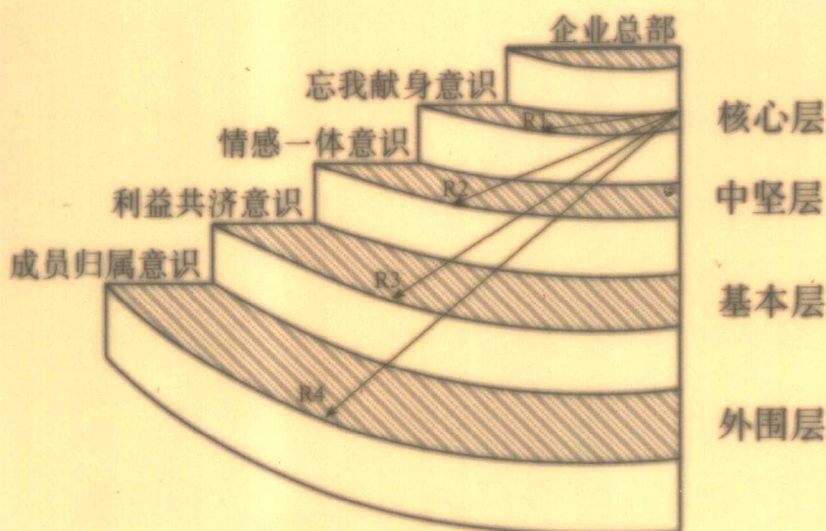
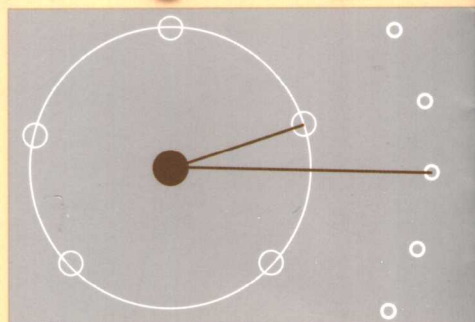


郑海航 著



企业组织论

Theory of Enterprise Organization



经济管理出版社

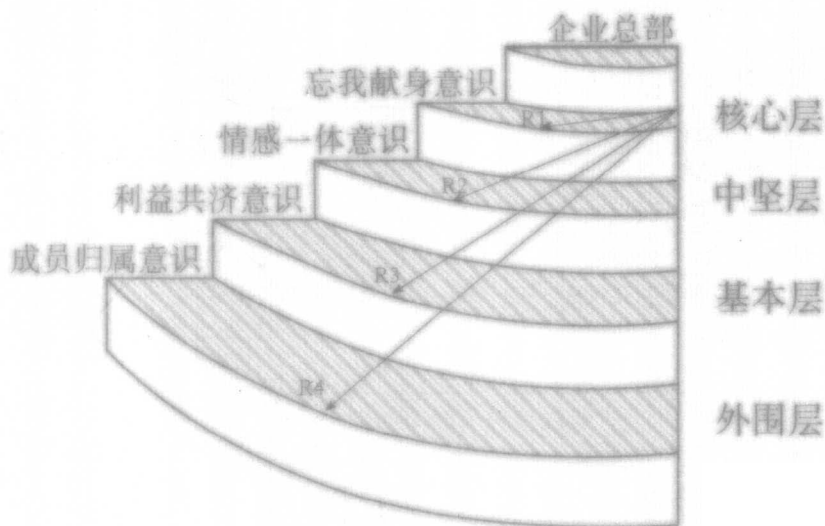
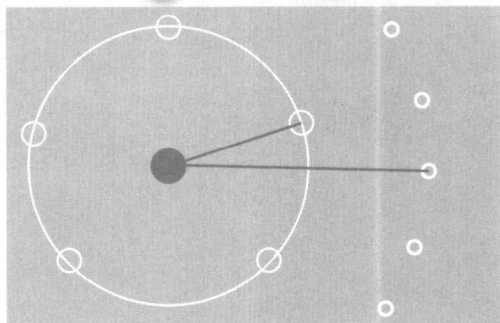
ECONOMY & MANAGEMENT PUBLISHING HOUSE

郑海航 著



企業組織論

Theory of Enterprise Organization



经济管理出版社

ECONOMY & MANAGEMENT PUBLISHING HOUSE

图书在版编目 (CIP) 数据

企业组织论/郑海航著. —北京: 经济管理出版社, 2004

ISBN 7-80207-136-4

I. 企... II. 郑... III. 企业管理—组织管理学
IV. F272.9

中国版本图书馆 CIP 数据核字 (2004) 第 135277 号

出版发行: **经济管理出版社**

北京市海淀区北蜂窝 8 号中雅大厦 11 层

电话: (010) 51915602 邮编: 100038

印刷: 北京晨旭印刷厂

经销: 新华书店

责任编辑: 杨世伟 孟书梅

技术编辑: 杨 玲

责任校对: 超 凡

787mm×1092mm/16

36.5 印张 636 千字

2004 年 12 月第 1 版

2004 年 12 月第 1 次印刷

印数: 1—6000 册

定价: 58.00 元

书号: ISBN 7-80207-136-4/F·127

· 版权所有 翻印必究 ·

凡购本社图书, 如有印装错误, 由本社读者服务部

负责调换。联系地址: 北京阜外月坛北小街 2 号

电话: (010) 68022974

邮编: 100836



郑海航教授2001年在北京行为科学学会当选为会长并致开幕词



郑海航教授2001年同吉林大学、中国人民大学、北京大学、南开大学、中国社科院等著名学者组成吉林大学国有经济研究中心学术委员会，并当选为主任



郑海航教授和著名管理学家马洪2001年在学术研讨会上亲切交谈



郑海航教授1997年到海尔集团考察调研



郑海航教授作为IFSAM中国委员会委员2002年出席蒙特利尔世界管理大会，与大会主席握手



郑海航教授和文魁教授2003年同著名经济学家于光远在一年的一度的首都经济学界新年团拜会上合影



1953年郑海航与大姐郑锦英合影于邱南县城



郑海航教授2002年访问美国麻省理工学院



郑海航教授2003年和他的博士生、硕士生团队欢聚一堂



郑海航教授和经济学家同仁刘伟一起切磋



郑海航教授和夫人孟书梅2004年夏回家乡考察

写在前面

早在 20 世纪 80 年代攻读企业管理专业硕士和博士的时候，导师蒋一苇就对我们几个同学各自的研究方向做了明确的定位，按照导师的建议，我愉快地选择了企业组织和企业制度的研究方向。此后不管是在中国社科院当研究员，还是到首都经济贸易大学做教授，我始终专注于企业组织这一管理学的分支学科；不管是申报课题，调查研究，还是教学带研究生，我始终把企业组织作为自己从事企业管理研究的主攻方向。

得益于此，我的研究生们在翻阅我的论文成果时，发现我的论文大致对企业组织各个方面都进行了较认真、较系统的研究，而且多数不是应景之作，不随时逝而失效，于是，我接受他们的建议，在他们的通力协助下，我围绕企业组织原理、企业组织机制、企业组织管理、企业组织重组、企业组织之帅——企业家五个方面，编纂了我在这些方面有一定原创性的学术论文。为便于读者们根据自己的兴趣有重点的阅读，特将本书中一些创新点作以简要介绍。

一、研究组织首先要研究组织原理。对此组织学家们之所以众说纷纭，经过博览群书，我发现是因为法约尔以来的大家们无意混淆了原理和原则的界限。据此我将人们制定的原则剔除，概括出组织设计中不以人们的意志为转移的七条原理。

二、马克思在《资本论》中科学地考察了企业资本和资本家的产生，那么原始的企业组织是怎么产生的呢？我对这一很有学术价值的问题，做了较深入、较细致的考察，并提出人类的企业管理组织在经历了纵向分工、横向

分工的历史阶段之后，现在正在进入信息分工或网络分工新阶段的见解。

三、在社科院工经所期间，有机会对企业作深入调研，记得在成都量具刃具厂调研企业管理组织一个多月后，我发现企业的管理组织尽管十分庞大，但其功能概括起来，无非筹划、执行、监控三大类；尽管组织间矛盾很多，但按其作用的积极和消极来分，只有两类，即相互制衡的客观性矛盾和相互掣肘的主观性矛盾。组织改善和文化建设的重要任务就是力求消除主观性矛盾的同时，尊重并正确发挥客观性矛盾的制衡作用。

四、在蒋老师提出“企业是一个能动的有机体”论断的启发下，我发现企业和企业经营管理是一个不亚于人体的很严密的系统。在对企业经营管理组织做了系统分析之后，按照系统的思想，我对厂长（总裁）所领导的经营管理系统进行了科学设计，提出了建立以厂长（总裁）为首的“一长三总师制”的构想，得到蒋老师的赞同，并写入了后来的中央文件，在全国许多大企业推行。

五、企业组织学作为企业管理学的重要分支学科，如何构建其学科体系，这是我撰写博士论文首先要解决的难题。既然企业和人体一样是一个有机体，那就应和人体一样具备肌体、意识和（自动调节）机制三个分体系，据此我构建了由组织结构、组织文化、组织机制三位一体、三足鼎立的企业组织学理论体系，并使企业组织学从企业管理学中相对地分离出来。

六、我在博士论文中强调：企业文化就是企业的组织意识。组织意识和组织凝聚是什么关系？在研究中我发现，组织凝聚不是混沌的，是分层次的，而其组织的层次性同组织意识的层次性又是天然巧妙地对应在一起的，于是形成了我的组织意识和组织凝聚的对应关系模型，有些企业老总将我这一模型戏称为“海航模型”，并据此对本企业员工的使用做了调整。

七、中央提出“增强企业活力是经济体制改革的中心环节”，这固然很正确，但还需要再深入一步思考的是，如何增强企业活力呢？通过对多年改革实践的思考，我认为企业改革的核心，既非换头换人，也非扩权扩钱，而是转换机制。于是我提出：转换企业经营机制是增强企业活力的中心环节和精髓所在。一时对机制的理解众说纷纭，我提出所谓机制是一种体制所产生的内在的、必然的、带有倾向性的机能。对于传统社会主义、改革之初的社会主义、市场经济下社会主义三种经济体制下的企业经营机制，我第一次做了三类的分类：有（外在）约束无（自身）动力的企业经营机制、有动力无约束的企业经营机制和有动力有（自我）约束的企业经营机制，该论文成为继 1985 年我的《试论企业领导体制的改革》在全国征文获一等奖之后，又

一次在全国获大奖的一篇有些理论价值的论文。

八、国有资产管理体制构建的关键环节是中间层，即国有资产的授权投资机构。由我和邵宁同志共同主持，由国家经贸委、国家计委、国家体改委、中国社科院有关专家联合组成的课题组经过一年多的调研和多次研讨，提出了国有大型企业集团能够成为国家授权投资机构的重要结论，这一研究成果对国有资产管理体制的改革正在起着重要作用。

九、企业效益是企业活力的重要表现。《劳动生产率、社会就业、经济效益》作为我经济管理论文的处女作，当时之所以受到中国社科院院长温济泽的赞赏，得以在《学报》创刊号头条发表，除了主要是学术前辈奖掖后人之外，其中也因为同以往的学者只强调劳动生产率和经济效益的一致性不同，论文发现劳动生产率和经济效益存在着不一致性，并从中国劳动力资源丰富这一国情出发，对我国引进先进设备的界限和条件做了力求科学、实事求是的理论分析和模式选择。

十、在对国有企业亏损大量调研之后，提出了一套独创而又符合实际的理论见解，特别是提出亏损作为一个复杂的经济现象，不是判定企业管理成败的惟一指标；应把致亏因素划分为消极性致亏因素和积极性致亏因素；应划分出体制性致亏因素和非体制性致亏因素，在非体制性致亏因素中，又提出包括两大规律性原因：一是产业剧烈变动带来的衰退行业企业的行业性亏损；二是成熟产业的技术成熟和市场成熟带来的亏损率上升的趋势。该成果以新的理论创见获得首届蒋一苇企业改革与发展学术基金奖，后又获第八届孙冶方经济学基金奖，这也算是对已故导师的一种汇报和纪念。

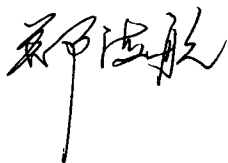
十一、企业组织的扩大既靠自身积聚，更靠联合、兼并和重组。这也是我的一个重要研究聚焦点。在对各类企业联合体大量调研之后，我发现我们理论界和教科书对企业联合形式的理论概括不够多，按以往的理论，联合只分为纵向联合、横向联合与混合联合，但对机械和组装类企业的联合规律都没概括在内，于是我撰写了《圆形联合论》，该论文对机械组装类行业的企业联合进行新的理论概括，即概括为以组装厂为圆心，以零部件厂和工艺协作厂为圆周，以相互联合紧密度为半径的圆形联合，这种联合形式在理论上既不同于现有的“横向联合”，也不同于现有的“纵向联合”，而是一种新的有独特规律、有生命力的联合形式。这一理论创见被写进马洪主编的我国高校教科书《中国工业经济管理》（中国社会科学出版社）。

对中国企业的兼并我概括为企业“恋爱三部曲”：既要反对政府违背企业重组客观规律的“拉郎配”，也要反对政府在转型期撒手不管，名为让企

业“自由恋爱”，而实际造成优势企业陷入恋爱不成“单相思”的窘境，正确的做法应是“郎拉配”，即优势企业这个“郎”拉上政府作红娘促成兼并劣势企业的“婚配”，从“拉郎配”到“郎拉配”，是对海尔、海信等成功兼并案例的形象概括，而其本身蕴含的企业重组规律也是发人深思的。

我把团队精神看得很重。过去，我和江小涓同志率领的团队也好，我和邵宁同志率领的团队也好，都是紧密合作和衷共济。过去常说“团结力量大”，我更想说，“团结智慧多”。我们既出了成果，也结下了深厚的友谊。今天我和首都经济贸易大学的博士生、硕士生们结成的科研团队就像我的亲人，我的家一样，我们共同合作的科研成果，有已经获两次大奖的《中国企业理论五十年》和即将出版的《中国企业家成长研究》，还有我们正在紧张研究的课题《国有资产管理体制和国有控股公司研究》，都是团队亲情和友情的结晶。为了体现我们团队精神，我在本书中特意把吴冬梅、戚聿东、宋克勤、徐炜等执笔的几篇有分量的成果编了进去。我祝愿，我也相信，我的团队的队友们定会后浪推前浪地继续奋发，后来居上。

五味人生，容“后记”细说。本书定稿，最使我心潮难平的是长兄如父，长姐如母。在他们年近八十之际，谨以此书献给有养育之恩的郑锦英大姐和郑怀高大哥！



2004年11月27日

Theory of Enterprise Organization

Forewords

Early in 1980s, when I was studying Enterprise Management and achieving my Graduate and Ph. D degrees, Mentor Yiwei Jiang has set up a clear research direction for each of our several students, and following his suggestion, I gladly selected Enterprise Organization and Enterprise System as my research area. After that wherever I go, as a researcher at Chinese Academy of Social Sciences (CASS) or as a professor at Capital University of Economics and Business, I am always devoting my mind to this branch of management science, Enterprise Organization. And no matter what I do in my works, such as applying for a research topic, investigation and research, or teaching and instructing my students, I always take Enterprise Organization as my main direction in the researching of Enterprise Management.

Benefiting from this persistence, when my students are browsing my articles, they find that these articles are related to every aspect of Enterprise Organization, and the works had been done with a serious attitude and by a systematic method; and that most of the articles are not confined within a special circumstance, or limited by a short time period. So I accepted my students' suggestion, and with the help of them, I organized some academic papers, which have original ideas, to become this book, these papers focus

on five aspects: the Theory of Enterprise Organization, the Mechanism of Enterprise Management, the Management of Enterprise Organization, the Acquisition of Enterprise Organization, and the Leader of Enterprise Organization—Entrepreneur. For readers' convenience, to focus on his or her interested area, I made a brief introduction to the original and innovative points of this book.

1. The first thing of researching in Enterprise Organization is to investigate its theory. Concerning this researchers have various comments, and through abundant reading I found that this is caused by that lots of scholars, after H. Fayol, unconsciously confused the boundary between theory and principle. Therefore I picked off these principles, which have been set up by people, and then carefully selected seven theories, which are unchangeable by the will of people, and are related to organization design.

2. Carl Marx scientifically analyzed the origin of capital and capitalist in Capital. But how did primitive enterprise organization come into being? I was very interested in this question, and made a careful and deepening investigation; then I provided an opinion that the enterprise organization of human being had experienced historical phrases: vertical and horizontal divisions, and now comes to the new phrase, the division of information or network.

3. When working in Institute of Industrial Economics of CASS, I have the chance to make a deeper investigation to enterprises. In my memory, one month after the investigation of enterprise management organization of Chengdu Measuring and Cutting Tools Factory, I found that the management organization is gigantic, but it can only be classified, from the functional perspective, into three categories: Planning, Implementing, and Controlling. There are lots of contradictions between organizations, but these contradictions can be classified, according to its positive or negative func-

tions, into counterbalancing objective contradiction and inter—impeding subjective contradiction. The most desirable targets in organization reforming and culture building process are striving to eliminate the subjective one, and emphasizing and exerting the positive function of the objective one.

4. Mentor Yiwei Jiang has a conclusion “Enterprise is a dynamic organism”. Inspired by this, I found enterprise together with enterprise management system is a very rigorous system, no less than human body. Through systematically analyzing the organization of enterprise management, and following systematic thinking, I made a scientific design of the management organization system under the leading of factory president (CEO). That is “one president and three chief majordomos”. Approved by mentor Jiang, this design was written in official document of central government, and put into practice in many gigantic enterprises.

5. Enterprise Organization is a branch of Enterprise Management, how to build its system is the main subject of my thesis. Comparing enterprise with human body, just like human body has three subsystems: body, conscious and self—adjust mechanism, I set up an organization theory with three coordinating subsystems: organization structure, organization culture and organization mechanism. Relatively, this theory set up a clear line between Enterprise Organization and Enterprise Management.

6. Enterprise culture is the conscious of its organization. What is the relationship between organization conscious and organization cohesion? I find, organization cohesion is not a blur picture, but has its own layers. And naturally, each level of organization cohesion is correlated with the level of organization conscious. According to the corresponding relationship, I set up a model, which is called “Haihang Model” by some entrepreneurs and they adjusted

their enterprise deployment by it.

7. The Central Government has put forward that "Boosting up enterprises' vigor is the central link of economic system reform." This is very right, but how to boost up its vigor? The core of enterprise reform is neither changing leaders or people nor handing out money and power; it is a mechanism transformation. Therefore I put forward this "mechanism transformation is the essentiality of boosting up enterprise's vigor." During that time, there were many explanations of "mechanism". In my theory, it is a kind of enginery that is procreated internally and inevitably, and always has a tendency. We have experienced three phrases of Socialism: traditional socialism, early in the reform, and marketing economy. To the enterprise management mechanisms of these three phases, I classified them into three categories: "having outer restriction but without internal vigor", "having internal vigor but without outer restriction", and "having internal vigor and with self-control". It is a valuable article of theoretical research, and got the first-class award in soliciting articles around China. That is the second time to get this award; the first time is an article named "the Mechanism Reform of Enterprise Leadership" in 1985.

8. The central link to build state-owned asset management system is medium level, the Empowered Investment Institution of State-owned Property. Presided by Ning shao and me, cooperated by specialists from National Planning Committee, National Economic and Trade Committee, National Development and Reform Committee, and Chinese Academy of Social Sciences, through more than one year's investigation and many times discussions, we put forward an important conclusion, big state-owned enterprise group can be accredited as the investment institution. It is a meaningful conclusion to the ongoing reform of state-owned property

management system.

9. Performance of enterprise is main presentation of enterprise vigor. As my maiden work on economics and management, "Labor Productivity, Social Employment, and Economic Profitability" got the approval of Mr. Jizhe Wen, president of CASS, and was published on the first position of "Academic Journal". That was not only caused by teacher's Caring, but also caused by the work itself. It discovered there is incoherence between labor productivity and economic profitability, and had a factual, scientific, and theoretical analysis about the boundary and condition for China's importing advanced machines, based on China's special condition: abundant labor resource.

10. Through lots of investigations on loss of state-owned enterprise, I provided a series of original and practical opinions, including that "Loss is a complicated economic phenomenon, not the only criterion of success or failure; the causes should be classified into positive or negative factors, and into system or non-system factors. There are two reasonable rules in non-system factors: one is that acute changing of industry structure causes the loss of the whole declining industry; the other is that the maturity of market and technology in developed industry causes the rise of loss ratio in this industry". Benefiting from its theoretical originality, the work got an award by Yiwei Jiang Enterprise Development and Reform Academic Fund, and then received another award by the 8th of Yefan Sun Economic Science Fund. And these are a report to and a commemoration of my respected teacher, Yiwei Jiang.

11. Enterprise's enlargement is not only caused by self-accumulation, but also more depended on enterprise combination, and enterprise acquisition and merger. This is also a focus of my researching. After the investigation of many types of enterprise com-

bination, I found that the summary of textbooks or in theoretical world is insufficient. In textbooks, it only classified the formation of enterprise combination into three kinds: vertical combination, horizontal combination, and mixed combination; it doesn't include the enterprise combination of machine and assembly line industry. Therefore, I write an article named "Circular combination" to solve this problem. The article takes the assembly line factory as center point, takes hardware part factory and craftwork factory as circle, and takes the cohesion level among them as radius, to explain this kind of combination. It is different to traditional vertical and horizontal combination, and has its own special, lively power. This originality has been collected into the college textbooks "China Industry Economic Management", written by Hong Ma (published by CASS Publishing House).

The enterprise acquisition and merger can be summarized as "three steps of love story": Bridegroom, Matchmaker, and Marriage. Bridegroom stands for the superior enterprise; Matchmaker means government; and Marriage is the merger process. In the past, matchmaker government either acted more like an arbitrary officer, who don't respect rules, compelling superior enterprise acquisition and merger with inferior enterprise, just like compelling marriage. Otherwise government will do nothing at all, and let enterprises finish acquisition and merger by themselves. The right way should be that the bridegroom, superior enterprise, asks government as the matchmaker to find a suitable enterprise, bride, and then get marriage. This has been proved by the cases of Haier and Hisen. The principles of enterprise acquisition and merger contained in these cases call for deep thought.

I cherish the team spirit very much. In the past, whomever I worked with, Xiaojuan Jian or Ning Shao, we all collaborated well

in the team spirit, and by the same time, we built up a profound friendship. There is an old Chinese saying “Cohesion is immense power”, I would like to say “Cohesion is immense wisdom.” Nowadays, I am working with my graduate and PHD students and researchers at Capital University of Economics and Business. This team is more like a family, and has provided a work named “China Enterprise Theory 50 Years”, which has already got two awards. Another work named “Research on the Growth of Chinese Entrepreneur” will be published in the near future, and now we are busily working on another research topic “State—owned Property Management System and State—owned Holding Enterprise”. Under the team spirit, I seriously put several valuable articles of my teammates into this book. They are Dongmei Wu, Yudong Qi, Keqing Song, Wei Xu and etc.. I believe and wish my teammates could stir themselves and get a superior success.

Haihang Zheng
Nov. 27th, 2004

目 录

第一篇 企业组织篇：

管理学重要分支学科

第一章 企业组织原理	3
一、组织由来和本质特征	3
二、组织类别与企业组织	7
三、企业组织结构要素	7
四、企业组织基本原理	12
第二章 企业组织考察	24
一、企业生产组织的历史考察	24
二、企业管理组织的历史考察	34
第三章 企业组织结构	49
一、基层组织：企业班组	49
二、管理组织：企业组织机构的授权与职能	59
三、企业间组织：企业集团	65
四、超企业组织：行业组织	78
第四章 企业组织系统	86
一、企业经营管理的系统性	86
二、一长三总师：企业领导组织的系统性	91
第五章 企业组织意识：企业文化	96
一、企业组织意识是多层次的集体意识	96