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企业劳动关系评价 指标体系研究

A STUDY ON THE EVALUATION INDICATOR SYSTEM
OF LABOR RELATIONS IN ENTERPRISES

于 欣 著



中国人事出版社

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图书在版编目(CIP)数据

企业劳动关系评价指标体系研究/于欣著. —北京: 中国人事出版社, 2010

ISBN 978-7-80189-972-9

I. ①企… II. ①于… III. ①企业-劳动-生产关系-评价-指标-研究-中国 IV. ①F249.26

中国版本图书馆 CIP 数据核字(2010)第 141308 号

中国人事出版社出版发行

(北京市惠新东街 1 号 邮政编码: 100029)

出 版 人: 张梦欣

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北京隆昌伟业印刷有限公司印刷装订 新华书店经销

880 毫米×1230 毫米 32 开本 6.375 印张 149 千字

2010 年 7 月第 1 版 2010 年 7 月第 1 次印刷

定价: 18.00 元

读者服务部电话: 010-84643933/64929211/64921644

发行部电话: 010-64961894

出版社网址: <http://www.renshipublish.com>

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举报电话: 010-64954652

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内容摘要

作为基本的社会关系，劳动关系的和谐稳定日益显示其重要性。劳动关系是否协调稳定不仅影响到企业的生产经营秩序，也成为经济社会发展的重要影响因素。对企业劳动关系的状况进行了解和评价是构建和谐劳动关系的前提和基础，但目前国内对劳动关系的评价研究尚处于初级阶段，还缺乏一定的适用性和可操作性，有少数学者虽然为理论构建劳动关系评价指标体系作了积极而有效的探索，但是在指标的选择等方面还不完善，而且对评价指标体系进行实证筛选并实证分析的尚不多见，研究缺乏一定的系统性。而国外的学者在相关研究中会确立一些要素指标作为自变量对企业劳动关系进行衡量，但以企业劳动关系评价指标体系作为独立研究对象的研究还很少。结合当前我国劳动关系转型的特点，构建一套较为科学合理的企业劳动关系评价指标体系，以判断企业劳动关系的现状，通过评价为企业的劳动关系状况找问题、找差距，从而有的放矢的解决问题，改善企业的劳动关系状况，既是对劳动关系研究领域的补充，也是现时之需。

基于此，本书主要对企业劳动关系评价指标体系进行研究，通过定性分析预选和定量判断筛选相结合来构建评价指标体系。

具体的研究问题如下：

(1) 企业劳动关系评价指标体系构建的理论分析框架是什么？

(2) 如何从理论上预选企业劳动关系评价指标？

(3) 如何通过实证筛选构建企业劳动关系评价指标体系？怎样来确定指标的权重？

(4) 如何通过综合评价方法，用构建的企业劳动关系评价指标体系对企业的劳动关系状况进行评价？如何对评价结果进行分析？

本书的整体逻辑思路是：企业劳动关系的理论分析框架——从理论上预选企业劳动关系评价指标——对企业劳动关系评价指标进行实证筛选并确定权重——企业劳动关系评价指标体系的实证分析和应用。

本研究共分六个部分。在第一部分导论中，主要从研究背景的角度分析了本研究的重要性，并提出了研究的问题和研究技术路线。在此基础上界定了相关核心概念，并对研究方法进行说明。

第二部分和第三部分是本书构建企业劳动关系评价指标体系的理论准备部分。其中，第二部分是对相关文献的回顾，主要沿两条主线展开：首先是对劳动关系相关理论的回顾，对劳动关系实践发展历程中劳动关系的理论发展脉络进行梳理，对劳动关系系统理论和策略理论的研究和模型进行综述。其次是对劳动关系评价的相关研究进行回顾，包括在劳动关系相关研究中提出的评价指标和专门的劳动关系评价指标体系的研究，主要对国外和国内目前已有的劳动关系评价指标体系的研究成果进行了总结和分析。

第三部分是企业劳动关系评价指标体系构建的理论分析。在对相关研究进行综述的基础上，借鉴已有的劳动关系模型，提出了对劳动关系的理论分析框架，以此作为本书中企业劳动关系评价指标体系构建的理论基础。该分析框架主要包括：外部环境、

劳动关系主体、劳动关系的运行与协调以及劳动关系的表现与产出四个组成部分，并对每个组成部分的内部构成要素进行解析。为更有针对性的提出理论预选的指标，在这一部分中还对我国劳动关系的背景与转型进行了一般性分析，主要包括：劳动关系的市场化和劳资矛盾以及国有企业、私营企业和外资企业劳动关系的一般状况。

第四部分是企业劳动关系评价指标体系的构建。首先确定了评价指标体系构建的基本思路和基本原则，根据前文对理论分析框架各构成要素的分析，结合已有的研究成果，从理论上预选评价指标，构建了由两个一级指标、13个二级指标和69个三级指标构成的指标体系。在此基础上，进行企业劳动关系评价指标的实证筛选。对预选指标体系中的各个预选指标收集有关数据，运用隶属度分析、相关分析和鉴别力分析等方法对各个预选指标的可行性进行量化判断，进一步删除鉴别力不强以及与其所属系统内主要指标高度相关的指标，并进行信度和效度检验，从而最终确定企业劳动关系评价指标体系，由两个一级指标、13个二级指标和40个三级指标构成。其中，一级指标劳动关系的运行与协调分解为7个二级指标，包括劳动合同、集体协商与集体合同、工会组织、员工参与、劳动争议处理、劳动规章制度以及劳动管理。另一个一级指标劳动关系的表现与产出分解为6个二级指标，即工资工时、社会保障、职业安全与卫生、就业培训、员工发展与企业绩效表现。评价指标体系构建完成之后，通过德尔菲法确定了评价指标体系内各指标的权重。

第五部分是企业劳动关系评价指标体系的实证分析，用构建的劳动关系评价指标体系对从全国不同地区七个城市的47家企业收集到的相关数据进行分析，对样本企业的劳动关系状况进行定量评价。数据是通过企业问卷和员工问卷两部分收集而来，以形成客观性指标和主观性指标二者的结合。在评价中，运用多指标

综合评价方法,对各评价指标值进行标准化处理之后,采用线性加权法对各个企业劳动关系的评价值进行合成,并根据总评价值和各要素评价值,对劳动关系状况进行分析比较。不仅对 47 家企业劳动关系的总体评价结果进行了分析,而且还以三家企业为例,对各要素指标的评价值进行分析,从中发现各企业劳动关系的优势和劣势。经实证分析的初步应用结果表明,用所构建的企业劳动关系评价指标体系对企业进行评价所得的总体评价结果与个体企业的评价结果,均与我们通过实地调查访谈得到的实际情况和企业相关人员的定性判断基本相符,可以认为该评价指标体系具有一定的科学性和有效性。

第六部分首先对整篇研究进行了总结,包括对研究内容的总结、评价结果分析的总结、评价指标体系本身的总结以及评价方法的总结四个部分。同时基于本书的分析,为和谐劳动关系的构建及劳动关系调整提出相应的对策与建议。最后分析了本书的局限以及未来的研究展望。

通过构建企业劳动关系评价指标体系,对 47 家企业劳动关系的评价结果进行总结和分析,可以发现:

首先,企业劳动关系状况与性质特征、行业属性、规模属性和企业年龄存在着显著差异。国有及国有控股企业评价值均值高于其他所有制性质的企业,主要影响因素是“劳动合同”和“社会保障”两个方面。4 000 人以上与 1 000~4 000 人的企业评价值均高于中型和小型企业,产生差距的主要原因仍集中在“劳动合同”和“社会保障”两方面。20 年以上和 10~20 年的企业评价值高于 5~10 年以及 5 年以内的企业。成立 5 年以内的企业评价值最低,主要是在“劳动合同”、“工会组织”和“劳动管理”这三项指标上的得分非常低,与之形成对比的是,20 年以上的老企业在这三项指标上的得分则比较高。非制造业企业的评价值均值高于制造业企业。

其次,从总体评价来看,47家企业中有11家的劳动关系评价值在80以上,劳动关系和谐程度良好,占总数的23.4%,处于第一层级;11家企业的评价价值在60~80之间,劳动关系和谐程度一般,属于第二层级;评价值40~60区间内的有13家企业,占27.7%,处于第三层级;40以下的12家企业劳动关系状况差,占25.5%,属于第四层级。47家企业中有25家的评价价值在60以下,最高的评价价值为97.67,最低为19.86分,均值为60.04,总体判断为劳动关系处于中等的一般程度。其中,第一和第二层级的企业数量占企业总数的46.8%,第三和第四层级的企业数量占总数的53.2%。从47家企业各二级指标的评价价值均值来看,“劳动合同”和“劳动规章制度”等七个指标的均值低于60。国有企业和民营企业在“工资工时”这项指标上的评价价值均在50以下,100~199人以及1000~4000人的企业均不足40,而5年以内的年轻企业只有31.06。

对47家企业劳动关系的评价结果的分析表明,在目前我国劳动关系的转型时期,个别劳动关系的运行仍然是不规范的。所评价企业的劳动关系的总体状况并不容乐观,总体判断为较低水平的稳定,还有很多不稳定的影响因素仍然存在,而且有些因素较为突出,影响了整体的劳动关系的和谐状况。在企业和谐劳动关系的构建中,一方面要注重不同所有制、不同行业、不同规模以及不同发展阶段的企业在劳动关系上变化的特点;另一方面要特别注意影响劳动关系和谐的几个重要的因素,如劳动合同签订的规范性、工资集体协商制度的建立、工资和福利水平等。

本书的创新与贡献在于:首先,将企业层级劳动关系评价指标体系的构建作为独立的研究对象,分别对评价指标进行理论构建和实证遴选,并应用于企业劳动关系的评价中。根据评价结果对企业劳动关系状况进行描述和分析,从而实现了劳动关系基本理论的具体化和应用化,在很大意义上是对企业劳动关系评价指

标体系构建及其应用分析的拓荒性研究。

第二，国内对劳动关系的研究多着重于劳动关系的个案和专项的研究，或者理论政策性研究，而对企业运行中的劳动关系的特点与状况及其影响因素的深入研究与探讨比较少，劳动关系的定量研究更是一个全新的领域。本书在对劳动关系的研究中引入实证研究的方法，对企业劳动关系进行定量研究和评价，并通过统计方法对其进行分析，在一定程度上是对劳动关系学科研究的有益探索。

第三，用企业劳动关系评价指标体系对劳动关系进行评价，并不仅仅是为各企业排序，而是通过评价为企业的劳动关系状况找出问题和差距并有的放矢的解决问题。本书通过理论构建与实证筛选之后确定的企业劳动关系评价指标体系采用三级层级结构，不仅可以对企业劳动关系和谐程度的总体状况进行评价，而且还能对每个子因素进行评价，从而发现被评价企业劳动关系的问题所在。在评价应用的过程中，既可以帮助企业纵向比较及时了解在不同时期的劳动关系状况，也可以进行横向比较，即对各类型企业的劳动关系的现状相互比较，或者将企业劳动关系的现状与行业的平均水平进行比较。通过比较考察各个指标的结果，对评价价值较低的指标作重点分析，从而找出影响企业劳动关系和谐的关键因素，进而提出相应对策。

Abstract

As a kind of basic social relationship, labor relations has been more and more important to the society. It not only influences the production and business environment and order of enterprises, but also is very important to the development of economy and society. To master and evaluate the labor relations of enterprises is the prerequisite and basic condition of building sound and harmonious labor relations. However, the research of the evaluation of labor relations in China is just at a preliminary stage, and it is not easy to apply. Some scholars did some research on building the evaluation indicator system of labor relations, but there are few researches on the empirical analysis. Although the existing literatures have made great achievements, there are still some disadvantages. In some relevant studies, foreign scholars put forward some indicators as independent variables to evaluate the labor relations of enterprises, but few regard it as the independent research object. Therefore, based on the characteristics of the transformation of labor relations in China, to build the scientific and reasonable evaluation indicator system of labor relations in enterprises

can help master the current situation of labor relations. Evaluation also helps enterprises to find their problems and gap in labor relations and thus solving problems for them and improving their labor relations management. This not only is a supplement for the study of field of labor relations, but also is urgent for the current situation.

This research is mainly about building the evaluation indicator system of labor relations in enterprises through both qualitative analysis and quantitative judgment. It will answer the following questions:

1. What is the theoretical analysis framework for building the evaluation indicator system of labor relations in enterprises?
2. How to theoretically identify the evaluation indicators of labor relations in enterprises?
3. How to empirically identify the evaluation indicator system of labor relations in enterprises? How to determine the weight of indicators?
4. How to evaluate the labor relations of enterprises through comprehensive appraisal method? How to analyze the evaluation results?

According to the research questions, the general logic arrangement is as following: first, theoretical analysis framework of labor relations is put forward, and then the evaluation indicator system is built theoretically and empirically respectively. After determining the weight of every indicator, the evaluation indicator system is applied in the evaluation of labor relations in enterprises.

The research is divided into six chapters. Chapter one first analyzes the background and significance of the research and then

discusses the research questions, research methods and the contribution of the research. In addition, this chapter defines several key concepts.

The second and third chapter is the theoretical preparation for building the evaluation indicator system of labor relations. Chapter two is literature review. First the author reviews the theories of labor relations and discusses the development of systematic theory and strategic choice theory of labor relations. Secondly, the author reviews some relevant research on the evaluation of labor relations, including current evaluation indicator system both home and abroad.

Chapter three is on the theoretical analysis of building the evaluation indicator system. Based on the literature review and labor relations models, the author builds a theoretical analysis framework of labor relations for building system. The framework includes external environment, actors of labor relations, the operation and coordination of labor relations, and outcome and performance of labor relations. Then every elements of the framework is analyzed concretely. In order to choose indicators more precisely, in this chapter, the characteristics of the transformation of labor relations in China is also discussed. They are discussed mainly from the marketization of labor relations, labor conflict and the current situation of state-owned enterprises, private enterprises and foreign companies.

After the theoretical preparation, chapter four is to build the evaluation indicator system. Firstly, basic principles for building system are put forward. Then, according to theoretical framework and previous research results, the author builds a three-level evaluation system including 2 first-grade indicators, 13 second-

grade indicators and 69 third-grade indicators. The empirical screening for indicators begins with the data collection and then membership function analysis, correlation analysis and discrimination analysis are used to screen the preliminary indicators. After the empirical screening, some indicators are eliminated. Through the reliability and validity test, the evaluation indicator system of labor relations in enterprises is finally built consisting of 2 first-grade indicators, 13 second-grade indicators and 40 third-grade indicators. The 2 first-grade indicators are the operation and coordination of labor relations and the outcome and performance of labor relations. The former consists of 7 second-grade indicators, which are labor contract, collective bargaining and collective contract, the union, employee participation, labor dispute settlement, labor regulations and labor management. The latter includes 6 second-grade indicators, that is, salary and working time, social security, occupational safety and health, employment and training, employee development and enterprise performance. Finally, Delphi method is used to identify the weight of all indicators.

Chapter five is the empirical analysis of the evaluation indicator system. The data is collected from 47 enterprises in seven cities of different regions. The questionnaires are designed both for enterprises and employees because the indicators include both objective ones and subjective ones. The comprehensive appraisal method is used to evaluate the labor relations of enterprises. First, there is a standardized process of every indicator and then the general score and the score of indicators are figured out according to the weight.

The general evaluation results of 47 enterprises are first ana-

lyzed. The author also compares the evaluation results of 3 enterprises by analyzing the score of their second-grade indicators, thus finding the advantages and disadvantages of labor relations in these three enterprises. The comparison shows that the evaluation results are consistent to the actual situation of labor relations. Therefore, the evaluation indicator system is scientific and effective.

Chapter six summarizes the research including the summary of research content, the analysis of evaluation results, the evaluation indicator system and evaluation method. Meanwhile, based on the analysis of the research, some suggestions and measures on building sound and harmonious labor relations are put forward. Finally the disadvantages of the research and research perspective are discussed.

The conclusions of the analysis on the evaluation results of 47 enterprises are as follows:

First, there are big differences of the situation of labor relations among enterprises. These enterprises are different in ownerships, industries, size and ages. The labor relations of state-owned enterprises are better than private and foreign companies due to two indicators "labor contract" and "social security". Large enterprises are better than middle and small ones also due to the above indicators. Old enterprises are better than the young due to "labor contract", "union" and "labor management". Non-manufacturing enterprises are better than manufacturing ones.

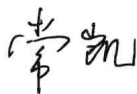
Second, the results of 11 enterprises are higher than 80, accounting for 23.4% of 47; the results of 11 enterprises is during 60-80, belonging to the second class; 27.7% of 47 is during 40-60 and 12 enterprises is below 40, accounting for 25.5%. In gener-

al, the highest is 97.67 and the lowest is 19.86. The average is 60.04 so the labor relations of 47 enterprises is at the middle level. The average of 7 second-grade indicators is below 60 including "labor contract" and "labor regulations".

The evaluation analysis shows that during the transformation of labor relations in China, there are still some problems in the operation of individual labor relations. The general situation of labor relations in enterprises is just at middle level and many elements that may cause instability exist to influence the general situation of labor relations. In building sound and harmonious labor relations, on one hand, different characteristics of different types of enterprises should be paid attention to; on the other hand, several important elements influencing labor relations also should be emphasized, such as labor contract, salary collective negotiation, salary and welfare.

The contribution of the research is as follows: First, building the evaluation indicator system of labor relations in enterprises is regarded as independent object. The indicators are theoretically and empirically screened. Second, the research of labor relations puts emphasis on theoretical and policy research and there is few discussions on the operation characteristics of labor relations and its elements. This research does some contribution in this field. Third, the evaluation indicator system not only can compare labor relations situation of the enterprise in different times and but also compare the labor relations situation of different enterprises.

序



《企业劳动关系评价指标体系研究》是作者的博士论文，而今论文出版，不仅是其学术研究的一个标志性成果，对于我国的劳动关系研究领域来说，也有着理论和实用价值的学术贡献。作为导师，看到自己的学生论文出版，当然是件开心的事情。因此，也想就作者研究的这一课题及其写作说上几句。

劳动关系作为社会经济生活中最基本、最重要的社会关系之一，它的运行与发展直接影响到整个社会的稳定与进步，它的和谐与稳定直接影响到社会经济与政治的发展。所以，构建和谐稳定的劳动关系，是促进社会经济和谐发展的基础，是建设社会主义和谐社会的主要内容。

构建和谐稳定的企业劳动关系，首先需要对企业劳动关系状况及其存在问题进行全面的了解和科学的评价，而这种评价需要一套系统和科学的评价指标体系。关于企业劳动关系的评价指标，在市场经济国家已经有学者在这方面进行过较为深入的研究，其研究成果并被运用到实际当中。但由于政治、经济和社会结构的不同，国外的这一成果在中国很难适用。虽然有少数中国学者在这方面作了积极的探索，但总体而言，国内对劳动关系的评价研究，特别是对评价指标体系的实证筛选与实证分析的研究刚刚处

于起步阶段，还缺乏一定的适用性和可操作性。

随着劳动关系市场化改革进程的深入，企业劳动关系领域内的各种问题也伴随着改革的深化而不断产生。这就亟需一套科学的劳动关系评价指标体系来对当前的劳动关系状况进行评测，并发现劳动关系在运行过程中出现的各种问题，从而提出客观而全面的解决问题的对策与建议。因此，科学构建企业劳动关系评价指标体系，从理论上和实践上来说都是非常重要的。

这一研究，在国内学界研究的基础上，借鉴国外的理论框架和研究方法，不仅对于国内企业的劳动关系进行了一般性的调查研究，而且在全国抽取了 47 家企业进行实证分析。通过上万个数据的分析，构建了一套可以诊断企业劳动关系在运行过程中存在的问题，从而能针对性地提出完善劳动关系运行机制对策的企业劳动关系评价指标体系。应该说，这一研究成果将我国劳动关系评价指标体系的研究，在理论性、系统性和应用性方面，提高到一个新的水平。与以往国内的研究相比，这一成果主要具有以下三个方面的贡献：

首先，这一研究将企业层级劳动关系评价指标体系的构建作为独立的研究对象，分别对评价指标进行理论预选和实证筛选，将构建的评价指标体系应用于企业劳动关系的评价中，并根据评价结果对企业劳动关系的状况进行描述和分析，从而在将劳动关系基本理论具体化和应用化方面，迈出了重要的一步。我国的劳动关系研究近年来在基本理论政策研究方面，获得许多重要成果，但如何将这些劳动关系基本理论运用到应用层面，则是一个薄弱的环节。本书的研究成果在解决这一问题时，进行了积极的尝试并取得了可喜的成绩。

其次，目前国内对劳动关系的研究多着重于劳动关系的个案和专项的研究，或者理论政策性研究，而对企业运行中的劳动关