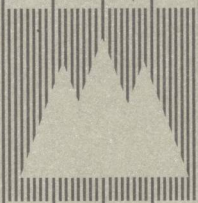


书山博士文丛



以人为本的出版企业激励机制研究

李阳 著

湖南师范大学出版社

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書山尚勤

方漢章題

总 序

书山之名，缘自两义：一为学院居处曰书山，一为“书山有路勤为径”之书山，一实一虚，既是作者共同栖居笔耕之地的标记，又是作者共同进取、心无旁骛、勤在书山心志的表述。

人是情感之物，敝帚自珍，陋室自铭，居山则情满于山，居水则情溢于水。刘禹锡《陋室铭》曰：“斯是陋室，惟吾德馨。苔痕上阶绿，草色入帘青。谈笑有鸿儒，往来无白丁。可以调素琴，阅金经。无丝竹之乱耳，无案牍之劳形。南阳诸葛庐，西蜀子云亭。孔子云：‘何陋之有？’”可谓神气十足也。而今我谓书山，不唯“何陋之有”，且神圣美好难尽言也。说陋亦陋，书山坐落之红楼，乃20世纪50年代所建，原为学校老图书馆，现为我院教学楼。“新三年，旧三年，缝缝补补又三年”，砖旧木朽，已如将将就就之旧衣裳了。然情人眼里出西施，书生钟爱不离书，拙作《书山抒怀》写道：“山因书名，书以山存，无山之形胜则缺书之静远，无书之精魂则少山之生命。书山，书山，志书也，恋书也……静静的揭页声，悄悄的笔走声，教师的肺腑之声，学子的赤诚心声，构成此山此楼不竭之籁，构成她的生命之河……书是书山的质地，是书山的魂魄，是书山的情愫！无形之书山与有形之书山相得益彰，

有形成成为无形的象征!”唯此为美,妙不可言,心声难已。不仅神美,且貌亦美,拙作《书山抒怀》状其貌曰:

凭窗远眺,右有岳麓如背可依,左有湘水如带可系,满目青翠,一派生机。樟树满山,层层翠波;石榴桂花,点缀其间;日斑月痕,柔影暗渡;飞鸟翔集,私语不绝。红楼引青翠为密友,青翠引红楼为共怀。红楼西走数十步,有亭名“砥砺”,造型简朴,风格坚毅。亭之左右有天然两石耸卧,耸者名“书山”,卧者名“学海”,为点睛之石也。造化钟神秀,为不绝之弦诵和。

此等好去处,皆因书而存,因书而美,点石成金,皆因书缘。有书就有底气,傲视尘世喧嚣,其奈我何?现为丛书之名,则山随书而扬名天下。书山,书山,书为魂魄,书为羽翼,书为根本也。

立院六年,得书山灵气多多;书山灵气,实人气也。六年辛苦不寻常,旧貌换新颜,所赖人才也。学院视人才为无价,全额资助攻博,北京、上海、南京、武汉等处名校,皆为我育才之所。十多个博士成群成队,已成气候。书山立业,自有彪炳,结集成书,各有千秋。书乃保鲜库,思想、情感、人格,一并付梓,愿不朽矣!

方汉奇教授题“书山尚勤”四字,铭书之扉页,既为书山之径,亦为丛书之旨也。

是为序。

田中阳

2007年2月18日于岳麓山寓所

摘 要

改革开放以来，文化事业的改革与发展逐步由“事业型模式”向“产业型模式”转变（公益性文化事业除外）。作为文化产业重要组成部分的出版业，其体制改革工作也在全国迅速展开。当下，我国的出版发行体制改革进入了攻坚阶段。出版体制改革的试点取得了局部和阶段性成效，新一轮以中央部委和大学出版单位为重点的转企改制工作已经铺开。事业体制模式将被打破，事业体制模式下的激励方式已不适应新形势的要求，这就为我们提出了出版管理变革的新课题。

如何看待组织中的人，是能否做到以人为本的前提，是影响组织人力资源管理成效的关键。现代出版企业的管理模式已从传统的“命令－控制”型向“引导－激励”型转变。而好的激励机制是一种科学的“生产关系”，它不仅能让员工体会到自身的价值，而且会给出版企业注入生机与活力。作

为文化创意产业的出版企业，更要有一种好的激励机制，而且这种激励机制要有别于一般企业，为人才提供充分释放创造力的空间和动力。

本研究以有关人性理论、人性假设理论和激励理论的研究成果为基础，从我国出版企业激励机制的现状出发，通过对激励中人性的研究和出版企业中人的个体需要、个体行为、激励影响因素等进行分析、归纳和总结，构建当前出版企业以人为本的链级双轨激励机制模型，结合出版企业的实际情况对该模型进行了具体分析，并提出了优化策略。

本论著分为七个部分（包括绪论和结束语），主要内容如下：

第一部分是绪论，主要介绍了本论著研究的背景、意义，对国内外相关研究进行了综述，指出了论著研究的目的与方法，并提出了本论著研究的创新之处。在我国出版企业处在出版全球化日益明显、国内出版发行体制改革全面深化、科学出版观深入人心的宏观环境中，研究以人为本的出版企业激励机制具有重大的理论和实践意义。出版管理的变革，出版创意产业的发展，参与国际出版竞争，都需要人才。而吸引人才，留住人才，充分调动和发挥人才的积极性、创造性，离不开良好的以人为本的激励机制。西方对企业激励问题的研究已使其发展成为一种科学化、系统化的激励理论，国内对企业激励问题的研究从多层面、多角度进行，也取得了一定的成果。然而，目前专门针对出版企业激励问题的研究显得比较零散，虽然其中不乏真知灼见，但系统研究尚不多见。

第二部分对以人为本的出版企业激励机制的内涵进行了阐述，并对目前出版企业激励机制中存在的问题进行了分析，认为构建以人为本的激励机制是出版企业永续发展的必然诉求。

激励是通过调整外因来调动内因,从而使被激励者的行为向提供激励者预期的方向发展的过程。激励效用的真正发挥,必须要形成一套完整的机制。出版企业激励机制因其企业、产品的文化属性及其员工的知识性特征而呈现出比较明显的个性化特点。以人为本的出版企业激励机制要求出版企业所构建的激励机制始终做到从人出发,依靠人,为了人,把人和人的发展作为根本,突出人在出版企业发展过程中的作用,实现人与企业的同步发展。出版业的转制正在进行中,原有的激励机制在新的形势下表现出一定的不适应性,存在着一系列的问题,主要表现在忽视个体需要、分配机制不顺、用人机制僵化、激励结构单一、整体规划不足及文化激励乏力等几个方面。对这些问题的认识与分析,是重构和完善出版企业激励机制的前提。构建以人为本的出版企业激励机制是对人的认识不断深化的结果,是出版企业传统的人事管理向现代人力资源管理转变的客观需要,是出版企业实施有效激励的内在要求,也是我国出版企业激励实践的现实呼唤。

第三部分论述了以人为本的出版企业激励机制研究的理论依据,为整个研究提供理论支撑。人性理论是以人为本的出版企业激励机制研究的逻辑起点,因为对人性认识的差异便产生了不同的管理理论和激励思想。在考察了中西方人性思想的基础上,笔者认为,人性应是多样二重性的统一。人性假设理论是出版企业选择激励机制的价值论前提,选择不同的人性假设,会产生不同的激励机制。笔者综合中西方人性论的有关观点和人性假设理论的有关研究成果,提出了一种新的人性假设,即“价值人”假设。笔者认为,以人为本的出版企业激励机制中的人即“价值人”,人既是“手段人”,也是“目的人”,是两者的统一体。激励理论是出版企业构建激励机制的

方法论依据, 管理学家、经济学家都从不同的角度研究了怎样激励人的问题, 并提出了相应的激励理论, 这些理论为设计以人为本的出版企业激励机制从行为和制度层面提供了方法论依据。

第四部分对构建以人为本出版企业激励机制的影响因素进行了分析。以人为本的出版企业激励机制的构建主要受个体因素、管理因素和社会环境因素的影响。个体因素即人的因素, 激励机制通过满足人的需要而起作用, 分析出版企业中个体因素也就是分析出版企业中员工的需要及其特点。管理实质上是一种制度安排, 不同的管理制度, 对激励机制的安排不同, 激励机制发挥的效用也会不同。在众多的管理因素当中, 对出版企业激励机制的构建影响比较大的是组织结构与领导行为。环境因素主要是指出版企业所处的宏观经济环境、社会文化环境和政治法律制度环境, 这些因素对以人为本的出版企业激励机制中的激励手段的设置均有着直接或间接的影响。

第五部分对以人为本的出版企业激励机制进行了设计与分析。以人为本的出版企业激励机制的设计, 应遵循以人为本等六大原则, 达到重点突出、形式多样、实施灵活等要求。基于此, 我们设计了以人为本的出版企业链级双轨激励机制模型。第一步根据出版企业组织结构存在的等级层次, 设计出链级层次激励机制模型; 第二步基于不同层级的人需要强度的不同而需要异质激励和同一层级的人因个体的差异性也需要异质激励, 构建出双轨差异激励机制模型; 第三步是对前面两个模型进行整合, 设计出以人为本的出版企业链级双轨激励机制模型。随后对以人为本的出版企业激励机制分别从高层经营者激励机制设计、中层管理者激励机制设计、基层执行者激励机制设计三个层级进行了分析, 并具有针对性地设计差异化激励因

素。最后对出版企业团队激励的相关问题进行了探讨。

第六部分对出版企业以人为本激励机制提出了优化的策略。以人为本的出版企业激励机制的链级双轨激励机制模型为出版企业激励机制的构建提供科学的指导，但出版企业在此模型指导下建立起符合实际的激励机制，在实践运用方面，其效用的最佳发挥，还必须对其作进一步的优化。我们针对出版企业激励机制中目前存在的问题，结合上述的激励机制模型及其分析，对出版企业激励机制的优化从创造实施有效激励的制度环境、设计合理的薪酬体系、建立科学公正的绩效考评体系、培育和谐优秀的出版企业文化等四个方面做了一些探讨。

第七部分为结束语，对论著的主要研究进行了总结，指出了研究的不足及展望。本研究将探寻的视角对准我国出版企业的激励问题，把以人为本的出版企业激励机制作为研究对象，视其为转型期关系到出版企业增强发展内在动力最根本、核心的问题，在理论上创造性地解决了笔者在工作经历中遇到的问题，解除了思想上的困惑，在实践中，能够有效地指导出版企业人力资源管理实践，提高出版企业激励的有效性。从整体上看，论著达到了预期的写作目标。同时也指明了在以人为本激励机制模型的完善方面，在成熟的案例研究方面，在微观操作层面等有待进一步研究的问题。

关键词：出版企业；以人为本；激励机制；“价值人”假设；链级双轨激励机制模型

Abstract

Since the implementation of the reform and opening-up policy, cultural institutes other than those for public benefits have been gradually performing a transformation from state-control-unit pattern to enterprise pattern. As a result, organizational reform has been quickly sweeping across publishing industry—one of the major constituents of cultural industry—throughout the whole country. The majority of publishing units will be transferred to enterprises with only a small exception of those concerning the Party, undertaking political commissions or involving public welfare. At present, the transformation has advanced at a critical point where trial reform has achieved partial and gradual process, and where reform mainly in publishing units under the ministries of the CPC and the universities faces broke-out. To meet the challenge evoked by the new situation, new management

means are in urgent need to substitute the out-of-date motivation mechanism formed under the state-control-unit pattern, which presents us a new project of publishing enterprise management.

The recognition of the role of individual in an organization is the premise for humane-oriented management and the key factor for successful human resource management. This belief has led to the transition from "command-control" pattern in traditional institutes to "guide-motivation" pattern in modern enterprises. Effective motivation mechanism embodies a kind of scientific "productive relations", which can let the staff realize their own value, and at the same time fill a publishing enterprise with vitality and vigor. As a kind of cultural industry demanding creativity, publishing enterprises are inevitably required to establish appropriate motivation mechanism different from that of other enterprises to provide as many opportunities and as much impetus as possible to release the creativity of talented persons.

Taking the related theory on human nature and the fundamental theoretical achievements of motivation research as a foundation, the author aims to establish humane-oriented motivation mechanism. Consequently, based on the analyses of the present situation of publishing enterprises, the leveled and double-tracked chain motivation model is designed with a fully consideration of human nature, personnel's individual needs, individual behavior and motivating factors during the process of motivation. Further optimizing strategies are also presented.

This book consists of seven parts, introduction and conclusion included.

The first part is the introduction, which mainly introduces the background and the significance of the research in this dissertation, reviews related foreign and domestic research on the problem, illustrates the purpose of the research, establishes the research methods, and points out the innovation of the research as well. Under a macro-economic environment where publishing enterprises' globalization has become increasingly obvious, systematic reform in publishing industry are deepened and the scientific publishing concept enjoys popular support, the research into humane-oriented motivation mechanism in publishing enterprises is of great theoretical and practical significance. There is no doubt that it is imperial for publishing enterprises to attract talented people, keep them and motivate them in the process of reforming management, developing creative publishing industry and participating in international competition. The best way to attract such personnel, keep them and stimulate their creativity is to set up excellent human-oriented motivation mechanism. All calls for an excellent motivation mechanism. Enterprise motivation mechanism studies in the West have been developed into a scientific and systematic theory. Domestic researches, which have been carried out on multi-levels and from multi-aspects, have yielded certain results. However, present studies specially aiming at motivation mechanism in publishing industry appear quite scattered, not lacking penetrating judgments, though. Obviously, on this subject, there exists a vacancy and a need for a systematic study.

The second part illustrates the connotation of the humane-oriented publishing enterprise motivation mechanism, analyzes the

problems currently existing in publishing enterprises and concludes that it is an inevitable demand of the sustainable development of publishing enterprises to build humane-oriented motivation mechanism. Motivation is to mobilize internal factors through the adjustments of external factors so that the motivated act in the direction of the expected process. However, to exert the power of motivation, it is necessary to form a complete set of mechanism. As for a publishing enterprise, its motivation mechanism possesses distinctive characteristics because of its cultural-related businesses, products and its well-educated staff. Humane-oriented motivation mechanism centers around people and requires that the construction of motivation mechanism always proceed from the people, for the people and relying on the people. It is a type of mechanism where people and their development are fundamental, where individuals' contributions are paid great attention and where human and enterprise development proceed harmoniously. In the process of the restructuring of the publishing industry, the original motivation mechanism no longer adapt to the new situation and many deficiencies demonstrated such as neglecting individual needs, confused allocation mechanism, rigid employment system, single incentive structure, lack of overall planning and cultural motivation. The understanding and analyses of these issues provide the premise for the reconstruction and improvement of motivation mechanism in publishing enterprises. The construction of the humane-oriented publishing enterprise motivation mechanism reveals a deepened understanding of human nature, meets the requirement of the transform from traditional personnel management to a modern human resources management, satis-

fies the inherent demand for publishing enterprises to implement effective motivation and is the responsiveness to the reality in the practice of China's publishing industry motivation.

The third part elaborates the theoretical basis for the construction of humane-oriented publishing enterprise motivation mechanism in China, and thus providing the theory strut for the entire research. Since the differences in the understanding of human nature leads to different management theory and motivation idea, the theories on human nature serves as the logical starting point of the whole research. Based on the observation of the thoughts of human nature both in the West and in China, the author of this book believes that human nature should be a diverse dual unification. The human nature supposition theory is the value premise in choosing motivation mechanism, according to which the choice of different human nature supposition can have different motivation mechanism. In this book the author proposes the idea of "the value person" supposition as a new approach to human nature research on the basis of related viewpoints and achievements on human nature and human nature supposition in the West and in China. It can therefore be concluded that a person in a publishing enterprise with humane-oriented motivation mechanism should be regarded as "the value person" —an integration of "the means person" and "the goal person". Management scientists and economists have conducted research on various aspect of individual motivation and therefore put forward related theory, which provides the methodological basis for the construction of motivation mechanism ranging from behavior to policy.

The fourth part carries on the analysis on the factors that affect

the establishment of the humane-oriented motivation mechanism in publishing enterprises, mainly including individual factors, management factors and social environmental factors. Individual factors concern people, and since motivation mechanism comes into force through satisfying the specific needs of individuals, the analysis of individual factors means that of each individual's need and personality of a staff. Management factors are actually a kind of policy arrangement. Different management policy brings in different motivation arrangement which consequently results in different motivating effect. Among multitudinous management factors the organization and its leaders' behavior are of most importance. Environmental factors consist of macro-economic environment, the social cultural environment and the environment of politics and law, all of which exert a direct or indirect influence on the design of motivating means within the humane-oriented publishing enterprise motivation mechanism.

In the fifth part, the author conducts the analysis and the design of the humane-oriented publishing enterprise motivation mechanism. There are six important principles to follow in the process of designing a humane-oriented enterprise motivation mechanism with outstanding features, diverse forms and flexibility in practice. To meet the demand, the leveled and double-tracked chain model is proposed. The first step is to design a leveled chain model according to the strata existing in the organizational structure of a enterprise. The second step is to establish a double-tracked distinguishable model based on the phenomenon that not only persons of different strata need distinctive motivation due to the difference of need