



积极性、需要与激励

——煤炭企业职工心态与行为实证研究

陈晓东 著

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内 容 提 要

本书在对煤炭企业职工进行大量的心态与行为调查的基础上,以实证研究方法,系统全面地分析研究了煤炭企业职工积极性、需要、影响职工积极性因素以及激励等职工行为管理问题,提出了相应的职工行为管理对策,并构建了若干职工行为管理与激励的数学模型。本书的研究成果可供致力于我国企业职工行为激励的企业管理者 and 理论研究人员参考借鉴。

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前言

人是企业的主体。本世纪 30 年代以后,对人的研究成为世界范围内管理学的热点之一。80 年代后,西方管理中非理性化的趋向标志着西方企业对人认识的空前深化。我国改革开放以来,寻求对大中型工业企业职工行为的有效激励与管理,一直是我国企业管理者和理论工作者实践、探索与研究的重要课题。在拥有 700 万职工的煤炭行业中如何调动企业职工劳动积极性,亦成为人们日益关注的问题。

本书以实证研究的方法,对煤炭企业职工的积极性、需要、影响积极性因素以及激励问题进行了系统、全面和多层次的分析研究,在剖析的基础上,使读者全面了解到煤炭企业职工现实的心态与行为特点。书中利用了大样本职工问卷调查和访谈(共计 37700 人次)所获得的大容量调查数据与信息(有效基础数据 86 万个),使本书的实证分析具有牢固的基础。在此基础上,本书运用比较分析法详细展示了煤炭企业职工与国内外其他行业职工之间以及煤炭企业内部不同职工群体之间在心态与行为方面的特点与差异。此外,书中还运用了若干计量分析方法和数学模型对职工积极性、需要与激励等问题作出评估、测算与理论构画。图示法也增强了读者对书中若干问题的理解。希望书中实证性研究的结论、过程、方法、程序等可为开展类似社会心理问题的研究提供积极的借鉴与参考。

本书在内容组织上具有以下特征。首先,在引论中详细阐述了煤炭企业职工心态与行为实证研究的思路与方法。重点说明了“煤炭企业职工积极性调查问卷”的设计、调查组织以及数据的分析处理。该调查问卷涉及到煤炭企业职工积极性、职工需要、影响职工积极性因素等 88 个职工行为管理的关键问题。在问卷调查组织中遵循科学的程序与方法,体现了大样本、大容量的特点。这一调查

方案的设计与实施本身就使得本课题的研究具有重要现实意义。在了解到进行实证研究所依赖的基础数据的特点之后,本书在理论上对职工积极性的概念进行了心理与行为相统一的解释,并给出了衡量职工积极性的指标体系;结合煤炭企业的特点,设计出了煤炭企业职工需要体系以及影响职工积极性的企业内外环境因素。接着在第三章中,本书利用企业职工积极性评价模型对煤炭企业各类职工的劳动工作积极性发挥程度进行了定量描述与定性分析。在第四章中,对煤炭企业职工的需要层次结构的现实进行了系统的刻划,并在第五章中,对不同煤炭企业职工群体的需要结构进行了对比分析。第六章揭示了影响煤炭企业职工积极性客观因素的现状。第七章对这些客观影响因素与职工主观需要的关系进行了研究。这样就基本完成了从职工积极性、职工需要到影响职工积极性的客观因素,心理与行为,主观与客观相融合的系统实证研究。针对煤炭企业职工心态与行为的现实,如何实现对职工的有效激励,是第八章着重探讨的问题,把握激励的着眼点和进行激励制度的创新是煤炭企业职工行为管理的重点。第九章从职工激励决策支持系统的角度构建了与前述职工积极性发挥程度评价模型相配套的职工积极性要素关系模型,职工需要模型,职工行为预警SD模型,职工不良行为对策模型和目标激励模型等。从而在更为理性与抽象的高度对职工心态与行为管理进行了描述。

劳动激励研究是一个永恒的课题,这种永恒性决定了不仅对职工心态与行为的时点性研究是十分重要和具有现实意义的,而且也决定了对职工的积极性、需要与激励的动态跨时空研究也是非常必要和具有指导意义的,而后者还有待于进一步深入地研究。

陈晓东

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Synopsis

1. Introduction

It has been an important task and research topic for Chinese managers and scholars to kindle the staff and workers' enthusiasm for working in big state owned enterprises of China since the open door and reform policy began, and also a key issue in coal mines of China which have about 7 million staff and workers.

2. Contents and Methods

2.1 Research Contents

Three key points have been studied in the research. The first is the evaluations and analyses of staff and workers' initiative level in coal mines, which include the definition of initiative, the elemental aspects of initiative, the indicators and methods of evaluating initiative level, and the conclusion of analysing initiative level. Staff and workers' initiative is defined as a behavioural state that is full of enthusiasm and endeavours for doing hard work actively, creatively, and ingeniously since staff and workers have become aware of their work's significance. The second point is the analyses of staff and workers' need structures that motivate the initiative fundamentally, which consist of the research on relationship between needs and initiative, the investigation and analyses of staff and workers' need structures in coal mines, and the strategies of managing needs. The

third point is the analyses of influence factors on the initiative, which is composed of the researches on relationship between influence factors and workers' needs, relationship between motivation and hygiene factors and initiative, and the strategies of managing the influence factors.

2. 2 Research Methods

Sampling survey and interview method, mathematical statistics, game theory, system dynamics, Fuzzy and AHP analysis have been used in the research. Here are the important work done in the research.

2. 2. 1 Designing Qualified Questionnaires

By investigating, consulting, discussing, primary designing, examining, verifying, detailed designing, doing experiment and practical testing, specialists proofing and statistical testing, the questionnaire about survey of staff and workers' initiative was made out. The multiple choice questionnaire consists of 88 questions and 302 items.

2. 2. 2 Making Scientific Plan of Large Sample Survey

Depending on the history of coal mines(youth, adult, and old) and the situation of production(rise, stable, and decline), three representative coal mine bureaux were appointed as the investigated enterprises. These bureaux are situated separately in the areas of south-east, north-west, and north-east of China. 37700 questionnaires were distributed to the mines, repairing factories, management departments and other units in the three bureaux.

2. 2. 3 Organizing the Survey Meticulously

Here are the steps taken in the survey: getting the help and support from the Chinese Communist Party (CCP) Committees in

the bureaux, setting up leading teams for survey, selecting one mine to do experimental survey and finding problems, training investigation staff, mobilization of staff and workers for taking part in the survey, arranging schedule reasonably and doing survey by quality and quantity guaranty.

2. 2. 4 Handing the Investigation Data Scientifically

The data from the questionnaires were handled through the processes of manual check, data entering into computer and logical check by computer, statistical sum of data, data analyses and data output, etc. 36345 questionnaires were collected back and 2287514 original data were obtained. The responsive rate is 96.4% and valid rate is 93.9%. Questionnaire's reliability and validity are significant (Cronbach's $\alpha \geq 0.9$).

3. Results and Analyses

3. 1 The Initiative Level of Staff and Workers in Coal Mines of China Is Not Very High, and Different Staff and Workers Have Different Initiative Level

According to the survey, Staff and workers in coal mines have middle-up initiative level. The degree of initiative is 63%. There are some differences among the elemental aspects of initiative. The Staff and workers' responsibility, activity and stability in working are relatively high (Degree of the aspects are over 75%), The creativity and latent potentiality exploiting in working, however, are relatively low (Degree of the aspects are below 55%). The data show that the principal aspects of initiative have not been brought into full play. There are also some differences in initiative level among different staff and workers. The initiative level is usually de-

terminated to some extent by staff and workers' political consciousness, cultural background, social positions, economic incomes and ages.

3.2 The Need Structures of Staff and Workers in Coal Mines Are Very Complex, and Material Benefits Are Their Main Needs

3.2.1 Staff and Workers in Coal Mines Pay Much More Attention to The Environment Needs Outside The Enterprises

The environment needs are state's political and economic environment and social environment in residential areas. For example, the most important environment needs are commodity prices (Degree of concerning (DOC) with is 51.8%), general mood of society (DOC is 46.0%) and public security (DOC is 46.0%). Keeping the stability of state's political and economic situation is also an important need for most of staff and workers. The DOC of "following CCP and believing socialism" is 48.5%, the DOC of "keeping the stability of state's political and economic situation" is 36.8% and the DOC of "supporting the open door policy" is 21.3%. In a word, material benefits and public security are the basic environment needs of staff and workers now.

3.3.2 Material Benefits Are Also The Fundamental Needs Inside The Enterprises for Staff and Workers in Coal Mines.

3.2.2.1 "Income" and "Welfare" are the Superior Needs inside Enterprises. "Fair distribution of incomes" (DOC is 24.5%), "getting more incomes" (DOC is 23.3%), "improving the residential conditions" (DOC is 31.8%), "acquiring better enterprise's welfare and labour insurance" (DOC is 20.2%) are the principal needs that have not been satisfied sufficiently. The traditional

situation of "enterprise is a small society" is the reason why so many staff and workers focus their attention on welfare in enterprises.

3. 2. 2. 2 The High Expectancy of "Leadership Behaviour" is Another Characteristics of Staff and Workers Need Structures. Staff and workers expect their leaders to work hard and be honest (DOC is 34.7%).

3. 2. 2. 3 The Motive of "Getting Material Benefits" is Much Stronger than That of "Getting Moral and Honour Encouragement". The DOC of "getting moral and honour encouragement" is merely 2.9%, which demonstrate that staff and workers need structures are material gains orientation.

3. 2. 2. 4 Taking Part in the Management of Democracy in Enterprises is the Least Interested Need for Staff and Workers. DOC of "taking part in the management of democracy" is only 2.2%. Why? The first reason is that staff and worker's need structures are material gains orientation. The second is the quality of workers in coal mines is not very high and they have less capability of participating in the management decisions. The third is that there has not been democratic culture in enterprises which encourages workers to take part in management. And the forth is democratic management systems are not perfect and workers have not rights to participate in management decisions.

3. 2. 2. 5 The Features of Staff and Worker's Need structures in Coal Mines of China. Based on the DOC of needs, the significant order of staff and workers' needs are; welfare in enterprise, incomes, leadership behaviour, self-growing, living and working environments, personnel relationship, moral and honour encouragement, taking part in democratic management in enterprises.

3. 2. 3 Different Staff and Workers Have Their Special Need Structures

3. 2. 3. 1 Family Background is One of Need Structure Determinants. Comparing with different family background of staff and workers, the divergence of their need structures are very significant ($X^2=67.8$, $d_f=52$, $P<0.05$), Unmarried workers pay their attention to needs of self-growing, moral and honour encouragement, etc. Married workers whose family members are from urban areas focus their attention on the needs of social environment in residential areas, leadership behaviours and fair distribution of incomes, etc. However, married workers whose family members are from rural areas are interested in the needs of material benefits, working conditions, etc.

3. 2. 3. 2 With the Changes of Ages, Staff and Workers' Need Structures Change also. The divergence of staff and workers with different ages are very significant ($X^2=193.3$, $d_f=104$, $P<0.001$). Staff and workers under 25 show solicitude for the needs of fair distribution of incomes, self-growing, moral and honour encouragement, etc. Staff and workers between 26—35 follow with interest the better welfare and labour insurance, promotion, more incomes, etc. Staff and workers between 46—55 pay more attention to residential conditions, the education and marriage of their sons and daughters, etc. Staff and workers above 56 have more social responsibilities and political consciousness.

3. 2. 3. 3 Education Background is Another Need Structure Determinant. Staff and Workers with more experience of formal schooling pay much more attention to the need of "leadership behaviour" than the staff and workers with less experience of formal

schooling ($X^2=9.7, d_f=4, P<0.001$). But staff and workers with less education, experience have stronger desire for "having their children educated" ($X^2=11.7, d_f=4, P<0.025$). These indicate that there exist value gaps between staff and workers with different education background, which have some influences on their social positions.

3.3 There are Many Influence Factors That Determine Staff and Workers' Initiative Level, and Factors Concerning Material Gains are the Key Influence Factors

3.3.1 The Number of Factors That Have Positive Influence on Initiative Level is Bigger Than the Number of Factors That Have Negative Influence.

3.3.2 The Majority of 20 Positive Influence Factors are Moral Factors, But All the 8 Negative Influence Factors are Physiological and Security Factors

4. Management Strategies

4.1 Innovating the Property Right Management Systems and Improving the Economic Effects of Coal Mines, Satisfying Staff and Workers' Reasonable Material Benefits Needs Further. To innovate the property right management systems of coal mines, More favourable policies should be given by Government. Coal mines in China should take the diversified business strategies and produce more profitable products besides coal. With the growing profits, Staff and workers' needs of fair distribution of incomes, better welfare and labour insurance and so on should be satisfied considerably.

4.2 Improving the Social Environment in Residential Areas, and Having Staff and Workers Attention Focus on the Needs Inside

Enterprises in order to Arouse Their Initiative Easily by Managing Their Needs and Wants Directly.

4.3 Strengthening Scientific Management in Coal Mines, and Leading Staff and Workers' Attention from Material Gains Needs Satisfaction into Higher Hierarchy Needs Satisfaction. Rigorously enforcing rules and regulations is the base for satisfying staff and workers' higher hierarchy needs. Satisfaction of moral and honour needs is the best way to bring into play the initiative of staff and workers for a long period.

4.4 Studing the Staff and Workers' Need Structures Carefully and Increasing the Efficiency of Needs Satisfaction. Training managers and improving their skills of leadership so as to win the respects and cooperation from staff and workers.

目 录

前言	(1)
Synopsis	(1)
第一章 引论	(1)
第一节 劳动激励研究的永恒性	(1)
第二节 实证研究的思路与框架	(6)
第三节 调查取样过程的组织与调查结果的分析方法	(8)
第四节 研究对象的基础特征	(17)
第二章 职工积极性及其主客观制约因素	(21)
第一节 职工积极性的心理与行为统一性	(21)
第二节 职工需要是职工积极性的源动力	(26)
第三节 职工积极性的客观影响因素——企业内外环境	(34)
第三章 煤炭企业职工积极性的现实与评价	(39)
第一节 评价尺度的确定与评价方法的选择	(39)
第二节 煤炭企业职工积极性发挥程度评价结果的分析	(49)

第四章 煤炭企业职工需要层次结构的总体定位 (56)

第一节 职工寻求满足的企业外部需要结构 (56)

第二节 职工寻求满足的企业内部需要结构 (61)

第三节 职工需要结构的比较研究 (72)

第四节 职工需要的程度层位结构 (77)

第五章 煤炭企业职工需要结构的差异性分析 (82)

第一节 不同性别、婚姻状况、政治面貌职工需要
结构的差异性 (82)

第二节 年龄、工龄对职工需要结构的影响 (86)

第三节 学历、技术职称对职工需要结构的影响 (93)

第四节 工种及工种性质对职工需要结构的影响 (100)

第五节 行政级别对职工需要结构的影响 (103)

第六节 家庭月人均收入对职工需要结构的影响 (106)

第七节 几种特殊职工需要的分析 (110)

第六章 煤炭企业职工积极性影响因素分析 (114)

第一节 煤炭企业职工积极性影响因素 (114)

第二节 煤炭企业职工群体积积极性影响因素的差异性
..... (119)

第七章 煤炭企业职工积极性影响因素与职工需要的 相关性研究 (136)

第一节 影响煤炭企业职工积极性因素与职工需要
的高度相关性 (136)

第二节 保健因素与激励因素的功能 (142)

第八章 煤炭企业职工行为激励	(146)
第一节 煤炭企业职工行为激励的着眼点.....	(146)
第二节 煤炭企业职工行为激励制度创新.....	(151)
第九章 煤炭企业职工行为激励决策模型研究	(157)
第一节 煤炭企业职工行为关系模型研究.....	(157)
第二节 煤炭企业职工行为激励对策模型.....	(168)
附录 A:煤炭企业职工积极性调查问卷	(177)
附录 B:煤炭企业职工积极性发挥程度评价指标权重专家 调查表	(186)
附录 C:煤炭企业职工迫切要求满足需要(前六位)选择人 数累计比率统计分析表	(190)
后记	(202)

Contents

Preface	(1)
Synopsis	(1)
Chapter 1 Introduction and Overview	(1)
1.1 Perpetual Research on Motivation of Workers	(1)
1.2 The Outline of the Positive Research	(6)
1.3 Organizing the Investigation and Deciding the Analysis Methods	(8)
1.4 Basic Characteristics of Staff and Workers in Coal Enterprises for Research	(17)
Chapter 2 Initiative of Staff and Workers and the Subjective and Objective Influence Factors on It	(21)
2.1 Definition of the Initiative based on Both Psychology and Behavior	(21)
2.2 The Needs of Staff and Workers are the Source Drivers for Initiative	(26)
2.3 The Subjective Influence Factors on Initiative — Envi-	