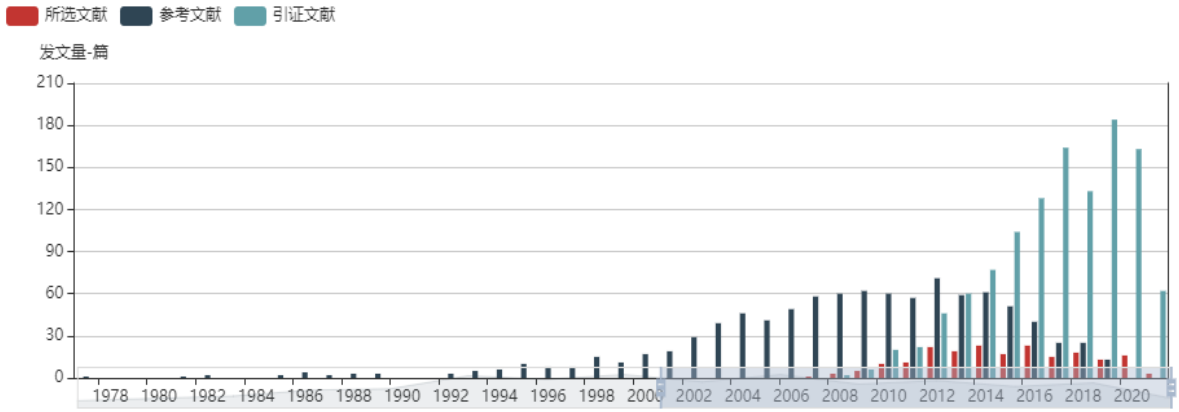

图6: CNKI总体趋势示意图

2. 研究领域分析

按照研究领域分布来分析，所选 199 篇文献研究最集中的领域是“企业经济”（144 篇），其次为“服务业经济”（46 篇）、“贸易经济”（45 篇）和“宏观经济管理与可持续发展”（30 篇）。从数量上看，部分文献学科分类是交叉学科，而“服务业经济”领域的文献数量仅是“企业经济”学科的三分之一左右，说明目前“服务业经济”学科领域方向上的研究成果还不够突出，大部分服务创新研究仍被局限或依附于“企业经济”学科领域研究中。研究领域分布图（前 10 名）见图 7。

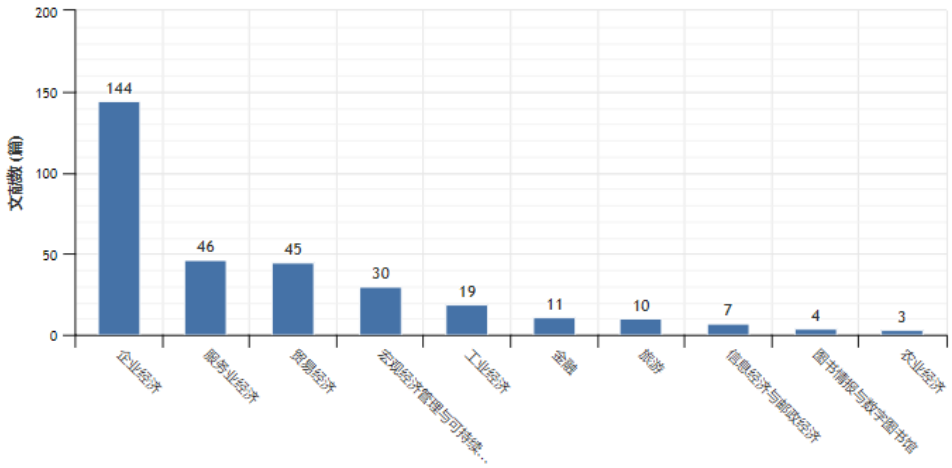

图7: CNKI研究领域分布图（前10名）

3. 主题（术语）分析

199 篇文献中，按出现频率进行排名，排名前 20 的主要主题和次要主题见图 8。主要主题中，除了 “顾客参与”和“服务创新”主题之外，最频繁的主题就是“服务创新绩效“”创新研究”和“新服务开发”，其外，“实证研究“”价值共创“”知识转移” 也排在前列，可见现阶段研究方向较集中与顾客参与服务创新的绩效影响、价值共创过程和实证方法。

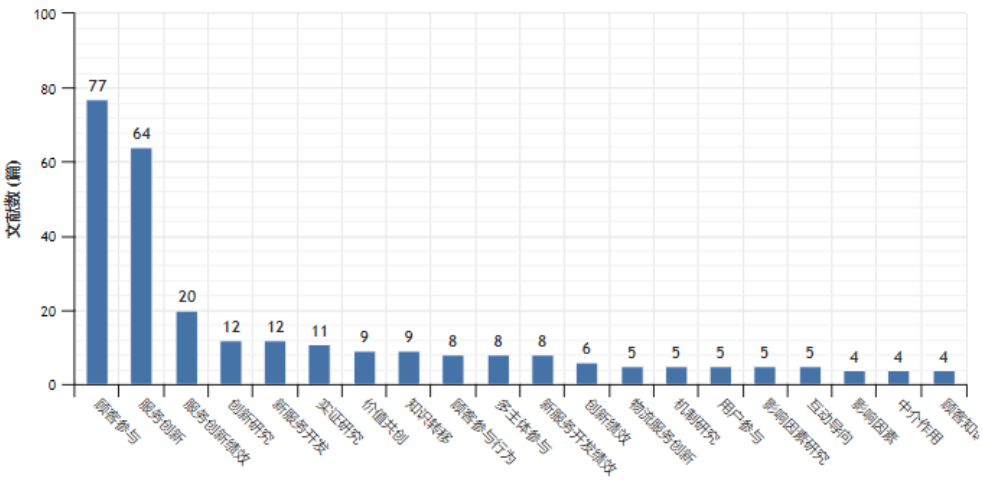

图8: CNKI主要主题分析图（前20名）

4. 文献互引网络分析

199 篇原始文献中，按照被引频率高排在前十位被引的原始文献见表 5。被引数频次最高的文章被引数是 173，其次为 161，其余的文献被引数均低于 100，从整体上看，被引频率并不高。

表 5: CNKI 高被引的原始（文献 TOP10）

序号	作者（年份）	文献题目	发表刊物	被引数
1	卢俊义 & 王永贵 (2011)	顾客参与服务创新与创新绩效的关系研究——基于顾客知识转移视角的理论综述与模型构建	管理学报	173
2	张若勇 et al. (2007)	顾客参与和服务创新关系研究：基于服务过程中知识转移的视角	科学学与科学技术管理	161
3	张红琪 & 鲁若愚 (2013)	服务企业顾客参与对员工创新行为的影响研究	科研管理	73
4	华中生 et al. (2016)	智慧养老服务的国家战略需求和关键科学问题	中国科学基金	71
5	周冬梅 & 鲁若愚 (2009)	服务创新中顾客参与的研究探讨：基本问题、研究内容、研究整合	电子科技大学学报（社科版）	66
6	张瑾 & 陈丽珍 (2015)	余额宝的服务创新模式研究——基于四维度模型的解释	中国软科学	62
7	王琳 & 魏江 (2009)	顾客互动对新服务开发绩效的影响——基于知识密集型服务企业的实证研究	重庆大学学报（社会科学版）	60
8	王永贵 et al. (2011)	组织顾客创新、供应商反应性与项目绩效的关系研究:基于组织服务市场的实证分析	南开经济评论	58

表 5: CNKI 高被引的原始（文献 TOP10）(续。)

序号	作者（年份）	文献题目	发表刊物	被引数
9	卢俊义 (2011)	供应商与顾客共同创造顾客价值的机理研究	南京大学	55
10	周国华 (2012)	物流企业服务创新的影响因素研究	华中科技大学	51

来源: 根据中国知网检索结果整理得出

分析 199 篇原始文献的互引网络时，为更清晰显示网络关系，将“关系强度“和“被引频次”筛选阈值均设置为 5，形成的文献互引网络示意图见图 9。从节点上看，参考文献的节点多且规模大，表示参考文献被引频次比原始文献的更高，被引关系更显著，参考文献最高被引次数为 2777 次，而原始文献最高被引次数仅为 173 次，说明目前国内的相关研究仍在发展阶段，未达到成熟水平。

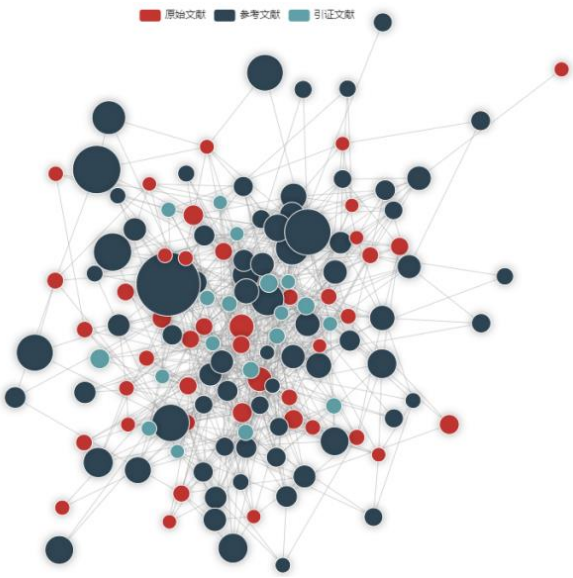

图9: CNKI文献互引网络分布示意图

5. 关键词共现网络分析

为更清晰显示网络关系，在分析 199 篇文献的关键词共现网络时，将 “出现频次”和“共现频次”筛选阈值进行调解，两者均设置为 2 时形成的关键词共现网络较为完整、清晰，示意图见图 10。

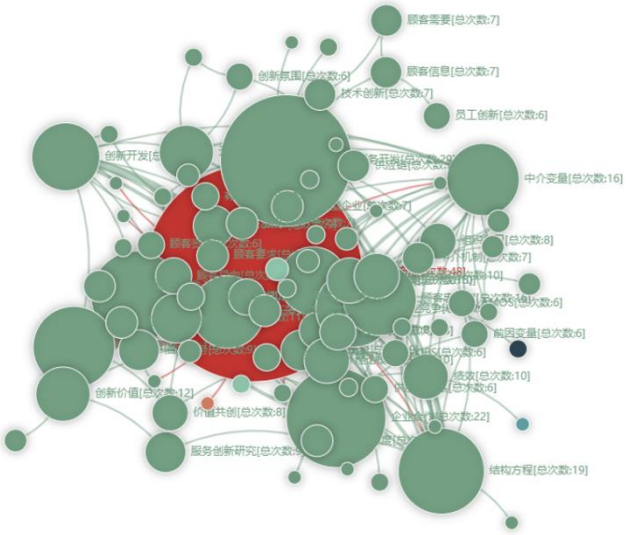

图10: 关键词共现网络分布示意图 (CNKI)

图中，频次越高，节点越大。从共现的关键词上看，出现频次高于 15 次的共现高频次关键词依次为："服务创新"48 次，"服务开发"29 次，"企业合作"22 次，"服务企业"20 次，"结构方程"19 次，"顾客价值"18 次，"企业竞争"17 次，"顾客忠诚度"和"中介变量"16 次，"顾客创新绩效"为 15 次。以上关键词除了与服务创新及顾客价值有关的关键词之外，还出现了"结构方程""中介变量"等与研究方法相关的关键词，说明现有研究成果中不乏探究实证研究成果。

结论与讨论

研究热点及演进脉络

通过梳理国内外研究成果，提炼研究观点，并根据以上主题（术语）分布和关键词共现分布网络分析形成的聚类可知，顾客参与服务创新的研究成果主要有三大热点问题及其演进脉络：热点一：顾客参与服务创新的动机与管理)2001-2009(。该类热点的相关研究分别从参与动机、作用研究、服务管理等理论视角探索顾客参与服务创新的动机，顾客参与创新时，需要对知识进行有效识别和管理，包括关于顾客的知识、顾客需要的知识和顾客拥有的知识和共同创造的知识，对知识的管理不仅要考虑顾客利益，也不能忽视企业利益)Smith & McKeen,, 2005(。热点二：顾客参与服务创新的价值共创过程)2010-2019(。近年来，该聚类相关的研究侧重探索品牌、零售、创新、社区、服务补救等领域的价值共创活动。这些研究从价值共创的动机、过程、影响因素、边界条件等不同视角出发，取得了丰富的成果。热点三：顾客参与的服务创新绩效)2009-2021(。该聚类的研究成果比较丰富，侧重于以顾客满意度、忠诚度、新产品开发绩效、服务创新绩效等作为因变量开展研究。国内外学者的研究明确验证了顾客参与的双刃剑效果，即顾客参与在促进顾企双方长期合作的同时，也会造成双方的冲突（马双 et al., 2015），因此，学者们认为在顾客参与的情况下，不仅会出现"价值共创"，也存在"价值共毁"的可能性（王雷，2019）。

管理启示

在企业服务创新日益开放的发展环境下，越来越多的服务企业将顾客参与纳入服务创新体系。通过对顾客参与服务创新领域的研究成果进行整合和梳理，利于管理者形成全面认知，从而提高企业服务创新绩效。具体而言，对企业管理实践具有以下几方面启示：第一，参与动机方面，需要重视顾客参与程度和企业服务创新之间的密切关系，增强顾客参与服务创新的意愿，可对参与服务创新的顾客群体进行"精准管理"，采取针对性策略提升顾客参与的效应（解学梅、余佳惠，2021）；第二，应从战略视角提升价值共创过程中资源基础的动态整合能力，包括知识学习、动态能力等因素对创新的影响效应，利用企业文化、学习型团队建设等突进促进资源的有效整合（简兆权 & 刘念，2019；胡艳玲 et al.，2019）；第三，重视顾客参与服务创新的研发情境，企业自身条件与能力和市场环境资源等因素都会对服务创新产生影响，企业需要对不同情境具备清晰认知和判断，提高资源与情境的匹配度，促进顾客参与服务创新绩效的正向效应。

未来研究方向

根据目前研究成果，未来关于顾客参与服务创新的研究可能集中在以下方面：首先，研究视角更加丰富。因为信息技术成熟带来共享平台型服务企业的蓬勃发展，顾客参与服务创新将从顾客单一视角出发，慢慢演进到双边视角（企业—顾客）甚至多边视角（资源提供方—平台—资源使用方）。参与的主体不仅包括利益关系最为紧密的三大主体（供应商、企业以及顾客），也关注企业与高等院校、科研机构、行业组织、政府等其他利益相关者的协同创新，完善社会网络体系。其次，研究内容更加细化。如服务创新过程中顾客参与对企业服务创新绩效的影响机理"黑箱"，深入探讨顾客参与影响绩效的路径，探讨顾客参与对服务创新绩效的主效应，也深入探索资源相关、知识管理、关系学习等因素的中介效应或调节效应，从而更好的指导企业开展实践活动。最后，研究情景更加具体。以往的研究把顾客参与、供应商参与等作为一个整体变量来研究，但不同的情境下研究主体之间存在差异，且参与广度、参与深度、参与强度也有所不同。因此，未来研究可细化各主体参与维度，实证不同组织、部门和领域的顾客参与服务创新情景，探讨不同情境下顾客参与如何影响服务创新绩效。

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价值共创视角下体育非物质文化遗产与旅游资源融合研究
THE INTEGRATION OF SPORTS INTANGIBLE CULTURAL HERITAGE AND TOURISM RESOURCES FROM THE PERSPECTIVE OF VALUE CO-CREATION

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摘要

非物质文化遗产与旅游资源融合能够活态保护和传承非物质文化遗产项目，同时能够丰富旅游内容，促进旅游发展，增强游客互动性和体验性。文章运用文献资料法和比较研究法，在梳理体育非物质文化遗产旅游概念内涵和类型属性基础上，将价值共创理论运用到体育非物质文化遗产旅游，利用 DART 模型，构建消费者、政府、传承人与企业多主体参与价值共创机制的分析框架，创新体育非物质文化遗产旅游开发和管理模式。研究表明：将价值共创理论运用到体育非物质文化遗产旅游促进了传统管理模式向现代管理模式的转变，改变了企业单边传统封闭的垄断局面；提高消费者的旅游消费体验质量和旅游产品质量和服务效率；提高体育非物质文化遗产传承生命活力。

关键词：文旅融合 价值共创理论 DART 模型 体育非物质文化遗产 旅游资源

Abstract

The integration of intangible cultural heritage and tourism resources can lively protect and inherit intangible cultural heritage projects, and at the same time It can enrich tourism content, promote tourism development, and enhance the interaction and experience of tourists. The article uses the literature method and comparative research method to sort out the concept connotation and type attributes of sports intangible cultural heritage tourism, applies the value co-creation theory to sports intangible cultural heritage tourism, and uses the DART model to construct consumers, governments, and The analysis framework of the multi-agent participation value co-creation mechanism of inheritors and enterprises, and innovative sports intangible cultural heritage tourism development and management models. Research shows that the application of value co-creation theory to sports intangible cultural heritage tourism has promoted the transformation of traditional management mode to modern management mode, changed the unilateral traditional closed monopoly situation of enterprises; improved the quality of consumer travel consumption experience and tourism products Quality and service efficiency; improve the vitality of sports intangible cultural heritage inheritance.

Keywords: Cultural Tourism Integration, The Theory of Value Co-Creation, Dart Model, Sports Intangible Cultural Heritage, Tourist Resources

引言

体育非物质文化遗产旅游是多主体参与的新兴体育产业，是优秀传统文化创造性转化、创新性发展现实之需，承载着多方的期望，政府、消费者、旅游企业和传承群体都在寻求其价值的最大化，因此，需要借助更具普适性的管理理论，为其管理模式的创新提供统一合理的理论分析框架，从多主体开展体育非物质文化遗产旅游路线规划设计、产品开发与管理模式创新，实现体育文化产业与企业、消费者、政府、传承人的创新协同发展。此外，在梳理文献发现，目前我国学者涉及到体育非物质文化遗产旅游的研究还较少，仅有的少量产业融合和文旅融合研究也仅仅限于体育非遗项目保护与旅游资源的构建等。本文重点从企业与消费者、传承人和政府 4 方面与相关产业进行多主体价值共创，对体育非遗项目与旅游资源耦合进行综合评估，尤其是运用所构建的价值共创理论，对我国体育非物质文化遗产项目与旅游资源进行保护性共创开发研究不多。因此，本研究在一定程度上充实和丰富了体育非物质文化遗产旅游的理论研究体系。

体育非物质文化遗产旅游相关概念的界定

1. 体育非物质文化遗产旅游的定义

欧阳正宇（2012）认为非物质文化遗产旅游是指以非物质文化遗产作为旅游吸引物的旅游活动。盛建国和赵同庆（2019）认为旅游是体育旅游市场化的载体。而体育非物质文化遗产旅游则是以体育类项目为主的非物质文化遗产项目，如武术、舞狮、舞龙、龙舟、英歌舞等这些参与性、体验性大、观赏性强的民族传统体育项目，其能够成为提升休闲旅游产品层次、丰富体育体验性旅游内容。体育非物质文化遗产旅游是非物质文化遗产旅游下位概念，它既有非遗的属于也有体育的功能，可见，体育非物质文化遗产旅游是集旅游产业、文化产业和体育产业为一体，涉猎有体育、文化和旅游的多维属性。即体育非物质文化遗产旅游包括了文化内在的深层结构、体育中介调节的中层结构和休闲旅游外在的表层结构，文化属性决定了体育非物质文化遗产旅游的具体形态的存在依据、发展原则和发展方向，体育属性决定了其自身内部结构、规定性和规律，旅游属性决定了其外部形态和基本的形式与途径。因此，通过以上论断，体育非物质文化遗产旅游是指以体育类项目为主的非物质文化遗产项目借助旅游资源规划和思路而开发精品体育旅游线路，以消费体验为主的旅游活动，包含了特定的传统文化、传统技艺、传统体育，是集文化旅游、体育旅游的一体化综合体。

2. 体育非物质文化遗产旅游的类型

因体育非物质文化遗产是以体育类项目为主的非物质文化遗产项目，如武术、舞狮、舞龙、龙舟、英歌舞等这些参与性、体验性大、观赏性强的民族传统体育项目，所以体育非遗旅游的类型可以概括为参与体验型和观赏游憩型。

(1) 参与体验型

体育非物质文化遗产旅游是一种体验经济。游客亲身参与其中并体验是体育非物质文化遗产旅游主要特征，主要有竞技型和休闲型两种，竞技型集中于民族传统体育比赛类，民族传统体育运动会、民俗体育活动（如赛龙舟）等体育竞赛类，需游客亲临其中，共同参与，全真体验。休闲型以体育休闲运动为主的精品旅游路线，如特色休闲旅游区、主题体育公园和主题博物馆等，让游客在表演活动区、传承推介区、产品展销区、休闲体验区、娱乐消费区等不然旅游区域感受异域文化体验，重在游客的感官体验，同时也让体育非物质文化遗产项目与消费产品相结合，进行活态传承。

(2) 观赏游憩型

观赏与游览是游客在旅途的基本形式，在旅途中进行物质追求的同时进行精神追求与享受。体育非物质文化遗产项目的表演活动具备较强观赏性和游乐性，游客在旅途中观赏到具有乡土气息民族传统体育技艺表演，能够加深其对该地的印象并塑造回忆，如传统武术表演、舞龙舞狮表演、体育杂技表演等传统体育娱乐活动项目，对旅客有较强的吸引力，游客在边观赏与游览边消费的过程中从事体育旅游活动。诸如广东佛山重要旅游景点“祖庙”内设有独特岭南文化特色的体育非遗项目表演（舞醒狮和武术等）成为该景点游客重要旅游观赏场所，舞狮队向游客展示高难度动作并献上祝福，游客自愿捐赠报酬，随心原则，该项目也成为该景区主要创收来源。

3. 体育非物质文化遗产旅游的属性

(1) 文化承继

体育非物质文化遗产是非物质文化遗产的下位概念，包含了非物质文化遗产的普遍规律，同时又独具民族传统体育特色。它是“产业、旅游、文化、体育”高度融聚的综合体，以传承传统文化为延续纽带，以文旅融合为发展动力，使文化根柢与产业逻辑相互呼应。例如，广东揭阳国家级体育非遗项目“青狮”，为探索创新传承模式，深化文旅融合，传承人于2017年出资联合创办“揭阳青狮文化旅游景区”对青狮进行保护性开发，景区以青狮文化为载体，通过发展文创产品和消费旅游，把文化、游乐、食宿、观光等融为一体，以多种方式推动传统文化创造性转化和创新性发展，进而推进文化遗产保护与发展。可见，体育“非遗”项目与旅游资源的创新融合目的就是承继文化，旅游作为是传承的重要实现途径，在满足游客的需求的同时将体育非遗项目的文化内涵，永葆“动态”活力。因此，体育非物质文化遗产与旅游资源的创新融合必须回归文脉传承，进行原真性承继，以文化认同为桥梁，将文化印记、历史传承与体育竞技融入旅游产业的现代性功能。

(2) 产业耦合

体育非物质文化遗产与旅游耦合是在传统文化中探寻产业支柱，揽概了文化产业、旅游产业、体育产业，旨在促使体育非物质文化遗产资源有效转化为生产力。在当今激烈的市场竞争中，企业能够将体育非遗文化特质和旅游产业耦合在一起，开发出独具体育非遗文化特色的旅游产品（物质和非物质），一方面可以提升旅游企业在旅游市场中的核心竞争力，另一方面可以满足旅游者文化与精神的不同消费需求，推动传统体育文化创造性转化和创新性发展。例如，体育非物质文化遗产项目产业耦合的典范---山东省潍坊风筝，潍坊风筝是国家级体育非物质文化遗产项目，每年该地举办国际风筝节，吸引了来自世界各地几十个国家和地区前来参赛，也吸引了许多外地的风筝商贩、风筝艺人和游客慕名而来。该地开创的“风筝牵线、文体搭台、经贸唱戏”的创新模式，被全国各地推崇，大力促进了潍坊风筝文化产业的发展，也促进了以风筝文化旅游产业的高速发展，成为促进当地旅游经济发展的主要来源，大力带动了当地旅游经济的发展。该例充分体现了是体育非物质文化遗产旅游产业耦合共赢的特点。

(3) 主体多元

体育非物质文化遗产旅游主体多元包含了产业开发多元和学科背景多元。一是体现在它的开发不是单方参与，而是包含了多个市场行为主体的参与，涉到整个产业内部相关者的利益诉求和产业结构的复杂性，无论企业、传承人、消费者和政府等相关者都在寻求价值最大化。二是体现在体育非物质文化遗产旅游涵盖了体育、文化、经济、管理等多个学科交叉，学科体系庞大和复杂，需要打破不同学科、行业间的壁垒，对其进行学术研究和市场开发，促进协调发展。正因其具有主体多元特点，才有必要进行价值共创，提供新的旅游管理模式。诸

如广东东莞市的体育非遗特色项目“龙舟月”，赛龙舟是东莞市成功申报的国家级非遗项目，因赛龙舟持续时间长达一个月，称“龙舟月”。在 2020 年东莞“龙舟月”中万江龙舟文化季，展示了一批以龙舟主题照片，规划了一条具有龙舟特色的旅游线路，打造成网红打卡点，同时推出了以龙舟为特色的旅游文创手信。东莞“龙舟月”非遗活动涉及的主体有政府部门、民间团体、龙舟传承人、消费者等多部门参与。

4. 体育非物质文化遗产旅游的构成

体育非物质文化遗产旅游范围广泛，层次众多，包含了物质和非物质两种形态。物质性的主要以产品类组成，包含旅游、文化教育、休闲娱乐、体育竞技表演类等，具体表现在基础设施、建筑、酒店、体育道具、文化景观等能够肉眼看得到的东西。从物质形式来看可以将体育非物质文化遗产旅游产品分为三个层次：基础型产品、提高型产品和发展型产品（如表 1）。非物质性则以文化体验为主，需要亲身旅游参与体验而得出感受，它包含了历史空间故事、体育精神、文化意象、品牌形象和教化作用等等，主要以旅游时听取体育非遗博物馆、武馆或相关文化馆工作人员介绍或以陈列方式了解历史、认识文化。

表 1: 体育非物质文化遗产旅游有形产品层次划分

层次	特征	产品形式	功能
基础型产品	陈列摆放式	武术馆、体育博物馆	基本满足游客观光和了解相关体育文化需要
提高型产品	表演观赏式	民俗节庆、会展活动体育非遗项目表演和体育非遗项目竞赛	满足游客远距离旅游者动机，突出体育非遗由静态到动态传承的特点
发展型产品	参与体验式	体育项目体验坊、体育非遗主题公园、	有较强吸引旅游者重复消费，满足游客自主选择的个性需求

5. 体育非物质文化遗产旅游的开发

在旅游经济学中，判断旅游资源是否有开发价值基于三大标准:一是从需求的角度看，看是否指值得利用，具有旅游价值，对旅游者产生强烈吸引力；二是从供给的角度看，旅游资源是旅游企业可以开发利用，并具有经济价值的资源；三是旅游资源的价值评价应包括经济效益、社会效益及环境效益 3 个方面。体育非物质文化遗产正好符合以上 3 方面要求，具有较大旅游价值、开发价值和市场价值。一方面，旅游开发是进行保护性开发重要手段。非物质文化遗产的保护是根基，传承是最终目的，进行旅游开发是对其保护的一种重要手段。体育非物质文化遗产旅游开发要在保护其原真性基础上进行开发和创新，同时满足游客的空间体验、休闲娱乐需求。另一方面，体育非物质文化遗产是一种重要的旅游资源，进行开发扩大了企业的市场范围和产业链。它涉及到体育竞技与杂技、民间舞蹈和民俗 3 个门类，种类多样，资源丰富，主要以文化旅游景区、文创产品、民俗表演、旅游路线为开发主题，具有扩大体育旅游产业链条、招徕消费者、促进附件产业发展、提供就业机会等市场效益。具体开发模式和主要做法如表 2 所示。

表 2: 本研究相关体育非物质文化遗产旅游开发一览表

作者	开发模式	主要做法	市场效益
王克军（2012）	传统体育表演	挖掘其民俗文化、历史传说等文化内涵，融入民族音乐、服饰及景观等文化元素	延长体育旅游产业链条，展现民族体育非遗特色
魏婷 et al.（2018）	建立主题旅游路线	打造成重点体育旅游综合体、打造体育特色小镇，各特色乡村打造成体育民俗旅游村	推出旅游产品，招徕更多体育旅游消费者
陈荣杨（2019）	开发旅游产品	联合展演、项目体验坊、主题公园和主题文创开发	促进周边产业发展，传播本地文化
周慧 & 林宇（2020）	打造旅游文化品牌	举办民俗节庆、会展活动；建设主题园区和博览园、特色休闲旅游区	提供就业机会
颉洁 & 李斌（2020）	打造特色体育旅游精品线路	开展演出、互动游戏、竞赛、节会、静态观赏等相关旅游开发的竞技类体育非遗项目	吸引旅游者

体育非物质文化遗产旅游价值共创的本质及意义

1. 价值共创理论内涵

价值共创思想可追溯到 19 世纪的服务经济学的文献，一些碎片化论述暗含有服务结果和价值创造由生产者和消费者共同决定的思想。20 世纪 60 年代，经济学“消费者生产理论”突破了服务经济领域局限，渐见阐述了消费者的价值创造作用。价值共创可以被定义为消费者和企业共同创造服务生产和交付（Prahalad & Ramaswamy，2000）狭义的价值共创指企业与消费者在直接互动过程中的使用价值共创。[广义包括了消费者与企业在产品/服务设计、生产和消费全过程中的价值创造、互动与合作。[消费者对共同创造价值的感知主要体现在三个方面，即参与性、个性化和依赖性。[目前在学界价值共创理论主要有两种核心观点：一种是由 Prahalad 和 Ramaswamy（2005）提出的基于消费者体验的观点[；另一种是由 Vargo 和 Lusch（2004）提出的服务主导逻辑的观点。Gronroos （2008）在基于前者基础上进一步提出价值共创理论模型，他们认为实现价值共创的重要推手需要企业或价值推动者向消费者公开提供产品、服务、信息渠道和潜在风险等资源，而价值共创的基础条件是消费者和企业保持信息互动，消费者投入自己在该领域的相关资源和能力，最终实现与企业共同创造价值。价值共创理论揭示了传统要素驱动型单一价值创造模式的弊端和劣势（对比如表 3 所示），对审视体育非物质旅游体验创新和服务建设有重要的启迪。

表 3: 传统价值创造观与价值共创观的比较

维度	传统价值创造观	价值共创观
主要观点	价值是由企业创造通过交换传递给大众消费者，消费者不是价值的创造者	价值是企业和消费者的共同生产的，顾客是共同生产者
价值作用	交换价值	使用价值或体验价值
价值形成	生产过程中产生	消费者使用或体验产品过程中形成
价值范围	生产领域	生产领域和消费领域
消费者角色	消极的购买者	积极参与企业的研发、设计和生产
企业角色	创造价值，通过交换传递给大众消费者	与消费者合作，共同创造价值
主要意义	制造并分配商品 来获得交换价值	构建了企业区别于其他竞争对手的竞争优势

资料来源：李朝辉和金永生（2013）价值共创研究综述与展望。

2. 体育非物质文化遗产旅游价值共创的本质

体育非物质文化遗产旅游属性是体育旅游，在本质上是旅游的子概念，因此，有关旅游的创新成果和方法可借鉴到体育非物质文化遗产旅游研究中。价值共创理论从本质上颠覆了传统的观点，并指出消费者与组织主动共创和再创价值。将其运用到体育非物质文化遗产旅游方面则可表达为，通过利用体育非物质文化遗产旅游资源，使游客主动与旅游企业、传承人和政府主动共同创造和再创价值，提升旅游体验质量。体育非物质文化遗产旅游涵盖了多个层次的消费体验和不同的市场行为参与，包含了需求、供给、调节、支持的各个内生循环系统。（如图 1）作为一种体验经济，体育非物质文化遗产旅游核心本质是实现体育非物质文化遗产旅游服务的使用价值，避免企业方垄断旅游市场和单方进行市场开发或者。按照服务主导逻辑，要充分考虑经济、社会、文化、环境的相互关系和协调发展，通过价值共创活动连接各个市场主体来实现其使用价值。

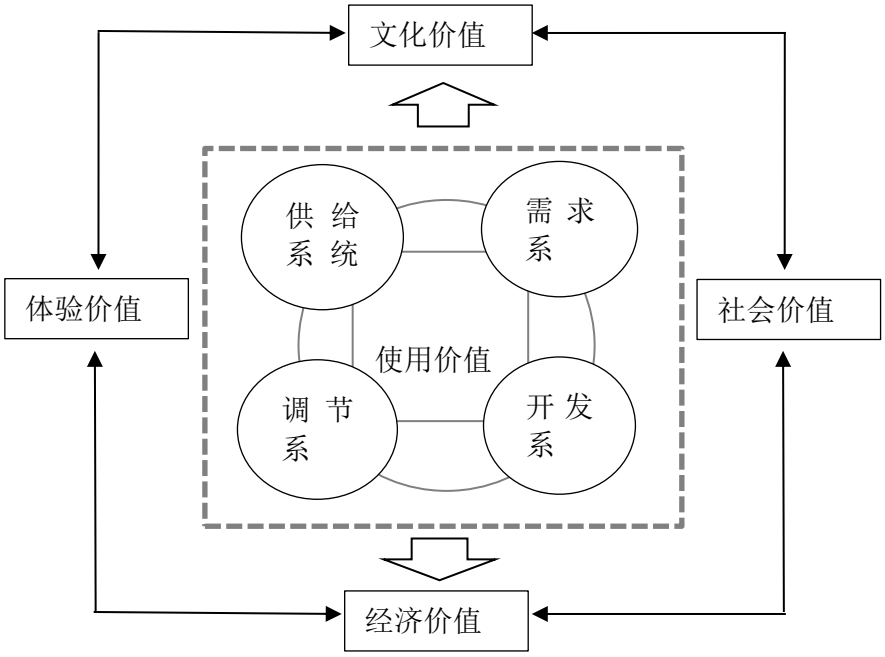

图1: 体育非物质文化遗产旅游内生循环系统

3. 体育非物质文化遗产旅游价值共创的意义

体育非物质文化遗产旅游是多主体参与的一种多维旅游，政府、消费者、旅游企业和传承群体都在寻求其价值的最大化，因此，需要借助更具普适性的管理理论，为创新其管理模式的提供合理的理论分析框架。价值共创理论强调消费者和企业互动的关键作用，核心要素是价值体验。目前，还没有相关学者将该理论运用到非物质文化遗产旅游中，从非遗旅游的角度探讨消费者参与价值共创的内在作用机理。价值共创理论运用到非遗旅游资源的意义在于提高消费者的旅游消费体验质量；提高旅游产品质量和服务效率；提高体育非物质文化遗产传承生命活力；提高旅游经济发展的核心竞争力。因此，如何提升体育非物质文化遗产旅游的价值体验并提高产品质量和服务效率，吸引消费者（旅游者）主动参与谋划价值共创，已经成为其旅游产品（包含旅游路线规划、文旅文创产品设计、营销宣传服务质量等等）创新与管理模式创新的新挑战。

价值共创视角下的体育非物质文化遗产旅游管理模式创新

体育非物质文化遗产旅游是一种体验经济，以消费者为主导的现代服务认知逻辑对体育非物质文化遗产旅游服务提出了新的挑战。从政府与企业、传承人与企业、消费者与企业的关系来看，体育非物质文化遗产旅游内在的实质是共同实现旅游服务的使用价值，途径是实现旅游企业、消费者和传承人等多主体共同开展价值共创，关键是对其管理模式进行创新。根据 Prahalad 和 Ramaswamy（2005）提出的 DART 模型，可以为体育非物质文化遗产旅游在政府、企业、游客、传承人间的价值共创管理模式进行创新（图 2）。

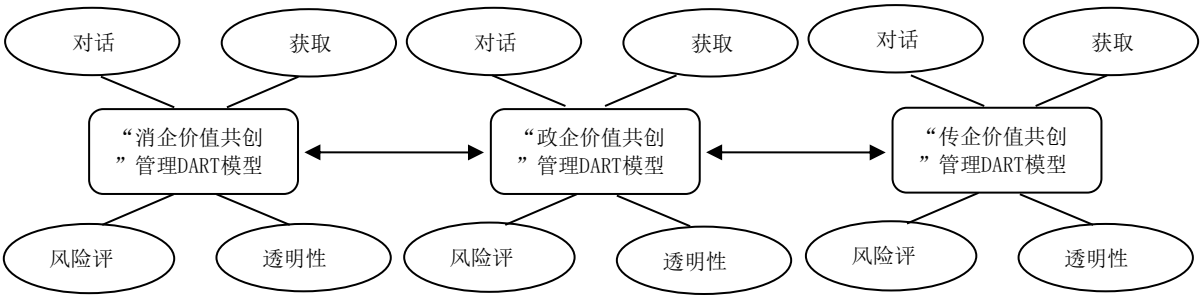

图2: 体育非物质文化遗产旅游管理模式的DART模型

1. “消费者与企业”层面

在消费者与企业层面，目的是让消费者（游客）参与到文化产品设计、旅游管理、品牌营销与服务过程之中。首先，企业应建立平等互动的对话公共平台，保持双方信息互换和交流，逐步建成平等开放的对话交流机制，确保“消企互动”关键作用，使互动对话平台在价值共创的全过程中起到桥梁中介的作用；其次，应开发多元化信息获取渠道，借助网络媒体新技术，对标公开宣传信息，运用虚拟技术，通过可视化和可听化的处理，供消费者提前体验产品，让消费者容易获取体育非物质文化遗产旅游产品和服务信息。而不是紧靠少量的广告被动地获取旅游信息，且经常性地获得信息不吻合和产品效用值低于期望值现象。另外，应创建共同承担的风险管理机制，企业和应向消费者公开告知项目合作存在的各种风险和隐患，并讨论共同承担和应对风险的预案，界定责任范围。由于体育非物质文化遗产旅游体验包含了很多不确定因素，只要涉及到体育竞技项目就有安全隐患存在，例如体验划龙舟，在江里或河里就会产生不确定因素，再如舞狮梅花高桩和竿上飞狮等难度动作，具有较大的危险性。这些存在的危险性企业无法参与到具体过程中进行干预，但这些风险往往会威胁消费者的生命安全。这时就需要消费者在价值共创过程中起到的作用，共同督促遵守参与体验规则和制度，降低风险。最后，要打造透明化的信息平台。信息透明公开有利于消费者明朗、清晰地了解体育非物质文化遗产旅游在合作运营过程中的所有利弊信息，是消费者参与价值共创的重要前提。企业公开经营信息，有利于准备投资的消费者，同时增进正在共创消费者对企业了解，提高忠诚度和信赖度。

2. “政府与企业”层面

由图 1 模型可知，“政企价值共创”管理 DART 模型包含了政企平等对话、服务渠道、运作流程的透明化和共同评估经营风险。具体如下：政府与旅游企业建立平等沟通对话机制，了解企业刚需和存在困境，大力为企业提供优惠政策扶持和人、财、物等方面支持。企业在与政府平等对话时可获得各类有益关键信息，并充分利用有益信息和政策，有力推动企业升级和产品创新；其次，“政企价值共创”时政府要为企业和游客提供快捷的服务渠道或者绿色通道，简化办事流程，提高办事效率；另外，政府在招商引资和招投标等公共事务时，要确保运作流程的公开化和透明化，杜绝各种不公平和不公正现象；最后，政府应与企业及时评估、沟通经营存在风险，并共同研究提供风险应对措施。

3. “传承人与企业”层面

“传承人与企业”层面价值共创是一种管理模式的创新，体育非遗传承人掌握体育非遗项目传统技艺，但欠缺企业管理经验和市场运营手段，而企业方具备市场运作的丰富经验但缺少体育非遗项目核心技术，二者共创，将体育非物质文化遗产旅游发展推向新的高度，有效推动了体育非物质文化遗产旅游产业整体提升。利用 DART 模型开展分析：传承人与企业通过

平等沟通对话，了解企业技艺需求和市场经营模式，企业了解传承人技艺优势和项目特色，双方通过对话相互提供各自优势和特长，获取各自需要信息，推动“传企”深度融合。更重要的是，双方要充分的知情权和信息和透明性，以诚相待，彼此信息，信息共享，共同商讨风险和规避措施，二者共创虽前景可观，但风险依然存在，传承人顾虑体育项目特殊性和难以控制的不确定因素，企业方担忧管理风险技术风险。因此，传承人与企业要严格遵守履约，杜绝违法、违纪以及伤害体育非物质文化遗产旅游产业良性发展的行为，企业不能剥夺传承人的技术、精力和智慧。

结论

体育非物质文化遗产与旅游资源创新融合是推动中华优秀传统文化创造性转化、创新性发展的重要手段。体育非物质文化遗产旅游是一种经济形态，将价值共创理论运用到体育非物质文化遗产旅游就是传统管理模式向现代管理模式的创新，改变了企业单边传统封闭的垄断局面。本文在梳理界定了体育非物质文化遗产旅游的定义、类型、属性和构成的基础上将价值共创理论运用到体育非物质文化遗产旅游，创新管理模式，对推动非物质文化遗产与旅游资源整合、活化和利用有着重要意义；提出的观点具有普适性，价值共创内在作用机理可以运用到整个非物质文化遗产旅游系统，对加强体育非物质文化遗产抢救、保护和承继有着创新之处，对提高旅游市场效率、质量和需求有着现实作用。

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价值链嵌入对企业绩效的影响研究——基于文献计量的视角
THE IMPACT OF VALUE CHAIN EMBEDDING ON FIRM PERFORMANCE—— BASED ON BIBLIOMETRICS ANALYSIS

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摘要

近年来，全球价值链嵌入领域的量化研究已经成为国内外学术界关注的焦点，价值链嵌入对企业绩效的影响也日益吸引学者们的关注，但鲜有学者对价值链嵌入对企业绩效影响研究领域的研究热点及演变前沿进行可视化分析。本文旨在对这一领域国内外研究进展进行梳理分析。全文以 2003～2021 年 Web of Science 与 CNKI 数据库为研究对象，从文献计量分析视角对价值链嵌入对企业绩效影响研究文献进行总量及特征分析，结果表明 GVC 嵌入对企业绩效的影响研究主要集中在价值链嵌入的经济效应、企业嵌入价值链的测度以及价值链嵌入与企业技术创新等三个方面，而对企业嵌入全球价值链的异质性研究、全球价值链嵌入对企业绩效影响的具体路径涉及较少。因而，本文认为全球价值链双向嵌入、价值链嵌入对企业创新路径的影响以及数字技术与全球价值链嵌入等议题将是该领域未来主要的研究方向。

关键词: 价值链嵌入 文献计量法 企业绩效 创新

Abstract

In recent years, quantitative research in the field of global value chain embedding has become the focus of attention in academic circles at home and abroad. The impact of value chain embedding on corporate performance has also attracted the attention of scholars, but few scholars have studied the impact of value chain embedding on corporate performance. Visual analysis of research hotspots and evolution frontiers in the field. This article aims to sort out and analyze the research progress in this field at home and abroad. The full text takes the Web of Science and CNKI databases from 2003 to 2021 as the research objects. From the perspective of bibliometric analysis, the total amount and characteristics of the research literature on the impact of value chain embedding on corporate performance are analyzed. The results show that the research on the impact of GVC embedding on corporate performance is mainly concentrated In the three aspects of the economic effect of value chain embedding, the measurement of enterprise embedding in the value chain, and the value chain embedding and enterprise technological innovation, the research on the heterogeneity of enterprise embedding in global value chain and the specific impact of global value chain embedding on enterprise performance The path involves less. Therefore, this article believes that the two-way embedding of global value chains, the impact of value chain embedding on corporate innovation paths, and digital technology and global value chain embedding will be the main research directions in this field in the future.

Keywords: Value Chain Embedding, Bibliometrics, Firm Performance, Innovation

引言

伴随着国际贸易的发展进程，生产分割延伸到了全球层面，产品增加值被分解并被世界各国分享，生产在全球范围内表现出“分割化”和“碎片化”的特征（盛斌 & 陈帅, 2015），生产分割带来了生产环节的专业化，优化了产业资源配置，完全改变了产品的生产模式。2019 年的全球价值链报告中指出，目前超过三分之二的世界贸易是通过全球价值链 (global value chains，GVCs) 实现的，在全球价值链中，产品在最终组装前至少跨越一个国家边界。 中国作为世界第二大经济体，一直以来秉承着开放合作的理念，积极的融入到国际生产分工当中去。

近年来，中国陆续出台了一系列的对外贸易企业扶植政策，通过出口退税、出口补贴、进口贴息等方式鼓励企业进行对外贸易，同时还设立了众多经济特区、海关特殊监管区、自由贸易区等特殊政策区域，为国内进出口企业及外资企业提供了发展的土壤，区域优惠政策吸引了大批企业入驻并从事进出口活动。

习近平总书记强调：“面向未来，我们要把满足国内需求作为发展的出发点和落脚点，加快构建完整的内需体系” “逐步形成以国内大循环为主体、国内国际双循环相互促进的新发展格局，培育新形势下中国参与国际合作和竞争新优势” （人民网, 2020）。2020 年新冠疫情肆虐，全球经济深受影响，中国货物贸易先降后升，全年货物贸易总额达到 4.646 万亿美元，约占世界总额的 14.7%。中国对主要伙伴的出口中，对澳大利亚、俄罗斯、蒙古等 15 个国家及地区中间产品出口占比超过 50%，对美国占比 15.6%、对日本占比 14.9%、对印度占比 1.8% （张琳，2021）。不难看出，中国的制造业已经高度的融入全球价值链当中。但是中国制造业嵌入全球价值链的质量不高，低端嵌入不利于产业的升级及国际竞争力的提升，更不利于经济的持续有序发展。

在国际经济新形势、新格局下研究全球（区域）价值链嵌入问题，对提升中国产业链供应链的安全稳定和竞争力，构建国内国际双循环相互促进的新发展格局意义重大。本文为 GVC 嵌入对企业绩效影响研究领域的现状和演变提供了一个全面深入的图景，并在此基础上揭示出该研究领域的发展趋势，以期为提高中国企业嵌入全球价值链的质量提供理论借鉴。

研究目的

文献梳理和计量分析是对已有研究进行资料整理和学习的有力工具。对所研究领域的相关文献进行整理，不仅有利于研究人员系统、全面、有效地掌握该领域的发展历程、现有研究程度和未来趋势，而且有利于研究人员迅速抓住该领域的研究热点问题，找到相关研究中最有代表性的核心作者和研究机构，从而为深入研究奠定一定的基础。本文以 “价值链嵌入对企业绩效的影响” 为主题，检索 Web of Science 和中国知网的网络文献库。对搜寻结果进行分析，从文献数量、文献来源、核心作者、研究主题等方面，探讨价值链嵌入对企业绩效影响研究的进展。

因此，本文通过 Citespace 基于文献耦合分析和关键词共线分析，对国内外价值链嵌入对企业绩效的影响研究领域的现状和热点进行梳理及分析，据此进一步探析该领域的未来发展趋势，进一步丰富微观层面 GVC 研究的的理论基础。

文献评述

全球价值链最早可以追溯到哈佛商学院 Porter (1985) 在《竞争优势》中关于“价值链” (Value Chain) 的界定。基于前人的研究， Kogut (1985) 提出 “价值增值链” (Value-Added Chain)，认为国家和企业应该从事生产链中具有比较优势和竞争力的环节。 Gereffi (1999) 首次将价值链与全球产业联系起来，提出了“全球商品链”，认为跨国公司的出现使得商品的生产能够在全球范围内形成一体化网络。在 生产分工的全球化背景下，为了突出价值在生产网络中的创造和传递，进一步提出“全球 价值链”的概念，并对 GVC 的治理基本框架作了系统研究，形成基本的 GVC 理论。

早期对全球价值链问题的研究主要通过案例研究的方法从单个企业或行业的角度来考察各国在该产品全球价值链中的参与特征。之后学者们基于垂直专业化理论与增加值贸易核算框架对一国参与国际分工的程度进行量化，大量研究价值链嵌入对一国经济的影响，如对收入分配、出口产品技术复杂度的影响等，对价值链嵌入与单个企业绩效之间的关系研究较少。

对企业层面的全球价值链嵌入进行研究，有利于推进全球价值链的研究进程。在一条生产链中，靠近生产者和靠近消费者的生产链两端的附加值较高，而中间的生产环节获得的附加值较低，要想通过高质量的嵌入全球价值链带动企业发展，就要调整嵌入全球价值链的模式，从生产端和消费端嵌入到全球价值链当中去。

Lipparini et al. (2014) 认为，从合作伙伴之间的知识转移中获益最多的 GVC 网络是那些拥有共同身份和语言的合作伙伴。这些功能可作为防范机会主义潜在威胁的保障措施，并允许参与企业向合作伙伴学习，从而降低专有知识溢出到直接网络之外的风险。Eriksson 和 Saarenketo (2014) 认为领导企业的管理者在个体层面的认知和管理能力，如文化意识、创业导向、全球思维、界面能力和分析能力等构成了在 GVC 中成功实现跨境交易的公司能力的关键基石。Seppälä 和 AliYrkkö (2009) 关注领先跨国公司的有限理性会计决策，并认为领先公司的会计系统可能错误地描述了全球价值链中创造最大价值的地方。这种不匹配意味着分配价值的全球价值链活动可能在某种程度上是任意选择的，这进一步影响了选址决策。Kano (2018) 认为参与企业决策者的有限理性和可靠性影响全球价值链的效率。因此，领导企业的管理者作用是通过混合关系机制来控制有限理性和可靠性，从而提高全球价值链在一段时间内可持续发展的可能性。

中国在 GVC 嵌入领域的研究主要依靠已有模型和案例方法进行改良研究。如刘志彪和吴福象 (2018) 从理论发展和实证研究两个方面对 GVC 治理进行梳理，提出重塑当前 GVC，构建 NVC 与 GVC 双向开放格局，实现 GVC 和 NVC 的全方位衔接和互动，构建包容性的 GVC 治理体系；潘秋晨 (2019) 针对中国装备制造业转型升级指出： GVC 嵌入会产生中间品效应、链中学效应、竞争效应来推动中国装备制造业的转型升级。马盈盈 (2019) 利用世界银行的服务贸易限制指数以及世界投入产出数据库，构建实证模型分析，从价值链双向嵌入角度分析服务贸易自由化对制造业企业嵌入价值链地位的影响，得出服务贸易自由化促进了制造业全球价值链的前向参与而抑制了其后向参与。

回顾以往对此领域的综述性研究，学术界主要关注价值链在某方面的应用，但几乎没有研究以计量化的研究工具对此领域进行较为客观分析和整理。因此，本文有必要对国内外价值链嵌入对企业绩效的影响研究领域的现状和热点进行梳理及分析，据此进一步探析该领域的未来发展趋势。

研究方法

文献计量法是一种基于文献的多层次、多角度分析的科学计量方法。在对研究文献进行量化管理的基础上，采用统计学与数学方法相结合的方法对特定的研究信息进行分布结构、变化规律、数学规律分析，进而分析研究潜在的科学与技术的分布结构、特征与模式等。由于文献计量法在科学研究中对已有研究的客观、准确的数量化分析，已成为衡量科学进步的重要工具。同时，对开展科学研究工作具有重要指导意义。

1. 基于 Web of Science 的英文文献

本文在获取论文题目、关键词、被引次数、发表时间、作者、第一作者所属机构等记录的基础上，应用 Citespace 软件对检索结果进行定量分析。本文文献数据来源于 Web of Science 平台下的 Science Citation Index Expanded (SCI-E) 和 Social Sciences Citation Index (SSCI）在线数据库。为避免检索范围大造成的无用数据过多情形，增强数据有效用与相似性，本文以 “价值链嵌入”、“企业” 为检索关键词，具体检索式为 TS = ((Global Value Chain) OR (GVC) OR (Value Chain) OR (NVC) AND TS = ((firm) OR (enterprise)) AND TS = ((Embed) OR (Participation) OR (Participating))，经反复检索，该领域第一篇论文发表于 2003 年，故将检索对象设定为 2003 ～ 2021 年发表的英文论文，检索日期为 2021 年 10 月 30 日检索日期为 2021 年 10 月 30 日。需要指出的是，中国香港地区此类文献在 1997 年 7 月之前计入英国研究成果，之后计入中国研究成果; 中国澳门地区此类文献从 2000 年起计入中国研究成果，中国台湾地区研究成果在检索期内计入中国研究成果。

2. 基于 CNKI 的中文文献

本研究中文文献数据来源于中国知网 (CNKI) 在线数据库。为避免检索范围大引起的无用数据多，增强数据有效用性，本文选择 CNKI 数据库下的中国学术期刊网络出版总库、中国博士学位论文全文数据库、中国优秀硕士学位论文全文数据库，以 “价值链嵌入”、 “企业”为检索关键词。经反复验证，该领域第一篇论文发表于 2005 年，故本文将检索对象设定为 2005 ～ 2021 年间发表的中文论文，检索日期为 2021 年 11 月 6 日。

研究结果

1. 基于 Web of Science 的英文文献研究现状

1.1 文献数量

本文共检索到文章题录数据 296 条，2003 ～ 2021 年共被引用次数为 2706 次。Afonso & Maria (2003) 在 Gestão & Produção 发表了价值链与企业绩效研究领域的第一篇学术论文(Competitive strategies and core competencies: perspectives for the internationalization of industry in Brazil)，该文认为新经济的关键特征之一是从个人效率到集体效率的转变。成功交付全球或区域市场所需的商品和服务的主要决定因素是作为战略联盟、生产或价值链或产业集群联网的公司的联合绩效。该研究发展的出发点是，参与创业网络会影响企业战略制定和能力形成的条件。研究结果强调了网络作为分析企业和总体竞争力的基本概念的重要性。该领域文献数量发表情况可分为两阶段，第一阶段为 2003 ～ 2011 年，该阶段发文数量较少，每年文章数量为个位数; 第二阶段为 2012 年 至今，该阶段文献数量呈现明显上升特征。

1.2 文献区域分布

发文数量最多的主要国家依次为中国、美国、英国、德国、荷兰、印度、澳大利亚、意大利、巴西与俄罗斯。其中，中国发文数量为 80 篇，占比 27%，中、美、英三国发文数量占文献总数的 46%。由此可见，中国贸易经济发展迅速，对于企业参与全球价值链或

区域价值链的研究越来越广泛。此外，发文量排名前 10 的国家中，除发达国家外，其余为金砖四国，说明金砖国家经济活性较高，正积极的参与由发达国家主导的价值链。

1.3 主要高产作者

通过对文献作者的发文数量及被引频次进行分析可得出该领域主要高产作者。表 1 列出了该领域发文数量前 10 的作者名录。其中，Zhang, L 发表文章 17 篇，总引用次数为 234 次，居于首位；Wang, SH 发表文章 3 篇，总引用次数为 44 次，位居第二。此外，从作者国别来看，发文量排名前 10 的学者中，有 4 位中国学者，排名第二的是泰国学者。

表 1: 价值链嵌入与企业绩效研究领域主要高产作者

作者	国别	文献数量	文献占比（%）	被引次数	单篇均引次数
Zhang, L	Peoples R China	4	1.35	234	58.5
Wang, SH	Peoples R China	3	1.02	44	13.6
Kanchana R.	Thailand	3	1.02	24	8
Chan,FTS	Peoples R China	3	1.02	34	11.3
Law, KMY	Peoples R China	3	1.02	27	9
Phusavat, K	Thailand	3	1.02	27	9
Oh, Dong Yoon	Korea	3	1.02	1	1
Herrmann, R	Germany	2	0.68	21	10.5
Kruijssen, Froukje	Zambia	2	0.68	16	8
Ayala Garay Oscar J.	Mexico	2	0.68	26	26

1.4 主要高引文献

表 2 列出了价值链嵌入与企业绩效研究领域被引频次最高的前 8 篇文献。其中，处在第 1 位的是来自中国的 Tao 和 Cheng (2017) 发表 Journal of International Manufacturing 的 Advanced manufacturing systems: socialization characteristics and trends 被引频次为 197 次，年均引用次数 42.4 次。此外，排名前 10 篇高引文献中，中国 2 篇，美国 2 篇，意大利 2 篇，瑞士 2 篇，英国和肯尼亚各 1 篇。由此可见，中国学者再该领域的研究具有领先优势及较强的国际影响力。

表 2: 价值链嵌入与企业绩效研究领域主要高产作者

文献	国别	发表年份	引用次数	发表期刊
Tao 和 Cheng	Peoples R China	2017	197	Journal of International Manufacturing
Pagani	Italy	2013	118	MIS Quarterly
Spaulding	USA	2010	81	Electronic Commerce Research and Applications
Musiolik 和 Markard	Switzerland	2011	80	Energy Policy
Van 和 Lyon	USA	2013	70	Journal of Cleaner Production
Erlinghagen 和 Markard	Switzerland	2012	67	Energy Policy
Canavari et al.	Italy	2010	62	British Food Journal
Kiptot 和 Franzel	Kenya	2012	52	Agroforestry Systems
Wang 和 Chang	Peoples R China	2016	49	Journal of Operations Management
Ganotakis 和 Love	England	2012	48	Journal of Product Innovation Management

1.5 主要学科类别

检索结果表明，价值链嵌入与企业绩效领域的研究主要涉及 25 个学科。从表 3 中可以看出，主要涉及的学科领域依次为商业经济、工程学、计算机科学、农业科学、环境科学、食品科学、生态学等领域。其中，商业经济学科发文量 219 篇，约占文献总数量的 68%。此外，从文献占比度可以看出，该领域学科交叉特点明显，但人文社科类发文数量比自然科学发文数量多。

表 3: 价值链嵌入与企业绩效研究领域涉及主要学科类别

研究方向	文献数量	文献占比(%)	排序
Business Economics（商业经济）	219	68.65	1
Engineering（工程学）	106	33.23	2
Computer Science（计算机科学）	82	25.71	3
Agriculture（农业科学）	65	20.38	4
Science Technology Other Topics（科学技术及相关主题）	64	20.06	5
Environmental Sciences Ecology（环境科学与生态学）	59	18.50	6
Food Science Technology（食品科学工程）	47	14.73	7
Mathematics（数学）	45	14.11	8
Social Sciences Other Topics（社会科学及相关主题）	32	10.03	9
Operations Research Management Science（运筹学与管理科学）	26	8.15	10

1.6 价值链嵌入与企业绩效研究的热点分析

(1) 关键词共现分析

关键词作为一篇文献的核心反映了该文献的主要内容，本文以关键词共现图谱展示价值链嵌入与企业绩效的研究热点。具体过程如下：首先，运用 CiteSpace 软件提取 97 个关键词，共现频次均大于 2；其次，将关键词进行整理和合并，最终得到 41 个关键词作为研究对象，并得到价值链嵌入与企业绩效研究关键词贡献图谱。表 4 则列出了用户参与产品创新研究共现排名前 10 的关键词。结果显示，关键词 “Supply chain” 和 “Management” 共现频次最高，反映了本研究的核心主题；其次，“Impact”、“Performance”、“Design”、“Network”、“Technology” 和“Innovation” 表明该领域文献聚焦于价值链嵌入的影响、价值链嵌入的企业异质性以及价值链嵌入与企业创新研究。

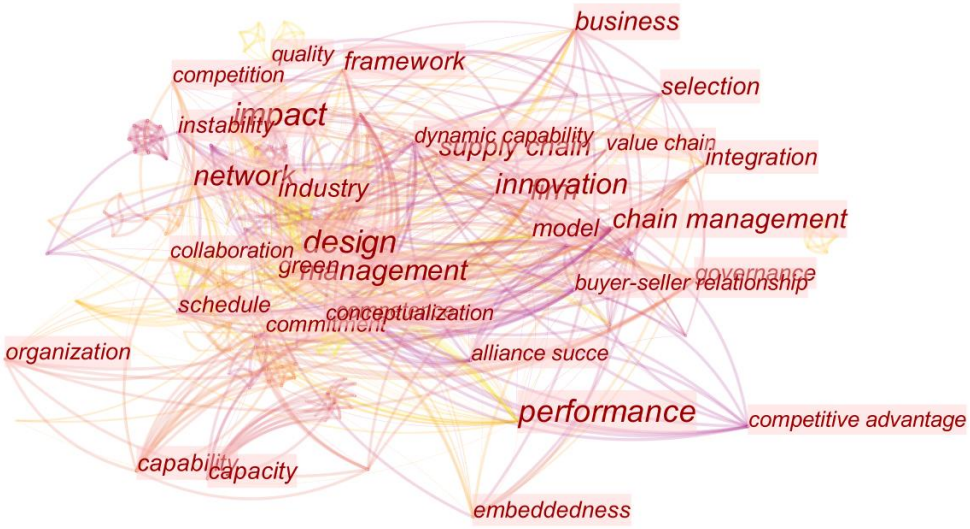

图1: 价值链嵌入与企业绩效研究领域的关键词共现网络图谱

表 4: 价值链嵌入与企业绩效研究领域的关键词共现网络词频分布表

序号	关键词	频次	共性
1	Supply chain	65	0.05
2	Management	65	0.19
3	Impact	58	0.19
4	Performance	49	0.14
5	Design	38	0.07
6	Network	38	0.13
7	Model	37	0.05
8	Innovation	33	0.07
9	Technology	29	0.05
10	Value chain	19	0.11

(2) 时间线视图

借助时间线视图对价值链嵌入与企业发展研究热点进行分析，图 8 展示了最大的 8 个聚类。根据聚类标签将八大聚类进行如下划分：① 聚类 0 (Effective business value chain) 探讨了稳定有效的商业价值链的风险及影响因素，以及从内、外部网络构建有效商业价值链；聚类 1 (Environmental sustainability)和聚类 3 (sustainable manufacturing) 总结了价值链嵌入与可持续生产网络效应问题；因此，聚类 0、聚类 1 和聚类 3 属于“价值链嵌入的经济效应研究” ② 聚类 2 (Supply chain relationship quality) 探讨了供应链关系质量，反应了企业参与全球供应链位置、质量对企业绩效的影响；聚类 4 (Global production network) 探讨了企业参与全球生产分工、嵌入全球生产网络的位置和程度，聚类 3 和聚类 4 属于 “价值链嵌入异质性研究”；③ 聚类 5 (Intelligent assignment) 和聚类 7 (innovation thinking)总结了技术创新、智力安排对企业嵌入价值链的影响；聚类 6 (Information mining) 将价值链与信息流融合，考虑全球价值链中信息流的中介效应；因此聚类 5、聚类 6 及聚类 7 属于“价值链嵌入与技术进步研究”。

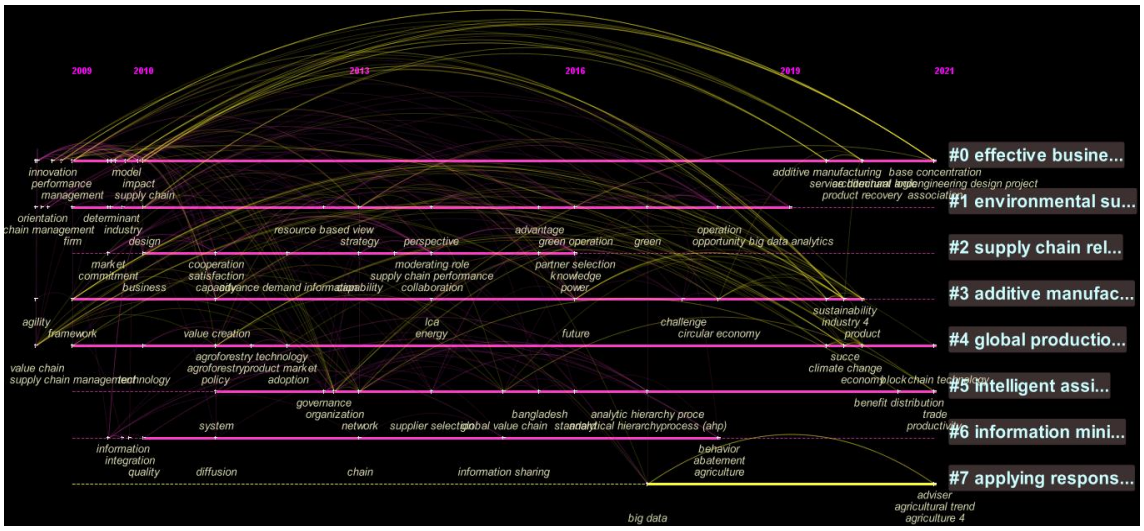

图2: 价值链嵌入与企业绩效研究领域的关键词时间线视图

2. 基于 CNKI 的中文文献研究现状

2.1 文献数量

本次检索结果共得到题录数据 144 条。顾丽琴和幸学俊 (2005) 发表第一篇中文类文献，该文根据中小企业的特点和产业价值链分拆、整合、延伸、拓展等特点，分析了中小企业成功参与产业价值链分工的可能性及与国内外大型企业合作的形式，提出了中国中小企业成功参与产业价值链分工的有效策略。发文趋势显示，2013～2021 年新增文献数量速度均呈现上升态势，其中，2019 ～ 2021 年间文献呈现井喷式增长。由此可见，近年来国内对此问题的研究热度不断高涨，其已成为企业经济研究领域热点话题。

2.2 主要学科类别

中文文献分析结果显示，该领域研究主要在经济学一级学科下开展，主要涉及学科有企业经济、工业经济、贸易经济、宏观经济管理与可持续发展、经济体制改革等门类。如表 5 所示，发文量排名前五的学科门类都属于经济类学科，其中，企业经济发文 87 篇、工业经济发文 57 篇，两者合计约占文献总量的 56%。

表 5: 价值链嵌入与企业绩效研究领域主要涉及学科

学科名称	文章数量	文章占比（%）	排名
企业经济	87	33.98	1
工业经济	57	22.27	2
贸易经济	27	10.55	3
宏观经济与可持续发展	20	7.81	4
经济体制改革	16	6.25	5
人才学与劳动科学	10	3.91	6
金融	10	3.91	7

2.3 主要高产作者

本文从高产作者中整理了排名前 10 位的作者。如表 6 所示，吕越的发文数量为 6 篇，约占该领域中文文献的 4.2%； 胡峰与王晓萍各发文 4 篇，约占 2.8；聂鸣、胡昭

理、吕云龙、龚三乐、顾丽琴、梅述恩与李红阳发文数量均为 3 篇，约占 2.1%。从作者单位看，南开大学、对外经贸大学与浙江工商大学在价值链嵌入与企业绩效领域影响程度排在全国前列。

表 6: 价值链嵌入与企业绩效研究领域主要高产作者

作者	文章数量	文章占比（%）	机构名称
吕越	6	4.2	对外经贸大学
胡峰	4	2.8	浙江工商大学
王晓萍	4	2.8	浙江工商大学
聂鸣	3	2.1	华中科技大学
胡昭理	3	2.1	南开大学
吕云龙	3	2.1	中国宏观经济研究所
龚三乐	3	2.1	广西财经学院
顾丽琴	3	2.1	华东交通大学
梅述恩	3	2.1	华中科技大学
李红阳	3	2.1	清华大学

2.4 主要高引文献

该领域引用频次大于 100 次的有两篇。分别为吕越 et al. (2015) 发表的《异质性企业与全球价值链嵌入：基于效率和融资的视角》，被引频次为 190 次，年均引用频次为 33 次; 许晖 et al. (2014) 年发表的《嵌入全球价值链的企业国际化转型及创新路径——基于六家外贸企业的跨案例研究》，引用频次为 122 次，年均引用频次为 17 次。表 7 列举了引用次数排名前十的中文文献。

表 7: 价值链嵌入与企业绩效研究领域主要高引中文文献

作者名称	文章名称	发表期刊	出版年份	引用次数	第一作者单位
吕越 et al.	异质性企业与全球价值链嵌入:基于效率和融资的视角	世界经济	2015	190	对外经贸大学
许晖 et al.	嵌入全球价值链的企业国际化转型及创新路径——基于六家外贸企业的跨案例研究	科学学研究	2014	122	南开大学
吕越 & 吕云龙	全球价值链嵌入会改善制造业企业的生产效率吗——基于双重稳健-倾向得分加权估计	财贸研究	2016	88	对外经贸大学
梅述恩 & 聂鸣	嵌入全球价值链的企业集群升级路径研究——以晋江鞋企业集群为例	科研管理	2007	73	华中科技大学
孙学敏 & 王杰	全球价值链嵌入的“生产率效应”——基于中国微观企业数据的实证研究	国际贸易问题	2016	66	郑州大学
吴解生	论中国企业的全球价值链“低环嵌入”与“链节提升”	国际贸易问题	2007	57	上海大学
吴波 & 李生校	全球价值链嵌入是否阻碍了发展中国家集群企业的功能升级?——基于绍兴纺织产业集群的实证研究	科学学与科学技术管理	2010	39	浙江工商大学

表 7: 价值链嵌入与企业绩效研究领域主要高引中文文献 (续。)

作者名称	文章名称	发表期刊	出版年份	引用次数	第一作者单位
陈东 & 陈爱贞	GVC 嵌入、政治关联与环保投资——来自中国民营企业的证据	山西财经大学学报	2018	36	安徽工业大学
吕越 et al.	中国企业嵌入全球价值链的就业效应——基于 PSM-DID 和 GPS 方法的经验证据	财经研究	2018	35	对外经贸大学
高静 et al.	全球价值链嵌入下中国企业出口质量的升级	世界经济研究	2019	33	中南财经政法大学

2.5 主要期刊

国际贸易问题、资源科学与中国人口资源与环境是发表该领域文献最多的三大期刊。此外，财经、师范类大学学报和理工高校社科版发表该研究领域成果也较多。表 8 列举了发文数量大于 6 篇的期刊名称。

表 8: 价值链嵌入与企业绩效研究领域中文文献发表核心期刊

期刊名称	文章数量	文章占比
国际贸易问题	8	5.6
商业经济研究	6	4.2
科技管理研究	4	2.8
世界经济研究	4	2.8
国际商务	4	2.8
科技进步与对策	4	2.8

2.6 关键词共现分析

图 3 列出了 CNKI 中的中文文献关键词。 排名前 5 的关键词分别是“全球价值链”、“回归结果”、“价值链分工”、“异质性”、“集群企业”。表明国内在价值链嵌入与企业绩效研究中主要集中于两个方面：(1) 价值链嵌入的测算，根据价值链嵌入与企业发展的实际情况，构建多国、多区域投入产出模型，测算价值链嵌入（参与）的位置、深度及广度；(2) 价值链嵌入对企业绩效的影响路径分析，从创新、投融资、分工网络、供应链等角度分析价值链嵌入对企业绩效的影响路径及驱动因素。

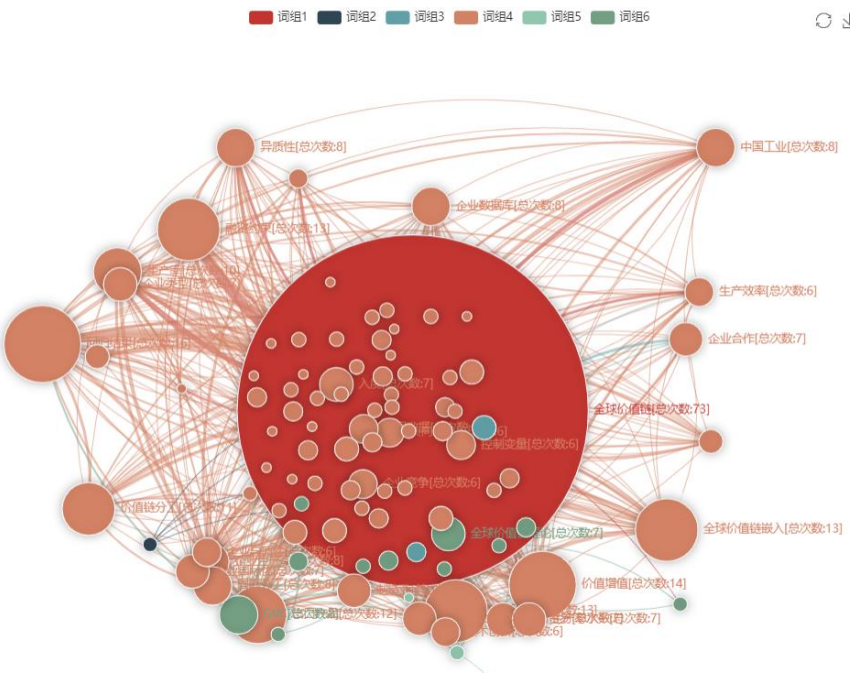

图3: 价值链嵌入与企业绩效研究领域中文文献关键词共现图谱

3. 价值链嵌入与企业绩效研究热点评述

文献计量分析结果显示，进入 21 世纪，企业微观层面的价值链研究逐渐成为热点，特别是近 10 年来中英文发文数量迅速增加。具体地，2006 年以后英文发文数量迅速增加，2008 年以后国内文献数量激增，近年来中外合作研究成果也在不断增多。国内学者在国际期刊发表文献数量快速增长，国内研究成果在国际学术界的受关注度不断提升。综合国内外研究文献的基础上，基于关键词共现分析及聚类分析，归纳出该领域研究的热点问题。

3.1 聚类一： 价值链嵌入的经济效应

参与全球价值链对于一个国家而言会受到包括企业、行业等多方面的影响，相应地，全球价值链的参与又会给一个国家、行业以及企业带来不同方面、不同程度的经济效应，从而导致参与全球价值链不同环节的各国企业所获收益不平衡。概括来说，全球价值链的经济效应包括就业、收入、贸易、创新、生产率等方面的内容。

关于全球价值链与就业方面的关系，Hijzen (2005) 利用英国制造业的就业数据进行研究，表明嵌入价值链是的劳动力充裕的国家就业情况有所改善。吕越 et al. (2018) 利用中国的就业数据，实证研究全球价值链在中国与就业之间的关系，研究表明，在中国全球价值链嵌入对就业有显著的促进作用，尤其是资本有机构成水平较高、技术装备程度较高的高水平企业，且就业水平与价值链嵌入度呈倒“U”形关系。耿伟和郝碧榕 (2018) 采用跨国跨行业下游度指标对全球价值链嵌入位置与劳动收入差距进行研究，探讨了全球价值链嵌入位置对高技能与低技能劳动收入差距影响的理论机制。

然而，对于全球价值链所带来的影响，众多专家学者关注最多的还是它与贸易之间的联系。宋星卓 (2018) 在其文中提到，国际上关于价值链分工对参与国贸易利益和摩擦影响的相关研究最早是赫克歇尔·俄林理论提出的关于产业和贸易调整理论。后来，张少军和侯慧芳 (2019) 从发展中国家的视角切入，对全球价值链与贸易条件之间的关系进行探究，结果发现全球价值链会使发展中国家的贸易条件恶化。陈健 et al. (2019) 通过实证考察了全球价

值链的分工对服务贸易的影响并对其影响机制进行深入分析，最终提出拓展国际服务贸易中的价值链有助于贸易更好地发展。

Baldwin 和 Venables (2013) 以加拿大的制造业企业为研究对象，运用倾向值匹配法分析了全球价值链对生产率的影响，研究发现，全球价值链地位对生产率影响的大小和时间因工业部门、加入全球价值链的途径和所涉及贸易伙伴的经济发展水平而异。王玉燕 et al. (2014) 通过实证检验发现，全球价值链的治理特征与中国加入全球价值链的方式决定了中国全球价值链嵌入与全要素生产率之间存在非线性的倒U型关系。而姜能鹏和陈经伟 (2019) 则考察外商直接投资(FDI)对中国企业全球价值链嵌入的影响并通过中介效应对全球价值链机制下FDI影响企业全要素生产率的作用机制进行检验。

3.2 聚类二：价值链嵌入的测度

近年来，越来越多的专家学者对全球价值链进行研究，其相关的测度方法及指标也逐渐得以完善。关于全球价值链的测度，其最基本的方法则是投入产出法，最早可追溯到 Hummels et al. (2001) 第一次提出的狭义垂直专业化 (Vertical Specialization) 概念，此外，其利用单国（区域）投入产出表测算了 OECD 国家的垂直专业化水平，这一方法为后来全球价值链的测算奠定了基础，具有重要意义。其后，Koopman et al. (2012) 利用单国的投入产出表在区分一般贸易和加工贸易的基础上，对中国的国内增加值率进行了测算分析以及扩展应用。Fally (2012) 利用单国投入产出表对生产阶段数进行了测算。但是，倪红福 (2018) 认为这种基于单国（区域）非竞争性投入产出表的测度方法具有一定的局限性，无法考虑到国际间产业联系以及世界其他国家（地区）之间的溢出效应和回馈机制。因此，后来的学者基于投入产出模型研究开发出了改进过的全球价值链测度方法。

随着相关领域研究内容和成果的不断丰富，衡量全球价值链的指标种类也逐渐增多，通过对相关文献的整理归纳发现，目前，学术界中测度全球价值链的指标包括全球价值链嵌入度、全球价值链参与度以及衡量全球价值链所处位置的全球价值链位置指数等，但就相关指标而言，不同的学者其测算方法也有所差异和改进。

Koopman et al. (2012) 的研究表明，一个国家的出口增加值主要由两部分构成，分别是国内增加值和国外增加值，而相比与国内增加值而言，国外增加值不仅能衡量该国在全球价值链中的嵌入度，还能够反映该国在贸易往来过程中所获的真实贸易利得，因而全球价值链嵌入度指数逐渐成为广泛应用于国际生产分工的综合性统计指标，更是在全球价值链的研究中频频出现，如杨连星和罗玉辉 (2017) 在研究中国对外直接投资与全球价值链升级时就采用全球价值链嵌入度作为衡量全球价值链的指标之一。

全球价值链位置指数这一指标由 Daudin et al. (2011) 提出，用于衡量一国某产业在全球价值链中所处的国际分工地位。后来，国内学者赵梦垠和钟昌标 (2018) 在探究全球价值链嵌入对科技创新的驱动效应中，为能够科学合理的反映一国的国际分工水平，将全球价值链位置指数作为解释变量带入计量模型中进行分析。而针对全球价值链位置指数这一指标，Antras et al. (2012) 则是利用行业上游度的测算方法来考察行业所处的价值链位置。随着关于全球价值链相关指标测算方法的不断完善与成熟，Koopman et al. (2012) 研究出了国家——部门层面全球价值链参与度、位置以及竞争力等指标，这些指标相较于之前的研究更具有综合性和包容性，不仅从前后向联系两个角度更加全面的反应了一国参与全球价值链的情况，而且也进一步完善了现有的全球价值链核算体系。

因此，近两年越来越多的学者渐渐开始借鉴 Koopman et al. (2012) 所提出的方法，如张会清和翟孝强 (2019) 运用该测算方法较为全面的分析了中国 2000 年以来参与全球价

值链的情况，并首次系统地从多个角度对中国参与全球价值链的特征进行论述，对中国制定对外经济政策有着重要作用。闵剑和刘忆 (2019) 也通过这一方法对相关指标进行测算以研究行业全球价值链位置与参与度对企业融资约束与跨国并购绩效的影响。综上发现，随着指标测度方法的不断丰富，相关研究也可结合内容的偏向性选取更适合的测度方法。

3.3 聚类三：价值链嵌入与企业技术创新

全球价值链是否促进了企业创新？目前学界存在两种声音，一种认为全球价值链会促进企业创新，因为全球价值链的规模效应、学习效应和竞争效应；一种则认为全球价值链会抑制企业创新，因为全球价值链的俘获效应。俘获效应认为，发展中国家在全球价值链嵌入过程中不断自我创新，一旦向更高级的价值链环节升级，发达国家就会采取手段来控制和阻碍发展中国家企业创新能力的提升，从而迫使发展中国家企业被“俘获”或“锁定”在全球价值链中创新能力较低、低附加值的生产组装环节。

(1) 价值链嵌入促进企业创新

Pietrobelli 和 Rabellotti (2010) 提出全球价值链的整合在发展中国家企业获取知识与创新方面发挥着越来越重要的作用。Cano-Kollmann et al. (2016) 认为，企业嵌入全球价值链后通过自身的吸收能力与先进企业的技术溢出的交互作用实现创新能力的提高。Mcevily 和 Marcus (2005) 认为企业嵌入全球价值链，可以及时了解行业内最新的信息与想法，并在全球范围内获得更多的机会，这些都是企业创新能力提升的重要因素。Wassmer 和 Madhok (2017) 指出企业通过参与全球价值链可以加深与掌握核心技术的先进企业的互动机会与信任程度，从而吸收先进企业的隐性知识，这种知识的增加可以促进企业创新想法的产生与创新行为的实施。一些学者针对发展中国家的研究表明了 GVC 嵌入对技术进步有促进作用，认为在全球价值链分工体系下，发达国家会对发展中国家的企业进行技术支持，激励其创新。Barney (1991) 的研究指出，发展中国家承接发达国家的生产外包可以直接或间接的获得新技术，有利于本国产业的发展。Eaton 和 Kortum (2002) 认为，发展中国家在于发达国家进行合作时，不仅可以通过进口中间品间直接提升生产率水平，而且可能接受到发达国家的技术指导、先进的生产设备和先进的管理理念，进而形成技术外溢。Javorcik (2004) 学者的研究表明，“技术溢出效应” 和 “学习效应” 是发展中国家在 GVC 活动中提升生产率的重要途径。

中国参与生产分割有利于生产率的提升（刘庆林 et al.，2010），吕越和吕云龙 (2016) 研究显示，嵌入全球价值链对技术密集型企业的效率改善明显。生产部门所在的生产链从空间上可以分为国内部分和国际部分（闫云凤，2018），中国的国内生分割与国际生产分割呈现互补的关系（倪红福, 2016）。基于 GVC 的国际生产分割可以通过优化资源配置和节约成本提升行业生产率（胡昭玲，2007）。中国在参与国际市场分割的过程中可以通过技术溢出提升产品技术（刘维林 et al.，2014），同时资源配置效率也得到提高（李丹，2016），高越和李荣林 (2011) 的研究表明，在国际生产分割条件下，产业结构优化可以促进生产率提升。胡昭玲和李红阳 (2016) 研究发现嵌入全球价值链可以显著提高制造业企业进行技术创新的倾向。企业嵌入全球价值链后，可以有效改善企业内部的融资约束，同时，价值链的嵌入也迫使企业为了生存而不得不提高技术创新能力。王文成 (2018) 的研究也肯定了全球价值链嵌入对企业创新的重要影响。

(2) 价值链嵌入抑制企业创新

Humphrey 和 Schmitz (2001) 表明嵌入全球价值链对产业技术创新有反向抑制作用。Bugamelli et al. (2009) 研究发现全球价值链嵌入会导致发展中国家和欠发达地区的低端锁定，全球价值链只会使发达国家的研发能力得到显著提升。

吕越 et al. (2018) 研究发现嵌入全球价值链对企业研发创新行为具有显著的抑制作用，这种抑制作用在外资企业、加工贸易企业以及高技术企业身上尤其明显。王智新和赵景峰 (2019) 认为全球价值链嵌入不会显著影响企业技术创新绩效，企业嵌入全球价值链后需要面对国际竞争更加激烈以及其他系统性风险更多的困境中。康淑娟和安立仁 (2019) 基于知识距离的角度，以制造业企业为样本进一步将全球价值链的嵌入分为结构性嵌入与关系性嵌入，研究发现只有在知识距离较低时，企业在全球价值链中的结构性嵌入才能正向作用于其技术创新，企业在全球价值链中的关系性嵌入对其技术创新的影响随知识距离的下降而加强。王高凤和郑玉 (2017) 测算表明，国际生产分割程度加深到一定程度会抑制低技术制造业的全要素生产率，这与目前中国 GVC 可能面临 “低端锁定” 的假说吻合。徐保昌和谢建国 (2016) 的研究结果显示，生产分割与企业生产率呈现出 “倒 U 型” 关系。

虽然全球价值链与企业创新的关系在学术界存在一定的分歧，但全球价值链是当前乃至今后世界经济发展的必然产物。长远来看，全球价值链能够带来更多的正面效应，促进企业创新和经济发展。

总结

本文运用文献计量分析对数据库 Web of Science 和 CNKI 中关于价值链嵌入与企业绩效的研究文献进行了梳理分析，在获取论文题目、关键词、被引次数、发表时间、作者及所属机构等词段的基础上，结合 Citespace 软件对其进行了定量分析。对当前价值链嵌入与企业绩效研究领域的人点问题进行评述。研究结论表明，中国与国际学术界在价值链嵌入与企业绩效研究领域相比存在以下特征。

1. 从 Web of Science 和 CNKI 数据库发文情况来看，随着国际分工的深入、跨国公司影响力加剧，国内外学者对于全球价值链的关注逐渐从国家、行业层面向企业层面转变。中国加入世贸组织后，伴随中国国际贸易地位的提升，中国企业更加广泛、深入的参与国际价值链，国内外学者聚焦于中国企业参与价值链问题。显著特征是该领域的中国学者在国际期刊的发文数量陡增。

2. 该领域高引用文献集中于美、英和中国，高引作者则主要集中于以中国为主的发展中国家。美英等国学者对于价值链嵌入与企业绩效的研究更多关注概念、定义以及企业案例研究，而中国国内学者则较多的关注于价值链嵌入的测算以及影响分析。近年来，中国国内与国外研究机构间学术交流迅速升温，该领域国内外研究水平差异也有所减小，国内研究成果在国际学术界的受关注度在不断提升，且中外合作研究成果也在不断增多。

讨论

中国作为世界上贸易总量最大的国家，企业参与国际分工、全球价值链的广度与深度都在不断增加，价值链嵌入对企业绩效影响的研究备受国内外学者关注。学者们考虑企业嵌入价值链的方式、程度不同对企业绩效包括生产率、出口、创新等方面的影响进行分析，认为企业参与全球价值链对企业绩效的影响存在异质性。在本研究的基础上，作者认为现有研究仍有需要拓展和完善的地方，具体如下：

1. 在全球价值链嵌入对企业创新影响方面，现有文献缺乏全球价值链影响企业创新路径的相关研究，尤其是间接路径的研究。可考虑在全球价值链影响企业创新直接路径研究的基础上，将全球价值链与信息流融合，考虑全球价值链中信息流的中介效应。通过中介效应的显著性判断全球价值链与信息流融合是否有意义，判断全球价值链影响企业创新的间接路径是否

显著，并深入分析这些路径在不同区域和行业的异质性。最终为相应区域和行业企业创新能力的提升提供一些针对性建议，提升全球价值链促进企业创新的效力，助力中国企业在全球价值链中地位的攀升。

2. 在全球价值链嵌入对企业生产率影响方面，现有文献大都基于后向关联考察企业参与全球价值链分工的生产率效应，忽略了前向、后向关联可能存在异质性影响。可考虑从全球价值链双向参与视角切入，识别参与全球价值链分工（前向参与和后向参与）与企业全要素生产率之间的因果关系，探讨价值链嵌入的异质性。

3. 数字技术与全球价值链的基本治理结构。数字价值链中的权力动态、平台化带来的商业模式创新、原始数据货币化和增值数据的所有权、同一网络中数字和实体场景的集成、母国互联网法规对全球价值链治理的影响、专业化与标准化、集成与响应性、消费者参与数字全球价值链、电子商务支持的供应商升级、数字环境中的关系治理，以及在全球价值链中建立全球虚拟团队的信任。

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类亲情交换与高校教师专业发展的直接效应检验

A TEST OF THE DIRECT EFFECT OF FAMILY-LIKE EXCHANGE AND UNIVERSITY TEACHERS' PROFESSIONAL DEVELOPMENT

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摘要

中国高校在“质”的转变过程中，教师是关键，提高高校教师的专业发展水平是高校发展的长效机制。因此，高校要探索多种方式促进教师专业的不断发展。本文以中国公办高校为研究对象，基于类亲情交换的视角，探讨类亲情交换与教师专业发展之间的关系。本文采用问卷调查法收集数据，利用相关分析、回归分析等方法对类亲情交换与教师专业发展的影响机制进行验证，发现：类亲情交换与教师专业发展水平在 0.01 的水平上呈显著正相关，类亲情交换与教学水平的相关系数为 0.575（P＜0.01），与科研水平的相关系数为 0.454（P＜0.01）。结果显示类亲情交换对教师专业发展具有显著正相关。因此通过提高公办高校类亲情交换水平对教师专业发展有积极的促进作用。本研究以高校这类事业单位为对象探讨类亲情交换与员工工作效率的影响，扩大了类亲情交换研究的范围，同时也从类亲情交换角度对高校教师管理提供了参考。

关键词：类亲情交换 教师专业发展 直接效应

Abstract

In the process of "quality" transformation in Chinese universities, teachers are the key. Improving the professional development level of universities’ teachers is a long-term mechanism for the development of universities. Therefore, universities should explore various ways to promote the continuous development of teachers' professional level.This paper took Chinese public universities as the research object, based on the perspective of family-like exchange, discussed the relationship between family-like exchange and teachers' professional development.This paper collected data by questionnaire, and verified the influence mechanism of family-like exchange and teachers' professional development by correlation analysis and regression analysis. It is found that there is a significant positive correlation between family-like exchange and teachers' professional development level at the level of 0.01, the correlation coefficient between family-like exchange and teaching level

is 0.575（P＜0.01）, and the correlation coefficient with research level is 0.454（P＜0.01）. The results showed that family-like exchange has a significant positive correlation with teachers' professional development. Therefore, improving the level of family-like exchange in public colleges and universities plays a positive role in promoting teachers' professional development. Taking public institutions such as university as the object, this study discusses the impact of family-like exchange on employees' work efficiency, expands the scope of family-like exchange research, and also provides a reference for the management of universities teachers from the perspective of quasi family exchange.

Keywords: Family-Like Exchange, Teacher’s Professional Development, Direct Effect

引言

研究的背景

中国的高等教育已经实现了规模的扩张，进入到了以质量发展为根本的内涵式发展阶段。而实现这一转变的主体是高校教师。高校教师工作的复杂性、创造性等特点使其工作具有不可替代性。因此，没有教师的发展及其专业成长，教师的使命就无法完成。推动高等教育的改革，就必须找准高校教师专业发展的特点和规律，探讨影响其专业发展的关键因素，找到促进其专业发展的有效方法。

现实背景

教育规模的扩张忽略的质的发展

1978 年开启了我国改革开放历史新时期，人民日益增长的物质文化需要同落后的社会生产之间的矛盾成为当时我国社会的主要矛盾，在高等教育领域则主要表现为人民群众日益增长的接受高等教育的需要同落后的高等教育之间的矛盾。因而尽快复苏、快速发展成为这一历史时期我国高等教育的战略主题。

1978 年，高等教育毛入学率仅为 1.55%；到 2009 年，高等教育毛入学率增加到 24.2%；至 2018 年，全国普通高校毕业生预计达 820 万人，高等教育已经快速迈向普及化阶段。

但是在这一轮高等教育的迅速发展中，扩招过于追求量的扩张，而对高等教育内涵的改造缺乏重视，高等教育的质量难以有效保证。高等教育的质量受到影响大致有两个原因，一是受扩招影响，招生人数增加，生源质量有所下降；另一个原因则是，随着高等教育的扩张，对教师的需求剧增，但长期以来受到高校人事体制限制，高等教育的教师队伍的水平在整体上并未得到保障。

高等教育需要以高质量的教学水平培养高质量的人才。然而，高等教育在“量”的扩张后，如何实现“质”的变化，这是需要高等教育解决的问题，也是我国由高等教育大国走向高等教育强国的关键。而在“质”的转变过程中，高校教师的专业发展就是一个关键。

教师职业发展的要求其专业水平的不断提升

对于教师个人而言，在教学和科研上要求教师既要有教学的实践能力，还要有学术上的能力。虽然不同的高校由于其层次不同，对教师提出的要求和评价的指标有所差异，但总的来说都要求教师从这两个方面去提高其专业发展水平。

而在现实中，目前高校教师中存在教师知识结构单一、教师的教学能力和科研水平有待提高、很多教师缺乏专业发展的意识以及职业倦怠等问题。

基于以上学校及教师发展的要求和现状，就要求教师要具有坚定的专业发展意识，形成教师专业发展的强大动力。而高校教师又具有不同于企业中员工的特点，他们的收入相比同素质的人群来说，相对较低，其物质需求的满足受限。同时，高校教师这个群体的综合素质较高，思想独立性强，在物质需求受限的情况下，教师的情感性需求增加，高校教师相比其他组织成员更注重工作中的良好人际关系。因此，本文从类亲情这一新的视角寻找教师专业发展的动力来源，从而促进高校及教师个人的双方良性发展。

理论背景

随着我国高等教育改革进程加快，各个领域对我国高校教师专业发展进行了广泛关注，教师专业发展日益成为我国教师教育改革的潮流与趋势。有关这一问题的研究主要集中在其内涵、影响因素和发展优化路径等方面。

目前我国对高校教师专业发展的研究还主要体现在研究其影响的因素和优化的路径方面。没有涉及如何从建立良好的工作氛围入手提高高校教师的专业发展。这一研究空白点为本研究的开展提供了可能。

而另一方面，近几年，我国学者基于中国文化特点，提出了“类亲情交换” 这一概念，对企业中类亲情交换与员工行为之间的关系进行了很多研究和探索。关于类亲情交换的研究主要集中在类亲情交换与中国文化的关系，类亲情交换对组织的影响等方面。朱苏丽 et al. (2015) 结合中国文化背景开展的类亲情交换研究证明：类亲情交换对员工的总体工作绩效有显著影响力。谭春平和高会平 (2018) 研究发现类亲情交换与员工的情感承诺和规范承诺有正向影响。吴高波 et al. (2019) 研究发现，类亲情交换对员工离职倾向有负向作用。目前关于类亲情的相关研究都表明，类亲情交换在组织中能够影响员工态度，提高员工忠诚度。但目前关于类亲情交换的研究都集中在企业这类组织中，我国的公办高校作为事业单位，它具有不同于企业的特点，以及高校教师受到自身收入条件、受教育程度等因素的影响，也具有不同于其他组织员工的特点。因此，为验证类亲情交换在高校这类组织中是否也存在同样的效果，本研究尝试从类亲情交换角度探讨其与教师工作效果之间的关系。

研究目的

本文将将类亲情交换用于高校这类组织中进行研究，从类亲情交换的角度探讨教师专业发展的新的途径。找出高校中类亲情交换与教师专业发展之间的关系。通过访谈及问卷调查了解当前高校类亲情交换与教师专业发展的现状及水平。通过数据分析，找出二者之间的关系，建立类亲情交换和教师专业发展的模型，找出类亲情交换与教师专业发展之间存在什么样的关系；从类亲情交换视角提出提升教师专业发展的对策。

文献综述

教师专业发展相关研究

国外教师专业发展的相关研究

国外对高校教师专业发展进行的研究主要集中在两个方面。一方面研究高校教师专业发展的内容，Toombs (1976) 指出高校教师发展包括课程发展、专业发展和组织发展。Gaff 和 Simpson (1994) 为高校教师的发展包括教学发展、个人发展和组织发展。Crow et al. (1976) 与其他对教师发展持单一职业角色的认知不同，他认为高校教师发展包括其作为社会人、专业人员和学术界成员的整个人的全面的发展。 Boyer (1990) 提出了高校教师发展的多维学术观，高校教师的学术应该包含探究的学术、整合的学术、应用的学术和教学的学术。

另一方面研究高校教师专业发展的策略。Bergquist et al. (1975) 提出高校教师发展模式。强调 “共同体发展”的概念，认为高校教师的发展需要外部制度环境的认可和支持。Glamorgan University 的 Danny Saunders 等就其所在高校进行研究，提出了以互助学习，采用先进的教育信息化技术等方式，这不仅有利于提高教师自身水平，还能促进高校的相互沟通和学科发展。

国内高校教师专业发展的相关研究

国内关于高校教师专业发展的研究主要集中在三个方面。

一是关于教师专业发展的理论梳理。这类研究详细梳理了教师专业发展的演变过程。马琴 (2020) 认为，教师专业发展本质是从“教师培训”到“教师教育”逐步发展为“教师发展”的渐进历程。可见教师专业发展是教师养成的一个连续过程。

二是研究高校教师专业发展的内涵。这类研究主要对高校教师专业发展的内容进行分析。潘懋元认为教师专业发展包括三个层面，一是具有与学者身份相应的学科专业水平；二是要具有与教师双重身份相应的教师职业知识与技能；三是要具有与学者和教师双重身份相应的特殊职业道德。袁莉 et al. (2020) 认为地方高校教师专业发展的内涵包括：发展目标、发展过程、发展模式和发展机制四个相互联系，相互作用的整体。

三是关于高校教师专业发展的影响因素及路径的相关研究。卞祥瑞 (2020) 认为：教师专业发展的影响因素包括教师个人层面、高校环境层面以及社会环境层面。高校教师专业发展需要充分调动社会、高校以及教师个体的资源与力量，多方面协调合作，才是保障高校教师专业发展的有力举措。王鸣华 (2019) 对高校外语教师专业发展的影响因素进行了探讨，认为影响教师专业发展的因素有：个人因素、外部环境。并从内部和外部影响因素入手提出了促进高校外语教师专业发展的途径。王莉和秦积翠 (2020) 研究了在学术视域下，高校教师专业发展的路径有四个方面：理念层面、制度保障、内部动力、学校方面。从这四个方面提升教师教学学术水平，促进教师专业发展。

目前有关高校教师专业发展的研究中，从不同的方面探讨了高校教师专业发展。国内外的研究大多把教师专业发展看做是与教师职业相关的各方面素质的构成情况，而教师专业发展是教师各方面素质不断提高的动态过程，从动态变化的角度关注教师专业发展更能体现在教师职业生涯中，其与专业相关的各方面能力的变化。另外，关于高校教师专业发展还终归要落脚于促进高校教师的发展实践，提出高校教师专业发展的发展路径，即主要解决高校教师专业发

展怎么做的问题。但目前的研究中，对高校教师专业发展过程中，从高校环境层面，通过营造良好的工作氛围或员工-组织关系，从而促进教师专业发展的研究较少。

类亲情交换相关研究

对类亲情交换的研究是近几年我国学者开始关注的方面，目前关于类亲情交换的研究主要集中在两个方面，一是类亲情交换与中国文化的关系，二是类亲情交换对组织的影响。

类亲情交换与中国文化的关系

在中国文化中，存在以家族关系为核心的相互依赖的价值取向，表现出对伦理人情而非契约精神的遵从。在中国文化背景下，组织中存在一种类似于亲人之间相处之道的类亲情交换关系。基于此，朱苏丽 et al. (2015) 提出并验证了在中国企业的员工—组织关系中，不仅存在契约式、工具性的经济交换与社会交换，而且还存在能够体现员工与组织高度融合的类亲情交换关系。

吴坤津 (2015) 在研究中指出：在西方文化背景下，强调经济交换和契约的管理方式无法适应中国情境下企业与员工建立伦理与情感关系的管理思想和管理目的。而根植于中国文化背景的家长式人力资源管理因其体现了社会、文化和情感等因素而被认为是一种具有现代价值的管理方式。这种家长式人力资源管理即是组织与员工之间类似于亲人之间的相处方式，双方情感联系密切。这类研究都是探讨类亲情交换是在中国传统文化背景下而产生出的一种特有的员工-组织关系。

类亲情交换对组织的影响

社会交换理论理论强调付出和获得之间的平衡。但是在中国传统“家”文化的背景下，该理论却不能很好地解释诸如：滴水之恩涌泉相报，你进我一尺，我敬你一丈之类的现象。因此，有学者对类亲情交换对组织产生的作用进行实证研究，证实在中国文化特征下，类亲情交换对组织产生的各种影响。

谭春平和高会平 (2018) 对类亲情交换关系与组织承诺之间的关系进行了研究。通过实证，结果表明类亲情交换关系对感情承诺、规范承诺有正向影响作用，对经济承诺有负向影响作用。

谭春平 et al. (2019) 也研究了家文化背景下员工和组织间类亲情交换与组织承诺的关系。研究表明，家文化、需求、支持、信任、沟通对员工与组织间的类亲情交换关系具有积极影响，而利益对类亲情交换关系的影响不显著。

吴高波 et al. (2019) 研究了类亲情交换关系对员工离职倾向的影响。通过实证检验结果表明：(1) 类亲情交换关系对离职倾向、心理契约违背中的人际型和发展型维度有显著负向作用；(2) 心理契约违背的三个维度（规范型、人际型和发展型）均对离职倾向有显著的正向作用。

这些研究都表明，类亲情交换与员工的工作态度和行为有积极影响。组织中类亲情交换水平的提高能有效提高员工的工作态度和积极性，并能预测工作绩效。

目前关于类亲情交换的研究充分说明了这是基于中国文化而产生的一种员工-组织关系，与西方的社会交换和经济交换关系具有明显的差异性。另外，目前对类亲情交换关系的研究主要集中在企业这类组织中，在事业单位这类组织中的研究几乎没有。

因此，基于对文献的分析，在组织中，类亲情交换影响员工的工作行为，在高校这类组织中，类亲情交换也能对教师的工作行为产生影响，从而影响教师专业水平的发展。

研究方法

研究对象

本研究以中国公办高校中的教师为研究对象，且专指既要承担教学任务同时也要承担科研任务的教师。

研究方法

本研究以问卷、访谈的方法了解我国被调查教师所在学校类亲情交换水平以及教师专业发展状况，在此基础上利用 SPSS、Amos 等数据统计方法分析二者之间的相关性。

数据收集

本研究的问卷分为类亲情交换问卷和教师专业发展问卷两个部分。问卷先发放 80 份进行初测，经检验后对问卷进行修订，再发放 300 份进行正式测试。

类亲情交换问卷：由于类亲情交换的研究在中国研究的时间并不长，已有学者对此进行了前期的研究，谭春平围绕利益、家文化、相互支持三个维度，采用李克特五级量表来设计了关于类亲情交换的问卷。因此，本文在借鉴其问卷，并结合本研究的实际，对问卷进行修订，形成 10 题，对被调查教师所在学校的类亲情交换状况进行调查，通过对该量表进行分析检验，问卷中的 10 题全部保留。

教师专业发展方面问卷：本文主要研究高校教师专业发展中的教师教学水平和教师科研水平两个方面，因此本部分问卷涉及教师教学水平和教师科研水平两个方面。教师科研水平问卷：目前还未找到可借鉴的关于高校教师科研水平的问卷。但根据目前很多学者对教师科研水平构成因素的分析以及对教师的访谈及专家建议，本研究拟从教师的课题、论文、专著、教材等方面自编问卷对教师的科研水平进行调查，形成 6 题。教师教学水平问卷：虽然目前没有现成的教师教学水平的问卷，但根据目前学者对教师教学水平构成因素的研究以及对教师的访谈及专家建议，本研究拟从教师教学成果，课堂工作质量等方面设计问卷。由于教师的教学工作是与学生互动的过程，因此，该量表在考察教师教学水平时还要参考学生对教师教学工作的评价，形成 7 题。关于教师教学水平和科研水平的问卷初步设计好后，聘请相关专家进行评审和修订，完成后先进行初测，经检验后教师科研水平保留 5 题，教师教学水平保留 5 题。正式测试总共发放问卷 300 份，回收有效问卷 300 份。问卷采用李克特五点评分法计分，并以 SPSS24.0 进行分析。

研究假设

朱苏丽 et al. (2015) 调查了来自 100 多家企业的 1000 多名员工，以 3 个独立的实验进行实证分析，认为：类亲情这种反应员工和组织情感高度融合的人际关系，它与社会交换和经济交换同时存在，显著影响员工的工作态度和工作行为。

王桃林 et al. (2019) 在 26 家企事业中，将 73 位领导问卷与 200 多名下属员工问卷进行配对研究。调查表明：类亲情交换关系反应了员工和组织之间高度融合相互依赖的积极的交换关系，组织中的类亲情交换关系一旦被员工感知，员工会产生对组织强烈的责任感，将以组织的目标和发展为重，促使员工对组织产生高度的情感承诺，愿意继续留在组织为组织的发展做出贡献。

陈胜军和贾天萌 (2009) 的研究也证实，组织中的类亲情交换关系和组织对员工的支持，对于员工组织承诺的提高有重要的积极作用。吴坤津 et al. (2017) 研究发现，在管理实践中，将员工视作家庭成员的这种仁慈型的管理方式，将促使员工与组织高度和谐，员工不仅产生更多角色内的积极行为，也会产生更多角色外的积极行为。更愿意为组织的发展付出更多的努力。这种将员工像家人一样对待的组织氛围会促使员工产生积极的工作行为，从而在一定程度上预测工作绩效的提高。吴高波 et al. (2019) 在研究中也认为：与社会交换和经济交换相比，类亲情交换对员工的工作态度和工作行为的解释力更好，能较好地预测员工的工作态度和工作行为。通过对现有有关类亲情交换及教师专业发展的文献梳理，发现，组织中类亲情交换对员工的工作行为有积极的作用。因此，本研究假设类亲情交换对教师专业发展有正相关关系。

研究结果

正态分布检验

本文借助 SPSS24.0 软件对类亲情交换（1-10 题）、教师教学水平（11-15 题）和科研水平（16-20 题）进行正态分布检验，所有题项的偏度绝对值均小于 3，峰度绝对值也均小于 3，表示正式调研数据服从正态分布。见表 1。

表 1: 测量题项的描述性统计

题项	平均值	标准差	偏度	偏度标准误差	峰度	峰度标准误差
1	3.8800	0.84932	-0.461	0.141	0.151	0.281
2	3.8833	0.78215	-0.384	0.141	0.275	0.281
3	3.7100	0.88799	-0.320	0.141	-0.315	0.281
4	3.7400	0.87652	-0.068	0.141	-0.826	0.281
5	3.8400	0.82259	-0.494	0.141	0.595	0.281
6	3.5900	0.95478	-0.306	0.141	-0.148	0.281
7	3.8400	0.83068	-0.151	0.141	-0.725	0.281
8	3.5033	0.95202	-0.127	0.141	-0.317	0.281
9	3.7133	0.84471	-0.287	0.141	0.185	0.281
10	3.5633	0.83765	0.039	0.141	0.074	0.281
11	3.6333	0.81718	-0.195	0.141	-0.435	0.281
12	3.5167	0.94836	0.129	0.141	-0.916	0.281
13	3.6433	0.95874	-0.471	0.141	-0.048	0.281
14	3.7333	0.93011	-0.324	0.141	-0.506	0.281
15	3.7733	0.88953	-0.371	0.141	-0.284	0.281
16	3.9267	1.01558	-0.759	0.141	0.135	0.281
17	3.8333	0.88023	-0.409	0.141	-0.359	0.281

表 1: 测量题项的描述性统计 (续。)

题项	平均值	标准差	偏度	偏度标准误差	峰度	峰度标准误差
18	3.3267	0.91802	-0.250	0.141	0.382	0.281
19	3.6000	0.93965	-0.828	0.141	1.016	0.281
20	3.8267	1.04575	-0.672	0.141	0.115	0.281

信度和效度检验

本研究使用 Cronbach α 系数进行问卷信度检验，问卷整体信度为 0.956，各部分的 Cronbach α 系数大于 0.8，说明问卷具有较好的内在信度，见表 2。在正式问卷形成之前，本研究请专家多次对问卷进行修订，通过检验，问卷 KMO 值为 0.931，表明适合进行因子分析，所有因子解释总方差大于 70%，问卷具有较好的结构效度，见表 3。

表 2: 量表 CITC 及信度分析结果

维度	显变量	校正的项总计相关性	项已删除的 Cronbach's a	维度 Cronbach's a	量表总体 Cronbach's a
类亲情交换	1	0.675	0.940	0.942	0.956
	2	0.740	0.937		
	3	0.826	0.933		
	4	0.725	0.938		
	5	0.708	0.939		
	6	0.790	0.935		
	7	0.685	0.940		
	8	0.818	0.933		
	9	0.823	0.933		
	10	0.834	0.933		
教学水平	11	0.659	0.798	0.837	
	12	0.592	0.816		
	13	0.531	0.832		
	14	0.701	0.786		
	15	0.714	0.781		
科研水平	16	0.595	0.849	0.859	
	17	0.600	0.850		
	18	0.716	0.819		
	19	0.702	0.822		
	20	0.773	0.805		

表 3: 量表探索性因子分析

因子名称	题项编号	因子 1	因子 2	因子 3
类亲情交换	1	0.736		
	2	0.748		
	3	0.765		
	4	0.657		
	5	0.731		
	6	0.704		
	7	0.682		
	8	0.740		
	9	0.755		
	10	0.754		
教学水平	11		0.761	
	12		0.613	
	13		0.654	
	14		0.712	
	15		0.767	
科研水平	16			0.740
	17			0.696
	18			0.777
	19			0.765
	20			0.809
特征值		6.514	6.172	3.468
累计解释方差比例		22.462	43.744	55.703
	KMO (Kaiser-Meyer-Olkin) 度量值			0.931
	Bartlett 的球形度检验近似卡方			6931.374
	df			406
	Sig.			0.000

总结与讨论

对样本中类亲情交换与教师专业发展变量进行描述性统计，如表 4 所示。

表 4: 主要变量描述性统计

变量名称	样本数	最小值	最大值	平均值
类亲情交换	300	1.70	5.00	3.73
教师教学水平	300	1.00	5.00	3.7
教师科研水平	300	2	5.00	3.66

从表 4 中可见，在样本中，类亲情交换的平均值为 3.73，说明高校类亲情交换水平较高。从教师专业发展水平来看，教师教学水平均值 3.71，科研水平均值 3.66，相对于科研水平来说，教师的教学水平相对较高，这与高校的实际比较符合。

类亲情交换与高校教师专业发展的相关性分析

对类亲情交换与教师专业发展的关系进行检验，判断类亲情交换和教师专业发展之间的相关性。 对类亲情交换和教师专业发展的两个维度进行相关分析，得到结果如表 5 所示。

表 5: 类亲情交换与高校教师专业发展的相关分析

变量	教学水平	科研水平
类亲情交换	0.575**	0.454**

注：**表示在 0.01 水平上显著相关

由表 5 可知，类亲情交换与教师专业发展水平之间在 0.01 的水平上呈显著正相关关系，其中与教学水平的相关水平为 0.575，与科研水平的相关水平为 0.454。

类亲情交换与高校教师专业发展的回归分析

类亲情交换对教学水平影响的回归分析

表 6: 类亲情交换对教学水平的回归分析结果

变量	Beta	t
类亲情交换	0.575**	12.14
F	147.381**	
ΔR^2	0.329	

注：**表示在 0.01 水平上显著相关

由表 6 可知，模型的 F 值为 147.381 (P＜0.01)，表示通过 F 检验，调整的 R^2 为 0.329，意味着所有预测变量解释了 32.9%的方差，同时类亲情交换与教学水平的回归系数为 0.575 (P＜0.01)，说明类亲情交换对教学水平有明显的正向影响作用。

类亲情交换对科研水平影响的回归分析

表 7: 类亲情交换对科研水平的回归分析结果

变量	Beta	t
类亲情交换	0.454**	8.802
F	77.483**	
ΔR^2	0.204	

注：**表示在 0.01 水平上显著相关

由表 7 可知，模型的 F 值为 77.483 (P＜0.01)，表示通过 F 检验，调整的 R^2 为 0.204，意味着所有预测变量解释了 20.4%的方差，同时类亲情交换与教学水平的回归系数为 0.454 (P＜0.01)，说明类亲情交换对科研水平有明显的正向影响作用。

通过研究发现，高校中类亲情交换水平与教师教学水平和科研水平有显著的正相关关系，这可为高校教师管理工作提供新的思路和参考。并且本论文的研究发现与前人的研究比较一致，前人对类亲情交换的研究，大都认为类亲情交换可以形成员工积极的工作态度和行为，从而提高工作效率，在高校中也存在类似的现象，通过提高高校类亲情交换水平有利于提高教师专业水平。

建议

通过对我国公办高校中类亲情交换与教师专业发展水平之间关系的研究，发现类亲情交换与教师专业发展水平有显著正相关。因此，通过提高高校类亲情交换水平可以有效促进高校教师的专业发展。

高校中注重类亲情交换关系的建立

类亲情交换可以使员工和组织高度融和，使员工和组织形成亲人般相互依赖的关系，员工对组织高度忠诚，使员工以更加积极的态度和行为工作，提高工作效率。本研究也证明，类亲情交换对高校教师专业发展有正相关关系。对于高校这类事业单位，以物质方式激励员工的范围非常有限，再加之教师这一群体自身的特殊性，他们对组织归属感的需求，自我实现的需求相对更为强烈。因此，在高校中，注重类亲情交换关系的建立，能使教师对组织有更加强烈的情感依赖，更愿意通过自身专业水平的不断提高来实现个人和组织的共同发展。

加强沟通

组织中成员之间的相互了解是类亲情交换关系维持和发展的重要条件。而工作内外的沟通和交流是促进相互了解的主要方式。所以，高校教师与组织之间有效的沟通可以明显改善组织与教师的关系，增进双方的了解，拉近彼此的距离，通过沟通，可以有效提升教师与组织之间的相互信任，促进双方的融合发展。在高校中可以通过多种形式例如教研活动、教师集体活动、业余比赛等方式加强教师与组织之间的沟通和交流，从而提高组织类亲情交换水平。

增加组织支持

教师与组织之间的情感依赖是类亲情交换关系的重要因素，中国文化重情感体验，教师对组织情感的依赖与其在工作中所体会到来自组织的支持和关心密不可分。当教师感受到来自组织的积极支持，并且这种支持不仅仅是工作本身，还包括教师个人的发展及其生活的方方面面时，教师会体验到与组织融为一体的感受，对组织产生更加积极的情感，形成更加持久的情感依赖。组织对教师的支持不仅帮助教师在工作上的成长，还应包括对教师个人职业发展的支持以及对教师生活困难的支持，例如解决教师子女的入学问题，家庭成员生病就医等教师特别关心的问题，使教师能感受到组织中类似于家庭的亲情关系。

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拼多多 APP 用户使用意愿影响因素研究：基于 UTAUT 模型的实证研究
FACTORS INFLUENCING CONSUMER USE INTENTION ON PINDUODUO: AN EMPIRICAL STUDY BASED ON UTAUT MODEL

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摘要

随着移动互联网技术的成熟运用和智能移动设备的普及，网上购物成为潮流，拼多多在此背景下应运而生。探究广大消费者对拼多多 APP 的使用意愿及影响因素，对未来“互联网+”的商业模式构建具有重大指导意义。本研究借用 UTAUT 理论模型，构建以绩效期望、努力期望、社群影响、便利条件、感知风险、感知娱乐为核心变量，提出研究假设。围绕研究假设设计调查问卷，问卷分为用户基本信息和用户使用情况等要素，量表围绕 6 个核心变量设置了 25 个题项。为增加问卷调查结果的普遍性和代表性，通过线上问卷星调查平台方式，向不同省份、不同行业、不同年龄段的人群发放问卷，确保获取的问卷数据真实客观、具有代表性。本研究采用 SPSS 18.0 软件对问卷量表的信效度和维度结构进行检验，使用 Mplus 软件构建结构方程模型对调研结果进行实证分析。研究结果表明：(1) 绩效期望、努力期望、社群影响、便利条件对消费者使用拼多多具有正向影响；(2) 感知风险对消费者使用拼多多的意愿具有显著负向影响，尤其体现在满意度和持续使用方面；(3)感知娱乐对消费者的网络购物意愿影响较小。研究结论验证了 UTAUT 的理论，进一步论证了 UTAUT 理论模型在社交电商平台领域的应用前景和理论价值。

关键词: 使用意愿 拼多多 APP UTAUT 理论模型

Abstract

With the mature application of mobile Internet technology and the popularization of smart mobile devices, online shopping has become a trend, and Pinduoduo has emerged in this context. Exploring consumers' willingness to use Pinduoduo APP and itsinfluencing factors is of great guiding significance for the construction of the future "Internet +" business model. Basedon the theoretical model of UTAUT, this study constructs a research model with performance expectancy, effort expectancy, social influence, facilitating condition, perceived risk, and perceived entertainment as core variables, and proposes research hypothese. Samples are collected through questionnaires, and the survey results are empirically analyzed by SEM. The results show that: (1) Performance expectancy, effort expectancy, social influence, and facilitating condition have a positive impact on consumers' use of pinduoduo; (2) Perceived risk has a significant negative impact on consumers' willingness to use Pinduo; especially in terms of satisfaction and continuous use; (3) Perceived entertainment has little effect on consumers' online shopping willingness. The research conclusions support the theory of UTAUT, and further expand the application prospect and theoretical value of UTAUT model in the field of social e-commerce platform.
Keywords: Use Intention, Pinduoduo APP, UTAUT

引言

商业化运用首先出现在欧美等西方发达国家，后逐渐推广至世界各大经济体。中国的移动互联网技术发展历程相对较短，但发展势头迅猛，并迅速进入社会各个领域，可以预见未来应用前景广阔。在中国，互联网已全面进入存量竞争时代，行业集中度不断提高，流量接近饱和，由用户数量增长向用户依赖程度加深转变。互联网时代营销场景多样化，数字经济发展迅速，社交、电商、视频娱乐及支付等领域的头部企业扩张势头强劲，同 5G 商业化全面普及又推动移动智能设备市场和电商行业加速迭代，各类小程序在生活服务、移动购物及视频领域加速布局，极大挤占了传统的电商市场。线下生活场景向线上加速转移延伸，数字经济强势向三线及以下城市渗透，线上用户黏度不断增强，新用户市场开拓越发困难。

在此背景下，中国电商平台黑马拼多多利用微信社交软件流量相对分散且更具场景化的特征，以用户为中心，以好友分享为基础，以平等、多对多的模式快速崛起，吸引大量用户。在迅速博取了社会各界关注的同时，拼多多也面临来自市场、行业等多方面的压力和挑战。就行业来看，新的电商模式发展迅速，极大挤压传统电商发展空间。如直播带货、短视频、拼团、电商微信小程序等陆续出现，开启互联网市场竞争新格局。后疫情时代背景下，社区团购和新型网购类小程序迅猛扩张，不仅保持了在中国一、二线城市的已有市场份额，同时快速占领三、四线城市市场。市场竞争愈加激烈，传统商户注重对存量市场精耕细作，开展精准化营销。新入局品牌则较为关注下沉市场快速崛起的特征，努力探索新的市场机遇，打造差异化营销。具体到拼多多 APP 而言，面临存量用户粘度不够、新市场开拓艰难、客户精准细分及营销不到位、产品质量及服务备受诟病、消费体验感差、业务模式创新不力等方面的问题。消费者是拼多多 APP 的终端使用者，通过研究消费者使用意愿的影响因素，为拼多多 APP 未来优化和发展提供参考路径，还可以进一步挖掘潜在的消费需求，同时为用户带来更好消费体验，促进电商平台健康有序发展。

研究目的

本研究旨在分析拼多多 APP 用户使用意愿和倾向，探究影响用户使用意愿的多种因素及其作用力度，以构建和谐共赢的电商合作关系。研究以经典实用的整合型技术接受与使用理论模型——UTAUT(Unified Theory of Acceptance and Use of Technology)为理论支撑，主要解决以下几个问题：

1) 通过文献梳理，对电商平台拼多多 APP 等相关概念以及 UTAUT 等相关理论进行认识深化。在比较各理论模型的基础上，基于 UTAUT 理论，构建本文的研究模型。

2) 探究模型各维度，包括绩效期望、努力期望、社群影响、便利条件、感知风险、感知娱乐等 (自变量) 如何影响拼多多 APP 用户的使用意愿 (因变量)，包括是否存在影响，影响效应的大小、各变量之间的关系等。

3) 基于拼多多 APP 用户使用意愿影响因素的研究结果，结合拼多多 APP 当前的应用现状，提出拼多多 APP 未来改进完善建议，同时以期望能对整个传统电商平台及新兴电商小程序等不同销售模型提供参考和指导。

文献综述

本研究将对拼多多 APP 用户使用意愿的相关研究进行综述，归纳研究领域现状。并对 UTAUT 理论模型及其应用研究进行梳理，为本研究的模型构建提供支持。

1. 拼多多用户使用意愿的相关研究

拼多多自创立以来，用户数量及成交额成裂变式增长，学界关注其迅速获得成功的原因，多将之归功于新电商平台的模式创新，却鲜有着眼于用户使用意愿方面的研究。当前，少数研究涉及到这一领域，但侧重点各异。冼桐等人(2019)基于消费者行为理论分析拼多多目标群体特征，并从社会化营销角度提出改进策略。周劲波和位何君(2020)基于 AARRR 模型分析拼多多用户增长的策略，同时发现在产品质量、用户体验、物流配送及信息安全等方面存在问题，并提出改进路径。李词雨 et al. (2021) 基于目前拼多多用户对网站不信任的问题，提出从网站信息有用、易用、安全和感知乐趣角度构建信任模型。姜铭和李文 (2021)从用户思维出发，提出通过建立相应的场景以实现用户行为是电商平台构建流量池的主要途径，进而实现品牌化价值创造、社交化价值传播和智能化价值创造。

在拼多多 APP 迅速崛起的同时，相关的理论研究也在逐步跟进，并且在电商平台模型构建、盈利模型分析、绩效分析、营销分析等方面都取得不俗的成绩。这些研究成果在推动、改进拼多多电商平台，推动传统电子商务向新型电商平台转型提供了很好的参考和理论支撑。同时，通过文献分析发现，以往的研究多是从电商平台的视角展开，围绕竞争、利润、模式等角度评析拼多多成功的原因及未来改进之路，却鲜有学者从消费者视角着眼，尤其是对消费者使用意愿的影响因子及相互关系展开研究。虽说近几年的研究方向发生了变化，从宏观模型构建逐渐往不同细分领域转移。但在电商竞争日趋激烈和用户需求更加多样化的市场环境下，需要从不同视角看待问题，以免陷入单方自说自话的尴尬境地。在国际国内双循环，以国内大循环为主的大背景下，未来的市场需要更加关注消费者，构建以消费者为中心的商业模式。用户的使用行为既为了满足其客观需求，也是拼多多 APP 的初衷和目的，更是拼多多 APP 电商平台有效运行的结果。拼多多 APP 的发展和改进就应当着眼于消费者，以用户视角去看待市场现象，以用户思维去构建营销理念，以用户体验去优化客户服务，以用户需求去打造精致的电商平台。由此，从消费者视角出发，研究拼多多 APP 用户的使用意愿影响因素显得极为必要。

2. 整合型技术接受与使用理论(UTAUT)

整合型技术接受与使用模型(UTAUT)由 Venkatesh 等人(2003)提出，模型以技术接受模型(TAM, Technology Acceptance Model)为基础，综合吸收了创新扩散理论(IDT, Innovation Diffusion Theory)、计划行为理论(TPB, Theory of Planned Behavior)、理性行为理论(TRA, Theory of Reasoned Action)、动机理论(MM, MotivationModel)、社会认知理论(SCT, Social Cognitive Theory)、整合 TAM 和 TPB 模型 (C-TAM-TPB)等理论模型核心内容。模型包含四个核心变量：绩效期望 (PE, Performance Expectancy)、努力期望 (EE, Effort Expectancy)、社群影响 (SI, Social Influence)和便利条件 (FC, Facilitating Condition)；四个调节变量：性别、年龄、经验和自愿性。UTAUT 模型如图 1 所示：

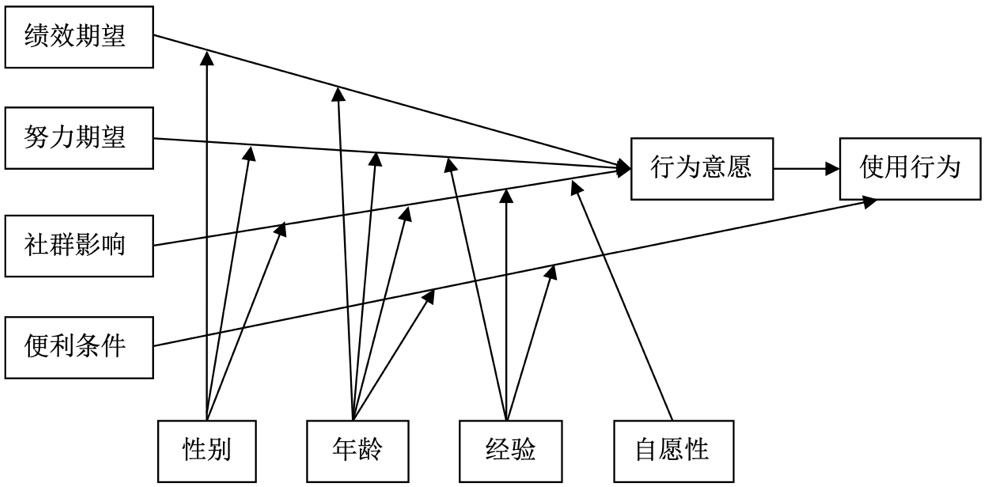

图1: 整合型技术接受与使用理论模型 (UTAUT)

UTAUT 模型广泛应用于行为学、社会学等学科的用户信息技术接受方面的研究中 (徐蕾 et al, 2014) 。在国内研究中，基于 UTAUT 模型的用户信息技术接受研究多集中于移动支付、网络教学与学习、旅游 APP 使用、政府社交媒体、微博、网上图书馆等领域 (马小龙 & 刘兰娟, 2016) ; 明均仁 et al, 2018)。在国外研究中，UTAUT 模型已被广泛应用于消费者行为领域 (AbuShanab & Pearson, 2007 ; Guo & Barnes,2011 ; Venkatesh et al., 2012), 而国内在该场景下的应用研究仍然比较少。本研究将借助 UTAUT 模型研究拼多多 APP 使用意愿及影响因素，进一步丰富和发展 UTAUT 模型在国内的研究应用领域。

研究方法

本研究采用问卷调查法，借鉴了国内外基于 UTAUT 理论应用研究成果中的量表及测量维度，并结合拼多多 APP 应用实践及特性，围绕七个核心要素编制问卷。问卷分为两大部分：第一部分是被调查对象的基本情况，共 8 个题项；第二部分是被调查对象的拼多多 APP 使用意愿和影响因素，共 24 个题项，包括绩效期望（4 项）、努力期望（3 项）、社群影响（4 项）、便利条件（3 项）、感知风险（4 项）、感知娱乐（3 项）、使用意愿（3 项）。第二部分的题项均采用 Likert 五点量表计分法，1-5 依次表示“非常不同意”、“比较不同意”、“不确定”、“比较同意”和“非常同意”。

基于前人的大量研究结论，本研究对量表中涉及到的核心要素与使用意愿的影响关系探讨如下：1) 绩效期望是指个体认为拼多多 APP 能够帮助他们取得更好工作绩效的程度。就拼多多 APP 应用实践来看，用户的绩效期望体现在获取有价值的商品信息，能享受更加便捷高效的购物服务，通过各种优惠和拼团活动能买到称心如意的商品。好的绩效期望势更有可能带来用户更强的使用意愿。2) 努力期望指个体认为拼多多 APP 的易用程度会影响对相关技术或系统的使用意愿。拼多多用户使用前需要下载、安装、注册应用软件，还要学会在电子平台上浏览商品信息，选购商品，进行支付，确认配送地址等。若 APP 的操作界面能够做到简洁易用、人性化、便于学习掌握，自然能够获得用户的肯定性评价。3) 社群影响是指个体受到他人影响而使用拼多多 APP 的程度。当个体周围重要的人认为应该使用拼多多 APP 时，个体倾向于表现出与他人期望的一致行为，此外，当周围人都在使用拼多多时，从众心理也会驱使

个体产生更强的使用意愿。4)便利条件是指用户使用拼多多 APP 所具有的资源条件及所能获得的技术支持。移动互联网技术的成熟应用和移动智能设备的普及极大地促进了拼多多 APP 的推广使用。快速稳定的网络、便携智能的电子设备、简洁实用的 APP 等促进因素直接对拼多多 APP 的使用意愿产生影响，并且是同步正向影响。5) 感知风险是从“信任”的维度分析用户对移动商务技术的接受程度，是指用户感知到使用拼多多 APP 过程中可能出现的风险程度。基于网络虚拟商场的特性，买卖双方在空间和时间上相分离，缺乏传统交易中“面对面”钱货两清的确认场景，由此给用户带来网络购物的不确定性和显著的风险感知。风险感知越强，使用意愿就会越低。6) 感知娱乐是指用户在使用拼多多 APP 时所感受到的愉快而有趣的体验，有的研究中将之称为娱乐动机，是购物动机中情感、享受、愉悦的方面 (Hirschman & Holbrook, 1982) 。当拼多多 APP 能为用户带来愉悦的体验和精神上的某种满足时，用户就会产生使用意愿。由此，本研究提出如下假设：

表 1: 研究假设

假设编号	内容
H1	绩效期望 (PE) 对拼多多 APP 用户的使用意愿会产生正向影响。
H2	努力期望 (EE) 对拼多多 APP 用户的使用意愿会产生正向影响。
H3	社群影响 (SI) 对拼多多 APP 用户的使用意愿会产生正向影响。
H4	便利条件 (FC) 对拼多多 APP 用户的使用意愿会产生正向影响。
H5	感知风险 (PR) 对拼多多 APP 用户的使用意愿会产生负向影响。
H6	感知娱乐 (PP) 对拼多多 APP 用户的使用意愿会产生正向影响。

本研究的调查对象为具有拼多多 APP 使用经验的群体，问卷基于在线问卷调查平台发布，并通过微信、QQ 等社交平台推广扩散，向不同省份、不同行业、不同年龄段人群发出。此次调查共发放和回收 250 份调查问卷，剔除问卷题项作答明显雷同以及多处漏选多选的问卷 8 份，有效问卷 242 份，占总回收的 96.8%。

本研究使用 SPSS18.0 软件对问卷量表的信效度和维度结构进行检验，以确保量表工具的可靠性和有效性。研究还使用 Mplus 软件构建结构方程模型，对假设模型的测量和结构部分进行检验，以探究各因素间的作用效应。

研究结果

基本信息描述性统计分析

本研究主要从性别、年龄、受教育程度、职业类别、月可支配收入、拼多多 APP 使用情况等方面对样本进行描述性统计分析，样本基本资料如表 2 所示。

表 2: 样本基本资料

变量	选项	频数	百分比
性别	男	75	31%
	女	167	69%

表 2: 样本基本资料 (续。)

变量	选项	频数	百分比
年龄	18-30岁	115	47.5%
	31-50岁	118	48.8%
	51岁以上	9	3.7%
受教育程度	初中及以下	17	7%
	高中（高职中专）	35	14.5%
	大专	53	21.9%
	本科	98	40.5%
	硕士及以上	39	16.1%
职业	学生	14	5.8%
	公务员 / 事业单位	55	22.7%
	企业职员	62	25.6%
	个体户	15	6.2%
	其他	96	39.7%
月可支配收入	1000元以下	15	6.2%
	1001-3000元	49	20.2%
	3001-5000元	76	31.4%
	5001-7000元	41	16.9%
	7001元以上	61	25.2%
每月平均使用拼多多次数	1-2次	89	36.8%
	3-5次	103	42.6%
	6-10次	28	11.6%
	10次以上	22	9.1%

本研究还通过多选题的方式调查了被调查者的拼多多 APP 使用体验和感受，暴露出拼多多 APP 使用过程中存在的一些问题。比如“商品质量参差不齐”和“砍价太耗精力，难以成交”选项的选择人数较多，是用户使用拼多多 APP 购物的两大痛点。此外，该部分也反映出拼多多 APP 的竞争优势和受用户喜爱的方面，比如“拼团互助优惠大”、“购物方便快捷”等。

量表信效度检验

为确保问卷量表的可靠性和一致性，本研究采用克伦巴赫系数 (Cronbach’s α)进行信度分析，量表数据的整体信度及各维度信度如表 3 所示。量表整体信度系数 α 值为 0.855，说明量表整体具有较好的内部一致性，可靠性较强；各维度的信度系数 α 均在 0.85 以上，说明各部分的稳定性较好，可进行下一步分析。

表 3: 问卷量表 Cronbach's α 系数

变量	题项数	Cronbach's α系数	整体Cronbach's α系数
期望绩效	4	0.922	0.849
努力期望	3	0.886	
社群影响	4	0.866	
便利条件	3	0.851	
感知风险	4	0.897	
感知娱乐	3	0.863	
使用意愿	3	0.965	

为检验问卷量表的准确度和有效性，本研究采用 KMO 和巴特利特球形检验进行效度分析。分析结果显示，问卷量表的 KMO 检验值为 0.793，Bartlett 球形度检验结果显示，近似卡方值为 5228.98 ($p < 0.001$)，通过了显著性水平为 1%的检验。以上结果表明，本研究的样本数据适合进行因子分析。

对样本数据进行探索性因素分析，采用主成分分析法提取成分特征，结果如表 4 所示，第 7 个成分的"初始特征值"开始小于 1，前六个成分可解释的总变异量为 79.059% (大于 70%)，可提取六个共同因子。

表 4: 因子解释的总方差 (仅显示特征值大于 1 的部分)

	初始特征值			提取平方和载入			旋转平方和载入		
成分	总计	方差的 %	累积 %	总计	方差的 %	累积 %	总计	方差的 %	累积 %
1	7.779	32.414	32.414	7.779	32.414	32.414	6.141	25.589	25.589
2	3.827	15.947	48.361	3.827	15.947	48.361	3.138	13.075	38.664
3	2.449	10.205	58.566	2.449	10.205	58.566	2.487	10.364	49.027
4	2.151	8.963	67.53	2.151	8.963	67.53	2.424	10.101	59.128
5	1.569	6.539	74.069	1.569	6.539	74.069	2.415	10.063	69.191
6	1.198	4.99	79.059	1.198	4.99	79.059	2.368	9.868	79.059
7	0.977	4.071	83.13						

采用主成分分析法提取，Kaiser 正态化最大方差法旋转，旋转在 5 次迭代后完成收敛。旋转成分矩阵如表 5 所示，所有题项的因子载荷均大于 0.7，且没有出现在多个公因子上同时大于 0.5 的情况，即每个题项都能很好地解释一个成分。

表 5: 旋转成分矩阵

	因子1	因子2	因子3	因子4	因子5	因子6
PE1	.781					
PE2	.830					
PE3	.875					

表 5: 旋转成分矩阵 (续。)

	因子1	因子2	因子3	因子4	因子5	因子6
PE4	.867					
EE1			.904			
EE2			.926			
EE3			.862			
SI1	.895					
SI2	.884					
SI3	.706					
SI4	.690					
FC1				.863		
FC2				.825		
FC3				.882		
PR1		.916				
PR2		.897				
PR3		.811				
PR4		.749				
PP1						.904
PP2						.920
PP3						.738
BI1					.806	
BI2					.792	
BI3					.828	

需要指出的是，虽然期望绩效为度和社群影响维度中的题项同时落在公因子 1 中，但是考虑到两者理论含义上的差异，因而不做维度合并。总体而言，本研究的问卷量表具有较好的效度水平。

结构方程模型及假设检验

本研究采用结构方程模型分析法模拟研究假设，结构方程模型是用来检验观察变量与潜变量之间假设关系的一种全包式统计方法，融合了因素分析以及路径分析两种统计方法。本研究使用结构方程模型的完整模型分析，基于 UTAUT 模型度初始模型的关键变量进行分析和处理，并计算它们之间的路径系数和显著性水平。结构方程模型进行路径分析时，着重分析核心要素对使用意愿的影响，而不考虑人口统计学变量的影响。

在初始模型的拟合指标中，GFI 值和 TLI 值的拟合结果为可接受，CMIN/DF 值、AGFI 值和 RMESA 值的拟合结果为差，总体上初始模型的拟合结果不理想，拟合指标数值详见表 6。

表 6: 初始模型的拟合结果

指标名称	评价指标		实际值	拟合结果
	好	可接受		
CMIN/DF (卡方自由度比)	＜3	3.0~5.0	5.879	差
GFI (拟合优度指数)	＞0.9	0.7~0.9	0.742	可接受
AGFI (矫正拟合优度指数)	＞0.9	0.7~0.9	0.663	差
TLI（非标准拟合指数）	＞0.9	0.7~0.9	0.764	可接受
RMESA (渐进残差均方和平方根)	＜0.08	0.08~0.1	0.142	差

对初始模型中的路径效应进行分析，结果如表 7 所示。绩效期望、努力期望、社群影响、便利条件对使用意愿均存在显著的正向影响，假设 H1-H4 成立；感知风险对使用意愿存在显著的负向影响，假设 H5 成立；感知娱乐对使用意愿的影响未达到显著 ($p = 0.904 > 0.05$)，假设 H6 不成立。以上结果与以使用意愿为因变量，其他因素为自变量的回归分析结果一致，回归分析结果详见表 8。

表 7: 初始模型的路径系数分析结果

路径	Estimate系数	S.E.值	C.R.值	P值	标准化 Estimate	假设结果
使用意愿←绩效期望	0.217	0.086	2.534	*	0.217	H1成立
使用意愿←努力期望	0.185	0.046	4.024	***	0.185	H2成立
使用意愿←社群影响	0.754	0.153	4.917	***	0.754	H3成立
使用意愿←便利条件	0.28	0.051	5.512	***	0.28	H4成立
使用意愿←感知风险	-0.227	0.043	-5.324	***	-0.227	H5成立
使用意愿←感知娱乐	-0.005	0.045	-0.12	0.904	-0.005	H6不成立

表 8: 回归系数与显著性检验

因变量	自变量	未标准化系数		标准化系数	T	显著性
		B	标准化误差	Beta		
使用意愿	（常量）	0.165	0.401		0.411	0.682
	绩效期望	0.573	0.115	0.430	4.998	0.000
	努力期望	0.128	0.053	0.116	2.430	0.016
	社群影响	0.226	0.103	0.193	2.189	0.030
	便利条件	0.163	0.058	0.138	2.831	0.005
	感知风险	-0.153	0.059	-0.135	-2.575	0.011
	感知娱乐	-0.057	0.074	-0.040	-0.769	0.443

由初始模型的拟合结果可知，模型需要作适当的修正。结合初始模型的路径系数检验结果，首先在考虑实际因素的基础上，删除路径系数检验不显著的一个变量，即感知娱乐。其

次，参照 MI 修正指数，基于实际因素增加残差与变量之间的共变关系，得到最终模型如图 2 所示。

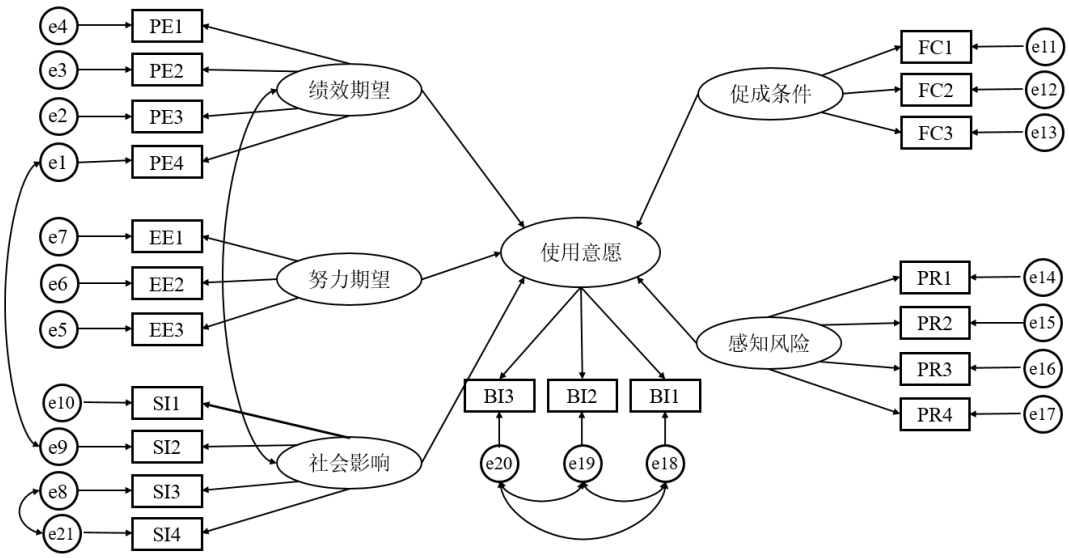

图2: 修正后的模型

表 9: 回归系数与显著性检验

指标名称	评价指标		实际值	拟合结果
	好	可接受		
CMIN/DF (卡方自由度比)	＜3	3.0~5.0	2.354	佳
GFI (拟合优度指数)	＞0.9	0.7~0.9	0.853	良好
AGFI (矫正拟合优度指数)	＞0.9	0.7~0.9	0.811	良好
TLI（非标准拟合指数）	＞0.9	0.7~0.9	0.945	佳
RMESA (渐进残差均方和平方根)	＜0.08	0.08~0.1	0.075	佳

综上所述，本研究提出的研究假设检验情况汇总如下：

表 10: 研究假设检验结果汇总

假设编号	研究假设	检验结果
H1	绩效期望) PE (对拼多多APP用户的使用意愿会产生正向影响。	成立
H2	努力期望) EE (对拼多多APP用户的使用意愿会产生正向影响。	成立
H3	社群影响) SI (对拼多多APP用户的使用意愿会产生正向影响。	成立
H4	便利条件) FC (对拼多多APP用户的使用意愿会产生正向影响。	成立
H5	感知风险) PR (对拼多多APP用户的使用意愿会产生负向影响。	成立
H6	感知娱乐) PP (对拼多多APP用户的使用意愿会产生正向影响。	不成立

结论与讨论

结论

研究结果表明：(1) 绩效期望、努力期望、社群影响、便利条件对消费者使用拼多多具有正向影响；(2) 感知风险对消费者使用拼多多的意愿具有显著负向影响，尤其体现在满意度和持续使用方面；(3) 感知娱乐对消费者的网络购物意愿影响较小。基于本研究结论，着眼于拼多多电商模式的特征和应用实际，围绕用户使用意愿影响因素这一核心，本研究提出以下针对性建议：企业在产品优化、功能创新、技术完善、树立品牌形象、改善用户体验等方面应当持续发力，放大优势，改进不足，为巩固和开拓用户奠定产品基础；优化提升拼多多 APP 安全性能，在技术更迭、流程优化、规则创设及持续监管等方面加强对用户个人隐私信息的保护力度，尤其是身份信息和支付信息方面，进一步打消用户疑虑；根据市场和用户需求变化，打造差异化业务模式，尤其是在细分市场方面下功夫，提升分级市场下用户绩效期望值；通过优化操作流程、简化软件界面设计来突出产品特色，进一步提升努力期望值，通过强化老用户粘度，增强对新用户的吸引力，进一步巩固已有市场和开拓新市场。

讨论

本研究依据 UTAUT 理论模型，结合拼多多 APP 的自身特征和使用现状，以绩效期望、努力期望、社群影响、便利条件、感知风险、感知娱乐为自变量，以使用意愿为因变量提出研究假设，构建结构方程模型。通过调查问卷进行样本采集，采用结构方程模型的方式对调研结果进行实证分析。本研究对拼多多 APP 用户使用意愿影响因素及相互作用关系的探究，有助于为拼多多 APP 的改进完善方向提供理论及数据参考，以期对其整个电商生态的的长远发展有所促进。另一方面，本研究验证了 UTAUT 模型在消费行为领域的有效性，进一步论证了 UTAUT 理论模型在社交电商平台领域的应用前景和理论价值。

绩效期望与拼多多 APP 用户使用意愿的相关系数较大，说明被调查拼多多 APP 用户认为使用拼多多软件可以帮助他们获得更好购物体验，进一步剖析题项发现用户对于该软件提供的促销以及让利优惠活动更加满意，对拼多多软件的设计更为关注，也更希望获得最大程度的物美价廉的商品。努力期望方面，用户认为拼多多软件使用的方法与操作过程简单、易于掌握，软件平台内反馈的信息也便于理解，但也反应出拼多多软件需要便捷化的操作，利于新用户理解的软件使用方法。社群影响对使用意愿影响较明显，用户受到周围人的影响或者获得社会普遍的认同时，其使用拼多多软件的意愿越强烈，尤其是周围人邀请拼多多 APP 用户使用拼单与砍价活动还是对其使用该软件起到了主导作用。便利条件对使用意愿的影响集中体现在较为优良的外部相关资源、设备、技术等方面，尤其是快速稳定的网络环境。在感知风险方面，用户担心使用拼多多软件可能带来的各种网络风险，尤其是对个人隐私信息的担忧。在感知娱乐方面，研究设想是该因素对用户使用意愿有促进作用，认为用户在使用拼多多软件过程中能感受到愉快而有趣的体验。但实证结果表明该假设不成立，用户并非因感知到乐趣才使用拼多多，而是为了购物，侧面反映出拼多多软件自身娱乐性不强。

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企业家精神与员工创新行为的关系研究—基于组织柔性的调节作用
THE RELATIONSHIP BETWEEN ENTREPRENEURSHIP AND EMPLOYEE INNOVATIVE BEHAVIOR——BASED ON THE REGULATION OF ORGANIZATIONAL FLEXIBILITY

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摘要

本文主要依托企业家精神理论和权变理论，在直接检验企业家精神与员工创新行为的基础上，引入并检验组织柔性的调节作用。研究采用问卷调查方法，收集 386 份高新技术企业的有效数据，运用 SPSS 23.0 和 AMOS 进行研究假设检验。研究表明：企业精神对员工创新行为具有显著的正向影响；组织柔性及组织柔性各维度在企业家精神与员工创新行为之间起正向调节作用。

关键词: 企业家精神 员工创新行为 组织柔性

Abstract

Based on entrepreneurship theory and contingency theory, this paper introduces and tests the regulatory role of organizational flexibility on the basis of directly testing entrepreneurship and employee innovation behavior .Questionnaire survey was used to collect the effective data of 386 high-tech enterprises, and spss 23.0 and Amos were used to test the research hypothesis .The research shows that enterprise spirit has a significant positive impact on employees' innovation behavior; Organizational flexibility and its dimensions play a positive regulatory role between entrepreneurship and employee innovation behavior.

Keywords: Entrepreneurship, Employee Innovation Behavior, Organizational Flexibility

引言

当前，世界经济形势低迷、市场进一步萎缩，世界各国纷纷把创新作为经济增长的驱动力。市场经济的主体是企业，创新是企业获得可持续竞争力的关键因素，企业只有通过创新才能突破限制企业发展的瓶颈。然而，创新具有风险性，需要企业家与员工的共同努力。因此，如何发挥企业家精神，激发员工的创新活力，从而有效提升企业创新绩效是企业亟需解决的重要问题。外部环境是影响企业创新绩效的重要影响因素，目前，企业所面临的是复杂多变的不确定性环境，因此，企业需要具备动态能力才能保持可持续竞争优势。熊胜绪和李婷 (2019) 认为组织柔性为企业动态能力提供发展的土壤，组织柔性越高的企业应对环境变化的能力越强，可以避免组织在动态的环境中所引发的企业动荡和失控，从而使企业竞争优势具有可持续性。本文以高新技术企业作为研究对象，目的是希望通过分析企业家精神、组织柔性和员

工创新行为三者之间的关系，可以进一步丰富企业家精神理论和权变理论的内涵，为高新技术企业的创新提供可借鉴的依据。

研究目的

本研究的目的在于：通过对长春、天津、上海、深圳、成都等区域高新技术企业管理层及员工进行访谈及调研后，收集 386 份关于企业家精神、组织柔性和员工创新行为的有效问卷，在此基础上，深入剖析企业家精神对员工创新行为的影响，并试图对于二者之间的调节变量开展相关验证。本文以企业家精神理论、权变理论等为理论基础，深入分析企业家精神对员工创新行为的影响路径，提出组织柔性这个调节变量，有利于更好的梳理企业家精神、组织柔性与员工创新行为的关系。

文献综述

企业家精神对员工创新行为影响的理论分析

组织的发展既需要企业家精神的引领，同时也需要员工不断的进行创新实践。Covin 和 Slevin (1991) 研究表明，企业家精神是员工创新的重要驱动力，它在很大程度上会影响企业的创新氛围和意愿，从而促使企业采用新技术、新方法提升企业竞争力。Kuratko & Hornsby (1999) 在其实证中发现，企业家精神是提升企业创新绩效的关键因素，原因在于拥有企业家精神的企业会更大程度支持员工的创新行为，员工在创新氛围浓厚的环境更乐于学习新知识、新技能，进而提升企业核心竞争力。朱平利和刘娇阳 (2020) 认为企业家精神涵盖创新、敢为人先等丰富内涵，富有企业家精神的领导在组织的管理过程中会潜移默化的对员工的行为产生影响，促使员工高质量的投入到工作当中，进而主动的学习新方法和新技术。张建宇 et al. (2011) 采用案例研究的方法探索了两者之间的关系，研究表明驱动员工产生创新行为的关键因素之一是企业家精神，企业内部亟需能够识别和评估员工创新行为的企业家，这样才能保证员工创新行为顺利进行。李宇和王俊倩 (2014) 通过实证研究的方法对 213 家企业进行研究，结果表明企业创新能否顺利的转化为创新行为，会受到很多内外部因素的制约，拥有企业家精神的企业领导创新意愿会更强、更富有冒险精神与韧性，因此会更倾向于通过采取协同创新的方式共同参与创新，从而让员工具有更强的归属感，自发的为了企业的长远发展将好的创意和想法转化为新技术。范群林 et al. (2015) 在其研究中指出，创新是企业可持续发展的驱动力，员工是企业活动的主体，企业的创新需要通过员工将其新知识、新技术、新方法吸收并落地，而促使员工创新行为能够有效实施的重要因素在于企业家精神。因此，企业家精神对于员工创新行为的促进具有至关重要的推动作用。刘西明 et al. (2020) 研究发现创新的过程是复杂多变的，促使员工在工作中产生创新行为需要投入大量的时间和精力，而富有企业家精神的企业，组织具有宽松的创新氛围，从而促使员工愿意投入更多的时间和精力去学习和掌握新的技术和方法。

通过以上理论分析，因此本文提出如下假设：

H1：企业家精神对企业提升员工创新行为具有显著的正向影响

组织柔性对企业家精神与员工创新行为的调节作用分析

组织柔性是企业面对复杂多变的外部环境时，整合内外部资源及时作出调整与变革从而适应环境变化的重要能力。Denison 和 Mishra (1995) 在其研究中指出，企业的创新受到多方面因素的制约，能否成功具有不可预测性，这就意味着企业在管理方面应当具有柔韧性，并拥有宽容的创新氛围，才能激发和保护企业家的创新精神，从而促使企业具有可持续竞争力。赵

晓煜 et al. (2020) 研究发现文化柔性在组织柔性的各个维度中发挥着至关重要的作用，组织要建立开放、包容和创新的企业文化，从而有利于提升企业员工的创新意识和创新能力。邵福泽和周伟 (2016) 研究结果表明具有组织柔性的企业在资源整合、创新工作方式方面比其他企业更具备灵活性，可以有效的提升企业产品创新能力。赵忠伟 et al. (2019) 研究发现组织柔性中的文化柔性对企业的创新绩效具有显著的促进作用，中小型企业应该建立起学习型组织，鼓励员工获取新的知识和技能，转化成自身优势，从而有效的推动企业的技术创新。王博林 (2021) 研究结果表明组织中员工的创新行为的重要影响因素是领导和同事积极的创新期望，拥有企业家精神的领导者通过向员工传递积极的创新意识，可以显著的提升员工的工作投入热情以及促进其创新行为的产生。由此可见，组织柔性对企业创新和企业家精神方面具有促进作用，组织柔性能够激发企业家活动和促进创新。

因此，基于以上理论分析本文提出如下假设：

H2：组织柔性在企业家精神与员工创新行为之间起调节作用；

H2a：组织柔性的文化柔性在企业家精神与员工创新行为之间起调节作用；

H2b：组织柔性的技术柔性在企业家精神与员工创新行为之间起调节作用；

H2c：组织柔性的结构柔性在企业家精神与员工创新行为之间起调节作用。

根据假设，构建的研究模型如图 1 所示。

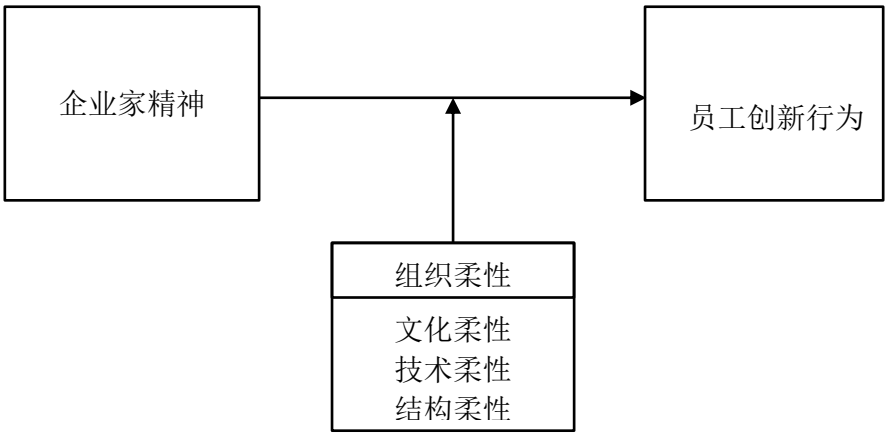

图1: 研究模型

研究方法

数据来源与结构

本文研究采用问卷调查法获取实证分析所需数据，小样本测试共发放调查问卷 168 份，最后得到的可以使用的问卷为 156 份，在进行信度分析和探索性因子分析的基础上，对因子载荷较低的题项进行了修改，确保了正式问卷的有效性。正式问卷面向长春、天津、上海、深圳、成都等企业发放，共回收问卷 420 份，并将其中 34 份无效的剔除出来，最后得到有效问卷为 386 份。

本文选择的研究对象为高新技术企业。因为高新技术企业的创新活动更加频繁，其行为特征更易观察，拥有更多的创新驱动力。但由于研究涉及到企业的中高层管理者，他们自身的业务较为繁忙。因此在问卷的发放和回收方面存在一定的难度，导致样本量较少，同时也增加了本文研究的难度。

变量测量

为了保证研究使用的量表具有良好的信效度，在本文研究中所采用的均是当前学术界公认的较为成熟的量表。并在此基础上，根据研究的实际情况进行适当的调整，形成本文研究使用的量表。量表的具体设计如下：

企业家精神（自变量）。文章借鉴的是 Covin 和 Slevin (1989) 关于企业家精神的测量量表，并在此基础上根据调研对象的理解程度对量表进行了修正，设计出衡量企业家精神的九个题项，分别是从创新精神、冒险精神以及主动精神三个方面测量，每个方面又包含三个测量题项。

员工创新行为（因变量）。关于员工创新行为的研究国内外已形成了丰富的研究成果，本文研究在借鉴刘云和石金涛) 2009 (编制的单维度 5 条目量表以及前人研究成果的基础上，根据调研对象的理解程度对量表进行了修正，设计出一个包含 5 个题项的测量量表。

组织柔性（调节变量）。本文借鉴国内学者熊胜绪和李婷) 2019(，借鉴 Jansen et al .)2005 (等主流的观点，将组织柔性分为文化柔性、技术柔性、结构柔性三个维度进行研究，并根据调查对象的个人理解程度对量表题项的表述进行了修正，最后设计出一个包含 15 个题项的测量量表。

信效度检验

量表信度的检验当前主要是通过 Cronbach's α 系数进行检验。通常情况下 Cronbach's Alpha 系数的值在 0 和 1 之间，当该系数大于 0.7 的时候，说明量表具有良好的可信度。量表的效度检验则包括内容效度和结构效度，由于研究所使用的主要是比较权威和公认的量表来进行测量，因此量表的内容效度是符合研究要求的。此外，对于结构效度的检验采用的是 KMO 值和 Bartlett 球形检验法。本文研究 SPSS 23.0 对数据进行分析，结果详见表 1。由表 1 可以看出，各个变量的 Cronbach's Alpha 值分别大于 0.7，KMO 值均在 0.7 以上，Bartlett 球形检验的值均低于 0.001 的显著性水平，各题项在其相应公共因子上的因子载荷均大于 0.5 .即问卷的信度、内容效度、结构效度均符合研究要求。

表 1: 问卷信度与效度分析结果表

变量	题项	Cronbach'sα 值	KMO 值	Bartlett 球形检验 sig	因子载荷
企业家精神	X21	0.837	0.819	0.000	0.87
	X23				0.835
	X22				0.818
	X33				0.861
	X31				0.849
	X32				0.808
	X12				0.844
	X13				0.812
	X11				0.806
员工创新行为	Y5	0.897	0.883	0.000	0.875
	Y1				0.854
	Y4				0.842
	Y2				0.831
	Y3				0.812
组织柔性	N23	0.883	0.899	0.000	0.877
	N24				0.862
	N25				0.823
	N21				0.785

表 1: 问卷信度与效度分析结果表 (续。)

变量	题项	Cronbach'sα 值	KMO 值	Bartlett 球形检验 sig	因子载荷
	N22				0.771
	N11				0.838
	N12				0.838
	N14				0.826
	N13				0.82
	N15				0.803
	N31				0.868
	N32				0.859
	N33				0.814
	N35				0.777
	N34				0.777

研究结果

文章利用 SPSS 23.0 统计分析软件，采用多元线性回归方法检验企业家精神与员工创新行为以及组织柔性在企业家精神与员工创新行为之间的调节效应。具体结果及分析如下：

企业家精神对员工创新行为回归分析

本文研究以行业类型、企业属性、公司规模、区域作为控制变量，企业家精神作为自变量，员工创新行为作为因变量，利用 SPSS 进行回归分析，得到下表。

表 2: 企业家精神与员工创新行为回归分析结果

	员工创新行为	
	M1	**M2**
企业年龄	-0.045	-0.059
行业类型	0.123*	0.072
企业属性	-0.009	-0.012
公司规模	0.113*	0.066
区域	-0.013	-0.008
企业家精神		0.528***
R 方	0.031	0.304
R 方变化	0.031	0.274
F	2.392*	27.608***

来源：本论文收集 SPSS23 检验数据后整理 注：*, p<0.05; **, p<0.01**:, p<0.001

从研究模型可以看出,企业家精神对员工创新行为的影响作用显著 (β=0.528 且 P<0.05) H1 假设成立。

组织柔性在企业家精神与员工创新行为之间调节检验

本文以行业类型、企业属性、公司规模、区域作为控制变量，企业家精神作为自变量，组织柔性作为调节变量，员工创新行作为因变量，利用 SPSS 进行调节分析，得到下表。

表 3: 组织柔性在在企业家精神与员工创新行为之间调节检验

	员工创新行为			
	M1	**M2**	**M3**	**M4**
企业年龄	-0.045	-0.059	-0.035	-0.022
行业类型	0.123*	0.072	0.047	0.036
企业属性	-0.009	-0.012	-0.025	-0.031
公司规模	0.113*	0.066	-0.014	-0.036
区域	-0.013	-0.008	0.037	0.022
企业家精神		0.528***	0.316***	0.351***
组织柔性			0.455***	0.462***
企业家精神 X 组织柔性				0.184***
R 方	0.031	0.304	0.452	0.483
R 方变化	0.031	0.274	0.148	0.031
F	2.392*	27.608***	44.491***	44.066***

注: *, p <0.05;** , p<0.01** :，p <0.001

由上表模型可以看出，企业家精神 X 组织柔性对员工创新行为 (β = 0.184，p<0.05) 具有显著正向影响，表明组织柔性在企业家精神对员工创新行为的影响中具有正向调节作用，H2 假设成立。

文化柔性在在企业家精神与员工创新行为之间调节检验

以行业类型、企业属性、公司规模、区域作为控制变量，企业家精神作为自变量，文化柔性作为调节变量，员工创新行作为因变量，利用 SPSS 进行调节分析，得到下表。

表 4: 文化柔性在在企业家精神与员工创新行为之间调节检验

	员工创新行为			
	M1	**M2**	**M3**	**M4**
企业年龄	-0.045	-0.059	-0.055	-0.04
行业类型	0.123*	0.072	0.059	0.04
企业属性	-0.009	-0.012	-0.005	-0.007
公司规模	0.113*	0.066	0.045	0.026
区域	-0.013	-0.008	0.003	-0.006
企业家精神		0.528***	0.453***	0.472***
文化柔性			0.267***	0.306***
企业家精神 X 文化柔性				0.231***
R 方	0.031	0.304	0.368	0.419
R 方变化	0.031	0.274	0.064	0.051
F	2.392*	27.608***	31.5***	34.000***

注: *, p<0.05;** , p<0.01**:，p<0.001

由上表模型 4 可以得到，企业家精神 X 文化柔性对员工创新行为（β = 0.231，p<0.05）具有显著正向影响，表明文化柔性在企业家精神对员工创新行为的影响中具有正向调节作用，H2a 假设成立。

技术柔性在企业家精神与员工创新行为之间调节检验

以行业类型、企业属性、公司规模、区域作为控制变量，企业家精神作为自变量，技术柔性作为调节变量，员工创新行作为因变量，利用 SPSS 进行调节分析，得到下表。

表 5: 技术柔性在在企业家精神与员工创新行为之间调节检验

	员工创新行为			
	M1	**M2**	**M3**	**M4**
企业年龄	-0.045	-0.059	-0.043	-0.04
行业类型	0.123*	0.072	0.063	0.055
企业属性	-0.009	-0.012	-0.045	-0.042
公司规模	0.113*	0.066	0.007	-0.003
区域	-0.013	-0.008	0.03	0.022
企业家精神		0.528***	0.368***	0.398***
技术柔性			0.337***	0.348***
企业家精神 X 技术柔性				0.108*
R 方	0.031	0.304	0.384	0.394
R 方变化	0.031	0.274	0.079	0.01
F	2.392*	27.608***	33.592***	30.597***

注: *, p<0.05;** , p<0.01** :, p<0.001

由上表模型可以看出，企业家精神 X 技术柔性对员工创新行为 (β=0.108，p<0.05) 具有显著正向影响，表明技术柔性在企业家精神对员工创新行为的影响中具有正向调节作用，H2b 假设成立。

结构柔性在在企业家精神与员工创新行为之间调节检验

以行业类型、企业属性、公司规模、区域作为控制变量，企业家精神作为自变量，结构柔性作为调节变量，员工创新行作为因变量，利用 SPSS 进行调节分析，得到下表。

表 6: 结构柔性在在企业家精神与员工创新行为之间调节检验

	员工创新行为			
	M1	**M2**	**M3**	**M4**
企业年龄	-0.045	-0.059	-0.045	-0.032
行业类型	0.123*	0.072	0.061	0.063
企业属性	-0.009	-0.012	-0.009	-0.026
公司规模	0.113*	0.066	0.032	0.011
区域	-0.013	-0.008	0.008	0.000
企业家精神		0.528***	0.462***	0.442***
结构柔性			0.262***	0.303***
企业家精神 X 结构柔性				0.168***
R 方	0.031	0.304	0.366	0.392
R 方变化	0.031	0.274	0.062	0.026
F	2.392*	27.608***	31.192***	30.386***

注: *, p<0.05;** , p<0.01**:, p<0.001

由上表模型可以看出，企业家精神 X 结构柔性对员工创新行为 (β=0.168，p<0.05) 具有显著正向影响，表明结构柔性在企业家精神对员工创新行为的影响中具有正向调节作用，H2b 假设成立。

总结

通过对企业家精神、员工创新行为与组织柔性三者之间的关系进行探究，本文获得以下结论：(1) 企业家精神对企业提升员工创新行为具有显著的正向影响。企业家精神当中的创新、冒险和主动精神可以激励员工产生新想法和创意，并在其影响下不断的将想法和创意转化成创新行为。员工的创新行为会促使企业的研究成果得以转化和落地，为企业带来可观的经济效益，从而有效的提升企业的创新绩效。(2) 组织柔性在企业家精神与员工创新行为之间具有调节作用。当前，企业所面临的是复杂多变的动态环境,企业要获得可持续竞争力，创新是必然的选择。然而，创新所面临的风险具有很强的不可预测性，本质上需要企业具有组织柔性。(Bolwijn & Kumpe，1990) 研究指出创新的必要条件是柔性，组织的创新要求企业必须拥有较高的柔性管理能力。组织柔性越强的企业在资源的整合方面相对于其他企业而言，拥有无可比拟的优势，可以有效的推动企业产品和技术的创新（邵福泽 & 周伟，2016）。组织柔性可以促使企业面对外部环境的变化及时的做出战略的调整，并积极的促进企业转型升级，迅速的占领市场中的有利地位 Utterback 和 Abernathy (1975)。此外，组织柔性可以促使企业改革传统的管理方式、方法，有利于企业家精神的培育，并促进企业的渐进式创新。(3) 组织柔性各维度在企业家精神与员工创新行为之间起调节作用。文化柔性越强的企业，意味着企业拥有浓厚的创新氛围，有利于企业家精神的发挥，从而能够有效的调动员工的积极性。结构柔性强意味着企业的组织结构更灵活，可以根据外部环境的变化，及时的调整组织结构的设计，促使组织机构的调整能够适应企业战略的调整，从而有利于提高企业的创新绩效。

讨论

本文的研究贡献在于证实了企业家精神对员工创新行为的影响，揭示了企业家精神和员工创新行为之间关系的机理，识别了组织柔性这一重要的调节作用，丰富了企业家精神理论和权变理论的内涵。同时，本文的研究结果对中国企业的管理实践具有重要的借鉴意义：(1) 创新是企业获得竞争优势的关键因素，因此，如何激发员工的创新意识和创新行为是企业所关注的，在本文研究中发现，企业家精神是激发员工创新行为的重要影响因素。因此，企业要重视和培育企业家精神，充分发挥企业家精神在调动员工积极性和激发创新行为方面的作用。(2) 当前我们企业所面临的是复杂多变的外部环境，组织柔性不但会影响员工的创新行为，也会调节企业家精神与员工创新行为之间的关系。因此，企业在发展的过程中，因此，企业在发展的过程中，要创建柔性的组织管理模式，提升企业的可持续竞争力。

本文研究还存在以下不足之处：(1) 样本量有一定的局限性。受研究条件的制约，本文的研究样本只是选取了长春、深圳、天津、上海、成都等地区的高新技术企业作为研究对象，样本的代表性还不够全面，因此研究结论的普适性还需要进一步的进行论证。(2) 模型还需进一步丰富，本文基于企业家精神理论和权变理论检验了企业家精神与员工创新行为之间的关系，并引入组织柔性作为调节变量， 但没有探索和检验企业家精神和员工创新行为之间关系的中介作用，后续研究将进一步探索两者之间中介变量及效应。

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手术团队操作流程知识转移过程研究——基于知识基础观与实践基础观整合的视角

THE KNOWLEDGE TRANSFER PROCESS OF SURGICAL TEAM OPERATION PROCESS——BASED ON THE INTEGRATION OF THE KNOWLEDGE-BASED VIEW AND THE PRACTICE-BASED VIEW

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摘要

随着中国医疗行业的高速发展，医院数量迅速增加，医疗行业的竞争也凸显了出来，外科作为体现一个医院医疗水平的重要科室，所以不断培养高质量外科人才以及引进先进医疗技术是医院发展的重要过程。本文基于对国内外相关文献的研究，从知识基础观与实践基础观整合的视角出发，使用定性研究方法对医院外派进修医生学习后回自己原医院进行新的手术项目开展及新科室建立进行研究，再对进修医生将自己在进修过程中如何获取知识和技能以及如何将知识转移到自己所要建立的手术团队中进行分析，对手术技能如何进行获取，吸收，转换和应用进行了探索性研究，构建出手术团队操作流程知识转移理论框架，并对该框架的理论及实践指导意义进行讨论。研究结果为手术团队的知识转移提供指导，同时也对医学类知识转移相关文献进行补充。

关键词: 手术团队 隐性知识 显现知识 知识转移

Abstract

With the rapid development of China's medical industry, the number of hospitals has increased rapidly, and the competition in the medical industry has also become prominent. Surgery is an important department reflecting the medical level of a hospital, so it is an important process of hospital development to continuously cultivate high-quality surgical talents and introduce advanced medical technology.Based on the study of relevant literatures at home and abroad, from the perspective of the integration of knowledge based view and practice based view, this paper uses qualitative research method to study the development of new surgical projects and the establishment of new departments of doctors sent abroad after learning in their original hospitals.Again to study doctor will himself in the process of study how to obtain knowledge and skills and how to transfer the knowledge to what I want to build in the surgical team were analyzed, and the operation skills of how to obtain, absorption, transformation and application of the exploratory study, build a surgical team operation process knowledge transfer theory framework, and the framework of theory and practice guiding significance are discussed.The results of this study provide guidance for knowledge transfer in surgical teams and supplement the literature on medical knowledge transfer.

Keywords: Surgical Team, Tacit Knowledge, Explicit Knowledge, Knowledge Transfer

引言

随着中国医疗改革的不断深化，社会资本进入医疗行业导致医院的竞争激烈，医院不仅面临着竞争导致的发展压力，还面临着各种新的疾病及疑难杂症的考验，使得提高医院的核心竞争力是现在的当务之急。医院可开展的手术项目也是作为市场竞争中的重要指标，外科也是体现医院医疗水平的重要门户，外科手术团队中有效的知识转移可以很大程度提高医疗技术水平，通过对医院手术团队知识转移的研究使医疗知识能得到有效管理，发挥其最大效益，使手术团队应变能力和创新能力不断提升，构筑强有力的手术团队知识管理体系。

医疗机构为了使自己医院的外科手术能力能得到很快速的提高，每年都会安排本医院的外科医生前往上级医院进行进修学习，在学习完成之后回本医院建立新的手术团队以及开设新的手术项目，但是在学生回到本院将自己所学习到的专业知识传递给自己要建立的手术团队的成员时往往没有很规范的知识转移范式，从而大大影响了手术团队建设的进度，使医疗机构的医疗技术水平不能得到快速的改善。

在使用多种检索工具对手术团队及医疗行业知识转移进行了检索后，得到的关于手术团队或外科医疗团队知识转移的文献相对很少，医学知识转移的相关研究大致存在以下两个方向:一是对当前存在的可用于知识转移、知识共享的平台、模式、软件、数据库等的简介;二是从实体或者是虚拟的角度设计可行的知识 转移、知识共享的平台、模式、软件、技术等。（刘明 et al, 2012; 钟何香, 2012; 杨志, 2008; Hoeijmakers et al, 2013; Badgett & Mulrow , 2005）。在医院中医生与医生在医疗技术中的知识转移对医院的医疗水平提高起着非常大的作用，但是这类的研究目前非常少，基于社会构建主义的观点，人作为社会实践者，经常通过自己的经验和他们所处的社会环境相互作用来解释周围的世界，人类以反映他们的主观思维的方式理解他们周围的世界。因此，为了把握一个人的行为的意义，研究人员应该尝试从那个人的角度看事情 (Bogdan & Taylor, 1975)，而这是实证研究无法做到的，因此本文通过定性研究方法对手术团队中知识转移进行研究，从而填补文献的缺陷，丰富知识分享领域的研究成果。

研究目的

在手术团队操作流程中，带教老师指导学生进行学习大多是凭借自己的经验进行教学，但是手术操作具有特殊性，需要理论和实践相结合，同时又需要谨慎细心的态度，一位专业技能熟练的外科医生并不一定是一位优秀的带教老师，大多数外科医生是没有经历过教育学相关培训的，他们的教学方法没有标准化的规范，在这种教学中针对不同手术及不同学生因为自己的教学方法会影响教学的质量，从而影响知识转移的完整性，比如带教老师给予学生手术操作流程中的实践机会，有些带教老师会给学生多一些的实践，有些带教老师会偏向让学生多观摩，这些不同的教学方法都会影响到进修学习的进度和质量。医院也缺乏外科手术教学的相关指导，导致有些学生进修或学习结束仍然无法开展学习的手术。

在查阅文献后发现，国内外医学知识转移目前研究的重点有很大的区别: 从文献资料数量上来看，国内的研究数量较少，仅为国外的一半左右; 从研究层次上来看，国内研究主要集中在个人、团体层次，而国外研究主要是团体、组织层，（刘小锋，2014；陈洁，2014；Razzaque et al，2013；Lee & Hong，2014）; 从研究内容上来看，国内主要致力于主体、影响因素的研究，而国外则是更加注重于对实现机制的研究，主要探讨了如何利用现有的或者是开发新型的工具、平台、技术手段等促进医学知识转移的成功实现; 从研究对象来看，国内主要是医生、护理人员、医患等个人或团体，而国外以社区、医院等组织为主。

整体看来相关研究目前还存在很多的不足，主要表现以下方面。一是国内研究缺少广泛性和适用性，理论研究范围狭窄且很难付诸于实践。二是国内外研究目前还处在发展阶段，研究方向还不够深入、成熟，研究的维度也比较狭窄，如很少有文献涉及不同水平、不同地区之间的医学知识转移。三是大多数为理论研究，尤其是针对知识转移、共享机制的探索，有相关理论研究，但并未得到实践和应用。

本文将运用定性的研究方法，采用知识基础理论的客观主义视角下的知识转移与实践主义视角下的知识转移相整合对手术医生深度访谈搜集受访者对自己手术技能从获取到转移给团队成员的过程，并通过编码确定每一个受访者所提供的案例中所具有的知识分享、知识转移的过程描述，然后分析案例所处的情境进行分类，最后并通过客观主义的知识认知与实践主义的知识认知整合的视角下对手术团队操作流程中的知识转移过程进行探索性研究。

研究意义

理论意义

现有的文献缺乏实用性的文献，多以文献研究为主，本文则采用对手术团队操作流程中的知识转移进行探索性研究，进而得出可操作性的理论，从而填补理论缺陷，丰富文献数据，为其他相关研究提供重要的数据基础。

并通过知识基础理论的客观主义视角下的知识转移与实践主义视角下的知识转移相整合，应用在手术团队中的知识转移研究，为这两种知识转移理论整合研究提供了指导，对知识转移过程中的怎么学，怎么教以及知识的外在化与内在化相结合应用到知识转移的研究中提供了新的思路。

现实意义

目前大部分研究依据是文献资料而非实际调研，研究结果多是分析出问题，不注重解决问题。本研究则是对手术团队进行深度访谈，对手术团队操作流程中的知识转移进行详细的分析，得出可以用于手术团队进行知识转移的指导方法，从而提高医院的外科建立及手术风险防范。

文献综述

知识的概念

Polanyi (1958) 认为，人有两种类型的知识。通常称作知识的是以书面文字、图表或数学公式加以表达的知识，只是其中的一种类型。没有被表达的知识是另一种知识，比如我们在做某件事情的行动中所掌握的知识。他把前者称为显性知识，而将后者称为隐性知识。郭瑜桥 et al. (2007) 认为显性知识是在一定条件下，即特定的时间里具有特定能力的人，已通过文字、公式、图形等表述或已通过语言、行为表述并体现于纸、光盘、磁带、磁盘等客观存在的载体介质上的知识。隐性知识是在一定条件下，即特定的时间里具有特定能力的人，尚未通过文字、公式、图形、语言、行为等表述或虽然通过语言或行为表述但未体现于纸、光盘、磁带、磁盘等客观存在的载体介质上的，完全依赖人作为载体存在的知识。

隐性-显性二分法在分析组织知识的特征时普遍存在。客观主义认识论的一个特点是把隐性知识和显性知识视为独立的、不同的知识类型。从客观主义的观点来看，显性知识与客观知识是同义的，因此没有必要对其特征进行详细的阐述 （见表 1）。首先，明确的知识被认为是客观的，高于并独立于个人和社会的价值体系，其次，它可以被编纂成有形的形式。

另一方面，隐性知识表示人们拥有的知识，可能会严重影响人们的思维和行为方式，但不能完全明确。它结合了身体/认知技能（例如玩杂耍的能力，进行心算的能力）和认知框架（例如人们拥有的价值体系），因此，隐性知识的主要特征是它是个人的，并且很难体现，这是因为隐性知识不仅可能难以表达，甚至可能是潜意识中的 （见表 1）。隐性知识最常被提及的两个例子是骑自行车或游泳的能力，人们所掌握的有关如何开展这些活动的知识难以沟通、表达和分享。与工作相关的隐性知识示例包括编写良好的计算机软件的能力，熟练的技术人员的能力，成为有效领导者的能力以及解决复杂问题的能力。隐性知识与显性知识之间的区别，并非客观主义认识论所独有的，但在这一视角下对隐性知识与显性知识进行理论化的具体方式是相当特殊的。我们从知识共享过程概念化的方式上，这种二分法的描述产生了一些主要的含义。在客观主义认识论框架内，非此即彼的逻辑占主导地位，从而导致隐性知识和显性知识被认为是独立的、独特的知识类型。因此，从这个角度来看，隐性知识和显性知识并不代表一个光谱的两个极端，而是代表两种纯粹的、独立的知识形式。

表 1: 隐性知识和显性知识的特征

隐性知识	显性知识
不可编码	可编码
主观的	客观的
个人	非个人
上下文相关	上下文不相关
分享困难	容易分享

来源：Knowledge management in organization

知识转移

知识转移的概念最早是由美国技术和创新管理学家 Teece（1977 ）提出，他认为通过技术的国际转移，能积累起大量的跨国界应用的知识，此后知识 转移逐渐成为各国学者关注的热点。早期学者认为知识共享等同于知识转移，随后有学者将 Shanon 的信息论 (communication theory) 引入到知识转移中，采用 “知识源 (source) 和接收方 (recipient)” 的沟通模式，指出知识转移是“知识源一方与知识接收者一方之间组织知识的双方交换过程” (Szulanski, 1996)。陈卓群 (2012) 提出知识转移是一个共享、传递和吸收知识的过程，知识在这个过程中完成从知识拥有者到知识接受者的扩散，实现知识共享，从而有效的利用现有知识，缩小个体及组织之间的差距，更好的促进人类共同发展。

知识转移的模式

自蒂斯提出知识转移思想，许多学者从不同的出发点提出了知识转移理论。Szulanski (1996) 认为，知识转移不是一个动作，而是一个过程，据此提出知识转移的过程模型。他认为知识转移包括初始、执行、实施和整合等四个阶段。野中郁次郎和竹内弘高 (2006) 提出了知识转移的 SECI 模型，他们认为隐性知识和显性知识的互动构成了知识转移的四种模式：外化、联结、内化和社会化。

客观主义视角下的知识转移

在客观主义视角下，知识的实体特征体现了知识的主要特征。知识被认为是人们拥有的一种（认知的）实体，但它可以独立于人而以一种可编码的形式存在。例如 Hartmann 和 Doree (2015) 认为，从这个角度看，知识被认为是一种 “可客观转移的商品”。因此，知识可以

被明确编纂，并可以与创造、发展和利用它的人分离。这种知识的边界可以多种形式存在，包括文档、图表、计算机系统，或者嵌入到物理工具中。因此，基于文本的计算机操作程序手册，无论是以文档、光盘还是 web 页面的形式，都代表了一种明确的知识形式。

实践主义视角下的知识转移

实践是指有目的的人类活动。它基于这样一种假设，即活动包括身体和认知两方面的因素，而这些因素是不可分割的。因此，知识的使用和发展被视为活动的一个基本方面。实践与客观主义的观点截然不同。基于实践的视角将知识概念化，而不是将其作为一个可编码的对象/实体，而是强调它嵌入到工作活动或实践中并与之不可分割的程度。Cook & Brown (1999) 将这种观点称为 “实践的认识论”，因为人类活动在其知识概念中的中心地位。Ripamonti & Scaratti（ 2011） 采用了类似的观点，他们认为 “知识是以行动为导向和隐藏的” 和 “通过在特定环境中的经验获得”。因此，知识在人类活动 （实践）中的嵌入性是这种认识论观点的中心特征之一。最后，Tooman et al. (2016) 进一步指出，知识不仅体现在个人身上，而且与他们所从事的活动密不可分，而且还嵌入到活动发生的环境中，他们认为“已知的、知道它的人和行动的环境是紧密联系在一起的”。

文献述评

客观主义视角下的知识认知将知识视为外在的，知识可以采取一种离散实体的形式，与可能理解或使用它的人相分离;而知识可以采取不同的形式进行转移，最重要的是将隐性知识和显性知识区分开来。在这个观点中，可以假设，工人所拥有的许多组织知识可以被编成明确的形式。这一知识观的一些辅助特征是将隐性知识和显性知识视为完全不同的知识类型，显性知识通常比隐性知识更受重视。这在很大程度上是因为显性知识或法典化知识的典型特征是客观的，而隐性知识则相反，被认为更个性化、更主观、更具体。

实践主义视角下的知识认知则认为，知识是内在的，知识不是将其作为一个可编码的对象/实体，而是强调它嵌入到工作活动或实践中并与之不可分割的程度，知识不仅体现在人身上，而且与他们所从事的活动密不可分，而且还嵌入到活动发生的环境中。

在以往对知识转移的研究中，研究者主要是从客观主义视角或实践主义视角下对知识转移进行研究，很少将两种视角相结合对知识转移进行研究。在手术团队操作流程中的知识转移既有客观主义视角下的认知认知也有实践主义视角下的知识认知，本研究将结合两种知识认知对手术团队的知识转移过程进行研究，结合知识转移相关理论，构建手术团队操作流程知识转移模型，以其为手术操作流程知识转移提供参考。

研究方法

研究对象及样本量

为了能够得到更准确的数据，防止被选医院医疗结构分配的差异性导致研究结果不具有研究价值，本研究针对多个地区不同医院的外科成员进行访谈，先对参加过外派进修学习，并回到原单位成功建立手术项目的外科医生进行访谈，再对受访者将手术团队操作流程中获得知识转移到其他成员的过程进行访谈。

Fassinger (2005) 提出，定性访谈样本在 20-30 之间较为合适。为更好的了解手术团队操作流程的知识转移，数据的样本数是理以论是否饱和来决定。在访谈中，对第 21 个受访者进行访谈时，发现对访谈提纲中相关手术团队操作流程中的知识转移过程信息接近饱和，因此本文选择对这 21 个访谈数据进行分析。

访谈设计

本研究共设计了 10 个访谈问题，问题的顺序是按照进修学习的过程进行排列的，从一个进修医生到达自己的进修医院学习的流程及可能会遇到一些情况进行访谈，再对受访者将自己学到的知识转移给自己建立的团队过程中，从挑选团队成员到进行知识转移进行了访谈，在访谈设计过程中，研究者针对自己从事多年医疗行业相关工作中获得的经验设计初稿后进行了试验性访谈，在访谈中进行了对比修改，再对医院外科有丰富进修培训经验的相关医生进行咨询，结合所获得的信息进行了汇总设计。见表 2.

表 2: 手术团队操作流程中的知识转移过程的问题访谈提纲

1．你在被派到进修医院之后先要进行什么样的学习或者培训？
2．在进修医院确定你的带教老师之后你选择什么样的方式与带教老师建立师徒关系？
3．带教老师用什么样的方式对你进行培训？
4．带教老师在手术操作中的一些经验和手术操作中的手法、手感是用什么样的方式传授给你的？
5．在你进修学习过程中有没有很难理解和掌握的一些知识，比如老师描述的不够清晰，或者你不能够理解他描述的这种感觉，如果存在这种问题是怎么解决的？
6．你觉得他的教学方法有没有可以改进的地方，可以让你更有效的接收这些知识？
7．你结束进修学习回到自己原单位要开展新学到的手术是如何挑选手术团队成员的，基于什么为选择标准？
8．你在对你选择的团队成员进行教学时是用什么样的教学模式？
9．你的手术团队成员在学习过程中有没有一些你觉得非常难描述的手术经验和手法、手感，如果有你是怎么解决这些问题的？
10．你对你在进修学习到你自己组建手术团队这个知识转移的过程满意吗，有没有什么可以改进和补充的地方？

在对受访者进行以上 10 个问题的访谈后，为了获得更全面的手术操作流程中一些知识转移过程中的数据，研究者结合以上的 10 个问题又设计出 4 个情境下的访谈，让受访者能更好的对手术团队操作中的知识转移过程进行回忆，并对这几种情境下自己的启示和思考进行描述。见表 3.

表 3: 手术团队操作流程知识转移过程研究的情境访谈提纲

1．你是否经历过这样的情境“在你进修的过程中，有一些知识是带教老师怎么讲你都理解不了，你自己也尝试去理解他所描述的意思，但后来效果都不明显，这些知识的最终获得是在你对他手术操作过程中进行反复观察所掌握的”。这个过程给你了哪些启示？你是怎么思考这个过程的？

表 3: 手术团队操作流程知识转移过程研究的情境访谈提纲 (续。)

2．你回到自己医院开设新手术过程中你是否经历过这样的情境，“你发出指令，而且这个指令是在之前你培训过的，你的助手没有理解你的指令，你当时需要立即转换一种方式把你要表达的意思让对方理解。”你当时是怎么处理的？给你了哪些启示？ 3．你是否经历过这样的情境，“在你开展新的手术过程中，你培训过得手术成员在手术操作中并没有完全按照你之前设定的流程去进行，他可能并没有完全掌握你所传授的知识，只是掌握了原理没有掌握技巧。” 你是怎么处理的？你是怎么思考这个问题的？给了你哪些启示？ 4．你是否经历过这样情境，“在你进修学习或对你的手术团队进行培训教学的时候，有这样一种现象，知识接收方与知识接收方（你跟你同学之间或者你的学生跟同学之间）的交流会更有效的提高自己操作水平。”请聊聊当时你们是怎么进行交流的，或者你的学生之间是怎么有效的交流的？

数据分析

本研究首先确定跟研究相关的访谈问题，之后对访谈对象进行筛选，访谈之后对访谈录音进行转录。之后通过扎根理论对访谈中签证的多样性因素进行归纳和分析。

扎根理论的第一个要求——研究生成数据之后对编码进行密切关注 (Glaser, 1978)。简单说，质性编码是超越数据的具体陈述、进行分析性解释的第一步，是对数据内容进行定义的过程。编码意味着把数据片段贴上标签，同时对每一部分数据进行分类、概括和说明，提炼出概念或范畴。它是搜集数据和形成解这些数据的生成理论之间的关键环节，通过编码，可以定义数据中所发生的情况，并反复思考它们的意义。一般而言，这个过程包括开放式编码 (Open coding)、主轴编码 (Axial coding) 与选择性编码 (Selective coding) 三个过程。

开放式编码

这一步对所收集到的访谈原始文本进行逐字逐句分析，形成初始的概念标签，初始的标签尽量使用了受访者的原话，这样可以尽量减少研究者的个人偏见，这些标签中有很多的重复和交叉，随后对每一个标签的逻辑关系，时间关系，因果关系进行了反复的比较，将 730 余条标签初步聚焦出以下 75 个初始编码。这些初始编码的命名有些是受访者的言语中直接提取进行见实编码，有些沿用已存在学术文献中的名字，另一些由研究者对数据观察思考，由具体内容或相关含义授予其相应名称，初始编码用“A+序号”的形式表示。由于篇幅原因，此段编码只做举例展示，见表 4，详细初始编码见附件。

表 4: “老师指导下自己领悟感觉”初始编码的典型证据

典型数据举例	概念初始化	初始编码
你看一下这个步骤切到哪个解剖层次，那个皮肤和有些组织跟皮筋一样，它是有弹性的，你得自己把握，老师在旁边讲着让你上手自己体验自己慢慢琢磨； 就是上手做老师在旁边看着你做，老师在旁边指导你让你领悟这个手感。然后问你对这个触感的感受； 有时候就是拿着你的手，让你体会那种感觉，教你怎么用力；	自己上手体会手感/老师拿着你的手让你体会/反馈自己的感觉	老师指导下自己领悟感觉 A11

表 4: “老师指导下自己领悟感觉”初始编码的典型证据 (续。)

典型数据举例	概念初始化	初始编码
比如有的牙的位置不好，要用手肘关节这里用力，不是全身用力，用全身使劲可能牙就断了，还是手把手怎么技巧性的用力，		

在对原始文本进行逐字逐句分析后，结合原始的访谈数据通过初始化的概念进行了编码，共得到 75 个初始编码，这些编码是对初始化概念进行比较，关联，归类和整合得出，涉及到了外科学生从进修学习到组建团队完整的知识转移过程。

主轴式编码

本阶段运用主轴编码分析方法，通过对 75 个初始编码不断的比较，演绎与归纳，对手术操作流程知识转移过程进行构建主要类目，并将主要概念类属与次要概念类属链接起来，对各次要概念类属与各现象彼此的关系进行了检查，在这个基础上思考主要概念类属与次要概念类属之间可能存在的假设性关系，检证实际资料是否支持上述这种假设性关系，持续不断的寻找主要概念类属与次要概念类属的性质，并在实际的个案中确认它们在个面上的定位，然后检证所收集到的所有数据，通过反复推导和归纳整理，得出 15 个子范畴。再进一步对子范畴进行归纳和总结得出知识接收方，知识发送方，知识转移形式，知识相容性 4 个主范畴，见表 5.

表 5: 手术团队操作流程中知识转移的主轴编码分析

主范畴	子范畴	初始编码
知识发送方B1	表达能力AA15	发送方指令表达方式A46
		尝试各种描述A28
	教学方法AA3	数字化教学A38
		发送方教学差异A6
		讨论学习方法A11
		发送方不断重复知识A13
		发送方在接收方出现问题时及时纠正A14
		操作时配合讲解A15
		发送方和接收方的术前沟通A20
		发送方帮助接收方复盘A16
		发送方与接收方缺乏沟通A23
		重复操作教学模式A24
		发送方术后讲解A25
		发送方实操演示A27
		模拟实践A28
		手把手教学A39
		比喻A41
		重点讲解A45
		发送方督促接收方提问并解答A46
		先理论在讲解A47

表 5: 手术团队操作流程中知识转移的主轴编码分析 (续。)

主范畴	子范畴	初始编码
		发送方授课方式不同A53
		配合模型讲解A56
		拓展教学A57
		细致讲解A59
		发送方主观性操作A61
		知识测试A65
		发送方个案讲解A66
		实践下测试接收方学习程度A67
		老师指导下自己领悟感觉A69
	教学目标AA4	知识内在化A71
		内隐协调性A72
	教学态度AA5	发送方反思教学模式A12
		发送方态度严厉A17
		发送方耐心指导A18
知识接收方	接收方异质性AA6	接收方性格差异A4
		主观知识的产生A5
		接收方状态差异A10
		接收方综合能力50
	接收能力AA7	接收方反应速度A26
		接收方不理解A70
		悟性A51
	学习方法AA8	接收方理解能力A22
		接收方之间的交流A2
		接受方知识的整合A3
		接收方交流是一种有效的学习方法A8
		发送方将错误当作实操考试A19
		观察法学习A33
		接收方需要思考A35
		主动提问A37
		重复练习A40
		查阅文献资料学习A54
		术后询问沟通A55
		自主学习A58
		接收方对手术复盘A62
	知识吸收的完整性AA9	手感不能完全的显性化A68
		知识不能完全被理解A60

表 5: 手术团队操作流程中知识转移的主轴编码分析 (续。)

主范畴	子范畴	初始编码
	学习态度AA10	接收方好学A49
	熟悉环境AA1	熟悉医院环境A63
知识转移形式B3	理论实践相结合AA12	仅凭理论扎实不代表会操作A29
		实践需要理论的支撑A32
	理论学习AA13	初步的学习新手的知识A64
		理论是否扎实A31
	实践学习AA11	实际练习操作可以掌握A30
		无法口述的技巧A34
		无法脱离实践的知识A36
		无法描述的感觉需要实践自行体会A42
		反复体验感受A44
		发送方提供实践操作52
	在非正式情境下的知识分享AA13	接收方之间在非正式情境下的知识分享A9
知识相容性B4	主体间性差异AA14	教材内容滞后A48
		接收方之间知识密度差异A7
		发送方和接受方知识储备差异A1

手术操作流程中知识转移模型的构建

通过对以上的数据分析后发现手术操作流程中知识转移会受到多方面的影响，这些影响对知识转移的效果和完整性造成干扰，知识发送方采用的教学方法会受到发送方表达能力和教学态度的影响，导致发送的教学信息受到影响；知识接收方在吸收知识时知识吸收的完整性会受到学习态度、学习方法，接受能力和接收方异质性的影响；知识接收方进入一个新的医院开始进行进修学习时，对进修医院环境和制度以及人员情况的熟悉程度会对接下来的进修学习产生影响；在知识接收方进行学习阶段，接收方回通过发送方的反馈了解知识接收方知识吸收的程度和效果，但是双方的主体间性差异会影响知识接收方准确的进行教学目标反馈。见图 1.

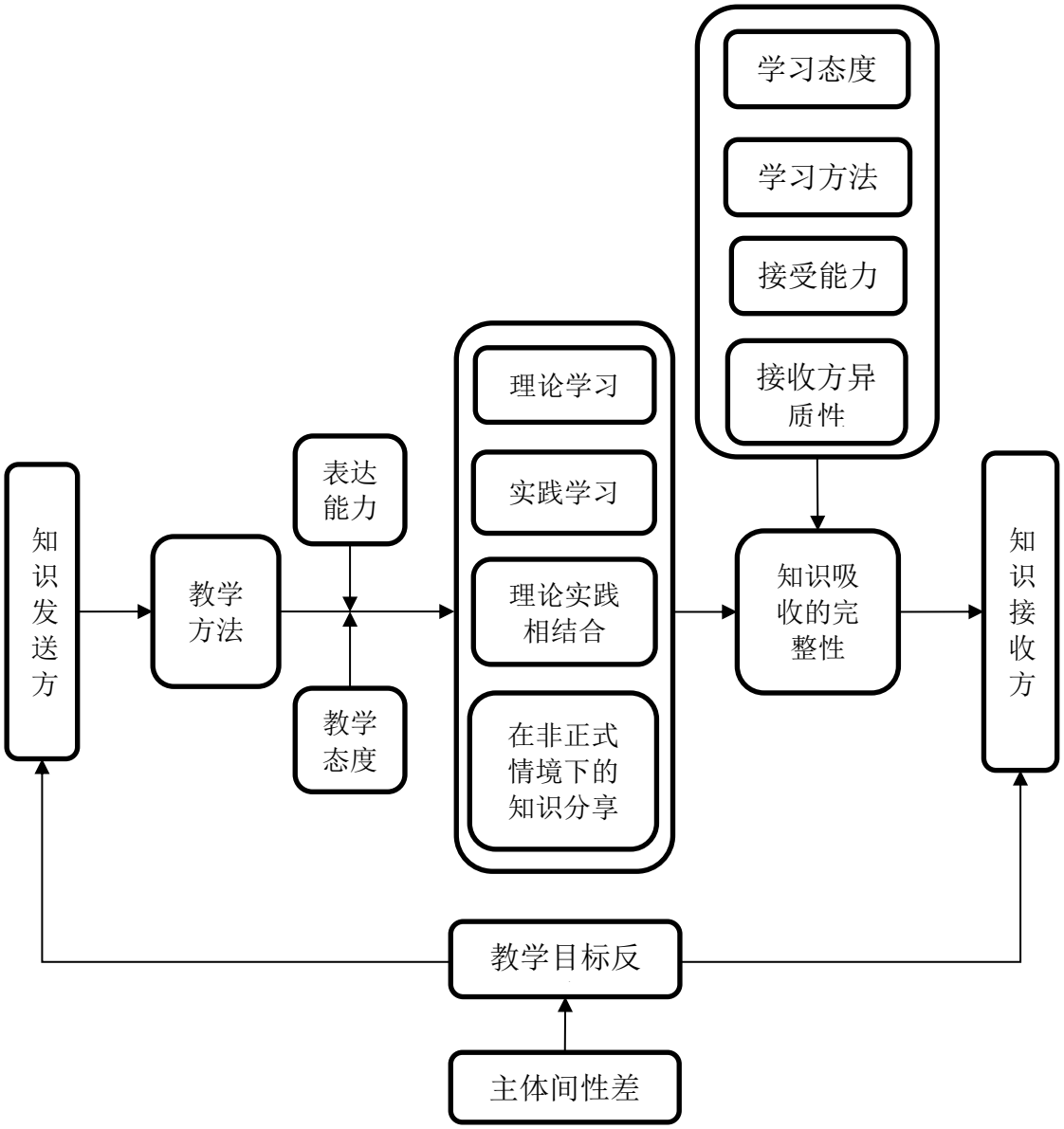

图1: 手术操作流程中知识转移模型图

研究结果

在对外派学生进修学习及回到自己原单位进行新手术开展教学的手术操作流程中知识转移进行访谈中的得出的数据进行分析，得到了手术操作流程中隐性知识和显性知识在转移中的不同路径和方法，找到了影响外科手术这种特殊行业在教学和学习中存在的影响因素。学生进入进修医院后首先要对医院的环境，制度和人员情况进行熟悉，这样可以更快的投入学习当中，也方便在学习中与老师和同学的沟通，在熟悉环境后带教老师一般会先开始让学生开始理论学习，包括通过书本，视频，病历学习，在学习和了解到新手术的基本理论知识后带教老师会带着学生进行实践学习，指导学生自己操作手术，在这个过程中有些教学属于实践学习，有些手术操作在实践中出现不懂的问题，老师会一边讲述理论知识一边让学生实践操作，在手术过程中有些解剖部位及病灶部位的特殊手感描述会因为老师的表达能力和学生的理解能力产生偏差，学生反馈给带教老师时也会因为双方主体间性差异影响反馈信息的准确性，在数据中可

以看出老师的教学态度和表达能力会影响到老师的教学内容发送，从而影响学生获得知识的完整性。

通过对数据的分析得出，老师的教学方法有理论学习，实践学习，理论实践相结合，以及在非正式情境下的知识分享四种教学方法，前三种教学方法前文已解释，在非正式情境下的知识分享是发生在正式教学环境以外，这种教学会受到学生进入进修医院后了解医院人员情况的影响，对老师的了解和建立良好的师生关系有利于获得在非正式情境下的知识分享。学生在获取老师所发送知识，进行知识内化的过程中学生的学习态度，学习方法，接受能力及接收方异质性四个因素会影响学生知识吸收的完整性。从以上数据分析中涌现出的影响因素我们可以看出，每一个影响因素对手术操作流程中知识转移的效果都产生影响。

总结与讨论

本文对手术操作流程中的知识转移进行研究，获取了手术操作流程中相对完整的知识转移过程，为医学外科学知识转移领域提供了相关依据，补充了文献对手术操作流程中知识转移的不足，同时在基于知识基础观与实践基础观整合的视角对显性知识和隐性知识的转移进行了分析。在对访谈数据分析的过程中发现，如果可以有一套比较标准的外科手术知识转移范式将会对医学相关外科学的知识转移起到很大的帮助作用，可以更高效率的为医疗单位培养高质量医学人才，更快速的将新的医疗技术进行推广，为医疗卫生体系的高速发展提供保障。

作为一个探索性研究，本研究仍还存在一定的局限性，首先是研究方法，虽然扎根理论强调研究者要将自己的见解抛开，但在对数据编码的过程中不免会受到因为研究者的教育背景，生活环境等因素造成主观性影响，导致对研究结果产生一定影响。其次样本量造成的局限性，在研究过程中研究者的只对 5 家医院的外科医生进行了访谈，虽然理论上显示饱和，但仍存在一定的局限性。

在未来的研究中，可以以知识基础观与实践基础观整合的视角对医学其他学科进行研究，因为不同的医学科室有其科室特殊的操作流程，可以补充医学类知识转移相关的文献，也可以使用知识吸收理论或其他理论对手术团队操作流程中知识转移的过程进一步研究， 得到更多的数据为手术团队操作流程中的知识转移提供指导作用。

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TR 大酒店服务质量评价与改进策略研究
SERVICE QUALITY EVALUATION AND IMPROVEMENT STRATEGY OF TR HOTEL

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摘要

贵州铜仁 TR 大酒店在开业之初的几年中，在硬件及软件方面一直处于行业领先地位，短短几年间在贵州树立了良好的口碑和经济效益。但随着市场环境的不断变化，贵州铜仁 TR 大酒店面临的经营环境越来越艰复杂，竞争也越来越残酷。由于贵州铜仁 TR 大酒店是一家家族企业，但在最近两年，由于高层管理人员离职，酒店被外包出去，在经营方面相较于以往来说并不是特别好，出租率较以往明显有下降趋势，平均房价也在近两年中频繁下调。这种现象的发生，有大环境不景气、市场恶性竞争的原因，也有酒店自身存在的问题，比如酒店在外包之后服务质量水平的下降，服务意识比较弱，这样的一种情况就导致消费者在酒店消费时满意度下降，整体投诉率呈现增长趋势。其中如果还有一些投诉问题没有解决，就会导致顾客对于该酒店的信任度下降，久而久之，就形成了 TR 大酒店客源流失的现象。对于酒店管理人员来说，建议酒店与新客户之间的关系远远比维护与老顾客之间的关系来的麻烦，因此加强提升 TR 大酒店的服务质量是目前急需解决的问题，进而改善在服务方面存在的问题。

关键词: TR 大酒店 服务质量 SERVQUAL 模型 服务质量差距模型

Abstract

In the early years of its opening, Guizhou Tongren tr hotel has always been in a leading position in the industry in terms of hardware and software. In just a few years, it has established a good reputation and economic benefits in Guizhou. However, with the continuous change of the market environment, the business environment faced by Guizhou Tongren tr hotel is becoming more and more difficult and complex, and the competition is becoming more and more cruel. As Guizhou Tongren tr hotel is a family business, but in the last two years, due to the resignation of senior managers, the hotel has been outsourced, which is not particularly good in terms of operation compared with the past. The rental rate has a significant downward trend compared with the past, and the average house price has been frequently reduced in the past two years. The occurrence of this phenomenon is due to the depression of the general environment and vicious competition in the market, as well as the problems existing in the hotel itself. For example, the service quality level of the hotel decreases after outsourcing, and the service awareness is relatively weak. Such a situation leads to the decline of consumers' satisfaction in hotel consumption, and the overall complaint rate shows an increasing trend. If there are still some complaints that have not been solved, it will lead to

the decline of customers' trust in the hotel. Over time, the loss of tourists of TR hotel will be formed. For hotel managers, it is much more troublesome to suggest the relationship between the hotel and new customers than to maintain the relationship with old customers. Therefore, strengthening and improving the service quality of TR hotel is an urgent problem to be solved, so as to improve the existing problems in service.

Keywords: TR Hotel, Service Quality, SERVQUAL Model, Service Quality Gap Model

引言

1. 研究背景

自 70 年代至今，中国在酒店行业方面的发展越来越成熟，在硬件方面，更是与国际酒店相比有过之而无不及。而随着酒店行业市场竞争越来越激烈，中国酒店不断改进酒店服务质量标准，同时相关行业管理部门也在不断的完善，对于星级酒店的评定准则。因此不难发现目前中国酒店在提升服务质量方面的意识非常高，但是由于中国大部分酒店发展起步比较晚，部分酒店经营管理人员以及酒店从业人员在职业素质、管理水平方面都存在一定的问题，导致中国整体酒店服务质量发展速度较慢。

对于酒店来说，要想不断的增强其在酒店行业及市场中的地位和竞争力，就需要在的发展中不断提升酒店的服务质量、服务理念以及服务方式等等，只有践行可持续发展的提升酒店服务质量的方式，才能为中国酒店服务质量提升做出一定的贡献。而随着时代与市场的不断发展，酒店高层管理人员也意识到酒店服务质量的重要性，因此在日常的工作中，逐渐将重心转移至酒店服务质量方面，基于对市场中消费者以及潜在消费者，对酒店服务质量满意度调研，针对酒店在服务方面存在不足的地方，加以改进。这样一来不仅能够牢牢的把握住消费者在酒店内的各项合理需求，还能不断提升消费者的满意度，促进酒店保持并不断提升的酒店服务质量。

2. 经济型酒店服务质量概况

目前在市场中受欢迎程度较广的的是一类经济型酒店，该类酒店相较于其他大型星级连锁酒店，以低价格、办理快捷等方面的取得优势，因此成为很多消费者在外的首选型酒店。此外，这类经济型酒店的投资额较低、报酬率高、运作周期短等突出特点，致使这类型酒店数量在行业市场中呈现增长趋势。

3. 贵州铜仁 TR 大酒店服务质量概况

贵州铜仁 TR 大酒店在开业之初的几年中，在硬件及软件方面一直处于行业领先地位，短短几年间在贵州树立了良好的口碑和经济效益。但随着市场环境的不断变化，贵州铜仁 TR 大酒店面临的经营环境越来越艰复杂，竞争也越来越残酷。由于贵州铜仁 TR 大酒店是一家家族企业，但在最近两年，由于高层管理人员离职，酒店被外包出去，在经营方面相较于以往来说并不是特别好，出租率较以往明显有下降趋势，平均房价也在近两年中频繁下调。这种现象的发生，有大环境不景气、市场恶性竞争的原因，也有酒店自身存在的问题，比如酒店在外包之后服务质量水平的下降，服务意识比较弱，这样的一种情况就导致消费者在酒店消费时满意度下降，整体投诉率呈现增长趋势。其中如果还有一些投诉问题没有解决，就会导致顾客对于该酒店的信任度下降，久而久之，就会形成 TR 大酒店客源流失的现象。对于酒店管理人员来说，建议酒店与新客户之间的关系远远比维护与老顾客之间的关系来的麻烦，因此加强提升 TR 大酒店的服务质量是目前急需解决的问题，进而改善在服务方面存在的问题。

研究目的

对于酒店来说，完整的服务流程背后有一定的框架与标准，而服务质量作为检验服务流程的结果，具有一定的评价作用，因此对于酒店来说，服务质量是其非常重要的组成部分。本文将 TR 大酒店作为研究对象，分析其在服务质量方面的问题，利用问卷调查法、访谈法进行研究，将汇总数据利用 spss 19.0 做进一步分析，保障研究结果的可行性。同时本文基于 TR 大酒店目前的经营现状、市场环境，对其酒店服务质量水平进行全面评价，探究其在存在不足的地方，进而提出具有针对性的改善意见。

1. 研究动机

TR 大酒店是在贵州铜仁三星级酒店排名中，较为靠前的酒店，因此本文将其作为研究酒店服务质量水平及管理方面的案例酒店，具有一定的代表性，对于促进同类型经济酒店也有一定的作用。TR 大酒店开业于 2009 年，由于其地理位置较好，且周边是原生态的自然风光，对于短途旅游或出差的顾客来说更具有一定的吸引力。但是在最近几年，很多消费者反映 TR 大酒店的酒店服务质量大不如从前，因此本文对其具体情况进行研究，促进 TR 大酒店在酒店服务质量方面取得进一步发展。

文献综述

1. 关于服务质量的研究

对于一个酒店来说，保证良好的服务质量能够在一定程度上提升酒店的核心竞争力，也能使得酒店保持一个良好的竞争优势，而这一点已逐渐被企业界和学术界广泛认同。最近几年，很多学者对于服务质量的研究角度也越来越广泛，而国内外学者在研究角度上也存在一定的差异，但他们都通过运用到实际运营中对酒店服务质量进行深入评价，在一定程度上使得酒店服务质量的研究深度与广度得到了一定的拓展。同时也使得该领域的相关研究成果有所更新。但相较于中国关于服务质量的研究，国外的学术研究成果相对来说较为广泛与成熟，对目前现有的一些现状具有一定的指导作用。

芬兰科学家在研究的过程中，提出了服务利润链模型。这个模型主要是指，在一个企业内部该企业服务质量水平的高低对于员工的满意度评价具有一定的影响作用，而员工对于企业的满意度在一定程度上也影响着员工对于该企业的忠诚度，进而影响了员工在企业中的劳动生产效率，更是影响了顾客的消费价值，然而顾客的消费价值，又在一定程度上决定了顾客对于该企业产品以及企业的满意度与忠诚度。在这个完整的服务利润链模型中，员工以及企业在每一个环节中的服务质量，都对顾客最后的忠诚度与满意度产生的直接或间接的影响，而最终会影响到企业在未来的发展以及利润。在服务质量的工具和操作方面 Berry et al. (1985) 两位学者在研究的过程中，认为研究服务质量构成是非常重要的要素，并基于学术界已有的研究成果进行进一步的探究，并对该模型起名为 5GAP 模型。这个模型主要是对服务质量形成的过程进行解释分析，同时阐述不同服务质量的模型之间存在的差异原因。随后他们另外提出了一个 SERVQUAL 模型，并提供了五种客户认知服务。

Rauch et al. (2015) 在研究中指出，顾客对于酒店服务质量的评价是非常重要的，但很多酒店往往都会忽略这些看法，因此加强酒店对于顾客满意度与各方面的评价，并且针对这些存在的问题进行不断地改正，才能有利于酒店不断提升服务质量水平，从而增强酒店核心竞争能力。Herstein et al. (2017) 认为研究服务质量的重点在于顾客感知服务质量上，因此他们提出了一种基于消费者感知的服务质量差异模型。他们认为，通常消费者对于服务质量的评价是

在享受服务之后所得出的一些自己的看法，并将其与最初的期望服务，两者进行对比得到结果，同时这两位学者在研究的过程中，基于服务质量差模型，提出了技术质量与功能质量这两个概念，更好地研究服务质量。

2. 关于酒店服务质量因素的研究

李东娟 (2014) 在研究酒店服务质量因素的过程中，针对酒店类顾客行为以及顾客感知能力，构建了服务质量影响模型，并利用 spss 模型对数据进行综合整理与分析得出了七个测量指标，在接下来的研究过程中认证了酒店其他顾客行为对顾客感知服务质量影响的因果关系。赵霞 (2015) 在研究的过程中，针对南京市的 20 家五星级酒店利用单层次模糊综合评判法，对其服务质量展开评价，针对这 20 家五星级酒店在服务质量方面存在的问题进行统一分析，发现其主要问题存在于客房服务以及餐饮等方面。同时她在研究过程中指出，酒店员工是联结消费者与酒店的重要媒介，因此不断提升酒店员工的职业素养，能在一定程度上提升酒店服务质量，从这个角度可以说明酒店员工的职业素养与素质，是影响酒店服务质量最重要的影响因素。黄倩与谢朝武 (2017) 基于激励制度指出，酒店在营业的过程中，如果能够激发员工的工作热情不断鼓励员工积极主动地为顾客提供高质量的服务，能在一定程度上提高员工工作能力的同时，提升顾客对于该酒店服务质量的满意度，进而增强顾客对于酒店的忠诚度，同时也达到了提高酒店服务质量水平的目的。伍晓奕 et al. (2016) 认为，员工是影响酒店服务质量的重要因素，同时，他们通过从员工角度出发，针对这些员工在酒店内部提供服务的过程中的工作需求，进而研究该酒店服务质量标准是否科学合理。胡碧玉和杜姗姗 (20219) 在研究经济型酒店的过程中将酒店的服务质量分为以下几个方面，分别是在硬件和软件设施方面的服务质量水平、以及酒店服务质量人力资源管理。冯晓兵 et al. (2020) 指出对一个酒店来说，其服务设计方式以及服务在传递的过程中，形式都是非常重要的影响因素。对于酒店来说，只有在充分了解顾客的需求，才能为其提供具有针对性的服务，进而提升顾客对于酒店服务质量水平的满意度，同时为顾客提供量身定制的服务，也能在一定程度上提高酒店服务水平，促进酒店提升核心竞争能力，在激烈的酒店行业市场竞争中脱颖而出。

3. 关于酒店服务质量管理的研究

孙春艳和王立达 (2017) 在研究的过程中，以无锡君来酒店为案例研究对象，利用内容分析法对该酒店在服务质量方面的现状，以及酒店运营情况进行深入了解，同时就目前酒店再不质量方面的管理问题进行分析，认为酒店要想提升服务质量就需要及时更换酒店，相关设施设备，不断提升酒店员工的职业素养这样才能在一定程度上加强酒店服务质量的管理，提升服务质量水平。尹舰锋 (2017) 在研究过程中，以西安汉庭酒店为例，基于相关的酒店服务质量，基础理论同时运用 SERVQUAL 模型，对该酒店在服务质量方面进行相关性分析从而提出改善酒店服务质量的研究意见。于思佳 (2018) 对酒店在餐饮服务质量方面进行深入研究，分析了酒店餐饮服务质量的重要影响因素，同时也提出了具有针对性的管理意见，其主要目的就是在于提升我国星级酒店餐饮服务方面的质量水平，从而促进我国高星级酒店在未来能够可持续发展，提升酒店的行业竞争能力。吉世虎 (2018) 在研究的过程中指出，酒店服务质量可以分为两个方面，分别为无形服务质量以及有形产品的服务质量，其中无形产品的服务质量，主要是指酒店再为顾客提供服务时的服务效率技能、以及酒店员工的礼貌礼节、服务态度等等；而有形服务产品质量，主要是指该酒店的服务环境、食物产品质量以及相关硬件设施与软件设施等。代潇 (2020) 在研究中指出，目前服务业的发展速度越来越快，同时居民的生活水平也在不断地提升，对于服务质量方面的要求也越来越严格。因此对于酒店来说快速提升服务质量水平是非常重要的。对于服务行业企业来说，在服务质量管理方面，应将更多的注意力放

在创新服务方式，提升服务质量这两个方面，才能促进该企业在市场中能够得到更长远的发展。管华 (2020) 在研究过程中指出，质量较高的服务是企业提升核心竞争能力，求生存与发展的关键因素。同时企业的服务质量也在一定程度上决定了企业在未来的发展方向，因此对于企业来说不断提升服务质量，不仅能够提升顾客对于该企业的满意度与忠诚度还能在一定程度上促进企业在发展过程中的稳定性，以及帮助开发更多的客源，从而保障企业在运营的过程中收益水平。不仅如此建立良好的服务质量标准，还能帮助企业建立起与顾客双向的沟通渠道，对于顾客不满意的地方及时纠正通过情况反馈，知道企业在提升服务质量管理方面的决策与创新，对于企业感知顾客需求具有一定的积极影响。孙春艳和王立达 (2017) 在研究的过程中认为，不断提升酒店的服务质量水平，对于酒店运营能力具有一定的积极影响，帮助企业实现利益最大化因此，就目前大多数酒店在发展目标，也将提升服务质量作为其重要的工作内容之一。

研究方法

1. 问卷调查法

本文以 TR 大酒店为研究对象，基于学术界对于该领域的研究并结合 TR 大酒店的实际情况，设计相关问卷，随机抽取入住的 TR 大酒店的酒店顾客发放问卷。同时收集相关数据，进行的整理与分析，探究 TR 大酒店目前在酒店服务质量方面存在的问题，进行提出具有针对性的解决对策，促进 TR 大酒店不断提升服务质量，更好的发展。

1.1 问卷设计

(1) 预期服务质量测量量表

预期服务质量主要参考 Servqual 标尺，展示顾客对酒店服务质量的预期期望。

表 1: TR 大酒店预期服务质量问卷量表

维度	主要问题	来源
有形性	1.酒店服务设施应当具有吸引力	孙宝慧 (2016)
	2.员工应当有整洁的服装和外套	
	3.酒店应当有视觉吸引力的、与服务有关的材料	
可靠性	1.酒店应当提供所承诺的服务	刘川燕 (2020)
	2.酒店应当处理顾客服务问题时诚恳可靠	
	3.酒店应当从一开始就提供足够水准的服务	
	4.酒店应当在顾客遇到困难时表现关心和帮助	
	5.员工应当专业并且对顾客的了解	
响应性	1.酒店应当让顾客知道自己将会在何时获得服务	卜荔娜和付裕 (2020)
	2.酒店应当向顾客提供快速而及时的服务	
	3.酒店员工应当热心帮助顾客	
	4.员工应当随时准备为顾客进行服务	
安全性	1.酒店应当有可以向顾客传递信心的员工	王凯 et al. (2020)
	2.酒店应当使顾客对交易放心	
	3.酒店应当有始终保持礼貌的员工	

表 1: TR 大酒店预期服务质量问卷量表 (续。)

维度	主要问题	来源
移情性	1.酒店应当关注每一个顾客	刘川燕 (2020)
	2.酒店应当关注顾客的需求	
	3.酒店应当将顾客利益放在首位	
	4.酒店应当有了解顾客需要的员工	
	5.酒店应当有方便的营业时间	自编

(2) 感知服务质量测量量表

本文的问卷设计主要依据是 SERVQUAL 模型以及刘川燕 (2020) 学者的经济型酒店服务质量问卷量表，通过对模型优化整理和分析，得到了本文所适用的 TR 大酒店服务质量问卷量表。把 TR 大酒店作为调查对象，选取其中的 21 个二级指标，将对应的 21 个问题采用 5 级尺度测量法，分别为非常不同意（1 分）到非常同意（5 分）。

表 2: TR 大酒店感知服务质量问卷量表

维度	主要问题	来源
有形性	1.酒店服务设施具有吸引力	孙宝慧 (2016)
	2.员工有整洁的服装和外套	
	3.酒店有视觉吸引力的、与服务有关的材料	
可靠性	1.酒店提供所承诺的服务	刘川燕 (2020)
	2.酒店处理顾客服务问题时诚恳可靠	
	3.酒店从一开始就提供足够水准的服务	
	4.酒店应当在顾客遇到困难时表现关心和帮助	
	5.员工专业程度与对顾客的了解度	
响应性	1.酒店让顾客知道自己将会在何时获得服务	卜荔娜和付裕 (2020)
	2.酒店向顾客提供快速而及时的服务	
	3.酒店员工热心帮助顾客	
	4.员工随时准备为顾客进行服务	
安全性	1.酒店有可以向顾客传递信心的员工	王凯 et al. (2020)
	2.酒店使顾客对交易放心	
	3.酒店有始终保持礼貌的员工	
移情性	1.酒店关注每一个顾客	刘川燕 (2020)
	2.酒店关注顾客的需求	
	3.酒店将顾客利益放在首位	
	4.酒店有了解顾客需要的员工	
	5.酒店有方便的营业时间	自编

本次问卷主要对来到 TR 大酒店的顾客进行调查，分别调查顾客在进入 TR 大酒店未进行消费前的期望评价以及在 TR 大酒店体验服务后的认知评价。为了问卷发放便利，将两个量表合二为一为表 3。

表 3: TR 大酒店服务质量问卷

维度	主要问题	期望情况（入住前）					认知情况（入住后）				
		非常不同意	不同意	一般	同意	非常同意	非常不同意	不同意	一般	同意	非常同意
有形性	1.酒店服务设施具有吸引力	1	2	3	4	5	1	2	3	4	5
	2.员工有整洁的服装和外套	1	2	3	4	5	1	2	3	4	5
	3.酒店有视觉吸引力的、与服务有关的材料	1	2	3	4	5	1	2	3	4	5
可靠性	1.酒店提供所承诺的服务	1	2	3	4	5	1	2	3	4	5
	2.酒店处理顾客服务问题时诚恳可靠	1	2	3	4	5	1	2	3	4	5
	3.酒店从一开始就提供足够水准的服务	1	2	3	4	5	1	2	3	4	5
	4.酒店应当在顾客遇到困难时表现关心和帮助	1	2	3	4	5	1	2	3	4	5
	5.员工专业程度与对顾客的了解度	1	2	3	4	5	1	2	3	4	5
响应性	1.酒店让顾客知道自己将会在何时获得服务	1	2	3	4	5	1	2	3	4	5
	2.酒店向顾客提供快速而及时的服务	1	2	3	4	5	1	2	3	4	5
	3.酒店员工热心帮助顾客	1	2	3	4	5	1	2	3	4	5
	4.员工随时准备为顾客进行服务	1	2	3	4	5	1	2	3	4	5
安全性	1.酒店有可以向顾客传递信心的员工	1	2	3	4	5	1	2	3	4	5
	2.酒店使顾客对交易放心	1	2	3	4	5	1	2	3	4	5
	3.酒店有始终保持礼貌的员工	1	2	3	4	5	1	2	3	4	5
移情性	1.酒店关注每一个顾客	1	2	3	4	5	1	2	3	4	5
	2.酒店关注顾客的需求	1	2	3	4	5	1	2	3	4	5
	3.酒店将顾客利益放在首位	1	2	3	4	5	1	2	3	4	5
	4.酒店有了解顾客需要的员工	1	2	3	4	5	1	2	3	4	5
	5.酒店有方便的营业时间	1	2	3	4	5	1	2	3	4	5

(3) 问卷的发放与回收

问卷的发放时间为 2021 年 1 月 1 日-2021 年 2 月 1 日，共计一个月时间，采用本人以纸质稿的形式对入住酒店消费的顾客进行实际调查。本次问卷总共发放有 400 份，通过统计后发现实际有效问卷为 368 份，有效率为 92%。

(4) 数据分析

调查的对象为随机选取，包括的不同性别、年龄和群体。其中男性的共有 200 人，女性 168 人，分别为调查对象的 54%和 46%；在调查的年龄层中，18-25 岁的顾客占全部的 25%，26-45 岁的为 60%，46 岁及以上的为 15%。；从学历层次看，被调查的有 85%的顾客为本科学历；整体入住频率上多数是第一次入住，有 80%的比例；入住原因的调查看，主要有 50%的顾客是出差的原因入住酒店，其次为旅游的游客占 40%。在调查中发现，多数被调查的顾客为中青年，较为容易接受问卷调查，并且较有文明礼貌和素质。如表 4 基本信息表所示：

表 4: 基本信息表

选项		人数	比例
性别	男	200	54%
	女	168	46%
年龄	18-25 岁	92	25%
	26-45	221	60%
	46 岁及以上	55	15%
学历	大专及以下	37	10%
	本科	313	85%
	硕士	11	3%
	其他	7	2%
入住次数	首次	294	80%
	第二次	59	16%
	多次	11	3%
	不记得了	4	1%
入住原因	旅游娱乐	147	40%
	外地出差	184	50%
	探亲访友	37	10%

2. 信度分析

信度即测验的可信程度，主要为了表现测量结果的可靠性与稳定性，是评价问卷质量的重要指标。Cronbach's Alpha 分析是为检验问卷的可靠性，其公式为 $\alpha = (k/(k-1))*(1-(\sum Si^2)/ST^2)$，该值最好大于 0.8，在 0.7-0.8 之间属于可接受范围，在 0.7 以下属于可靠性较低。从表 4.2 可以看出，各模块 Cronbach's Alpha 系数都大于 0.8 说明信度很好。

表 5: 人口统计学特征分析表

变量结构	Cronbach's Alpha	项数
总体	0.992	20
有型性	0.951	3
可靠性	0.956	5
响应性	0.899	4
安全性	0.956	3
移情性	0.939	5

3. 效度分析

对问卷评价存在三个效度，分别是内容效度，标准效度和建构效度。对这三个方面的研究就是效度分析。

经过效度分析可以更加真实的验证测量内容，验证内容是否有深刻的代表意义，研究内容的标准量和变量之间有什么联系，使用的测量工具能否实现精准性。本文从五个方面去了解消费者对 TR 大酒店服务质量的认知，以及深度解析满意度。为了验证具体测量维度分类是否合理的目的。我们将 TR 大酒店服务质量分为五个指标来进行验证。从而得到下面的数据。：

选取 TR 大酒店服务质量指标体系所含项通过了 KMO 和 Bartlett's Test of Sphericity 测量，其 KMO 值和 Bartlett 统计值的显著性概率。效度检验需要 KMO 大于 0.7，从表 4.3 可以看出 KMO 等于 0.853 大于 0.7，说明本问卷具有有效性。

表 6: KMO 和 Bartlett 的检验表

取样足够度的 Kaiser-Meyer-Olkin 度量。		
Bartlett 的球形度检验	近似卡方	2209.235
	df	105
	Sig.	.000

4. 描述性分析

4.1 期望服务质量

根据期望问卷设计，顾客的期望值越高，说明顾客对酒店的各维度服务要求也越高。就期望数据使用 SPSS 软件进行计算，将期望均值与标准差整理成表 6

表 6: TR 大酒店期望服务质量现状分析

一级指标	均值	标准差	二级指标	期望均值	标准差
有形性	4.70	0.31	1.酒店服务设施应当具有吸引力	4.85	0.32
			2.员工应当有整洁的服装和外套	4.57	0.36
			3.酒店应当有视觉吸引力的、与服务有关的材料	4.69	0.34
可靠性	4.59	0.41	1.酒店应当提供所承诺的服务	4.73	0.33
			2.酒店应当处理顾客服务问题时诚恳可靠	4.74	0.32
			3.酒店应从一开始就提供足够水准的服务	4.55	0.41
			4.酒店应当保持无差错记录	4.30	0.43
			5.员工应当专业并且对顾客的了解	4.63	0.36
响应性	4.59	0.44	1.酒店应当让顾客知道自己将会在何时获得服务	4.45	0.47
			2.酒店应当向顾客提供快速而及时的服务	4.84	0.46
			3.酒店员工应当热心帮助顾客	4.47	0.43
			4.员工应当随时准备为顾客进行服务	4.59	0.42
安全性	4.13	0.46	1.酒店应当有可以向顾客传递信心的员工	4.20	0.43
			2.酒店应当使顾客对交易放心	4.78	0.42
			3.酒店应当有始终保持礼貌的员工	4.26	0.48
移情性	4.85	0.35	1.酒店应当关注每一个顾客	4.85	0.32
			2.酒店应当关注顾客的需求	4.85	0.33
			3.酒店应当将顾客利益放在首位	4.68	0.41
			4.酒店应当有了解顾客需要的员工	4.98	0.15
			5.酒店应当有方便的营业时间	4.73	0.33

从表中可以看出预期服务质量的五个维度平均值均大于 4 分，说明顾客对酒店期望值较高。细分项来看，各项期望值均高于 4 分，并且趋近于 5 分，甚至出现均值 4.98 分的极端值。说明顾客对该酒店的要求近乎苛刻，标准差均小于 0.5，说明顾客对酒店看法趋同。在五个维度中，均值最高的是移情性，最低的是安全性，说明相比于隐性需求，顾客对高频显性需求期望值更高。

5. 访谈法

本文通过对 TR 大酒店相关员工以及顾客进行访谈的形式，开展服务质量调查，以围绕研究服务质量管理体系为目的，一是对酒店的顾客进行访谈，通过了解顾客对酒店硬件及软件的体验以及满意度，归纳出其入住期间的喜好及规律，同时，帮助酒店找准不足之处，为酒店服务工作的提升打下扎实的基础；二是对酒店的内部员工进行访谈，充分了解在职员工对酒店的看法，倾听员工的心声，了解员工的期望值与满意度，归纳出员工在职期间的建议与意见，力求做到员工满意，问卷调查也作为员工与酒店的一次全面沟通，方便酒店进行有针对性地整改。

6. TR 大酒店服务质量存在的问题分析

6.1 有形性服务质量低

TR 大酒店而言，虽然酒店于 2009 年建设，并于 2015 年修缮，在酒店有形性方面，虽然 TR 大酒店的硬件设施相较于其他经济型酒店较为完善，因此大部分顾客认为酒店的服务设施相对来说具有一定的吸引力，但是通过访谈酒店顾客发现酒店有形性服务质量方面还存在一定的问题。

顾客 A 表示："酒店员工在为顾客提供相关服务时态度并没有非常令人满意"，导致很多顾客对于 TR 大酒店员工服务水平较为不满意。

顾客 B 表示："这个酒店服务员态度不行，有些的态度很不端正，要帮忙提行李箱什么的时候相互推脱，一点也不主动，就会造成我们顾客饿很尴尬的局面"。

顾客 H 表示："一般来酒店的时候希望看到服务员的衣着都是清爽整洁的，但是这个酒店服务员的着装看起来不够整洁"。

顾客 D 也表示认同，他说："我是酒店的常客，好几次过来就是感觉服务员的衣着都没有变化，有时候还有点脏，这样我就会联想到酒店内提供的其他服务是否干净整洁"。

6.2 酒店服务缺乏可靠性

通过访谈了解到很多顾客认为酒店在提供服务方面缺乏一定的可靠性。顾客 C 指出，"酒店在提供可靠性服务与期望中的差距较大，致使我们心里落差越来越大，对于酒店服务质量评价有所下降"。

与其通行的顾客 D 解释了这一点，他指出"TR 大酒店在宣传的过程中对顾客承诺为其提供早餐、自助午餐等服务，但是当我们实际到达酒店时候，却被告知需要提前预约，从而错过了享受该项服务，这样不就是一种打着幌子的感觉"。

顾客 A 表示："我们房间打开进去有一股味道，我就去前台要求换个房间，一开始服务员还是会很周到的给我们换个房间，但是打开进去也还是有一股味道，找经理来，他们就说是我们自己的问题，没有有想着怎么帮我们去解决，这个体验就很差"。

顾客 B 指出，"有一次服务员敲房门的说要给我送东西，但我实际上并没有给前台打过电话或者的要求客房服务，询问了才知道服务员记错房间号了，这个体验就让我觉得这个酒店的服务并不是那么可靠"。

顾客 D 表示："通常酒店前台员工会对酒店周边的景点和交通较为了解，这样可以为有些顾客解答问题，但是这个酒店的前台员工的感觉对这些都不是很了解，我们一家来这边旅游对旁边的交通并不是很了解，然后问服务员的时候他们也不知道，就感觉他们作为前台服务员缺乏一定的专业性"。

6.3 酒店服务缺乏安全性

通过对调查问卷及访谈结果进行统计分析，顾客表示 TR 大酒店酒店服务的安全性存在的一定的问题，缺乏全面的管理。

顾客 A 表示："入住酒店的时候需要收取额外的项目费用，但是服务员的一些介绍和话语并没有让我觉得特别放心，能够享受到一些高性价比的服务"。

顾客 C 和 D 表示："在入住酒店的过程中，发现酒店很多硬件设施比较陈旧，例如一些消防器具，周围也没有定时检查的标牌，让我们这些顾客在入住酒店期间对于环境的安全性持有怀疑态度"。

顾客 E 也指出："酒店员工一般在走廊或者大厅遇到顾客的时候都没有及时打招呼，看起来有点没有礼貌"。

顾客 H 认为："在对于酒店服务安全性方面，TR 大酒店员工做得还不够，在很多可见以及隐形服务方面，并没有向顾客传递有效信心。

7. TR 大酒店服务质量存在的问题原因分析

7.1 酒店员工素质需要提高

由于酒店业属于劳动密集型服务行业，酒店服务工作人员在对客服务过程中，直接与顾客打交道，因此，酒店服务工作人员在对客服务过程中，表现出来的服务态度、服务水平以及综合素质，从酒店安全性方面来讲，将会直接对酒店服务质量造成强烈的影响，从而产生感知服务质量差距。

(1) 招聘要求有待提高

由于酒店服务工作属于服务行业工作，现在许多青年人受社会的影响不能正确去认识酒店服务工作，而不去酒店应聘酒店服务工作。还有酒店管理专业在我国大学里还未完全展开，导致每年毕业的酒店管理专业的学生还未批量化，尚未形成庞大的酒店专业人才队伍。

(2) 员工培训机制缺少

TR 大酒店虽然属于三星级酒店，但是，酒店在服务工作人员综合性培训方面投入还不足，以及缺少集中统一的培训，如一般是酒店各部门各自为战，根据各自部门需要单独进行培训。第一，根据 TR 大酒店人力资源部门和财务部门提供的酒店培训资金投入的统计情况来看，酒店在服务工作人员培训投入方面还显得不够，尤其是对新入职人员和老员工的培训投入只占很小的比例；第二，就培训数量来说，对新入职人员的培训稍微较多，但是针对综合素质和技能培训却较少。酒店招聘的学生和兼职人员当中，虽然有些学生是酒店管理专业的，但是都没有工作经验。

(3) 酒店缺乏激励措施

当前，TR 大酒店在激励措施方面显得力度不够，较为欠缺。譬如，在薪酬激励上，TR 大酒店对服务工作人员的薪酬实行"基本工资+浮动工资"方式，而且这种薪酬激励方式在同类型酒店中并不是很好的方式，弊端不少。在精神激励方面，TR 大酒店主要是通过对年度优秀工作者进行表彰和嘉奖，平常缺少类似这方面的嘉奖和表彰。

7.2 酒店各部门之间协调性不强

TR 大酒店内设部门主要有酒店前厅、客房部、餐饮部等部门。因此，这些部门之间的联络以及工作沟通协调好坏将直接影响着酒店的服务情况，从而影响着酒店的服务质量，进而造成感知服务质量差距的产生。然而，当前 TR 大酒店各部门之间不能有效沟通和协调，主要原因有：一是由于酒店部门管理者站位不够高，不顾全大局，导致酒店各部门分立，

呈现“一盘散沙”的局面，从而致使各部门之间互通信息较差。二是由于目前酒店信息化建设滞后，导致酒店信息系统功能还不够健全完善，从而致使各部门之间信思传递还不够顺畅，时好时坏的现象，进而造成酒店在处置事情时容易出现掉链子的现象发生，最终影响到酒店的服务质量，从而造成感知服务质量差距的出现。三是由于酒店软文化还不够浓厚，导致酒店各部门之间缺乏凝聚力，从而影响到各部门之间协调性。

7.3 酒店服务质量管理效率不高

随着贵州铜仁市经济快速发展，入住酒店的顾客对酒店服务质量的要求也越来越高了。因此，要想提高酒店的服务质量，不单单只是在酒店有形性方面，配置高标准的酒店硬件设施设备，还应当在酒店安全性方面，定期组织服务工作人员集中进行综合性培训，来提高他们的综合素质和服务水准。另外，从服务质量标准差距的角度来看，酒店还应当在制定酒店服务标准和程序上下功夫，在保证符合星级水准的前提下，结合顾客的需求和期望，尽量将标准拔的高一些，这样有助于提高顾客的满意程度。最后，酒店管理者也应当积极提高管理能力和水平，对提高酒店服务质量有间接的影响作用。

研究结果

随着的酒店、民宿等种类越来越多样化，同时酒店数量也一直呈现的上升的趋势，导致酒店行业市场竞争越来越激烈。而对于消费者来说，他们更看重酒店的服务质量，同时对于酒店相关服务质量的要求也越来越严格。因此对于酒店来说，不断提升酒店的服务质量促进酒店全面发展，才能提升该酒店在市场中的核心竞争力。本文将 TR 大酒店作为参考对象，对其服务质量的提升进行研究，TR 大酒店原先是一家家族企业，但在最近两年，由于高层管理人员离职，酒店被外包，在经营方面相较于以往来说并不是特别好，在服务质量方面存在一定的问题。

通过把 TR 大酒店作为问卷对象，调查顾客对酒店服务质量的反馈意见情况，再运用 SERVQUAL 模型对调查结果进行统计、分析，全面了解酒店当下有形性、可靠性、安全性、响应性和移情性方面的服务质量情况。发现顾客对于有形性与移情性的期望均值最高，分别为 4.70 与 4.85，均超过了 4.7 分，但就期望均值与认知均值的差异来说，有形性、可靠性以及安全性，这三者的差异是最大的，分别为 -1.06、-1.17、-1.13。

在酒店服务有形性方面，顾客对涉及酒店有形性方面的问题持同意态度的较少，离顾客的期望差距较大，导致顾客对酒店的有形性方面的服务质量不满意所以酒店还需要继续在这方面进行提升帮助酒店持续发展；在酒店服务可靠性方面，顾客持不太同意定态度，认为和自身的期望值差距较大，导致顾客对酒店的可靠性方面的服务质量不满意，酒店应当及时采取切实可行的措施来提升酒店可靠性服务质量，对提升酒店整体服务质量具有重要意义；在酒店服务安全性方面，顾客基本持较为不同意态度，但是却认为酒店的安全性与自身的期望值差距不是很大，因此酒店在安全性服务质量方面应当采取措施来提高酒店这方面的服务质量。

总结与讨论

1. 完善酒店硬软件管理水平，提升酒店服务有形性

TR 大酒店从 2010 年正式开始运营，通过发展到现在的规模已经走过 10 个年头了，虽然酒店经过 2015 年装修，在酒店有形性方面，一定程度上提高了酒店的硬件水平，但是酒店仍然需要通过持续提升硬件水平，来保证酒店在有形性方面，其硬件设施设备符合“三星级酒店”的标准。

完善酒店软硬件设施。对于很多消费者来说，他们更看重的是酒店在硬件设施设备方面的情况。同时大部分的顾客认为，这也是代表酒店并和实力的象征，能在一定程度上直接体现该酒店的档次。对于 TR 大酒店来说，由于其属于三星级酒店，因此在酒店的有形性方面相关硬件设施相较于一些档次较高的酒店来说，并没有特别完善，但相较于同类型的经济型酒店来说，具有一定的优势。而通过酒店的硬件设施设备的展现能在一定程度上让顾客入住酒店的时候，提升满意度与舒适度，从而提升顾客对于酒店有信心服务质量方面的评价，对于酒店宣传也具有一定的积极作用。

酒店设备定期清洁与维护。酒店在发展的过程中，不仅需要关注有形性服务，也需要关注在卫生方面的情况管理，对于酒店内的一些清洁设备进行定期维护与检查，提升顾客对于酒店服务全面性的印象，保障酒店在硬件设施设备方面的管理水平，从而提升营造顾客感知酒店服务质量。

第三，确保有形设施为酒店顾客提供安全舒适环境。为了进一步保障顾客在入住酒店过程中的安全，酒店应当按照相关规定配备一定的消防器材，同时定期安排人员检查，消防设施设备的老化程度以及消防安全通道电路安全等等，为顾客入住酒店提供一个相对安全的环境，进而提升酒店在安全性方面的服务质量。除此之外，为了保障顾客在入住期间的人身安全以及财产安全酒店可以适当的安装监控装备，在发生意外的时候，可以及时调取监控为顾客解决问题。

2. 加强酒店内部各部门协调性，提升酒店服务可靠性

对于酒店来说，要想不断提升酒店服务质量，还需要在一定程度上加强酒店内部各个部门之间的协调性，进而提升酒店服务的可靠性。

建立酒店部门之间的联动机制，从而加强各个部门之间的交流与沟通，通过建立该机制可以让酒店内不同的部门广泛参与到内部的一些管理事务中去，进而加强每个部门在工作中的交流与沟通，方便相关信息的恰接。

第二，酒店可以加强优秀酒店文化建设，增强各部门之间的凝聚力。对于酒店来说，与其他的企业相同，都需要建立企业文化凝聚酒店内部工作人员的价值观，传递共同的奋斗目标。优秀的酒店文化，也可以增强各个部门之间的凝聚力，从而更好地将酒店内部人员团结到一起为提升酒店服务质量共同做出努力，提升酒店服务的可靠性。

第三，为了不断提升酒店服务的可靠性酒店还可以在一定程度上完善信息化系统，这样就可以实现各个部门之间的信息畅通，及时掌握顾客的需求以及相关问题为顾客提供高质量的服务。此外，健全的信息系统还可以保障各个部门在信息沟通之间的通畅，从而实现有效信息快递传输，全面提升酒店各个部门之间在工作方面的协调性，从而提升酒店服务的可靠性。

3. 提高酒店员工素质与服务标准，提升酒店服务安全性

由于酒店服务工作人员在对客服务过程中，直接与顾客打交道，所以酒店要想提升酒店服务安全性质量，应当通过对服务工作人员进行有效管理以及制定标准化酒店服务质量以及程序来实现。具体来讲，TR 大酒店可以从以下几个方面来提升：

3.1 对于在酒店内部的工作人员可以定期开展相关服务方面的培训工作。对于酒店来说，员工素质以及相关服务工作人员的服务水平，在一定程度上决定了顾客对于该酒店服务质量的评价，而通过综合性的培训、定期开展讨论会，能够在一定程度上增进酒店内工作人员的交流，共同提高其综合素质、业务技能以及服务意识，这三个方面的能力培养，从而提升酒店在安全性与相应性方面的服务质量水平，并为酒店员工灌输服务质量标准体系。目前由于

TR 大酒店高层人员变动，酒店被外包因此造成内部员工流动性较大，从而形成酒店员工整体综合素质较低的普遍现象，因此，对于酒店来说，更应该加强对于酒店服务人员的培训做好酒店人才储备的工作。

3.2 完善酒店服务质量标准和程序。

第一，TR 大酒店可以在运行的过程中设置一个部门专门来负责对酒店服务质量展开定期评价工作，实施更好的管理与监督，其具体的工作内容是主要负责酒店在日常个环节中相关服务情况进行统计分析通过自查的方式发现，酒店内部在服务质量方面存在的问题，并及时与纠正。第二，TR 大酒店应当结合实际发展水平以及市场需求对于不同阶段酒店，在运营过程中制定不同的服务质量标准，为服务工作提供制度遵循，从而降低服务质量标准差距，对促进酒店持续长远发展具有重要作用。

4. 树立酒店品牌避免恶性竞争

当前，对于酒店而言，品牌已成为酒店的旗帜，它代表了酒店的信誉和质量，酒店应该加强品牌建设，从以下几个方面入手：第一，对酒店的服务特色进行宣传。通过各种活动向顾客及潜在顾客展示酒店的服务水平、服务态度、服务环境等；第二，通过名人效应对酒店进行宣传。TR 大酒店可以将名人来酒店的照片合影等放到酒店中显眼的位置，通过名人的知名度对酒店的品牌进行塑造。

在酒店的品牌建设中，酒店的服务质量是品牌战略的基础。酒店的品牌知名度要提高，高质量的服务是必不可少的，而且服务还要稳定，一次差的服务是十次优质服务也弥补不了的。因此，酒店必须制定一套科学的服务质量体系，包括酒店服务的标准制定、服务设计、质量管理等多个方面。另外酒店还要注重自身的品牌特色，独树一帜，这才是酒店的第一生命线。

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乡村旅游目的地游客感知质量维度构建及实证研究
EMPIRICAL STUDY AND DIMENSION CONSTRUCTION ON TOURIST PERCEPTION QUALITY IN DESTINATION OF RURAL TOURISM

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摘要

文章在对游客感知质量定义与维度进行梳理的基础上，以明仕田园风景区为例，构建了乡村旅游目的地游客感知质量测量量表，通过实证研究加以验证，并分析了乡村旅游目的地游客感知质量与感知价值和满意度之间的关系。结果显示：(1) 乡村旅游目的地游客感知质量可以分为基本接待质量、吸引要素质量和支持体系质量 3 个维度，其中基本接待质量和支持体系质量对满意度有正向影响，吸引要素质量对满意度没有影响；(2) 游客感知价值中的情感价值、功能价值在感知质量和满意度之间有部分中介作用，而感知价值的社会价值维度对感知质量和满意度没有中介作用。

关键词: 感知质量 感知价值 游客满意度

Abstract

Based on sorting out definition and dimension of tourist perception quality, this article takes Mingshitianyuan Scenic Area as an example, and constructs the measurement scale of tourist perception quality in destination of rural tourism as well as verifies it by means of empirical study; meanwhile, it analyzes the relationship among tourist perception quality, perception value and satisfaction in destination of rural tourism. Then, the results come out as: (1) tourist perception quality in destination of rural tourism can be divided into three dimensions of basic reception quality, attractive element quality and support system quality, in which there is a positive impact on satisfaction from basic reception quality and support system quality and there is no impact on satisfaction from attractive element quality; (2) there is some carrier effects between perception quality and satisfaction from emotional value and functional value of tourist conception value, while there is no carrier effect from social value.

Keywords: Perception Quality, Perception Value, Satisfaction

引言

随着中国城市化进程的不断推进，城市快节奏、高压力的生活工作方式让乡村成为快速城市化过程中城市居民心驰神往的旅游目的地，乡村旅游的发展为城市居民提供了一个“亲近乡

村、怀念乡情、感悟乡愁”的载体。中国乡村旅游在蓬勃发展的同时也引起了乡村旅游目的地之间的激烈竞争，乡村旅游目的地游客感知质量是树立旅游目的地品牌形象，提升旅游目的地游客满意度的重要因素，如何细分乡村旅游目的地游客感知质量的维度、提升游客感知质量成为一个亟需解决的问题。

研究目的

本论文的主要研究目的是要科学构建乡村旅游目的地游客感知质量的维度分类，在此基础上深入探讨乡村旅游目的地游客感知质量各个维度对游客感知价值、游客满意度的影响机理，提出乡村旅游目的地游客满意度提升的策略。

文献综述

游客感知质量内涵相关研究

学术界目前对于游客感知质量这个概念一直没有统一的定论，Mayo (1981) 认为感知是个体对外界信息尽心意识识别的过程；Gronroos(1990) 提出服务质量应是指感知质量，是游客对服务期望与感知服务绩效之间的比较；Murphy et al. (2000) 认为游客感知质量即对旅游目的地旅游产品和服务的质量和价值特征的评价；Bigné (2001)学者认为感知质量是基于游客自身期望而形成的主观感知，可通过期望—差异比较，来得出对目的地（产品或服务）的整体质量评估；Decrop (2007)认为游客感知是游客将接收到的旅游信息转化为自身思维行动的过程；白凯 et al. (2008) 认为游客感知是指在常住地或者旅游目的地的游客，根据接收到外界相关的旅游信息与自身认知进行比较，从而形成对旅游目的地的评价；王娟云和黄燕玲 (2012) 认为游客感知是游客在旅游过程中对旅游对象的偏好、认知，是对旅游目的地整体评价过程；何建英 (2012) 认为游客感知质量是指在游客在旅游体验之后，对旅游产品质量产生的主观判断。综上所述，虽然不同学者对于游客感知质量定义的表述有所侧重、各不相同，但是游客感知质量主要是从旅游产品供给者以及旅游产品消费者的角度出发的，而且不同类型的景区游客感知质量属性存在差异，目前针对乡村旅游目的地开展游客感知质量的研究较少。

游客感知质量维度相关研究

不同的学者对游客感知质量都有自己的理解，各自从自己的研究情境对游客感知质量的维度进行了大量的研究。Gronroos (1990) 认为感知质量包括两个维度：第一个是技术质量，也叫结果质量，第二个是功能质量，即服务过程质量；美国学者 Zeithaml et al. (1988) 提出了感知质量分为有形性、可靠性、响应性、保证性和移情性 5 个维度的观点；汪纯孝 et al. (1999) 通过对医疗、宾馆、民航、银行、餐饮等多个服务业的实证研究，提出感知质量应包括技术质量、感情质量、关系质量、环境质量和沟通质量 5 个维度；范秀成 (1999) 通过对服务生产模型、服务接触、服务交互等理论的整合，将感知质量划分为技术质量和交互质量两个维度；Brady 和 Cronin (2011) 在综合各学者研究观点的基础上，将感知质量划分为交互质量、实体环境质量和结果质量 3 个维度；安然 (2017) 在美国学者 Zeithaml V.A et al. 三人感知质量五维度模型的基础上，从森林公园旅游产品质量出发提出感知质量可以分为环境质量、设施质量和功能质量 3 个维度。综上所述，目前对于游客感知质量维度的研究较多，学者们都是从各自的研究领域入手通过实证研究来构建某一种具体类型旅游目的地的游客感知质量维度，不同类型的旅游目的地其游客感知质量维度构成之间存在一定的差异，本研究将运用探索性因子分析的方法对乡村旅游目的地游客感知质量的具体维度进行探索。

文献评述

经过对现有相关文献的梳理可以知道，目前对于游客感知质量定义和维度的研究较多。对于感知质量的定义虽然每一个学者从各自的研究视角出发表述有所不同，但是这些定义大致可以分为两大类，一类是从供给者的角度出发认为感知质量是产品或者服务符合一定的标准和规格；另外一类则是从消费者感知角度出发认为感知质量是产品或服务满足消费者期望和目标的程度。本文采用感知质量的第二类定义，结合前人已有的观点和本文研究目的将乡村旅游目的地游客感知质量定义为乡村旅游目的地所提供的旅游产品或服务满足旅游者期望和目标的程度。对于游客感知质量维度的研究，不同学者对感知质量维度的划分呈现多样性，但综合来看，不同学者对于感知质量维度的划分虽然表述和侧重点不一样，但是大家普遍认同感知质量包括有形质量和无形质量这 2 个重要维度。

通过前面的梳理可以发现，不同类型的旅游目的地其游客感知质量的内涵以及维度都存在着明显差异，因此研究游客感知质量必须要以具体的旅游类型为基础，只有这样才具有研究的可行性。前人已有的研究成果为本研究的开展奠定了坚实的基础，同时也创造了对话的空间。本文旨在通过文献梳理和实证研究，细化乡村旅游目的地游客感知质量的研究，构建乡村旅游目的地游客感知质量的维度，进一步探讨感知质量各个维度对感知价值、满意度的影响。

研究设计

案例选择

广西明仕田园风景区位于中国与越南边境的大新县境内，距离广西首府南宁市约 200 公里，与亚洲最大的跨国瀑布德天瀑布景区相邻，距离越南 10 公里，这里交通便捷、山清水秀，拥有典型的喀斯特地貌，到处都是一幅原生态的自然景象，乡村旅游发展独具特色，乡村旅游市场十分成熟，游客来自世界各地，具有典型的代表性。因此，本研究选择广西明仕田园风景区作为实证研究的案例。

量表设计

笔者于 2020 年 11 月初对结束明仕田园风景区旅游的游客进行访谈，并结合相关游客感知质量的已有研究进行问卷设计。2021 年 5 月初在明仕田园风景区停车场完成预调研 113 份问卷，并通过分析预调研收集的数据对调研问卷进行修改和完善（详见表 1），最终形成乡村旅游目的地游客感知质量测量量表。

表 1: 客感知质量测量题项及来源

序号	测量题项	参考依据
1	农家乐菜品	Buhalis (1998)；何建英(2012)；张潇伊（2020)；Parasuraman, A.et al. (1994)；本研究
2	街边特色小吃	
3	乡村土特产品	
4	旅游纪念品和工艺品	
5	民宿住宿条件	
6	酒店住宿条件	
7	水果蔬菜采摘体验	
8	土特产品制作体验	
9	乡村特色表演活动	

表 1: 客感知质量测量题项及来源 (续。)

序号	测量题项	参考依据
10	其他体验活动	
11	手工艺品制作体验	
12	历史文化遗存和特殊纪念场所	
13	乡村美景	
14	标志性景观	
15	乡村旅游建筑物	
16	乡村建筑景观	
17	乡村建筑装饰	
18	旅游标识系统	
19	旅游商店	
20	其他基础设施	
21	目的地内部交通便捷性	
22	目的地外部交通便捷性	
23	动物种类及其管理	
24	植物种类及其管理	
25	目的地整体形象	
26	目的地旅游氛围	

问卷主要分为三个部分，第一部分是通过游客感知质量量表对游客参与乡村旅游的感知质量进行测度，第二部分是游客感知价值与游客满意度的测度，第三部分是被调查者的人口统计特征信息。

数据来源

笔者于 2021 年 5 月 1 日-3 日在明仕田园风景区游客中心停车场和景区出口采用随机抽样的方式，对完成旅游后的游客进行正式调研，一共发放 510 份问卷，实际收回问卷 492 份，问卷的回收率为 96.47%，删除掉无效问卷后得到有效问卷 431 份，问卷有效率为 84.5%。

研究方法

本文主要借助 SPSS 26.0 和 AMOS 23.0 软件对收集的数据进行分析，采用主成分分析法对游客感知质量进行探索性因子分析，构建游客感知质量的维度指标，最后运用结构方程分析法检验乡村旅游目的地游客感知质量各个维度和游客满意度之间的关系。

数据分析

被调查者的基本情况

本次调研共收集到有效问卷 431 份，样本容量大于 200，本次调研样本选择较合理，符合结构方程分析的要求，被调查者的基本情况统计如表 2 所示。

表 2: 被调查者的基本情况

变量		频数	百分比 (%)
性别	男	227	52.7
	女	204	47.3
地区	广西区内	341	79.1
	广西区外	90	20.9
职业	党政机关事业单位人	125	29.0
	企业工作人员	88	20.4
	自由职业者	86	20.0
	个体工商户	34	7.9
	退休人员	20	4.6
	学生	66	15.3
	其他	12	2.8
受教育程度	初中及以下	16	3.7
	高中、中专、技校	40	9.3
	大学专科	146	33.9
	大学本科	195	45.2
	硕士及以上	34	7.9
年龄	18 岁及以下	20	4.6
	19-44 岁	380	88.2
	45-59 岁	22	5.1
	60 岁及以上	9	2.1
收入	1000 元及以下	91	21.1
	1001-3000 元	170	39.4
	3001-5000 元	**97**	**22.5**
	5001 元及以上	**73**	**16.9**

游客感知质量维度构建

数据检验

首先对收集的数据进行信度检验，通过 SPSS 26.0 软件输出结果显示，游客感知质量量表的 Alpha 系数为 0.873，大于 0.8，表明量表通过效度检验。游客感知质量量表题项的 KMO 值是 0.921，KMO 值大于 0.7 的标准，因此适合做因子分析。 Bartlett 球形度检验结果是，近似卡方为 2583.640， df （自由度）为 325， Sig.（显著性水平）为 0.000，显著性水平低于 0.005 的标准，适合做因子分析。

因子分析

根据主成分分析法对乡村旅游目的地游客感知质量进行探索性因子分析，利用 SPSS 26.0 软件对游客感知质量量表进行因子分析，在描述性统计时选择 KMO 和 Bartlett 球形度检验，因子分析提取方法选择主成分分析方法，输出旋转之后成份矩阵，基于特征根进行提取，提取特征根大于 1 的特征根，最大收敛次数为 25 次，利用最大方差法进行旋转，软件输出结果如表 3 所示。

表 3: 游客感知质量总方差解释表

题项	初始特征值			提取平方和载入			旋转平方和载入		
	合计	方差的%	累积%	合计	方差的%	累积%	合计	方差的%	累积%
1	13.871	53.352	53.352	13.871	53.352	53.352	6.512	25.046	25.046
2	2.231	8.582	61.934	2.231	8.582	61.934	5.333	20.513	45.559
3	1.431	5.503	67.437	1.431	5.503	67.437	4.547	17.490	63.049
4	1.151	4.428	71.865	1.151	4.428	71.865	2.292	8.816	71.865
5	0.884	3.399	75.264						
6	0.697	2.681	77.945						
7	0.610	2.347	80.292						
8	0.574	2.209	82.501						
9	0.521	2.003	84.505						
10	0.466	1.791	86.295						
11	0.382	1.471	87.766						
12	0.379	1.459	89.225						
13	0.364	1.401	90.626						
14	0.347	1.334	91.960						
15	0.272	1.046	93.006						
16	0.257	0.989	93.995						
17	0.238	0.914	94.910						
18	0.219	0.844	95.754						
19	0.216	0.832	96.586						
20	0.174	0.669	97.255						
21	0.171	0.659	97.914						
22	0.142	0.544	98.459						
23	0.123	0.471	98.930						
24	0.116	0.447	99.377						
25	0.100	0.384	99.761						
26	0.062	0.239	100.000						

如游客感知质量总方差解释表 3 所示，提取大于 1 的特征根有四个，分别为 13.871、2.231、1.431、1.151，方差百分比分别为 53.352%、8.582%、5.503%、4.428%，累计方差解释率为 71.865%，大于 50%的临界值，说明有很好的解释能力。利用主成分分析法进行提取，旋转方法选最大方差分析法，旋转后的游客感知质量成分矩阵如下表 4 所示：

表 4: 旋转后的游客感知质量成分矩阵表

原题号	新编号	题项	因子 1	因子 2	因子 3	因子 4
A1	AA1	农家乐菜品	.387	.198	***.692***	-.019
A2	AA2	街边特色小吃	.100	.147	***.808***	.142
A3	AA3	乡村土特产品	.155	.296	***.769***	.030
A4	AA4	旅游纪念品和工艺品	.193	.129	***.721***	.362

表 4: 旋转后的游客感知质量成分矩阵表 (续。)

原题号	新编号	题项	因子 1	因子 2	因子 3	因子 4
A5	AA5	民宿住宿条件	.234	.386	***.534***	.312
A7	AB1	水果蔬菜采摘体验	.083	***.629***	.263	.332
A8	AB2	土特产品制作体验	.202	***.612***	.480	.265
A9	AB3	乡村特色表演活动	.280	***.604***	.462	.109
A10	AB4	其他体验活动	.376	***.699***	.312	.094
A11	AB5	手工艺品制作体验	.340	***.709***	.349	.103
A13	AB6	乡村美景	.154	***.781***	.191	.092
A14	AB7	标志性景观	.336	***.708***	.129	.209
A16	AB8	乡村建筑景观	.455	***.507***	.158	.426
A17	AB9	乡村建筑装饰	.444	***.555***	.110	.398
A12	AB10	历史文化遗存和特殊纪念场所	.302	***.630***	.509	.100
A15	AC1	乡村旅游建筑物	***.580***	.561	.114	.339
A20	AC2	其他基础设施	***.770***	.247	.173	.309
A21	AC3	目的地内部交通便捷性	***.770***	.138	.160	.371
A22	AC4	目的地外部交通便捷性	***.826***	.153	.362	.075
A23	AC5	动物种类及其管理	***.856***	.224	.253	.101
A24	AC6	植物种类及其管理	***.808***	.210	.231	.070
A25	AC7	目的地整体形象	***.610***	.412	.287	-.148
A26	AC8	目的地旅游氛围	***.679***	.401	.211	-.110
A6	AD1	酒店住宿条件	.137	.264	.525	***.663***
A18	AD2	旅游标识系统	.601	.321	.108	***.560***
A19	AD3	旅游商店	.648	.226	.159	***.522***

根据旋转后的结果，将因子 1 命名为乡村旅游支持体系质量，其中 A15 存在交互荷载的情况，因此删除 A15 题项；因子 2 命名为乡村旅游吸引要素，其中 A12 存在交互荷载的情况，因此删除 A12 题项；将因子 3 命名为乡村旅游基本接待质量，同时不存在交互荷载的情况；因子 4 的 A6、A18、A19 存在交互荷载的情况，因此删除 A6、A18 和 A19 三个题项，因子 4 也不存在了，最后整理出来的乡村旅游游客感知质量分为乡村旅游基本接待质量、乡村旅游吸引要素质量、乡村旅游支持体系质量三个维度，一共 21 个题项，探索性因子分析结果表明游客感知质量的测量量表具有较好的效度。

乡村旅游目的地游客感知质量由基本接待质量、吸引要素质量、支持体系质量三个维度构成，这表明参与乡村旅游的游客对于乡村旅游目的地的基本接待设施、旅游支持设施和旅游吸引要素非常关注，这些设施和要素可能会影响游客满意度，因此需要通过实证研究进行检验，以便探究游客感知质量与满意度之间的作用机理，促进乡村旅游的高质量发展。

游客感知质量、感知价值与满意度之间的关系

借鉴前人已有的研究成果，本研究做出如下假设：H1：游客感知质量直接影响游客满意度；H2：游客感知价值在游客感知质量与游客满意度之间起到中介作用。其中游客感知价值分为情感价值、社会价值和功能价值三个维度。根据以上假设，运用结构方程分析法建立拟合模型（如图 1 所示），运用 AMOS23.0 软件对模型进行拟合，得到模型的方自由度比值（CMIN/DF）为 3.53，渐进残差均方和平方根值（RMSEA）为 0.077，增值适配指标 CFI 为 0.89，TLI 为 0.88，

NFI 值为 0.85，综合拟合度指标 PNFI0.79，样本量为 431 大于 200 份，适配度基本合理，适合做结构方程分析。

本文利用收集的数据，运用 AMOS23.0 软件对图 1 所示结构方程模型进行估计，运行结果如图 2 所示。根据模型输出的结果，整理游客感知质量对满意度的影响，其结果如表 5 所示。潜变量之间的路径系数在 0.01 的显著性水平上通过检验为原假设成立，反之，路径系数在 0.01 的显著性水平上没有通过显著性检验，则代表原假设不成立。通过路径模型检验结果发现，大部分原假设通过了显著性检验。AMOS 软件输出的结果表明吸引要素质量对满意度有负向影响，与原来假设相悖，但是没有通过显著性检验；社会价值对满意度的影响没有通过显著性检验。一共有 2 个假设与原假设不符，结果表 5 所示。

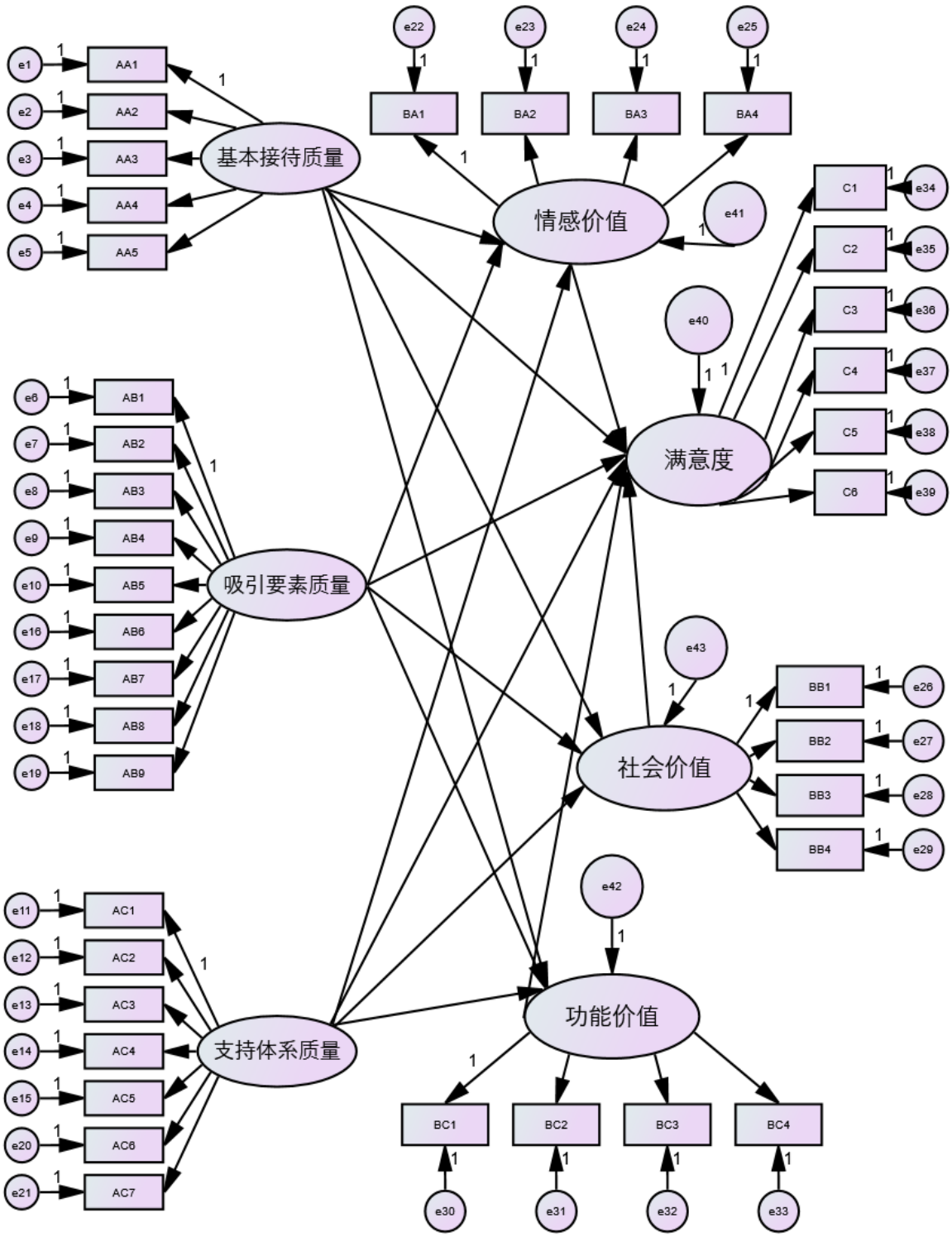

图1: 游客感知质量对满意度影响的结构模型图

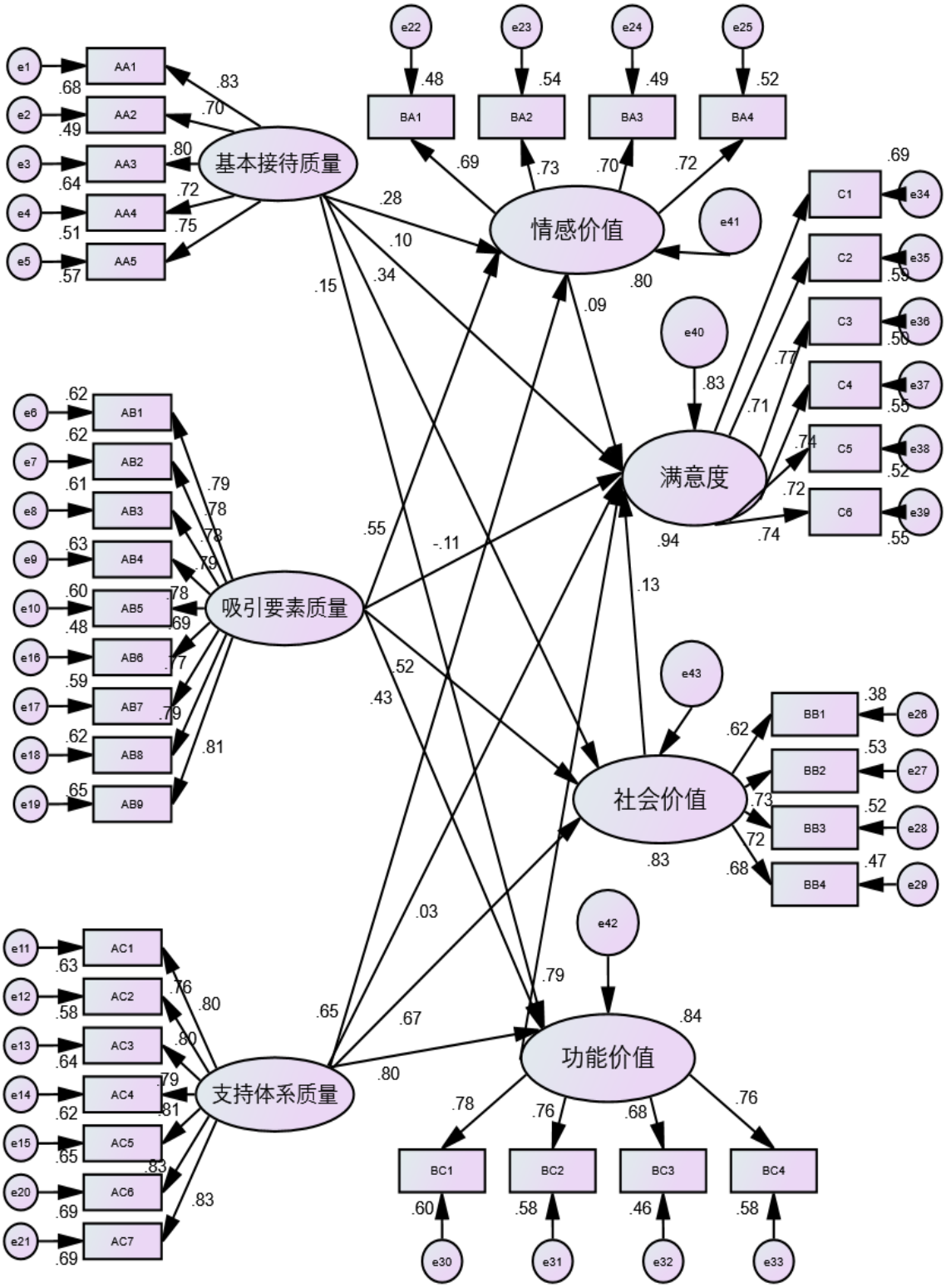

图2: 游客感知质量对满意度影响的结构模型检验图

表 5: 结构方程模型的路径系数与假设检验表

假设路径关系	标准化系数	标准误差	T 值	P
情感价值<---基本接待质量	0.212	0.029	7.34	***
社会价值<---基本接待质量	0.227	0.028	8.224	***
功能价值<---基本接待质量	0.117	0.025	4.656	***
情感价值<---吸引要素质量	0.398	0.035	11.367	***
社会价值<---吸引要素质量	0.311	0.031	9.965	***
功能价值<---吸引要素质量	0.335	0.029	11.461	***
社会价值<---支持体系质量	0.441	0.039	11.284	***
功能价值<---支持体系质量	0.595	0.04	15.387	***
情感价值<---支持体系质量	0.477	0.039	12.09	***
满意度<---基本接待质量	0.131	0.0256	5.190	***
满意度<---吸引要素质量	-0.061	0.081	-0.759	0.448
满意度<---支持体系质量	0.054	0.121	3.250	***
满意度<---情感价值	0.125	0.039	0.777	0.001
满意度<---社会价值	0.145	0.128	1.136	0.256
满意度<---功能价值	0.778	0.131	5.939	***

注: *表示 P<0.05, * *表示 P<0.01, * * *表示 P<0.001

研究结果

通过对 AMOS 23.0 软件输出的结果分析，可以知道前面所做的 H1 和 H2 假设在变量层面都是成立的，但是在游客感知质量对满意度的影响这个关系中，游客感知质量的三个维度表现不一致。其中游客感知质量的基本接待质量和支持体系质量对满意度有显著的正向影响（P<0.001），而游客感知质量的吸引要素质量维度对满意度没有影响。感知价值中的情感价值和功能价值在感知质量和满意度之间起到中介作用，但是感知价值的社会价值维度在感知质量和满意度之间没有作用，具体研究结果如图 3 所示。

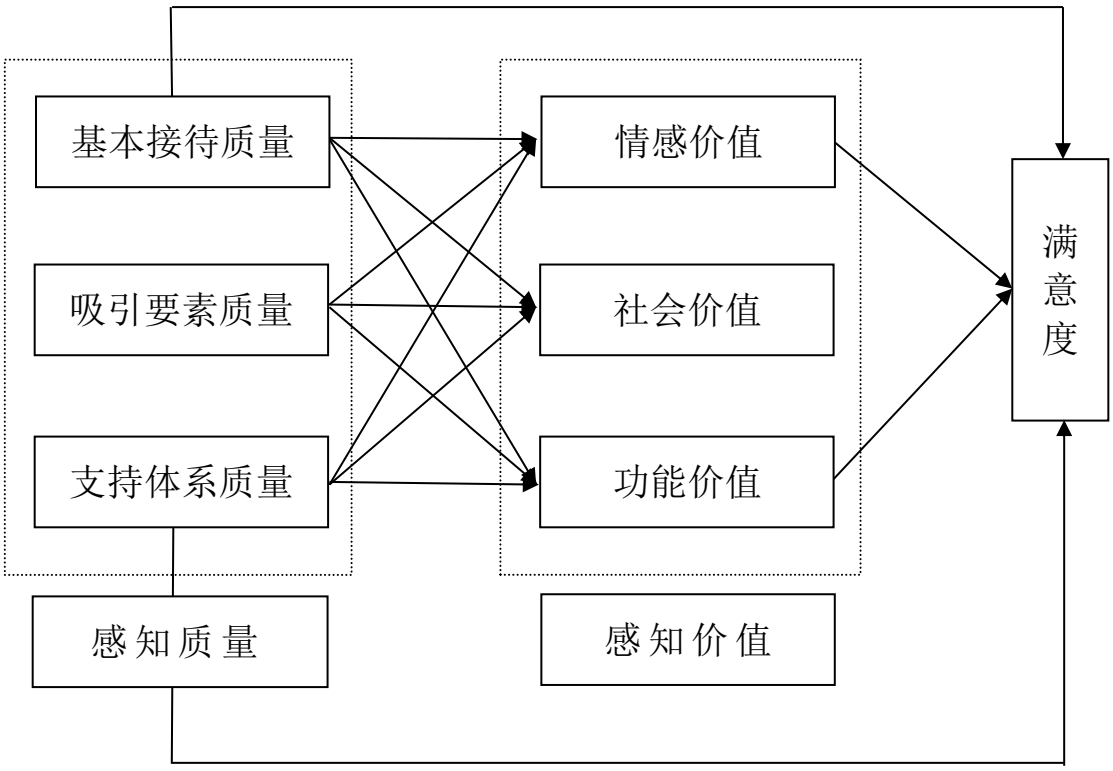

图3: 游客感知质量对游客满意度影响

总结

本文在梳理已有游客感知质量研究文献的基础上，结合乡村旅游的特征，借鉴前人已有研究成果，设计了乡村旅游目的地游客感知质量测量量表，并以广西明仕田园风景区为例进行实证研究，得到以下 2 个主要结论：

)1(乡村旅游目的地游客感知质量可以分为基本接待质量、吸引要素质量和支持体系质量 3 个维度，通过实证研究可以知道乡村旅游目的地的基本接待质量和支持体系质量对游客满意度有正向影响；而乡村旅游目的地吸引要素质量对游客满意度没有显著影响。这个结论对于乡村旅游管理者和乡村旅游企业有重要的意义，也要求我们的管理者和乡村旅游企业在进行景区规划、设计和建设时要充分考虑游客对于景区基本接待设施和旅游支持体系的需求，只有这样才能够提升游客满意度。

)2(感知价值的情感价值和功能价值两个维度在感知质量与满意度之间起部分中介作用，而感知价值的社会价值维度在感知质量和满意度之间没有中介作用。这个结论有别于乡村旅游以外的其他旅游类型，这个主要是因为一方面乡村旅游者大多数都是以散客的形式出现，跟其他参与乡村旅游的游客接触较少，另一方面乡村旅游者因为停留时间普遍较短，没有与当地社区居民进行深入交流，因此旅游的社会价值不明显。

讨论

本研究因为受到研究者的精力、经费以及其他一些因素的限制，在对样本进行收集的时候只选择了广西明仕田园风景区这一个研究点，覆盖面窄，因此模型的普适性有待进一步验证。此外，本研究所采用的数据为截面数据，不能够很好的反映乡村旅游的动态发展过程，因此在

今后的研究中，可以考虑对于一定的样本进行一段时间的跟踪调查，收集不同时点的数据，对乡村旅游游客感知质量和满意度之间的关系进行动态时序性研究，进一步分析乡村旅游游客感知质量和满意度之间的关系。

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学生参与大学治理效果的灰色模糊综合评价
GREY FUZZY COMPREHENSIVE EVALUATION ON THE EFFECT OF STUDENTS PARTICIPATION IN UNIVERSITY GOVERNANCE

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摘要

随着高等教育民主化进程的推进，学生在大学治理中的话语权日益增强。现代大学治理的要求决定了学生不仅是受教育者，而且也是大学治理的参与者。大学治理的目标在于实现善治，而学生是大学的核心与关键。学生参与大学治理被认为是高等教育有效治理的一个重要和必要的条件。因此，有必要全面了解和评价学生参与大学治理效果，以便采取合理的措施予以完善。本文采用灰色模糊评价法，将定性与定量相结合，构建了学生参与大学治理效果评价指标体系。本文从六个方面设计了评价模型，确定了评价指标标准，得出评价方程，并对学生参与大学治理开展治理效果评价。研究结果表明，进一步发展学生参与治理效率、对话、制度保障能力、参与治理质量能力，在伙伴关系、决策能力、资源保障能力、参与治理效果能力等方面得到显著提升，为中国现代大学治理的改革提供借鉴。

关键词: 学生 大学治理 灰色模糊综合 评价体系 治理效果

Abstract

With the advancement of the democratization of higher education, the students' discourse power in university governance is increasingly strengthened .The requirements of modern university governance determine that students are not only educated, but also are participants in university governance .The goal of university governance is to achieve good governance, and students are the core and key .Students' participation in university governance is regarded as an important and necessary condition for effective governance of higher education .Therefore, it is necessary to fully understand and evaluate the effect of students' participation in university governance in order to take reasonable measures to improve it .This paper adopts grey fuzzy evaluation method and combines qualitative and quantitative evaluation .The evaluation index system of the effect of students' participation in university governance is constructed .This paper designs the evaluation model from six aspects and determines the evaluation index standard .We deduce the evaluation calculation equation to evaluate the management effect of students' participation in university governance .The results show that the development of university students' ability to participate in governance efficiency, dialogue, institutional guarantee and quality of governance can significantly improve partnership ability, decision-making ability, resource guarantee ability and effectiveness of governance, which provides reference for the reform of modern university governance in China.

Keywords : Student, University Governance, Grey-Fuzzy Synthesis, Evaluation System, Governance Effect

引言

中国提出“共商共建共享”的全球治理观，同时也意味着中国高等教育面临提高大学治理能力现代化的严峻挑战。大学治理是一个开放的研究体系，具有理论性与实践性、开放性与适应性、国际性与本土性并存的特征。学生是大学组织存在和发展的基础，大学教育的本质要求和根本使命是人才的培养，是学生全面发展；大学的组织行为，如果没有学生的参与，大学的基本功能就会褪色，大学也就失去了存在的价值和意义。学生参与大学治理，是当前大学管理改革的现实需要，也是大学组织合理存在和价值实现的根本保证。在我国现代大学制度构建过程中，在大学治理体系和治理能力还有待于进一步提高的背景下，对学生参与大学治理进行研究，具有重要的理论和现实意义。为此本文开展学生参与大学治理效果综合评价显得尤为重要。

研究目的

综合国内外相关学生参与大学治理研究，得知大多是定性研究，定量研究缺乏，缺乏对学生参与大学治理评价性研究。已有的评价指标体系和方法越来越不适合学生参与大学治理的评价要求，影响评价质量。为此结合新时代的学生参与大学治理的发展和特点，需要建立一种新的科学的教学评价指标体系，合理地评价学生参与大学治理效果是当前加强以民主管理、提高学生参与大学治理质量的有效保证。本文考虑灰色系统理论的关联度与模糊综合评价法相结合，符合学生参与大学治理效果的模糊性和灰色行为（陈方芳 2019; 赵亮 et al .2003）。因此，本文应用灰色模糊评价法对学生参与大学治理效果进行综合评价，构建学生参与大学治理效果评价指标体系和评价模型，从而对学生参与大学治理效果进行综合评价，并分析评价结果，以期为相关部门完善学生参与大学治理休系建设提供决策参考。

研究综述

在学生参与大学治理研究方面，西方国家很早就建立了研究体系。Roberts) 2012 (总结在欧洲大陆，大学生社团参与大学治理已经成为法律事实，该观点由范德格拉夫早期提出。欧洲大学治理中学生参与的领域是延伸的，不仅在大学管理和决策方面的“正式参与”，还包括质量评价、课程评价等领域的“非正式参与”，通过参与使学生成为高等教育治理的全面合作伙。欧洲大学生联合会) The National Unions of Students in Europe，简称 ESU (在第 21 次欧洲学生公约——《治理与学生参与》中，把学生参与分为四个阶段（信息获取、磋商、对话、伙伴关系与决策）和三个层面（欧洲、国家和高校）)Lizzio and Wilson 2009(。从相关研究中可以看出，目前学生参与治理在超国家层面已经路线化、制度化，在高校和学院层面影响较大，在国家层面影响相对较弱。欧洲高等教育治理取得了卓越的成就，学生参与是推进大学治理的进步力量)Zuo and Ratsoy 1999(。大学生参与高等教育机构治理的过程。强调学生能够自主管理自己的事务，满足自己的多样化需求，维护自己的政治权益)Zabolotna and Pidhaietska)2019(; Lizza 2015(。Noučková et al) .2018(研究学生评价大学管理内部质量过程的五个关键领域：领导和战略规划、学生和利益相关者的焦点、学生学习成果的测量、人力资源规划和教育过程管理，并揭示有效的内部质量管理过程的关键因素。Chervona)2019(分析了乌克兰大学的管理结构，研究了乌克兰大学让学生参与管理的经验，深入分析学生在教育过程中所扮演角色的认知发生变化的过程。

中国的现代高等教育深受欧洲和美国影响，在大学治理方面广泛借鉴美国和欧洲的经历，并从中学习经验和吸取教训。在中国国内，许多学者也在学生参与大学治理方面做了大量研究。钱颖一)2015(采用经济学的视角和分析方法并通过国际比较来探讨中国大学的治理改革问题，从六个维度分析和比较大学治理的美国模式和欧洲模式，近代中国大学的治理状况。冯遵永)2019 (以利益相关者理论、治理理论和人本管理理论为基石，确认学生的角色定位，将大学内部治理中的学生主体置于中心位置，剖析国内外大学治理中学生参与的社会背景、历史动因、发展逻辑、功能内涵、参与路径、制度保障、机制安排等。学生可通过协商民主机制,将自身的诉求与大学其他利益相关者以及管理者的目标平衡与融合,通过制度性渠道与程序参与大学治理,实现大学治理结构的优化)秦惠民和李登 2021(。中国政府提出建设“双一流”高校，大学治理结构成为了推动高校改革的重要手段，而大学生参与大学治理是民主管理的表现，也能激发学生的参与热情和参与愿望，使其主动掌握相关管理知识和技能)刘宇雷 2019(。包万平)2021 (以教育部直属大学为研究对象，采用混合研究范式，对学生实际参与和期望参与的大学内部治理内容进行了实证分析。研究发现，学生实际参与较多的是与其切身利益高度相关的教育教学、学生管理等方面，建议大学拓展学生参与的内容,探索和实践学生参与学校重大决策、制定规章制度,扩展学生对大学具体治理事务的参与。周海涛和闫丽雯) 2019 (提出一套方案，确立生态取向的治理逻辑，尊重高校内在办学规律，活化机构设置，夯实内部治理组织根基，改革集中的权力配置方式，切实增强权力承接能力，转变各自为政的运行方式，构建协同履职的联动机制，扭转师生参与感低的困境，激发师生共治活力。在新时代下，中国高等教育的学生参与大学治理更加注重治理依据战略性、治理目标全局性、治理结构系统性、治理改进创新性、治理评价科学性等特征 （赵爽和景维民 2021）。

研究方法

1. 灰色模糊综合评价原则

1.1 客观评价与主观评价相结合的原则

学生参与大学治理是现代大学治理的要求，为全面准确评价学生参与大学治理的效果，在学生参与大学治理效果的综合评价过程中，必须坚持实事求是的态度，严格遵循评价标准体系，坚持评价手段和方法的客观性。但同时也要重视评价者的主观能动性，在评价目标和标准体系的框架下，充分发挥评价专家队伍的经验和才智，做到灵活掌握标准、科学制定目标体系、有效选择评价手段和方法、客观解释评价结果、准确下达评价结论。

1.2 定性评价与定量评价相结合的原则

学生参与大学治理效果评价是对学生参与大学治理过程和结果进行价值判定，它既需要定性评价又需要定量评价。如果只是定性评价，那么就只能反映学生参与大学治理的性质特征，仅是一种模糊的印象评价。如果只是定量评价，那么只能从现象上或形式上对学生参与大学治理效果进行评价，可能忽视学生参与大学治理的性质特征。因此，在学生参与大学治理效果综合评价过程中，应兼顾定性评价和定量评价，做到两种评价方法互为基础、互为前提，使之相互补充，取长补短，从而达到全面评价的效果。

1.3 单项评价与综合评价相结合的原则

学生参与大学治理效果体系是由一个由多个子系统构成的有机结合的大体系，对总体的评价离不开对各层次的单项评价，其需要以单项评价为基础上，才能进行综合评价。综合性原则也是全面性原则，要求从评价内容到指标体系都要全面反映评价目的的要求，评价结论要全面反映被评价对象某一方面的全部情况或整体面貌 （赵亮 et al. 2003）。

2. 评价指标体系构建

本文根据学生参与大学治理效果包含的内容及其评价指标体系建立所遵循客观科学性、全面性、可行性、可操作性的原则，采用德尔菲法，经过与国内许多高校行政管理方面的专家、高校学生会代表进行广泛交流和研究后，通过科学分析，确定从参与治理效用、参与治理路径、参与治理保障和参与治理质量 4 个方面对学生参与大学治理效果进行分析，建立相应的评价指标体系，每项一级指标下有相应的二级指标，共包含 4 项一级指标和 16 项二级指标，如图 1 所示。具体内容如下：

参与治理效用包括：参与治理过程、参与治理能力、参与治理绩效、参与治理效率等；参与治理路径包括：信息获取、磋商、对话、伙伴关系与决策等；参与治理保障包括：制度保障能力、资源保障能力、政策保障能力、组织保障能力等；参与治理质量包括：参与治理效果能力、参与治理效果优劣、参与治理质量能力、参与治理质量好坏等，如表 1 所示。

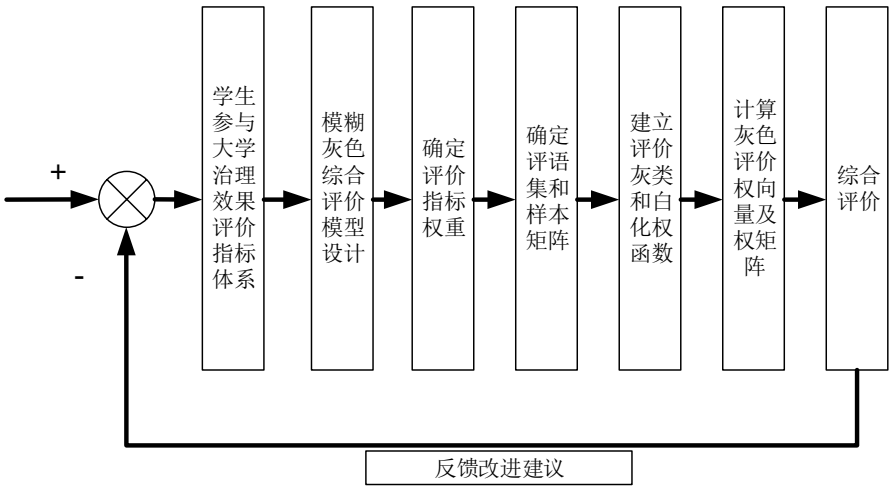


图1: 学生参与大学治理效果评价流程图

表 1: 学生参与大学治理效果评价指标体系

	一级评价指标	二级评价指标
学生参与大学治理效果评价指标体系	参与治理效用 U_1	参与治理过程 U_{11}
		参与治理能力 U_{12}
		参与治理绩效 U_{13}
		参与治理效率 U_{14}
	参与治理路径 U_2	信息获取 U_{21}
		磋商 U_{22}
		对话 U_{23}
		伙伴关系与决策 U_{24}

表 1: 学生参与大学治理效果评价指标体系 (续。)

	一级评价指标	二级评价指标
	参与治理保障 U_3	制度保障能力 U_{31}
		资源保障能力 U_{32}
		政策保障能力 U_{33}
		组织保障能力 U_{34}
	参与治理质量 U_4	参与治理效果能力 U_{41}
		参与治理效果优劣 U_{42}
		参与治理质量能力 U_{43}
		参与治理质量好坏 U_{44}

研究结果

1. 模糊灰色综合评价模型设计与分析

本文的学生参与大学治理效果评价因素集如表 1 所示。设 W 表示目标层学生参与大学治理效果评价综合值。U 表示准则层一级评价指标 U_i 所组成的集合，记为 $U=\{U_1,U_2,U_3,...,U_m\}$，分别代表参与治理效用、参与治理路径、参与治理保障和参与治理质量；U_i 表示指标层二级评价指标 U_{ij} 集合，记为 $U_i=\{U_{i1},U_{i2},U_{i3},...,U_{ij}\}$，其中，$m$=1，2，3，4 表示 4 个主因素，$j$ 为第 i 类因素的第 j 个子因素，如表 2 所示。

1.1 确定评价指标 U_i 和 U_{ij} 的权重

在评价指标体系中，评价指标 U_i 和 U_{ij} 对目标 W 的重要程度是不同的，即有不同的权重。本文运用层次分析法(AHP)构造一个层次结构模型，将隶属于同一上一层的各元素按“1～9”标度法进行两两比较，将判断定量化，建立判断矩阵，并利用矩阵特征值的求解方法确定一级评价指标 U_i 和二级评价指标 U_{ij} 的权重，具体计算结果详见表 2，3，4，5，6，7。

表 2: U_i 的权重表

U	U_1	U_2	U_3	U_4	W_i
U_1	1	1/4	1/2	1/3	0.1296
U_2	4	1	2	2	0.4824
U_3	2	1/2	1	1/2	0.2048
U_4	1/3	1/2	2	1	0.1833

表 3: U_{1i} 的权重表

U_1	U_{11}	U_{12}	U_{13}	U_{14}	W_{1i}
U_{11}	1	1	2	1/2	0.2274
U_{12}	1	1	2	1/2	0.2274
U_{13}	1/2	1/2	1	1/3	0.1221
U_{14}	2	2	3	1	0.4232

表 4: U_{2i} 的权重表

U_2	U21	U22	U23	U24	W2i
U21	1	1/4	1/3	2	0.2098
U22	1	1	1/3	2	0.2098
U23	3	3	1	4	0.4644
U24	1/2	1/2	1/4	1	0.1161

表 5: U_{3i} 的权重表

U_3	U_{31}	U_{32}	U_{33}	U_{34}	W_{3i}
U_{31}	1	2	2	2	0.4000
U_{32}	1/2	1	1	1	0.2000
U_{33}	1/2	1	1	1	0.2000
U_{34}	1/2	1	1	1	0.2000

表 6: U_{4i} 的权重表

U_4	U_{41}	U_{42}	U_{43}	U_{44}	W_{4i}
U_{41}	1	1/2	1/2	1/2	0.1429
U_{42}	2	1	1	1	0.2857
U_{43}	2	1	1	1	0.2857
U_{44}	2	1	1	1	0.2857

表 7: 学生参与大学治理效果评价指标及各指标权重

	一级评价指标	权重 W	二级评价指标	权重 a_{ij}
学生参与大学治理效果评价指标体系	参与治理效用 U_1	0.1296	参与治理过程 U_{11}	0.2274
			参与治理能力 U_{12}	0.2274
			参与治理绩效 U_{13}	0.1221
			参与治理效率 U_{14}	0.4232
	参与治理路径 U_2	0.4824	信息获取 U_{21}	0.2098
			磋商 U_{22}	0.2098
			对话 U_{23}	0.4644
			伙伴关系与决策 U_{24}	0.1161
	参与治理保障 U_3	0.2048	制度保障能力 U_{31}	0.4000
			资源保障能力 U_{32}	0.2000
			政策保障能力 U_{33}	0.2000
			组织保障能力 U_{34}	0.2000
	参与治理质量 U_4	0.1833	参与治理效果能力 U_{41}	0.1429
			参与治理效果优劣 U_{42}	0.2857
			参与治理质量能力 U_{43}	0.2857
			参与治理质量好坏 U_{44}	0.2857

1.2 确定评语集和样本矩阵

本文将学生参与大学治理效果评价等级划分为 4 级：优秀，良好，中等，差，并设评语集为 $V=\{V_1,V_2,V_3,V_4\}$，其中，V_1,V_2,V_3,V_4 分别表示的评语为优秀，良好，中等，差，

对应的学生参与大学治理程度分别为高，较高，中等，低，并分别赋值 4，3，2，1 分，指标等级介于两相邻等级之间时，相应评分为 3.5，2.5，1.5 分。

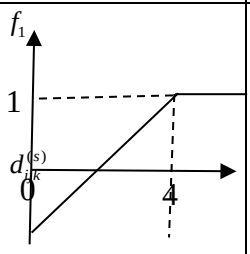
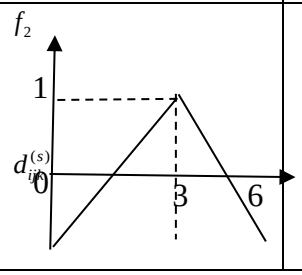
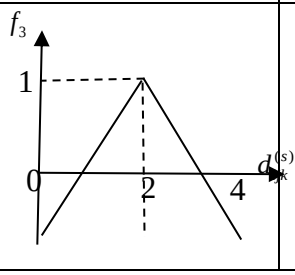
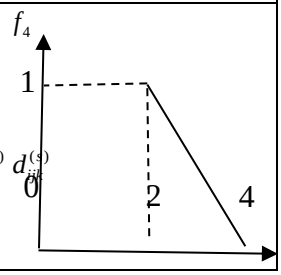
邀请 8 位普通本科高校行政管理相关领域的专家构成一个专家评价小组，根据评价等级对各单项指标进行打分，分数在 1-4 之间取值，并填写专家评分表，接着根据 8 专家填写的评分表，求得评价样本矩阵 D 如下：

$$D=\begin{pmatrix} 2.5 & 3 & 2.5 & 2.5 & 3 & 3 & 2.5 & 2 \\ 2.5 & 2.5 & 2 & 3 & 2.5 & 2.5 & 3 & 2.5 \\ 2 & 2 & 2.5 & 2.5 & 3 & 2.5 & 2 & 2.5 \\ 3.5 & 3 & 3 & 3.5 & 3.5 & 3 & 3 & 3 \\ 3 & 3 & 3.5 & 3 & 3 & 3 & 3.5 & 3 \\ 3 & 3.5 & 3 & 3 & 2.5 & 3 & 3 & 3 \\ 4 & 3.5 & 3 & 3 & 4 & 3 & 3.5 & 3 \\ 2.5 & 2.5 & 3 & 2.5 & 2.5 & 3 & 2.5 & 2.5 \\ 3 & 3 & 3.5 & 3.5 & 3 & 3 & 3 & 3.5 \\ 2.5 & 2.5 & 2.5 & 2 & 2.5 & 2.5 & 2 & 2.5 \\ 2 & 2 & 2.5 & 2 & 2.5 & 2 & 2.5 & 2.5 \\ 2.5 & 2.5 & 3 & 2.5 & 2 & 2.5 & 2 & 2.5 \\ 2.5 & 2 & 2.5 & 2.5 & 2.5 & 2 & 2 & 2.5 \\ & 3 & 3.5 & 3 & 2.5 & 2.5 & 3 & 3.5 \\ 3 & 3 & 3 & 3 & 2.5 & 3 & 2.5 & 3 \\ 3.5 & 3 & 3 & 4 & 3.5 & 3 & 3 & 3 \end{pmatrix}$$

1.3 建立评价灰类和白化权函数

本文采用灰色理论的灰评估方法计算评价指标的权矩阵。根据上述评价指标 C_{ij} 的评价等级标准，设定 4 个评价灰类，灰类序号为 e, 即 e=1,2,3,4，分别表示优秀，良好，中等，差。按照灰类给各定性指标做白化权函数。四个灰类对应的白化权函数如表 8 所示：

表 8: 灰类函数及示意图

类别	第一灰类：“优”{e=1}	第二灰类：“良”{e=2}	第三灰类: “中”{e=3}	第四灰类:“差”{e=4}
灰数	灰数 $\otimes_1 \in [0,4,8]$	灰数 $\otimes_2 \in [0,3,6]$	灰数 $\otimes_3 \in [0,2,4]$	灰数 $\otimes_4 \in [0,1,2]$
白化权函数	$f_1(d_{ijk}^{(s)}) = \begin{cases} d_{ijk}^{(s)}/4 & d_{ijk}^{(s)} \in [0,4] \\ 1 & d_{ijk}^{(s)} \in [4,8] \\ 0 & d_{ijk}^{(s)} \notin [0,8] \end{cases}$	$f_2(d_{ijk}^{(s)}) = \begin{cases} d_{ijk}^{(s)}/3 & d_{ijk}^{(s)} \in [0,3] \\ (6-d_{ijk}^{(s)})/3 & d_{ijk}^{(s)} \in [3,6] \\ 0 & d_{ijk}^{(s)} \notin [0,6] \end{cases}$	$f_3(d_{ijk}^{(s)}) = \begin{cases} d_{ijk}^{(s)}/2 & d_{ijk}^{(s)} \in [0,2] \\ (4-d_{ijk}^{(s)})/2 & d_{ijk}^{(s)} \in [2,4] \\ 0 & d_{ijk}^{(s)} \notin [0,4] \end{cases}$	$f_4(d_{ijk}^{(s)}) = \begin{cases} 1 & d_{ijk}^{(s)} \in [0,1] \\ (2-d_{ijk}^{(s)}) & d_{ijk}^{(s)} \in [1,2] \\ 0 & d_{ijk}^{(s)} \notin [0,2] \end{cases}$
函数示意图				

1.4 计算灰色评价系数

对于评价指标 U_{ij}，第 S 个指标属于第 e 个评价灰类的灰色评价系数为 $x_{ije}^{(s)}$，则有：

$$x_{ijt}^{(s)} = \sum_{k=1}^{p} f_e\left(d_{ije}^{(s)}\right) \tag{1}$$

对于评价指标 U_{ij}，第 S 个指标属于各个评价灰类的总灰色评价系数为 $x_{ij}^{(s)}$，则有：

$$x_{ijt}^{(s)} = \sum_{e=1}^{4} f_e\left(d_{ije}^{(s)}\right) \tag{2}$$

对 U_{11} 来说，各灰类的统计数为:

对于 e=1，有

$$\begin{aligned} x_{111} &= f_1(2.5)+f_1(3)+f_1(2.5)+f_1(2.5)+f_1(3)+f_1(3)+f_1(2.5)+f_1(2) \\ &= 2.5/4+3/4+2.5/4+2.5/4+3/4+3/4+2.5/4+2/4=5.25 \end{aligned} \quad)3($$

对于 e=2，有

$$\begin{aligned} x_{112} &= f_2(2.5)+f_2(3)+f_2(2.5)+f_2(2.5)+f_2(3)+f_2(3)+f_2(2.5)+f_2(2) \\ &= 2.5/3+1+2.5/3+2.5/3+1+1+2.5/3+2/3=7 \end{aligned} \quad)4($$

对于 e=3，有

$$\begin{aligned} x_{113} &= f_3(2.5)+f_3(3)+f_3(2.5)+f_3(2.5)+f_3(3)+f_3(3)+f_3(2.5)+f_3(2) \\ &= 1.5/2+1/2+1.5/2+1.5/2+1/2+1/2+1.5/2+1=5.5 \end{aligned} \quad)5($$

对于 e=4，有

$$\begin{aligned} x_{114} &= f_4(2.5)+f_4(3)+f_4(2.5)+f_4(2.5)+f_4(3)+f_4(3)+f_4(2.5)+f_4(2) \\ &= 0 \end{aligned} \quad)6($$

因此 U_{11} 总评价系数 x_{11} 为: $x_{11}=x_{111}+x_{112}+x_{113}+x_{114}=5.25+7+5.5+0=17.75$。同理，可以计算其他指标的灰色评价数。

1.5 计算灰色评价权向量及权矩阵

指标 U_{11} 的评价权向量 r_{11}

$$r_{11}=(x_{111}/x_{11}, x_{112}/x_{11}, x_{113}/x_{11}, x_{114}/x_{11})=(0.296, 0.394, 0.310,\ 0) \tag{7}$$

同理可计算 r_{12}，r_{13}，r_{14}，…，r_{44} 等 15 指标的评价权向量。

根据以上计算，我们得到 U_1, U_2, U_3, U_4 指标的灰色模糊评价矩阵分别为 R_1, R_2, R_3, R_4，具体如下表示：

$$R_1=\begin{bmatrix} r_{11} \\ r_{12} \\ r_{13} \\ r_{14} \end{bmatrix}=\begin{bmatrix} 0.296 & 0.394 & 0.310 & 0.00 \\ 0.289 & 0.386 & 0.325 & 0.00 \\ 0.270 & 0.360 & 0.370 & 0.00 \\ 0.372 & 0.438 & 0.190 & 0.00 \end{bmatrix}. \quad R_2=\begin{bmatrix} r_{21} \\ r_{22} \\ r_{23} \\ r_{24} \end{bmatrix}=\begin{bmatrix} 0.359 & 0.440 & 0.201 & 0.00 \\ 0.340 & 0.434 & 0.226 & 0.00 \\ 0.415 & 0.431 & 0.154 & 0.00 \\ 0.296 & 0.394 & 0.310 & 0.00 \end{bmatrix}.$$

$$R_3=\begin{bmatrix} r_{31} \\ r_{32} \\ r_{33} \\ r_{34} \end{bmatrix}=\begin{bmatrix} 0.386 & 0.436 & 0.178 & 0.00 \\ 0.270 & 0.360 & 0.370 & 0.00 \\ 0.257 & 0.343 & 0.400 & 0.00 \\ 0.277 & 0.369 & 0.355 & 0.00 \end{bmatrix}. \quad R_4=\begin{bmatrix} r_{41} \\ r_{42} \\ r_{43} \\ r_{44} \end{bmatrix}=\begin{bmatrix} 0.264 & 0.352 & 0.385 & 0.00 \\ 0.346 & 0.423 & 0.231 & 0.00 \\ 0.321 & 0.428 & 0.251 & 0.00 \\ 0.386 & 0.436 & 0.178 & 0.00 \end{bmatrix}.$$

1.6 计算综合评价值

A 对一级评指标 U_1 作出评价。一级评指标 U_1 的评价结果 B_1:

$$B_1=W_1R_1=(0.3234,0.4068,0.2700,0) \tag{8}$$

同理,我们可以计算 U_2,U_3,U_4 的综合评价值 B_2,B_3,B_4 。

$$R=\begin{bmatrix} B_1 \\ B_2 \\ B_3 \\ B_4 \end{bmatrix}=\begin{bmatrix} 0.3234 & 0.4068 & 0.2700 & 0.00 \\ 0.3738 & 0.4293 & 0.1971 & 0.00 \\ 0.3152 & 0.3888 & 0.2962 & 0.00 \\ 0.3386 & 0.4151 & 0.2436 & 0.00 \end{bmatrix}.$$

B 计算综合评价值。

考虑 $R=(B_1,B_2,B_3,B_4)^T$ 和 $W=(0.1296,\ 0.4824,\ 0.2048,\ 0.1833)$ ，则综合评价值 $B=WR=(0.3489,\ 0.4155,0.2355,\ 0)$ ，设将各评价灰类等级按“灰水平”赋值，即第 1 灰类“优”取 4，第 2 灰类“良”取 3，第 3 灰类“中”取 2，第 4 灰类“差”取 1，则各级评价灰类等级值化向量 $C=(4,3,2,1)$ ，所以学生参与大学治理效果模糊灰色综合评价值：

$$U=BC^T=(0.3489,\ 0.4155,0.2355,\ 0)(4,3,2,1)^T=3.1131 \tag{9}$$

总结与讨论

根据上述模糊灰色综合评价方法分析，可得学生参与大学治理效果模糊灰色综合评价值为 3.1131，按照上文评价准则，学生参与大学治理效果属于良好水平，但距离高级水平还需进一步加强。

根据 AHP 法分析所确定的两级指标的权重可知，在一级指标中，参与治理路径和参与治理保障所占比重很大，所占比重分别为 48.24%、20.48%；参与治理质量和参与治理效用所占比重相对较小，所占比重分别为 18.33%、12.96%；在二级指标中，所占比重较大的有参与治理效率、对话、制度保障能力、参与治理质量能力等指标，而伙伴关系与决策、资源保障能力、参与治理效果能力等指标所占比重较小。这说明在学生参与大学治理效果体系中，一级指标的参与治理路径和参与治理保障相对来说占有较大比重，说明应当将参与治理路径和参与治理保障建设放在重要位置，其是一级指标的参与治理质量和参与治理效用的保障与基础；二级指标的参与治理效率、对话、制度保障能力、参与治理质量能力也有较大比重，理应加强建设。其次，二级指标的伙伴关系与决策、资源保障能力、参与治理效果能力虽然比重较小，但它们都是学生参与大学治理效果体系不可缺少的组成部分之一，如果忽视它们的建设，将会对学生参与大学治理效果的整体提升造成不良影响。

此外，从专家的打分情况可以看出，参与治理效率、对话、制度保障能力、参与治理质量能力等指标专家给分较高，具有较高的权重，是整个学生参与大学治理效果体系中的关键因素；而伙伴关系与决策、资源保障能力、参与治理效果能力这三个指标专家打分较低，要加

予重视，并且对于其他指标应兼顾全面性、合理性优化，以期进一步提升学生参与大学治理效果。

本研究通过灰色模糊综合评价方法确立了三项评价原则、两级评价指标，以专家赋值的方式对学生大学治理的效用、路径、保障、质量进行分析，旨在客观把握学生大学治理的效果。研究表明只有参与治理保障体系的完善，参与治理路径的科学与高效化，才能实现学生参与大学治理效果高质量。同时，伙伴关系与决策、资源保障能力、参与治理效果能力的建设也不容忽视。

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虚荣心对职业决策自我效能感的影响
THE INFLUENCE OF VANITY ON CAREER DECISION-MAKING SELF-EFFICACY

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摘要

虚荣心是人的一种正常心理状态，每个人都会因为各种外在与内在的变化而产生心理波动，尤其当个人在职业决策及工作过程中，会因为虚荣心而影响到个人的决策及行为。本文的目的在于通过分析虚荣心的四个维度外表关注、外表形象、成就关注、成就形象对职业决策自我效能感的影响，提出双向调节的中介理论模型，并将继承承诺、感情承诺、心理退缩行为作为中介变量及调节变量，探讨出虚荣心对职业决策自我效能感有直接影响作用，继承承诺与感情承诺在个人虚荣心的四个维度与职业决策自我效能感之间起到正向影响的中介作用，心理退缩行为对继承承诺及感情承诺在个人虚荣心的四个维度与职业决策自我效能感之间起负向影响的调节作用。本文认为在现代人力资源管理过程中，不能仅研究问题的表面现象，还应该充分考虑人的心理因素，组织如何吸引人才、留住人才、稳定队伍至关重要，加强跨文化的研究，从心理学的角度出发，将个人心理因素作为组织人力资源管理的参考依据。

关键词：虚荣心 继承承诺 感情承诺 心理退缩行为 职业决策自我效能感

Abstract

Vanity is a normal psychological state of people. Everyone will have psychological fluctuations due to various external and internal changes. Especially in the process of career decision-making and work, vanity will affect personal decision-making and behavior. The purpose of this paper is to put forward a two-way mediation theoretical model by analyzing the impact of four dimensions of vanity: appearance concern, appearance image, achievement concern and achievement image on career decision-making self-efficacy, and take inheritance commitment, emotional commitment and psychological withdrawal behavior as mediating and regulating variables, It is discussed that vanity has a direct impact on career decision-making self-efficacy, and inheritance commitment and emotional commitment play a positive intermediary role between the four dimensions of personal vanity and career decision-making self-efficacy, Psychological withdrawal behavior has a negative regulatory effect on inheritance commitment and emotional commitment between the four dimensions of personal vanity and career decision-making self-efficacy. This paper holds that in the process of modern human resource management, we should not only study the surface phenomenon of the problem, but also fully consider human psychological factors. It is very important for organizations to attract talents, retain talents and stabilize the team, strengthen cross-cultural research, and take personal psychological factors as the reference basis of organizational human resource management from the perspective of psychology.

Keywords: Vanity, Continuance Commitment, Affective Commitment, Psychological Withdrawal, Career Decision-Making Self-Efficacy

引言

当今，在全球化、信息化的大背景下，运用知识生产、传播、应用能够不断推动社会经济的快速发展。人力资本作为个体知识、技能、经验的总称，是社会经济发展的关键要素，也是组织发展的核心竞争力。组织与组织之间的人才竞争愈演愈烈，人才的流动虽属于常态，但组织要发展，如何解决人的问题成为了组织在发展过程中必须深入研究的问题，招得来、留得住是人力资源管理的基本问题，招得来、留得住，并且能为组织创造经济效益和社会效应至关重要。

人的需求包括生理需求、安全需求、感情需求、尊重需求和自我实现需求等，每一种需求各个层次之间存在着逐级递进的关系，较低层的需求在得到满足的前提下，会产生较高层的需求，而个人在处于不同时期、不同的活动领域、不同的环境及组织中，都存在着差异性，各阶段的需求也会逐级分层次递进。个人的每一层级需求都会受到虚荣心的影响，比如当个人的生理需求没有得到满足时，会与他人对比迫切希望像他人一样得到满足，但当个人生理需求已经得到满足时，又会与更好的对比，美食、环境等他人所拥有的美好事务自己也希望拥有；再比如当个人感情需求没有得到满足时，会羡慕他人希望自己能够得一知己、拥有爱情，但当个人已经收获了爱情满足了感情需求时，又会有所期待，即便感情落败也不愿在他人面前输了面子。所谓虚荣心 (Vanity)，并非贬义词，是人的一种正常心理状态，是人的一种普通心理状态，是个人日常生活过程中心理波动的一种表现。虚荣心涉及个人日常生活、工作等方方面面，个人在不同阶段、不同的领域、不同的环境、不同的组织下，会因为表面上的光彩而追随的一种心理表现，会因为眼前的荣誉而产生的一种心理满足，会因为某种动机而产生的一种暂时或长时间的效果，会因为个人的自信心而产生的一种追求，更会因为社会的认同感、自我的价值感、自豪感、归属感等实现个人的尊重需求和自我需求。个人在不同阶段都会有一种需求占据主导地位，当个人随着年龄、阅历的增长，个人低层次的需求很容易得到满足时，就会向高层次的需求迈进，高层次的需求渐渐地成为个人追求的目标。个人尊重自己，也希望得到他人甚至社会的尊重，个人所拥有的知识和技能在潜移默化之中就希望实现价值，尊重需求、自我实现需求属于个人高一层级的需求，因为人人都希望自己事业有成、梦想成真，个人的能力和成就能够得到社会的认可和他人的肯定。当个人有了事业、有了成就，内心中就会产生自信心，精神上也会觉得自己因为成就得到他人或者社会的尊重和肯定。加之事业、成就实现了自我的价值，即便自身某一方面不足，但因为受到虚荣心的影响，个人在心理上、情感上、身体上均会得到尊重需求和自我需求的满足，就会更加感受到自己在社会中存在的价值以及生命的意义。

个人的尊重需求和自我实现需求要得到满足，必须加入到社会及组织中，每个人在人生的道路上得到尊重、自我实现的形式也是不一样的，有可能是自主创业为社会带来价值，有可能是加入到一个组织中证明自己在组织中存在的价值，有可能是当一名无名英雄实现自己人生的意义，不论如何每一个阶段个人所考虑的问题也是完全不同的，个人千差万别的技能和特性可以预测到某一特定行为可能会导致特定的一种结果，这种特定的行为可能被激活，也可能被选择。个体对自己是否有能力完成某一行为所进行的推测与判断就是自我效能感 (Self-efficacy)，而自我效能感在运用于职业决策阶段就会产生职业决策自我效能感 (Career Decision-making Self-efficacy)。

所谓职业决策自我效能感是指人自身对完成某项职业决策活动能力的自信心，是决策者在进行职业决策过程中对自己能够完成各项任务所必须的能力的一种自我评估或拥有的自信心。这一概念是不同个体在职业决策时对自我效能的期待，一般会受到性别、年龄、家庭状

况、已有经验、社会适应、专业、职业指导、自信心、自尊心、归因方式、薪酬福利等因素的影响。在职业决策自我效能感的影响因素中，很多因素不仅仅浮于表面现象，会出自个人内心的整个过程，很多因素在经历个人心理活动之后甚至和个人心理活动交织在一起时会直接影响到职业决策自我效能感，比如当个人将自己所处的组织与他人所处的组织对比后，或将他人的工作贡献与回报与自己所付出的努力与回报对比之后，若对比情况不如自己，个人的内心就会感到欣慰和自豪，心情好对待工作就会产生积极性，甚至增强创新性；当对比情况超越自己，个人内心就会对工作及现状产生消极和负面的态度，甚至产生离职的心理。往往比上不足、比下有余会成为个人精神层面的一种安慰，但无论个人在职业决策或工作中，虚荣心的波动会直接影响着职业决策自我效能感。

基于职业决策自我效能感的影响因素，从管理学延伸到了心理学，心理学是在思维科学、自然科学和社会科学交叉点上形成的一门具有综合性交叉的学科，涉及知觉、情绪、人格、行为、人际关系、社会关系等多个领域，与各门学科息息相关。个人在职业决策中会通过大脑运作所产生各种不同的结果，从认识、产生、表现到发展整个的过程中，个人会因为各种外在与内在因素产生心理波动，在这些心理波动中虚荣心最为突出，因为只有虚荣心才能让人改变自己，甚至瞬间让人情绪崩塌或情绪高涨。

随着个人在组织中的发展，个人的自我意识逐步分化为主观的自我意识和客观的自我意识，即自己观察自己的一面，又作为被观察者的一面。无论处于观察者还是处于被观察者，自我意识都会通过理想中的自我、不断观察别人眼中的自我、分析现实中的自我来实现真正的自我。自我意识在不断观察、分析、改变的过程中所产生的虚荣心会越来越强，尤其个人在职业决策中会特别关注自我外表形象及自我的成就，也会越来越在意他人眼中自己所在组织的外表形象及组织成就，关注的结果会直接影响到个人在组织中稳定和发展，也就是说个人会通过对自我外表、成就的关注，以及对所在组织外表、成就的关注，形成自我认识、自我评价，加之其他因素，就能够促使个人在不同阶段、不同领域、不同环境、不同组织中不断的发挥潜能，不断的完善自我，不断的创造价值，最终实现尊重需求和自我需求，甚至为所在领域或组织带来经济效益和社会效应。

内容

1. 研究目的

个人的外表关注 (Appearance-concern)、外表形象 (Appearance-image)、成就关注 (Achievement-cocus)、成就形象 (Achievement-image) 是虚荣心的四个维度。从虚荣心的四个维度出发，在深入探讨中发现，很多员工在组织中能否留得住、能否发挥潜能为企业不断创造效益、能否实现尊重需求和自我需求，并能够将个人与组织共同发展，除了受到自我效能感以及决定职业决策自我效能感的影响因素外，还会受到虚荣心四个维度的直接影响作用，员工会因为自己及组织的外表关注、外表形象、成就关注、成就形象来决定自己在组织工作中的表现及发展。尤其个人在职业决策过程中，会随着个人在社会中的处境、地位等方面介入个人情感领域，产生一种心理的波动，自己的外表、声誉、威望、成就、自身价值，以及组织对外的形象、组织取得的成就、组织在同行业中的地位等，会直接影响到个人的职业决策，工作态度及工作效率也会随着虚荣心的四个维度而改变，即在组织中会产生对待工作消极的一面或积极的一面。

本文的研究目的在于通过探讨外表关注、外表形象、成就关注、成就形象四个虚荣心的维度如何影响个人职业决策自我效能感，对不同组织中人力资源管理提供参考依据。具体

而言，基于自我效能感与职业决策自我效能感的理论基础，本文提出了虚荣心的四个维度将直接影响着个人职业决策自我效能感，在现代人力资源管理过程中，不能仅研究问题的表面现象，还应该充分考虑人的心理因素，即使个人在组织中，工作条件、薪酬福利待遇、晋升渠道、发展空间等内部因素受限，但个人也会因为自己及组织的外表关注、外表形象、成就关注、成就形象四个虚荣心的维度产生一种心理波动，通过表面的各种因素与个人整个心理过程的交汇，即便表面不亮丽光鲜也无法对比，但也会让个人对组织产生一种依赖感、成就感、归属感、自豪感，就此愿意留在组织并为组织不断付出、创造效益，个人也会因为虚荣心的四个维度对组织不离不弃。

其次，本文提出了以继承承诺 (Continuance-commitment)、 感情承诺 (Affective-commitment) 为中介变量来解释虚荣心的四个维度（外表关注、外表形象、成就关注、成就形象）对职业决策自我效能感的正向影响作用，个人在组织中体现出的一种实体的情感，会产生一种对组织的肯定性的心理倾向，这种肯定性的心理倾向实质就是虚荣心四个维度所产生的诱因。第三，本文提出了个人心理退缩行为 (Psychological-withdrawal) 对组织工作中个人继承承诺、感情承诺与职业决策自我效能感之间产生负向调节作用。在某一个阶段，个人会因为很多外部或自身的原因而对自己所处的环境或组织产生两种情绪或态度，会产生游离不定的心理状态，既恨又爱，既想亲近又想回避，若果断选择离开现有组织会对自己已得到的尊重需求和自我价值需求不好取舍，在反复考虑之后，因个人继承承诺、感情承诺产生的正向影响作用，最终会选择暂不离开组织，但消极的工作态度或负面情绪会直接影响个人对职业决策自我效能感。由此，本文构建了双向调节的中介模型（如图 1 所示），系统地研究分析了虚荣心对职业决策自我效能感的影响。

2. 研究意义

本文的理论贡献和实践意义在于：第一，以往对职业决策自我效能感的研究主要基于职业决策自我效能感在性别、年龄、家庭状况、已有经验、社会适应、专业、职业指导、人格、归因方式等方面的研究，本文进一步拓展了职业决策自我效能感影响因素的研究范畴，职业决策自我效能感不单单是个人在完成某项任务时会受到的性别、年龄、家庭状况、已有经验、社会适应、专业、职业指导、自信心、自尊心、归因方式、薪酬福利等因素的影响，也不单单是一种自我自信心的评估或对自我效能的期待，还会受到虚荣心四个维度（外表关注、外表形象、成就关注、成就形象）的直接影响；第二，丰富了职业决策自我效能感的影响因素，在深入研究虚荣心四个维度的影响因素外，探讨出继承承诺、感情承诺为中介变量来解释虚荣心的四个维度对职业决策自我效能感的正向影响中介作用，以及探讨出个人心理退缩行为对组织工作中个人继承承诺、感情承诺与职业决策自我效能感之间的负向调节作用；第三，就现实意义而言，任何组织的发展离不开人才，如何解决人的问题是企业发展的核心要素，招得来、留得住并能为组织创造效益、成为组织的核心竞争优势是企业长久发展的关键，如何做得到人尽其才、物尽其用，是每一个组织人力资源管理的核心。本文将通过深入的剖析虚荣心四个维度（外表关注、外表形象、成就关注、成就形象）对职业决策自我效能感的影响，以及探讨出继承承诺、感情承诺以及心理退缩行为对虚荣心四个维度的中介及调节作用，为组织人力资源管理提供了参考依据，也为组织的发展提供了参考依据。

3. 文献综述

3.1 组织工作中个人虚荣心的四个维度对职业决策自我效能感的影响

当个人随着年龄、阅历的增长，个人低层次的需求很容易得到满足时，就会向高层次的需求迈进，高层次的需求渐渐地成为个人追求的目标。个人的生理需求、安全需求、

感情需求属于个人低一级的需求，而尊重需求、自我实现需求属于个人高一级的需求，但无论是哪一层级的需求，都会受到虚荣心的直接影响。当个人的生理需求没有得到满足时，会与他人对比迫切希望像他人一样得到满足，但当个人生理需求已经得到满足时，又会与更好的对比，美食、环境等他人所拥有的美好事务自己也希望拥有；当个人感情需求没有得到满足时，会羡慕他人希望自己能够得一知己、拥有爱情，但当个人已经收获了爱情满足了感情需求时，又会有更高地期待，即便感情落败也不愿在他人面前输了面子；当个人进入了社会、进入了组织，个人就会希望在组织中得到领导的肯定、同事的尊重、自我价值的实现，但当个人尊重需求及自我价值需求得到满足时，又会与外界、与他人对比，若经过对比不如自己，个人便会感到欣慰和自豪，若经过对比超越自己，则内心失落、产生游离不定的心理，《围城》一书中所说的“城里的人想逃出去，城外的人想挤进来”正是虚荣心在人与人之间的一种常态。社会、组织是个人尊重需求和自我价值需求得到体现的一个平台，个人的尊重需求和自我价值需求不单单是个人自己方面的需求，更多的是通过社会、通过组织得到他人的尊重和肯定，得到组织和社会的认可，实现梦想、事业有成，甚至是借机去不断完善自我，实现真正的自我。

外表关注、外表形象、成就关注、成就形象是虚荣心的四个维度，个人在职业决策及工作过程中，会将个人的情感掺杂其中，会将个人的心理波动情况直接反应出来，甚至个人情感的波动会瞬间影响到个人在职业决策及工作的过程，个人的情感和心理波动会给工作带来消极或积极的一面，会直接影响着个人在组织中的态度。

外表关注是个人对自己的外表关注，以及个人看待他人对自己或自己所在组织的外表关注。当个人站在镜子前面或身处在不同地环境下感受到自己被别人注视的时候，便会不自觉地注意着自己的言行举止及外表形象，关注度越高越能让人产生强烈的心理反应。当个人进入组织后，组织所处的地理位置、周边环境、建筑风格、办公室设计及布局、竞争优势等因素在他人眼中形成独特的优势后，这种独特的优势会让个人对身处的组织产生自豪感、满足感。

外表形象是个人对自我外表或容貌的一种需求，相比于其他物种，人类对自身的外表变化显得格外的敏感和在意，个人的外表形象不仅仅体现于衣食住行方面，还体现于个人在社会活动以及社会交流过程中的自我认同感及自我认知感。当个人进入组织后，组织的文化、组织的精神、组织的价值观念、组织的行为规范、组织的经济效益、组织的人才实力、组织的薪酬福利等等所形成的组织形象除了能够吸引更多地优秀人才以外，好的组织形象还会在社会上引起关注，能够得到更多的社会资源和政策支持，好的组织形象还能让组织中的员工产生自豪感、满足感。

成就关注是个人实现自我的一种成就感的关注，以及个人看待他人对自己所处组织的成就感的关注。个人的自我价值感取决于个人的成就感，个人成就越高就越能体现出自我的价值，内心中的尊重需求就越来越得到满足，尊重需求和自我实现需求的高低会直接影响到个人在组织中的发展，以及对待工作的积极性、主动性、创造性。个人的成就与组织的成就是息息相关的，优秀的人才能够为组织带来创新发展，也能够为组织带来各种效益。如何发挥好个人在组织中的作用，是人力资源管理的核心问题。一个组织在同行业中拥有核心竞争力或占据领先地位，甚至备受社会公众的关注，离不开个人在组织中的奉献和贡献，当组织的成就备受关注时，也意味着个人的成就备受关注，那么在组织中的员工会因此实现个人的尊重需求和自我实现需求。

成就形象是个人的期望值达到后，会根据自我认知和自我期望认为自己与他人相比已经取得了一定的成功，这种成功的心理状态会增强个人的自信心。当个人进入组织后，

组织形象在外界中有一定的知名度，组织能够得到政府支持、社会关注、公众信赖，即使个人在组织中工作平淡、晋升条件受限、薪酬福利待遇一般等，个人也会因为组织的成就形象产生心理成就感、满足感、自豪感。

虚荣心的四个维度（外表关注、外表形象、成就关注、成就形象）让组织中的员工在职业决策以及工作过程中直接或间接的产生了心理活动，往往决定了个人在组织中能否留得住、能否努力工作、激发情感和影响个人行为的工作动机 (Bandalos, 2002)。工作动机是个人在工作中动力系统的重要组成部分，是影响个人工作情境中行为激发、导向及持久的一种状态。很多学者对工作动机产生的原因做了大量的研究，在研究中提出了诱因理论 (Incentive-theory)。所谓诱因理论是指外部刺激会引起动机的重要作用，认为诱因能够唤起行为并指导行为。组织是个人的载体，是个人实现尊重需求和自我价值需求的舞台，个人能够实现自我价值也并非一朝一夕的事情，需要借助组织的平台加入个人的努力，汇聚集体的力量才能实现组织与个人的共同发展，组织的外表形象、成就形象会牵动着个人的外表关注及成就关注。

从个人的心理出发，组织与个人在任何情况下会出现一荣俱荣、一损俱损的连带现象，当外界对个人所在组织的外表、成就持续关注并不断赞扬时，个人也会因为组织的成就感而产生自我的自豪感。在一定的层面上，组织给个人带来的不仅仅是劳动报酬，更是一种自豪感、成就感、满足感延伸到依附感、归属感，也就是所谓的尊重需求和自我实现需求。在某一时期，个人可能会因为家庭、生活等自身的原因对自我职业生涯规划发生改变，或因为外界的诱惑力很大，发现薪酬福利待遇、晋升条件、工作环境等不能够满足自我更高的要求，甚至因为人际关系自我感受到不能得到他人的尊重时，就会对所在组织产生厌倦的思想，会对组织产生游离不定的心理状态，很多优秀人才也因此而流失。

但是，无论任何时候个人在选择留与去，个人对待工作的积极性与消极性的态度，就会产生一种心理的波动，通过分析外部环境因素，并与现状进行对比，再决定自己的行为时，虚荣心的四个维度（外表关注、外表形象、成就关注、成就形象）会成为了个人决策的关键因素，尤其将自己所在的组织与同行业或不同行业的组织进行对比后，若发现自己身处的组织无论外部环境或者是内部文化都占有独特优势，甚至在社会、公众中口碑较好，此时个人会产生比上不足比下有余的心理状态，个人会因为组织和个人的外表关注、外表形象和成就关注、成就形象直接影响到对组织的看法；若情况相反，即便组织提供优厚的待遇，个人也会因此放弃组织。虚荣心的四个维度（外表关注、外表形象、成就关注、成就形象）对职业决策自我效能感产生了直接影响，个人的决策与虚荣心的四个维度相互依赖、相互依存、相互影响。因此，本文提出如下假设：

H1：个人虚荣心的四个维度（外表关注、外表形象、成就关注、成就形象）直接影响职业决策自我效能感。

3.2 继承承诺的中介作用

随着个人实践能力的增强、个人阅历的丰富，个人对自身所拥有的技能去完成某项工作行为的自信程度就会越来越强，很多人通过多年的努力已经熟悉了自己的工作角色和履行的职责，甚至在现所处的组织中已经能够得到尊重及实现自我价值，对待个人所负责的工作已经得心应手，但在受到外部环境、外部条件等因素的诱导下，个人会心志动摇，对组织产生游离不定的心理，对待工作的积极性及对待工作的热情、激情会随之降低，会产生现状不能满足自我更高需求的情况，外部的吸引力影响到了个人的工作动机，组织也会因此而人才流失。人才的流失必将会对组织带来直接和间接的损失，直接的损失是造成人工成本的增加，组织需要一段时间重新招聘、培训人员，甚至需要重新投入大量的人力成本引进新的人才；间接

的损失往往更大，可能引起组织工作进度的拖延，甚至造成组织的瘫痪。因此，组织中人力资源管理的难度就在于即招得来、留得住，又能为组织创造效益。

面对个人多年的付出，对所在组织投入的时间、精力等，个人会考虑如果选择一份新工作重新开始，可能会付出更多的代价，甚至不得不重新开始学习，不得不重新建立新的人际关系，此时个人心理上会产生即想享受现有劳动果实，又期待更高的个人需求的双重矛盾。个人建立在经济原则的基础上，产生了浓厚交易色彩的承诺——继承承诺。所谓继承承诺，又称为持续承诺，是指个人为了不失去已有的位置和多年的投入所换来的福利待遇而不得不继续留在该组织内的一种承诺。

个人在受到外部环境、外部条件等因素的诱导下，会将外部条件与现状进行分析对比，虚荣心的四个维度（外表关注、外表形象、成就关注、成就形象）会不断的产生心理矛盾，即便组织的外表、成就不足以在同行业中占据优势，但是个人从心理上会考虑如果选择离开已经奋斗过的组织重新开始，可能会出现更多问题和挑战，甚至自己在所处的组织中通过多年的奋斗已经拥有的一定的地位，满足了尊重的需求，专业知识、技能都已经完全能够胜任工作，如果重新开始无法在短时间内做到得心应手，甚至要面对人际关系重来以及工作适应等问题，个人在作出决策时，职业决策自我效能感在受到虚荣心四个维度的影响外，继承承诺在个人职业决策自我效能感之间起正向中介作用。因此，本文提出如下假设：

H2：继承承诺在个人虚荣心的四个维度（外表关注、外表形象、成就关注、成就形象）与职业决策自我效能感之间起正向中介作用。

3.3 感情承诺的中介作用

个人在进入组织后，经过了人际关系的磨合，经过了对工作的适应，渐渐的，个人就会产生一种心理上的情感，对待组织也会产生一种依赖感、认同感、归属感，个人对组织产生的情感也就是所谓的感情承诺。感情承诺是指组织中的个人被卷入组织、参与组织社会交往的承诺，是个体对一个实体的情感，是一种肯定性的心理倾向。感情承诺源于组织承诺，感情承诺会随着时间的推移而产生，感情因素在组织工作中占据很高的比重，员工的奉献意愿和具体的付出会受到感情因素的影响，个人的感情承诺能够对工作行为产生直接影响，也会对个人绩效与组织的发展产生直接影响 (Sousa et al., 2020; Kampktter et al., 2021)。

个人在受到外部环境、外部条件等因素的诱导下，虽然会将外部条件与现状进行分析对比，但个人在组织中工作时间较长后，会因为人际关系和工作以及工作环境的适应度产生一种莫名的感情，个人会因为虚荣心的四个维度（外表关注、外表形象、成就关注、成就形象）不断地产生心理矛盾，假如组织的外表、成就不足以在同行业中占据优势，工作与个人生活之间又产生了巨大的冲突，组织不能给个人带来更多的希望时，个人对组织的感情承诺就会产生负面的影响。反之，即便组织的外表、成就不足以在同行业中占据优势，但虚荣心的四个维度能够给个人带来希望以及精神上的寄托时，个人对组织的感情承诺会更加产生一种依附，也就是常说的感情留人。在任何情况下，这种发自内心的感情会影响着个人的行为 (Nauman et al., 2021)。个人在作出决策时，职业决策自我效能感在受到虚荣心四个维度的影响外，感情承诺在个人职业决策自我效能感之间起正向中介作用 Chughhhtai, 2020。因此，本文提出如下假设：

H3：感情承诺在个人虚荣心的四个维度（外表关注、外表形象、成就关注、成就形象）与职业决策自我效能感之间起正向中介作用。

3.4 心理退缩行为的调节作用

个人在职业决策中，会受到虚荣心的四个维度（外表关注、外表形象、成就关注、成就形象）的影响，也会受到继承承诺与感情承诺对职业决策自我效能感产生中介作用，但是当家庭、生活等因素严重影响到自我的需求时，甚至工作压力大、人际关系复杂无法让人感受到尊重时，个人就会产生一种纠结、矛盾的心理，想要逃避、想要退出，即心理退缩行为。所谓心理退缩行为是一种心理表现行为，又称矛盾心理，是指在某一个阶段，个人会因为很多外部或自身的原因而对自己所处的环境产生两种情绪或态度，会产生游离不定的心理状态，既恨又爱，既想亲近又想回避，甚至逃避和回避在心理的占比更大（刘朝 et al., 2013; 杨亚中 et al., 2014）。心理退缩行为是个人在组织中实施各种有意躲避工作的情境或对工作任务产生消极的行为，但是又不愿意或内心不敢轻易离开组织，对工作既恨又爱，时而喜爱、时而厌恶，留与去无法兼顾利弊而产生举棋不定的心理反应，这种心理反应会给组织带来一定的负面影响或间接的损害。

当个人在工作一段时间以后，熟悉了组织内的人际关系，也适应了工作方方面面，甚至对待现有工作已经能够得心应手，但外界的诱惑时而发生，时而增强，甚至因为自身的家庭、生活负担也无法满足个人的自我价值需求，甚至因为工作中的人际关系无法时个人的尊重需求得到满足，此时个人便产生了心理退缩行为后，面对所从事的工作会有负面心理，对待工作的积极性会逐步下降，甚至直接影响到工作的进度，在从事每件工作时会产生负面情绪，抱怨多、付出少。在此阶段期间，个人内心中就开始产生了纠结，会对是否离开组织产生游离不定的心理波动，但是每个人内心都有一种潜在的危机意识和双向选择的纠结感，无论处人还是处事，个人会在潜意识下自问“我可以吗？我行吗？”。当个人在做选择时，并不是所有人都能很快或者很果断的作出决定，而大多数人会在纠结、对比、反复纠结、反复对比之后选择暂不改变现有情况。心理退缩行为本身会带来个人对工作回避和不满意的一系列行为，在不影响自身工作角色的情况下，逐渐减少其在某些工作任务上的投入，情绪不断的波动刺激着个人对职业的自我决策，但对于大多数人来说，在考虑到换工作比较困难甚至重新开始更加具有挑战性，人际关系、工作及工作环境的适应等问题，离职并不是一个好的选择时，个人会通过分析对比来换取心理的平衡。

个人在受到外部环境、外部条件等因素的诱导下，尤其当个人在所处组织中尊重需求及自我需求不能得到满足时，变会对组织产生不满的情绪，对待工作的积极性也会逐渐下降，此时虽然继承承诺在个人职业决策自我效能感之间起中介作用，个人会因为不想失去已有的成就和多年的投入所换来的福利待遇和尊重而继续留在组织中，但对待工作的状态会急速下降，甚至带着负面的情绪对待工作，消极的情绪会让人发牢骚、工作进度下降，甚至寻找各种理由逃避工作或借助外出办公或身体不适逃离工作岗位。个人在经过纠结、对比、反复纠结、反复对比之后，心理退缩行为直接影响着个人的职业决策和工作态度，个人会在潜意识下产生一种安于现状的心态，只要工作不出差错，混一天也是混，混一年也是混，故此，心理退缩行为会对继承承诺起负向调节作用，心理退缩行为对继承承诺产生了负向影响，即员工的心理退缩行为越强，继承承诺与职业决策自我效能感的关系就会越弱。同样如此，虽然感情承诺在个人职业决策自我效能感之间起中介作用，个人会因为对组织的感情不愿意失去已有的成就和多年的投入换来的人际关系和福利待遇而继续留在组织中，即便如此，对待工作会出现负面情绪或消极心理时，即使个人经过纠结、对比、反复纠结、反复对比之后，发现还是不能轻易离开组织，但今时不同往日，个人的投入付出已渐渐不如从前。故此，心理退缩行为会对感情承诺起负向调节作用，心理退缩行为对感情承诺产生了负向影响，即员工的心理退缩行为越强，感情承诺与职业决策自我效能感的关系就会越弱。

因此，本文提出了如下假设：

H4a：心理退缩行为对继承承诺在个人虚荣心的四个维度（外表关注、外表形象、成就关注、成就形象）与职业决策自我效能感之间起负向影响作用。

H4b：心理退缩行为对感情承诺在个人虚荣心的四个维度（外表关注、外表形象、成就关注、成就形象）与职业决策自我效能感之间起负向影响作用。

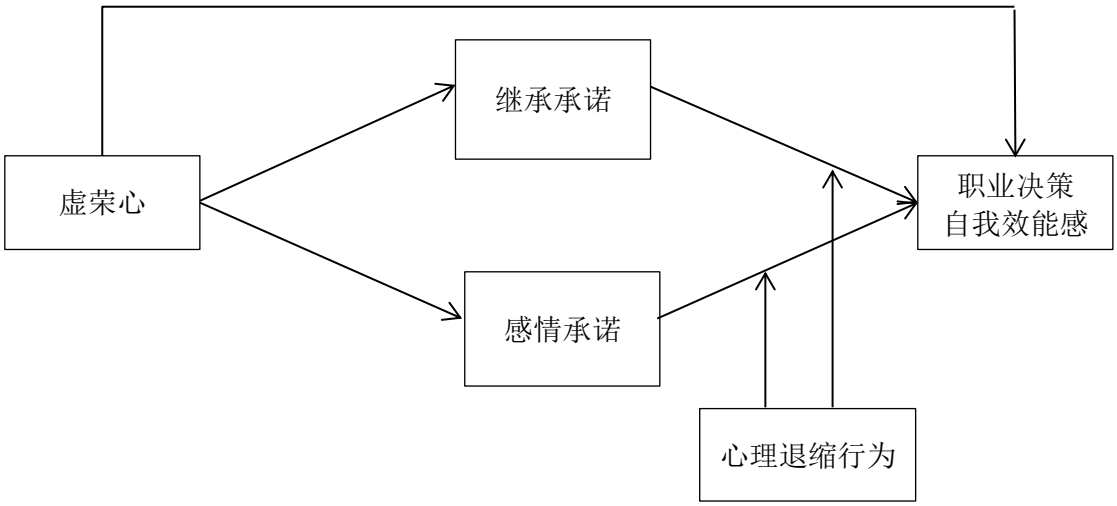

图1: 理论模型

来源: 本文绘制

结论

综上所述，员工在组织管理中的稳定与发展会受到职业决策自我效能感的影响，会受到虚荣心的直接影响。从个人的心理出发，组织与个人在任何情况下会出现一荣俱荣、一损俱损的连带现象，当外界对个人所在组织的外表、成就持续关注并不断赞扬时，个人也会因为组织的成就感而产生自我的自豪感。在一定的层面上，组织给个人带来的不仅仅是劳动报酬，更是一种自豪感、成就感、满足感延伸到依附感、归属感，也就是所谓个人追求的尊重需求和自我实现需求。

同时，继承承诺、感情承诺、心理退缩行会在个人虚荣心的四个维度（外表关注、外表形象、成就关注、成就形象）与职业决策自我效能感之间起到中介作用及调节作用，个人在受到外部环境、外部条件等因素的诱导下，个人会因为自己在组织中多年的付出所换取的尊重需求和自我需求不会轻易离开组织，个人也会因为多年对组织产生的感情不愿轻易离开组织，即继承承诺及感情承诺在个人虚荣心的四个维度（外表关注、外表形象、成就关注、成就形象）与职业决策自我效能感之间起正向中介作用。但是心理退缩行为的出现会负向调节继承承诺及感情承诺对职业决策自我效能感的影响作用，而且心理退缩行为越强，继承承诺及感情承诺与职业决策自我效能感的关系就会越弱，即便个人对组织已经产生了继承承诺和感情承诺，也会因为心理退缩行为的出现严重影响个人在组织中的发展，也会因为个人对工作的消极及负面情绪影响组织的团结与发展。

因此，在现代人力资源管理过程中，深层次的研究人的问题至关重要，在研究过程中不能仅研究问题的表面现象，还应该充分考虑人的心理问题，人的心理问题会直接影响到个人的职业决策及在工作中的状态。组织人力资源管理并非易事，要发挥好组织中的人力资源作用

也并非易事，本文通过对虚荣心四个维度（外表关注、外表形象、成就关注、成就形象）对职业决策自我效能感的研究，以及将继承承诺、感情承诺、心理退缩行为作为中介变量及调节变量，探讨出了继承承诺、感情承诺以及心理退缩行为对虚荣心四个维度（外表关注、外表形象、成就关注、成就形象）的中介及调节作用，为组织人力资源管理提供参考依据。

1. 研究对策

在现代人力资源管理过程中，研究人力资源管理的表面现象不能完全解决人力资源的核心问题，组织要发展，离不开人力资源的保障作用，招得来、留得住是基本问题，招得来、留得住、又能为组织创造经济效益和社会效应才是关键问题。很多组织在研究人力资源问题时，考虑的多数是薪酬福利待遇、工作环境等因素，其实还应该充分考虑人的心理问题，人的心理问题会直接影响到个人的职业决策及在工作中的状态。一个组织为了解决人的问题单一的采用提高薪酬福利待遇、改变办公条件等方式，不足以解决深层次的问题，甚至会影响到组织的长远发展，因为社会在进步，不同行业的薪酬福利待遇也在拉开差距，甚至组织的发展靠的是创新和核心竞争技术，人力资本的投资不能占据组织投资的大部分或者是全部，否则就会制约的着组织的发展。因此所谓组织的核心竞争力、所谓感情留人实质上就是在人力资源管理过程中充分的考虑了人的心理因素，组织要通过多种方式考虑员工个人心理因素，这样才能解决人力资源的问题。

2. 创新组织文化，塑造良好组织形象。

组织文化是助推组织的核心竞争力，对组织而言，好的组织文化能够正面影响到组织中员工的凝聚力，有利于吸引更多的优秀人才，不断提升组织的竞争优势（蔺海沣 et al., 2021）。组织自身文化的影响力越大，不仅能够提高组织在社会中的品牌效益，还能让员工之间自然而然的产生一种凝聚力，互助团结可以促进组织的发展，能够对组织的经营效率和业绩产生直接的影响作用。一个好的组织文化被员工所认可、接受后，即便外界有更多的影响因素或者在自我重新选择职业时，组织文化影响力会让员工产生一种特别的情感，个人对组织产生的依附感、自豪感、满足感和归属感就会增强个人内心中虚荣心（外表关注、外表形象、成就关注、成就形象）、感情承诺和继承承诺，个人在职业决策和工作过程中，会因为组织文化自发的融入到组织的生存与发展中，提高工作的主动性和积极性，甚至以饱满的激情和创新思维投入到工作中，为组织创造更大、更多的效益。

同时，创新组织文化，抛开传统的、阻碍自身发展的管理模式，运用科学合理的方式构建组织文化，把自身的优势和特点转变成组织的再生资源，即可以塑造良好的组织形象，又可以使员工对组织产生更多的认同感、责任感，增加继承承诺和感情承诺的中介作用，通过组织文化的导向，让员工感受到自己在组织中存在的价值，同时满足了自我的尊重需求和自我实现需求。当员工深切的感受到自身在组织中存在的价值和意义时，便会更加努力的奉献和付出，人力资本推动着、影响着组织的发展，组织也会为社会经济带来更大的、更多的效益。

3. 完善组织内部管理体系，增强员工公平感、使命感、成就感。

从组织的管理角度出发，内部治理体系尤其重要（魏丹霞 et al., 2021）。员工的公平感、使命感、成就感直接影响着员工的心理退缩行为，尤其个人的心理退缩行为多数源于内部和外部的不公平性，员工的心理退缩行为若无法得到消除或减弱，直接影响到员工对日常工作的态度，甚至直接影响到组织的长久发展。公平感要给员工创造一个公平的工作环境和发展环境，薪酬福利待遇、绩效管理、晋升渠道、工作氛围、荣誉奖励等要作出最大限度的公平公正，以此提高员工的主人翁意识，增强员工对组织的奉献精神。

使命感是员工与组织荣誉与共的愿景，组织要充分发挥个人的积极性和创造性，将个人与组织绑定在一起，形成一种无形的战斗力，员工有了前进的目标才能不断增强凝聚力推动组织发展张伶和聂婷 (2013)。

成就感是员工自我实现的心理需求，挑战性的工作会给员工带来成就感，丰富的工作内容也会让员工实现自我满足，组织要让员工在工作中有足够的自信心，创造荣誉带来成就感，个人得到了发展，组织也才能不断得到发展。

公平感、使命感、成就感均出自于个人的内心过程，因此，理顺和完善组织的内部管理体系尤其重要，一个健全和完善的组织内部管理体系不仅能为组织实现战略目标提供保障作用，还能让组织中的员工更好的在组织中发挥作用，实现员工自我的价值的同时，也能为组织创造更大的效益。另外，组织通过增强员工的公平感、使命感、成就感，不仅能让组织实现员工招得来、留得住并且能发挥好的作用，还能让组织在同行业中占据人力资源的核心竞争力。

4. 加强跨文化研究，为组织人力资源管理提供决策依据。

目前，国内的很多研究将虚荣心作为自尊心扭曲后的一种心理状态，而国外学者对虚荣心的理论和实证研究大多数是基于人类一种正常的心态，虚荣心也并非贬义词，属于个人在不同环境、不同组织下会产生的一种正常心态。由于文化的不同，虚荣心四个维度（外表关注、外表形象、成就关注、成就形象）的影响因素、影响效果以及继承承诺、感情承诺、心理退缩行为的影响作用，可能会对解读者存在差异。在现代人力资源的管理过程中，不能单单研究人力资源配置、招聘、培训、使用、考核、激励等因素，要调度好员工的积极性，发挥好员工的潜能及创新意识，研究人深层次的影响因素至关重要，人的心理反应会直接影响着个人在职业中的行为与决策。因此，加强跨文化的研究，从心理学的角度出发，以职业自我决策效能感的理论为基础，探讨虚荣心四个维度（外表关注、外表形象、成就关注、成就形象）、继承承诺、感情承诺、心理退缩行为这些变量在发生过程中的作用，为组织人力资源管理提供决策依据。

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中层管理人员个人知识心理所有权对知识共享的影响：感知信任的调节作用
THE IMPACT OF MIDDLE MANAGERS KNOWLEDGE-BASED PSYCHOLOGICAL OWNERSHIP ON KNOWLEDGE SHARING :THE MODERATING ROLE OF PERCEIVED TRUST

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摘要

在企业活动中，中层管理人员如同“神经”一般，向各躯干传递大脑也就是企业高层的指令，同时也将各部门的运作情况反映给高层，发挥了承上启下的重要作用，是知识在企业中畅通流转的重要渠道。个人知识心理所有权反映了个人对知识的占有感，中层管理人员对知识的占有感将直接影响其对知识这一占有物的态度和相关行为。本文基于心理所有权理论，提出中层管理人员的个人知识心理所有权会阻碍知识在企业中的有效流动，从而对知识共享有负向影响。基于情绪认知评价理论，提出感知上级信任的两个维度存在双刃调节效应。通过对 4 个时间点 339 名中层管理人员的数据发现：(1) 个人知识心理所有权对知识共享具有显著的负向影响；(2) 上级（领导）依赖缓解个人知识心理所有权与知识共享之间的负向关系；(3) 上级（领导）信息透露强化个人知识心理所有权与知识共享之间的负向关系；(4) 下属（员工）依赖加剧个人知识心理所有权与知识共享之间的负向关系；(5) 下属（员工）信息透露弱化个人知识心理所有权与知识共享之间的负向关系。

关键词: 中层管理人员 个人知识心理所有权 知识共享 感知信任

Abstract

In enterprise activities, middle-level managers, like "nerves", transmit the instructions of the brain, that is, the senior management of the enterprise, to each trunk, and also reflect the operation of each department to the senior management, which plays an important role in connecting the preceding and the following. It is an important channel for the smooth flow of knowledge in the enterprise. The psychological ownership of personal knowledge reflects the individual's sense of possession of knowledge. The middle-level managers' sense of possession of knowledge will directly affect their attitude and related behavior towards the possession of knowledge. Based on the theory of psychological ownership, this paper puts forward that the psychological ownership of middle-level managers' personal knowledge will hinder the effective flow of knowledge in enterprises, which has a negative impact on knowledge sharing. Based on the theory of emotional cognitive evaluation, it is proposed that there is a double-edged regulatory effect in the two dimensions of perceived superior trust. Through the data of 339 middle managers at four time points, it is found that: (1) personal

knowledge psychological ownership and knowledge sharing have a significant negative impact; (2) superior (leader) dependence alleviates the negative relationship between personal knowledge psychological ownership and knowledge sharing; (3) superior (leader) information disclosure strengthens the negative relationship between psychological ownership of personal knowledge and knowledge sharing; (4) subordinate (employee) dependence intensifies the negative relationship between psychological ownership of personal knowledge and knowledge sharing; (5) subordinate (employee) dependence weakens the negative relationship between psychological ownership of personal knowledge and knowledge sharing.

Keywords: Middle managers, psychological ownership of personal knowledge, knowledge sharing, perceived trust

引言

知识是企业内的血液，有效的知识共享能促进企业血液的流动和新生，是企业获得持续动力的源泉，而人员是企业内知识的活性载体，如何提高人员知识共享一直备受各界关注。人员知识共享行为能否被有效激发一定程度上取决于人员对知识的看法。个人知识心理所有权作为个人对知识的占有感，将知识看作是自己所有物的一种心理状态，对个人的行为和态度都有影响。以往研究大多从人员对组织的心理所有权的角度出发，来讨论个人对组织心理所有权的影响机制，相对忽略了个人对知识的心理所有权的角度，但知识共享的客体就是知识，因此个人对知识的心理所有权会引发其知识共享态度和行为的变化。因此，近期学者们逐渐将研究目光转向知识心理所有权。具体指个人对所有权目标（知识）在意识上的资产占有感。

心理所有权理论可以为人们控制、隐藏知识提供一个潜在的解释。根据心理所有权理论，个人知识心理所有权的形成，会使个人产生对知识的主人翁感，容易认为知识是个人的心理财产，进而不愿与大家分享。这与知识共享的理论向背离，因此本研究旨在对个人知识心里所有权与知识共享的作用机制进行探讨和验证。与此同时，有研究发现感知信任也会对个体的态度和行为产生影响，提出感知信任不仅具有积极效应，还存在消极效应。近年来，学者们开始探讨感知信任产生的双刃剑效应的原因。鉴于中层管理人员所发挥的承上启下的作用，中层管理人员感知到的信任源于上级和下属。有研究发现上级和下属的信任可能会带来额外的工作负担，进而产生消极的情绪体验。然而这一结论却与 Lau et al. (2014) 和 Zheng et al. (2019) 的研究结果不一致。究其原因，可能时不同个体对同一事件的认知评价不同，因此即便是相同的信任形式，不同个体提对他的感知、认知和评价也会有所不同。情绪认知评价理论指出，个体会对刺激事件进行评价，通过评价结果决定后续的情绪、态度和行为。因此，从情绪认知评价理论的视角来看，中层管理人员感知到的源于上级和下属的信任可能会产生不同的情绪，对个体的态度、行为产生调节作用。

综上所述，本研究引入中层管理人员感知上级信任和感知下属信任作为情境变量，剖析个人知识心理所有权对知识共享的影响，以及情境变量所产生的双刃调节效应。本研究拓展了知识共享的前因变量，也开启了以中层管理人员为对象的研究新视角，对促进中层管理人员知识共享行为具有参价值。

研究目的

个人知识心理所有权反映了个人对知识的占有感，中层管理人员对知识的占有感将直接影响其对知识这一占有物的态度和相关行为，本研究旨在讨论中层管理人员个人知识心理所有

权对知识在企业中流动产生的影响，以及中层管理人员感知到的源于领导和下属的信任对个人知识心理所有权与知识共享关系的影响机制。

文献综述

1. 个人知识心理所有权与知识共享行为

知识共享是指个人从事的设计向他人发送或接收知识的活动，在此过程中，发送方和接收方均享有知识的所有权。积累知识对企业至关重要，知识共享是有助于扩大企业知储配的重要途径。然而，知识共享是一个极为敏感的过程，需要员工的参与。个人知识心理所有权是个体对知识占有感的体现，是具有心理地域性的一种表现，它阻止了知识跨越个人边界的外向流动。与他人共享知识并不意味着失去对知识的所有权，而是增加了发出者和接收者之间个人利益冲突的风险。如果个体感知到有人想要侵犯他们的所有物，个体可能会采取领地保护措施，以证明对其的所有权。当个体对一个物体拥有较强的心理所有权时，个体采取保护领地行为的可能性更大（Li et al., 2015）。此外，员工对失去领地和相关社会身份的恐惧，可能会阻碍相互间地合作和信息共享。因此重视个人知识心理所有权的员工更有可能通过避免与他人共享知识地方式，来保护对知识的心理所有权。基于此，本研究提出以下假设：

假设 1：个人知识心理所有权对知识共享有负向影响。

2. 感知信任（感知依赖、感知信息透露）的调节作用

信任和感觉信任在这段关系中是相关的，但又是不同的。虽然信任反映了基于对另一方的积极期望而变得脆弱的意愿，感觉信任则代表了一个人对另一方信任他的看法。感知信任侧重于从受托人的角度，研究对被信任的看法如何影响员工的行为。由于中层管理人员在企业中所处位置的特殊性，他将感知到源于上级（领导）的信任以及下属（员工）的信任。结合已有研究，感知信任包含两个维度：对个体工作能力认可所产生的依赖；对个体情感期望的信息透露。

上级（领导）通过赋予中层管理人员权利或委派重要任务等行为来依赖中层管理人员（陈欢欢 et al., 2021）。与不被依赖的个体相比，被依赖的中层管理人员更有可能努力工作，以免上级（领导）对他们失望，将强化他们的领地感，以保持自己的特殊性，减少自己的知识扩散。另一方面，上级（领导）的信息披露促进了上级（领导）与中层管理人员之间的情感联系和个人关系的发展（李兰 & 郑兴山，2020）。这些情感或关系纽带可以帮助缓解个体失去领地的恐惧，减少对个人利益冲突的风险评估，帮助他们在共享知识时感到心理安全（冯亚娟 & 邢仲超, 2021）。基于此，本研究提出以下假设：

假设 2a：上级（领导）依赖强化个人知识心理所有权和知识共享之间的负向关系。

假设 2b：上级（领导）信息透露弱化个人知识心理所有权和知识共享之间的负向关系。

下属（员工）通过投入更多事间和精力于采取主动性行为，不惧开展主动性行为可能存在的风险，来表现对中层管理人员的信任（吕鸿江 et al., 2020）。具体表现在工作中遇到困难或问题时，基于对中层管理人员的信任，会对其产生依赖，认为他们不会拒绝为自己提供帮助（马佳铮，2020）。与不被依赖的个体相比，被下属（员工）依赖的中层管理人员更具有责任感，将下属（员工）看作是“圈内人”，弱化了他们的领地感，促进了知识的自由流动。另一方面，下属（员工）对中层管理人员消极信息的反馈，可能会给中层管理人员带来焦虑和压力，将加剧失去领地的恐惧，增大对个人利益冲突的风险评估，加大共享知识时的心理危机感（陈晨 et al., 2020）。基于此，本研究提出以下假设：

假设 3a：下属（员工）依赖弱化了个人知识心理所有权和知识共享的负向关系。
假设 3b：下属（员工）信息透露强化了个人知识心理所有权和知识共享的负向关系。
基于上述理论分析，本研究框架如图 1 所示。

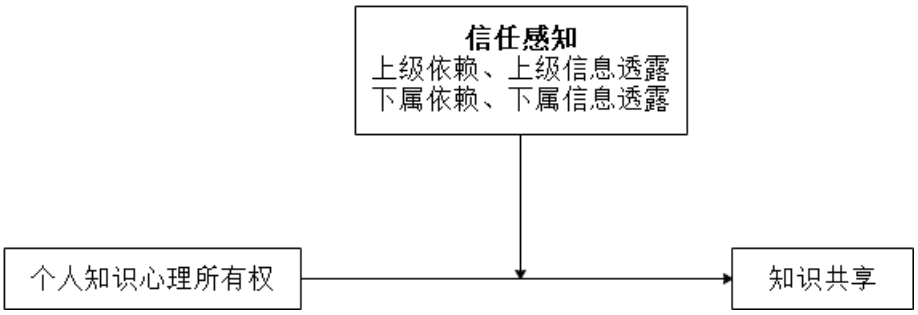

图1：研究框架

研究方法

1. 研究样本与流程

采用方便抽样的方法，对企业中层管理人员进行问卷调查，问卷发放通过网络问卷方式。为了降低潜在的同源方差，本文运用纵向研究设计，分四个阶段进行了数据收集，每次间隔一周。时间点 1 测量中层管理人员的个人知识心理所有权，时间点 2 测量其感知到的上级（领导）信任（包括依赖和信息透露两个维度），时间点 3 测量其感知到的下属（员工）信任（包括依赖和披露两个维度），时间点 4 测量中层管理人员的知识共享。经过配对实际收回完整问卷 405 份，提出无效问卷（有缺失值、答案有明显规律性），最终确认收到有效问卷 339 份，有效率为 83.70%。

在上述有效问卷中，男性 218 人（占 64.31%），女性 121 人（占 35.69%）；其中 30 岁及以下中层管理人员占 22.42%，30 至 40 岁中层管理人员占 59.41%，40 岁以上中层管理人员占 19.17%；受教育程度，专科以下学历占 16.52%，专科学历占 23.30%，本科学历占 39.82%，研究生学历占 20.35%。

2. 变量测量

本文将个人知识心理所有权定义为个人控制知识的心理感觉或状态，并将知识作为属于个人的财产。采用 4 题项量表，如“我觉得有必要保护自己得知识，防止它被其他人窃取”等，由中层管理人员自我评估。该量表在本研究中的信度系数为 0.810。

感知上级（领导）信任是中层管理人员对上级的信任行为的感知，参考 4 题项量表，如“我的直接领导会给我委派重要工作”、“我的直接领导愿意与我分享影响他工作的个人问题”等，由中层管理人员经行自评。该量表在本研究中的信度系数为 0.792。

感知下属（员工）信任是中层管理人员对下属信任行为的感知，参考 5 题项量表，如“我的下属遇到困难时，愿意享我寻求支持和帮助”、“下属在工作中出现错误是愿意告诉我”等，由中层管理人员经行自评。该量表在本研究中的信度系数为 0.857。

本文将知识共享定义为个体在企业内部相互分享知识、技能的意向，参考 8 题项量表，如“在日常工作中，我会主动向同事传授业务知识”等，由中层管理人员自评。该量表在本研究中的信度系数为 0.948。

以往研究指出，人口统计学相关变量会对个人行为造成显著影响，为了排除上述变量对研究的干扰，本研究将个人的性别、年龄、受教育水平作为控制变量。

研究结果

本研究首先检验变量之间的区分效度，对所含变量进行验证性因子分析 (CFA)。以所有变量独立分开为基准构建模型，构建其他竞争模型。结果如表 1 所示，六因子模型的拟合指标明显优于其他模型 (χ^2/df = 1.593，RMSEA = 0.039，CFI = 0.981，NFI = 0.926，GFI = 0.910)，初步证明各变量的构念是不同的，能够被有效区分。表 2 是各变量的均值，标准差以及简单相关系数。如表 2 所示，个人知识心理所有权与知识共享 (r = -0.687, p＜0.01) 之间呈负向关，为本文后续研究提供了基础。

表 1: 验证性因子分析结果

模型	χ^2/df	RMSEA	CFI	NFI	GFI
单因子模型	10.485	0.211	0.425	0.417	0.531
二因子模型	8.274	0.169	0.580	0.568	0.602
三因子模型	6.072	0.132	0.695	0.628	0.750
四因子模型	4.371	0.091	0.839	0.794	0.803
五因子模型	3.301	0.078	0.908	0.873	0.857
六因子模型	1.593	0.039	0.981	0.926	0.910

表 2: 变量描述性统计和相关系数

变量	均值	标准差	1	2	3	4	5	6	7	8
1 .性别	1.356	0.470								
2 .年龄	1.965	0.978	0.06							
3 .受教育水平	2.640	1.283	0.02	0.18						
4 .个人知识心理所有权	4.275	0.839	-0.71	0.05*	0.04**					
5 .上级依赖	3.876	0.642	0.04*	0.01*	-0.03	0.450				
6 .上级透露	3.237	0.793	0.06	0.1	0.04*	-0.278*	0.310			
7 .下属依赖	3.590	0.845	0.05	-0.08*	0.01	0.134**	-0.159*	0.278		
8 .下属透露	3.621	0.807	0.03	0.03	-0.11*	-0.096	-0.579	0.327**	0.019*	
9 .知识共享	4.192	1.257	0.06	0.09	-0.17	-0.687**	-0.152*	-0.268**	-0.643*	-0.081*

注：N = 339，**p＜0.01，*p＜0.05

1. 主效应检验

模型 2 在仅包含控制变量（性别、年龄、受教育水平）和结果变量（知识共享）的模型 1 的基础上，加入了自变量（个人知识心理所有权），模型的解释力增加了 12.1%，如表 3 所示。模型 2 显示中层管理人员的个人知识心理所有权与其知识共享显著负相关 (β = -0.167，p＜0.01)，假设 1 得到支持。

表 3: 层级线性回归分析结果

变量	模型 1	模型 2	模型 3
控制变量			
性别	0.031*	0.028	0.022
年龄	0.015	0.009	0.007
受教育水平	-0.045**	-0.043**	-0.039*
自变量			
个人知识心理所有权		-0.167**	-0.156**
调节变量			
上级依赖			-0.043*
上级透露			0.029*
下属依赖			0.017**
下属透露			-0.021*
交互项			
个人知识心理所有权*上级依赖			-0.150**
个人知识心理所有权*上级信息透露			0.093**
个人知识心理所有权*下属依赖			0.127**
个人知识心理所有权*下属信息透露			-0.071**
$\triangle R^2$	0.121	0.156	0.204
F	4.413	4.756	5.271

2. 调节效应检验

模型 3 在模型 2 的基础上增加了调节变量以及自变量与调节变量的交互项，模型的解释力增加了 20.4%。模型 3 显示个人知识心理所有权和上级依赖构成的交互项显著负向影响影响知识共享行为 ($\beta = -0.150$, $p < 0.01$)，强化了个人知识心理所有权对知识共享的负向影响。为了更直观的说明调节作用，本研究参照 Aiken 和 West 的方法绘制交互效应图。从图 2 可以看出，与上级依赖较低的中层管理人员相比，当中层管理人员的上级依赖处于较高水平时，其个人知识心理所有权与知识共享之间的负向关系变强，假设 2 得到支持。

个人知识心理所有权和上级信息透露构成的交互项显著正向影响影响知识共享行为 ($\beta = 0.093$, $p < 0.01$)，弱化了个人知识心理所有权对知识共享的负向影响。从图 3 可以看出，与上级信息透露较低的中层管理人员相比，当中层管理人员的上级信息透露处于较高水平时，其个人知识心理所有权与知识共享之间的负向关系变弱，假设 3 得到支持。

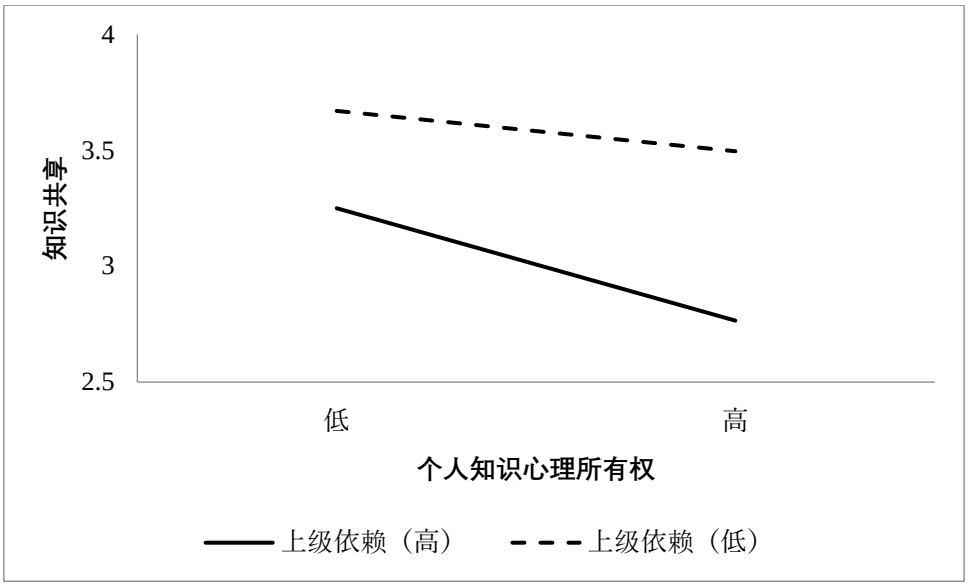

图2: 上级依赖对个人知识心理所有权与知识共享之间关系的调节作用

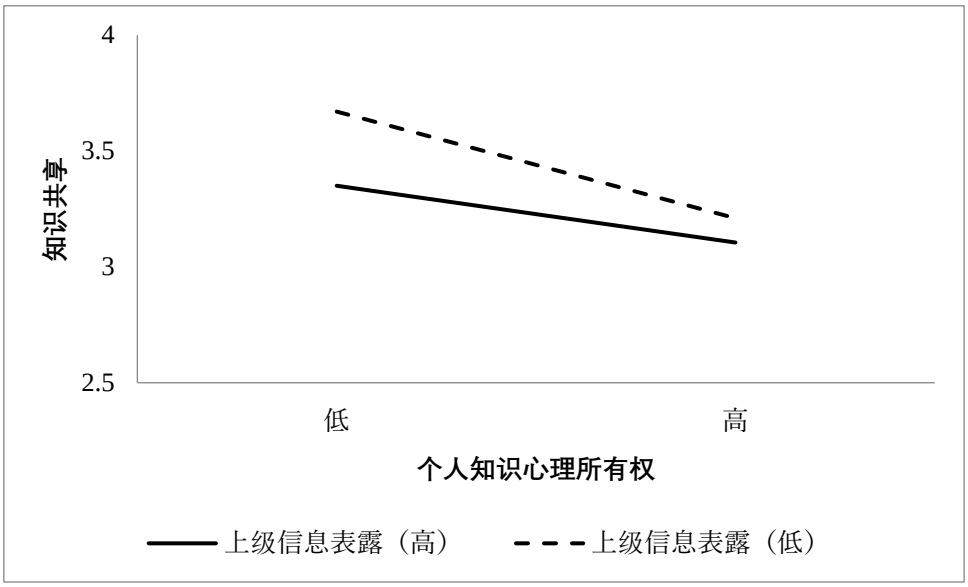

图3: 上级信息透露对个人知识心理所有权与知识共享之间关系的调节作用

个人知识心理所有权和下属依赖构成的交互项显著负向影响影响知识共享行为(β = 0.127，p＜0.01)，弱化了个人知识心理所有权对知识共享的负向影响。从图 4 可以看出，与下属依赖较低的中层管理人员相比，当中层管理人员的下属依赖处于较高水平时，其个人知识心理所有权与知识共享之间的负向关系变弱，假设 4 得到支持。

个人知识心理所有权和下属信息透露构成的交互项显著负向影响影响知识共享行为(β = -0.071, p＜0.01)，强化了个人知识心理所有权对知识共享的负向影响。从图 5 可以看出，与下属信息透露较低的中层管理人员相比，当中层管理人员的下属信息透露处于较高水平时，其个人知识心理所有权与知识共享之间的负向关系变强，假设 5 得到支持。

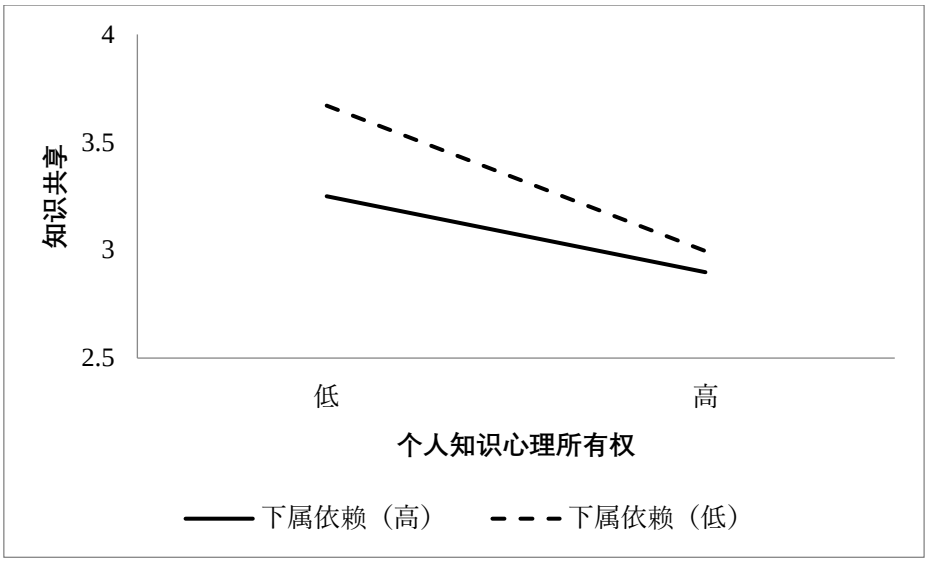

图4: 下属依赖对个人知识心理所有权与知识共享之间关系的调节作用

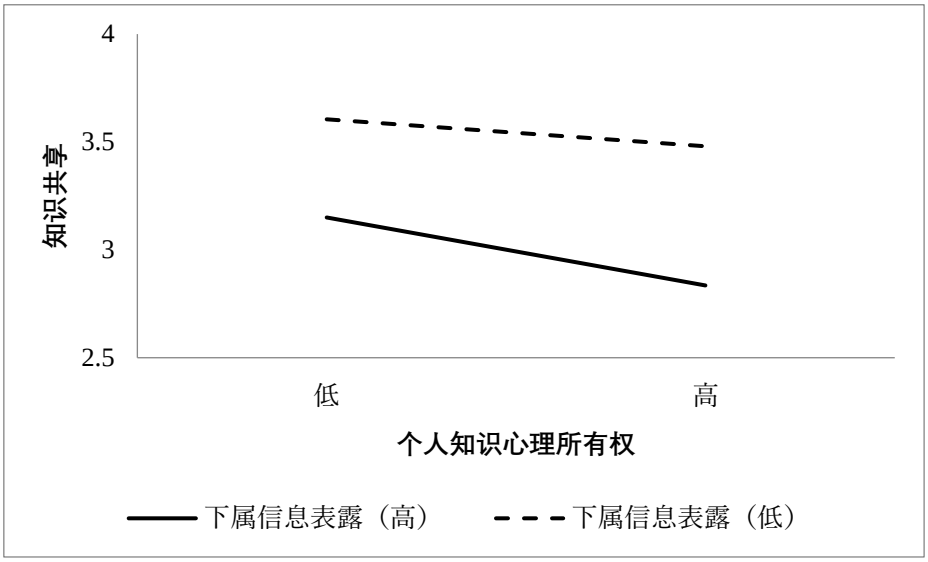

图5: 下属信息透露对个人知识心理所有权与知识共享之间关系的调节作用

总结与讨论

1. 结果讨论

本研究以中层管理人员为研究对象，站在个人知识心理所有权角度寻找改变知识共享的因素。基于数据分析，本研究证实中层管理人员的个人知识心理所有权确实会直接阻碍其知识共享行为的产生，为解释知识共享活动提供了新的视角。同时，加入感知信任作为调节变量进行分析，区别中层管理人员感知到的源于上级（领导）的信任和源于下属（员工）的信任，对其个人知识心理所有权与知识共享关系的影响。数据显示当中层管理人员感知到源于上级（领导）的依赖，以及感知到源于下属（员工）的信息透露时，中层员工的个人知识心理所有权更容易激发其对知识的保护，阻止知识共享；当中层管理人员感知到源于上级（领导）的信息透露，以及感知到源于下属（员工）的依赖时，中层员工的个人知识心理所有权对知识共享的消

极影响得到有效的缓解。该结果表明中层管理人员感知到的不同来源、不同表现形式的信任对态度和行为的塑造具有方向、程度各不相同的关键作用，值得进行区分。

2. 理论贡献

首先个人知识心理所有权是比较新的、微观的、心理层面的研究概念，将其作为个体行为前因变量，拓展了知识共享前因变量的探讨。其次，本研究以中层管理人员作为研究对象，将其在企业中的特殊地位和作用纳入考虑范围，从崭新的视角解读个体知识共享这一研究领域。最后，本研究将感知信任带入知识共享行为的研究中，区分中层管理人员感知到的不同类型的信任，分别讨论它们所产生的影响，通过实证研究表明，感知到不同的信任对行为产生了不同的影响且不容忽视，为后续研究提供了新的方向。

3. 管理启示

首先，站在企业的角度，企业应该充分关注和重视，中层管理人员在企业运营中发挥的作用，根据中层管理人员的工作表现及时做出相应调整。其次，作为高层管理者，要注意向中层管理人员表达信任的方式，避免给其带去压力，产生消极影响。最后，作为基层员工，在期待中层管理人员给予自己帮助的时候，要尽量避免给其带去能力不足的误解。

4. 研究局限和展望

本研究存在以下几点的局限性：首先，我们采用的个人知识心理所有权和感知上级（领导）信任采用的是由英文翻译而来的，难免会存在忽视中国情境的可能性。后续研究可以从中国企业情境出发，对已有量表进行修订以更贴切中国实情和研究。其次，本研究在程序上进行了一定的预防，但由于本研究的问卷采取的都是自评的方式，有可能存在数据失真。未来的研究可以采用自评和他评详解的方式进行研究验证，增强研究的可信度。最后，研究没有考虑企业特征的影响。在未来的研究中有待进行验证，同时进一步检验本研究结论的合理性。

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