

中小企业组织学习力 与企业绩效关系实证研究

——基于江西省的调研

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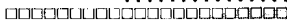
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序



《中小企业组织学习力与企业绩效关系实证研究》一书，是张琳博士在其博士学位论文基础上修改而成，是张琳博士多年来对中小企业组织学习力问题潜心研究的重要成果。作为导师，我备感欣慰，在这里，谨向他表示祝贺。在当今“不学习则灭亡”的经营环境中，组织学习能力被看成惟一可持续的竞争优势，尤其对中小企业的生存和发展显得更为重要。探明中小企业组织学习力与企业绩效关系的内在机理，把握中小企业学习力的影响因素，寻求有效引导中小企业提升组织学习力的途径，是目前企业界所关心的热点和难点之一。可见，张琳博士的著作《中小企业组织学习力与企业绩效关系实证研究》，其选题具有较大的理论意义，且有着很强的实践价值。

该书成功地吸收和借鉴企业演化理论、企业能力理论等相关研究成果，以中小企业组织学习力和企业绩效关系为研究对象，以对江西省的实地调研为依托，采用规范研究与实证研究相结合的方法，在分析中小企业组织学习力现状问题及影响因素的基础上，对中小企业组织学习力的构成要素及其之间关系进行计量模型分析；对不同类型中小企业组织学习力与企业绩效之间的关系进行比较评价和实证检验。据此，所提出的“构建科学

的组织学习体系”、“塑造开放学习文化”等若干对策建议，具有重要的决策参考价值和实践指导意义。

本书的创新，主要体现在：

①**研究思路与视角新。**本书认为，中小企业组织学习不仅是一种组织行为，更是一种企业能力，一种正在成长的、演化的企业能力。本书以企业能力理论、企业演化理论等企业理论为指导，以“组织学习力与企业绩效互动关系”研究为逻辑主线，借用现代计量经济学分析工具，专门研究我国中小企业组织学习力与企业绩效关系问题，这在同类研究中，尚不多见。因而，本书为中小企业组织学习行为研究，提供了一个新的思路与视角。

②**研究方法运用的创新。**本书对“企业组织学习力”这一定性问题，进行定量分析，将中小企业组织的学习过程，简括为3个过程和6个要素，由此构建概念模型，通过编制和检验探测性量表等方法，实现了概念模型的量化。从而很好地体现了中小企业组织学习力与企业绩效关系评价过程的客观性，提高了研究结论的可信度。

③**研究结论有所创新。**本研究发现，中小企业成长过程充满了多样性的组织学习活动，其与企业绩效是一种双向互为影响的关系。本书既检验中小企业组织学习力对企业绩效的影响，又检验企业绩效对企业组织学习力的影响。与大多数的单向关系研究相比较，本书这种互动关系的研究，将更有助于深入地理解中小企业成长过程和演化路径。故本研究结论对相关研究领域成果，

是一个有益的补充和完善。

该书设计合理，结构严谨；资料翔实，说理充分；研究方法得当，研究结论正确。反映作者有坚实的理论基础和系统的专门知识，尤其对计量经济学理论知识与方法运用掌握得比较好。当然，中小企业组织学习行为研究是一个前沿性的课题，张琳博士的这本专著只是在该领域做了一些初步的探索，还有待于进一步深化。作为导师，我也希望他继续努力，进行更细致的相关研究，结出更丰硕的成果。

华中农业大学经管土管学院 蔡根女

2008年冬 于武昌·狮子山

摘 要

中小企业是世界经济极具活力的单元。在当今“不学习则灭亡”的经营环境中，中小企业组织学习力对其生存和发展显得尤为重要。探明中小企业组织学习力与企业绩效关系的内在机理，把握中小企业学习力的影响因素，寻求有效引导中小企业提升组织学习力的途径，是目前企业界所关心的热点和难点之一。

本书以企业演化理论和企业能力理论等为指导，对已有的相关成果和研究理论进行回顾和梳理；以中小企业组织学习力和企业绩效关系为研究对象，以江西省的调查数据为依托，在分析中小企业组织学习力现状问题及影响因素的基础上，对中小企业组织学习力的构成要素及其之间的关系进行定量分析；对不同类型中小企业组织学习力与企业绩效之间的关系进行实证检验；最后提出提升组织学习力的若干对策。本研究的主要内容与结论如下：

(1) 中小企业组织学习力的构成要素。中小企业组织学习力是本研究的核心内容。本书第3章在文献回顾和理论演绎的基础上，系统地讨论了中小企业组织学习力层级结构问题。分析显示，中小企业组织学习力有6个基本要素：实验学习、提升能力、标杆学习、持续改良、编码化共享和个性化共享；这6个要素之间的不同组合，形成了中小企业不同方向的组织学习能力（探索学习力和开发学习力）和不同来

源的组织学习能力（内部学习力和外部学习力）。对中小企业组织学习力这一结构特征，本书应用了多元回归和结构方程进行专门的实证检验。

（2）资源约束下的中小企业组织学习力要素关系。本书所定义的资源不仅包括物理资源，还包括非物理资源；这些资源共同构成了组织学习的环境。本研究从环境动因视角运用系统动力学、委托代理理论等定性分析方法，以及多元回归、结构方程等定量方法，研究了中小企业组织学习力的资源约束。研究表明：中小企业不同来源的组织学习力要素之间存在显著的资源冲突。因此，中小企业对于不同来源的组织学习力采取替代策略以应付资源约束。当感受到外部环境变动威胁时，中小企业倾向于加强外部学习，反之，经营者则要求提升其内部学习能力；变化的、复杂的外部环境往往要求中小企业加强对外部知识的探索学习能力，并适度地抑制开发学习；中小企业内部管理则倾向要求加强内部学习。

（3）中小企业组织学习力与企业绩效相互作用关系。本书第6、7章，利用获得的调查样本数据，对中小企业组织学习力与企业绩效关系进行了实证研究。据此，本书通过实证检验，回答了组织学习力是如何影响企业绩效，企业绩效又是如何影响组织学习力，从而预示了组织学习力在中小企业能力演化过程中的作用轨迹：①探索学习力有益于中小企业长期绩效的改善；开发学习力有助于中小企业短期绩效的改善。研究发现，由于资源约束，探索学习有碍于中小企业短期绩效的改善，但没有足够的证据表明开发学习对中小长期绩效存在显著的消极影响；②短期绩效能刺激中小企业持续开发既有领域，并维持一定程度的探索学习。因此，大部分

注重知识开发的中小企业能平稳而缓慢地发展。类似地，长期绩效也会激励中小企业加强对未知领域的探索，并诱导它们降低持续开发的热情。那些注重长期竞争优势的中小企业为此容易获得成长机会，不过它们的绩效波动较大，成长过程中的风险也较大；③中小企业对内部知识和外部知识均有不同程度的需求，这些不同来源的知识对中小企业绩效改善均有显著正向作用。

(4) 不同类型中小企业组织学习力与企业绩效关系比较评价。为了能更好掌握中小企业组织学习力与企业绩效之间的内在规律，本书第7章以中型企业与小型企业、高新技术中小企业与传统中小企业，为对照样本进行比较研究。研究表明，中小企业组织学习力间的差异与企业绩效的差异存在相关。具体体现在：①注重知识开发的中型企业往往能够维持一定程度的探索学习能力；注重探索学习的中型企业却存在风险偏好，忽略了开发学习能力，影响了当前绩效的改善。与之对应，小型企业总体上只注重知识开发，没有关注探索学习力与企业长期发展的关系。中型企业一般比较更重视内部知识的学习，但小型企业则更偏好于外部学习；②部分注重知识开发的高新技术中小企业，能够兼顾当前收益与长期竞争优势的关系，容易摆脱“核心刚性”的束缚。但偏好探索学习的高新技术中小企业却对知识的开发和利用不够重视。高新技术中小企业总体上偏重于内部学习。相比之下，传统中小企业的探索学习与长期绩效关系较模糊，略偏重于外部学习。

(5) 提升中小企业组织学习力的对策建议。本书第8章，从提升企业绩效角度出发，针对中小企业组织学习存在的一些问题或障碍，提出若干对策建议。①注重中小企业知识共

享学习平台建设；②构建科学的组织学习管理体系；③塑造开放学习文化；④重塑领导风格，提升组织学习管理水平；⑤完善中小企业社会化服务体系。

本书的主要创新点：

(1) 研究思路与视角新。本书认为，中小企业组织学习不仅是一种组织行为，更是一种企业能力，一种正在成长的、演化的企业能力。因此，本书将基于企业能力理论、企业演化理论的视角，沿着组织学习力与企业绩效互动关系的研究思路，借用现代计量经济学的分析工具，研究我国中小企业组织学习力与企业绩效问题，这在同类研究中，尚不多见，是一个较为新颖的分析视角。

(2) 导入了新的研究手段。本书提出了中小企业组织学习过程模型，并由此构建了中小企业组织学习力与企业绩效关系的直接评价量表，且用可量化指标，进行实证分析。该方法的使用，提高中小企业组织学习力与企业绩效评价中的客观性，增强了研究结论的可信性。

(3) 研究结论有所创新。本研究发现，中小企业成长过程充满了多样性的组织学习活动，其与企业绩效是一种双向互为影响的关系。本书既检验中小企业组织学习力对企业绩效的影响，又检验企业绩效对企业组织学习力的影响。在已有的研究成果中，大多是单向关系的研究。这种相互关系的研究，将有助于更深入地理解中小企业成长过程和演化路径。因此，我们的研究结论可以是对已有的研究成果的补充和修正。

关键词：中小企业；组织学习力；开发学习；探索学习；外部学习；内部学习；企业绩效；关系

Abstract

SMEs is a kind of vigorous unit in the world economy. Nowadays the organizational learning capability is of great importance to the development and existence of the SMEs in the existing running environment of “learning or die”. So how to explore the inherent mechanism of the relationship between the organizational learning capability and performances in SMEs, how to grasp the influencing elements of the organizational learning capability and how to seek effective ways to improve their organizational learning capability are becoming one of the hot spots and difficult points concerned over by the business circle nowadays.

Guided by the enterprise evolution theory and the enterprise capability theory, etc., the dissertation firstly reviews and re-organizes the relative existing achievements, researches and theories. Then, taking the relationship between the organizational learning capability and performance in SMEs as its study object, with the support of the investigation data in Jiangxi province, and based on the analysis of the relationship between the status quo of the organizational learning capability and the affecting factors, quantitative analyses of the relationship among the constitutional

elements of the organizational learning capability are done. Next, empirical studies on the relationship between the organizational learning capability and performance in SMEs are conducted. Finally, suggestions and countermeasures to improve the organizational learning capability are put forward.

The following are the main contents and conclusions of the study.

(1) Constitutional elements of the organizational learning capability in SMEs. The organizational learning capability in SMEs is the core content in this study. Based on the reference review and theory deduction, the hierarchy of the organizational learning capability in SMEs is systematically discussed in Chapter Three. Analytical results show six basic elements existing in the organizational learning capability in SMEs as follows: Experimentation Learning, Competence Acquisition, Boundary Spanning, Continuous Improvement, Coding Sharing and Personalization Sharing. And it is the different combination of these six elements that form and produce the organizational learning capability developed in different direction (exploration learning capability and exploitation learning capability) and the organizational learning capability developed from different origins (internal learning capability and external learning capability). As for this structural feature of the learning capability, special empirical checkout by means of Multiple Regression and Structure Equation Model was undertaken here.

(2) The relationship of organizational learning capability elements in SMEs restrained by the resources. Resources defined in this dissertation includes the physical as well as the non-physical ones, which constitute jointly the environment for the organizational learning. With the application of qualitative analyses (System Dynamics and Principle-agent, etc.) and quantitative analyses (Multiple Regression and Structure Equation Model, etc.), and from the angle of environmental agent, the resources restraint in the organizational learning capability in SMEs was conducted in the study. And results show as follows: ① There is notable collision between different origins learning capability. Therefore, SMEs should take even substitutional tactics to cope with the restraint by resources. When threatened by the changing outside environment, SMEs incline to reinforce their external learning; otherwise, they would promote their internal learning capability. ② The changing and complicated outside environment usually forces the SMEs to reinforce their exploration learning of the outside knowledge, and to restrain moderately their exploitation learning, but their inside management demands them to tend to reinforce their internal learning.

(3) The reciprocity relationship between the organizational learning capability in SMEs and their performances. By using the data gained from the investigation samples, empirical studies on the relationship between the organizational learning capability and the performance in SMEs are mainly conducted

from Chapter Six and Chapter Seven. Thus, answers to the questions about how the organizational learning capability affects the enterprise performances and how the enterprises performances affect the organizational learning capability are made here. Also the effect trajectory of the organizational learning capability in the course of the learning evolution is predicted in the following: ① Exploration learning capability is beneficial to the improvement of the long-term performances in SMEs, while exploitation learning capability is to that of the their short-term performances. Research also shows, being restrained by resources, exploration learning capability is a hindrance to the improvement of their short-term performances, but no sufficient evidence indicates that exploitation learning capability has negative influences on their long-term performances. ② Short-term performances can stimulate the SMEs to persistently exploit their existing fields, and to a certain extent, hold out their exploration of unknown fields. Therefore, the majority of the SMEs concentrating on the knowledge exploitation can develop stably, though slowly. Similarly, the long-term performances can also stimulate the SMEs to intensify the exploration of unknown fields, and to induce them to reduce the passion for continuous exploitation. Because of these, those concentrating on the long-term competitive advantages can more easily get chances to grow up, though their performances fluctuate rapidly and they risk more greatly in their growing up. ③ SMEs have various



demands for both the internal knowledge and the external knowledge, and the knowledge from various origins has notably positive effects on the improvement of their performances.

(4) Comparative assessment on the relationship between various organizational learning capability in SMEs and their performances. In Chapter Seven, a comparative study is carried out to find the internal laws of the relationship between the organizational learning capability and their performance in SMEs. The study is done between Medium-sized and Small-sized, and between Hi-tech type and Traditional type. Research indicates differences between the organizational learning capability in SMEs and that between their performances exist correlative relation, which are concretely stated as follows: ① Medium-sized enterprises concentrating on the knowledge exploitation often keep some their exploration learning capability. While those concentrating on the exploration learning often prefer risk conducts but ignore their exploitation learning capability, which affects the improvement of their current performances. And correspondently, Small-sized enterprise concentrate only on the knowledge exploitation as a whole, but pay little attention to the relationship between exploration learning capability and their long-term development. And Medium-sized enterprises generally pay more attention to the internal knowledge learning, while Small-sized ones prefer the external learning.

②Some of Hi-tech type of SMEs can pay balanced attention to both their current benefits and their long-term competitive advantages, and so they are easy to get rid of the tie of “core rigidities”. While those concentrating on exploration learning pay inadequate attention to the knowledge exploitation and the use of knowledge. They favor the internal learning as a whole. By contrast, the relationship between the exploration learning and the long-term performances in Traditional type of SMEs is vague, for these enterprises favor external learning.

(5) Countermeasures to promote the organizational learning capability in SMEs. From the aspect of improving the performances, and in view of the problems and obstacles existing in the organizational learning in SMEs, some suggestions and countermeasures are put forward in Chapter Eight as follows: ①Emphasizing the construction of studying platform of knowledge sharing in SMEs; ② Constructing scientific management system of the organizational learning; ③Molding an open learning culture; ④Remolding the leader style so to upgrade the management level of the organizational learning; ⑤Perfecting the social service system in SMEs.

The main original views of the dissertation are as follows:

(1) The originality in research train of thought and research angle of view. The dissertation holds that the organizational learning is not only a kind of organizational behaviors, but represents more as one kind of enterprise competence. The organizational learning capability in SMEs is

growing and evolutive. From the angle of enterprise capability theory and enterprise evolution theory, following the research way of the bidirectional and mutual relationship between Organizational learning capability and the enterprise performances, and using the analytical tools of modern econometrics, the dissertation studies the problem of the organizational learning capability in SMEs and their performances in China. This kind of study is rarely reported domestically. Besides, the dissertation widens the research angle of the organizational learning capability in SMEs under resources restraining, which helps to absorb the latest research results in sociology.

(2) Introducing new research means. The dissertation considers the relationship comprehensively by combining the organizational learning capability in SMEs with their performances, and so puts forward the process model of the organizational learning in SMEs, and constructs the direct assessment measuring table of the organizational learning capability in SMEs and their performances as well, which could help carry out empirical analysis by means of the quantization index. This increases the objectivity the assessment of the organizational learning capability in SMEs and their performances, and then strengthens the credibility of the research conclusions.

(3) The originality in research conclusions. The research shows that the development course of SMEs is filled with