

**CAIC  
2019**

Insight to Chinese and ASEAN's experience and adaptation

# **The 1<sup>st</sup> CHINA-ASEAN International Conference 2019**



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CAIC  
2019

# The 1st China-ASEAN International Conference 2019: Insight to Chinese and ASEAN's Experience and Adaptation

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## Contents

Green or not green? The Impact of Corporate Green Strategy .....	1
Chun-Shuo Chen Pao-Cheng Chen	
Development of a Maintenance Supplier Selection Model Framework in Thailand.....	14
Thareewan Wongthong Asst. Prof. Dr. Naraphorn Paoprasert	
The research of innovation ambidexterity perspective on marketing art performance groups	24
Chang-Hsien Hsu Yu-Hsuan Lan Hsin-Pei Wu	
The study of large stadiums design and planning and management in USA .....	32
Chang-Hsien Hsu Chiu-Yu Hung	
A Study on the Influence of Emotional Services on Service Adaptive Behavior .....	38
Cheng-Jui Tseng Tzu-Chia Chen RunZong Yu Chih-Yun Yang	
Exploring of the Correlation between Satisfaction of Service Quality, Customer Loyalty and Marketing Strategy on Market Share .....	46
Chang-Hsien Hsu Chia-Chi Lin Fu-Min Chang	
Thai Television within the context of Political Economy Theory - The case study of BBTV	58
Jonas Becker Pirawan Numdokmai Pongstorn Limanonn	
Research on The Factors of Consumers' Demand for Unattended Convenience Stores by Technology Acceptance Model – A Case Study of Thailand's Metropolis .....	70
Wang Ching-Hsin Pongpisit Jitouyporn Huang Yu-Qian	
Corporate Social Responsibility performance (CSR) and perceived brand quality on Chinese students-based brand preference in a private university in Thailand.....	88
Haofu Li Dr. Shanshan Wang	
Perception of Conflict: A Cross-cultural Comparison between Hong Kong Chinese and Thais .....	96
Kelvin C. K. Lam Nuntasaree Sukato	
Driving to Successful Internationalization: A Progressive Management Model of International Education Learned from Christian Universities in Taiwan .....	110
Yi-Jian Huang	
Online learning of Chinese language and culture to develop CFL children's creativity on using mobile application .....	120
Peng-Fei Chen Hsuan-Po Wang Xiang You Dui Chen Tzu-Chia Chen	
An Investigation into the Determinant Causes of Stress and Stress Level of Chinese College Students in Bangkok Thailand.....	130
Dr. Li-Wei WEI Fei ZHAO XiChang HUANG ManHua LI	
The Correlational Study of Chinese Adult Learners' Collocation Knowledge in Their English Business Writing Ability .....	136
Dr. Li-Wei, WEI	
The Intelligibility, Comprehensibility and Accentedness of Asian English Speakers in English Listening Materials for Healthcare Students .....	147
Khwanchanok Suebsook	

Influence of Students' Aesthetic Experience on Creative Self - Efficacy and Innovative Behavior between Thailand and China Students .....	160
Yuan-Cheng CHANG Napawan Jaisook Kanokphan Thamsatitsuk	
Empirical Analysis of the Impact of Equity Incentive on Corporate Performance—Take A-Share Listed Companies as an Example .....	170
Chen Si Yao Wang Kun Chen	
Analysis of Factors Affecting Chinese Enterprises' Willingness to Investment in Thailand	179
Yu Hao Guo Wang Kun Chen	
The Impact of Organic Food's Corporate Image and Electronic Word of Mouth on Consumers' Purchase Intention: The Moderating Effect of Moral Identity, Self-efficacy and Impression Management Motivation .....	189
Ying CHEN Chun-Shuo CHEN	
Grey Relational Analysis of China's Industrial Structure and Economic Growth.....	199
Ying Qi Lei	
A Study of Effect of Hofstede's cultural dimensions theory on Employee loyalty: The Mediating Effect Analysis of Leader- Member Exchange Relationship.....	207
Yunxi Jiang	
Career Planning and Incentive of International Students in Thailand: A Case of DPU-CAIC Student.....	219
Ximing Shi	
“激励/保健因素”重要程度感知与“工作满意度”感知的关系 .....	226
于田杨 何荣良	
台湾霹雳布袋戏在南京高校的潜在观众市场研究.....	236
唐瀚	
解析主旋律医疗剧的创新之道 .....	250
李佳瑜 罗教讲	
智慧云医院的未来发展与应用性研究 .....	256
王为生 何荣良	
S 口腔医院员工激励问题研究 .....	266
马明旭 彭兆祺	
工作热情的激励因素分析 .....	275
杨秀刚	
员工工作压力、职场关系网络构建行为对工作满意度的影响：情绪智力的调节效果	286
Chen hao Chen Chun-shuo	
数字化整合营销与四川微信 APP 用户使用反馈之间的关系 .....	297
Meng Luo Charunya Parncharoen Thammika Sutthasian	
交互设计理念在儿童药品创新包装设计中的应用研究 .....	308
朱琳	
泰国媒体市场竞争力性的回顾 .....	317
Chenicha Praphruetmon	

南京吉祥牌云锦的营销策略研究.....	323
林天瑶 尚鸿雁	
“比”字高程度构式研究 .....	330
Siriwan Sanyakul	
汉泰惯用语源域分类对比分析 .....	341
Raveerampai Pipattanalak	
韓國學生華語聲調偏誤分析 .....	350
陳靜姿	
俄國學生華語聲調偏誤分析及教學建議 .....	359
張文珍	
泰语感叹词对比研究.....	369
Chanachok Sudprasert Jenjira Buddahon <sup>2*</sup>	
NKT 集团构建财务共享服务中心的研究.....	377
田绪浩 彭兆祺	
職場中男女工作平等差異之研究.....	385
Hsin-Pei Wu Yu-Mei Wang Hsin Chen Yi-Hui Chen	
以計畫行為理論探討台灣和馬來西亞消費者對綠建築之購買行為意向 .....	392
黃慶源 張原誠 鄭義鋼	
金融支持对中国苗族文化创意小微企业成长绩效影响研究 .....	401
陶剑 刘松柏	
员工多样性对知识分享的影响 .....	409
农任媛 陈晔	
海峽兩岸普通高中科學課程綱要之研究比較從自我調整學習角度分析 .....	421
蔡秉宸	
台湾地区幼儿园教保人员在职进修、工作价值观与专业发展之相关研究 .....	432
郑雅婷 邱宪义	
由主要照顧者觀點探究在家教育實施的現況與感受.....	443
程恩蓓 林雅容	
博仁大学中文国际学院经济数学教学课程中的问题探讨 .....	455
李满华	
台湾地区青少年忧郁症状之纵贯恒等性分析 .....	467
张仁诚 农伟挂居	
中国文学泰译历史时期划分及命名问题探析 .....	491
李学志	
汉泰声母对比及中国学生偏误与教学对策 .....	499
Ms.napawan Jaisook (梅格云)	

对外泰语教材在对外泰语教学研究的重要性 .....	506
Penpisut Sikakaew 吴亮亮	
孔子学院志愿者的支持与泰国本地学校的影响——基于“一带一路”战略的背景 .....	511
Thanon Phunsapphaisan Wasana Srisastra Natthana Koeyesomboon	
中泰人文交流现状研究 .....	516
黄蕙	
曼谷的大学商圈商店汉语使用与中国顾客购买意愿调查研究——以泰国博仁大学和泰国商会大学为例 .....	527
Anongkarat Bangsri Threesoon Kesorn Suphakorn Tapim	
浅析中国电影市场发展问题——以 2012-2017 年中国电影市场为例 .....	537
王欣欣 姚瑶	
贵州万山国家矿山公园的旅游吸引力提升途径 .....	542
喻熊	
高职生社会支持对学习倦怠的影响：心理韧性的中介效应 .....	550
陈丽霞 吴春 欧阳淑华	
Fey 的容纳他人量表在高职生应用研究 .....	558
吴春 陈丽霞 黄新民	
大学生创业自我效能对创业意向的影响：以中国海南省某高校为例 .....	566
王立宇	
中国广西师范类大学生手机依赖与学业拖延的关系：社会支持的调节作用 .....	573
农伟挂居	
中国江苏省大学生班级气氛对主观幸福感的影响：以教师支持和同学支持为中介 .....	584
王娟 丁鑫	
将积极心理学运用于中国民航飞行员在职教育：一个整合工作压力、工作倦怠及心理资本的调节效果分析 .....	593
丁鑫 王娟 马春波	
中国货币政策对国债收益率影响的研究 .....	601
徐隆基 陈思婷	
消费者环保认知对品牌忠诚度之影响：品牌个性的调节效果 .....	611
李浩南 陈俊硕	
中国游客对曼谷辉煌区夜市的满意度研究 .....	620
丁瑞娜	
基于中国手机品牌社群认同对品牌延伸评价的影响研究 .....	630
王俊杰 张雅萍	
中国上市公司送转比与累计超额收益率之关联性研究 .....	639
樊耀军 陈思婷	
知觉风险、知觉价值与再购意愿的影响研究 .....	651
Jiang Aobo	

大学生社会责任意识、绿色生活方式对主观幸福感的影响：兼论反思道德关注的调节效果.....	657
黄上上 陈王昆 张雅萍	
探讨游客旅游动机、休闲涉入对重游意愿之影响.....	666
王进 张雅萍	
体验营销对顾客公民行为及品牌忠诚影响之研究：以主观幸福感与品牌认同为中介变项自我一致性与主动性人格为调节变项.....	674
王子琛 王家福	
探讨互联网知识付费之“得到”品牌的个性、品牌至爱和口碑的影响：以消费者性格和品牌体验分享为调节.....	684
何昊旻 张雅萍	
美容业顾客间互动与服务接触对顾客满意度之影响研究：以顾客积极情绪与体验价值为中介变量，另以顾客兼容性为调节变量.....	693
雷鸣 王家福	
品牌认知对购买意图的影响：品牌情感与品牌态度的中介作用及品牌促销的调节作用.....	702
胡馨月 王家福	
中国知网近十年初中数学教学方法研究之后设分析.....	712
徐天问 黄益坚	
陕西省音乐类大学生美感素养与人格特质的关系.....	721
崔海荣	
中国大学生情绪智力对心理健康的影响：以社会支持为调节变量.....	727
尚阳阳	
中国在泰留学生自我效能感、跨文化适应和学习行为关系之研究.....	735
蒋文霞	
中国 2-3 岁幼儿智能发展之感统游戏课程设计.....	744
余涛	
云南省大学教师的坚毅对自我效能感的影响研究.....	760
张珂	
多元智慧理论融入舞蹈创作教学对中国舞蹈专业大学生之舞蹈创造力影响.....	769
马莉	
合伙人包容型领导对员工工作满意度的影响研究.....	775
闫全山	
中国腾讯 WE GAME 平台游戏产品营销管理策略研究.....	782
朱昊 尚鸿雁	
基于胜任力下的人力资源管理模式.....	789
董业均	



父母奖励对学前儿童社交技巧的影响 .....	797
吴琼	
中国信托业内外部环境因素对企业价值之关联性研究 .....	805
李旺 陈思婷	
中泰兩國之中國大學生美感經驗對平面設計的影響 .....	817
林偉欣	
音乐素质教育对中国安徽普通高校大学生音乐审美观之影响 .....	826
曹野平	
PUGC 模式：未来国内短视频的发展模式.....	834
储文韬	
网络游戏与人际交往的综述研究.....	841
张文静	
中国大学生实习课程满意度、自我效能与学生就业能力相关性之研究：以大连某民营艺术 术类高校为例 .....	845
侯香夷	
学生各项需求重要程度感知与性别特征相关性研究——以泰国某中文学院为例.....	862
颜和然 何荣良	

# **Green or not green? The Impact of Corporate Green Strategy**

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## **Abstract**

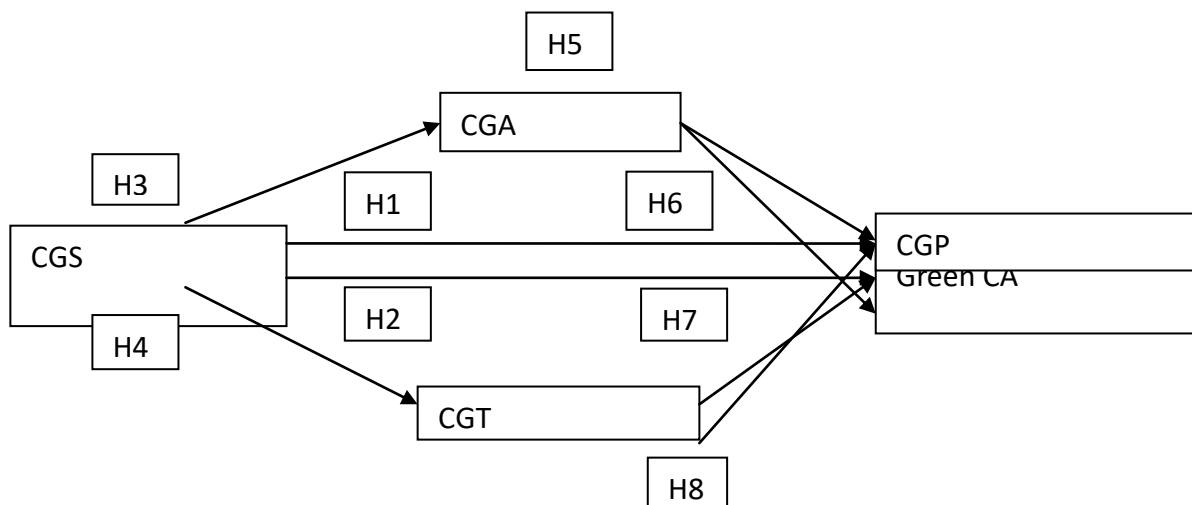
This study aims to explore the effect of corporate green strategy (CGS) practiced by the firm on the corporate green performance (CGP) and competitive advantage (CA) under the request of the green institutional factor. High-technology manufacturing firms in Taiwan were selected as subjects, and stepwise regression analysis was used for the analysis of the effect of CGS on CGP and CA. This study derived the following contributions and strategic suggestions from the analyzed data and empirical analysis results: (1) corporate green assets (CGA) and corporate green technology (CGT) are the main factors that can be used by firms to obtain the green CA. (2) The direct effect of a CGS on CGA, CGT, CGP, and CA can be proven. Furthermore, the mediating effect of CGA and CGT in influencing CGS on the CGP and CA can be defined. (3) Firms should use the corporate environmental responsibility (CER) conceptual framework built by Yu and Chen [1] to promote green CA, and firms should examine and classify CER performance with partners according to the performance measurement indicators built by Chen et al. [2]. (4) Governments should design regulations for CER and provide resources to help firms obtain CGA and CGT.

**Keywords:** Green strategy, green assets, green technologies, green performance, green competitive advantage

## **1. Introduction**

The reduction of environmental pollution and the improved efficiency of energy utilization are critical and leading firms who are actively fulfilling their environmental protection activities and social responsibilities have become an international trend [3, 4]. Notably, although the CER conceptual framework of Yu and Chen [1] successfully revealed the green strategy implemented by the enterprise, achieving the green performance and competitive advantage of the enterprise through the production of CGA and CGT and understanding its main influencing factors have not yet had the opportunity to verify or reinforce the empirical data of quantitative research. Therefore, this study aims to supplement the empirical data and the application of the CER conceptual framework of Yu and Chen [1] to explore the clear causal relationship between the CGS implemented by the company and its CGP and CA.

The purpose of this study is to carry out the following: 1. Use construction to measure the actual metrics of the CER conceptual framework of Yu and Chen [1]; 2. Use the aforementioned substantive measures in developing effective questionnaire items that can be quantified; 3. Conduct an empirical quantitative study to verify the causal relationship between the conceptual framework and its intrinsic factors; 4. Provide academic research on the relationship between research and the development of CGS and improve CGP and CA for the first time from conceptual framework to empirical and complete research; and 4. Provide a reference for the business community to effectively develop CGS and enhance CGP and CA in the future. Figure 1 shows the conceptual framework of this study.



**Figure 1. Conceptual framework of this study**

## 2. Literature review and hypotheses development

### 2.1 CGS, green performance, and green competitive advantage

Lai and Feng [5] propose that corporate environmental management activities have a significant positive relationship with the performance of Twilight. Chen [6] affirms that the green core of manufacturers can be positive with the green innovation performance and the green image of the manufacturers themselves. Investing in the development of a green core can be beneficial to companies who want to enhance their green innovation and image. Chen et al. [7] also propose that green product innovation and green process innovation performances have a positive relationship with the company's competitive advantage. Chen [16] also emphasizes that three types of green smart capital (i.e., green human capital, structural capital, and relational capital) have a positive impact on the competitive advantage of manufacturers. On the basis of the aforementioned literature, this study infers that Hypotheses 1 and 2 are as follows:

H1: CGS has a positive impact on CGP.

H2: CGS has a positive impact on the green CA.

### 2.2 CGS, assets, and green technology

Berry and Rondinelli [8] propose that, if companies adopt a proactive environmental management strategy, they should combine environmental protection goals with the functions of the various departments of the enterprise and use innovative environmental protection technologies to solve environmental problems such that they can be exempted from environmental protection. In addition to penalties, these goals can also enhance corporate image and even develop new market opportunities. That is, in the face of external environmental pressures and requirements, companies should take a proactive attitude and combine environmental protection goals with the functions of the various departments of the enterprise using innovative environmental technologies to solve environmental problems and

green system factors. The degree of adaptation with the green strategy proposed by the company in response to this green system factor can be increased such that it can also enhance the corporate image and even develop new markets and opportunities to gain a competitive advantage in addition to avoiding environmental protection or punishment. According to the aforementioned literature, this study infers hypothesis 3 as follows:

H3: CGS has a positive impact on CGA.

In recent years, green technology has developed rapidly in advanced countries. Enterprises adopt green technologies, which not only deal with wastes and pollutants but also reduce costs and increase quality and make enterprises competitive in the green consumer market. In addition to the importance of the company's own emphasis on environmental issues, its growth is related to its ability of technology development and innovation [9]. If the green technology can be effectively used to reduce production costs and increase product value, then it not only can make up for the investment cost of environmental protection but also can obtain a competitive advantage in the long term [10]. According to the aforementioned literature, this study infers hypothesis 4 as follows:

H4: CGS has a positive impact on CGT.

### *2.3 Mediating effect of green assets*

Grant [11] emphasizes the strategy analysis of resource-based theory. A framework is implemented after the strategy is selected. The enterprise defines the resource gaps that must be filled and forms its ability through the resources it owned. Subsequently, this ability evolves into competitive advantage and finally influences the formation of corporate strategy. In the impact of strategy on competitive advantage, the resource and capacity of the enterprise are intermediating effects. Chen et al. [12] confirm that green innovation performance is internal and external environmental protection. The role of pressure on the competitive advantage of enterprises is full intermediary. Chen et al. [7] propose that green product and process innovation performance have a positive relationship with the company's competitive advantage. Shen [13] also contends that green smart capital has a partial intermediary effect on corporate environmental management and performance. Huang and Chen [14] deduce that the green resources of enterprises have a remarkable positive impact on the exploration and application of green product innovation. In addition, the green resources of enterprises have a remarkable positive impact on the success of green product innovation. On the basis of the aforementioned literature, this study infers Hypotheses 5 and 6 as follows:

H5: CGS will positively affect CGP through CGA.

H6: CGS will positively influence the green CA through the CGA.

### *2.4 Mediating effect of green technology*

Huang and Kao [15] emphasize that the organizational structure of each sub-facial aspect is significantly positively correlated with the adoption of green technology innovation. Furthermore, Huang and Kao [15] confirm that the adoption of green technology innovation greatly affects the environmental management of enterprises. Chen et al. [12] verify that green innovation performance plays a full intermediary role in the impact of internal and external environmental pressures on corporate competitive advantage. Lin et al. [16] affirm that innovation in environmental technology can improve company competitiveness. According to

the aforementioned literature, this study infers Hypotheses 7 and 8 as follows:

H7: CGS will positively affect CGP through CGT.

H8: CGS will positively influence green CA through the CGT.

### **3. Research method**

#### *3.1 Case selection*

Data from the Department of Investment Services of the Ministry of Economic Affairs in Taiwan reveal that Taiwan became the second largest manufacturer of information hardware worldwide in 2005. With 70% of the market share, Taiwan is likewise the largest supplier of semiconductors, optoelectronics, information, and communications worldwide [3]. Therefore, the present study selected leading Taiwanese high-technology electronic firms with international levels of technology as research participants.

Answering the questionnaire used in this study through a single department of a company is difficult. Multiple departments should be assisted to obtain a good response. Therefore, this study is assisted by the researchers themselves and senior managers. The research questionnaires can be distributed in two ways. (1) The questionnaires were randomly distributed to other high-tech manufacturing companies through job and business contacts with the help of senior managers of two high-tech companies. (2) According to the website of the Business Council for Sustainable Development of Taiwan (BCSD-Taiwan) (<http://www.bcsd.org.tw/report>), researchers will contact the relevant high-tech industry companies to inquire and request high-tech industries. The company is assisted in the questionnaire survey. At the end of the study, 32 samples of effective high-tech industry companies were collected whose technologies belong to the international level.

### **4. Measures**

SPSS and LISREL were used in data analysis and comparison, respectively. This study refers to the CGS definition of Olson [17]. In addition, referring to the research of Olson [17], Yu and Chen [1], and Chen et al. [2], the CGS of this research includes four secondary dimensions. Meanwhile, this study refers to the CGA definitions of Hall [18] and Collis and Montgomery [19]. In addition, referring to Hall [18], Collis and Montgomery [19], Yu and Chen [1], and Chen et al. [2], the CGA of this research include two secondary dimensions. Moreover, this study refers to the CGT definition of Shrivastava [20] and Klassen and Whybark [21]. In addition, with reference to the research of Shrivastava [20], Klassen and Whybark [21], Yu and Chen [1], and Chen et al. [2], the CGT of this research includes three major dimensions. This study refers to the CGP definition of Sharma [22] and ISO [23]. In addition, with reference to the studies of Sharma [22], ISO [23], Yu and Chen [1], and Chen et al. [2], the CGP of this study includes the two secondary dimensions. Meanwhile, this study refers to the CA definition of Porter [24], Barney [25], Chen et al. [7], and Chen, et al. [26]. In addition, this study refers to the research of Porter [24], Hart [25], Porter and van der Linde [10], Chen et al. [7], and Chen et al. [26] to measure green CA.

### **5. Data analysis**

#### *5.1 Descriptive statistics*

The company with the largest and lowest number of employees has more than 501 and less than

200 employees, respectively. In the sample, the company's highest capital is higher than NT\$ 300 million, followed by NT\$ 80–1 million, and 100 million. The company's annual revenue is NT\$400 million or more, NT\$ 100 million, NT\$ 100–200 million, and NT\$ 200–300 million. The sample company has 20 establishments for this year. The company with the largest number of establishments for this year has 29 and 10 to 19. In the industry part of the sample company, the company with the largest number of companies is part of the computer, electronic products, and optical product manufacturing industry, followed by electronic component manufacturing company.

### 5.2 Reliability, validity, and correlations

This study will conduct a pre-test before the formal questionnaire is issued to check if the reliability of the questionnaire can meet the requirements of the research design. Guelford [27] suggests that the  $\alpha$  value higher than 0.7 indicates a fairly high reliability of measurement. A total of 10 questionnaires were distributed in the pre-test of the study, and 10 valid questionnaires were collected. According to the test results, Cronbach's  $\alpha$  values of the variables in the pretest and formal questionnaire were greater than 0.8, which were all high-confidence, indicating that the internal consistency of the variables in this study was good.

Convergence validity refers to the degree of the consistency of the same variable under different measurement methods. The criteria for assessing the validity of convergence include the following: (i) The factor loading for each variable measurement item should be greater than 0.5 [28, 29]. The composite reliabilities (CR) of the variables should be greater than 0.6 [28, 30]. The factor load of each variable in the study is greater than 0.6. In addition, the CR values of each variable in the study are also greater than 0.97. The variables in this study present convergence validity. In addition, difference validity refers to the degree to which different variables can be distinguished. Fornell and Larcker [30] emphasize that, if discriminant validity is observed between variables, the average variance extracted (AVE) of each variable is greater than 0.5, that is, the interpretable variation of the variable is greater than the measurement error. The AVE values of the variables in the study were all greater than 0.62, indicating that the variables have different validity. Thus, the scale of this study is suitable for measurement.

## 6. Results

The results of the test in Table 1 contend that the  $t$  value is 6.304 ( $>1.96$ ) and that the  $p$  value is  $<0.001$ , indicating that the pattern is statistically significant. The D-W value is 1.671, which is close to 2, indicating that the residuals are independent of each other and have no autocorrelation [31], and the  $\beta$  coefficient of 1.166 affirms that CGS will have a significant positive impact on CGP. In addition, the adjusted  $R^2$  is 0.776, indicating that CGS can explain the 77.6% variation in CGP. The hypothesis 1 of this study is supported on the basis of the observations.

Table 1 Regression analysis of CGS on CGP

Regression coeff.	1.166	$t$ value	6.304***
F value	18.915***	$R^2$ / Adjusted $R^2$	.819 / .776
$p$ value	.000	D-W value	1.671

Note: \*\*\* means  $p \leq 0.001$  ; \*\* means  $p \leq 0.01$  ; \* means  $p \leq 0.05$

The test results in Table 2 confirm that the t value is 4.435 (>1.96) and that the p value is <0.001, indicating that the pattern is statistically significant. The D-W value is 2.336 and is close to 2, indicating that the residuals are independent of each other and have no autocorrelation. The coefficient is 1.142, indicating that CGS will have a significant positive impact on the green CA. In addition, the adjusted R<sup>2</sup> is 0.622, indicating that CGS can explain the 62.2% variation in the green CA. This observation infers that Hypothesis 2 of this study is supported.

Table 2 Regression analysis of CGS on green CA

Regression coeff.	1.142	t value	4.435***
F value	9.498***	R <sup>2</sup> / Adjusted R <sup>2</sup>	.695 / .622
p value	.000	D-W value	2.336

Note: \*\*\* means  $p \leq 0.001$  ; \*\* means  $p \leq 0.01$  ; \* means  $p \leq 0.05$

The test results in Table 3 prove that the t value is 5.208 (>1.96) and that the p value is <0.001, indicating that the pattern is statistically significant. The D-W value is 1.554 and is close to 2, indicating that the residuals are independent of each other without self-correlation. The coefficient is 0.991, indicating that CGS will have a significant positive impact on CGA. In addition, the adjusted R<sup>2</sup> is 0.777, indicating that CGS can explain the 77.7% variation of CGA. This observation infers that Hypothesis 3 of this study is supported.

Table 3 Regression analysis of CGS on CGA

Regression coeff.	0.991	t value	5.208***
F value	18.959***	R <sup>2</sup> / Adjusted R <sup>2</sup>	.820 / .777
p value	.000	D-W value	1.554

Note: \*\*\* means  $p \leq 0.001$  ; \*\* means  $p \leq 0.01$  ; \* means  $p \leq 0.05$

The test results in Table 4 corroborate that the t value is 4.665 (>1.96) and that the p value is <0.001, indicating that the pattern is statistically significant. The D-W value is 1.777, which is close to 2, indicating that the residuals are independent of each other without self-correlation. The coefficient of 0.916 shows that CGS will have a significant positive impact on the CGT. In addition, the adjusted R<sup>2</sup> is 0.723, indicating that CGS can explain the 72.3% variation of the CGT. This observation infers that Hypothesis 4 of this study is supported.

Table 4 Regression analysis of CGS on CGT

Regression coeff.	.916	t value	4.665***
F value	14.517***	R <sup>2</sup> / Adjusted R <sup>2</sup>	.777 / 0.723
p value	.000	D-W value	1.777

Note: \*\*\* means  $p \leq 0.001$  ; \*\* means  $p \leq 0.01$  ; \* means  $p \leq 0.05$

This study is based on the method of verifying the mediation effect mentioned by Baron and Kenny [32]. The test results in Table 5 infer that, in model 1, the t value is 5.208 (>1.96) and that the p value is <0.001, indicating that the model has statistical significance. The D-W value is 1.554 and is close to 2, indicating that the residuals are independent of each other without self-correlation.  $\beta$  coefficient is 0.991, indicating that the relationship path a exists. In model 2, the t value is 6.304 (>1.96) and that the p value is <0.001, indicating that the pattern is statistically significant. The D-W value is 1.671, which is close to 2, indicating that the residuals are independent of each other without self-correlation.  $\beta$  coefficient is 1.166, indicating that the relationship path c exists. Finally, for Model 3, the coefficient of  $\beta$  of CGA

on the CGP of the enterprise is 0.593 (t value is 3.777 and  $p \leq 0.001$ ). This result validates that the relationship path b exists, and, in the impact of CGS on the CGP, the  $\beta$  coefficient is 0.578 (t value is 2.677 and  $p < 0.05$ ), which is smaller than the  $\beta$  coefficient of model 2 (1.166). The CGA have significant and positive partial mediation effect at this time, whereas the overall mode D-W value is 1.889 and approaches 2, indicating that the residuals are independent of each other and have no self-correlation. In addition, the adjusted  $R^2$  is 0.854, which shows that CGS and CGA can explain the 85.4% variation of CGP. Finally, the VIF values of CGS and CGA are 5.181 and 5.550, respectively (all less than 10). No collinearity problem exists. This observation infers that Hypothesis 5 of this study is supported, and, at this time, the CGA has a significant and positive partial mediating effect.

Table 5 Analysis of the mediating effect of CGA (dependent variable: CGP)

	Model 1	Model 2	Model 3
Independent var.	CGS		
Dependent var.		CGP	CGP
Mediating var.	CGA		CGA
Control var.	Number of employees, capital, revenue, establishment time, industry		
Regression coeff.	.991	1.166	CGS: .578; CGA: .593
F value	18.959***	18.915***	26.853***
p value	.000	.000	CGS: .013; CGA: .001
t value	5.208***	6.304***	GS: 2.677*; GA:3.777***
$R^2$	.820	.819	.887
Adjusted $R^2$	.777	.776	.854
D-W value	1.554	1.671	1.889
VIF value			CGS: 5.181; CGA: 5.550

Note: \*\*\* represents  $p \leq 0.001$ ; \*\* represents  $p \leq 0.01$ ; \* represents  $p \leq 0.05$

The verification results in Table 6 deduce that the t and p values in Model 1 are 5.208 ( $>1.96$ ) and  $<0.001$ , respectively, indicating that the pattern is statistically significant. The D-W value is 1.554 and is close to 2, indicating that the residuals are independent of each other and self-correlation. The  $\beta$  coefficient is 0.991, indicating that the relationship path a is present. In model 2, the t and p values are 4.435 ( $>1.96$ ) and  $<0.001$ , respectively, indicating that the pattern is statistically significant. The D-W value is 2.336, indicating that the residuals are independent of each other and have no self-correlation.  $\beta$  coefficient is 1.142, indicating that the relationship path c exists. Finally, for model 3, the influence of CGA on the green CA of model 3 resulted in a  $\beta$  coefficient 0.565 ( $P < 0.05$ ), showing that relationship path b exists and, in the impact of CGS on the green CA, has an  $\beta$  coefficient of 0.582 ( $p > 0.05$ ), indicating that relationship path c is nonexistent. Therefore, the CGA have significant and positive full mediating effect at this time, whereas the overall mode D-W value is 2.528 and approaches 2, indicating that the residuals are independent of each other and have no self-correlation. In addition, the adjusted  $R^2$  is 0.675. This result affirms that CGS and CGA can explain the 67.5% variation of the green CA. Finally, the VIF values of CGS and CGA are 5.181 and 5.550, respectively (both less than 10), thereby showing no collinearity problem. This observation infers that Hypothesis 6 of this study is supported, and, at this time, CGA has a significant and positive full mediating effect.



Table 6 Analysis of the mediating effect of CGA (dependent variable: green CA)

	Model 1	Model 2	Model 3
Independent var.	CGS		
Dependent var.		Green CA	Green CA
Mediating var.	CGA		CGA
Control var.	Number of employees, capital, revenue, establishment time, industry		
Regression coeff.	.991	1.142	CGS: .582; CGA: .565
F value	18.959***	9.498***	10.189***
p value	.000	.000	CGS: .104; CGA: .034
t value	5.208***	4.435***	GS: 1.688*; GA:2.251***
R <sup>2</sup>	.820	.695	.748
Adjusted R <sup>2</sup>	.777	.622	.675
D-W value	1.554	2.336	2.528
VIF value			CGS: 5.181; CGA: 5.550

Note: \*\*\* represents  $p \leq 0.001$ ; \*\* represents  $p \leq 0.01$ ; \* represents  $p \leq 0.05$

The results of the verification in Table 7 affirm that the p value of the model suitability in Model 1 is <0.001, indicating that the pattern is statistically significant; the D-W value is 1.777 and approaches 2, indicating that the residuals are independent of each other without self-correlation; The coefficient is 0.916, indicating that relationship path a exists. In model 2, the p value of the model suitability is <0.001, indicating that the pattern is statistically significant; the D-W value is 1.671 and is close to 2, indicating that the residuals are independent of each other. No self-correlation;  $\beta$  coefficient is 1.166, indicating that the relationship path c exists. Finally, for the model 3, in the impact of the CGT on the CGP of the enterprise,  $\beta$  coefficient is 0.374 ( $p < 0.05$ ), indicating that relationship path b is exists, and, in the impact of CGS on CGP, its  $\beta$  coefficient is 0.824 ( $p < 0.01$ ), which is smaller than  $\beta$  coefficient of model 2 (1.166). CGT has significant and positive at this time. In addition, the adjusted R<sup>2</sup> is 0.804, which shows that CGS and CGT can explain the 80.4% variation of CGP; finally, the VIF values of CGS and CGT are 4.648 and 4.484 respectively (all less than 10). No collinearity problem emerges. Looking at the above, we can infer that the hypothesis of this study is supported, and, at this time, CGT has a significant and positive partial mediating effect mode. D-W value is 2.126 and approaches 2, indicating that the residuals are independent of each other and have no self-correlation.

Table 7 Analysis of the mediating effect of CGT (dependent variable: CGP)

	Model 1	Model 2	Model 3
Independent var.	CGS		
Dependent var.		CGP	CGP
Mediating var.	CGT		CGT
Control var.	Number of employees, capital, revenue, establishment time, industry		
Regression coeff.	.916	1.166	CGS: .824; CGA: .374
F value	14.517***	18.915***	19.111***
p value	.000	.000	CGS: .002; CGA: .045
t value	4.665***	6.304***	GS: 3.476*; GA:2.117***
R <sup>2</sup>	.777	.819	.848
Adjusted R <sup>2</sup>	.723	.776	.804
D-W value	1.777	1.671	2.126
VIF value			CGS: 4.648; CGA: 4.484

Note: \*\*\* represents  $p \leq 0.001$ ; \*\* represents  $p \leq 0.01$ ; \* represents  $p \leq 0.05$

The verification results in Table 8 affirm that the suitable p value of Model 1 is <0.001, indicating that the pattern is statistically significant. The D-W value is 1.777, which is close to 2, indicating that the residuals are independent of each other without self-correlation. The coefficient is 0.916, indicating that relationship path is present. In model 2, the suitable p value of the model is <0.001, indicating that the model is statistically significant. The D-W value is 2.336 and is close to 2, indicating that the residuals are independent of each other without self-correlation.  $\beta$  coefficient is 1.142, showing that relationship path c is present. Finally, for model 3, which shows the impact of CGT on green CA. Its  $\beta$  coefficient is 0.728 ( $P < 0.01$ ), indicating that the relationship path b exists. Among the influences of the advantage,  $\beta$  coefficient is 0.475 ( $P > 0.05$ ), and relationship path c does not exist at this time. Therefore, the CGT has a significant and positive full mediating effect at this time, and the D-W value of the overall model is 1.839, which is close to 2, indicating that the residuals are independent of each other and have no self-correlation. In addition, the adjusted R<sup>2</sup> is 0.727, showing that CGS and CGT can explain the 72.7% variation in green CA. Finally, the VIF values of CGS and CGT are 4.648 and 4.484, respectively (all less than 10), and no collinearity problem exists. This observation infers that the hypothesis 8 of this study is supported, and at this time, CGT has a significant and positive full mediating effect.

Table 8 Analysis of the mediating effect of CGT (dependent variable: green CA)

	Model 1	Model 2	Model 3
Independent var.	CGS		
Dependent var.		Green CA	Green CA
Mediating var.	CGT		CGT
Control var.	Number of employees, capital, revenue, establishment time, industry		
Regression coeff.	.916	1.142	CGS: .475; CGA: .728
F value	14.517***	9.498***	12.822***
p value	.000	.000	CGS: .125; CGA: .003
t value	4.665***	4.435***	GS: 1.590*; GA: 3.269***
R <sup>2</sup>	.777	.695	.789
Adjusted R <sup>2</sup>	.723	.622	.727
D-W value	1.777	2.336	1.839
VIF value			CGS: 4.648; CGA: 4.484

Note: \*\*\* represents  $p \leq 0.001$ ; \*\* represents  $p \leq 0.01$ ; \* represents  $p \leq 0.05$

## 7. Conclusion

On the basis of the empirical analysis results of this study and the basic assumptions of resource-based theory, the effect of CGA and CGT intermediaries on CGP can be considered the presentation of enterprise resource use results. Thus, the CGS, under the influence of CGP CGA, and CGT, plays a part in the mediating effect. Therefore, to achieve CGP, CGA and CGT are important factors but are not indispensable. The empirical results of this study are consistent with the basic assumptions of resource-based theory that firms have different tangible and intangible resources that can be transformed into unique capabilities that are the source of a firm's CA. In the discussion of the effect of CGA and CGT intermediaries, CGP can be regarded as the presentation of enterprise resource use results. Therefore, under the influence of CGS on CGP, CGA and CGT are part of the mediating effect. In the same way, according to the hypothesis of resource-based theory, competitive advantage is the ultimate result, and the unique resources and capabilities of enterprises are the source of sustainable competitive advantage. Therefore, under the influence of CGS on green CA, CGA and CGT play a full mediating effect.

### 7.1 Theoretical application

In addition to exploring the direct impact of CGS on CGP and Green CA, this study also explores whether CGA and CGT have mediating effects in the impact of CGS on CGP and green CA. The empirical analysis results in this study confirm that, in the impact of CGS on CGP and green CA, the CGA and CGT will indeed have a significant intermediary effect, thereby clarifying the uncertainty in subsequent relevant research.

### 7.2 Management practice

Resources are the basic elements of an organization and a source of organizational growth and competitive advantage. Nowadays, for the reduction of environmental pollution, related

concepts of environmental management, such as green management, marketing, production, and innovation, are beginning to be pursued by enterprises. If the company is determined to invest in environmental management activities, then the company will begin to develop relevant green strategies. At this time, enterprises must consider how much green assets they own, and, in the face of the requirements of green system factors, enterprises should increase which relevant green assets can meet the requirements of the green corporate strategy and green system.

### 7.3 Limitations

The limitation of this study is listed as follows: This study concludes to investigate the high-tech industry in Taiwan. Although the conclusions are clear, their applicability to other industry categories is unknown.

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## **Development of a Maintenance Supplier Selection Model Framework in Thailand**

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### **Abstract**

The objective of this research was to develop a theoretical model for supplier selection for a specific set of procurement requirements. These requirements come from the maintenance department of a petrochemical company in Thailand, which was used as the case study. The model was developed from a review of the literature on supplier selection, including questions such as outsourcing problems, a review of existing supplier selection models, and identification of factors that have an effect on successful supplier selection. The model developed incorporates six supplier characteristics that potentially affect supplier development, including cost, time, quality, reliability, flexibility, and human resources. Other factors that affect supplier selection include internal conditions (company policies) and external conditions (supplier competition and the external macro-environment). These factors are incorporated into a performance model for successful supplier selection.

**Keywords:** supplier selection, maintenance suppliers, petrochemical industry

### **1. Introduction**

Supplier selection is one of the factors in the success of the globally integrated petrochemical industry. The petrochemical industry produces industrial and consumer chemicals from crude petroleum, with about 90% of production from two classes of chemicals including aromatics (e.g., xylene, toluene and benzene) and olefins (e.g., propylene and ethylene) [1, 2]. The petrochemical industry operates at large scale, with a highly complex and globally integrated supply chain [3]. Most of the petrochemical industry operates in petroleum-producing areas, including the Gulf Cooperation Council (GCC) countries, United States, and some areas of Europe [4]. In Thailand, the petrochemical industry, which is centered on Map Ta Phut, produces about 30 million metric tons a year, ranking the 16<sup>th</sup> in global production volume [3]. However, the industry has several known issues, including inefficient logistics, insufficient human resources, quality issues and lack of research and development activity [5]. The industry is also highly price-competitive and focused on commodity production, which demands strict cost controls [3]. Thus, the Thai petrochemical industry has several challenges to overcome. Effective supplier selection is one of the tools that Thai petrochemical firms can use to achieve competitive advantage because of the

importance of external suppliers in the petrochemical industry. Up to 90% of the industry's costs were from externally supplied services and materials [6]. Despite the importance of supplier selection in the petrochemical industry, there has been no attempt to develop a supplier selection success model specific to the industry's needs.

The objective of this study was to develop a theoretical model of supplier selection success that meets the needs of the Thai petrochemical industry. The methodology used for the study was a literature review, which identified key supplier, organizational and industrial factors that would affect supplier selection success.

## **2. Literature Review**

### **Transaction Cost Theory**

According to various studies, transaction cost theory is part of agency theory and corporate governance. These are an expense incurred when selling or buying services or goods. In transaction cost theory, transaction cost represents the requirement of labour to bring a service or good to market. Transaction cost theory is used in both strategy work and several disciplines. One of the most crucial decision organizations have to make is the foreign entry mode. Companies have to make these while determining their internalization strategy [7]. Besides, transaction cost labour represents most of the contract perspective criticism that this theory aims at in the view of the human relationship. In transaction cost theory, the transaction can be performed in long term contracts, trading in the sports market and internalizing the transaction within the organization.

Transaction cost theory can be applied in this study in many aspects of management and economist. This theory emerged by neoclassical theory criticism of the organization [8]. This research will focus on the transaction cost theory and the roles of the limitation and games created by individuals. Regarding transaction cost theory, transaction cost can be understood as informal and formal internal standards of an organization which are seen as moral standards [9]. However, apart from informal and formal institutions involved in the transaction cost theory, this theory also covers marketing infrastructures and civil society. It would become difficult to implement this theory in ensuring the realization of market transactions.

### **Challenges of Outsourcing and Supplier Selection**

Outsourcing, also known as buying-in or subcontracting, is the process of contracting with other firms to procure goods and services for the company to meet its business and operational needs [10]. The outsourcing process can be divided into two distinct types based on company motivation [10]. Procurement refers to the purchase of goods or services the firm cannot produce itself (e.g. office supplies), while outsourcing refers to the purchase of goods or services that the firm could produce itself, but chooses not to for strategic or operational reasons.

There are several challenges associated with outsourcing and supplier selection in maintenance operations. Poor service quality and security risks could result from an ineffective supplier choice [11, 12]. These problems can be exacerbated by



inexperienced outsourcing clients, who may not effectively specify terms of references or mismanage the client-vendor relationship [11].

There were also other risks associated with outsourcing, such as internal human resources [12]. Poor morale and high turnover can result in the loss of institutional knowledge. Or, if the company's outsourcing vendors fail, this can affect the company's reputation. There are also some specific risks associated with maintenance outsourcing, including the dependence on the service provider, the hidden costs, and the reduced flexibility due to overly long or restrictive contracts. If managed carefully, these risks do not outweigh the benefits of outsourcing, such as reduced operational costs, better quality and production efficiency, increased flexibility, economies of scale, and the ability to repurpose organizational resources on core competencies. One of the most effective tools for managing outsourcing risk is the organization's supplier selection process, which can reduce the risk associated with supplier selection if effective [13].

### **Supplier Selection**

Supplier selection refers to the process of choosing suppliers to meet specific procurement and outsourcing needs [14]. Stages of the supplier selection process include: "(1) attention (demand); (2) setting decision criteria; (3) finding or designing suitable alternatives; and (4) evaluating and choosing alternatives [15]." There are at least 26 different techniques that can be used for supplier selection, many of which differ based on criteria evaluation or firm-specific criteria but which may not be adaptable to a general model [16].

Although it is common for firms to use a formal decision-making process such as multi-criteria decision analysis (MCDA), mathematical programming or artificial intelligence [16], it is also common for firms to use informal supplier selection processes or to not have a robust selection process at all [15]. The problem of supplier selection is a complex optimization problem, with multiple qualitative and quantitative criteria and information asymmetries and other barriers to effective supplier selection such as lack of supplier selection knowledge [14,17]. Even under optimal decision conditions, the firm can still encounter poor quality suppliers, unexpectedly high costs, security violations, and other risks [17]. Thus, while supplier selection processes can mitigate risk, they do not completely eliminate it.

### **Existing Supplier Selection Models**

A supplier selection model is a process model that assists in supplier decision-making [14]. A generic supplier selection model was identified [14]. In this model, qualitative tools (expert interviews) are used to establish the firm's sourcing strategy and selection criteria, followed by the use of quantitative tools (industry survey) for supplier pre-qualification, identification of a supplier short-list, and the final selection and ordering process. There are more specific process models that identify supplier selection needs in similar contexts like aircraft maintenance, generic service outsourcing [18]; and a model developed for interdependent service outsourcing [19]. These models are all developed in similar conditions (for example service outsourcing or the sourcing of critical supplies), but do not address the industrial conditions of the petrochemical industry. These models used different techniques; [18] used MDCA in combination with the ELECTRE method and the fuzzy analytic network process (FANP) model was used [19]. This illustrates the diversity of potential approaches that could be used for this question.

## Factors Influencing Successful Supplier Selection

### Supplier Factors

There were six supplier factors identified in the review of the literature, which included cost, quality, time, reliability, flexibility, and human resources.

**Cost.** Cost includes the total cost of selection, including both internal costs (supplier management) and the direct outsourcing costs [20]. Outsourcing has historically been used to reduce costs, for example by exploiting labor cost differences or achieving economies of scale, although some modern outsourcing arrangements are less about cost savings than about technical capabilities or collaborative product/service development [19, 21]. Cost is commonly identified as a key factor in the supplier selection process [18, 22, 23]. However, cost is not the only determining factor; instead, there are trade-offs between cost and other factors such as quality that also influence the decision [22].

**Quality.** Service quality refers to the extent to which the service met the expectations of the customer [24]. Service quality is the most common included the metric in the supplier selection models investigated by Ho, Xu and Dey [13], although there is no single measure for service quality. Although in consumer studies service quality is considered to be subjective, in outsourcing agreements these expectations are set out specifically in service level agreements (SLAs) or terms of reference (TOR) [25, 26]. Despite these specifications, it is not uncommon for firms to experience service quality problems due to miscommunication or service provider failure [27]. Service quality failures impose additional costs on firms, such as monitoring costs [27].

**Time.** Time – specifically on-time service delivery – is another factor that can be used to judge successful supplier selection [21]. On-time service delivery is one of the key risks of outsourcing, which can have problems such as long and unspecified lead times [28]. On-time delivery of supplies and services is often critical, especially for services with tight schedules or complex production chains, to ensure production or value-added service delivery is not delayed. This is one characteristic of the petrochemical industry together with the high interdependency between processes [29]. Thus, on-time and consistent service delivery can be considered one of the supplier-specific factors that influence service delivery.

**Reliability.** Reliability (sometimes also called dependability) relates to the extent to which a supplier can be trusted to meet its contractual obligations, for example cost, service quality, and timely delivery of services [30]. Characteristics of reliability in previous models have included availability of parts and equipment, logistics and delivery reliability, and reliability of sub-contractors [18, 31, 32]. Outsourcing reliability is affected by outsourcer experience, internal processes, resource availability, and external factors (e.g. raw material availability), but predicting reliability is extremely difficult because of information asymmetries [27, 30]. Reliability can be managed somewhat internally through practices like output controls and evaluation of requirement-capability fit [33, 34].

**Flexibility.** Flexibility refers to the ability of the supplier to respond to changing demand from the customer [35]. Flexibility can include process flexibility (ability to rapidly change processes) and capacity flexibility (ability to rapidly increase or decrease supply) [23]. Previous authors have included supplier flexibility as a supplier

selection factor, although there is no single measure of flexibility [36, 37]. Supplier flexibility is included in this research because of the dynamic nature of the petrochemical industry, in which firms must respond rapidly to changes in supply and demand [4]. Thus, suppliers with insufficient flexibility may not be able to provide the service required by outsourcing clients.

**Human resources.** Finally, availability of appropriate human resources, or people with knowledge and skills to perform the tasks specified in the outsourcing contract [38]. The availability of appropriate human resources is a common problem in service outsourcing, particularly in areas that demand high technical skills [38]. The inclusion of human resources is most common in models that address information technology (IT) resources, which routinely identify the availability of technical skills as a limitation on the effectiveness of outsource service suppliers [39, 40, 41]. However, as these studies showed, superior availability of technical skills and knowledge is one of the main benefits that outsourcers can offer to their clients, especially in human resource constrained industries like the Thai petrochemical industry [3].

### **Customer Factors**

While most of the existing research is on supplier characteristics, there are also firm characteristics that could affect supplier selection success. At least three firm-related factors that could potentially affect the supplier selection process in the long term can be identified. One factor is that of procedural rationality, or the extent to which the procedures of the contracting firm are based on objective analysis and decision processes [42]. While this does not mean that the firm has to use any specific decision process, it does mean that the firm should have a decision process it applies to all supplier decisions [42]. Procedural rationality has been associated with better quality supplier decisions and improved buyer-supplier relationships in different national task environments and organizational environment [43]. Another firm-related factor that influences the success of outsourcing arrangements is information sharing [44]. Information sharing refers to the willingness of the outsourcing client to share critical process information with suppliers, rather than limiting information flows. That information sharing had a long-term effect on buyer supplier-relationship formation and trust [44]. The third potential firm characteristic is supplier development, or the long-term interaction of the supplier and buyer firms to improve supplier capabilities [45]. The use of supplier benchmarking, or monitoring and working to improve supplier performance, is one of the factors that leads to the long-term development of supplier-buyer relationships [45].

### **Environmental Factors**

Finally, factors in the broader environment outside the direct relationship of the supplier and buyer may be relevant to successful supplier selection. One of these factors is the characteristics of the supplier industry (e.g. number of suppliers and competition between suppliers). According to the economics literature, high levels of competition within the supplier industry can result in reduced cost and improved quality as competing firms work to gain competitive advantage [46]. At the same time, supplier industries that have low competition levels, such as those that are monopolies or oligopolies (one or a few suppliers), have higher costs and lower service levels. Thus, supplier competition can potentially affect cost and quality of service provided by suppliers. Another environmental factor that could affect supplier selection success is economy-wide human resources. Although one of the main reasons that firms may

choose to outsource is to gain access to superior human resources [47], economy-wide skill shortages will affect the performance and capabilities of outsourcing supplier firms as well as the contracting firms. Thus, while the broader environment is not well incorporated into supplier selection models, there are some factors that should be considered.

### A Theoretical Model of Supplier Selection Success for the Petrochemical Industry

The theoretical model of supplier selection success for maintenance services in the petrochemical industry (Figure 1) takes into account three clusters of factors that could affect the success of the supplier selection process.

The first cluster of factors are *supplier* factors, which include cost (both internal and external costs), service quality, on-time service delivery, reliability, flexibility (both process and capacity flexibility), and human resources. These six factors are proposed to have a direct effect on the successful selection of a supplier to meet the firm's needs. It is also acknowledged that there are at least some interactions between these factors (for example, an expected trade-off between cost and service quality). While there may be other interactions, these cannot be directly identified from the literature review.

The second cluster of factors is *customer* factors. These factors include procedural rationality, information sharing, and supplier development. Procedural rationality is suggested to have a direct effect on supplier selection, because it has an effect on the balancing of the six supplier factors. Information sharing and supplier development are anticipated to have a direct effect.

The third cluster of factors is *external* factors. These are factors that affect all firms within the industry. First, supplier industry competition is expected to have an effect on cost and quality, with higher competition in the industry reducing average cost and increasing average quality. However, it is not clear that it will affect on-time delivery, which is limited more by the logistics environment. Second, economy-wide skills shortages are expected to affect the human resources dimension of the selection process, since this factor would impose human resource constraints on both the buyer and supplier firms.

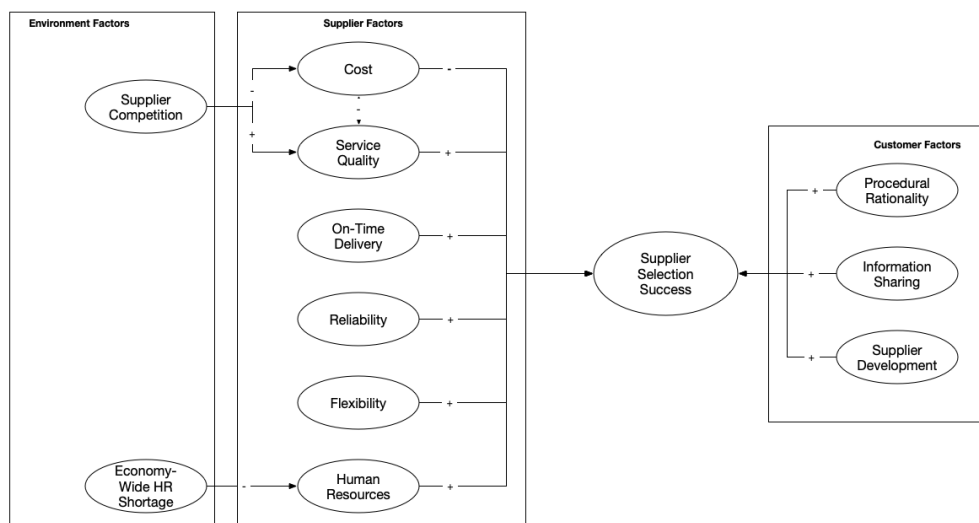


Figure 1 A theoretical model of supplier selection success

### 3. Conclusion

This research has developed a theoretical model of supplier selection specific to service suppliers in a highly competitive and cost-driven industry with high demand for flexibility and reliability in supply. Although it was designed for maintenance suppliers in Thailand's petrochemical industry, the theoretical model could be used for other service outsourcing decisions that also have these criteria. This model is distinct from previously existing models because it was developed specifically for the petrochemical industry, but it is also different from existing models in several ways. First, it takes into account not just supplier factors, but also customer factors and environmental factors, in understanding what leads to supplier selection success. Second, it identifies a broad set of potential factors that could affect the performance of the supplier selection process. Thus, this model is a useful contribution to understanding how broader factors in the operating environment – not just the characteristics of the supplier itself – can affect the performance of the supplier selection process.

This research is limited in that it was mainly theoretical in nature and based on the existing literature on supplier selection, which noticeably excludes the petrochemical industry. This paper reports on only the first stage in the process of developing and refining a supplier selection model, which is a work in progress. The next stages in development include testing the model through a process of expert interviews and surveys of industry insiders. This process of further development will help to operationalize and establish measurement models for the factors identified in this research and evaluate the proposed relationships. There are some opportunities for further research that are also suggested by this study. One of the main future opportunities is investigation of the interaction effects of supplier criteria, firm characteristics, and the environment, which could potentially identify other factors that influence supplier selection success. This could help expand understanding of supplier success past the functional criteria currently used.

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## **The research of innovation ambidexterity perspective on marketing art performance groups**

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### **Abstract**

The promotion of the arts and cultural performances has reached significant progress for the county and city governments in recent years. Based on the cultural and artistic characteristics of different regions, several activities including policy formulation, the construction of venues, the promotion and marketing the art groups or performers, and even the establishment of an art village or specific cultural area has gradually fulfilled Taiwan's local characteristics. However, according to the previous research, the Chinese market has considerable potential for cultural consumption no matter for the hardware and software section, and the actual consumption of the cultural industry market shows that the entire cultural market still has much space for improvement. Under the influence of the global economic downturn in recent years, the arts performing market is more likely to face the infliction of the box office. How to open up the market through the innovation and the change of marketing strategies is more important for the art performing groups to pursue the future development and sustainability. The study took the "G2 Drum Art" as a case and explore how this performance use innovation ambidexterity to promote the ticket sales in a short period and to attract potential customers from both middle-level and lower-level customers. Promoting the performance itself not only can support the group but also build the brand value of the group. The interaction of sub-culture and arts can ultimately maintain the unique and stability for the art performing groups.

Keywords: innovation ambidexterity, orchestra marketing, business management, cultural development, sustainable management

## **1. Introduction**

In recent years, the performance art of our country has been promoted and worked together by government agencies and performing arts groups. The number of performances held in various places has increased year by year, and the level of artistic performance has increased. The type of performance has also increased. There are more choices to save yourself and enjoy different types of performances. However, behind the glamorous, few people know how much the performance group faces in the survival, and this part is not only prevalent in groups with relatively small signs, but even the well-known performance groups are also encountered in business, and perpetual predicament or development is limited and stagnant.

According to statistics from the Ministry of Culture on the performance of arts and cultural performances in counties and cities across the country, the total number of performing arts activities in 2017 reached 58,195. Among them, the number of events held in Tainan City was the highest, reaching 7,377, followed by 7,368 in New Taipei City. As for the attendance observations of arts and cultural activities, the number of attendances in Taipei's arts and cultural activities was the highest, reaching 49,606 thousand, followed by 38,482 thousand in Kaohsiung City [1]. Compared with the early art performances, the total number of performing arts activities in 2004 was 7,840, and the number of performances in the next year was 11,875, which grew by more than 30% in just one year[2]. From the above information, in just over a decade, the development of performing arts in the country has been quite rapid, and the further one shows that although the market supply to the performing arts groups is sufficient in the country, it is not as good at the group management level. The optimism on the books, in other words, the groups that have a clear return are still in the minority, and most groups are not able to have a stable income from the performance.

In addition, Yu [3] also pointed out the problems faced by the industrialization of performing arts from the perspective of supply and demand. It shows that the number of performing arts groups is increasing year by year, and the number of performances is also hundreds of thousands. However, it can genuinely maintain a fixed performance. There are very few groups with fixed income; in contrast to the demand side, the audience still defines the so-called "entertainment" in the form of film appreciation, and has considerable progress in the type of performance art, consumption patterns and habits.

On the whole, China's performing arts activities have grown significantly in the past decade. However, under the circumstances that the supply and demand sides cannot be balanced, it can be found that the total number of performances in the past two or three years is slowing down. In the face of enormous production expenses and personnel costs, there is an inevitable crisis in the operation of the group without fixed income, which also causes the performance groups to maintain operations in a challenging performance environment. It is bound to innovate in strategy and make market segments.

## **2. Innovation ambidexterity**

### *2.1 Ambidexterity mode*

The concept of "ambidexterity" was first proposed by Duncan [4]. He believes that if an organization can pursue two things at the same time and can continuously strengthen the internal capabilities of the organization, it is the organization's dual element.

So far, the dual orientation has not yet been measured by the public [5]. O'Reilly [6] proposes a "dual model" that can solve the problem of steady demand between exploration and application. He believes that a company can compete in mature markets and develop new products and services for new markets. Can bring more and better performance to the enterprise? Moreover, is the dual mode active? There is a turning point in empirical research. The relationship between exploration and application has a significant positive impact on organizational performance. That is to say, if the organization pursues the stability of development, it must also explore new capabilities while applying existing capabilities. Moreover, it is necessary to strengthen the inherent knowledge, so that in the face of changes in future market demand, there is sufficient capacity to respond [7]. Therefore, the dual element can be defined as the trade-off between the management's opposite tasks and how the organization uses the two concepts of exploration and exploitation to achieve integration of conflicts and conflicts within the organization [8, 9, 10].

Based on the above, this study intends to use the perspective of the dual innovation model to explore the marketing strategy of performing arts groups, to understand how the performing arts group uses the dual innovation theory, on the one hand, using applied innovation for marketing, and on the other hand, using exploration. Innovate, develop new marketing techniques or find new audiences.

## *2.2 Exploitation*

According to March [11], the organizational learning ability of exploitation is emphasized, such as technology improvement, production, efficiency, selection, implementation, execution, and so forth, based on the inherent knowledge of the organization, so that the organization can develop and operate more efficiently. The use of incremental innovation can enable enterprises to maintain the technological capabilities of the current development, but the application strategy is also likely to cause the organization to stagnate. If the future opportunities of the market are developed, on the other hand, new technologies should be developed. It is challenging to synchronize the two [12]. He & Wong [13] believes that application-based innovation strategies are highly relevant to mechanical structures, austerity systems, path-based, programmatic, bureaucratic, stable markets and technologies, and applied innovation strategies can take advantage of different product characteristics. The design of different measurement methods is mainly to strengthen the activities between the old product market and technological innovation. Relatively through the application activities, through the replication of knowledge between organizations, applied to the original field, the existing knowledge refinement and the new technology to strengthen, can create organizational reliability and stability [14]. Alternatively, enhance its activity and stability, and solve problems more efficiently through applied innovation [15].

Based on the above, this study uses the behavioral concept of applied innovation to study whether the performing group can further improve and innovate with the original marketing methods, and create new innovative marketing capabilities, or

develop new with exploratory innovation. The marketing strategy enhances the dilemma and operational bottleneck faced by the performing group at this stage.

### *2.3 Exploration*

March [11] believes that innovation is essential for enterprises. In order to maintain competitive ability, it is necessary to continuously develop the organizational learning ability of exploration and exploitation, and explore the situation that must be faced for organizational innovation. , which includes conditions for search, risk-taking, challenging experimental, flexible, discovery, and innovation, and exploratory strategies are more likely to generate many high-cost and difficult-to-recycle situations due to limited resources allocated.

Therefore, exploratory innovation focuses on technological innovation, in order to open up new product markets, and carry out technological innovation activities, and believes that exploratory innovation strategies usually have organic structures or loose systems, pioneering paths, improvisation, autonomy, and there is a relationship between emerging markets and technology [13]. Also because of the high volatility of exploratory activities, it is necessary to learn from trial and error [15] to develop new organizational practices, new technologies, new undertakings, new processes, and Production methods [14]. Therefore, exploratory innovation and operational innovation need to organize different resources, knowledge, and processes, and share resources, self-reinforcing and sharing organizations between organizations.

Differences such as mental models make organizations familiar with familiar innovations, which in turn lead to organizational rigidity and loss of organizational competitiveness [7]. Therefore, at the organizational level, exploratory innovation is the development of unique patented products. At the industrial level, it is the development of unusual new technology activities [16].

Based on the above, this study explores whether the performance groups use the exploratory innovation to create good sales performance and exposure for the performance group, and increase the number of visitors and box office performances during the performance.

## **3. Innovative marketing of performance groups**

Any performance, regardless of the performance of the show, the cost of production, the reputation of the performing group, if the audience lacks appreciation, the audience cannot be called a perfect performance, in other words, the role played by the audience is even more apparent whether the performing arts activities are influential and important vital factors. However, for most performing arts groups, artists tend to focus only on the performance itself, pursuing the integrity of the performance, the stage effect, and even the design-related on-site interaction to achieve the purpose of social education, but once the so-called art If it is not possible to attract viewers to enjoy and listen, the most directly related is the ability to maintain the box office revenue of the performing arts group. This study takes the "G2 Drum Art" as the central axis to discuss how the performance group performed in the Pingtung Performing Arts Hall on October 20, 2017. How is the dual innovation theory used to maintain traditional marketing? The method, on the other hand, creates new marketing methods to enhance box office revenue, while also achieving the live performance and communication that the performing arts are pursuing.

Pingtung, located at the southernmost tip of Taiwan, is also known as the "Arts and Deserts" area. For a long time, due to the geographical relationship, many well-known performing arts groups often perform in the Kaohsiung City at the other end of the Gaoping River. In order to balance the uneven development of art and culture in the high-screen area and the north, south, and south, the central government completed the Pingtung Performing Arts Hall for the first time in eight years at the end of 2016. The "G2 Drum Art" are the concept of jumping away from the tradition. In the annual concert, boldly choose the Pingtung Performing Arts Hall as a performance venue, which includes testing the population of the art and culture population in Pingtung, and whether the people are willing to spend more. A high amount of money goes to the auditorium for artistic appreciation. If you can successfully market in the so-called "Arts and Deserts" through innovative marketing techniques, you can further help the marketing problems that the group will face in the future.

How to let a drum group in the northern Taiwan to quickly make a name in Pingtung in a short period of time, and further let the audience be willing to sell (buy) tickets to enjoy the performance, is the biggest obstacle that the group must face, and therefore the group in marketing strategy, in addition to tradition to the strategic use, it also incorporates marketing techniques that have not been used in the past, as shown in the following table:

Traditional	innovation
Posters promotion	Joint press conference
Connection with FB or Internet	Flags
Official advertising	Local & internet media
Cooperative advertising	Cooperation with local groups

Figure 1 The application of marketing strategies

In traditional marketing, you can see several forms that are often used by performance groups in the past, including the most commonly used posters in the early days. This part is mainly posted in public institutions and schools to increase exposure; while facebook and the Internet, The link between the two is the most common method of various types of exhibition activities. Through the sharing and linking between friends, the exposure and public awareness can be increased at the shortest time and the lowest cost.

One of common example of the traditional strategy is the cooperation with The National Performing Arts Center. For all the groups that have sold tickets and performed in The National Performing Arts Center -National Theater & Concert Hall, there will be a contract between them. The National Performing Arts Center -National Theater & Concert Hall will have a service charge of ticket selling for all performing groups.

In order to attract more audience and increase the media exposure, the performing agenda and previews will be updated on the official website of The National Performing Arts Center. This strategy will be a win-win situation for both performing groups and The National Performing Arts Center as the more ticket sold, the more service fee they can received. Lastly, the cooperation with the relevant industry players, this part is similar to poster propaganda, but the locked audience still wants to focus

on related categories, in other words, the existing group is the whole audience. Play will most likely watch groups.

As for the part of innovation marketing, the orchestra first held a press conference at the Pingtung Youth Activity Center three weeks before the performance. The selection of the time was arranged according to the media promotion proposal, that is, through the performance of the top three. Weekly by means of press conferences, vigorous publicity and delivery can increase the impression of the customer base; in addition, because the host area belongs to the traditional agricultural county, the residents are more sensitive to the more localized marketing model, and the orchestra also this section promotes the banner of the Kanto and hangs red cloth. In addition to this type of marketing model, the effect is more powerful and effective than the traditional poster posting. The most important thing is the cost of the banner. It will not be higher than the posters, and it will help the orchestra in cost control. The online media and the local news media are the extensions after the press conference. After the orchestra was held, the network was followed by various networks. Press releases from the media and the local Pingtung News Channel, mainly focusing on the entire marketing. In the end, the drums to the "G2 Drum Art" are more daring to cooperate with the Rainbow Jiaping Ballad Team of the Wutan Country in Taiwu Township, Pingtung County and Annier Lee Ukulele. First of all, traditional drum music has not been sung with the aborigines in the past. Even Ukulele has the experience of cooperation, which is to increase the curiosity of the audience in this way. Moreover, the two groups that are cooperating are located in the Kaohsiung and Pingtung local singers in the next county and city, and they are going to "G2 Drum art". The "G2 Drum Art" uses geopolitical relationships to draw on well-known local groups. The concept of strategic alliances, in addition to the original group of the original orchestra, will also be included in the customer groups of the other two groups. This brand new Art cooperation will also have a particular influence on the development of potential customers.

#### **4. Conclusion**

The performing arts type group is the same as other industries. If it is divided into the product itself and its service quality, the former product is the content and type of the music performance; the latter's service quality belongs to the quality of the performance content production and even the audience. The interaction between the two.

A good group cannot only focus on its performance, but also other factors. The loyal audiences cannot be builded if the group ignores the environment changes, the interaction of the audience, training, development and advanced customized performance. Above all, the most important part is for group to understand the market needs and cater to the audience taste by providing right strategy.

The previous performances of the G2 Drum Art were based on the drums of Zhangzhou. Under such an established framework, the group chose to go out of the multi-functional mode in the form of cross-border cooperation, and the orchestra also clearly understood the location of the venue. After learning about the marketing activities in the region, they have innovated and changed in the traditional performance marketing techniques of the past. They also applied all the propaganda techniques to the three weeks before the performance, and a large number of short-term publicity and mass exposures were produced. The effect is ultimately

reflected in the box office revenue. The group's press conference, press release promotion, and cooperation with local orchestras are aimed at developing more potential customers, mid-level development customers, and even low-level development customers, using cross-border cooperation as an incentive to use local media onion-style. The model promotes advertising and increases its exposure and resident awareness in any form such as mobile phones, televisions, online news, and physical promotional materials.

For the performing arts, the audience is always the most critical part. Some people say, "There is no performance of the audience, it cannot be called a perfect performance." How to innovate, including from a diversified marketing strategy, not only the goal of the performance It is only limited to "satisfaction." More importantly, it must present the results of "speaking," grasping the ultimate goal of marketing, that is, "box office" excellent and bad considerations, identifying any exposure opportunities and attracting words in the customer base. Any strategy; and the distribution of human resources, in the face of changes in the big environment, the group management is no longer a management model by the head of the group, but the use of each member can give the group added value, the past one Multi-tasking not only limits the development and expansion of the group, but also seriously causes the group to idle and disband, and grasps the principle of professional division of labor. It is a way to make products and quality more refined. Looking at the above, that is, in the use of marketing strategies, how to seek more potential customers and assess whether their benefits are up to standard is a significant issue that all performing arts groups must face now and in the future.

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# The study of large stadiums design and planning and management in USA

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## Abstract

Looking at the Taiwanese sports business, we are still in the beginnings. Local sports focusing on team competition and promotion of the activity itself rather than economic points of view. The lack of a national strategy, sport environment promotion and aligned resource management leads to bad results in international competition like the Olympic Games, International events like the World Games 2009 in Kaohsiung, the Deaflympics in Taipei and the upcoming Summer Universiade in 2017, have a huge impact on the Taiwanese sports sector and also make the Taiwanese people feel very proud about hosting such events in their country. Looking towards the U.S.A we can see that large stadiums can be a success with the right design, planning and management methodologies. Therefore, this study is about large stadiums in the U.S.A. Reviewing their development and experience in sport business and management while also focusing on the integration of business in the existing sport environment is defining the goal of this research.

**Keywords:** large stadiums in the U.S.A, sports-business management

## 1. Introduction

### 1.1 Background and motivation of research

The process of movement is not limited by language, culture, race, or politics, so it becomes a stage for competition between another international to international, regional to regional.

Under the trend of various competitions around the world, people from all over the world will become the athletes and viewers of the sport. They can combine education, science and technology, economic and political power to promote the country of sports and actively promote the country.

Nowadays in the sports industry the United States is currently the most developed country. In the 1980s, its sports-related output value exceeded 1% of the national gross national product (GDP). It shows that sports got an important influence in American society, and it has more success in the operation and management of large stadiums [1].

In addition, in terms of the construction payback period, the recovery period of the large US stadiums is relatively short and the rate of return is high, generally less than or equal to three years, and its profitability is very strong.

Therefore, this study will take the management and management system of the advanced national sports industry in the United States, and its research, methods, effects and the current situation as the research object, and start collecting market information of all parties to explore the sports field of the US professional sports construction [2] .

This study is to explore how the growth trajectory of the US National Stadium and the concept of management are one of the motivations for introducing sports into this research. The promotion of the American sports industry is based on the quality of human resources; it is also the second motivation for research.

## *1.2 Literature Review*

### *1.2.1 The definition and related research of modern large-scale sports*

The prototype of a modern large-scale stadium originated from the earliest arena site of the Colosseum, which was built around the second century BC. ASTROCOME, the world's first large dome indoor baseball stadium, was built in 1965 at a cost of US\$35 million. It is regarded as the eighth largest wonder in the world. It was designed by architect Roy Hofheinz feeling induced after the field after he has visited the Italian dome and the amphitheatre in the 1950s.

Named after this giant indoor baseball stadium, DOME continues the traditional dome architecture of Italy. Since then, DOME has become a nickname for the giant indoor sports cricket (especially for baseball or football), after which all the giant indoor sports cymbals built are named after DOME.

### *1.2.2 The function of the modern large stadium*

Large multi-purpose stadiums, the venues are more comprehensive than the general venues, making the event a variety of features, such as concerts, musicals, sports competitions, competitive and ornamental ice activities, commercial exhibitions, religion and political gatherings, etc.

The people who make the activities in the front and the back will be different from the activities, and the traffic will be different in different time periods, and the difference between the admission and the number of people will also occur. Therefore, during the period of activity and inactivity, there will be different planning methods for the planning of food and beverage retail.

Therefore, during the period of activities and inactivity, they found a unique and unique operational management models, it will be different planning methods for the planning of food and beverage retail. Between the general shopping malls, entertainment malls, music halls, opera houses, cinemas, restaurant catering services and catering business of senior business clubs [3] .

### *1.2.3 The development of large stadiums in the United States*

The first semi-enclosed site in the United States was built in 1862 by a businessman from the United States, William Cammeyer. This semi-enclosed site is not as modern as the indoor sports arena, but can be considered a modern interior [4] .

Between 1990 and 1998, a total of 46 large stadiums in the United States were built and renovated. These are all teams serving the four major leagues. At the end of 1999, there were another 49 professional stadiums in the project, or have begun construction.

### *1.3 Research Purpose*

The main purpose of this study is to analyze the facilities provided by large stadiums in the United States, the use of the situation, the types of activities, the actual audience and the needs of the audience and the sports competition [5] .

It will contribute to the improvement of the overall environment or the development of resources. At the same time, it will develop proposals and provide relevant units for reference.

### *1.4 Research Questions*

According to the purposes of Research, the research problems as below:

1. How to understand the facility of stadium? The design of structure? Location? Nearby environments?
2. In order to increase the audiences, is there any interested things must need to add in the equipment?
3. About the audiences and where they from which include what's their transportation? According to different kind of game to adjust the starting time?

## **2. Method and Design**

### *2.1 Architecture of research*

In recent years, with the development of sports, with the increasing scale of high-level sports events, the construction of large-scale sports buildings has shown a rapid development trend, observing these phenomena and results [6] .

Based on the results of the literature review, this study focuses on how modern large-scale sports squads use their functions in designing plans to guide viewers to watch sports events and enhance their ability to manage money to gain money and control the activities of the event.

### *2.2 Research Step*

This study divides the research implementation steps into the following stages: first, think about the research direction, establish the research theme, and extensively collect research materials, such as journals, books, websites, and related websites. After that, the research background and motivation of this article are proposed, and the research objectives and problems are drawn up, and the relevant literature is discussed.

### **3. Research**

#### *3.1 Relation between sports facilities location and operation*

There are many sports operators and consultants who believe that the location decisions are the most important. An ideal location is a good start to the well-known sports venues and services, including the mass media and large stadiums. But strong promotions can also overcome low-profile locations.

Sports facilities must be able to be quickly reached by major highways and mass transit systems. The stadiums and other facilities must allow passengers to quickly enter and exit the stadium. Frequency is an important factor, ample parking spaces must be provided to surround the stadium and the surrounding environment, in determining the audience's use [7].

#### *3.2 Design of the stadium*

First, Security considerations are easy to access and can be taken from the shortest path, especially in order to reduce panic and match disasters in time to ease the crowd.

Second, Convenient considerations, food and service counters, SAR stands, and bathroom locations should have sufficient equipment to shorten the queue, their location should be as close as possible to the audience area or where consumers use it. The environment should also be clean and well maintained, which should be enjoyable.

Third, due to the consideration of order, the design of the site should incorporate the management and control of the masses, permit adequate safety checks at the entrance and try not to use the ladder as a kick-off. The ramp is a safer way to get into the court. At the stadium, the location of the console is a major factor in managing success. The console needs to be the control center, and the management of the stadium can completely control the access and control from the control center and supervise all peripherals.

Fourth, Diversified considerations, the design of the stadium should be flexible in order to allow for various operations. Use of games and games, for example: an American football field should be wide enough for American football games. An arena should be suitable for ice hockey, a small commercial or public venue that should be able to cope with sports use and draw good sports activities [8] .

### **4. Conclusions and Suggestion**

#### *4.1 Conclusion*

##### 4.1.1 The conditions for Stadium

The Stadium is the core building of public acuities. Although is the independent; but with different concepts. And the development is related to environment, culture, people and management [9].

The location of the Stadium is in the main area and with the convenient transportation and high population point.

#### 4.1.2 The planning and design of Stadium

In order to make difference from the existing parts, facilities and buildings, the design as below:

- (1) The multi functions- a number of functional attributes as described in the business management; or by other functions derived from it.[10]
- (2) The maximum usage and economic benefit- First, it promotes the construction of facilities, environmental consolidation and maintenance. And the other hand, the Stadium can self-sufficient, even constantly improving, updating or expanding. Therefore, recruiting specific members, affiliated clubs, setting up trade shows, and activities all have the purpose of maintaining usage and economic efficiency.
- (3) Provide the convenient service system- introduction, outdoor billboards, electronic billboards, guides service as well as the news media, and provide immediate satisfaction to the users.
- (4) Internationalization- Volume of scale, field planning, cultural relics, planning of the site, health and safety, business management, traffic lines, foreign language profiles, guided tours can reach international standards.
- (5) Providing an excellent environment for leisure- The Stadium is providing leisure and entertainment for the public mainly. The operation is provided to the audience and members in an excellent environment and long-term operation and maintenance of professionals.

#### 4.1.3 The management for Stadium

Initially, the Stadium is planned for hardware and software in accordance with the functional attributes of the field itself. In addition to the main functions, the field must have one to two secondary functions in order to gather the audience and make full use of the field [11].

#### 4.2 Suggestion

1. Overall planning multi-objective multi-function
2. Both function and appearance
3. Feasibility assessment should be done before the construction.
4. The establishment the size of Stadium.
5. Take the safety as the priority.
6. The type of management.
7. The attention of Media.

8. Planning legalization
9. The training of management
10. Planning of Parking lot
11. The importance of facilities for disabilities

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## **A Study on the Influence of Emotional Services on Service Adaptive Behavior**

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### **Abstract**

This study investigates the influence of surface acting and deep acting of emotional labor on service adaptability and the additional interference effect induced by environmental creativity and job standardization. In this study, the frontline service personnel of Taiwan's hotel industry were selected as the target for receiving survey questionnaires. Study results show that higher degree of surface acting for the personnel will lead to lower service adaptability. Conversely, higher degree of deep acting for the personnel will lead to higher the service adaptability.

**Key Words:** Emotional Labor, Service Adaptability

### **1 Introduction**

In the competitive international tourist hotel industry, having superior service quality is essential to maintain hotel's competitive edge. In order to provide superior service quality, hotel usually will require its employees to offer customized services to its customers with warm and attentive attitude. For this reason, the work scope of hotel employees will include both emotional labor and service adaptability. Despite the fact that emotional labor and service adaptability are important, studies in the past never investigated the influence of emotional labor on service adaptability. Furthermore, previous studies on emotional labor also ignored possible impact of the working environment. Environmental creativity and job standardization are two dissimilar environments that are both important for improving service quality. In this study, we believed that environmental creativity and job standardization may reduce or enhance the influence of emotional labor on service adaptability. Therefore, this study plans to investigate the influence of surface acting and deep acting of emotional labor on service adaptability and the additional interference effect induced by environmental creativity and job standardization. In this study, the frontline service personnel of Taiwan's hotel industry were selected as the target for receiving survey questionnaires. The questionnaires were sent to a total of 16 hotels and 210 of them were returned. Among the returned questionnaires, 203 of them are valid while 7 of them are invalid. It is hoped that through quantification analysis, the following contributions could be made in this study: in-depth analysis and disclosure of the influence of different emotional labor strategies on service adaptability, as well as the type of environment that the management should create in the hotel in order to benefit the frontline service personnel in implementing service adaptability.

## 2 Literature review

### 2.1 Emotional labor

Hochschild [1] believed that emotional labor is the process by which individuals are expected to manage their feelings in accordance with organizationally defined goals and expectations. With regards to the service personnel of different professions, showing customers with a kind and warm smiling expression is essential in order to allow customers with different service needs to have a good impression of the organization, hence, improving the opportunity for customers to visit again as well as enabling the continuous development for the organization. However, each individual in the organization should face the emotional labor related problem. Emotional labor includes surface acting and deep acting. Surface acting involves a "faking" process through which outward expressions are altered, yet internal feelings are left intact. Conversely, deep acting is an effortful process through which individuals change their internal feelings to align with organizational expectations and goals [2]. Regarding to the connotation of emotional labor, most researchers adapt the surface acting and the deep acting meaning defined by Hochschild [3] as the main framework for service personnel [3].

### 2.2 Surface acting

Grandey [2] defined surface acting as a process to suppress ones real internal feeling and fake outward expression which is in-line with the organizational expectation. Hochschild [4, 6] believed that surface acting is a "fake" disguise and is not part of one's own feeling. Service personnel adopting surface acting strategy will disguise their own feeling by modifying their outward emotional expression, instead of changing their internal feeling, resulting in non-conformity between internal feeling and outward expression. In other words, surface acting focuses on managing outward emotional expression [5].

### 2.3 Deep acting

Grandey[2]defined deep acting as a process to change ones internal feeling in order to deliver an appropriate emotional expression. Hochschild [4] pointed out that deep acting is a disguise that comes from one's own heart. He believed that by managing one's own internal feeling, service personnel can create and deliver emotion that is truthful and kind to their customers. During deep acting process, personnel will actually communicate with their own internal feeling while offering services to their customers, trying to create an internal feeling that is in accordance with the expectation so that the expected emotional expression can be delivered. This will make individual's disguised feeling seemed real, as part of one's own feeling and then affect the outward emotional expression. The focus of deep acting emotional management is based on sensing ones internal feeling [6].

### 2.4 Environmental Creativity

Kelley, Longfellow and Malehorn [7] believed that environmental creativity puts



emphasis on experimental spirit and risk acceptance, allowing personnel to act voluntarily and encouraging them to solve customer's problems and establish communication channels between the organization. It focuses on individual's effort and initiative. Service personnel's creativity freedom can improve service customization performance, customer satisfaction, as well as customer loyalty and reduce the cost of customers leaving the organization and the employee's turnover rate. Therefore, under a creative working environment, personnel will have higher decision-making power to express his/her own feelings, improving personnel's passion as well as satisfaction toward their job and reducing personnel's pressure due to work [8].

### 2.5 Job Standardization

Job standardization refers to the combination of hardware technology and work methodology adopted by the personnel when implementing their operation procedures. Such process will effectively convert the services to organizationally expected quality standard, benefiting service personnel to implement their work according to standard operating procedures [9][10].

### 2.6 Service adaptability

Harline and Ferrell [11] defined service adaptability as the process through which personnel while interacting with the customer can modified his/her service approach depending on customer's needs, so that the service offered is suitable and effective for each individual customer. They believed that improving personnel's ability to respond to customer's needs, service attitude of personnel and personnel's satisfaction toward his/her job is the key philosophy to pursue good customer service quality for companies in the service industry.

## 3 Methods

### 3.1 Study framework diagram

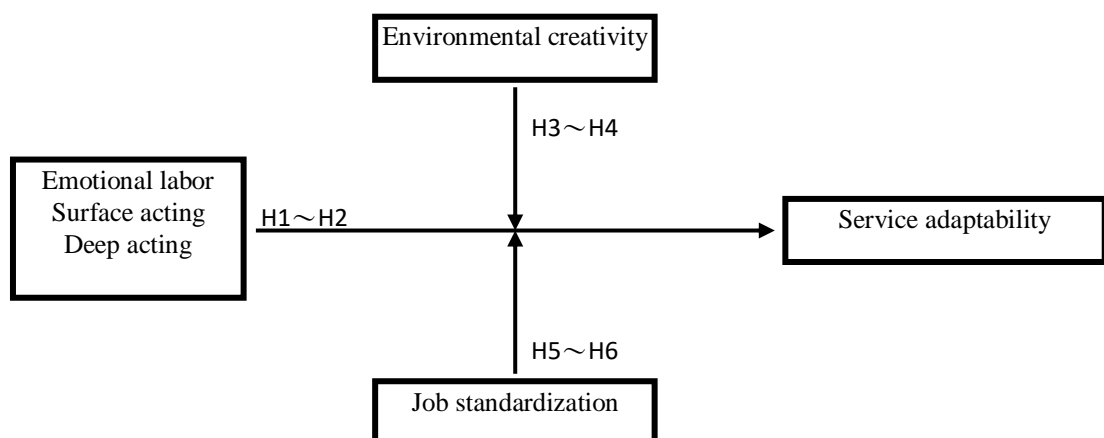


Figure 1. Study framework diagram

### 3.2 Study assumptions

- H<sub>1</sub> : Surface acting has negative impact on service adaptability
- H<sub>2</sub> : Deep acting has positive impact on service adaptability
- H<sub>3</sub> : Environmental creativity will increase the negative impact of surface acting on service adaptability
- H<sub>4</sub> : Environmental creativity will increase the positive impact of deep acting on service adaptability
- H<sub>5</sub> : Job standardization will reduce the negative impact of surface acting on service adaptability
- H<sub>6</sub> : Job standardization will reduce the positive impact of deep acting on service adaptability

## 4 Findings

### 4.1. Correlation analysis

Surface acting and deep acting both have significant impact on service adaptability. Deep acting has positive correlation with service adaptability ( $r=.446^{**}$ ,  $p<.01$ ) while surface acting has negative correlation with the service adaptability ( $r=-.197^{**}$ ,  $p<.01$ ). This suggests that higher degree of surface acting for the personnel will lead to lower service adaptability. Conversely, higher degree of deep acting for the personnel will lead to higher the service adaptability.

Deep acting has significant and positive correlation with environmental creativity ( $r=.456^{**}$ ,  $p<.01$ ), suggesting that personnel in a hotel environment with higher creativity will lead to higher degree of deep acting. Similarly, deep acting has significant and positive correlation with job standardization ( $r=.302^{**}$ ,  $p<.01$ ), implying that personnel with flexible standard operating procedure will lead to higher degree of deep acting.

Environmental creativity has significant and positive correlation with service adaptability ( $r=.529^{***}$ ,  $p<.001$ ), suggesting that under the creative environment, personnel will have higher service adaptability. Similarly, job standardization has significant and positive correlation with service adaptability ( $r=.520^{***}$ ,  $p<.001$ ), implying that standardized operating procedure will provide some methods, and steps to allow personnel to satisfy customer's needs more effectively. This improves the personnel's capability to offer customers with better quality customized services depending on customers' needs.

Table 1 Correlation analysis table

	Average	Deviation	1	2	3	4	5
1. Deep acting	3.9637	0.63681	1				
2. Surface acting	2.6733	0.84704	-0.064	1			
3. Environmental creativity	3.8059	0.60276	0.456*	-0.074	1		
4. Job standardization	3.7990	0.58974	0.302*	0.010	0.404**	1	
5. Service adaptability	3.8847	0.60223	0.446*	-0.197**	0.529**	0.520**	1

$P < .05^*$  ,  $P < .01^{**}$  ,  $P < .001^{***}$

#### 4.2. Confidence analysis

According to the survey questionnaire performed in this study, the confidence analysis results in terms of Cronbach's  $\alpha$  for studied parameters such as deep acting, environmental creativity, job standardization, and service are all within the range of 0.8~0.9, suggesting that all of them have high confidence level. This implies that the survey questionnaire performed in this study as well as the data collected are very reliable.

### 5 Discussions and Recommendations

#### 5.1. The influence of surface acting and deep acting emotional labor strategy for frontline service personnel of international tourist hotel on service adaptability

Different from studies done in the past, this study combines emotional labor and service adaptability, whereas studies in the past mostly investigated these two parameters separately even though they are closely related.

From the ANOVA analysis table, it is found that frontline hotel service personnel with different years of work experience of the current job showed significant deviation in surface acting. Personnel with fewer years of work experience of the current job show higher surface acting than that with greater years of work experience. This may be attributed to the fact that personnel with greater years of work experience of the current job has already adapted to the work routine and environment of the hotel, therefore, more sincere services can be offered.

It is apparent from the analysis table that emotional labor strategy has significant impact on service adaptability. The results of this study show that surface acting emotional labor strategy exhibits negative correlation with service adaptability ( $r = -.197^{**}$  ,  $p < .01$ ), meaning that the higher degree of surface acting, the lower the personnel's service adaptability. On the other hand, deep acting emotional labor strategy exhibits positive correlation with service adaptability ( $r = .446^{**}$  ,  $p < .01$ ), suggesting that the higher degree of deep acting, the higher the personnel's service adaptability.

If personnel during services exhibits higher degree of surface acting, customers are likely to notice that services offered by the service personnel are not very sincere, making customers less willing to express their needs. Therefore, deep acting emotional labor strategy may benefit personnel to take customer's needs seriously,

consequently, offering services that are in accordance with the customer's needs and fulfilling the goal of customer-oriented services. Service adaptability actually in fact is customer orientation.

Previous study on selling reported by Spiro and Weitz [12] suggested that allowing customers to feel personnel's passion during services and adjusting the services according to customer's responses are important criteria to fulfill customer-oriented services. The same concept was adopted in this study to expand the scope from selling to services. Furthermore, Grandey [13] believed that smiling will not always induce positive impact on the observer. He believed that the key to induce positive impact is the sincerity of the smile. This is supported by the conclusion of this study, showing that surface acting induces a negative impact on emotional delivery while deep acting is the key to induce positive impact.

### *5.2. Whether or not the working environment of international tourist hotel will interfere with the impact of frontline service personnel's emotional labor on service adaptability.*

It can be seen from the analysis results that environmental creativity and job standardization both show significant and positive impact on service adaptability. The results of regression analysis also demonstrate positive influence. The study reported by Gilson, Mathieu, Shalley, and Ruddy [14] suggested that organization innovation and job standardization are beneficial to both organization and customers. Their study also showed that working environment has a positive impact on service adaptability, which is consistent with the conclusion of this study. Even though the two organizational structures are completely different, they have the same contribution to service quality and customer satisfaction.

However, from the results of regression analysis, it can be seen that the interaction of deep acting and environmental creativity, the interaction of deep acting and job standardization, the interaction of surface acting and environmental creativity, and the interaction of surface acting and job standardization show insignificant impact on service adaptability, inconsistent with the hypotheses of this study. This may be owing to the fact that environment has direct impact on service adaptability, however, its interaction with emotional labor may not cause an impact on service adaptability.

### *5.3. Theory contribution*

- (1) Most of the studies conducted in the past are based on the investigation of the impact of emotional labor and service adaptability separately on customers. This study, however, investigated the combined effect of emotional labor and service adaptability, allowing us to have a complete understanding of how to implement services more effectively and efficiently.
- (2) Even though emotional labor and service adaptability of personnel will be affected by hotel's internal environment, very few studies performed investigations on such topic. This study can act as the supplementary reference to support this hypothesis. It is suggested that management of hotel should create environments to stimulate deep acting rather than over emphasizing on service standardization in order to provide service that

satisfies customer's needs.

#### *5.4. Recommendation for international tourist hotel*

Based on the findings of this study, the following recommendations were proposed for international tourist hotel and its frontline service personnel :

- (1) In the international tourist hotel industry, frontline service personnel is the one who has to interact closely with the customers. They play the important role of delivering high-value services to the customers, which involves exchange and express of emotions in terms of face expression, language, voice and action. The purpose is to create a pleasant and happy service environment. The fact that personnel is able to show sincerity during services and actively provide customers with needed services are essential to fulfill customer satisfaction and to allow customers to visit the hotel again. Therefore, the emotional expression of service personnel is particularly important. This study recommends hotel management to recruit personnel who agree with the hotel's philosophy as well as business value and personnel who pursue excellent services.
- (2) Management of international tourist hotel should incorporate emotional management and service adaptability into personnel training curriculum. They should put emphasis on emotional expression, particularly deep acting, rather than service capability improvement because deep acting emotional expression can bring out the potential of service capability to deliver customized services to customers. It is suggested in this study that the management of international tourist hotel should offer not only emotional expression and professional service training courses but also emotional management as well as service adaptability courses.

#### *5.5. Study limitation and suggestion for future study*

- (1) Conducting multi-level analysis

Single-level analysis logic was adopted in this study, which was mainly focused on individual-wise analysis. The 203 service personnel investigated in this study were selected from 16 different work environments, therefore, multi-level analysis should be further conducted.

- (2) Sectional data collected are not suitable for cause-and-effect relationship analysis

Since the data collected were from the same time period, they are not suitable for cause-and-effect relationship analysis.

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# **Exploring of the Correlation between Satisfaction of Service Quality, Customer Loyalty and Marketing Strategy on Market Share**

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## **Abstract**

Diversified consumption habits, credit cards have become the most common payment tools for consumers. This paper attempts to explore whether customers are satisfied with the quality of card-issuing services, customer loyalty and marketing strategies, and whether it affects the ratio of card-issuing banks in the credit card market. This study mainly takes Likert scale and literature theory as the basis of questionnaire structure, and uses the chi-square test to verify the correlation between the various facets. The empirical results show that if the issuing bank can provide good professional services, service attitude and timely provide services that meet customer needs, Will increase the customer's loyalty to the issuing bank, and thus increase the market share of the issuing bank; if the issuing bank can increase the credit card equity or consumer feedback incentives, it will help to improve customer loyalty and service quality satisfaction and encourage customers to spontaneously Sexually recommend others to use, continue to use or refer to other commodity services of the issuing bank, thus increasing the market share of the issuing bank, and researching and inferring that when the customer is satisfied with the various services of the credit card, the discussion hypothesis that the market share of the issuing bank is raised is established.

**Keywords:** Market share, Customer loyalty, Service quality, Market share

## **1. Introduction**

Berry [1] mentioned that attracting new customers is only an intermediate process in the marketing process. How to hold customers firmly and establish loyalty to enterprises is the focus of service marketing. Therefore, the financial service provider's business policy must be to meet the needs of customers, in order to increase its added value and profit. As the consumption pattern changes, the industry will gradually focus on the demand for corporate gold, and gradually focus on the gold-saving business, credit card business. As the fastest source of income growth, in order to respond to the diversified needs of customers, card-issuing banks must introduce various card discounts to attract new customers to grab market share, and on the other hand, to maintain close relationships with existing customers. Encourage consumption by continuing customer trust in card-issuing banks with good service quality and performance. In the face of fierce competition in the consumer finance market, financial operators must adapt to changes in the market environment and strengthen their competitiveness in the market in order to sustain their business. Among them, market share and business profit are often positively correlated, so market share It is often one of the important indicators to measure business performance.

Therefore, this study mainly uses the questionnaire structure of Likert scale and literature theory, and uses the chi-square analysis method to explore whether the service quality, customer loyalty, marketing strategy and market share are related to each aspect, in order to Provide the issuing bank as the basis for the development of the business policy.

## **2. Literature review**

### *2.1 Customer Loyalty*

Research pointed out according to Reichheld and Sasser [21], when the enterprise retains the original customer's ratio increases 5%, its enterprise retains convenient may promote 25% to 85% different. Judging from this, the loyal customer maintains one of important policies which the enterprise continues forever to manage, attracts a new customer and is insufficient the loss effect which makes up a loyal customer to drain brings, therefore the enterprise competitive advantage main origin lies in the maintenance loyal customer and enterprise's close degree. Griffin [7] thought and the loyalty is refers to the customer to meet the regular repetition purchase your help company to provide the cross project product and the service. Gronholdt et al. [8] thought the customer forgives the customer to buy the wish, to other people recommendation wish again loyally and so on.

### *2.2 Quality of service*

Hurley and Estelami [11] thought the service quality can affect the customer degree of satisfaction, next will be able to affect the future the repetition purchase wish, obviously will serve the quality quality to decide sufficiently the enterprise will continue forever to manage or not; Michael [17] also proposed the service quality, the customer degree of satisfaction and the customer loyalty are a succession of causal relations, must regard as a body to weigh and the management; Bitner [3] thought service prime system customer after expense whether purchases the service once more the overall manner.

### *2.3 Market share*

It refers to the market share of enterprise products, that is, the ability of enterprises to control the market. The continuous expansion of the market share of enterprises can enable enterprises to obtain some form of monopoly. This monopoly can bring monopoly profits and maintain certain Competitive advantage. Helofo and Jacobson[9] have pointed out that consumers will regard high market share as a symbol of high quality. Katz and Shapiro [13] mentioned that the role of market share represents the quality of the product. Boulding et al. [4] also suggested that consumers' perception of brand and market share are related to a degree.

### *2.4 Chi-square test*

The independence check is applied to explore the correlation between two variables in the same set of samples; when the test result is significant (that is, the result rejects the null hypothesis, it means that the two variables are related; otherwise, when the test result does not reject the null hypothesis, which means that the two variables are independent of each other. And the chi-square test is used to analyze the chi-square degrees of freedom  $(C-1) \times (D-1)$ , where C and D is the level of the two



categories of variables, when  $P$  When the value is less than 0.05, it means that the two variables are related.

### 3. Research design

#### 3.1 Research Architecture

This chapter explores the structure of the research through the literature to understand the relationship between the various elements, and then organizes the research hypothesis of the connotation of each element. Then it summarizes the research design, including the methods of questionnaire design, data collection and data analysis, and constructs four facets according to the purpose of this research, namely service quality facet, customer loyalty facet, marketing strategy facet and market share. Facet, the following describes each facet as shown in Figure 1:

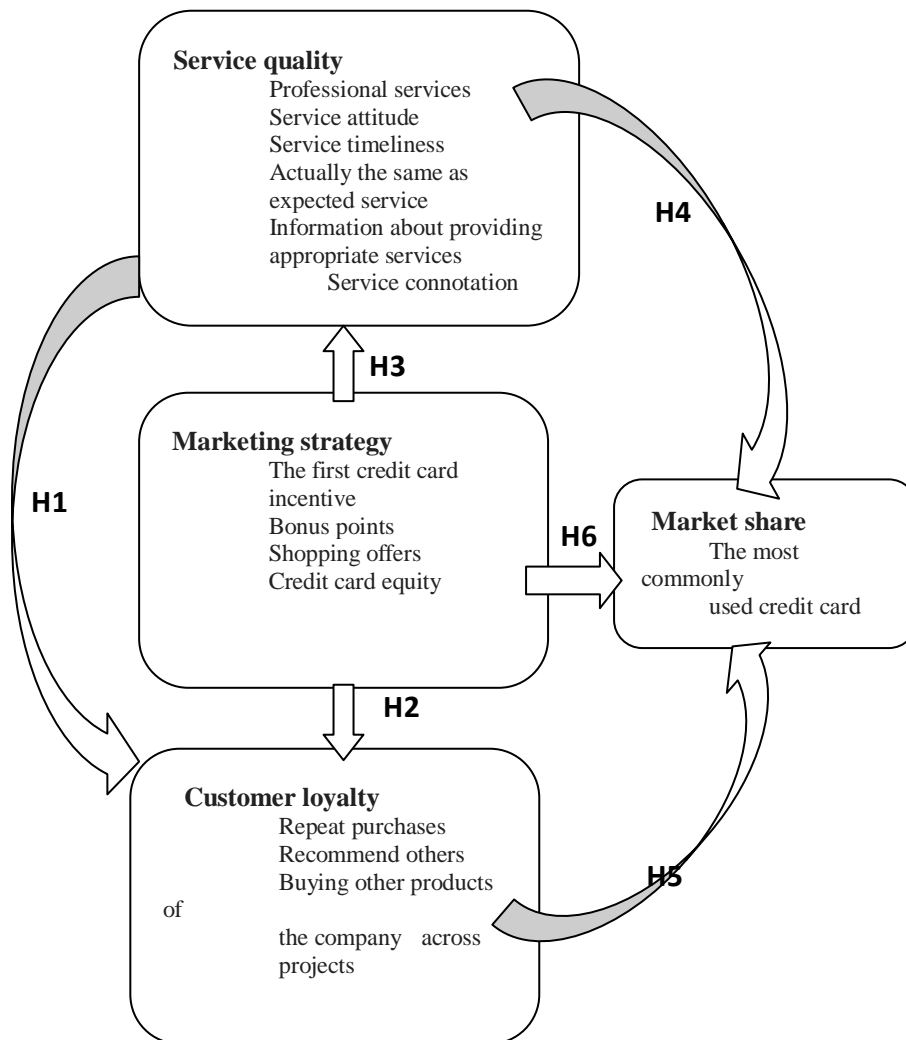


Figure 1. Research architecture

### 3.2 Research hypothesis

3.2.1 Hypothesis 1: Service quality structure is related to customer loyalty

3.2.2 Hypothesis 2: Marketing strategy is related to customer loyalty

3.2.3 Hypothesis 3: Marketing strategy is related to service quality

3.2.4 Hypothesis 4: Service quality structure is related to market share

3.2.5 Hypothesis 5: Customer loyalty is related to market share

3.2.6 Hypothesis 6: Marketing strategy is related to market share

### 3.3 Research Questionnaire Design

This research questionnaire design, the first part for individual basic document, including the sex, the age, the marital status, the school record, the occupation, each monthly mean brushes the card amount and so on, the total 6 topics, the second part mainly rests on the research variable, Michael [17] service quality theory, Griffin [7] the loyalty theory, Lauterborn [14] the 4 Cs theory as a basis for verification of the question, induction three big construction surface(service quality, customer loyal, marketing strategy) and 16 topics asks the item, each asked the item separately carries on the importance and the degree of satisfaction investigation to its construction surface attribute, and uses Likert [16] five criterion weights, and holds the theory induction based on the Hellofs and Jacobson [9] markets to ask independently the item (at present most often uses credit card) 1 topic.

In this study, Taichung City held domestic bank credit card customers as the research object, and conducted a questionnaire survey by questionnaire. A total of 402 questionnaires were sent out, 381 were actually recovered, 359 valid questionnaires were valid, 89.3% were effectively recovered, and the results of the questionnaire were based on Cronbach's The  $\alpha$ -trust factor is used to test the internal consistency of the respondents' questions in the questionnaire. According to Nunnally [18], when the Cronbach's  $\alpha$  value is higher than 0.7, it indicates that the questionnaire has fairly good internal consistency. It is the questionnaire that has a fairly high reliability.

This study used SPSS for Windows 12.0 software package to analyze the effective recovery of sample data, and carried out narrative statistical analysis on the basic data of respondents, the most commonly used credit card, satisfaction of facet attributes, etc., and applied the chi-square verification method to exploring the relevance of the existence of each facet element.

## 4. Research results

The effective questionnaire collects in order according to participant filling in entire carries on the sample number analysis, in 359 participants, the male accounts for 53.9%, the female accounts for 46.1%; Age take 21-30 year old 48.6% as most, but 31-40 year old of 33.6% next bests; Marriage by unmarried 56.4% most; School record by university (special) 62.8% most; Occupation by manufacturing industry 27.2% most, next is service industry 23.3%; The average brushes the card amount sample: By amount 10,000 Yuan following 40.3% majorities; next is the amount 10,000-20,000 Yuan 37.2%; At present most often uses the credit card to be most for the Chinese trust 23.1%, next for Cathay united bank 12.5%, Citibank 12.2%, this data result and of financial organ credit card circulation card number actual information Executive Yuan Finance

Management by supervision Committee announcement (Chinese trust > Cathay united bank > Citibank) market share match case.

Nunnally [18] proposed that when the Cronbach's  $\alpha$  coefficient is greater than 0.7, it has high reliability and organizes the various facet reliability analysis tables of the questionnaire, as shown in Table 1. In Table 1, it can be seen that in the 16 gauges of the three facets, the Cronbach's  $\alpha$  values were 0.879, 0.709, and 0.795, both of which were greater than 0.7, indicating that the reliability of each facet in the study was good.

Table 1. The reliability analysis table of each facet of the questionnaire

Facet properties	Measure question	Number of questions	Cronbach's $\alpha$ value
Service quality	Professional Services (Q1),	8	0.879
	Service Attitude (Q2)		
	Timeliness of service (Q3),		
	Actually the same as expected service (Q4)		
	Appropriate service information (Q5),		
Customer loyalty	Service Connotation (Q6-Q8)	3	0.709
	Recommend others (Q9),		
	repeat purchases (Q10)		
Marketing strategy	Buy other products of the company across projects (Q11)	5	0.795
	First card incentive (Q12-Q13),		
	Bonus Points (Q14)		
	Shopping Offer (Q15),		
	Credit Card Benefit (Q16)		

The study analyzes the card-side freedom (C-1)×(D-1) by comparing the service quality, customer loyalty, marketing strategy, and the most commonly used credit card variables. C and D are respectively two categories. The level of the variable, when the P value is less than 0.05, indicates that the two variables are not independent and related, as shown in Table 2~ Table 7.

Table 2. Chi-square analysis between service quality and customer loyalty

Variable	Chi-square value( $\chi^2$ )	Degree of freedom(df)	P-value	Variable	Chi-square value( $\chi^2$ )	Degree of freedom(df)	P-value
Q1*Q9	115.431	12	**0.000	Q5*Q9	268.620	16	**0.000
Q1*Q10	90.514	9	**0.000	Q5*Q10	182.731	12	**0.000
Q1*Q11	57.671	12	**0.000	Q5*Q11	103.967	16	**0.000
Q2*Q9	128.876	12	**0.000	Q6*Q9	273.303	16	**0.000
Q2*Q10	115.282	9	**0.000	Q6*Q10	187.991	12	**0.000
Q2*Q11	47.004	12	**0.000	Q6*Q11	66.908	16	**0.000
Q3*Q9	182.113	12	**0.000	Q7*Q9	146.658	12	**0.000
Q3*Q10	264.238	9	**0.000	Q7*Q10	125.769	9	**0.000

Q3*Q11	63.742	12	**0.000	Q7*Q11	99.561	12	**0.000
Q4*Q9	163.693	12	**0.000	Q8*Q9	125.635	16	**0.000
Q4*Q10	168.274	9	**0.000	Q8*Q10	150.011	12	**0.000
Q4*Q11	124.475	12	**0.000	Q8*Q11	33.526	16	**0.000

\*P≤0.05 \*\*P≤0.01

From Table 2 that after the chi-square test of the service quality facet and the customer loyalty facet, the P value is less than 0.05, so the null hypothesis is rejected, indicating that the difference in service quality has a significant impact on customer loyalty ( Hypothesis 1).

Table 3. Chi-square analysis between marketing strategy and customer loyalty

Variable	Chi-square value( $\chi^2$ )	Degree of freedom(df)	P-value
Q12*Q9	116.760	16	**0.000
Q12*Q10	74.930	12	**0.000
Q12*Q11	117.699	16	**0.000
Q13*Q9	119.433	12	**0.000
Q13*Q10	66.298	9	**0.000
Q13*Q11	85.043	12	**0.000
Q14*Q9	164.231	12	**0.000
Q14*Q10	78.382	9	**0.000
Q14*Q11	115.099	12	**0.000
Q15*Q9	200.242	12	**0.000
Q15*Q10	106.275	9	**0.000
Q15*Q11	92.777	12	**0.000
Q16*Q9	94.892	16	**0.000
Q16*Q10	140.201	12	**0.000
Q16*Q11	109.161	16	**0.000

\*P≤0.05 \*\*P≤0.01

From Table 3 that after the cross-checking of the marketing strategy facet and the customer loyalty facet, the P value is less than 0.05, so the null hypothesis is rejected, indicating that the difference in marketing strategy has a significant impact on customer loyalty ( Hypothesis 2).

Table 4. Chi-square analysis of marketing strategy and service quality

Variable	Chi-square value( $\chi^2$ )	Degree of freedom(df)	P-value	Variable	Chi-square value( $\chi^2$ )	Degree of freedom(df)	P-value
Q1*Q12	48.361	12	**0.000	Q5*Q12	275.928	16	**0.000
Q1*Q13	40.289	9	**0.000	Q5*Q13	87.957	12	**0.000
Q1*Q14	64.489	9	**0.000	Q5*Q14	120.918	12	**0.000
Q1*Q15	63.552	9	**0.000	Q5*Q15	172.099	12	**0.000
Q1*Q16	66.789	12	**0.000	Q5*Q16	255.116	16	**0.000
Q2*Q12	85.325	12	**0.000	Q6*Q12	217.862	16	**0.000
Q2*Q13	82.695	9	**0.000	Q6*Q13	68.022	12	**0.000
Q2*Q14	55.065	9	**0.000	Q6*Q14	78.902	12	**0.000
Q2*Q15	98.820	9	**0.000	Q6*Q15	144.767	12	**0.000
Q2*Q16	108.574	12	**0.000	Q6*Q16	222.687	16	**0.000
Q3*Q12	98.934	12	**0.000	Q7*Q12	86.464	12	**0.000
Q3*Q13	91.598	9	**0.000	Q7*Q13	55.462	9	**0.000
Q3*Q14	66.355	9	**0.000	Q7*Q14	50.680	9	**0.000
Q3*Q15	136.841	9	**0.000	Q7*Q15	77.779	9	**0.000
Q3*Q16	131.210	12	**0.000	Q7*Q16	97.917	12	**0.000
Q4*Q12	89.481	12	**0.000	Q8*Q12	395.350	16	**0.000
Q4*Q13	100.120	9	**0.000	Q8*Q13	119.563	12	**0.000
Q4*Q14	61.326	9	**0.000	Q8*Q14	69.965	12	**0.000
Q4*Q15	199.329	9	**0.000	Q8*Q15	114.236	12	**0.000
Q4*Q16	98.484	12	**0.000	Q8*Q16	413.701	16	**0.000

\* $P \leq 0.05$  \*\* $P \leq 0.01$

From Table 4 that after the chi-square test of the service quality facet and the marketing strategy facet, the P value is less than 0.05, so the null hypothesis is rejected, indicates that different

marketing strategies have a significant impact on customer perceived service quality (Hypothesis 3).

Table 5. Card verification of service quality and market share

Variable	Chi-square value( $\chi^2$ )	Degree of freedom(df)	P-value
Q1*The most commonly used credit card	107.229	72	**0.004
Q2*The most commonly used credit card	110.037	72	**0.003
Q3*The most commonly used credit card	166.011	72	**0.000
Q4*The most commonly used credit card	134.056	72	**0.000
Q5*The most commonly used credit card	204.324	96	**0.000
Q6*The most commonly used credit card	180.391	96	**0.000
Q7*The most commonly used credit card	244.832	72	**0.000
Q8*The most commonly used credit card	152.159	96	**0.000

\* $P \leq 0.05$     \*\* $P \leq 0.01$

From Table 5 that after the chi-square test of the service quality facet and the market possession facet, the P value is less than 0.05, so the null hypothesis is rejected, indicating that the difference in service quality has a significant impact on the market share (Hypothesis 4).

Table 6. Chi-square analysis of customer loyalty and market share

Variable	Chi-square value( $\chi^2$ )	Degree of freedom(df)	P-value
Q9*The most commonly used credit card	242.413	96	**0.000
Q10*The most commonly used credit card	221.330	72	**0.000
Q11*The most commonly used credit card	244.805	96	**0.000

\* $P \leq 0.05$  \*\* $P \leq 0.01$

From Table 6 that after the cross-checking of the customer loyalty facet and the market possession facet, the P value is less than 0.05, so the null hypothesis is rejected, indicating that the customer loyalty has a significant impact on the market share (Hypothesis 5).

Table 7. Chi-square analysis of marketing strategy and market share

Variable	Chi-square value( $\chi^2$ )	Degree of freedom(df)	P-value
Q12*The most commonly used credit card	224.346	96	**0.000
Q13*The most commonly used credit card	283.819	72	**0.000
Q14*The most commonly used credit card	205.376	72	**0.000
Q15*The most commonly used credit card	216.853	72	**0.000
Q16*The most commonly used credit card	207.965	96	**0.000

\* $P \leq 0.05$  \*\* $P \leq 0.01$

From Table 7 that after the cross-checking of the marketing strategy facet and the market possession facet, the P value is less than 0.05, so the null hypothesis is rejected, indicating that the marketing strategy has significant significance for attracting customers to the market impact (Hypothesis 6).

## 5. Research conclusions

In the past research papers on credit card services, the content of the discussion was mostly related to the relationship between customer satisfaction and customer loyalty; or the correlation between customer satisfaction and service quality. However, in the ever-changing financial environment, this study believes that not only must customer satisfaction and service quality be balanced, but also constantly seek new changes. Innovative product quality and marketing strategies can firmly grasp the hearts of customers and enhance the image of the company.

In this study, the customers who hold the domestic bank credit card in the Greater Taichung area are surveyed, and the card independence test analysis is used to explore whether the service quality, customer loyalty and marketing strategy are related. According to the above empirical results are as follows:

The respondents were mostly male, aged 21-30 years old. Their occupations were mainly in manufacturing, and their academic qualifications were mostly in universities. The credit card amount was mostly below 10,000, according to the analysis of the card independence test, if the issuing bank can provide good professional services, service attitude and timely meet the needs of customers, and improve customer loyalty to the issuing bank, Smith [23] points out that when customers get the products they really need, In the service, loyalty is generated, which can increase the market share, so the H1 and H4 assumptions are established; Zhou Qisen [27] pointed out that the banking industry should introduce differentiated marketing strategies to allow the limited cost to bring in the growth of credit card credits and maintain customer transactions. Therefore, if the issuing bank can provide various credit card rights or consumer incentives, it will help H2 and H5 are assumed to be established by increasing customer loyalty and allowing consumers to spontaneously recommend others to use credit cards to increase market share; Whether the card-issuing bank provides the appropriate service content and meets the customer's needs can be learned from whether the customer purchases the service again after consumption (Bitner [3]). Therefore, the issuing bank can increase the position in the market by introducing credit card offers and continuously innovating service content. You Zhuya [26], so H3 and H6 are assumed to be established.

Most scholars believe that customer satisfaction and service quality tend to be a kind of psychological state. Therefore, this study considers that the measurement of product quality is much easier than customer satisfaction and service quality, because the perception of customers is not quantifiable. And it is difficult to control, and in a highly competitive market, business operators should consider themselves in the customer's point of view to reflect the real needs of customers, improve service quality and customer satisfaction will be to retain old customers and attract new customers. The second rule is to help the company's market share increase and to obtain higher operating profit.



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## Thai Television within the context of Political Economy Theory - The case study of BBTV

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### Abstract

This research paper examines various mechanisms and characteristics of political economy theory within the Thai media landscape, with specific focus on the case of Channel 7. The formal owner of this broadcasting station, the Royal Thai Army, leased out a long-term license over a period from 1957-2020 to Bangkok Broadcasting Television Company, which is mainly owned by the Ratanarak family group, belonging to the traditional “Old money family businesses” with Chinese descent. For assessing the involvement and impact of the political economy theory in this case study, several key strategies and processes such as marketisation, liberalisation, integration, diversification and internationalisation are tested.

**Keywords:** Political Economy, Thailand, Ratanarak, Ownership, Media Tycoon

### 1. Introduction

As a result of my study on the current state of research of media and economics, a critical political economic analysis containing politico-corporate relationships, strategies and structures in regard to media systems in Thailand appears rather unexplored and correspondingly underrepresented. Therefore, this research paper aims at shedding light into this area of economic and political organisation (political economy) of Thai media by focusing on a model sample case which has left deep traces within Thai media history, namely Channel 7 and its operating company BBTV with the so-called Ratanarak family in control. This case study also points a direct reference to the conference by its subject being this particular powerful family business of Chinese origin with base in Thailand. In this analysis, power structures and relations as well as various related strategies are linked to the theory of political economy, namely marketisation, liberalisation, integration, diversification and internationalisation. Lastly, some weaknesses of this theory also addressed.

#### *1.1. Economic Background - Thailand's Wealthy Elite*

To understand the roots of Thai media business and its related agencies, a look into the income structure of Thailand can be useful. The very peak 1%, the precise pinnacle of the national income pyramid, maintains to accumulate its wealth faster than the average according to Phongpaichit [1]. This financial elite constitutes among others the so-called “old money families” who survived the Asian financial crisis of 1997 as they shifted their “gains into new forms of wealth and remain as a fraction of the wealth elite” as Suehiro and Wailerdsak [2] describe. This was channelled through the so-called economic process of diversification (which be explained more deeply later). Estimates [2] indicate that around 70-80% of this group were successful to transfer their funds into the new century. The sample of selected 220

business groups [2] amounts to 2,930 billion baht, equivalent to 62% of the nominal GDP in 1997 (before the crisis). This group originates mainly from first, second and third generations of Chinese or Thai-Chinese descent accounting to more than 88%.

As particular representative of this “Old Money Family Business” of Chinese heritage, the Ratanarak family, is highlighted in this paper as it stands out in terms of its importance within the fields of society, economy and media in Thailand. The current family head Krit, a rather introverted multi-industrial tycoon [3] who rarely appears in the media, is the son of pioneering entrepreneur figure in modern Thai history, Chun Ratanarak. Besides his involvement in the founding of the Bank of Ayuthya and Siam City Cement Group, he co-founded Channel 7, which can be considered as a spearheading broadcaster in Thailand since it was the first to employ satellite links to obtain national coverage plus the first television channel in Thailand sending in colours [4].

Today, Channel 7 represents the most watched digital TV channel gaining a 1.720 rating in November 2018, according to Nielsen TV audience measurement's data as cited by Broadcasting Policy and Research Bureau, Office of NBTC [5]. It outclasses quite clearly the 2<sup>nd</sup> and 3<sup>rd</sup> most successful TV channels, Channel 3HD (with 1.127) and Mono29 (with 0.858) respectively [5].

## *1.2. Theoretical background – Introduction of Political Economy Theory*

In media research, similar cases of such comparably prosperous media outlets with powerful key corporate players in their control often draw attention of so-called political economy theorists. Studies of Political Economy Theory initiate from the presupposition that different media fields must be analysed not separately but within the wide context of economics since they are already interconnected by corporate control [6]. To delineate the term of political economy, various definitions have been used by scholars throughout the history of media research. Rather simply summarised by Hartley [7], this theory involves the role of media corporations, specifically the ownership and control methods of media which serves as outline for media types, their content and their effects on viewers.

Among others, two researchers with longer pedigree and scholarly experience, Graham Murdock and Peter Golding are spearheading the field of political economy. In “Social Register” (1973) [8], their pioneering publication in the matter of political economy, the authors delineate the tendency of the growing concentration of control and value lies within the ownership of a limited number of large companies within the context of media industry.

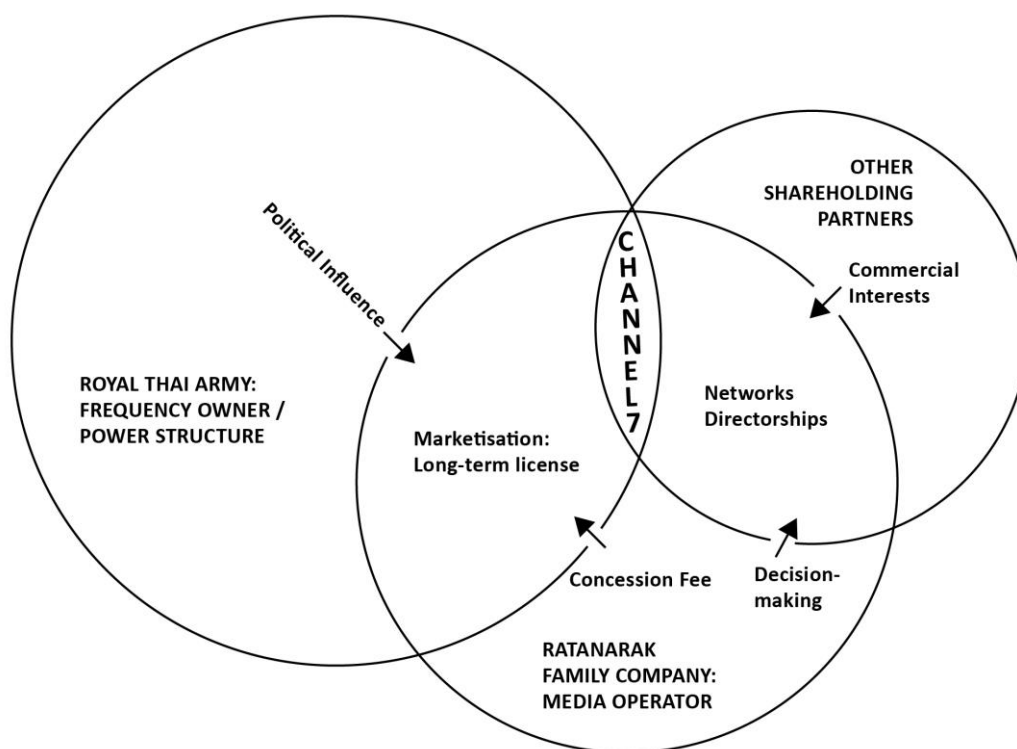


Figure 1: Power structures and relations according to Political Economy Theory in relation to Channel 7 (BBTV)

## 2. Initial Process

### 2.1. Marketisation and Liberalisation

As a premise of political economy theory, there must exist the availability for a private company to assess a particular media outlet. As the frequency of Channel 7 is owned by the Royal Thai Army within the Ministry of Defence [9] who embodies the major owner of Thai broadcasting (having in its possession Channel 5 and Channel 7 and 211 radio stations [4 and 10]), the process of “leasing out” the operating license to a private company needed to be conducted first which occurred in 1957. This method can be described as both marketisation and liberalisation. Murdock and Wasko (2007) cited by Hardy [11] explaining the former as “sale of public communication assets to private investors” and the latter as “opening up previously monopoly or restricted markets to new entrants”. This can process can be seen as shared space between the left and middle sphere in figure 1.

The core criticism in regard to marketisation lies in the nature of supplying of media under the rule of commerce (market conditions) being unable to unleash the media's prospects at its fullest to contribute to democratic progress, the common good and the public need [12]. In a similar manner, the social theory in regard to media, objects to ownerships which is concentrated to a few people and its corresponding interests as the responsibility to society as public trust is not guaranteed but may be misused [12].

### **3. Structures and Networks**

#### *3.1. Politico-Economic Power Structures*

Besides the so-called super structures of powerful corporations, various state institutions in Thailand can be termed (coined by Marxists) as a prime superstructure. Here, the Royal Thai military {besides the Mass Communication Office of Thailand (MCOT) and Public Relations Department (PRD)} can be stated as major media owners officially controlling TV frequencies of over 30% of Thai media [5]. According to Marxist belief, one of the roots in political economy theory, owners of such structures “can choose, or set limits to, what they do” as McQuail [12] remarks.

In reference to Djankov et al. (2003), cited by Hanretty [13], actual media ownership is can be identified foremost by the largest shareholding group (individual, family, state). For the case of Channel 7, the most popular TV media outlet, the Ratanarak family can be identified. Both split into the family head and a sister company CKS Holdings now led by Krit's daughter Sudthida.

Channel 7 is being operated by the Bangkok Broadcasting and Television Co., Ltd. (BBTV), the major shareholding company for the media interests of the Ratanarak family. Chanrungrmaneekul [14] claims that the company founder, Chun Ratanarak, made use of his personal links as an established entrepreneur and investor with a substantial wealth originating his self-founded companies like Siam City Cement and Bank of Ayudhya to obtain the operating license for Channel 7 from the Royal Thai Army. As Phongpaichit [1] points at a common business practice in Thailand “the media and telecommunications sectors are still marked by oligopolies and regulations that have to be negotiated through political influence”. Historically, key businesses (among them media companies) and commercial bank owners gained advantages from political decisions as they had private connections to the ruling military according to Jenmana [15]. Further confirmation by Ubonrat (2000, 2006) as cited by Farmer [16] claims that “even networks licensed to private commercial operators are subject to close government supervision and have been prone to allegations of politico-corporate collusion”.

Certainly, such claims can be to Thailand's most popular Channel 7, which is officially owned by the Royal Thai Army (therefore also called Royal Thai Army Television Channel 7). The Thai military grants Bangkok Broadcasting TV an annual operation license costing 4,670 million Baht [4]. In addition to that investment, private broadcasters have to pay huge extra fees on top for operating digital TV license in Thailand. Lt Gen Sansern claims digital TV operators paid altogether over 33 billion baht in licensing fees in May 2017 [17].

As the contract between BBTV and the army is bound by a 56-year concession period dating from 1967 – 2023 [4], the question may arise if such long-term political-corporate legal contract by the military grants the operator a sustainable status quo in commerce and for both longevity within their politico-corporate syndicate. According to Siriyuvasak [10], this claim can be corroborated by Clause 2 of Article 335 of the 1997 Constitution. This stipulation dictates “full legal binding of licenses, concessions and contracts on broadcasting and telecommunications between state agencies and private operators” until the end of their term, a conservative practise of licensing which is nowadays rather unthinkable. In case of the two most popular terrestrial commercial television broadcasters, namely Channel 3 (MCOT) and Channel 7 (Royal Thai Army), this law guarantees the long-term preservation of their concessions and protecting their corresponding status quo in the broadcasting and

telecommunications system until 2020 and 2023 respectively.

The private concession holders impose themselves self-censorships (similar to print self-censorship) in order to avoid risks of losing license [18] in cases of unpopular way of analysis, reportage or comment on current events. This stands in contradiction to the program policies of the government granting private operators of TV stations the free choice “to determine entertainment programming even though the state owns and controls all broadcasting” as Ekachai [18] remarks in reference to Vatikiotis (1996).

### *3.2. Interlocking Influence Networks*

As Murdock and Golding [8] already observed in the late 1970s in regard to western media, besides concentration of media enterprises and extension of line of productions, “big companies are also becoming increasingly intermeshed through joint investments, reciprocal share holdings and interlocking directorships.”

Similarly, in reference to Castells (2009), Meikle and Young [19] posit how the tendency for networks in media firms describes how key board members and senior executives are intermeshed throughout various organisations and serve as significant links to circles in finance and politics. Besides the global trend of media concentration, the key agents strive more and more for strategic “partnerships, alliances and joint ventures to exploit synergies in production and distribution”.

More modern than traditional authoritarian family conglomerates, the Ratanarak Group strived to distribute some of their top management positions not solely to its family members but also to close and longstanding associates. Therefore, they might be able to decrease institutional frailties due to inflexible and narrow-minded management decisions which might occur in potential periods of crisis as Suehiro and Wailerdsak suggest [2]. Such trustees can be mainly narrowed down to Mr. Veraphan Teepsuwan and Ms. Nopporn Tirawattanagool:

Ms. Nopporn Tirawattanagool represents a powerful ally as head at all affiliated main companies plus dozen subsidiaries. As of January 2019, she acts as Director at Siam City Cement Group, Sri Ayuthya Capital, Grand Canal Land, Vichaivej International Hospital Group, Bangkok Broadcasting & TV [20] and as Director (Authorized Signatory) at the Bank of Ayudhya, CKS Holdings, BBTV Asset Management, BBTV Alliance, BBTV Production, BBTV Satelvision, BBTV Bond Street Building, BBTV International Holdings, BBTV Equity, Sunrise Equity and GL Asset [20].

A second close influential individual, and even longer-standing associate, can be seen in Veeraphan Theepsuwan serves current Chairman at Bank of Ayudhya since 2007, Chairman at Sri Ayuthya Capital since 2002, Vice Chairman at Eastern Star Real Estate since 2003 [21].

In opposite to the aforementioned associates, Surang Prempre, whose mother Reywadee Thienprapart and late brother Chaicharn co-founded BBTV in 1967, was a long-time director at BBTV until 2013 when she fell out of grace due to sinking ratings and advertising sales. Now a competitor to Krit and BBTV, Surang took away Thailand's most famous beauty pageant show and successfully sold it to rival station Channel 3. As an independent media industry entrepreneur with her self-founded production company Chan 25 Co., she made herself recently a billionaire [22].

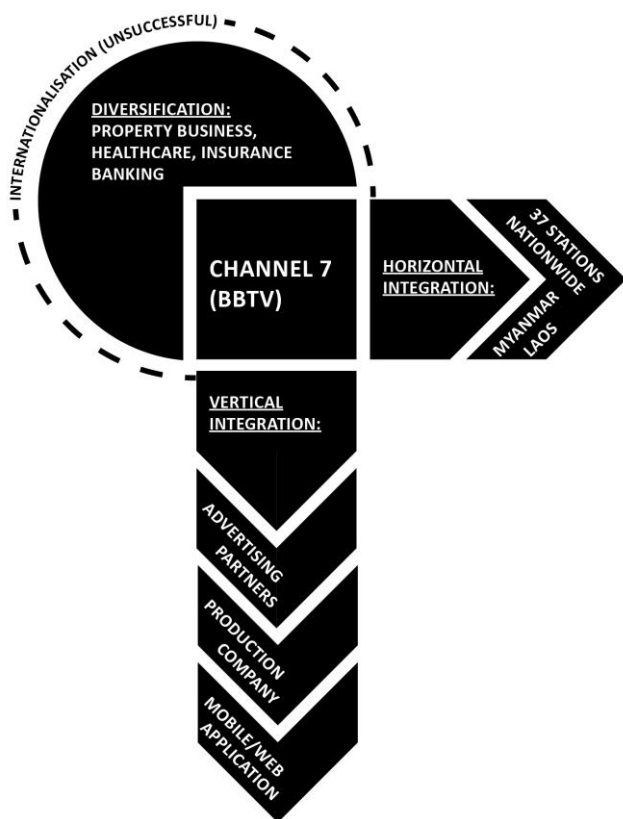


Figure 2: Strategies of Political Economy applied to Channel 7 (BBTV)

## 4. Strategies

### 4.1 Horizontal Integration

The process of integration includes that bigger media industry-based companies expand through corporate amalgamations and acquisitions by two different ways — horizontally and vertically as Murdock and Golding [8] remark. Horizontal integration occurs when companies obtain further components within the same line of media production so that they can maximise in size and make use of combined resources. This so-called of economies of scale is often applied in media industries as it makes the co-production and co-distribution of multiple products financially more lucrative within one larger conglomerate than doing those separately in unconnected companies. Horizontal integration can be seen in Channel 7's wide distribution as it lists 37 stations nationwide, plus transnationally, Myanmar and Laos [23]. This fact is depicted in the right arrow of Figure 2 above.

### 4.2 Vertical Integration

The second type of integration, vertical integration, is when firms obtain more sections from different media product classes, for instance extensions occurs through the mobilisation of capital goods, the structure of acquisition of resources which prevent dependence to fluctuant market prices of crucial resources and services. This also allows companies to streamline production and strengthen their dominance in the market [8].



Channel 7's media content plus some other external productions are created firstly by its own production house called "BBTV New Media" which is in charge of video production, content creation, graphic design, marketing online and more [24]. Secondly, another production company associated with Channel 7 is Matching Maximize Solution responsible for TV program production, TV commercials production, its pre- and post-production, equipment and studio rental services [25]. In this firm, BBTV Production holds 54.18 % of the shares [25]. Those two involvements of BBTV represent traditional examples of vertical integration. Both production houses are summarized in 2<sup>nd</sup> lowest arrow element of Figure 2. In this strategy, different production stages from planning, to producing to marketing of media content in the firm-internal line lead upwards or downwards to the distributor (the broadcaster) and consumer respectively [8].

Further vertical combination efforts can be seen in Channel 7's distribution online and mobile strategy through "bugaboo.tv", its online channel with related mobile applications "Do7hd" [26]. This approach aims at strengthening the channel's overall viewing frequency. Indeed, it appears popular as the broadcaster enjoyed more than 20 million impressions per month in 2016 [26]. Further, this new platform also acts as vertical integration to meet demands of "segmented and fragmented audiences" as Meikle and Young assert [19]. The web and mobile activity is represented in 2<sup>nd</sup> lowest arrow element of Figure 2 above.

#### 4.2.1 Vertical integration through Marketing and Advertising

Last but not least the specific field of marketing and advertising if incorporated into a company may also count as vertical integration. This specifically is important for the success of a broadcaster as not only ratings are indicators for economic growth but also advertising sales [8]. In this regard, media companies nowadays have to serve a "dual product market" as every viewer is not only watching content (or subscribing to content via mobile application) but also a potential customer as being targeted by the channel's advertisers as Croteau and Hoynes [27] note.

According to Bahree [3], Krit Ratanarak and its family had to face financial loss regarding Channel 7, but nevertheless the channel maintains its position as the industry leader. In 2016, its advertising revenues dropping down 20%, while overall net profit plunged even more than 40%. Subsequently, Krit's wealth sunk down to \$3.7 billion from \$5.1 billion in 2014. Apparently, as recent reaction to counter the sinking ads expenditure, BBTV has partnered up with advertising key player VGI Global Media PLC to form a new joint venture called BV Media Ads Limited (JV Co) (where each partner has 50% shares) [28]. VGI as experienced marketing and advertising company in charge of advertising BTS and MRT public transports and being the self-proclaimed "No. 1 Out of Home Media Platform" with its 3,936,000,000 THB sales volume [29] seems as a valuable and powerful and proficient joint venture partner. Another move into the same direction, BBTV assigned "Inspirio", self-proclaimed "Asia's Leading Digital Transformation Agency" [30] with "to transform their operations with new strategies for their digital assets and new business models." All these advertising measures are encapsulated in 1st lowest arrow element of Figure 2 above.

## 5. Diversification

According to Golding and Murdock [8], another indicator for the rise of a powerful, elite media corporations can be seen in the diversification. This approach can be observed when larger media-related enterprises purchase companies from other seemingly unrelated industries to branch out more and captured market shares in various sectors. Through this

method, firms are empowered to protect their stakes and buffer the impacts of economic downturn [8]. This kind of approach is called economies of scope.

When Krit Ratanarak took over a huge range of diversified corporate imperium from his late father Chuan, he became Chairman and CEO of the Bank of Ayudhya, Channel 7 / BBTB, Siam City Cement and Ayudhya Insurance among others in 1993 [31]. Therefore, the group has now expanded businesses in multiple industries such as banking/investment, media and construction. A further diversification into the investment banking and property business took place when Chachon, the son of Krit, established the Tonson Group in 2006 and Tonson Property in 2007 [31].

Most recently, BBTB's main company gained the majority shares (20.02%) in Vichavej International Hospital Group [32]. Further stakes are split among their subsidiaries BBTB Satelvision, BBTB Asset Management and Bangkok Broadcasting & T.V. ranking number 5-7 in the shareholder list by 2.26% with 2.22% with 2.19%. It can be assumed that the link to the investment and bank industry allows BBTB to obtain instant capital for potential investments used in any stages of production of high-quality media content and media surroundings. This development pattern which may be seen as a diagonal movement different from its own industry and distribution/production line is expressed in 1<sup>st</sup> lowest arrow element of Figure 2 above.

## **6. Internationalisation**

Last but not least, powerful classes of media companies tend to secure their position on a more global level through the instrument of internationalisation. They support export and abroad investors including foreign ownership of national media enterprises. Furthermore, this also includes overseas ventures that expands the spread of communication and also boost income. As a reaction on domestic economic tensions, media join the international course of trading as Murdock and Golding convey [8].

In 2009, a mutual strategic plan envisaged to establish an ASEAN multi-national media association including BBTB, Philippines' "ABS-CBN Corporation", Vietnamese "International Media Corporation", Singaporean "MediaCorp", Indonesia's "Media Nusantara Citra", "Media Prima" from Malaysia, all under the umbrella media association "SMART ALLIANCE" [33]. It ultimately failed but it exemplifies the aforesaid concept of internationalisation with all its visions about leverage and extension for the mutual benefit of its members. But it also rendered as failure showing its direct weaknesses in the process. As not much information is traceable of this former alliance, it may be speculated if it fell flat due to conflicts in decision making, interests or lack of profit and sustainability. This whole process is implied graphically through dotted dashed circular shape at the top left corner of Figure 2 above.

## **7. Deficiency of Political Economy Theory**

On the topic of potential shortcomings, political economy faces big intellectual questionings from other theoretical approaches. In this regard, Curran [34] states that "ownership matters for content, but neither media content nor behaviour can be derived from an account of corporate and market structures alone". Therefore, it can be concluded that political economy lacks focus in studying the effects and patterns of individual persons when confronted with media.

Nevertheless, a subtler causative connection between political economy and the subject of media contents and its effects on viewers as implied in the following by Hartley [7]. As the theory of political economy deals with the role of media corporations, it is specifically concerned with ownership and control methods of media which serve as outline for media types, their content and their effects on viewers. Corresponding to this approach, media have to assist in achieving their holders and advertisers' objectives.

In reference to a possible dominance of an elite media outlet in our present time, Croteau and Hoynes [27] negate such possibility as the current media industry appears as too enormous in scope and also ever evolving. Furthermore, consumer preferences seem be too various in this field.

In a similar direction, Hardy [11] refers to defendants of the free market and ownership who contend that issues about "control, scarcity of supply, limitations in the quality and diversity of information and cultural expression and lack of access" have been abolished through the advent of contemporary media being "more diverse, independent, open and critical than before".

## **8. Conclusion**

On one hand, it can be concluded that Channel 7 and the major shareholding family business company of the Ratanarak family as its operators, display quite strongly nearly all typical development patterns of political economy theory such as the process of marketisation, the strategies of concentration and extension of power by vertical and horizontal integration, diversification as well as power structures and interlocking networks in form of directorships. On the other hand, the aforementioned unsuccessful effort of internationalisation and the rather small-scaled horizontal integration strategy (without big media company mergers) cannot considerably contribute to qualify this deduction. In addition, it should be not understated that despite the seemingly high degree of power the Ratanarak family holds over the channel, the relevance of political economy theory in this chosen case can be relativised within the wider context of a transitory media market of competing mass media outlets, the new media and all potentially available viewers who have the free and wide choice within.

Regarding the owner-operator structure and its power relations, the question can be raised if Channel 7 and its operator pursue their own interests as this can possibly be communicated also without criticizing the Thai government or military. Perhaps, the depoliticization of their viewers through the large popularity of variety shows, drama series and sports as described in their program portfolio [26], does not only lead to the attraction of larger audience as mentioned by Hartley [7] but also could be interpreted as means to minimize potential political conflicts with the Thai army. This approach finds reflection in the mainstreaming theory as proposed by McQuail who states that television tends to "avoid extremes, staying safely in the 'non-ideological middle ground that holds the largest possible audience' [6]."

Drawn from the observations above about the diversification of several companies and interlocking directorship representing them, the plurality within such broadcaster like Channel 7 in any form can be questioned. This debate would echo criticism of other broadcasters as already expressed in previous studies by McQuail [12] and Hardy [11]. In this regard, the concept of cross-promotions between any affiliated companies of the Ratanarak family could be assessed by this research methodology.

Although the Ratanarak family embodies one of the pioneers in Thailand's media business, a new group of high-profile broadcasting giants have entered the media market following the emergence of national digital TV. These other key players in the Thai media industry may

re-modelled upon the characteristics of political economy theory which may be investigated in comparative or cross-sectional analysis. To begin with, Pete Bodharamik, being 45 of age, can be named. As Authorized Director and Chairman of MONO Channel owning 66.3% of the channel. Further, Bodharamik also holds several directorships in firms like JAS, Pinvest, PVS Development, Triple T Broadband/Internet and Emerald Farm [35]. Secondly, there is digital terrestrial TV channel PPTV owned by Bangkok Media and Broadcasting Co., Ltd., a media firm headed by Bangkok Airways and Bangkok Hospital Group owner, Prasert Prasarttong-Osoth. Aged 85, he represents “old family business money” like Krit but Prasarttong-Osoth arrived quite newly in the media business. In 2016, the Prasarttong-Osoth family (in form of Pranaporn Co., Ltd.), fully owned by his daughter, closed a deal over a 50% stake acquisition of “ONE Enterprise”, owner of ONE channel [36].

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# **Research on The Factors of Consumers' Demand for Unattended Convenience Stores by Technology Acceptance Model – A Case Study of Thailand's Metropolis**

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## **Abstract**

The concept of new retail is driven by big data. With the development of new technologies and the upgrading of user experience, the retail industry has been transformed. In particular, unattended convenience stores have developed into a new trend in the future. Many countries have gradually tried and developed them extensively. This study intends to develop a questionnaire exploring the key elements of consumers' demand for unattended convenience stores, in order to provide a valued reference for the development of unattended convenience stores in Thailand. Therefore, this study uses the technology acceptance model and the information success model to develop research dimensions and question items and then integrates the fuzzy Delphi FDM method, the two-dimensional quality model Kano, the refined Kano and the importance-satisfaction model (IS Model) to analyze the key factors of the attribute classification and importance priority of consumers' demand for unattended convenience stores, so that it provides a reference for the development of unattended convenience stores in Thailand.

**Keywords:** Unattended Convenience Stores; Technology Acceptance Model; Information Success Model; Fuzzy Delphi Method; Refined Kano Model

## **1. Introduction**

Nowadays Technology is essential to human life; they are also used in convenience stores. At present, unattended convenience stores are widely used around the world, such as Taiwan, China, America, and many other countries. In America, Amazon Go has just opened and is very popular. And in China, BingoBox has more than 200 stores across the country, and to expand to 5,000 stores, consumers can directly place their goods on the checkout counter; the machine will scan the barcode or specify the type of product automatically, and pay through the palm scanner of the store. Currently, Amazon's warehouses use more than 45,000 robots to manage their products, and there are 15,000 increasing numbers per year. Alibaba's of China uses robots more than 70% of the work in the warehouse. In January, the first 7-11 X-Store in Taiwan was opened, and open on the first floor of the HQ building is located in corporate headquarters as during the initial testing phase it will only be open to internal company employees, and instead of staying open 24 hours or from 7 a.m. to 11 p.m., as the name implies, it will at this stage only be open from 7 a.m. to 7 p.m. In Thailand a new convenience store. The first Bangkok branch in Thailand has launched under the name Seven Eleven 4.0 Flagship Store, which has started on November 7, 2017 or 7-11 in the name of the store. Seven Eleven 4.0 Flagship Store is full of high technology. It consists of a self-checkout counter, self-service microwave it can scan the barcode on the product envelope, and it'd automatically set the temperature, "Sevy Bot" is a robot that can greet guests throughout the

shop, Digital price tags, etc. There is also a regular payment point. This Seven Eleven 4.0 Flagship Store is built with a budget of over 10 million baht. The launch of Flagship Store is an indication that convenience stores in Thailand are adjusting, It also reflects the technology that is used even though it is not as modern as the size of the prototype Amazon or Alibaba, but it can meet the needs of customers and partners in Thailand is quite good. Unattended convenience stores are a new and popular attempt in the world, and the development is booming. Thailand's convenience stores are actively investing in the emerging trend of the world, and dare to try to develop unattended convenience stores for the Thai consumer community. This will establish a questionnaire to explore its key elements.

In the past several years, the growth of technology about convenience store has grown. It is evident that in many countries there are technological developments in consumption. In particular, the service to provide convenience to consumers. Researchers have recognized that unattended convenience stores are a business to meet the demand of consumers. Because people are using technology in their daily lives, it makes them more comfortable. So researchers are interested in studying affect the demand factor of consumers for unattended convenience stores.

This study aims to identify the factors that affect the demand factor of consumers for the unattended convenience stores in Thailand by adopting the technology acceptance model [TAM] and examine the existing relationships among those factors. In particular, an empirical study on the demand that has influenced a consumer on convenience stores was conducted in Thailand market that makes it unique. Moreover, the study also helps us to predict and analyze the demand that has influenced the perception of a consumer in this country to unattended convenience stores. The results of this study would help organizations to study the consumer demand for unattended convenience stores. Furthermore, it might be a helpful reference for any entrepreneur that merely intent on will do business with stores without employees.

## **2. Literature Review**

### *2.1 Technology Acceptance Model (TAM)*

Technology Acceptance Model (TAM) is the theory that invented by Davis [8]. It based on a foundation of the theory of reasoned action [13]. Human's inner variant consists of personal attitude, usefulness, and ease of use and the intention of consumers. They are given factors measured the effects of this model. According to Davis's theories, his theories used to explain or predict the individual attitudes and behavioral intentions, which two factors of Perceived Usefulness and Perceived Ease of Use are shown in Table 1 [8]. Therefore, TAM is one of the most influential extensions theories of reasoned action (TRA) in the literature. This theory holds that external factors can affect a user's personal beliefs, and beliefs can affect attitudes. Attitude then influences the intention of the behavior, which in turn affects the actual behavior, and technology acceptance model theory is generally used to explain or predict the influencing factors of information technology use, as shown in Figure 1 [8].



Table 1 Definition of the various factors of the technology acceptance model (TAM)

Factors	Means
Perceived Ease of Use	The degree to which a person believes that using a particular system would be free of effort.
Perceived Usefulness	The degree to which person believe that using a particular system would enhance his or her job performance.
Attitude Toward Using	Users use this system, positive or negative evaluation feelings.
Behavioral Intention to Use	Willingness to use the information system when using the information system.
System Usage	Behavior of users using information systems.

(Source: Davis, 1989)

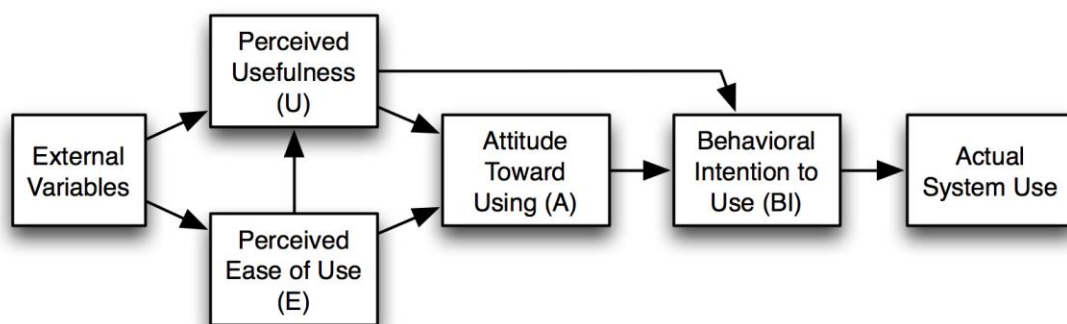


Figure 1 the Technology Acceptance Model (Source: Davis, 1989)

In addition, Davis and other scholars found in subsequent research that the attitude did not support the variables then Davis decided to removed that variable to simplify the TAM model [9], as shown in Figure 2 [9].

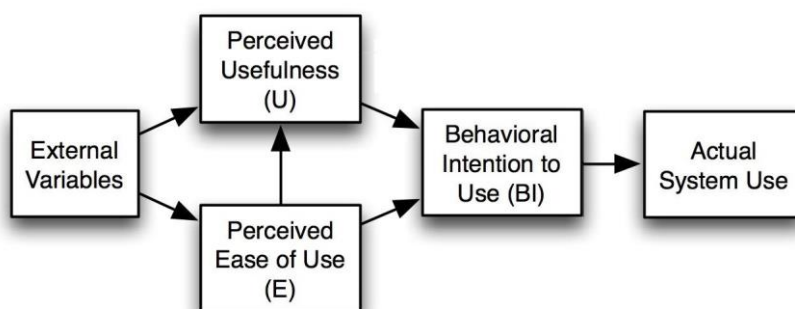


Figure 2 the Technology Acceptance Model after fixing (Source: Davis et al., 1989)

## 2.2 IS success models

DeLone and McLean extensively reviewed IS success measures and concluded with a model of interrelationships between six IS success variable categories (see Figure 3) [10], include: (1) System quality, (2) Information quality, (3) IS use, (4) User satisfaction, (5) Individual impact, and (6) Organization impact.

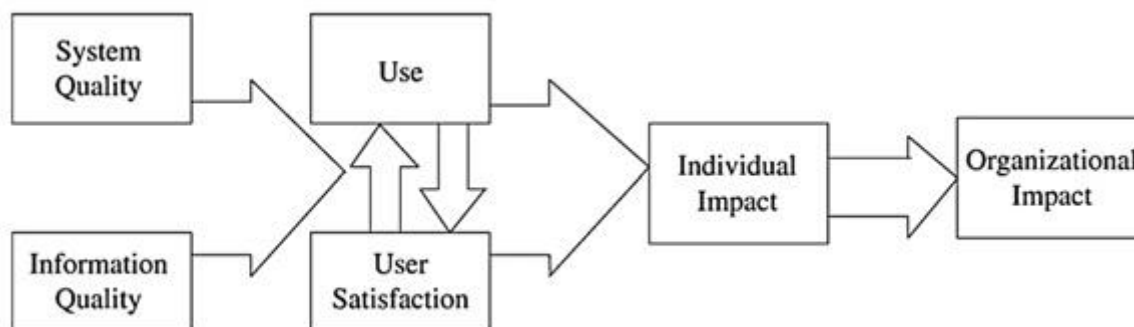


Figure 3 DeLone and McLean's (1992) model.

This model builds two important contributions to the understanding of IS success. First, it provides a plan for categorizing the multitude of IS success measures which have been used in the research literature. Second, it introduced a model of temporal and causal interdependencies between the categories [27,34]. Many of studies have undertaken empirical investigations of the multidimensional relationships among the measures of IS success (e.g., [33, 15, 31, 12, 21, 16, 19, 23, 30]). According to [33] who evaluated section of the [10] model using a structural equation model. They replaced “use” with “usefulness” and added a new variable called “user involvement,” and their results partially supported the [10] model.

Based on the [DeLone and McLean [10] model, Seddon [34] proposed an alternative model that focuses on the causal (variance) aspects of the interrelationships among the taxonomic categories and separates the variance model of IS success from the variance model of behavior that occurs as a result of IS success. Seddon's IS success model includes three classes of variables: (1) measures of information and system quality, (2) general perceptual measures of net benefits of IS use, and (3) other measures of net benefits of IS use, to adapt his model to non-volitional and volitional expenditure contexts, [34] also confirmed that IS use is a behavior rather than a success measure and replaced DeLone and McLean's IS “use” with “perceived usefulness” which serves as a general perceptual measure of net benefits of IS use.

DeLone and McLean [11] suggested an updated about IS success model (see Figure4) and test its usefulness in light of the dramatic changes in IS practice, then the advent and explosive growth of e-commerce. They agree with Seddon's evident that the merging of variance and process explanations of IS success in one model can be confusing, but dispute that Seddon's reformulation of the DeLone and McLean [10] model into two partial variance models unduly confused the success model and failure the assertive of the original model. Based on earlier studies, DeLone and McLean [11] propose an updated model of IS success by adding a “service quality” measure as a new magnitude of the IS success model, and by grouping all the “impact” measures into a single impact or benefit category called “net benefit.”

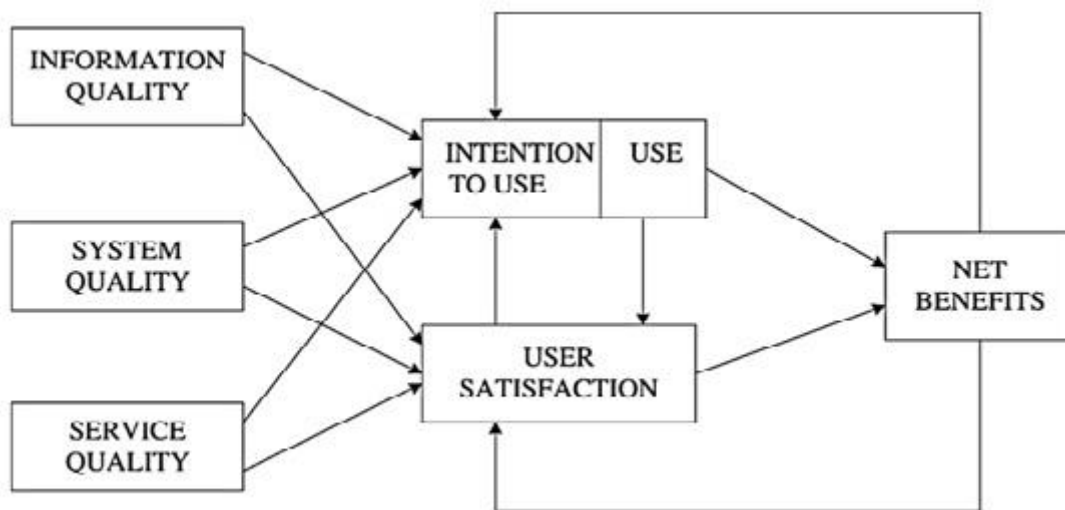


Figure 4 Delone and McLean's (2003) updated IS success model.

While some researchers mention that service quality is just a subset of the systems quality models, a separate variable called the “service quality” dimension [11]. Many researchers have suggested several IS impact measures, such as individual impacts [36,10], workgroup impacts [29], organizational impacts [10,24], inter-organizational impacts [3], consumer impacts [1], and societal impacts [34], [11] move in the opposite direction and all of the group impact measures into a single net benefit variable, to shirk complicating the model with more success measures. The system that usage continues to be used as a dependent variable in a number of empirical studies [14, 15, 16, 18, 30, 35, 40, 19], Therefore, we assume that the updated IS success model can be adapted to the system success measurement.

### 2.3 Fuzzy Delphi method

Since 1963, the Delphi Method has been used in decision making and prediction when the concept was developed by the RAND Corporation [6,5]. The goal is to attain concurrence by a group of experts. The weakness of the traditional Delphi Method is low stability of expert opinions, in the long time, and the high cost, with a tendency to force the experts to modify their individual opinions in order to attain a total opinion. Thus, the Delphi Method has been modified and expanded by several techniques.

The Fuzzy Delphi Method (FDM) was conducted by Murray, Pipino, & Gigch [28] it coordinated Delphi and Fuzzy theory in order to overcome the disadvantages of the traditional Delphi Method [20]. Integrated experts' opinions by utilizing fuzzy numbers based on the concepts of fuzzy integrals and cumulative frequency distribution. Wu [37] stated that applying the FDM will decrease the number of surveys, avoid distortion of individual expert's ideas, and obtain a more reasonable and proper reply from the experts, and involve a simple computation process. The FDM relents the handling of multi-attribute, multi-level, and multi-solution decision problems. In project management, it has been applied in urban development, environmental management, and real estate [4, 7].

### 2.4 Kano Two-dimension Quality Model

This concept originates from the Motivator-Hygiene Factor Theory (or the Two Factor Theory) of psychologist [17], which mainly reviews the factors influencing the job

satisfaction of employees. The theory asserts that whether the employees are “satisfied” or “unsatisfied” is not the traditional dichotomy and that there should be a grey zone of “not satisfied” and “not unsatisfied” existing between them. In other words, the opposite side of “satisfied” is not the traditionally considered “unsatisfied” but the two parallel double continuous strips. Under this theory, the opposite side of “satisfied” is “not satisfied” and the opposite side of “unsatisfied” is “not unsatisfied.” The Kano model transfers the level of quality elements possessed and the level of customer satisfaction into X-coordinates and Y-coordinates. X-coordinates are the level of quality elements possessed, and the more the scale goes to the right, the more abundant the level of quality elements possessed is. On the other hand, the more the scale goes to the left, the more defective the level of quality elements possessed is. Y-coordinates are the level of customer satisfaction. The more the scale goes up, the more satisfied customers are. The more the scale goes down, the less satisfied customers are. Use the relative relations between X-coordinates and Y-coordinates to classify the quality attributes into the following five types [37], shown as Figure 5 [26]:

- 1) Attractive quality: When the item exists, it's can make customers very satisfied. Although the item did not exist, customers would not be unsatisfied. Attractive quality must occur under conditions where customers will not anticipate it in advance, in order to surprise them.
- 2) Must-be quality: When this item exists, it will not make a customer feel satisfied. However, the item did not exist, can make customers feel unsatisfied. It is also called expected quality.
- 3) Linear quality: The more various the item supplies, it's can make customers have more satisfied. If the item has low supplies, it's can make customers have more unsatisfied, that means there is a linear relationship between the satisfaction of customers and the supply of quality elements.
- 4) Indifferent quality item: Whether in the case, the quality item exists or not will not influence the satisfaction of customers.
- 5) Reverse quality: The subsistence of this quality item will make customers feel unsatisfied, while non-subsistence can make customers feel satisfied, meaning these quality elements should be canceled or fixed.

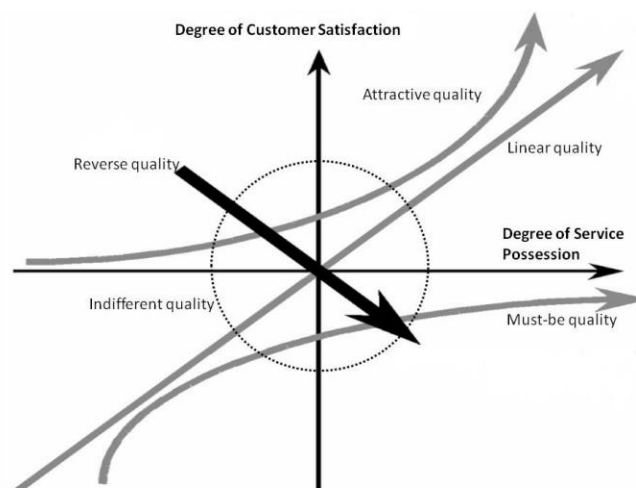


Figure 5 Kano Quality Model (Source: Matzler & Hinterhuber.,1999)

### 3. Introduction to Research Methods

### 3.1 Research method and process architecture

This study aims to explore the key factors of Thai metropolitan consumers' demand for unattended convenience stores and the management implications of the development of the unattended convenience stores. First of all, this study, based on the literature review and inquiries of expert opinions, drafts the crucial factors of consumers' demand for unattended convenience stores. Next, this study uses fuzzy Delphi (FDM) to screen out important key factors and employs the refined Kano model to summarize the attributes of the key factors of consumers' demand for unmanned convenience stores. Finally, this study explores its management implications. The research process and steps are shown in Figure 6.

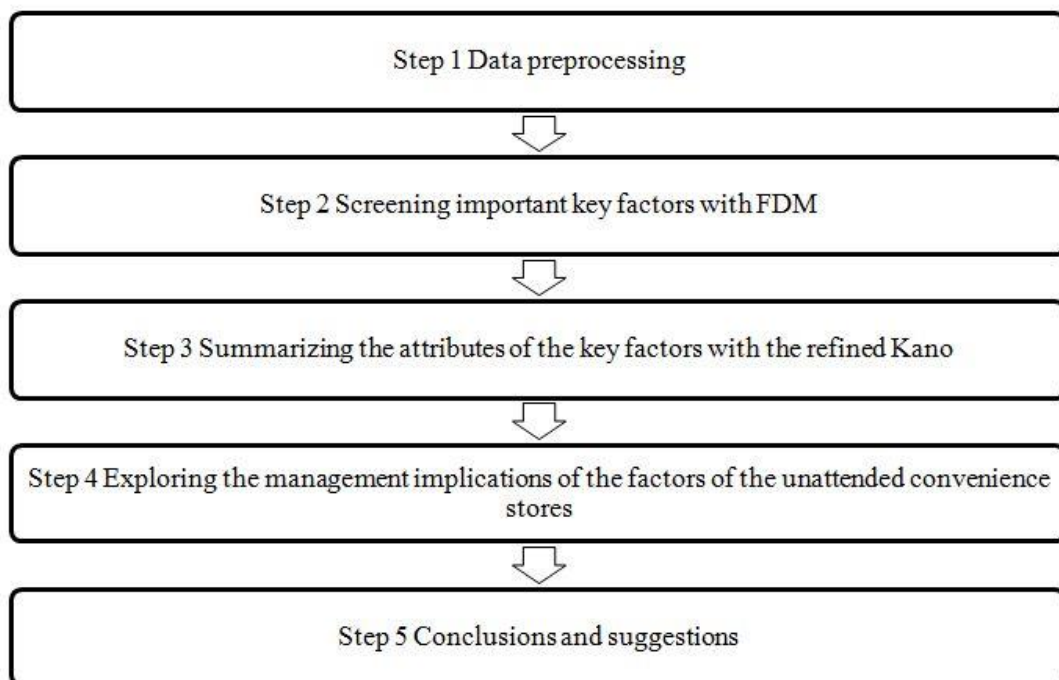


Figure 6 Research process architecture

### 3.2 Research process

This study adopts FDM and the refined Kano to explore the key factors and management implications of Thai metropolitan consumers' demand for unattended convenience stores.

#### (1) Data preprocessing

Through the relevant literature reviews and experts' interview feedback, this study initially proposes important dimensions and influence factors for consumers' demand for unattended convenience stores.

#### (2) Fuzzy Delphi Methods (FDM)

This study mainly applies the fuzzy Delphi method proposed by Zheng [41]. This fuzzy Delphi method is incorporated into experts' evaluation factors, the assembly of expert opinions, the establishment of bi-triangle fuzzy numbers, the verification of gray areas, and the calculation of consensus values. In particular, "the verification of gray areas" can effectively test whether the experts have a consistent convergence effect on their cognition to achieve consistency and also can greatly reduce the chance of filling out the questionnaire,

seen as a tool for evaluating dimensions as well as factor screening. This study adopts the fuzzy Delphi method: Step 1. Design a fuzzy expert questionnaire; Step 2. Invite experts to interview and fill out the questionnaire; Step 3. Integrate experts' opinions; Step 4. Test and screen important factors of consistency that experts have, and remove unnecessary factors. By means of applying this fuzzy theory, the experts' professional knowledge will be more in line with the needs and rationality, and the practicality and professionalism of the evaluation indicators will be obtained, which will contribute to the professionalism and practicality of this research.

### (3) Kano's two-dimension quality model

Using the attributes of Kano's two-dimensional quality model classified by Matzler & Hinterhuber [25], the answering items are divided into five types: "Like" (Like it that way), "Must-be" (It must be that way), "No feeling" (I am neutral), "Acceptable" (I can live with it that way), and "Do not like" (I dislike it that way).

### (4) Refined Kano

Kano's two-dimensional quality model has been subdivided into eight elements by the experience of [38], called the refined Kano mode. First, Kano's two-dimensional quality model is used to subdivide the quality. Then, based on the importance of the quality attribute item, it is revealed that the average of the item is greater or smaller than the overall important average. The quality elements for each attribute item are displayed as follows:

Table 2 Summary of the refined Kano

Four key elements	Eight key elements	Average	
Attractive quality	High charm quality	>	Overall important average
	Low charm quality	<	
The attractive quality is the attribute that draws customers' attention most.			
One-dimension quality	High value-added quality	>	Overall important average
	Low value-added quality	<	
The one-dimension quality is the attribute that contributes to customers' feelings most.			
Must-be quality	Key quality	>	Overall important average
	Demand quality	<	
The must-be quality is the focus that customers value most.			
Indifferent quality	Potential quality	>	Overall important average
	No bothering quality	<	
The indifferent quality is the strategy that attracts customers most.			

## 4. Introduction to research results and analysis

This study uses TAM and IS success models as the basis of research theory and combines FDM and the refined Kano model for empirical analysis. The main purposes are: (1) to understand the important factors and future trends of consumers' demand for unattended convenience stores, (2) to establish research dimensions and evaluation indicators for unattended convenience stores through expert interviews and questionnaires, (3) to combine Kano's two-dimensional quality model, the refined Kano model and the importance-satisfaction model (I-S Model) to understand the quality attributes of key factors of consumers' demand for unattended convenience stores.

Step 1: Constructing dimensions and evaluation indicators of important factors for consumers' demand for unattended convenience stores

This study adopts TAM and IS success models as the basis of research theory, Based on

Sasser et al. (1978) [32], Tsay et al. (2009) [39], Chou et al. (2014) [2], summarizes the relevant literature on the important factors of consumers' demand for unattended convenience stores, combines the questionnaire content with expert interviews to strengthen the questionnaire basis, and integrates their views to draft dimensions and evaluation indicators of important factors for consumers' demand for unattended convenience stores. This study sorts out five dimensions and 21 evaluation indicators, as shown in Table 3.

Table 3 Dimensions and evaluation indicators of important factors of consumers' demand for unattended convenience stores

Cognitive application	1. Sense-perception	1. Whether the unattended convenience stores are known by most customers and such a consumption pattern can be accepted in the future.
	2. Complete equipment package	2. Whether the unattended convenience stores have complete supporting facilities and provide customers with services.
	3. Convenience of use	3. Unattended convenience stores are more convenient than general stores.
	4. System equipment explanatory function	4. Whether the facilities and equipment of the unattended convenience stores have the characteristics of explanations which can help customers quickly grasp the use.
Cognitive usefulness	5. Information technology and multimedia applications	5. Unattended convenience stores integrate industry-related technologies to develop better quality hardware and software equipment to facilitate and reduce complaints from other customers.
	6. Equipment	6. Whether the equipment and facilities of the unattended convenience stores can allow customers to have more convenient ways of shopping and better consumer experience.
	7. System service process function	7. Whether the entire shopping process of the unattended convenience stores is smooth and can explain that the customers save time.
	8. Personalization	8. Whether the consumer experience of the unattended convenience stores can meet the different needs of each customer.
User satisfaction	9. Experience	9. Whether the unattended convenience stores can offer customers satisfying and enjoyable consumer experience.
	10. User-friendly design	10. Customers feel that during the entire consumption process, the product is easy to obtain and convenient to pay, and the design of the process line meets customers' needs and expectations.
	11. Flexible system	11. Whether the system can respond in time to give feedback to customers' needs when customers make some special requirements.
	12. Easy-to-understand information	12. Whether customers can quickly understand and find information about the products they need.
	13. Users' willingness of	13. Whether the customers who have consumer experience in unattended convenience stores are willing to recommend their

	recommendation	friends and relatives visit the store.
Customer service	14. Information quality	14. Whether the information on the unattended convenience stores is correct, complete, lively and clearly presented.
	15. Communication service	15. Whether unattended convenience stores can establish good communication channels when customers have problems.
	16. Diversified services	16. Whether special services are considered for some customers' special needs.
	17. Online instructions or operation examples	17. Whether unattended convenience stores have introductions and operation instructions for users.
System quality	18. Easy to operate	18. The system operation is simple and easy to understand, and the button identification is clear, in order to facilitate customers' operation.
	19. Quick response time	19. Whether unattended convenience stores can deal with customers' needs in a timely manner, free of customers' waiting time.
	20. System stability	20. Whether unattended convenience stores still can ensure a stable output of the system when receiving a large number of customers.
	21. Error correction capability	21. Whether the error can be found in time and corrected when there is something wrong with the system.

## Step 2: Using the Fuzzy Delphi Method (FDM) expert questionnaire

This study adopts the fuzzy Delphi – bi-triangular fuzzy number method proposed by Zheng [41] to integrate the opinions of scholars and experts and uses the “gray area verification method” to test whether the experts can have a convergence of their opinions. The FDM questionnaire in this study was distributed to 20 experts, and all were collected, analyzed for data, and remove the indicator criteria for experts below the sum average. According to [22], when the decision makers found that the metrics were too small, the threshold could be lowered. This study screens out the factors of consumers' demand for unattended convenience stores as well as multiply the total average number - 9.296 by 90% to get the threshold value of 8.366, which the values lower than are removed. Finally, five dimensions are all retained (see Table 4), which means that the measured dimensions are expertly consistent and important.



Table 4 Dimensional analysis screening table for the key factors of consumers' demand for unattended convenience stores

Evaluation indicator	Minimum value C <sup>i</sup>		Optimal value a <sup>i</sup>		Maximum value O <sup>i</sup>		Geometric mean M <sup>i</sup>			M <sup>i</sup>	Z <sup>i</sup>	Verification value M <sup>i</sup> -Z <sup>i</sup>	Expert consensus value G <sup>i</sup>
	Min	Max	Min	Max	Min	Max	C <sup>i</sup>	a <sup>i</sup>	O <sup>i</sup>				
Cognitive application	6	9	8	9	9	10	7.65	8.59	9.59	1.93	0	1.93	9.000
Cognitive usefulness	5	8	7	9	9	10	6.63	8.14	9.59	2.96	-1	3.96	8.700
User satisfaction	6	9	8	10	10	10	7.65	9.15	10.00	2.35	-1	3.35	10.000
Customer service	5	8	7	8	9	10	6.63	7.58	9.39	2.76	-1	3.76	8.780
System quality	6	9	8	9	10	10	7.65	8.59	10.00	2.35	-1	3.35	10.000
Sum of dimensional selection			5				Threshold value					8.366	

In addition, concerning the criteria of key factors of consumers' demand for unattended convenience stores, this study analyzes the key factors of the evaluation indicators of consumers' demand for unattended convenience stores. The screening method is to adopt 90% of the expert consensus value of G<sub>i</sub> 8.282 as a threshold value, that is, the expert consensus threshold value of 7.454, which the values lower than should be removed, as highlighted in Table 5.

Table 5 Indicator analysis screening table for the key factors of consumers' demand for unattended convenience stores

Evaluation indicator	Minimum value C <sup>i</sup>		Optimal value a <sup>i</sup>		Maximum value O <sup>i</sup>		Geometric mean M <sup>i</sup>			M <sup>i</sup>	Z <sup>i</sup>	Verification value M <sup>i</sup> -Z <sup>i</sup>	Expert consensus value G <sup>i</sup>
	Min	Max	Min	Max	Min	Max	C <sup>i</sup>	a <sup>i</sup>	O <sup>i</sup>				
Sense-perception	5	9	7	9	8	10	6.80	8.16	9.17	2.37	1	1.37	8.347
Complete equipment package	6	9	8	10	9	10	7.06	8.75	9.79	2.74	0	2.74	9.000
Convenience of use	6	10	8	10	9	10	7.59	8.96	9.79	2.20	1	1.20	9.247
System equipment explanatory function	6	8	6	9	6	10	7.16	8.30	9.03	1.87	2	-0.13	7.566
Information technology and multimedia applications	6	9	7	9	9	10	7.06	8.16	9.39	2.33	0	2.33	9.000
Equipment	5	10	7	10	8	10	7.06	8.07	8.96	1.90	2	-0.10	8.490
System service process function	4	8	5	9	6	10	6.60	7.63	8.66	2.05	2	0.05	7.310
Personalization	6	8	8	8	9	10	6.94	8.00	9.39	2.44	-1	3.44	8.732
Experience	6	9	8	9	9	10	7.47	8.39	9.19	1.72	0	1.72	9.000
User-friendly design	7	10	8	10	9	10	8.52	9.17	9.79	1.28	1	0.28	9.348
Flexible system	5	8	7	9	8	10	6.26	7.74	9.17	2.91	0	2.91	8.000

Easy-to-understand information	7	8	8	9	9	10	7.79	8.79	9.79	2.00	-1	3.00	8.210
Users' willingness of recommendation	4	9	5	9	6	10	6.51	7.63	8.66	2.15	3	-0.85	7.547
Information quality	6	8	7	8	8	10	6.73	7.79	9.17	2.44	0	2.44	8.000
Communication service	6	9	8	10	9	10	7.28	8.75	9.79	2.51	0	2.51	9.000
Diversified services	5	7	7	8	8	10	6.12	7.58	9.15	3.03	-1	4.03	7.435
Online instructions or operation examples	4	7	6	8	6	9	5.47	7.16	7.92	2.45	1	1.45	6.556
Easy to operate	4	7	5	8	6	10	5.88	7.28	8.66	2.77	1	1.77	6.704
Quick response time	6	9	8	10	9	10	7.28	8.75	9.79	2.51	0	2.51	9.000
System stability	5	8	7	10	9	10	6.33	8.07	9.39	3.06	-1	4.06	8.812
Error correction capability	6	8	8	9	9	10	6.73	8.39	9.79	3.06	-1	4.06	8.616
<b>Sum of criterion selection</b>	<b>21</b>						<b>Threshold value</b>					<b>7.454</b>	
<b>Note: The red blocks indicate the metrics which do not pass the threshold value of 7.454.</b>													

According to the analysis results of Table 5, regarding the key factors of consumers' demand for unattended convenience stores, the criterion screening method adopts 90% of the expert consensus value of Gi 8.282 as a threshold value, that is, the expert consensus threshold value of 7.454, which the values lower than should be removed. Based on the results, "system service process function", "diversified services", "online instructions or operation examples" and "easy to operate" will be deleted, and 17 evaluation indicators will be retained.

### Step 3: Using the Kano model

This study uses the Kano model to categorize the key factors of consumers' demand for unattended convenience stores into five items: one-dimensional quality, must-be quality, attractive quality, indifferent quality, and reverse quality. The retained 17 key factors are classified into the quality attributes in the Kano model. The classification for each attribute has different meanings. The attribute classification results are as follows:

- 1) One-dimensional quality factor: When the one-dimensional quality is achieved, the customer satisfaction will be positive and equal. The higher the quality factor score is, the higher the customer satisfaction is. In contrast, the lower the quality score is, the lower the customer satisfaction is. It is found in the study that among the 17 factors, five question items, "1", "4", "6", "10", and "14", are classified into the one-dimensional quality.
- 2) Must-be quality factor: When the must-be quality is reached, customer satisfaction will not increase, so that this factor is considered by customers as a standard factor. On the contrary, without this factor, customer dissatisfaction will rise. It is found in the study that among the 17 factors, four question items, "3", "12", "15", and "20", are classified into the must-be quality.
- 3) Attractive quality factor: When this quality is not highlighted, customers have no feelings at all. However, as the product quality increases, customer satisfaction increases exponentially. It is found in the study that among the 17 factors, four question items, "2", "9", "11", and "19", are classified into the attractive quality.

- 4) Indifferent quality factor: When there is no difference in quality, satisfaction will not change due to customers. It is found in the study that among the 17 factors, four question items, “5”, “8”, “13”, and “21”, are classified into the indifferent quality.
- 5) Reverse quality factor: When the reverse quality factor is reached, customers will feel dissatisfied. Conversely, customers will be satisfied without this factor. It is found in the study that among the 17 factors, no question item is classified into the reverse quality.

#### Step 4: Applying the refined Kano model

Incorporating the key factors valued by consumers, this study subdivides the quality factors. “Attractive quality” is subdivided into the high attractive quality element and the low attractive quality element. “One-dimensional quality” is subdivided into the high value-added quality element and the low value-added quality element. “Must-be quality” is subdivided into the key quality element and the necessary quality element. “Indifferent quality” is subdivided into the potential quality element and the carefree quality element. The 17 important key factors, in response to consumers’ demand for unattended convenience stores, have attribute classifications representing different meanings (see Table 6). The study on Refined Kano distributed 380 questionnaires through online questionnaires and face-to-face questionnaires, including 354 valid surveys, and processed the analysis based on accurate polls to obtain the results of Refined Kano and IS Model. Of the 354 samples, 87 were consumers under the age of 25, 98 were consumers aged 26-35, 90 were consumers aged 36-45, and 79 were consumers over 46. And men and women are each 50% of the total. Therefore, the sample is broad, representative and reliable.

Table 6 Refined Kano

Indicator factor	Importance	Satisfaction	Kano classification	Refined Kano classification
1. Sense-perception	3.94	4.00	One-dimensional quality	Low value-added quality
2. Complete equipment package	4.12	3.88	Attractive quality	Low attractive quality
3. Convenience of use	4.00	4.00	Must-be quality	Necessary quality
4. System equipment explanatory function	3.82	4.00	One-dimensional quality	Low value-added quality
5. Information technology and multimedia applications	3.88	4.00	Indifferent quality	Carefree quality
6. Equipment	3.94	3.88	One-dimensional quality	Low value-added quality
8. Personalization	3.94	4.06	Indifferent quality	Carefree quality
9. Experience	3.94	4.12	Attractive quality	Low attractive quality
10. User-friendly design	4.18	4.00	One-dimensional quality	High value-added quality
11. Flexible system	4.00	4.18	Attractive quality	Low attractive quality
12. Easy-to-understand information	4.06	3.88	Must-be quality	Necessary quality
13. Users’ willingness of recommendation	3.71	3.76	Indifferent quality	Carefree quality
14. Information quality	4.12	3.94	One-dimensional	Low value-added

			quality	quality
15. Communication service	4.24	3.94	Must-be quality	Necessary quality
19. Quick response time	4.12	4.00	Attractive quality	Highattractive quality
20. System stability	4.18	4.00	Must-be quality	Key quality
21. Error correction capability	4.35	4.12	Indifferent quality	Potential quality
Mean	4.03	3.99		

Results are as follows:

- (1) High attractive quality element: “19”
- (2) Low attractive quality element: “2”, “9”, “11”
- (3) High value-added quality element: “10”
- (4) Low value-added quality element: “1”, “4”, “6”, “14”
- (5) Key quality element: “20”
- (6) Necessary quality element: “3”, “12”, “15”
- (7) Potential quality element: “21”
- (8) Carefree quality element: “5”, “8”, “13”

Step 5: Importance - Satisfaction Model (I-S Model) sorting importance

The classification model is that the horizontal axis represents the attribute of importance, and the vertical axis represents the attribute of satisfaction. In this study, the 17 factors based on the quality attributes are divided into four items: superior area, area to be improved, excess area, and carefree area (see Figure 7). The detailed analysis is as follows:

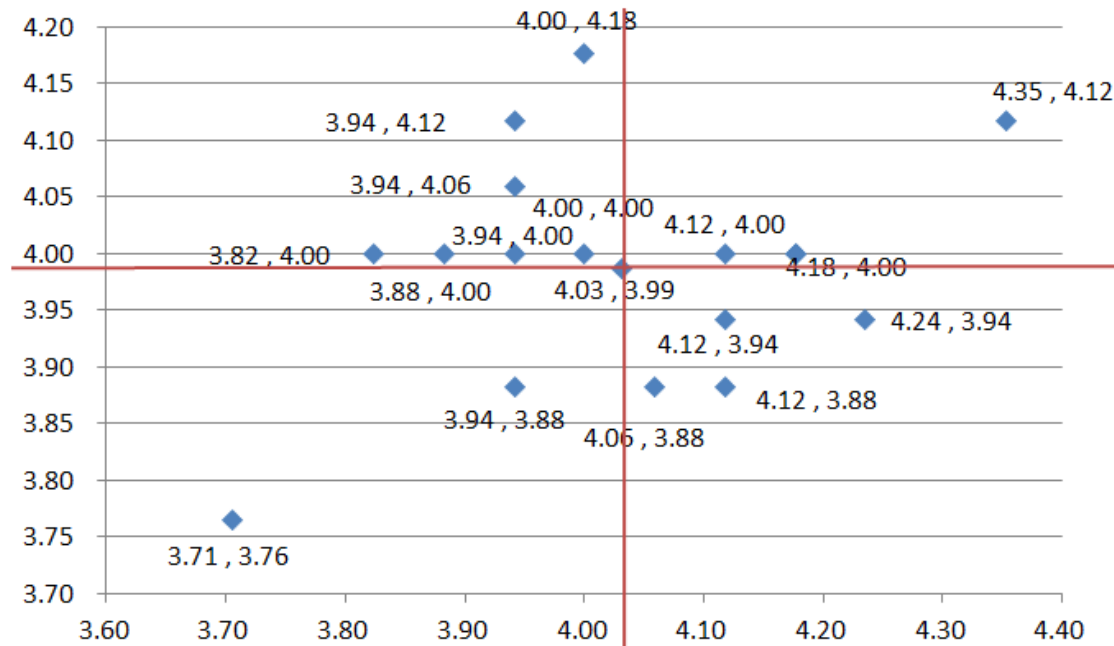


Figure7 Metrics analysis graph of important factors

- 1) Superior area: When the score is located in the quality factor of this area, it means that it is very important to customers, and the customers feel satisfied. Among the 17 factors, “10”, “19”, “20”, and “21” are situated in the superior area.
- 2) Area to be improved: When the score is located in the quality factor of this area, it means that it is important to customers, but the customers are not satisfied. Among the 17 factors, “2”, “12”, “14” and “15” are situated in the area to be improved.
- 3) Excess area: When the score is located in the quality factor of this area, it means that it is not important to customers, but the customers are satisfied. Among the 17 factors, “1”, “3”, “4”, “5”, “8”, “9”, and “11” are situated in the excess area.
- 4) Carefree area: When the score is located in the quality factor of this area, it means that it is not important to customers, but the customers are not satisfied either. Among the 17 factors, “6” and “13” are situated in the carefree area.

## 5. Conclusion

This study takes consumers in Bangkok, Thailand as the research object, and explores the key elements of demand for unattended convenience stores from the perspective of consumers.

Firstly, according to the FDM model, 21 evaluation indicators of the five major facets were screened to left 17 important key elements by using the expert questionnaire, secondly classified based on the Kano model and the refined Kano attribute. Among them, "whether the unattended convenience stores can handle the customer's demand in a timely manner, and avoid the waiting time of the customer." belongs to High glamour quality element, "Customers feel that the entire consumer process is easy to obtain, payment is convenient, and the process line design meets customer's needs and expectations." belongs to high value-added quality element , "Whether an unattended convenience stores can guarantee a stable output of the system when it undertakes a large number of customers." belongs to key quality element, "When the system is in a situation, can you find the error in time and correct it?" belongs to potential quality element.

This study then analyzes the key factors of consumer demand for unattractive stores with the importance-satisfaction I-S Model. The main items that fall in the superior area are “customers feel that the entire consumption process is easy to obtain, the payment is convenient, and the process line design meets the customer's needs and expectations.” “Whether the unattended convenience stores can handle the customer's demand in a timely manner, free of the customer's Waiting time.”, "When the unattended convenience stores accept a large number of customers, whether it can still ensure the stable output of the system.", "When the system is in a situation, can you find the error in time and correct it?" The purpose of this study is to explore the results of the screening of important factors for the needs analysis of unattended convenience stores, to understand the real needs of consumers effectively, and to provide a reference for the development of unattended convenience stores in Thailand.

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# **Corporate Social Responsibility performance (CSR) and perceived brand quality on Chinese students-based brand preference in a private university in Thailand**

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## **Abstract**

Research on the Corporate Social Responsibility (CSR) has been broadly studied across many different industries. More and more organizations have started paying more attention on CSR when it has brought significant impacts on society, economy and environment. This study aims to investigate the impact of Chinese students choosing an oversea university through the implementation of CSR activities toward to brand preference and also the impact of perceived brand quality on Chinese students towards to brand preference. The results from PLS regression analysis found that CSR to environment, CSR to society and CSR to stakeholder are positively related to brand preference and CSR to environment and CSR to society are positively supported perceived brand quality, except CSR to stakeholder is not significantly related to perceived brand quality. These findings suggest that when Chinese students choosing an oversea university with Chinese study program, they focus on the activities that a university implements on environment and society more than the fact of stakeholder.

**Keywords:** CSR preference, high education, brand preference, perceived brand quality

## **1. Introduction**

Students from mainland China has become the largest source of overseas students in the world [1]. Rapidly growth of economic development in China mainland has provided a better opportunity for students to study abroad and it has become more affordable option for families in mainland China. The number of students choosing to study abroad is reported to have increased by a factor of 11 over the past five years Daily [2].

In the past 30 years, the internationalization of higher education has been a major growth fact in the world [3]. Since 1995, the number of international students has almost doubled to 2.7 million. Australia's leading International Admission Service International Development Program (IDP) Education Ltd. estimated that the number of international students will be increased to 7.2 million by 2025.

Corporate social responsibility (CSR) has become a familiar term that rapidly increasing amongst academics and enterprises. Organizations and academics have seen it as a strategy tool that benefits the environment, society and stakeholder based on this concept that enterprises and academics have wider responsibilities beyond commercial factors [4].

The future success of Corporate Social Responsibility depends on the attitude of future generations. They will affect the relationship between business and society. The young

generations will essentially become as citizens, customers and managers and young generations are involved more in social and environment issues [5]. To adopt CSR practices most compatible to business strategy to bring about maximum outcomes for both the enterprises and the society [6]. There are many previous studies in consumer markets have indicated that CSR and corporate reputation induce positive brand perceptions of a corporation's products [7]. In specifically, this research aim to testify brand preference is an important fact for Chinese students as a decision making bridge. Parents and students themselves will emphasis on the brand preference of university when choosing a university but if it is more helpful to have an option of the perceived brand quality towards to that particular university as their reference.

The results from this study will provide an insight view about the impact of Corporate Social Responsibility (CSR) on perceived brand quality on Chinese students and when students choosing an aboard higher education with their brand preference. The finding of this study will delicate an additional insight about Chinese students' characteristics when seeking for international higher education and the importance of the awareness for an international higher education institution.

This study is written in the following steps. In the next section, the author reviews related literature and proposes the hypotheses. Then, the research methods that used to collect data and data analysis. Next, based on the results, author discusses the findings and lastly, provides research implications and concludes.

## **2. Literature review and hypothesis development**

### *2.1 CSR performance and brand preference*

Brand preference is known as a significant factor towards to purchase intention and brands preference has been a good predictor of purchase [8]. Consumer's purchase intention can still be predicted based on the brand preference [9]. Consumers' perceptions and discovered that a positive relationship between a company's CSR activities and their evaluations of the company which CSR's continuously effects on customers' purchase intentions and product evaluation [10]. CSR performance has strong effects on Chinese consumers' purchase intentions [11]. The initiation of CSR activities allow companies to be able to differentiate their products and services by producing more positive brand image that concretes the reputations of enterprises. In the contrast, when there are problems with the products or their performance that will lower customers' purchase intention based on the CSR's influence [12, 13].

During to the rapidly growth of business and fast changing operation from the past decades [14]. Implementation of environmental CSR is not only benefit the manufacturers but also the service providers with inner operations and outer operations [15]. Reputation of service provider can be enhanced by a successful implementation of environmental CSR performance [16]. This study is focused on CSR activities related to environment aspects that include pollution prevention, green production and energy conservation toward to university's operations and the students' perspective towards to university's activities.

H1. CSR to environment will positively associate with brand preference.

CSR to society concerns the contribution to society's well-being. The organization is undertaken the pressures from both beneficial factors and socially responsibilities [17]. CSR activities have increased the positive relation on brand image in a study involving many famous brands and a

diversified group of citizen [18]. There is also a correlation concept between corporate social responsibility and corporate reputation. Perceived positive corporate reputation of the service provider has a significant positive impact on brand preference [19]. Therefore, the hypothesis is as followed:

H2. CSR to society will positively associate with brand preference.

Furthermore, stakeholders of enterprises will be positively affected and way beyond their commerce interests from organization's responsibilities. According to [20] that the relationship between enterprise and its stakeholders can be enhanced by implementing CSR activities. [21] addressed that CSR activities is not only helps expand the awareness of CSR but also creates the image of a brand to be supportive. Stakeholders are aware of organization's CSR activities that behaved positively by purchasing the products and services and moreover, they have more positive perceptions on employment practices and investment operations [22]. Diversified stakeholders have a positive effect on global brand equity through CSR activities and the social responsibility sustains a strong positive benefits through the generation of brand equity [23]. Thus, the hypothesis is generated as follow:

H3. CSR to stakeholder will positively associate with brand preference.

## 2.2 Perceived brand quality

From recent studies, consumer's preference towards to brands has developed from local contestants to global images although the quality and value of products or services are not excellent enough, but organizations have moved forward to global brands for the trend of market [24]. Perceived brand quality is considered as the most important factor that affect consumers' purchasing intention in many industries [25]. The awareness of the brand equity has significantly led to the interest of research about the relationship between brands and brand perception of customers [26]. Perceived brand quality has considered as a part of brand value [27] and it has become the significant effect on customer-based brand evaluation [28]. The perceptions of brand quality have been interlinked with brand preference [29]. Thus, author has predicted perceived brand quality affect perspectives of CSR on brand preference as following hypotheses below:

H4. CSR to environment will positively affect perceived brand quality.

H5. CSR to society will positively affect perceived brand quality.

H6. CSR to stakeholder will positively affect perceived brand quality

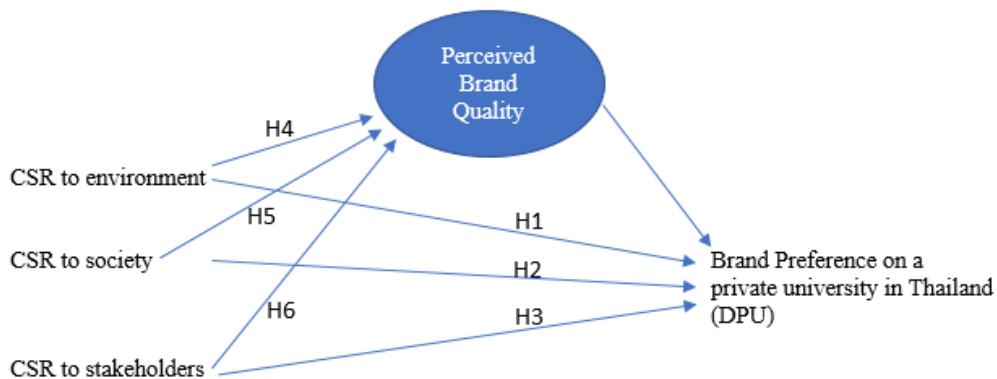


Figure 1 Research framework

### 3. Research design and methodology

#### 3.1 Questionnaire development and EFA

Figure 1 is diagram of the research framework that based on the literature review and hypothesis. The main method conducted in this research was a survey research. All the questions from the questionnaire were designed based on the previous research scale and the measures used in this research were adopted from well-established scales.

Each item was assessed on a 5-point Likert-type scale ranging from 1 (strongly disagree) to 5 (strongly agree). There are demography questions concluded in this questionnaire. The scale items used in this research are presented in Table 1.

Table 1 Construct Measurement

Construct	Construct definition	Construct source
<b>CSR to environment</b>	Activities with respect to the environment include the categories as pollution prevention, energy conservation and green production/service.	Holcomb <i>et al.</i> (2007)
<b>CSR to society</b>	Activity that contributes to society's well-being though generations	Clarkson (1995) and Holcomb <i>et al.</i> (2007)
<b>CSR to stakeholder</b>	Potentially strengthen the relationship between firms and stakeholders	Turker (2009) and Clarkson (1995)
<b>Perceived brand quality</b>	Consumer's judgment about a product's overall excellence or superiority and it is considered a component of brand value	Erdem <i>et al.</i> (2006)
<b>Brand preference</b>	It is the identical with purchase intention of product/service. It features in all of major texts on brands and brand strategy.	Yoo <i>et al.</i> 's (2000)

#### 3.3 Sample and Data Collection

This research is focused on the sample of students who study at a private university in Bangkok, Thailand. There are 72 questionnaires have been distributed to students from academic year of 1<sup>st</sup> year to 4<sup>th</sup> year. All questionnaires were collected via an online survey software called "Google form" and the link of questionnaire was shared by emails and QR code via social media. There are 72 questionnaires have collected.

#### 3.4 Data analysis

In this study partial least squares (PLS) regression was mainly used for data analysis and combined with correlation analysis. PLS is a statistical technique that provides higher

flexibility than covariance-based structural equation modeling (SEM) when PLS is allowed to run the smaller sample sizes in the analysis and moreover it does not necessarily require data to be normally distributed.

#### 4. Findings

##### 4.1 Validity and Reliability Test

Cronbach's Alpha's minimum value of 0.7 will be considered as acceptable [30]. Table 2 below shows the Cronbach's Alpha ( $\alpha$ ) is 0.976 that all items included in the questionnaire. According to the standard of Cronbach's Alpha, the result indicates that the scale is above the acceptable level. The table as show below:

Table 2 Reliability Statistics

Reliability Statistics	Cronbach's Alpha	N of Items
CSR to environment	.811	5
CSR to society	.864	3
CSR to stakeholder	.893	4
Perceived brand quality	.922	4
Brand preference	.936	5

The KMO measurement and Bartlett's test shows that the KMO value is 0.924 and (df=66) and the p-value is less than 0.001. Based on the Kaiser-Meyer-Olkin's measurement standard, the correlations of the factor value are required more than 0.7 as a good factor and the p-value is less than 0.5.

Table 3 Correlation among variables and square root of average variance extract

	MEAN	Std.	EVM	SCTY	STKHO	BP	PB	AGE	GEN	STPG	STCF
EVM	4.1861	.63364	(1)	.854**	.873**	.901**	.911**	.159	.060**	-.049	-.227
SCTY	4.3009	.77955		(1)	.902**	.907**	.901**	.104	.107	.011	-.258*
STKHO	4.3576	.78591			(1)	.889**	.906**	.036	.097	.074	-.141
BP	4.3229	.88656				(1)	.954**	.137	.122	.022	-.204
PB	4.2861	.87393					(1)	.137	.121	-.005	-.266*
AGE	20.15	1.391						(1)	.018	-.139	-.665**
GEN	.56	.500							(1)	.132	-.064
STPG	2.57	1.111								(1)	.125
STCF	2.78	.923									(1)

Notes: \*\* p<.01; \* p<.05;

Spearman rank correlation coefficients are reported; EVM=SCR to environment, SCTY CSR to society, STKHO=CSR to stakeholder, BP=brand preference, PB=perceived brand quality, AGE=age, GEN=gender dummy variable (male was coded 1), STPG=study program, STCF=student classification

$$R^2=.887$$

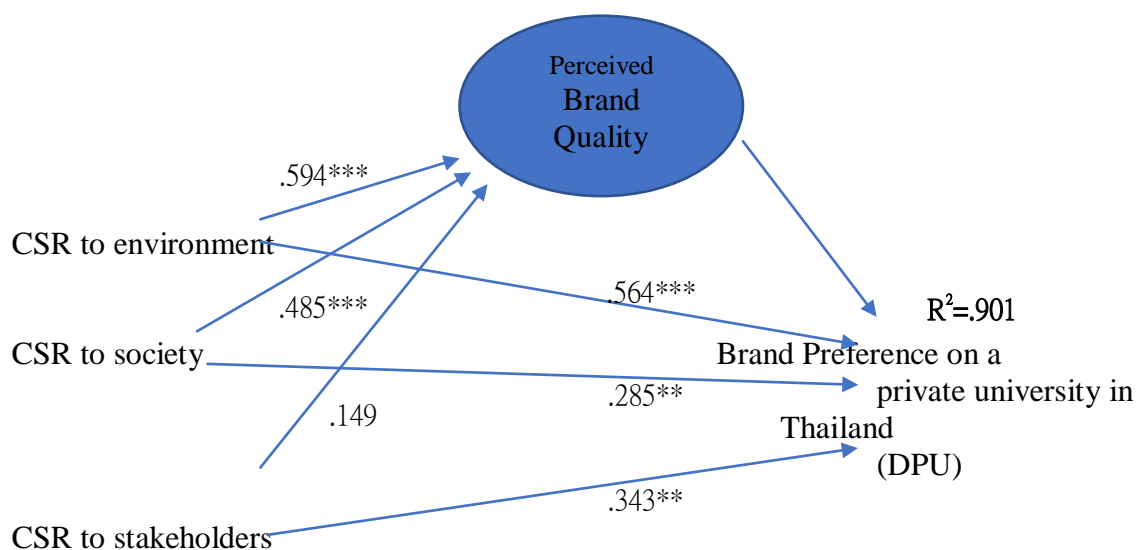


Figure 2: Results from PLS regression analysis

Notes: \*  $p < .05$ , \*\*  $p < .01$ , \*\*\*  $p < .001$ . Standardized coefficients are reported. Solid lines represent significant paths.

## 5. Discussion

### 5.1 Discussion and Conclusion

This study aims to investigate the relationships are positively affected between three major domains of CSR (CSR to environment, CSR to society and CSR to stakeholder) toward to brand preference and perceived brand quality. Based on the results that CSR activities toward to brand preference and perceived brand quality most hypotheses are positively affected except H6 CSR to stakeholder will positively affect perceived brand quality is unsupported. Nonetheless, the evidence strongly proved that students choose university do concern about the brand preference on these three domains of CSR activities. Therefore, these results provide support to previous literature regarding to the perspective of CSR towards to hotel industries. It provides supportive evidence that it is not only positively affect hotel industry but also in higher education. The finding of this study is consistent with pervious study in the Western context, in that CSR is a driver of branding consequences [30]. However, the analysis of CSR to stakeholder will positively affect perceived brand quality is unsupported. The finding suggests that the quality of teaching, overall quality and total performance are needed to improve from the perspective of students. This study contributes to the literature by the results is not all effectively affected according to the CSR activities that university operates.

Hypotheses	Results
(+) H1: CSR to environment will positively associate with brand preference.	Supported
(+) H2: CSR to society will positively associate with brand preference.	Supported
(+) H3: CSR to stakeholder will positively associate with brand preference.	Supported
(+) H4: CSR to environment will positively affect perceived brand quality.	Supported
(+) H5: CSR to society will positively affect perceived brand quality.	Supported
(+) H6: CSR to stakeholder will positively affect perceived brand quality	Unsupported

The findings from this study provide some contribution to research that not only focus on

hospitality industry but also the higher education field as the CSR implementation. This research offers additional insight that the outcome can be used for the marketing recruitment and basis improvement to approach CSR related field rather than higher education.

This study is cross-sectional approached within limited time although students can be segmented into different groups with acceptable responses but for the further research graduated students who work in Thailand could have been involved when they are more familiar with university and bigger scope of Thailand. CSR has different form in diverse industries but not so many researches in higher education.

In conclusion, the author suggests that corporate social responsibility should be used as an advanced tool and strategy to be implemented in other areas. It is meaningful and remarkable topic to be understood and implemented by more organizations.

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## **Perception of Conflict: A Cross-cultural Comparison between Hong Kong Chinese and Thais**

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### **Abstract**

This study addresses the questions of how managers and subordinates perceive the development of conflict in workplace. Using qualitative methodology, a total of twenty Hong Kong Chinese and Thais provided their perceptions of conflict through semi-structured, in-depth interviews. The findings showed a relationship between cultural values and views of conflict. Values of a person can be a factor which influences a person's view on conflict. The common view of conflict as inevitable and constructive facilitated a favourable environment and atmosphere in the workplace where both the Hong Kong Chinese and Thais had positive view on conflict resolution.

**Keywords:** cross-cultural, workplace conflict, value, Hong Kong Chinese, Thai

### **1. Introduction**

Thailand and Hong Kong are important trade partners. As of 2017, there was 13,405.5 million US Dollars of merchandise exports to Thailand from Hong Kong and 11,507.2 million US Dollars of merchandise imports from Thailand to Hong Kong [1]. The trend of trade growth in the recent years elicits the importance of understanding how organizational conflicts are typically handled by the Hong Kong Chinese and Thais because the norms and values of these two cultures may have nontrivial impact on how people handle their relationships in workplaces. This case study discussed the perception of conflicts among the Hong Kong Chinese and Thais and how conflict is developed.

Culture is an integral part of all human societies. In workplace, conflict, interpersonal conflict in particular, "being somehow involved with opposing forces" at work [2]. From the growing literature on management practices and conflict resolution, the study of organizational practices and management process designed for workplace conflict resolution have undergone a comprehensive and dramatic transformation [3].

Behaviour patterns are shaped by hidden structures consisting of values, beliefs, and attitudes. Perception is a cognitive process in which people connect meaning to objects, symbols, people, and behaviour in order to make sense of them. Inter-culturalist Milton Bennett found that cross-cultural problems arise from differences in behaviour, thinking, assumptions and values between people in a country and those from other countries and cultures with whom they associate [4]. He further stated that misinterpretation and incompetence in face-to-face communication are attributed to cultural differences. However, there are numerous factors contributing to conflict in the workplace.

### **2. Conceptualisation of Culture**

Scholars have argued that concepts of culture vary from anthropology to organisation theory. A comprehensive and general definition of culture was summarized after cataloguing more than a hundred different definitions of culture [5, 6]:

*“Culture consists of patterns, explicit and implicit, of and for behaviour acquired and transmitted by symbols, constituting the distinctive achievement of human groups, including their embodiments in artefacts; the essential core of the culture consists of traditional (i.e. historically derived and selected) ideas and especially their attached values; culture systems may, on the one hand, be considered as products of actions, on the other, as conditioning elements of future action.”*

Culture is developed according to common experience which the individuals share with a particular group of their fellow human beings. Culture as a mental program which is a set of fundamental ideas, practices and experiences of a group of people which are symbolically transmitted generation to generation through a learning process [7]. Explicit and concrete cultures such as language, festivals, food, and dress are easily identified and shared with others; whereas, implicit and subconscious culture determines the belief, norm and attitude of an individual which guide their behaviours and solve problems [8].

The personality of an individual is a unique personal set of mental programs which need not be shared with any other persons. It consists of traits which are partly inherited and partly learned. Therefore, personality can explain why there are many behaviour and understandings which are quite different between different people even though they come from the same culture.

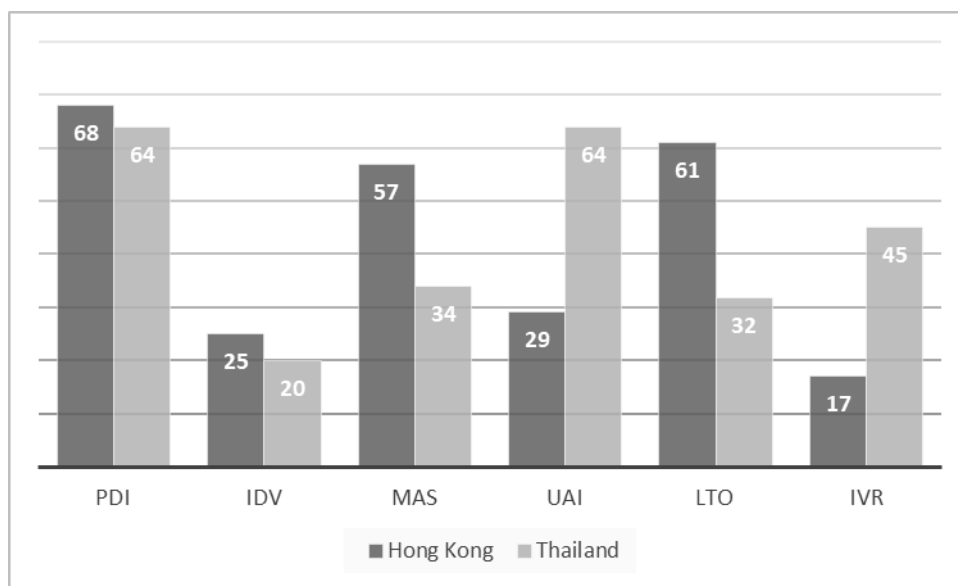
### **3. Layers of Culture**

There are four levels (layers) of culture that influence multinational operations—these are national culture, business culture, organisational culture, and individual behaviour. National culture provides the overall framework of cultural concepts and legislations within the political boundaries of the nation-state [9]. Business culture guides people in the moral and suitable ways to conduct business in accord with the norms, values, and beliefs. Organisational culture collects values and norms which are shared by the members or groups in an organisation and which bind the way the members interact with each other. Culture is learned, not innate [10]. As such, an individual's behaviour is influenced by the other cultural levels.

### **4. Hofstede's Framework of National Cultures**

National culture could explain half of the differences in attitudes, beliefs, and values of employees [7]. Each culture would have been reflected in the family structure, customs, social strata, religions, political systems, clothing, music, food, literature and laws produced by its common behaviours. If true, the ability to accurately assess underlying norms and values that are based upon cultural manifestations might have provided the means to more effectively manage, predict, or avoid situations of potential conflict. Hofstede addressed this need for structured analysis by defining five bipolar dimensions of cultural differentiation which are based on geographic nationality. The framework was initially depicted from his field survey of over 116,000 IBM employees across 40 countries and the Chinese Value Survey (CVS), which was conducted by Hofstede and Bond around 1985, among Chinese students from 23 countries. Hofstede claimed that his five dimensions represented the most effective means available for the assessment and understanding of differences observed

between the management practices of various cultures. The cultural model was further extended to six dimensions including (1) Power Distance Index (PDI), (2) Individualism versus Collectivism (IDV), (3) Masculinity versus Femininity (MAS), (4) Uncertainty Avoidance Index (UAI), (5) Long-term versus Short-term Normative Orientation (LTO), and (6) Indulgence versus Restraint (IND). These dimensions highlight the important relationship between culture and organisation management in joint-ventures or other collaborative businesses and are well accepted in cross-cultural research [11, 12]. Hofstede and his team recommended that “the cultural dimensions represent independent preferences for one state of affairs over another that distinguish countries (rather than individuals) from each other [13].” Figure 1 shows a comparison of the six dimensions between Hong Kong Chinese and Thais.



Source: Hofstede-insights.com [13]

Figure 1. Country/Territory Comparison: Hong Kong and Thailand

Hong Kong and Thailand are ranked as high power distance nations, where unequal power distribution is believed to be based on an inherent inequality and that the public confrontation of authority is viewed as socially disruptive insubordination and is strongly discouraged. The higher uncertainty avoidance of Thailand than that of Hong Kong shows that even though the Thais are moderately comfortable with uncertainty and are fairly tolerant and flexible, Thai culture does not take well to structural changes compared to Hong Kong Chinese culture. There is lesser tolerance for deviant ideas and behaviours in Thai society. Both cultures of Hong Kong Chinese and Thais are low in individualism which indicates their collective orientations. Another major difference in cultural features between the Hong Kong Chinese and the Thais is the level of masculinity. Masculinity emphasises success and an achievement orientation rather than a satisfaction and affiliation orientation. The lesser masculinity of Thai culture than that of Hong Kong Chinese shows that femininity is attributed to characteristics of comfort, care and harmony within society. Long-term orientation indicates a commitment to work hard and sacrifice for the future [14]. This dimension indicates the largest difference between the two nationals. By this measure, Hong Kong Chinese managers tend to be long-term oriented in their thinking. Comparatively, they are able to accept changes in their life. Thai subordinates do not like long-term work plans because Thais do not have a future orientation [15]. The indulgence index is defined as “the extent to which people try to control their desires and impulses based on the way they were

raised [13].” The score of Hong Kong is relatively lower than the Thailand’s indicates that it is a more restrained society which have a tendency to cynicism and pessimism. The Hong Kong people seems to put less emphasis on leisure time and tend to control the gratification of their desires when comparing to the Thais [13].

## 5. Confucian and Taoism – the Roots of Chinese Culture

The Chinese culture is represented among most people in Mainland China, Taiwan, Hong Kong, and other Chinese communities around the world. While the teachings of Confucianism and Taoism have been spread in the Chinese society for over 2,500 years and form a moral art among the Chinese population, Buddhism came to China from India in the first century AD and encourages harmony and kindness. Although literature of cross-cultural studies show the influences of the above three teachings on the culture of the Chinese, this article focuses on Confucianism and Taoism which are originated in the ancient Chinese society and are considered as the foundation thoughts, philosophies and doctrines for Chinese people. The most prominent influences of these teachings on maintaining harmonious relationships in families, organisations, and other social activities are the endeavour to avoid being involved in conflict, due to their strong sense of interdependent self and the protection of face (*mianzi* 面子), inter-relation (*guanxi* 關係), and giving favour (*renqing* 人情).

Harmony is the core value which regulates the Chinese to achieve a conflict-free relationship [16]. The Chinese believe that the whole universe is in a constant changing and transforming process due to the dialectic interaction between *yin* (陰) and *yang* (陽). The five cultural values which impact and regulate Chinese conflict management and resolution, namely harmony, inter-relation (*guanxi*), face (*mianzi*), seniority, and authority [17]. The principle of harmony is equilibrium and it has been explained in the book, The Doctrine of Mean (*zhongyong* 中庸). Confucianism indicates that “[equilibrium means] all things are nourished together without their injuring one another [18].” Equilibrium and harmony are interdependent, where equilibrium is the core of harmony.

As such, the Chinese traditionally prefer some non-confrontational approaches such as avoiding and compromising, to resolve conflict in business management [17]. An open discussion of opposing views was likely to be a trend and acceptable among the Chinese managers [19]. There may be positive attitude towards workplace conflicts among the individuals in Chinese organizations where people advocate the appropriate and mature handling of conflict situations instead of avoiding them [20].

## 6. Buddhism and Harmony – the Principle of Living of Thais

Thai people have learnt to live in harmony with the natural world for long time. Children honour their parents by seeking their advice and obeying their commands. Later, Buddhism from Ceylong influenced the Thais as they developed strong personal relationships with individuals rather than strong attachments to any particular group. They preferred to avoid both extreme emotional states and from situations with conflict potential. People were taught to maintain neutrality to conflict. Later, Thai culture was influenced by Brahmanism from India. They accept and accommodate the demands and desires of social superiors. They also express discontent in indirect ways when interacting with superiors, and offer favours to supervisors for gaining merit and protection. Then, since the immigration of Chinese into Thailand, a familial system which is based on Confucian personal ethics has been brought into the Kingdom. There are assumptions of the Confucian cultural norms: (1) a person exists

through and is defined by her or his relationships to others which are hierarchically structured, (2) harmony is ensured if each party honours the requirements of role relationships, and (3) it is virtuous to project a good image of self in public.

Hofstede identified Thailand as a collectivist nation which associates with high power distance and strong uncertainty avoidance. The assumptions and beliefs about conflict of the traditional Thais were summarized below [21]:

- A virtue of harmony with an individual's environment
- To maintain harmony, an individual should maintain 'face' of self and others
- Loyalty to and harmony with an individual's patron or her/his group is necessary to an individual's well-being
- It is more important for maintaining good relationships than completing tasks
- It is natural and 'right' for inequality
- It is unnatural and evil to criticize superiors publicly
- Latent conflict between ranks is normal
- Confrontation is rude and undesirable
- It is immoral to compete overtly and aggressively among peers within the same social or organisational group
- It is immoral to refuse to conform to the group behavioural norms
- It is inappropriate and undesirable to express ambitions openly

These assumptions and beliefs can explain why the Thais tend to adopt avoidance or withdrawal instead of open confrontation in seeking to resolve conflicts. Obedience and loyalty are more important than productivity in Thai firms [22]. For Thais, it is hard to tolerate a subordinate who challenges a superior; there would be one-way communication from superior to subordinate. They also found that Thais view acceptability and fairness in terms of feelings and ambiance. Nevertheless, "face" cannot be reconciled with unchallengeable autocracy within a relationship.

The Thai Value Survey was developed by adopting the instrument and replicated the criteria and procedures that were used by Rokeach [23, 24]. A terminal value refers to beliefs on desirable and ultimate goals of existence that are worth striving for, including concepts of freedom, equality, a peaceful world, and inner harmony [23]; this value reflects an individual's preferences concerning the outcome to be achieved [24]. An instrumental value refers to "beliefs on desirable modes of conduct that are influential to accomplish their ultimate goals, including concepts of honesty, love, responsibility and courage [23]"; this value reflects the methods for achieving desired outcomes.

## **7. Conceptualisation of Workplace Conflict**

Conflict has been previously defined in a multitude of ways [20]. Studies found that conflict between co-workers would lower the productivity and job satisfaction [25, 26]. Employees who encounter workplace conflicts would suffer from depression, burnout, and somatic complaints which are so-called as strain symptoms [27]. Both task and relationship conflicts

were negatively associated with employee well-being. However, the willingness of forgive may be more characteristic of collectivistic cultures than individualistic cultures [28]. This finding may be a result of the fact that collectivistic forgiveness is largely motivated to promote and maintain group harmony rather than inner peace. People with self-transcendent cultural values are motivated to preserve the welfare of others [29].

To predict the preferred action of people encountering workplace conflict can also be explained by attribution theory. According to this theory, the different beliefs of people from different cultural backgrounds are core to cognitive processing such as evaluating events and the attribution of blame. It further indicates that cultural background of individuals may influence their perceptions about apology and forgiveness which could be used as conflict management strategies in workplaces [25].

## **8. Research Methodology**

The main objective of this study was to understand the perception of culture from the view of Hong Kong Chinese and Thais. The study employed qualitative methodology in the form of descriptive case study which utilised data collected through semi-structured personal interviews from a sample of participants to elicit an understanding of perception of conflict [30, 31]. Yin defined case study as "...an empirical inquiry that investigates a contemporary phenomenon within its real life context, especially when the boundaries between phenomenon and context are not clearly evident [31]." In detail, qualitative research "focuses on social process, understanding from respondent's point of view, interpretation and rational approach, observations and measurements in natural settings, and explorative orientation [32]."

The research study was based on national culture dimensions [33, 34] and terminal and instrumental values of Thai employees [23] with specific samples from two Hong Kong affiliated companies in Thailand. The researchers could expand the open-ended interview questions by referring to the cultural studies of various scholars [35, 36, 37, 38, 39, 40, 41, 42]. Semi-structured interviews were used to collect data from Hong Kong Chinese expatriate managers and Thai local subordinates individually. The researchers began with a defined questioning plan and then shifted to follow the natural flow of conversation. Face-to-face interactions between the researcher and a single interviewee allowed the participants to express their thoughts without restriction. Hence, through the study, the researchers could understand the characteristics of a group in a given situation (i.e. the cultural background of the expatriate managers and local subordinates which influence conflict development).

Interviews were used by means of open-ended questions which produced answers which were later coded in the data analytic process [43] and were guided by conversations [31]. The strengths of interviews are: (1) an interview is targeted—focuses directly on the case study topic, (2) an interview is insightful—provides perceived causal inferences [43]. This study was conducted in the natural environment of the organisation in a non-contrived setting. The data collection covered a period of two months.

For this study, the most appropriate form of sampling was a non-probability, purposive sample of Hong Kong Chinese expatriates and Thai local subordinates. Purposive sampling is often used, when working with very small samples [44], to provide the desired information through respondents who possess some specific characteristics, experiences, and even knowledge of the existing cultural nature and conflict situations related to the research study [45].

The participants for the sample of this study were employees of SPX and GLA. The sample group comprised line and staff and expatriates of various teams/departments in the organisation. The human resource manager arranged for respondents to participate in the interviews. The data set of this study was a total of twenty respondents from the two companies. Twelve Thai subordinates were selected from those who worked in any teams that were under the supervision of Hong Kong Chinese expatriates for at least one year. This protocol was to ensure that the respondents have sufficient experience on working with their foreign supervisors. Reciprocally, eight Hong Kong Chinese expatriates were selected from those who had supervised Thai staff for at least one year. They were the team leaders of the Thai subordinates who were interviewed.

The unit of analysis refers to the level of aggregation of the data collection during the subsequent data analysis stage [46], which is the nationals from two cultural regions in this study.

The researchers conducted semi-structured interviews in order to obtain information on the perception of conflict. Interview questions were based upon the critical incident technique (CIT) [47]. Data gathering about critical incidents can be done by personal interviews, focus group interviews, or direct/participatory observation [48]. Interviews can be guided by a simple model, i.e. cause, course and result [49]. This technique is “a systematic, inductive, open-ended procedure for eliciting verbal or written information from respondents [50]” in which ‘the participants were asked to recall a specific incident and to recount the incident to the interviewer, focusing on: (1) a description of a specific situation, (2) an account of the actions or behaviour of a key player in the incident, and (3) the outcome or result [51]. The main interview questions were (1) Please describe something about your work? (2) Have you ever had any experiences of conflict? How did it develop?

## **9. Findings and Data Analysis**

This study followed the essential steps in conducting a content analysis [46, 52]. Participants’ responses to the research questions to provide their perspectives on conflict as “good” and “bad or unpleasant” were sorted into large preliminary categories. Their responses were also grouped into rational (affect) theme which focused on feelings and attitudes of the participants. Selective coding allowed the researchers to find data or facts which justified the theme and then made comparisons and identified differences between subthemes [53]. The researchers recognised the homogeneity within each category and the relationships across various categories. As such, the theme would indicate the way conflict had developed. Through the above analysis process, the researchers could capture individuals’ behaviour, meanings, beliefs, and values which are aligned to the cultural characteristics in Hofstede’s cultural model.

The primary finding of this study is highly significant in terms of the overwhelming number of participants of Hong Kong Chinese and Thais who shared similar view of conflict as a natural phenomenon in their workplace.

All Hong Kong Chinese respondents said that they were not surprised at facing conflicts during their dealings with others in the workplace. They viewed conflict as a natural output of interaction between different individuals in their workplace. They thought that conflict could be managed effectively—regardless of age, gender, social roles, cultural backgrounds, and beliefs—and it would be an effort of all parties to work together and achieve a resolution on the issue they are confronting. Their views on conflict are very simple and straightforward. Some examples can illustrate these views:

“Conflict?!... Ahh... most of them can be managed!”

“Certainly, I’ve ever faced conflicts. I view conflict as a normal matter in my organisation and my team... Sometimes, it isn’t bad but good when you look at back side of a coin.”

“I believe that, ahhh.. [pause 1 second] as a manager it is our common responsibility to manage various kinds of conflict anytime in my workplace... Yes, I’ve experienced even serious conflicts or contradictions with my Thai subordinates!”

The Hong Kong Chinese interviewees also gave in-depth views on conflict. They emphasised that conflict is a part of life. Learning to manage conflict effectively is an essential management skill, especially, in their workplaces. These are what they told the researchers in the interviews,

“Trying to escape from conflict is almost impossible... sometimes, the tone of voice may create problems in my team. My colleagues has ever talked to me that her team shows emotional actions in the meeting when they discuss something on a controversial issue. However, there is solution--even the temporary one—is better than nothing. Asking them to take a break, have a cup of coffee, going to wash faces... It may make the atmosphere becoming refresh, right?”

“First of all, conflict is a natural dynamic... It’s inevitable and existed every day and therefore is a part of life... ’cause everyone has their own ideas, opinions, and needs. So, how we deal with our differences with other people can determine the quality of our lives... And you’ll find that no one resolves conflicts alone.”

Another Hong Kong Chinese manager expressed a similar view on conflict. It seems that conflict can occur in all ranks—throughout political and public sectors in the society. Nevertheless, he mentioned that the particular personal character of Thais is a reason for the relatively less occurrence of conflict between subordinates and their employers:

“Indeed, conflict can be found among people in all ranks and classes in the society... Thailand is not the only place where conflict exclusively exists in affiliated companies... here... there are conflicts happening in political and public sectors in the democratic society...”

From these responses, the researchers confirmed the positive view of conflict that Hong Kong Chinese interviewees held. The Hong Kong Chinese managers generally said that conflict is the usual struggle between people who are interdependent. Such struggle runs in cycles and even spreads discontent like wildfire if the conflicting parties mismanage conflict. Some even thought that conflict helps build personal relationships. Seeking win-win solution is an intelligent way to manage conflict. A Hong Kong Chinese manager pointed that:

“Some of them [conflicting parties] argue that conflict should be handled professionally. It’d be better that such persons have longer work experience and possess tactful means. Young business executives, who lack experience in handling conflict, prefer to avoid conflict.”

This comment suggested that experience can be an important factor for a manager to determine an appropriate conflict style for his/her situation. Therefore, the management of conflict can be different for an experienced, mature individual to one who lacks experience. A manager, who had years of experience of dealing with people in different countries, found managing conflict was inevitable in global businesses:

‘Before I joined this company, I had worked in different countries; I feel that conflict is very common... I don’t worry about conflict here.’

Based on responses of Hong Kong Chinese managers, conflict is a usual *activity* in workplace which, sometimes, could help in revealing *silent* or *unseen* problems and even improving the



relationship between the expatriates and subordinates. It is advisable to manage conflict in a professional way.

In contrast to the consistent views of the Hong Kong Chinese managers, the perceptions on conflict of Thai interviewees were relatively different. The overwhelming majority of Thai participants expressed their concerns on the disadvantages of conflict. They expressed the problems on deteriorating interpersonal relationship which derived from unmanaged conflict. They did not like conflict in the workplace because conflict made them uncomfortable. Here are two examples:

“That’s not good. Conflict makes me uncomfortable in my workplace.”

“Conflict seldom occurs around me. If it were happened on me, I would... I think... it would be about unclear messages from the superiors and frequent changes on shipment instruction or arrangement are requested.”

A Thai assistant manager expressed his view on conflict and acknowledged that he was conscious of conflicts with his supervisor. The Thai participant explained that the cause of conflict was mainly due to the problem of communication. He thought that two-way communication between subordinates and expatriate managers in sales department was necessary for understanding the needs and difficulties of the frontline staff and the instruction of the management. He further said that the current communication pattern—one-way—made him exasperated when dealing with his expatriate managers.

Though there were various views on conflict among the Thai subordinates, a majority of them shared a common view—there is no conflict-free workplace, but the conflicting parties needed viable resolutions. A Thai staff in the accounting department expressed her optimistic view about conflict. She explained to the interviewer that conflict could help her evaluate her performance. She said, “I see conflict positively because it lets me know what I have to improve and learn to compensate what I have not yet known well about my job and my responsibility... I am concerned with what factors cause the conflict. Is the conflict due to my fault or something missed in my responsibility?”

Other Thai staff had interesting comments on conflict in workplace:

‘For myself, I rarely have conflict...probably because I normally do my own work and I have much to handle. I...I work independently.’

‘... Sometimes, quarrel in work will finally reach my manager’s ears. Then, he’ll handle the conflict very soon.’

These comments were related to the different attitudes on conflict between Thai subordinates; for example, working independently, expectation of high-level management involvement in the conflict process, and an ideal perfect work environment in which no conflict exists.

## **10. Discussion and Conclusion**

A perception is the way an individual selects, organises, interprets, and retrieves information from the environmental stimuli, which is based on past experience [54]. Perception is not necessarily the same as reality. By the same token, the perceptions of two individuals are not necessarily the same when describing the same issue. As such, a manager needs to understand how perception impacts an individual’s view of the work environment. Inaccurate perceptions can cause either Hong Kong Chinese or Thai to develop stereotypes about the other party. When the stereotypes are emphasised, relations will deteriorate and conflict will develop. Therefore, the perception of conflict of, in this study, both Hong Kong Chinese superiors and

Thai subordinates can help explain how the members process information inputs into decisions and their subsequent actions in the conflict process.

Hong Kong Chinese managers shared similar perceptions of conflict—that is, conflict is a part of life. It is a natural by-product of activities involving people who are interacting with each other either dependently or independently, regardless of their cultural background, gender, race, occupation, and status. However, whether one can lead the outcome of a conflict situation to becoming either constructive or destructive, would depend on how the conflicting parties manage the conflict. The overwhelming majority of Hong Kong Chinese managers with experience of dealing with people of different cultural backgrounds had no difficulties in managing conflict in the company. Managerial involvement would be taken if no other action could resolve the conflict. This common perception accords with the traditional Chinese norms of concern for collective interests and concern for authority. In the book about the psychology of Chinese people, Bond wrote that ‘values refer to goals, like inner harmony, or to means of achieving those goals, like modesty and intelligence, which are thought to exert a broad influence over any related activity [55]’.

The perceptions of conflict of Thai subordinates were not consistent, however. The majority of Thai participants expressed their concerns on the disadvantage of conflict in their workplace. They, if possible, would prefer to work in a conflict-free environment. This perception implies that building strong connections or relationships is an important value of Thais. The low tolerance for conflict of Thais reflects a socio-cultural context which was identified by Hofstede as collectivist, high power distance, and strong uncertainty avoidance. However, other perceptions on conflict were found among younger Thais which can reflect some changes in values. This study found that Thai subordinates who are well-educated accepted conflicts as inevitable in their career even though they had lived and grown up in Thailand. This perception seemed not only an example of change in value from one generation to another, but was also an evidence of heterogeneity in the cultural pattern. As such, it seems that conflicts are about perceptions, and understanding perceptions is vital to working through them successfully.

In sum, both the Hong Kong Chinese and Thais, in particular in the sample of senior Thai participants, shared similar perceptions of conflict as constructive and inevitable. Thai subordinates with shorter tenure in the company tended to avoid conflict. The exception was those with a better educational background who accepted conflict as part of their careers.

All of the Hong Kong Chinese participants saw conflict as an opportunity for them and their Thai subordinates to exchange important information such as management policies and subordinates’ claims. A source of conflict was the Hong Kong Chinese managers’ emphasis on quality circles and innovation. These attitudes seemed not to be shared by the Thai subordinates. Perhaps, this indicates the preference for hierarchy in Thai society, the traditional and unstructured approach to quality. Although the expatriate managers perceived some differences in values, beliefs, and attitudes between them and the Thais, some conflicts were not deemed as serious enough to be “resolved” urgently and directly. For example, task conflicts sometimes were understood as something about whether an employee liked or disliked the specific responsibility she/he is undertaking at the moment. It is, in fact, about whether that responsibility represents much of a certain type of task or duty for her/him within the context of a long period such as the whole day or week. As such, task type conflict could be resolved quite easily if the staff rearranged their tasks and the time to complete the task.

People often base their behaviour on their perceptions. Since childhood, the formal and informal learning provided within family or nurturing environment plays a role in forming an

individual's perception. Some perceptions are formed through education which can internalise an individual's dominant patterns of environment. As a result, personal perceptions can influence the moulding of one's attitude and behaviour.

Thai subordinates who have dealt with their Hong Kong Chinese superiors over a long period of time tended to see conflict as an opportunity to discuss hidden issues and unsolved problems in the company. These members believed that conflict could facilitate personal development and lead to open ways of thinking and behaving. Thus, the first step to resolve conflict effectively was to understand the positive potential which exists in all conflict episodes. Nevertheless, some subordinates avoided conflict at all cost. They viewed conflict as a disruption of order and as a negative experience. They also thought that conflict occurred due to incompatible interests in work and the struggle between right or wrong and good or evil.

At best, these findings showed a relationship between cultural values and views of conflict of Hong Kong Chinese and Thai participants. A value is something an individual consider to be important, which can involve a belief, a principle, and a pattern of behaviour. Some values are less likely to be changed when they are of such critical worth to a person; whereas, other values may be changed for the sake of maintaining a relationship when they are of less importance. In general, values of a person can be a factor which influences a person's view on conflict. This study showed that the common view of conflict as inevitable and constructive facilitated a favourable environment and atmosphere in the workplace where both the Hong Kong Chinese expatriate superiors and Thai subordinates had positive views on conflict resolution.

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## **Driving to Successful Internationalization : A Progressive Management Model of International Education Learned from Christian Universities in Taiwan**

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### **Abstract**

Following the paradigm designed by [5] and [11], this study examined previous attempts and works and used grounded theory as well as case study to develop a dynamic model toward successful international education. Five critical factors to build up successful international education were proposed namely: Momentum, Organizational structure, Operational arrangements, Marketing agenda, and Scholastic beneficiaries. These factors were the results of individual interviews with the superintendents of six Christian universities in Taiwan. These six universities are coincidentally of the most international universities in Taiwan. In addition, those five factors corresponded to a driving metaphor. Furthermore, five proposed hypotheses popped up in data collection, coding, and analysis which built up the theories of this research. Besides, findings also suggest to subsidize students to join international exchange program because students who experience outbound programs can also push faculties to approach international standard.

**Keywords:** Christian universities, internationalization, higher education, international education

### **1. Introduction**

To maintain the global leading position, former U.S. president Clinton announced his "President Clinton's memorandum on international education policy" in April 2000. In Europe, the European Union (EU) initiated a program named "European Regional Action Scheme for the Mobility of University Students" to encourage liberal mobility of human resources within the EU. Thus, the level of internationalization is perceived as an important competitive advantage to a country not only to a university.

International education has a very high value and its growth has been strong and consistent that makes some governments increasingly and directly involved in defining strategies for it. In addition to the potential economic returns to a country, international education will be increasingly and closely linked to policies associated with immigration and the labor market.

Currently, the pressure to compete internationally and to attain global recognition have become major benchmarks in evaluating university performance. The local literature was limited since the research on higher educational internationalization is still a new area in Taiwan. The research purpose of most research was to define a set of indicators to evaluate internationalization. However, lacking the weight of each indicator cannot help universities to allocate their resources and efforts well. In evaluating the international education, each indicator is more or less important but the effect of each indicator is definitely different. Aside from looking for the weight of

each category, a model to explain the development of international education was also urgently needed to explain the progress of it.

For the purpose of this study, we view internationalization of universities as a systemic and strategic process to campus and it is designed to provide international education to stakeholders of universities, particularly students. Thus the initial conceptualization of the concept of internationalization adapted [7] four-area model (students, scholars, curriculum, and knowledge) with the components: study abroad, international students, international faculty exchange, curriculum, and service projects as shown in Figure 1 below.

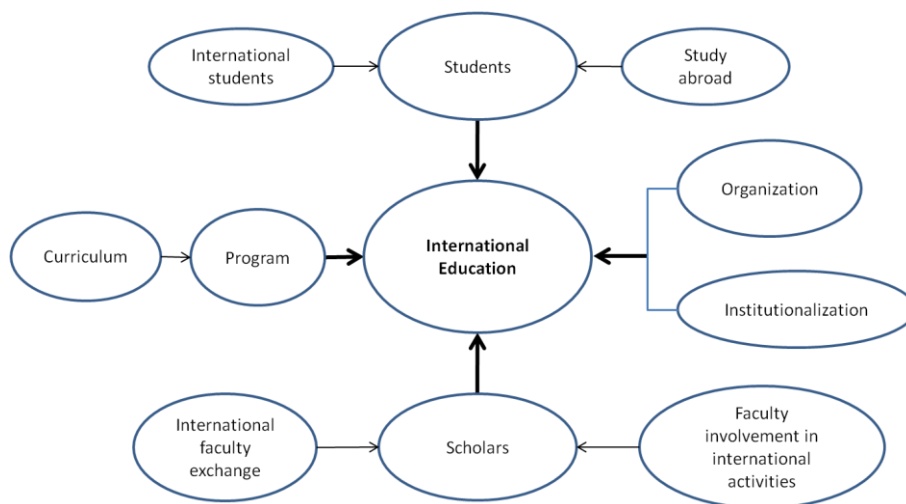


Figure 1 Initial Conceptual Framework of Internationalization

The purpose of this paper is to discuss what is happening in Taiwan's Christian universities in terms of internationalization. It endeavors further to provide a framework of international education addressing to the needs of universities. Specifically, it aims to answer the research questions:

1. What are the scale and scope of international education in Taiwan's Christian universities?
2. How ready are Taiwan's Christian universities for international education?
3. What are the most important factors of internationalization in Taiwan's Christian universities? What are the relationships between those factors?

The first question simply seeks to determine the range of international education in Taiwan's Christian universities. The range reflects the implementation conducted. The second question is to understand the advantages and barriers of implementation as well as the comparison between universities. The third question is the analysis and synthesis of the data to decide the important categories of international education of Taiwan's Christian universities. Through those categories, the researcher could merge them into some factors and furthermore find the relationships between those factors.

## 2. Review of Related Literature

Universities currently consider internationalization as a core of development; however, the related literature about universities in Taiwan is limited. At the moment of clamoring for internationalization, it is necessary to clarify the dimensions of international education; furthermore, to investigate the practice in all dimensions of



international education.

This review of related literature began with the relevant readings on the concept of globalization and internationalization. It then explored the rationale of internationalization of universities. Lastly, the components of international education were examined.

### *2.1 Globalization and Internationalization*

Globalization is a transnational mobility of technology, economy, knowledge, population, and thought. Its impact varied from country to country according to their history, tradition, and culture. Briefly summarized, globalization was trying to reach homogeneity; on the contrary, internationalization was to value diversity. [1] furthermore suggested that the current definitions for internationalization will forever be elusive as different countries and higher educational systems might actually engage the concept of internationalization in different ways and for different purposes. Giving clarification, he suggested to approach the discussion of internationalization with reference to specific measures to internationalization in the domains of policy, process, educational value and social change.

### *2.2 The Rationale of Internationalization of Higher Education*

From a historic viewpoint, the initial vision of a university was to develop universal knowledge. Scholars freely lectured in any place and learners came from everywhere. Except that, the trend of the times is also a reason of higher educational internationalization. Due to the realization of the importance of human resources to economic development, universities became an instrument of international economic and military competition. In particular, [8] categorized the rationales of educational internationalization into economic, political, academic, and social-cultural.

***Economic Rationales.*** Internationalization is important to prepare students for domestic and international careers, to generate income for the institution, and to contribute to economic development and competitiveness [4]. The public have indicated that they believe global knowledge and skills are keys to economic success.

***Political Rationales.*** In response to the recognition that knowledge of the world was necessary to develop foreign policy as well as to ensure national security [6], the international collaboration among universities has gained prominence as a means through which to keep relationship to address national security and foreign policy..

***Academic Rationales.*** In order to provide opportunities for students to develop these skills, school leaders needed the internationalization of curriculum, increased presence and integration of international students on campus, and increased support for study abroad programs. Through these academic initiatives, students (a) gain a knowledgeable and diversified worldview, (b) comprehend international dimensions of their major fields of study, (c) communicate effectively in another language and/or cross-culturally, and (d) exhibit cross-cultural sensitivity and adaptability [10]. These academic rationales for internationalizing colleges and universities were also echoed by the public.

***Socio-cultural Rationales.*** Through a commitment to internationalization, universities can support faculty research and consulting to aid developing countries

[12]. However, because of their intangible benefits, for instance, as the attainment of intercultural competence is difficult to measure [3], social and cultural rationales emerged as the least frequently cited motivating forces for internationalizing universities.

### 2.3 Dimensions of Educational Internationalization

Adapting and integrating the different models of [7][4][8][9], the following summary examined the components of educational internationalization delineated by the literature: students (study abroad, international students), scholars (faculty exchange, faculty involvement in activities), program (curriculum, research), and organization.

## 3. Data Collection and Data Analysis

In theorizing the findings of a qualitative case study, [5] drew a roadmap for building theories by using a combination of grounded theory and case study approach. Her framework (Table 1) was considered as the most suitable one for this research.

Table 1 Process of building theory from case study research [5]

Step	Activity
Getting started	Definition of research question Possibly a priori constructs Neither theory nor hypothesis
Selecting cases	Specific population Theoretical, not random, sampling
Crafting instruments and protocols	Multiple data collection methods Qualitative and quantitative data combined Multiple investigators
Entering the field	Overlap data collection and analysis, including field notes Flexible and opportunistic data collection methods
Analyzing data	Within-case analysis Cross-case pattern search using divergent techniques
Shaping hypotheses	Iterative tabulation of evidence for each construct Replication, not sampling, logic across cases Search evidence for “why” behind relationships
Enfolding literature	Comparison with conflicting literature Comparison with similar literature
Reaching closure	Theoretical saturation when possible

### *3.1 Getting started*

This study started with initial definitions of research questions. A priori specification of constructs in the initial framework was in place to help the data analysis and design of theory-building.

### *3.2 Selecting cases*

The main selection criterion for interviewees was that they should be the head administrators (superintendents) of international offices in Christian universities.

### *3.3 Crafting instruments and protocols*

Theory-building researchers typically combine multiple data collection methods. The rationale is to have triangulation from multiple data collection methods. Here the researcher used documentary and the interviews to collect data. The superintendent of the international office as all the interviewees represented the managerial level and they had a good overall view of the organization and its operations. All interviews were completed by semi-structured questionnaires focusing on the factors of the initial framework. This approach was selected in order to give respondents enough space to express their thinking and experiences.

### *3.4 Entering the field*

During the interviews, conversations were all recorded. The striking feature of research to build theory from case study is the frequent overlap of data analysis with data collection. The adjustment in this research was made to the data collection process. In the interviews, the researcher took advantage of special opportunities to ask additional questions when the interviewees raised a new or different operation in his/her school. It is legitimate to make adjustment to the data collection instrument; even alter or add data collection methods during a study is allowed to understand each case individually and in as much depth as is feasible [5].

### *3.5 Analyzing data*

With facts broken down into manageable pieces, the researcher sorted and sifted them, searching for types, classes, sequences, processes, patterns or wholes. Coding stage followed the qualitative data analysis steps designed by [11] which has been adopted in the National Centre for Social Research since 1980. Specifically, the data management included four steps: 1) Identifying initial themes, 2) Labeling the data, 3) Creating thematic charts to sort the data, and 4) Summarizing the data.

The themes of initial conceptual structure came from the preliminary conceptual framework; however, they have different uses. The preliminary framework in this research was used to collect data as well as bring the beginning of the initial conceptual structure; however, the initial conceptual structure was used to analyze data. After narrowly reviewing the documentary and interview data, the evolved dimension ion was tabled in the table 2.

Table 2 Excerpt of the Index for study of international education (theoretic dimension)

- 
- 2 Campus life/Co-curriculum
    - 2.3 Part-time work for international students
    - 2.4 Intercultural activities
  - 9 Government policy
    - 9.3 Evaluation indicators
    - 9.4 National brand marketing
- 

Having dimensioned an initial conceptual framework, the next task is to apply it to the raw data. Indexing involves reading each phrase, sentence and paragraph in fine detail and deciding 'what is this about?' in order to determine which part or parts of the index apply.

Table 3 Excerpt of the data indexing

Data	Indexing
Only students of American schools in east coast and west coast are interested in Chinese. Southeastern Asia is a big marketplace.	4.2 A/1.3 A/4.7 A
The number of international students weighs the highest.	9.3 A
We had a clear mission before to educate local students and help them to have a good job. However, the mission is not clear now	7.5 B/9.3 B
We still have to do something to strive for the funds from government.	7.3 B

Sorting the data by theme is to sort or order the data so that materials with similar content or properties are located together. In this step, the researcher used the thematic structure, within which data can be located and explored, by using a matrix format as is illustrated in Table 4.

Table 4 Excerpt of the thematic matrix

Marketing strategy of recruiting international students			
4.1 Segmentation	4.2 Targeting	4.4 Promotion	4.5 Pricing
Some students are neither good in Chinese nor English	All international students here are overseas Chinese.		Scholarship is effective to recruitment.
Recruit self-financed students		To attend international education fairs.	

The data analysis involves the systematic analysis of verbatim material within a thematic matrix. A series of thematic charts were then drawn up and data from each transcript was summarized under each topic to form the basis for detailed exploration of the charted data as was illustrated in Table 5.

Table 5 Excerpt of the thematic chart

1.3 Chinese language center
Before we recruit international students, we need some products to attract them such as Mandarin language center or Taiwanese culture integrated in subjects.
Open coding was the first step in the procedure of text interpretation. It refers to unpacking the content and nature of a particular phenomenon or theme. There are three key steps involved: detection, categorization, and classification.

Table 6 Excerpt of the thematic chart for descriptive analysis

Column A	Column B	Column C
Mutual recognition of the program	Elements	Categories
We value dual degree program because it concerns reciprocal benefit.	Considering the advantage of international program	Benefit of quality international linkages

The third step of data analysis stage is to dimension a coherent and logical structure within which to display the content of the descriptive elements.

Table 7 Excerpt of the emergent dimensions- emergence of “hybrid international curriculum”

Categories	Subcategories	Emergent Dimensions
Challenge to curriculum design	Creative curriculum	Hybrid curriculum
Cross-department curriculum	Flexible curriculum design	Hybrid curriculum
Word of mouth marketing in curriculum	Quality curriculum	Hybrid curriculum

#### 4. Conclusion

Five critical progressive factors for successful international education were concluded, namely: Momentum, Organizational structure, Operational arrangements, Marketing agenda, and Scholastic beneficiaries. The model is illustrated in Figure 2.

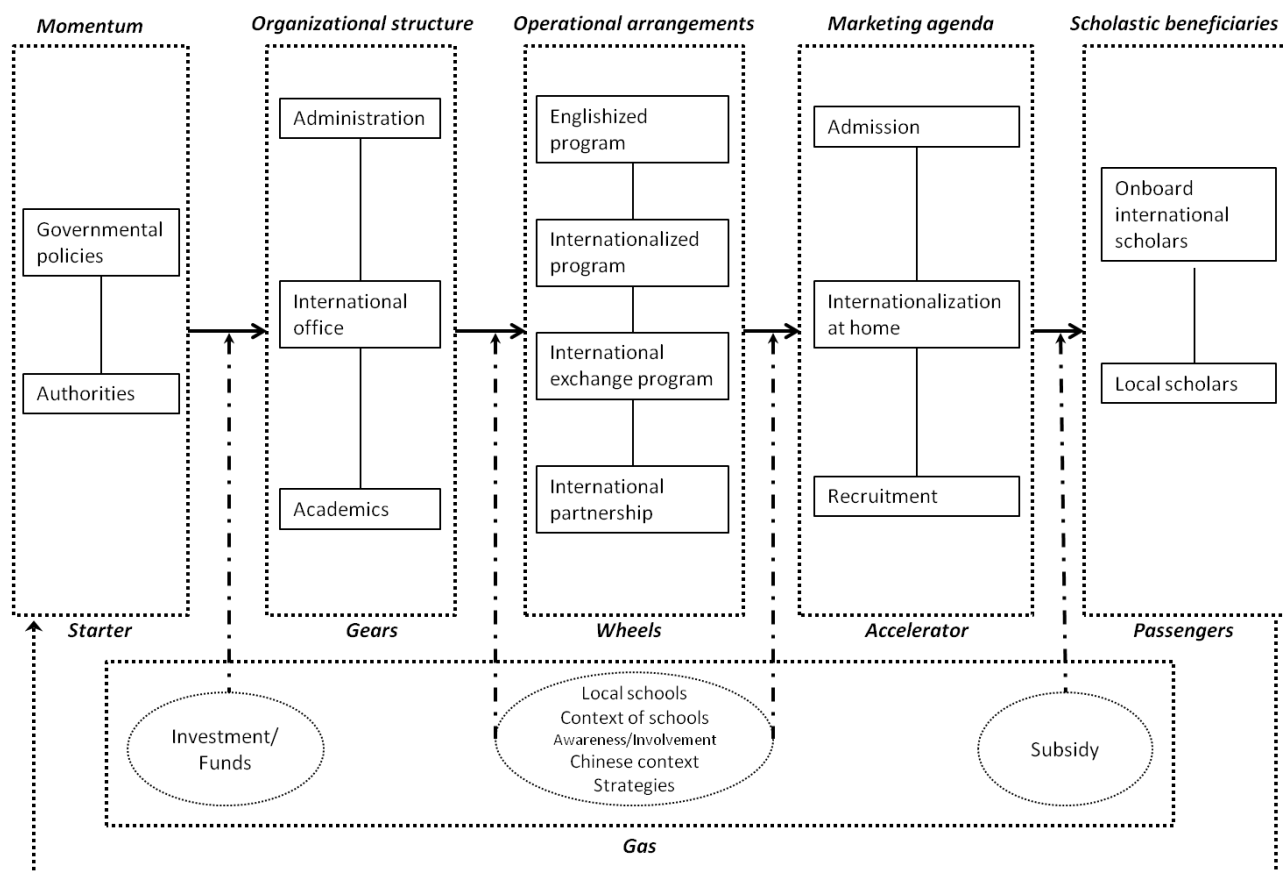


Figure 2 A Progressive Management Model of International Education

This model was named by the researcher as a “Progressive Management Model of International Education.” Moreover, these five critical progressive factors were also one-to-one correspondent to five principle component of a driving metaphor. The projection way is Momentum, Organizational structure, Operational arrangements, marketing agenda and Scholastic beneficiaries mapping on Starter, Gears, Wheels, Accelerator and Passengers individually.

#### 4.1 Shaping hypotheses

Simultaneously, five proposed hypotheses appeared in data collection, coding, and analysis corresponded the five critical progressive factors. The first hypothesis was that school leaders’ vision toward internationalization determined the progress of school’s international education; that is to say, leaders hold the key to success. Secondly, universities need to set up or adjust managerial functions of every single office to support the demands of international education. Thirdly, academics need to build teams to work for modulating international programs. Only creating integrative culture and language program can make international education distinguishing is the fourth hypothesis. Last but not least, all policies regarding international education need to consider the gains of students and faculties.

#### 4.2 Enfolding literature

The qualitative literature on this focal research subject of the internationalization of Christian universities is quite sparse. Here the results are to some extent comparable

with another Taiwan research of [2]: "Trends and Indicators of Taiwan's Higher Education Internationalization." They proposed 12 factors of Taiwan's higher education internationalization indicators. Those indicators are: institutional commitments, strategic planning, funding, institutional policy and guidelines, organizational infrastructure and resources, academic offerings and curriculum, internet presence, faculty and staff development, international students and scholars, study abroad, campus life, and performance evaluation and accountability. It supports the findings of this study. However, the research used fewer but higher level factors to comprise their research.

Furthermore, the researcher would like to emphasize that most of the interviewees in this study recommended that we should consider Chinese-culture centered curriculum in developing international education.

### 4.3 Implications

Findings of this research suggested a model of international education along with five hypotheses. It not only pointed out important factors in developing international education but also provided the causal relationship between those factors.

Data of the research showed that very few international students came from English countries. The proposed English campus neglects the needs of students from Japan, Korea, Vietnam, Indonesia, and Malaysia. Therefore, how to design a proper curriculum/program for these students is more important than to create English campus.

We all know that the top universities of the world provide scholarship to international students but the real factor which attracts international students is the quality of education. Hence, for the sake of sustainability, universities better develop their special expertise to attract either domestic or international students.

And then, in the end, subsidizing local students and faculties to international exchange program is more effective and efficient than providing scholarship to recruit international students. In the interviews, it was said that students who experienced outbound programs were more active and aggressive in all kinds of school activities. Their experience and attitude infected other students and changed the campus atmosphere. Their experience do not only benefit themselves but also push faculties to approach international standard.

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## **Online learning of Chinese language and culture to develop CFL children's creativity on using mobile application**

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### **Abstract**

This study was conducted to examine the impact of learning Chinese language and culture on Chinese as foreign language (CFL) children's creativity when using mobile applications (Apps) to introduce Chinese antiques. 79 American students ages 10 and 12 were randomly chosen and assigned to two experimental groups and one control group. Two different interventions were applied to the experimental groups A and B over 8 lessons by means of online learning. Control group C was not treated. The students in the group A learned Chinese language and culture by means of Apps, while the experimental group B did not use Apps for their Chinese lessons. A statistically significant difference was shown in the creativity of the experimental and control groups in support of experimental group F (1, 75) = 13.30, ( $p < .001$ ), thus demonstrating that the application of Apps to online CFL courses is potentially extremely beneficial for improving CFL children's creativity.

**Keywords:** CFL children's creativity, Chinese language and culture, mobile applications, online learning

### **1. Introduction**

Creativity is not limited to individuals or specific arts-based practices, nor is it disruptive play; however, it is hard to define. It has been depicted as being 'a state of mind in which all our intelligences are working together'...involving 'seeing, thinking, and innovating' [1] and as 'imaginative activity fashioned in order to produce outcomes that are both original and of value' [2]. It is true that creative children need substantial knowledge in a domain, but 'creativity and knowledge are two sides of the same psychological coin, not opposing forces' [3] and they imaginatively feed one another. Imaginative activity can be built by many structures; it represents a more diverse range of human functioning than linear, logical, and rational patterns of behavior [4]. It is fundamentally generative and may involve physical, social, reflective, musical, aural or visual thinking, including engaging children in activities that make new and uncommon associations with ideas, domains, processes and materials [5].

Bilingualism has dedicated one of the multiple aspects of creativity research to itself. Several researchers have undergone a quest for the relationship between creativity and bilingualism. In many studies, the common tendency was to stress the advantage of bilinguals over monolinguals when measuring creativity in performance [6]. Bilingualism has a positive influence on creativity, hypothesizing that the essential procedures and mechanisms of creativity are impacted by bilingual practice rather

than the unitary perception alone [7]. Many studies demonstrate that people who learn a second or foreign language are more creative and better at resolving composite problems than those who do not [8]. Studying a foreign language develops children's comprehension of how language itself works and enhances their capability to utilize language in the service of thinking and problem-solving [9]. The early language study shows that bilingual learners develop a greater ability for divergent thinking and figural creativity [10].

Chinese is regarded as being an essential foreign language education in America. The U.S. Department of education huge amount of funding to enhance global education and under-studied foreign languages [11]. Chinese is recognized as being one of the foreign languages and bilingual educational programs that are under-used as an alternative innovative public-school educational program in the States. A bilingual educational program is expected to build students' multi-linguistic, multi-cultural, creativity, and problem-solving ability to transform them into global citizens (National Research Council, 2007). However, most Chinese as a Foreign Language (CFL) studies merely focus on learners' language performance [12, 13], whereas this study seeks to investigate the impact of a CFL educational program on US children's creativity, and to determine the most effective teaching aids to motivate such creativity.

The best element to employ in distance education is the constituent of collaboration. When applied to teaching problem-solving, collaboration becomes more than the sum of its parts, i.e. its participants [14]. The 'fourth generation' of electronic learning environments, which, in our view, incorporates physical and digital, sedentary and nomadic, online and offline, and wireless [15]. The learning environment is important for learners (learning experience), teachers (practice), technology planning and sustainability, and in this context, the growing accessibility of handheld and wireless devices triggers thoughts of their function and benefit in the curriculum [16].

Mobile applications (Apps) have revolutionized the learning environment to become vibrant, connected, creative, flexible, collaborative and versatile. There has been global progress toward the integration of mobile technologies for teaching and learning [17, 18, 19]. Models of constructivist knowledge and discovery learning [20] provide a deep-rooted rationale for the emerging concept that mobile applications, which advance self-directed learning, could deepen and broaden the mastery of knowledge. However, mobile Apps are yet to be completely discovered by educational institutions [19].

In terms of 21st Century skills, creativity is one of essential elements of modern learning. Creativity plays a crucial role in individuals' approach to learning. A creative learning environment can motivate students to experiment and investigate different possible results, and what they explore themselves will be remembered and valued for years to come [3, 21]. Several researchers have described and clarified creativity and discussed approaches of to implementing it [3, 22, 23, 24, 25], while creativity was defined in a digital mobile setting as the capability to cultivate original, distinctive, useful thoughts and methods during informal experiments and use them to build knowledge and comprehension and sensibility to one's environment [22]. This way of exploring and learning in a mobile setting is able to motivate individuals and encourage them to take risks in the teaching and learning of creativity.

Therefore, this study aims to use mobile applications to introduce antiques in Chinese language and culture online learning programs to empower the creativity of 10-12-year-old American children. The following three research questions are formed to evoke an in-depth discussion:

- (1) Is CFL children's creativity enhanced by using Apps of introduce antiques in Chinese language and culture online programs?
- (2) Are there any differences between developing children's creativity by applying the Apps and not applying them in online Chinese language courses?
- (3) Are mobile device applications compatible with online learning to benefit the development of children's creativity?

## 2. Methods

This study was designed as a quasi-experimental, pre-test/-post-test control using a sample of whole groups. The study aimed to evaluate whether or not using Apps of introducing antiques in Chinese language and culture online programs can develop CFL children's creativity. The experiment took place in an urban public school in Southern California, U.S.A. The program was implemented over 8 lessons. American children ages 10-12 were randomly assigned to two types of experimental groups and one control group. The method is illustrated below.

### 2.4 Participants

The subjects in the study were 10-12-year-old children from three classes in an urban public elementary school in Southern California. These three classes were basically involved in the FLES (Foreign Language in Elementary School) program. According to the curriculum of the FLES program in this school, students have one lesson of Chinese language learning for four days per week. A total of 79 students participated in the research and were assigned to three classes (see Table 1); Group A in the intervention using the Apps in the online course of Chinese language and culture, Group B in the intervention of online course of Chinese language and culture without applying any Apps, and Group C following the original curriculum without any research intervention. All children's Chinese language proficiency was novice. Details of the participants are shown in Table 1.

Table 1 Objects of 79 students in an urban public elementary school in southern California, USA.

Group/Lesson type	Intervention		Control
	Online course with Apps	Online course	Non-intervention
A	25	-	-
B	-	28	-
C	-	-	26

### 2.5 Teaching material

The Apps of introducing antiques are 'Along the River During the Ching-Ming Festival (清明上河圖)' and 'Jadeite Cabbage (翠玉白菜)'. The first App 'Along the River During the Ching-Ming Festival', is a panoramic painting by the Song Dynasty artist, Zhang Zeduan (1085-1145). This portrays the daily life of people from the Song period in the capital, Bianjing, today's Kaifeng (National Palace Museum). The painting illustrates the type of transportation people used in ancient society. Thus, the 'transportation' is the topic in the App to conduct different types and functions of transportation between modern society. In the context of transportation, the format of the App consists of vocabulary, sentences, and assessment. The App provides the

function of a touch panel, which enables learners to complete the exercise using only one finger, and its design focuses on language drill.

However, the second App is 'Jadeite Cabbage', which is a piece of jadeite carved into the shape of a Chinese cabbage, with two insects, a locust and a katydid, hidden in the leaves. This sculpture is considered to be a symbol of female virtue with a white stalk signifying purity. The leaves represent abundance and fertility, and the locust and katydid denote children. Therefore, this was a gift to wish a couple numerous offspring. This work was originally placed in the Forbidden City's Yung-ho Palace, which was the residence of the Kuang-hsü Emperor's (r. 1875-1908) Consort, Chin [26]. The content of the App was to tell a story that a girl traveling to a museum sees the Jadeite Cabbage and suddenly becomes tiny to drop into a tunnel. Finally, she falls on the Jadeite Cabbage with her rabbit friend. This is followed by a section of assessment, which includes listening and determining the correct picture and matching and connecting it with the appropriate Chinese words.

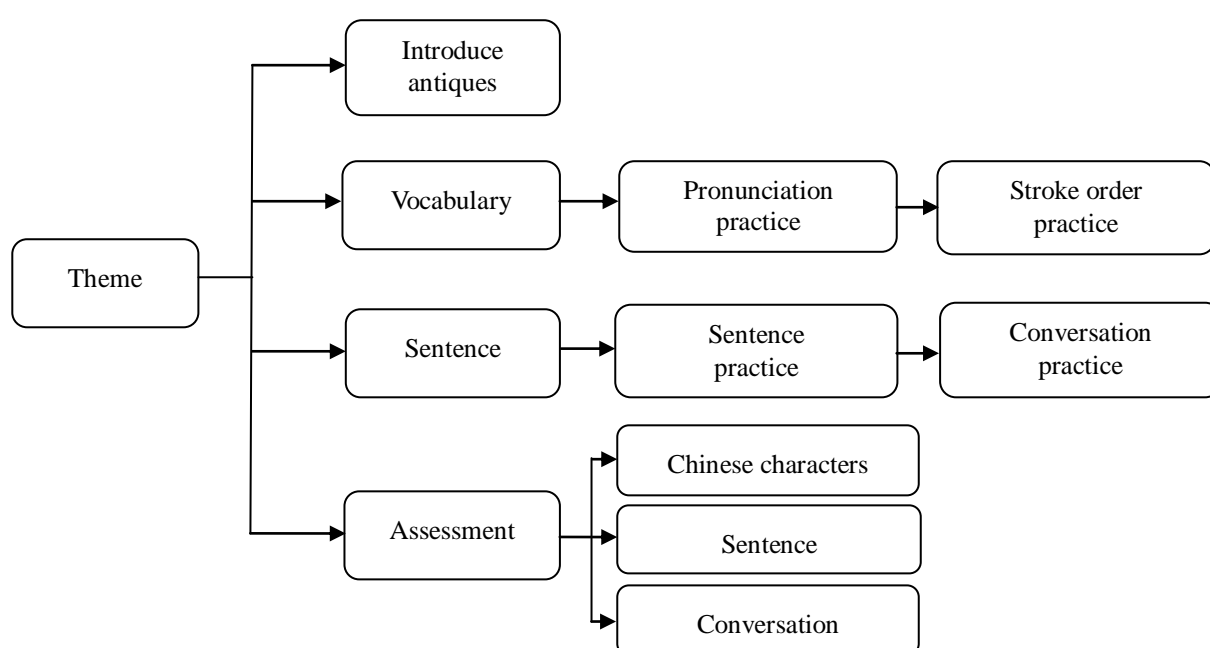


Figure 1 The structure of the Apps

## 2.6 Lesson of online Chinese Language and Culture course using the Apps

Table 1 shows the two types of online Chinese language and culture lessons Applied to Groups A and B. The intervention teaching was over 8 lessons. There were two lessons a week, each lasting for 45 minutes, designed for online distance learning. A Chinese language native-speaking teacher in Taiwan used an Adobe Connect classroom to conduct the online courses, while two Chinese language native-speaking teachers were assigned to the classroom at the school to assist the instruction and learning because of the size of the group. Group A accepted the online lessons with the Apps, while Group B took the online course without the Apps.

The lesson plan for the two groups was similar. The goal, target language and culture, and some activities were the same. The only different teaching Approach for Group A was to apply the Apps to the main material, so that the teacher had to instruct the content using the Apps. The students in Group A were also engaged in the language practice and assessment by the Apps in small groups. In addition, the teacher designed

other activities to develop the children's creativity, such as using drawing to conduct transportations, and then using the dialogue they had learned to introduce the name of each carriage. Although some of the teaching activities were the same for Groups A and B, Group B did not have the Apps intervention, and the teacher used Microsoft Office Word to construct the vocabulary, sentences, and dialogue of the target language instead. The episode of the online Chinese language and culture course is shown in Figure 2.



Figure 2 The episode of the online learning with the Apps.

## 2.7 Pre-test and Post-test

The Remote Associates Test (RAT) developed by Mednick in 1962 was applied as a pre-test and post-test to evaluate the CFL children's creativity. The RAT can measure creative thinking without involving the specific knowledge of any field. The RAT and RAT-like problems were used by some researchers for problem-solving and creative thought [27, 28, 29, 30, 31, 32, 33, 34]. The RAT consists of 30 items, each of which comprises three words which can be associated with a solution to a triad in a number of different ways [35].

The RAT-like includes a greater number of problems than in the original RAT, and is intended to provide participants with a more reliable undertaking, which is to produce words that are constantly relevant with the triad words in the same way [36]. Therefore, it consists of 144 problems with the solution associated with all three words in a triad by means of forming a compound word (or phrase) (e.g. COTTAGE/SWISS/CAKE form the compounds COTTAGE CHEESE, SWISS CHEESE, and CHEESE CAKE with the solution word CHEESE). 289 college students participated in the RAT-like, and the results indicated that the problems were simple in the sense that each student found a single-word, an explicit solution relevant to the three words in the problem, and in a sole reliable approach, such as a compound word or phrase, they were able to resolve the problem promptly and compactly.

However, the participants in the RAT-like [36] were college students, and the problems might be difficult and overwhelming much for children ages 10 and 12; therefore, a pilot test was implemented to evaluate some suitable problems of the

RAT-like for 10-12-year-old students. The pilot test consisted of three steps. Firstly, three English language teachers at the school selected 60 appropriate problems from the 144 items as the pilot test. Next, 30 American children ages 10 and 12 took the test. Finally, the three raters selected 40 problems which obtained the highest rate of correct responses from the pilot as the main test. 20 problems were randomly chosen from the selected 40 for the pre-test and post-test. The pre-test was conducted before the research treatment and the post-test was implemented after the intervention.

### 3. Results

The study sought to determine whether or not there were significant differences in creativity between the intervention and control group students. An analysis of covariance (ANCOVA) was applied to evaluate the data from the pre-test and post-test. A quantitatively significant difference was found in the creativity among the experimental and control groups in support of experimental group  $F(1, 75) = 13.30$ , ( $p < .001$ ) (see Tables 2 and 3). The post-test mean values were 13.8 for Group A, 8.25 for Group B, and 3.08 for Group C. Group A achieved a significantly higher score than the other two groups. Also, the results of Group B were significantly higher than those of Group C. However, the pre-test (covariate) was found to be a significant predictor of the post-test score ( $p = .05$ ). The mean value of the pre-test of Group A (11.28) was significantly greater than that of Group B (6.79), and Group C (3.77), but there was no significant difference between Group B and Group C.

Table 2 Mean and standard deviation of the pre-test and post-test in each group

Group	N	Pre-test		Post-test		Adjusted	
		Mean	SD	Mean	SD	Mean	SD
A	25	11.28	3.3	13.8	4.49	12.16	0.96
B	28	6.79	2.22	8.25	4.36	8.42	0.73
C	26	3.77	3.9	3.08	3.12	4.47	0.89

Table 3 Summary of differences in the pre-test and post-test

	SS	df	MS	F	$\eta^2$	Pairwise Comparisons
Covariance(pre-test)	1195.51	1	1195.51	80.37*	0.52	
Group	395.62	2	197.81	13.30**	0.26	1>2>3
Error	1115.58	75	14.87			
Total	2706.71	78				

\* $p < .05$ , \*\* $p < .01$

### 4. Discussion

The aim of this study was to determine whether or not the creativity of CFL students has shown any improvement by the Apps to introduce antiques on the online Chinese language and culture course over 8 lessons. This section refers to the research questions in order to develop an in-depth discussion in the light of the aforementioned results.

The first question was whether or not CFL children's creativity increased by applying the Apps to the online program of Chinese language and culture learning. The results illustrated that, although the overall score of creativity of Group A originally appeared to be the most significant among the three groups, Group A still retained a significantly high amount of creativity. This demonstrated that the level of high creativity of CFL children was sustained by gradually increasing the use of the Apps

in the online course with a diverse teaching activities design. Therefore, mobile applications are able to support learners' participation in creative, collaborative, critical, and communicative learning activities. However, substantial differences were found in the way in which teachers and learners used digital and mobile applications to maintain these real-world exercises [37].

The second question was whether or not there were any differences between enhancing children's creativity by applying the Apps and not applying them to the online Chinese language and culture program. Before the intervention, Group A showed the highest overall score of creativity of the three groups, but Group B did not produce significantly better results than Group C in the pre-test. However, after the experiment, although Group A still demonstrated the greatest performance of creativity, the creativity of Group B had also significantly improved compared to that of Group C. Therefore, it can be said that, while both mobile applications and distance learning motivate CFL children's creativity, there is no evidence of any difference between the Apps and non-Apps intervention in the online Chinese language and culture program. Generally, many current researchers maintain that instructional technologies provide substantial advantages and affordances related to growing and supporting creative, collaborative, critical, and communicative abilities within learning surroundings [37, 38, 39, 40, 41].

The third question was whether or not mobile device applications are compatible with online learning to assist the growth of children's creativity. The creativity level of Group A was initially the greatest among the three groups, and after applying the Apps to the online CFL course, Group A students presented the most significant premier overall score of the three groups This illustrates that mobile device applications can work effectively with online learning courses as long as the online instructional technology (i.e. ADOBE COONNECT classroom) provides a shared function of mobile device application and the good connection to the internet.

## **5. Implications**

Recent relevant research has generally excluded similar experimental studies that have used Apps with online distance learning to develop CFL learners' creativity. Therefore, this study provides valuable information to develop the body of knowledge in the field of computer applied language learning, specifically by increasing the perspective of the relationship between using Apps with online instructional technology and creativity. Thus, this study is expected to contribute to the enhancement of educational systems beyond Chinese language teaching, by enabling CFL or CSL instructors and administrators to develop a syllabus that includes constituents of modern technology and creativity.

## **6. Conclusion**

The major findings of this study demonstrated that students in the experimental groups experienced a significant improvement in their post-test creativity scores compared to those in the control group. Therefore, it can be concluded that the creativity of CFL children ages 10 and 12 years can be increasingly developed by using the Apps in the online Chinese Language and Culture programs or without the engagement of the Apps in a short period of 8 lessons. Also, the outcome illustrates that applying the Apps is somehow able to better enhance CFL students' creativity. Therefore, applying the Apps to an online CFL course is a potential utility tool for improving CFL children's creativity.

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## **An Investigation into the Determinant Causes of Stress and Stress Level of Chinese College Students in Bangkok Thailand**

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### **Abstract**

A growing body of literature on par with evidence specifically suggests that stress, one modern epidemic and commonly academic performance-related illness among all mental health problems, serves to potentially pose a challenge or threat against human. Additionally, extensive research has indicated that stress among students in higher education is prevalingly increasing. With this in mind, the present study sets out to investigate the level of stress among Bangkok-based Chinese college students based on the impact of demographic variables such as gender, age, academic level, family background/region, along with finding out the potential commonly-determinant causes of stress. The sample comprises of 758 Chinese college students among different professions, including International Business (69.26%), Art Design (10.82%), Tourism Management (10.69%) and Finance Administration (9.23%) in Bangkok Thailand. A mixed-methods survey design was undertaken while semi-structured interviews being conducted for data collection and integration both quantitatively and qualitatively. The research results indicated that Chinese college students showed considerably high level of stress ( $\bar{X}=3.9$ ) toward studying abroad in Bangkok Thailand. Besides, the primary determent causes of stress came from several aspects containing food ( $\bar{X}=4.57$ ), academic matters ( $\bar{X}=4.36$ ), culture issues ( $\bar{X}=3.49$ ), education-related administration management ( $\bar{X}=3.24$ ). Taken together, this current study reflects a general and profound understanding of stress level of Chinese college students studying abroad in Thailand. Equally important, the research results serve to establish an analytical framework for the exploration of the external internal stress-causing factors among Chinese college students.

**Keywords:** Stress level, Chinese college students, Stressor

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## **1. Introduction**

A growing body of literature on par with evidence specifically suggests that stress serves to potentially pose a challenge or threat against human behavior [1]. Feeling of stress, if generally described, is perceived as one modern epidemic and commonly academic performance-related illness among all mental health problems [2]. Over the past few decades, it has appeared to be becoming extremely difficult to ignore the existence of strong relationship between psychology and education. The issue of stress has received considerable critical attentions in academic domain. In addition, extensive research has indicated that stress among students in higher education is prevalingly increasing. Several attempts have been made to undertake extensive research into students' academic stress and educational life in an exotic culture [3]. To be specific, students suffer from emotional stress when embracing the pursuit of whole new world of further professional education overseas. Despite the significance of psychological stress, there remains a paucity of reliable evidence on Chinese college students' stress conditions in ASEAN countries, particularly in Bangkok, Thailand as taking the present research as a case study.

Thus, the current research critically investigates how much stress Chinese college students suffer and the determinant causes of stress when pursuing their further education in Bangkok. Two primary objectives of this study are: 1) to explore the pattern of stress level among Chinese college students in Bangkok; 2) to discover the determinant factors or stimuli to cause stress. In view of the preceding research objectives, the specific research questions which this study addressed aimed to provide the answers to the following questions: 1) what the level of stress among Chinese college students in Bangkok is; 2) what are the commonly determinant causes of stress to be recognized among Chinese college students in Bangkok. Our main reason for choosing this research topic is personal interest and experience of work with casual consultation held with Chinese college students that has driven this research project. This project sets out to provide an exciting opportunity to advance our knowledge of Chinese college students' mental stress condition when studying abroad in Bangkok Thailand. Meanwhile, this investigation substantially enhances our understanding of certain direct stressors to impact their university life in Bangkok Thailand. Theoretically, the anticipated results would be critically important in laying the groundwork on par with framework for understanding, to certain extent, Chinese college students' stress level and the causes of stress in their pursuit of further education in Bangkok Thailand. Concerning practicality perspective, the results would establish a substantially analytical framework, serving as the decisive role of a facilitator to help Chinese college students of problems with mental stress for further professional consultation in order to help them properly cope with emotional stress level for better life in Thailand academically, socially and psychologically.

## **2. Literature Review**

Research into stress has a long history. What we exactly know about stress is largely based upon empirical studies that investigate that how emotional issues experienced and suffered in the academic environment are known to be associated with important outcomes such as academic adaptation and success, and also to the student health and well-being. However, factor such as stress can lead to poor academic performance around daily life especially in a foreign setting. Thus far, a number of previous studies have investigated the effects of stress on Chinese college students' pursuit of higher education throughout western and Asian countries [4]. On the other hand, Hobfoll has provided a comprehensive definition of stress as "a reaction to the environment, in which there is either a) the threat of a net loss of resources, b) the net loss of resources, or c) the lack of resource gain following the investment of resources". Put it in

another way, resources could potentially refer to or serve as a means of self-assisting or helping individuals to fulfill their goals and to take control over their environment. For those Chinese college students in pursuit of their higher education abroad in an exotic culture, their goals are meant to be completing their academic missions while seizing their diploma along with responding to the culture diversity to “meet their needs” both “socially” and “biologically” [6].

In Shahmohammadi's [7] seminal article concerning stress, alternatively stated, he identifies that stress is perceived as “a common aspect of many different emotions like anxiety, frustration, anger, worry, fear, sadness and despair”. Providing that those Chinese college students come to be after their high education abroad, they would substantially embrace those abovementioned psychological stress-associated conditions. Exploring their stress level and related determinant causes of stress as the absolute top priority would critically open the door to other psychological factors posing a significant effect on their life abroad socially and academically. Identically speaking, it is widely acknowledged that the causes of stress are as known as stressors coming in varying sources “internally” and “externally” or existing in ways of being “physical” or “emotional” [8]. “Exogenous” or “external factors”, referring to stress classification, stems from outside and individual without being able to take control of it, such as the effect of external life environment, culture shock, etc. In the same way, “endogenous” or “internal factors” linked to personal greatly sensitive to the feeling of “inferiority, inadequacy and uncertainty” [9]. The current study underscores the principal investigation into the sources of stressors affecting Chinese college students' mental health during the process of their pursuit of higher education under an exotic context.

### **3. Methods**

A mixed-methods survey design was undertaken to grasp a detailed understanding of Chinese college students' stress level along with exploring the significantly determinant causes of stress. The semi-structured interviews and self-administered questionnaire was conducted for collection and integration of both quantitative and qualitative data collection. The semi-structured interview questions consisted of a series of questions including demographic information for gathering participants' personal biodata including age, gender, academic level, academic profession/major, study-abroad experiences, etc.; meanwhile, a series of stress-related questions were followed up. At the same time, participants were requested to scale their own stressors scoring from 1 to 5. The target participants for this present research, adopting a convenience sampling technique, were a total of 758 Chinese college students (N=758) studying abroad in Bangkok Thailand (Male: N=438, 58%; Female: N=320, 42%), aging majoring from 18-22 years old (N=650, 85%), majoring respectively in International Business (N=525, 69.26%), Art Design (N=82, 10.82%), Tourism Management (N=81, 10.69%), and Finance Administration (N=70, 9.23%). A summary of participants' demographic information is displayed in Table of descriptive analysis below.

Table 1 Descriptive Analysis Participants' Demographic Information

Participants	Total	758	100%
Gender	Male	438	58.00%
	Female	320	42.22%
Profession (Undergraduate)	IB	525	69.26%
	FA	70	9.23%
	TM	81	10.69%
	AD	82	10.82%
Age	18-22	650	85.75%
	Under 18	83	10.95%
	Above 23	25	3.3%

(General Education, DPU-CAIC, Jan. 9, 2019)

#### 4. Findings

The first research question probed into Chinese college students' stress level. To answer the question, the finding pointed out that the stress level among the Chinese college student participants' responses was found considerably high ( $\bar{X}=3.9$ ). The mean scores were collected and averaged from four thematic-coding aspects, containing *food* ( $\bar{X}=4.57$ ), *academic I—personal* ( $\bar{X}=4.36$ ), *culture* ( $\bar{X}=3.49$ ), and *academic II—administrative* ( $\bar{X}=3.24$ ) as indicated in the following Table 2.

Table 2 Summary of Chinese College Students' Stress Level

Thematic Coding	Frequency	Mean
Food	N=342	4.57
Academic I—Personal	N=242	4.36
Culture	N=95	3.49
Academic II—Administrative	N=80	3.24
	Average	3.9

(General Education, DPU-CAIC, Jan. 9, 2019)

The second research question targeted on discovering the determinant causes of stress to be recognized among Chinese college students in Bangkok. The research finding confirmed that the most determinant causes of stress came from shortage of *Chinese food* ( $\bar{X}=4.57$ ,  $N=342$ , 45.12%) when studying abroad in Bangkok Thailand. Besides, the finding supported *academic I—personal* ( $\bar{X}=4.36$ ,  $N=242$ , 31.93%) as the second determinant causes of stress among responses from Chinese college student participants. Last but not least, based on the results, the least determinant stressor was reported to be two aspects—*culture* ( $\bar{X}=3.31$ ,  $N=95$ , 12.53%) and *academic II—administrative* ( $\bar{X}=3.24$ ,  $N=80$ , 10.52%). The following table summarized the findings of research question 2.

Table 3 Summary of Chinese College Students' Determinant Causes of Stress

Thematic Coding	Frequency (throughout interview)	Stress Level
<b>A. Food</b>		
1. Very little China Food	162	4.72
2. Few China-style Food Choices	110	4.51
3. Limited Chinese Cuisine	70	4.48
Total	342 (45.12%)	4.57
<b>B. Academy I—Personal</b>		
1. Overload academic work or assignment	129	4.79
2. Post-graduation employment	51	4.20
3. Unclear Study Goal & Profession Direction	40	4.33
4. Issues on graduation and academic diploma	22	4.13
Total	242 (31.93%)	4.36
<b>C. Culture</b>		
1. Social Problem with Thai-Chi Lang. Comm.	45	3.67
2. Personal Annoyance Problem VISA	33	3.48
3. Personal Reasons/ Cultural Dissimilarity	17	3.31
Total	95 (12.53%)	3.49
<b>D. Academy II—Administrative</b>		
1. University Low VISA Process/Work Efficiency	54	3.25
2. DPU Facility (Dormitory Management)	26	3.23
Total	80 (10.52%)	3.24

(General Education, DPU-CAIC, Jan. 9, 2019)

## 5. Discussion & Conclusion

This study solidly confirms that the determinant causes of stress is associated with “Exogenous” or “external factors” [10]. A possible explanation for this might be that Chinese college students embrace a “distress stage” [11] of culture shock toward Thai-related matters, such as Thai food or the Thai’s ways or style to deal with matters socially and academically in comparison with Chinese culture. At this point, they would prefer to be self-satisfied with China-style cuisine, but, unfortunately, Chinese restaurant or Chinese food is not the leading or main stream throughout the Thais-dominated university in Bangkok Thailand, which would lead to the factor stressing them out. There are, however, other possible explanations. We might need to take from Chinese college students’ individual preference for the taste of Chinese food exclusively. On the other hand, Chinese college students’ attitude or motivation toward their study and pursuit of education abroad in Bangkok Thailand. “Self-doubt” is considered as a significant issue as well as “the construct in social and personality psychology” [12]. If Chinese college students appear to be confused with their own future direction or career path, it is likely to be the sources of stress to make them mentally collapsed. After all, this current research is unable to offer an affirmative answer to the question—Chinese college students’ willingness to study in Thailand whether based on family’s decision as an interfering factor? In general, this research has already extended our knowledge of how stress would potentially play an extremely significant role interfering the process of Chinese college students’ pursuit of education abroad in Bangkok Thailand. The contribution of this study would have been offering some further insight into Chinese college students learning behavior under high level of stress while being deemed as a solid development of stress-relevant framework for future consultation use (Student Consultation Service, DPU-CAIC) in order to assist Chinese college students who, study in Bangkok Thailand in managing their emotional stress problems for better positive and healthy

life in Thailand.

## 6. Future research

Taken together, the present findings contribute to the field's understanding of the significant role of stressors occurring to Chinese college students' studying abroad in Bangkok Thailand. From the findings of present study, this research has thrown up many questions in need of further investigation and it is recommended that further research be undertaken as follows: 1) How Much Stress Chinese College Students in Taiwan Suffer and the Determinant Causes of Stress; 2) How Much Stress Chinese College Teachers in Bangkok Thailand and the Determinant Causes of Stress; 3) A Cross-Culture Analysis of Stress Conditions among Chinese College Students, Thai College Students and Taiwanese Students.

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## **The Correlational Study of Chinese Adult Learners' Collocation Knowledge in Their English Business Writing Ability**

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### **Abstract**

Researchers of ESL/EFL writing, to reach purpose of effective written communication, suggests that collocation ability would likely affect EFL learners' writing performance. However, research that has empirically documented the link among learners' collocation knowledge and business writing ability remains scant. Thus, the purposes of this study were as follows: 1) to identify the erroneous subtypes of lexical collocation in English business-letter writing, 2) to explore the correlation between EFL Chinese adult learners' lexical collocation knowledge and their English business-letter writing ability. Collocation error patterns in business letters were analyzed and needs analysis was conducted and used to conduct the course. A group of 30 EFL Chinese adult learners in Taiwan participated in the 16 week-English business writing course. Pearson correlation was employed to indicate correlation between writing pre/posttests and collocation exercises. T-test and effect-size correlation were calculated to report effects of the integrated instruction on business writing ability. The qualitative analysis of interview transcripts, researcher's observational notes, and learners' learning logs was conducted through the content analysis approach. Results of this study showed: 1) verb-noun and adjective-noun were common erroneous subtypes of lexical collocation in business letters; 2) a moderate correlation was found between collocation knowledge and English business-letter writing ability. The results of study, to some extent, provide some evidence in explaining the reciprocal relationship among business genre, collocation competence and business writing ability, as well as to offer writing teachers a better understanding of how genre of business communication and collocation knowledge pedagogically yields a concrete solution to EFL students' problem with business writing.

**Keywords:** EFL Chinese adult learners, Collocation knowledge, Business Writing Ability

## **1. Introduction**

Over the past few decades, research pertaining to the correlation between learners' FL vocabulary development and the quality of writing has been extensively undertaken [1] [2] [3]. Vocabulary knowledge of learners, by definition, involves with learners' understanding of "multi-componential, consisting of cognizance of a word's spelling, meanings, register, grammatical, morphological properties, and collocations" [4] [5]. Learners in mastery of the usage of a word may not only require knowing the meaning of the word by definition but also getting to understand other types of words frequently associated with together—" collocational knowledge" or " collocability" [6]. Simply stated, collocational ability is viewed as core part of language use that serves to distinguish the language ability difference between NS and NNS [7] [8] [9] [10] [11]. Still, questions have been raised about whether or not EFL learners would possess the native-like collocational knowledge and ability to produce a fine written production for mutual effective communication particularly in the workplace. On the other hand, a well-organized-and-constructed content of English business-letter writing is thought of as the other integral component in the teaching of L2 writing. A recent study by Rahman [12] reports that "the exhibited difficulties" for L2 writers in expressing themselves clearly in writing include "organizing the structure properly depending on the topic or the purpose of writing, integrating ideas, and choosing appropriate vocabulary". In view of this situation, a proper solution to pedagogically facilitate students' formulating the concept of how to appropriately outline and structure their written production for effective communication lies in the understanding of generic awareness. Derewianka [13] suggests that genre as the "schematic structure" of a text assists in serving the purpose of the text. If student writers realize specific genre for English business-letter writing as the heart of their comprehending of "the starting point for modeling" [14], they would presumably become aware of how to standardize the organization of paragraphs, cohesion of the sentences in order to shape the entire written texts to the level of completeness and effectiveness.

A fairly large body of literature exists on the teaching and using of collocations both on receptive (reading and listening skills) and productive language (speaking and writing skill). To date, research which has empirically documented the link between collocation instruction and EFL learners' business-letter writing ability in terms of the area of ESP/EOP remains scant. As mentioned above, teaching collocation to EFL learners would help engender and construct their collocation knowledge, which may also benefit their language ability toward native-like fluency. To this end, the present study was an attempt to supplement the findings of those earlier collocation-related studies, particularly in exploring the effects of the integration of collocation and genre-based instruction on EFL learners' English business-letter writing ability as well as the correlation between collocation knowledge and business-letter writing ability. It differs from previous studies in the way subjects' different major and the use of English for specific/occupational purpose (ESP/EOP). In lights of these concerns, this research had two objectives: 1) to identify the erroneous subtypes of lexical collocation in English business-letter writing; 2) to explore the correlation between EFL adult learners' lexical collocation knowledge and their English business-letter writing ability.

## 2. Literature Review

### 2.1 Notions of collocation

The concept of the term collocations, if initially speaking, was defined by Palmer [15] as that “a string of words which must or should be learned, or is best or most conveniently learned as an integral whole or independent entity, rather than by the process of piecing together their component parts.” Nevertheless, Firth [16] was the researcher as well as a linguist who made an outstanding contribution toward the scope of collocations, especially in linguistic field. He firstly suggested that collocation would be taken as part of the meaning of a word. Lexical meaning should have to “be originated from its co-occurrence with other lexemes in text” and those words would be known by “the company words keep together” (p.196). For instance, the meaning of “night”, according to Firth, should be looked into its collocability connected with “dark”. On the other hand, collocations, standing on the viewpoints of McIntosh et al. [17], are “the way words combined in a language to produce natural-sounding speech and writing” by definition. Similarly, some scholars also regarded collocation as “a habitual association of words” [18] [19] and contended that collocations, if looking into the perspectives of native speakers, are native speakers' experiences of solid and frequent use of the expressions under the mutually-given occasion for communication. Therefore, a word as well as a phrase, in a way, may be treated as collocation when being regularly and frequently used with other word or phrase participated. Furthermore, researchers, to certain extent, share the same agreement of the definitions of collocations, but some, with an attempt to draw a line between collocations and other types of word combinations, also go along with their self-refined definitions for their research and pedagogical objectives. Nesselhauf [20], taken as one of the case in particular, expanded a notion “restricted sense” (p. 225), which served to merely match for “verb-noun combinations” along with two criteria as follows:

- Criterion 1:*        *The sense of the verb/noun is so specific that it only allows its combination with a small set of nouns/verbs*
- Criterion 2)*      *The verb/noun cannot be used in this sense with all nouns/verbs that are syntactically and semantically possible. A verb-noun combination is classified as a collocation if either criterion or both apply to the verb (or noun) of the combination.*

Another similar case occurred to Hsu's [21] empirical study while eight characteristics to modify the definitions of collocation. Hsu [21] proclaimed that “collocations are combinations of words which are”: (1) more or less frequently co-occur; (2) grammatically structured; (3) closely adjacent; (4) more or less grammatically fixed in forms allowing changes in their part of speech or word order; (5) more or less lexically fixed permitting substitution in at least one of their components; (6) more or less unique in meanings; (7) more transparent than idioms and can be understood in the basis of the literal meaning of their components, and (8) more or less conventionalized in prefabricated combinations of words. Though researchers have individually put forward their standpoints upon collocation, a systematic criterion to explicitly clarify the distinctions between collocation and idiom would still remain significantly crucial.

### 2.2 Genre approach applied to ESP classroom

Recently, genre approach has been suggested and identified as major contributing factor positively precipitated the teaching of writing class especially in ESP. Bhatia [22] highlights genre-analysis approach is pedagogically adopted as “grammatical-rhetorical” or “interactional analysis” tool, which, similarly, can be termed as “writer’s discourse” and “reader’s discourse” reciprocally fetching the thoughts and ideas in between for purposeful communication (p.8). As genre approach used to teach authentic writing for workplace, ESP instructors are able to provide learners with the groundwork on part with notion of “socio-cultural, institutional and organizational constraints and expectations that shape the written genre in particular settings, particularly in the case of highly specific academic and professional genre” [22]. Identically, other ESP researchers [23] maintain that learners are equipped with the awareness and understanding about the objectives of communication and linguistic characteristics of written text to lay down on professional discourses through genre-analysis approach. For this reason, genre approach tends to serve as a piece of instructional apparatus to guide students in mastery of standard and formal writing for specific social context such as English for professional business communication and English for other workplace communications.

### *2.3 Development of collocation knowledge*

Aghbar and Tang [24] undertook a study in measurement of collocation acquisition. The results indicated that several verbs, including take, get, and find as the most commonly-used words, appeared less challenging to low proficiency learners. For that reason, those common verbs in collocations would not be regarded as the norm as well as the representative to distinguish from low or high collocation proficiency. Meanwhile, in Cowie and Howarth's [25] study employing lexical collocation V-N combination to look into language proficiency in writing between native-speaker and nonnative-speaker learners. Interestingly, the results showed that some collocation use overlapped between native-speaker learners with low proficiency and nonnative-speaker learners with higher proficiency. Plus, Gitsaki [26] stressed that the acquisition of collocations takes place in a developmental process, which is detectable, describable, and analyzable; most importantly, collocation patterns would become stabilized in the development of collocation knowledge while these patterns could be sensed at both across and within levels of language proficiency. In her study, the participants of the study were 275 Greek students separated into three different groups based on their levels of language proficiency. Theoretically, the development of L2 collocation knowledge, to EFL/ESL learners, requires much of time to take root in learners’ mental lexicon. Learners themselves still need to confront and deal with the influence of L1 (native language/mother tongue) language transfer, which is a big challenge to accept and respond. More and more researchers and language teachers have advocated the significance of collocations in language development and language teaching. Plus, recent developments in foreign language vocabulary have empirically heightened the need for teaching collocations. From those abovementioned literature reviews, we come to realize that teaching collocation in ESL/EFL classroom can not only help foster learners language ability and vocabulary acquisition but also facilitate L2 learning in a much easier way. With this goal and idea in mind, that what may challenge language teachers the most, if pragmatically speaking, lies in how to teach collocations at class in a more effective way, how to help learners enrich and consolidate their specialized knowledge in collocation, and how to assist them in taking up the effect intake of collocation inputs and have them

internalized as part of long-term memory in mental lexicon. These issues sound cardinally important and worth being examined.

#### *2.4 Collocation knowledge and language proficiency*

Zhang [27] pointed out that blank-filling test design served to summon students' knowledge of collocation in terms of its form and meaning while judgmental task, at the same time, functioned to measure students' knowledge of collocations embedded within the contexts. Later, the writing task was designed with intention to assess the quality of students' writing and their use of collocations. The results of this research, with no expected surprised, illustrated that both native and non-native good writers excelled the poor ones in using collocation. Also, native writers possessed better command in collocation used for writing than non-native ones. Last but not least, a positive correlation emerged between learners' collocation knowledge and writing quality. Similarly, Al-Zahrani [28] conducted a research on investigating four different levels of Saudi EFL students' lexical collocation knowledge, and the relationship between collocation knowledge and language proficiency. In this study, participants were 81 Saudi EFL students enrolling in English Department. The results indicated that there was a significant difference in students' lexical collocation knowledge based on four different academic levels (mean scores on collocation tests: freshmen 64.71%; sophomores 70.25%; juniors 73.20% and senior 84.85%). Also, a strong correlation was found between students' lexical collocation knowledge and their general language proficiency.

### **3. Methods**

#### *3.1 Participants*

The target participants for this present research were a mixed group of 30 on-the-job adult students, ranging in age from 26 to 47 year and enrolling at a 16-week-long English business writing course of university-level evening-program, the Department of Business Management and Administration at University of Science and Technology in Taiwan. On their English proficiency, all of the students were perceived as intermediate level based on general description of official TOEIC test score due to their average TOEIC scores reaching to 524 as entrance requirement of the department. A convenience sampling technique was carried out to select the participants for this study. Only BMA-majored students completely participated and received the treatment in this experimental study.

#### *3.2 Research Instruments*

The data-collecting instrumentations adopted for this study included pre-study semi-structured interview, English business-letter writing pretest, posttest, scoring rubrics for writing assessment, collocation exercises. A one-on-one 10-minute-long semi-structured (or focused) interview method was conducted with five employers (stakeholders) and fifteen employees at pre-study stage as needs analysis was employed. The purpose of pre-study interview was to identify the problems with business-letter writing in terms of business-letter format (genre of business communication), and word usage (collocation knowledge) in business-letters. The

researcher collected 30 previous old emails completed by same group of 15 participants in the workplace for review using a content analysis approach. The errors in collocation spotted in each old business letter were pointed out based on collocationally-precise word usage indicated in English collocation dictionary as comparison. In addition, the scoring rubric for writing assessment designed in present research served as rating standard for the measurement of students' English business-letter writing ability. It contained a range of six different levels by description of writing ability from Level 6 to Level 1. Meanwhile, several categories were adopted to meet the scoring criteria for the descriptions of writing ability at different level, including content (objectives), organization (genres/moves), syntactic structure (fluency), vocabulary/phrases, collocation, and mechanics. Students' performance on their English business-letter writing and the using of collocation were measured by the scoring rubric for writing assessment. Then, English business-letter writing pretest, regarded as diagnostic test, was designed and administered to all participants at the first week of semester. The test in terms of its purpose was to establish an early experimental diagnosis of students' English business-letter writing ability and their collocation knowledge. In addition, there was only one writing task in pretest with one business-related topic provided for test-takers to complete. Concerning posttest, on the other hand, it was still one writing task with the same topic presented as the one in pretest but in dissimilar way of description. The English business-letter writing posttest was designed as achievement test with the aim to measure students' English business-letter writing ability and their collocation knowledge following the integrated instruction as treatment throughout the entire process of experimental research. It was administered in the final week of semester. Lastly, the collocation exercises were standardized measurement designed to test EFL adult learners' collocation ability before and after the experiment. Two sets of collocation exercises were designed to go with writing pretest (CE1) and post-study (CE2). The collocation exercises consisted of 30 multiple-choice items and were divided into two parts individually focusing on testing students' lexical collocation knowledge of verb-noun and adjective-noun patterns. Each pattern covered 15 test items, and content of collocation exercise bound up with business English and English collocation expression in business-related workplace.

### *3.3 Research procedures*

The research project was conducted in two phases: course development (needs analysis), implementation of instruction (pre-test, the receipt of treatment, post-test, and post-study interview). Needs analysis stage set out to plan and design English business writing course with the integrated instruction undertaken. Pre-test stage targeted to carry out a general evaluation over participants' collocation knowledge and English writing ability prior to the treatment. Then, participants were introduced to genre for business communication (genre-based instruction), English collocation for business (collocation-based instruction), and this integrated instruction lasted about 12-week duration. After that, a collocation exercise and post-test were carried out to re-assess learners' collocation knowledge and English business-letter writing ability following treatment.

## **4. Findings**

In response to Question 1, the results indicated that verb-noun and adjective-noun

were the major two erroneous subtypes of lexical collocation found in English business-letter writing. There were totally 52 verb-noun (39)/adjective-noun (13) collocation errors found throughout all old email letters. Verb-noun error accounted for 75.0% (39/52) while 25% (13/52) of adjective-noun collocation error was found. The error percentage of adjective-noun subtype was not as high as verb-noun, but EFL adult learners were still seriously challenged on both correct forms of verb-noun and adjective-noun lexical collocation subtypes. However, substantially speaking, verb-noun would still give them much harder time upon English business email writing. Table 1 indicated EFL adult learners encountered problems selecting correct (or proper) verb to be associated with certain specific noun that explains their frequently-occurred-together relationship.

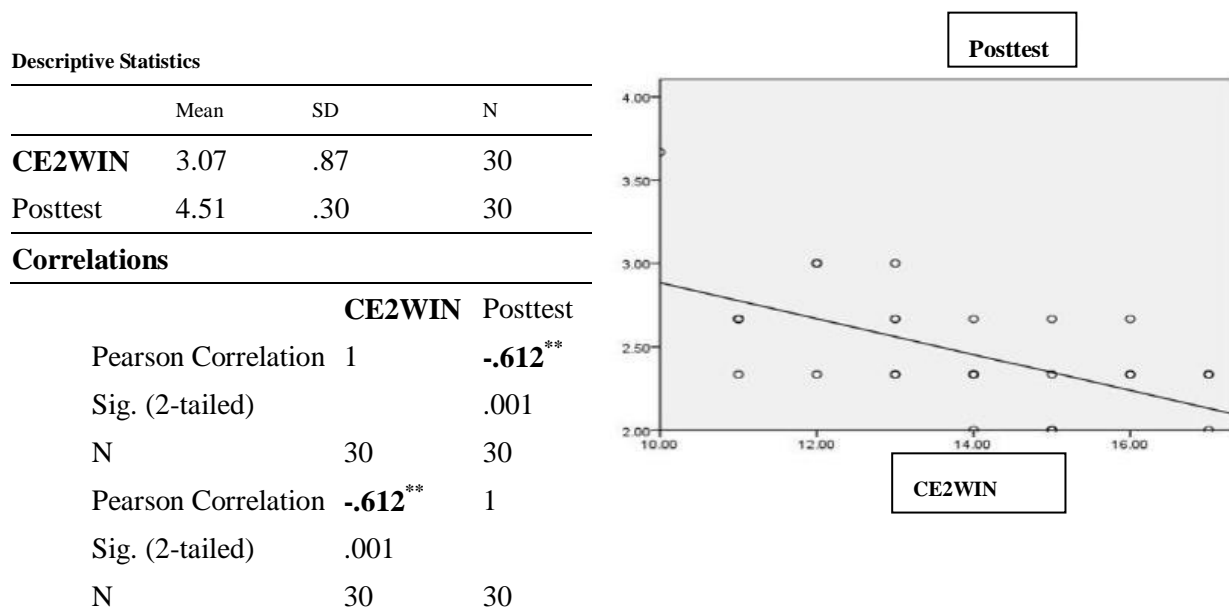
Table 1 Total Statistical Analysis of Verb-Noun and Adjective-Noun Errors throughout 30 Business Emails

Lexical subtype	Substantial error examples in business letters	Error of freq. appeared in email	Collocation dictionary suggestion
	*take* an interview	4	hold/arrange interview
	*set* an interview	3	conduct/give interview
	*work* analysis	1	do/make analysis
	*process* analysis	1	run/perform analysis
	*make* invitation	1	send invitation
	*give* invitation	1	issue/extend invitation
	*work* presentation	3	give presentation
	*do* presentation	3	make presentation
	*operate* presentation	5	give/make presentation
	*do* error	4	commit/make error
	*take* acceptance	1	win/gain acceptance
	*do* service	1	offer/provide service
	*make* service	1	expand/extend service
	*do* request	3	make/submit request
	*happen* problem	1	bring/cause/create problem
	*experience* question	1	face question
	*give* meeting	3	hold/have/arrange meeting
	*think* application	2	consider/process application
Total verb-noun error statistical calculation			
39			
	*big* workload	1	enormous/heavy workload
	*large* workload	1	huge/excessive workload
	*fruitful* investment	1	profitable investment
	*abundant* investment	1	worthwhile/wise investment
	*pleasant* opportunity	1	exciting, idea opportunity
	*standard* application	3	formal/ application
	*standard* recommendation	1	official recommendation
	*regular* confirmation	1	official confirmation
	*easy* reply	1	Simple/straight reply
	*fast* response	2	quick/rapid response
Total adjective-noun error statistical calculation			
13			

The second research question targeted on discovering the correlations between EFL adult learners' lexical collocation knowledge and English business-letter writing ability. To test research hypothesis and answer the current research question, the mean scores collected from writing posttest and collocation exercise 2 at implementation

phase were computed to measure for the calculation of correlation coefficient. In response to Question 2, according to Table 2, descriptive statistics individually yielded Mean and SD of CE2WIN (Collocation Exercise 2 Wrong Item Number, N=30, X=3.07, SD=.87) and Posttest (N=30, X=4.51, SD=.30). The results were a moderate and negative correlation coefficient of  $-.612$  found to be statistically significant at  $< .01$  level. Simply stated, as EFL adult learners made *less* errors in collocation exercise items, their level of performance on English business-letter writing significantly appeared *high* (X=4.51).

Table 2 Descriptive statistics & Pearson's r between posttest and collocation exercise 2



Note. \*\*. Correlation is significant at the  $0.01$  level (2-tailed).

In sum, based on the attained Pearson's Correlation  $r$ , there was a significantly negative correlation between learners' collocation knowledge and English business-letter writing ability. With this in mind, the statistical mean scores would test out one of directional hypotheses in the present study—there here is a significant correlation between EFL learners' lexical collocation knowledge and their English business-letter writing ability.



## 5. Conclusions and Discussions

On the question of common erroneous subtypes of lexical collocation discovered in English business letters, this study found EFL learner writers commonly committed errors in Verb-Noun and Adj-Noun subtypes in writing English business letter. The results from interview data reported employees (participants) encountered problems with selecting proper verbal words for business writing; uncertainty surrounded them in adopting Adjective word for specific description, which was taken as serious challenge to use English performing the task in the workplace. Meanwhile, employers, during the interview, expressed their skeptical attitude toward those improper verbs used in business email for clear communication by assistants. The more likely explanation for this rests in impact of linguistic transfer between native language (L1) and foreign language (L2). Some respondents referred to their serious issue of choosing correct English verb to clearly express themselves, and it turns out for them to go on directly translating from Chinese into English. However, as EFL learners count on bilingual translating technique, they would probably stick to their own learner collocation based on *L1* instead of *L2*, which may sound less fluent and native-like. This phenomenon is also in accordance with theory about English native speakers' (NSE) naturally-acquired collocability in mental lexicon. NSE tends to possess greater command of inborn collocational knowledge than non-native speakers of English do, which is congruent with the previous studies (Bahns & Eldaw, 1993[29]; Farghal & Obiedat[30], 1995). That has to say, NSE would come up using precise verbs to associate with specific nouns expressing themselves explicitly, and it sounds grammatically correct and native-like. Up to this point, these results are entirely consistent with those reported for significant influence of L1 transfer errors (hypothesis of transferability) over foreign language learners in previous studies (Jing, 2008[31]).

Another important finding was that the correlations showed a negatively moderate and strong relationship between EFL adult learners' collocation knowledge and their English business-letter writing ability. The observed correlation coefficient between collocation knowledge and English business-letter writing ability might be explained in the way below. Before treatment, participants sat for collocation exercise 1 and business-writing pretest as preliminary evaluation of their actual collocation knowledge and English business-writing ability, which would be neither satisfactory nor pleasing. Participants, on average, committed more errors in collocation exercise items while their business-writing ability were reported remaining at levels between "Fair" (Level 2) and "Adequate" (Level 3) writer (Pretest  $X=2.49$ ). However, following treatment, they completed collocation exercise 2 and business-writing posttest to find out how much better they would be reflecting on overall improvement upon collocation knowledge and business-writing ability. The number of erroneous collocation items, on average, mistaken by EFL learners descended to 3.01 along with their business-writing ability level claimed as "Excellent"(Level 4) and "Outstanding" (Level 5) writer in-between (Posttest  $X=4.51$ ). The observed increase in collocation knowledge and business-writing ability could be attributed to EFL learner writers' being benefitted from the experimental treatment by extending and applying their newly-acquired collocation knowledge to English business writing. That might possibly justify the measurement of correlation coefficient between collocation exercise and English business-writing ability substantially reaching to strong degree

from moderate one. In addition, it is encouraging to compare this finding with those previous research results that indicated a strong positive correlation between collocation knowledge and writing quality. Such findings have taken a step in the direction of defining the strong relationship between collocation knowledge and writing performance for EFL teachers' reference. In the first place, these findings suggested that *verb-noun* and *adjective-noun* patterns remained the two erroneous subtypes of lexical collocation discovered in business letter texts. Then, one of the more significant results to emerge from this study was that EFL learners' collocation knowledge significantly correlated with English business-letter writing ability.

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## **The Intelligibility, Comprehensibility and Accentedness of Asian English Speakers in English Listening Materials for Healthcare Students**

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### **Abstract**

This study investigated the intelligibility, comprehensibility and accentedness of Asian English speakers' speech used as listening materials for an English Listening-Speaking course for healthcare students. Two groups of listeners were 15 experienced language users and 15 second-year students majoring in Occupational Health & Safety at a university in Thailand. Thirty-six speech samples spoken by 7 Asian English speakers from five L1 backgrounds (Chinese, Myanmar, Filipino and Emirian) and 5 native English speakers (American, British and Australian) were used for an orthographic transcription task and comprehensibility and accent ratings. The participants were asked to indicate the extent to which the speech samples were comprehensible, and rate the degree to which they are difficult or easy to understand, including the strength of accents. The findings revealed that the native and Asian accented speech were comprehensible listening input. Most participants perceived Asian English accents as easy to understand to moderately difficult to understand. Some particular accents are perceived as strong; however, they did not necessarily cause low intelligibility. Interestingly, native speakers are not always found to be the highly intelligible speakers. Implications for incorporating Asian English accents in listening materials for English listening -speaking courses are also discussed.

**Keywords:** intelligibility, accent variation, Asian Englishes, healthcare students

### **1. Introduction**

With the growing knowledge from previous works on World Englishes and English as a Lingua Franca, the phenomenon of accent variation and emergent Asian pronunciation norms have become recognizable and more apparent in the Asian context [1][2][3]. In Thailand, the diversity of English accents manifests itself in most of English interactions, particularly in the healthcare context where the majority of international patients are Asians [4]. The economic integration of the ASEAN Community, the leading role of Thailand as a medical hub of Asia and the boom of medical tourism have led to the influx of international patients and mobilized medical labour from Asian regions [5][6][7]. With the more diversified linguistic backgrounds of English interlocutors in healthcare settings, healthcare professionals inevitably deal with different English accents and pronunciation norms. Myanmar, Filipino, Emirian, Chinese, Indian were found to be the five most used Asian accents in English-speaking hospital settings in Bangkok [8]. This not only poses potential risks of failure in communication but also affects patients' lives. Limited exposure to or unfamiliarity with accents and pronunciation norms can lead healthcare staff to

confusion and miscommunication [9][10], and that can greatly affect patient safety and quality of service. Therefore, there is a necessity for preparing healthcare students for the future workforce, to be English proficient requires being able to deal with accent variation and Asian pronunciation norms.

However, in the context of English language teaching, students' opportunity to get exposure to Asian accents is relatively rare. In fact, the accents in listening materials are always limited to single native English speaker accents: British and North American varieties. These accents have traditionally been used as they are considered as prestigious, standard varieties and the models of English pronunciation [11][12]. By giving exposure to the native varieties in listening materials, it is insufficient to prepare healthcare students for dealing with the complexity of accents in the globalized healthcare context. Thus, in this paper, it is proposed that Asian English accents should be included as listening input in teaching materials for English for specific purposes (ESP) courses for healthcare students. Language teachers should embrace linguistic variation and broaden a range of accents by including Asian varieties so that it can provide students more opportunities to get exposure to Asian accents, build in accent familiarity and help them function in their future workplace more effectively.

In the past decade, Abeywickrama [13], Harding [14] and Major et al. [15] have attempted to incorporate Asian and other non-native accents in listening materials. These previous works contribute more understanding of the effects of NNES accents and shed light on possibilities of these accents as listening input. However, the issue of 'intelligibility' of non-native accents and their effects on listening comprehension have still been a major concern and area of research. Thus this present study investigated intelligibility, comprehensibility and accentedness of native and Asian English speech to gain information to be used as a basis for selecting eligible speakers in developing listening materials for healthcare students.

The term 'intelligibility' is "word or utterance recognition" or the degree to which a listener is able to recognize a word or utterance spoken by a speaker [16]. Munro and Derwing [17, p. 76] defines it as 'comprehension' or "the extent to which a speaker's message is actually understood by a listener." Intelligibility is an important construct for L2 / non-native speech evaluation and one essential dimension of understanding in cross-cultural communication [18]. Therefore, it has been introduced as one aspect to measure to ensure that non-native accented speech is comprehensible input.

'Comprehensibility' is another construct to be measured in L2 speech evaluation. It refers to the degree to which a listener perceives a speaker's speech as easy or difficult to understand. This dimension is likely to correlate intelligibility [19]. Harding [14] notes that comprehensibility of L2 speech is a crucial aspect to intelligibility of L2 accents. The speakers' speech must not be perceived as impossible to understand. Accentedness is also a dimension of L2 speech. Derwing and Munro [19] define it as the degree to which a listener perceives a speaker's accent as different from that of a native English speaker. It is noted that while intelligibility is objectively based on word recognition or transcription scores, the degrees of comprehensibility and accentedness depend on perceptions of listeners which may be influenced by bias, prejudice and stereotypes [20].

Much research has been devoted to intelligibility of non-native speech. Owing to the differences in the choice of accents, research focus, research design and

methodological approaches to assessing intelligibility, they found mixed results. One contributing work is a series of research carried out by Munro, Derwing and their colleagues [17][21][22], which introduced three measures of speech evaluation: orthographic transcription task, comprehensibility rating and accent rating - the most commonly used method [23]. They examined the interrelationships between intelligibility, comprehensibility and accentedness. With consistent findings across studies, they conclude that NNEs' speech was comprehensible listening input, and that the three dimensions are partially independent constructs. Derwing and Munro [19] note that a strong foreign accent does not necessarily cause L2 speech to gain low comprehensibility or intelligibility, and that the degree of accent will not necessarily affect the other two. Nevertheless, Munro and Derwing's and other works mostly focused on intelligibility in the perception of NES judges and limited listening input to certain accents. Most previous research also used general texts as speech samples while little attention is also paid to specific listening texts for ESP courses, particularly in healthcare. In the Thai context, a number of studies are devoted to investigating students' attitudes towards the non-native English accents, but a few studies examine intelligibility and comprehensibility of non-native English speech. Due to different research focus and design; these studies yield different results. For example, Pongprairat and Luksaneeyanawin [24] investigated teachers' attitudes towards Asian English accented speech and found that teachers hold different perceptions of the accented speech. Accent familiarity was found to play a key role in accent evaluation and word recognition. Their study focused on measuring comprehensibility of tonality patterns produced by Thai accented English speakers. The results showed that there was no statistical difference in comprehensibility scores rated by the two groups of NES judges with different amounts of contact with Thai learners [24]. Due to the paucity of research investigating intelligibility, comprehensibility and accentedness of native and Asian English speech in the Thai context, this study was designed to evaluate accented speech of Asian speakers in the aforementioned dimensions. This study served as an initial step of material development for the ESP (healthcare) courses and used specific texts related to healthcare as listening input. The specific research question that guided this study is: *What are the degrees of intelligibility, comprehensibility and accentedness of Asian accented speech rated by the experienced listeners and healthcare students?*

## **2. Participants**

### *2.1 Listeners*

Two groups of listeners included 1) experienced language users and 2) healthcare students. The experienced language users were healthcare staff, English language teachers and general language users who were both NES and NNEs using English in healthcare communication. The second group included 15 second-year students majoring in Occupational Health & Safety in the Faculty of Public Health at a university in Thailand. These students have taken an English Listening-Speaking for Specific Purposes Course. The listeners participated in the speech evaluation tasks: transcription task (dictation), comprehensibility and accent ratings. To avoid potential bias in measurement of using a native-speaker centric approach, the listeners in the first group included both NESs and NNEs to reflect the real listeners represented in communication.

The experienced language users were recruited from different groups of people that are regarded as relevant stakeholders of healthcare and language courses. They were heterogeneous in their first language, gender, education, careers and level of English proficiency. The experienced listeners included 1) 5 healthcare staff working in English-speaking hospitals, 2) 5 language teachers who were instructors of ESP courses for healthcare, 3) 3 native speakers working and residing in Thailand; and 4) two non-native graduate students. Their English proficiency levels ranged between upper-intermediate - advanced level (700-990 TOEIC scores or IELTS 6.5).

## 2.2 Speakers

Twelve speakers included 2 American, 2 British and 1 Australian speakers representing the inner-circle varieties and 2 Filipino, 2 Myanmar, 2 Emirian and 1 Chinese speakers representing the speakers of the outer-and expanding circle varieties. The speakers were from seven L1 backgrounds. The choice of speaker background and number of speakers were determined based on the results of accent survey [8] regarding the types of accents the healthcare stakeholders frequently encountered and perceived as important varieties to be included in listening materials. The speakers were recruited from different groups of people who were likely to be target hospital customers. They were international students, university instructors, foreigners working and residing in Thailand. They were diverse in gender, nationality, geographical and L1 background and occupation.

## 3. Research instruments

### 3.1 Speech evaluation tasks

This set of tasks was developed to measure intelligibility, comprehensibility and strength of accents of Asian English speakers. The researcher adapted a set of tasks similar to that used in previous studies of Munro and Derwing [17] and Harding [25].

1) *Orthographic transcription task* was used to measure intelligibility of the speakers' utterance. It was a word-for-word dictation of oral stimuli, which required the listeners to transcribe utterances based on what they hear. The speech stimuli contained 36 samples of different length. They were adapted from real-life conversation in healthcare settings. The speech samples were reviewed to ensure text authenticity and edited by a NES for natural language. To ensure equivalent lexical difficulty, each speech sample was produced with no more than 12 words in length. There were two groups of speech samples: a short group with 8-11 syllables and a long group with 12-15 syllables. To make it feasible to capture speakers with Asian accents, the speech stimuli included salient features which Asian speakers were most likely to produce differently from the NESs, for example, /p/ as in 'pressure' and /t/ as in 'temperature' or 'two'. The transcriptions of listeners were scored with a Total word Phonemic Match (TPM). Under this scoring technique, a written word which has an exact phonemic match with the word spoken in the recording was counted as correct. Homonyms and misspellings were also acceptable.

2) *Comprehensibility rating* is the listener's judgment of how easy or difficult it is to understand a speech sample [19]. It has been used to support transcription task in measuring L2 speech intelligibility [22][25]. To ensure that the speakers for ESP listening materials will not be perceived as impossible to understand, the present

study used comprehensibility rating task with nine-point scales to examine the ease of understanding of English speech of Asian speakers. The comprehensibility rating scale ranged from 1 = “extremely easy to understand” to 9 = “impossible to understand”. The scores on rating indicated comprehensibility scores of the speakers’ speech.

3) *Accent rating* was used to measure the strength of an accent. The purpose of using this rating task was to assure that the speakers possessed non-native accents which have distinguishable features of Asian English varieties. The accent rating scale ranged from 1 = “no foreign accent (native speaker accent)” to 9 = “extremely strong non-native accent”. The scores indicated the degrees of accent of the speakers. To ensure the reliability of transcription task, twelve speech prompts spoken by three speakers were trialled with five listeners (2 NES and 3 NNEs). The feedback from the speakers and raters were used for revision.

#### **4. Data collection**

The recording sessions were conducted in a quiet room. During the recording, each speaker was asked to record the oral stimuli assigned. To ensure the appropriate speech rates, the researcher provided the models spoken with the appropriate speech rate (160-210 words per minute). The recordings were monitored to ensure that the speakers’ utterances exactly match the scripts. The instructions and pauses were read by a British speaker and an Australian speaker – those who were not the speakers for the evaluation tasks. Then the audio recordings were checked and the three evaluation tasks were trialled with 3 English language teachers. Their feedback was used to revise the instruments. At the beginning of the actual session, the listeners were given a brief explanation and were instructed how to do the transcription task, comprehensibility rating and accent rating. They were given practice stimuli for transcribing and rating the comprehensibility and accent on scales. After the practice session, the researcher had the listeners do the transcription task. The listeners heard each utterance once, completed the transcription and rate the level of comprehensibility. The raters were given about 40 seconds to complete these two tasks. Right after the comprehensibility task, the raters heard the same utterances again and rated the degree of the speaker’s accent on the given scale. The accent rating lasted approximately 10-15 minutes. After all listening sessions, the transcriptions were scored and analyzed using descriptive statistics. A t-test was used to examine the mean differences of the two groups of listeners. The results of comprehensibility and accent ratings were calculated for percentages, means and standard deviations.



## 5. Findings

In this study, the speech evaluation tasks were used to measure speech intelligibility, degree of comprehensibility and strength of accented speech. The results of the three measures were used to answer the following research question:

*What are the degrees of intelligibility, comprehensibility and accentedness of Asian accented speech rated by the experienced listeners and healthcare students?*

Table 2 Transcription Error Score (TES), mean score and standard deviation by speaker of the two groups of listeners

No.	Speaker	Listener Group 1 (R1-R15)			Listener Group 2 (R16-R30)		
		Error score 100%	TES Total = 9	SD	Error score 100%	TES Total = 9	SD
1	American 1	10.79	0.97	1.06	61.17	5.51	0.91
2	American 2	13.47	1.21	1.52	64.20	5.78	1.16
3	Australian	13.47	1.21	1.13	67.15	6.04	0.79
4	British1	18.35	1.65	1.95	74.57	6.71	0.98
5	British 2	5.80	0.52	0.70	59.51	5.36	0.60
6	Chinese	18.06	1.63	1.60	76.80	6.91	0.71
7	Emirian 1	10.93	0.98	1.32	55.81	5.02	0.85
8	Emirian 2	9.97	0.90	0.80	58.00	5.22	1.08
9	Filipino 1	20.28	1.83	1.60	72.12	6.49	0.63
10	Filipino 2	16.96	1.53	0.95	63.44	5.71	0.97
11	Myanmar 1	7.00	0.63	0.62	44.72	4.03	1.14
12	Myanmar 2	10.72	0.96	0.99	45.28	4.08	1.37

### Transcription Error Score (TES)

4– 6 = moderate

1= very low (highly comprehensible)

7 – 8 = high

2– 3 = low

9 = very high (not comprehensible)

As shown in Table 2, the mean scores of transcription error of the speakers rated by the experienced listener ranged between 0.52 and 1.83, indicating that English speech of all speakers were highly comprehensible listening input. In fact, more than half of the transcriptions received intelligibility scores over 80% (TES less than 1.8). The top five highly comprehensible speakers were Speaker 5 (British 2), with the lowest TES mean of 0.52 (SD=0.70), followed by Speaker 11 - Myanmar 1 ( $\bar{x}$  =0.63, SD = 0.62), Speaker 8 - Emirian 2 ( $\bar{x}$  =0.90, SD=0.80), Speaker 12 - Myanmar 2 ( $\bar{x}$  =0.96, SD=0.99) and Speaker 1 - American 1( $\bar{x}$  =0.97, SD= 1.06). The Speaker 9 - Filipino 1, though receiving the highest mean of 1.83 (SD=1.60), the speaker's speech was accepted as highly intelligible according to the TES criteria (1.83 out of 9).

Regarding the TES of the speakers rated by the healthcare student (Group 2), the means ranged between 4.03 and 6.91, indicating that accented speech of all speakers were moderately comprehensible. The most five highly comprehensible speakers were Speaker 11 - Myanmar 1, with the lowest mean of 4.03 (SD=1.14), followed by

Speaker 12 -Myanmar 2 ( $\bar{x}$  =4.08, SD =1.37), Speaker 7 - Emirian 1 ( $\bar{x}$  =5.02, SD=0.85), Speaker 8-Emirian 2 ( $\bar{x}$  =5.22, SD =1.08) and Speaker 5 - British 2 ( $\bar{x}$  =5.36, SD=0.60), respectively. The Speaker 6 – the Chinese speaker, though receiving the highest mean of 6.91 (SD=0.71), was considered as an intelligible speaker at a moderate level based on the criteria (6.91 out of 9). These results showed that both native and non-native speakers were highly comprehensible speakers, and suggested that the native speakers do not always have higher speech intelligibility than the non-native ones.

Obviously, the means of all speakers rated by Group 1 were much lower than those rated by Group 2. In other words, the experienced listeners understood the accented speech of all speakers much better than the healthcare students did. One main factor is that the experienced listeners have a higher level of English proficiency than the healthcare students do. They were also anticipated to have exposure to or familiarity with different accents more than the latter group.

An independent sample t-test was used to examine the difference in the mean scores from the two groups of listeners. The statistical results showed no significant difference in the mean scores of speakers given from the two groups, except the Chinese speaker and Filipino speaker 1. The mean of the Chinese speaker given by Group 1 significantly differed from that given by Group 2 ( $t = 11.733^*$ ,  $p = 0.00$ ). There was also a significant difference in the mean score of Filipino Speaker 1 rated by the two groups of listeners ( $t = 10.497^*$ ,  $p = 0.00$ ).

Table 4 Comprehensibility mean score and standard deviation by speaker

No.	Speaker	Group 1 Mean	SD.	Group 2 Mean	SD.
1	American 1	2.89	1.88	6.16	1.68
2	American 2	2.84	1.94	6.27	1.58
3	Australian	3.37	1.83	6.36	1.65
4	British1	4.09	2.19	6.62	1.77
5	British 2	2.33	1.47	6.02	1.90
6	Chinese	4.51	2.15	6.24	1.80
7	Emirian 1	3.33	2.09	5.71	1.96
8	Emirian 2	3.33	1.75	5.69	1.74
9	Filipino 1	3.89	2.25	6.20	1.60
10	Filipino 2	3.20	1.99	6.00	1.59
11	Myanmar 1	2.82	1.28	5.51	1.80
12	Myanmar 2	4.11	2.15	5.64	1.93

Comprehensibility

1= very easy to understand  
 2 – 3 = easy to understand  
 4 – 6 = neutral / moderate

7 – 8 = difficult to understand  
 9 = very difficult / impossible to understand

In terms of comprehensibility, overall, the mean scores of all speakers rated by Group1 were obviously lower than those rated by Group 2. The mean scores of Group

1 showed that the experienced listeners rated the accented speech at varying degrees: easy to understand, moderate and difficult to understand. The top five speakers rated as easy to understand were Speaker 5 - British 2, with the lowest mean score of 2.33 (SD= 1.47), followed by Speaker 11 - Myanmar 1 ( $\bar{x}$  =2.82, SD=1.28), Speaker 2 - American 2 ( $\bar{x}$  =2.84, SD=1.94), Speaker 1 -American 1 ( $\bar{x}$  =2.89, SD= 1.88) and Speaker 10 - Filipino 2 ( $\bar{x}$  =3.20, SD= 1.99). The Speakers 6 - the Chinese speaker was the least easy speaker to understand, with the highest mean of 4.51 (SD=2.15). One possible explanation is that the listeners are likely to be familiar with particular NES accents: British and American accents because these accents are frequently heard in listening materials, as a result, they found Speaker 5, 2 and 1(British and American speakers) easy to understand. On the other hand, the tendency of rating Asian accents, particularly Chinese as difficult to understand may be due to listeners' unfamiliarity or limited exposure to particular non-native varieties. This factor may come into play in comprehensibility judgment and affect their listening comprehension.

Compared to Group 1, the mean scores of Group 2 were quite considerably higher showing that the healthcare students perceived the speakers' speech as moderate and difficult to understand. The top five speakers whose speech were 'easy to understand' were Speaker 11 - Myanmar 1, with the lowest mean score of 5.51 (SD= 1.80), followed by Speaker 12 - Myanmar 2 ( $\bar{x}$  =5.64, SD= 1.93), Speaker 8 - Emirian 2 ( $\bar{x}$  =5.69, SD= 1.74), Speaker 7 - Emirian 1 ( $\bar{x}$  =5.71, SD= 1.96) and Speaker 10 - Filipino 2 ( $\bar{x}$  =6.00, SD= 1.59). The healthcare students perceived Speaker 4 - British speaker 1 as 'the least easy speaker to understand', with the highest mean of 6.62 (SD= 1.77). However, considering the mean scores of all NESs (American, British and Australian speakers), it is clear that Group 2 rated the comprehensibility of NESs' speech at a moderate level. Based on these results, it is obvious that the NES accents are not always easy to understand. The healthcare students, although anticipated to be familiar with NES accents, are the most likely to face listening difficulty to some degree.

Table 5 Accent mean score and standard deviation by speaker

No.	Speaker	Rater Group 1 Mean	SD.	Rater Group 2 Mean	SD.
1	American 1	1.91	1.41	2.93	0.98
2	American 2	1.84	1.03	3.60	1.77
3	Australian	2.73	1.57	3.58	1.62
4	British1	2.60	2.01	3.73	1.81
5	British 2	2.64	1.76	3.56	2.11
6	Chinese	5.49	2.19	4.87	2.03
7	Emirian 1	4.69	1.64	4.44	2.16
8	Emirian 2	7.04	1.80	5.22	1.57
9	Filipino 1	4.16	2.02	3.82	1.69
10	Filipino 2	2.16	1.38	3.36	1.89
11	Myanmar 1	4.04	1.67	3.51	1.81
12	Myanmar 2	5.58	1.56	5.49	1.82

Accentedness

1 = native accent

2-3 = close to NS accent

4-6 = NNS accent (slight difference from NS)

7-8 = strong NNS accent (some difference from NS)

9 = extremely strong non-native accent (much difference from NS)

As shown in Table 5, the accentedness of all speakers rated by the first group were more varied in degree than those rated by the second group. Speakers 2, 1, 4 and 5 (American 2, American 1, British 1 and British 2) and Speaker 10 (Filipino 2) were identified as speakers with native-like accents, with the mean scores of 1.84 (SD=1.03), 1.91 (SD= 1.41), 2.60 (SD= 2.01), 2.64 (SD= 1.76) and 2.16 (SD= 1.38), respectively. With higher mean scores, the remaining speakers (S6-9 and 11-12) were evidently identified as non-native speakers. They were considered as those whose speech were slightly different from the NES norms, with the means ranging between 4.04 -5.58. Speaker 8 (Emirian 2) was the speaker with very strongly accented speech, with the highest mean of 7.04 (SD= 1.80).

Noticeably, the listeners in Group 2 appeared to rate the degree of speakers' accents higher than the first group. In other words, they assigned harsher scores for the accents of six speakers, especially the NESs, but they rated six Asian English speakers at lower degrees (less harsher) than the first group did. The healthcare students correctly identified Speaker 1, 5, 3 as the native speakers. However, Speaker 10 (Filipino 2) and Speaker 11 (Myanmar 1) were misperceived as native English speakers. With higher degree of their accented speech, the remaining speakers (S6-8 and 12) were evidently identified as non-native speakers. Speaker 12 (Myanmar 2) was rated as the speaker with very strongly accented speech, with the highest mean of 5.49 (SD= 1.82). Based on the results of accent ratings, the listeners, particularly those in Group 1 can explicitly distinguish between native and non-native English speaker accents. This confirms that the non-native speakers recruited for the speech evaluation tasks carried some pronunciation features that deviate from the so-called native pronunciation norms.

## **6. Discussion**

Overall, the two groups of listeners found all speech samples spoken by NESs and Asian speakers comprehensible listening input though the highly comprehensible speakers perceived by the two groups were different. Among the Asian speakers, the Myanmar speaker 1 is the most highly intelligible one. The experienced listeners found Asian accented speech to be highly intelligible, while the students found Asian accented speech comprehensible at a moderate level. This reflects that they face some difficulties in listening comprehension. Nevertheless, these findings on speech intelligibility point to the possibility of using these Asian accented speakers in materials for ESP courses. Regarding a wide gap of error scores and means between the groups, it can be explained that English proficiency comes into play in comprehension. As the experienced group are English proficient and are involved in English interaction in their daily life or professions, they are most likely to have better listening skills and more vocabulary knowledge. That may assist them to perform better in the transcription task than the healthcare students do. Another possible factor is familiarity or exposure to accents. The experienced group tended to be exposed to various accents or have accent familiarity. These can aid their listening comprehension and enhance their performance. In fact, a significant difference found in the mean TES scores of Chinese and Filipino speakers rated by the two groups might be due to accent familiarity. As Thanavisuth and Natiladdanon [26] found in their studies that familiarity with a particular accent played a key role in teachers' accent evaluation and recognition. On the other hand, the students have lower English proficiency than the experienced group. Their listening skills and vocabulary knowledge are anticipated lower than the experienced users. Though they passed an English Listening – Speaking course for healthcare professions, practiced listening skills and studied vocabulary relevant to health professions, most of them appeared not to perform well on the transcription task. In addition, as the contexts / opportunities where students use English in limited, they tended to have less exposure to or familiarity with different English accents. Another important finding of the study is that not only NESs but also non-native speakers were found to be highly comprehensible. This suggests that the native speakers do not always have higher speech intelligibility than the non-native ones.

With respect to comprehensibility, the perceived comprehensibility of accented speech rated by most participants was between 'easy' and 'moderately difficult' to understand. The top five speakers the experienced listeners perceived as 'easy to understand' were British 2, Myanmar 1, American 2, American 1 and Filipino 2, while 'the least easy speaker to understand' was the Chinese speaker. One possible explanation is that the experienced listeners are likely to be familiar with particular accents. For example, British and American accents can be frequently heard in language classrooms / listening materials. On the other hand, the tendency of rating Asian accents, particularly Chinese as 'difficult to understand' may be due to unfamiliarity or limited exposure to Asian varieties. This factor may come into play in comprehensibility judgment and affect their listening comprehension.

In contrast, in the perceptions of healthcare students, accented speech of Asian speakers was 'the easiest to understand'. These rating results were striking because all of the Asian speakers were non-native speakers who use some pronunciation features that deviate from the NES norms. Perhaps, it is possible that there are some pronunciation features shared by Asian English speakers. In this case, the students

might find some features produced by Asian speakers not so different from the way they were produced by Thai English speakers and so those features did not affect their listening comprehension. Another interesting point from the findings is that the British speaker was perceived as 'the least easy to understand'. This suggests that the NES accents are not always easy to understand. In this study, though the healthcare students are anticipated to have familiarity with British and American accents - the varieties taught in the language classroom, they appeared to have difficulty understanding them.

Regarding the accentedness of speakers, the experienced listeners perceived speakers' accents to varying degrees: close to NES, moderate with slight difference from NES, and strong foreign accent. The healthcare students assigned harsher scores to NESs, but gave lower scores to Asian English speakers. The listeners were also found to sometimes rate the accented speech as moderately or strongly accented even when they were able to transcribe them almost perfectly. These findings suggest that bias, prejudice, stereotypes or individual listener factors affect students' evaluation of accentedness. As Piske, MacKay and Flege [20] note the degrees of comprehensibility and accentedness depend on perceptions of listeners which are possibly be influenced by bias, prejudice and stereotypes. These findings are found congruent with Munro and Derwing's studies which reveal that a strong foreign accent does not necessarily cause accented speech to gain low comprehensibility or intelligibility, and that the degree of accent will not necessarily affect intelligibility and comprehensibility [17], [22].

## **7. Pedagogical implications**

The findings of this study provide language teachers a better understanding of the intelligibility, comprehensibility and strength of Asian English speakers. Asian accented speech was found comprehensible or intelligible listening input and the strength of English accents does not necessarily cause low comprehension or undesirable listening performance. Thus teachers may consider broadening a range of English accents in listening materials to prepare students for dealing with the diversity of English accents in their future language use. When selecting speakers and making choice of accents to be included in materials, teachers should measure speech intelligibility and two related dimensions: comprehensibility and degree of accent to ensure that the speakers are comprehensible and can produce intelligible listening input for students. However, introducing other English accents to students may not be easy as the use of non-native accents is against the traditional practice. Therefore, teachers may consider introducing other English accents through a wide range of activities such as inviting non-native English speakers as guest speakers to classroom, and having students work on projects in which they need to interact in English with foreigners from different countries. Through engaging in different activities, the students may gradually become aware of different language use and variation of English accents. They would be more open to learn with listening materials with other English accents.

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# **Influence of Students' Aesthetic Experience on Creative Self - Efficacy and Innovative Behavior between Thailand and China Students**

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## **Abstract**

This study is mainly to explore the influence of the aesthetic experience of Thai and Chinese students on the innovation behavior. Componential theory of creativity and self-efficacy theory are the theoretical bases of this study, where SEM has been used for the analysis, and creative self-efficacy has been used as the intervening variable. In order to conduct this study, three colleges were selected by purposive sampling, 120 questionnaires were received from each school and 316 valid questionnaires were collected. The sample included 137 males and 179 female. The study found that students' aesthetic experience and creative self-efficacy have a positive impact on innovation behavior, and creative self-efficacy has full mediation between aesthetic experience and innovative behavior.

**Keywords:** Aesthetic Experience, Creativity Self-Efficacy, Innovation Behavior

## **1. Introduction**

Skills in learning and innovation are considered to be skills that will prepare students for the increasingly complex living and working environment of the 21st century [1]. According to the literature that surrounds it, innovation is related to aesthetics, and aesthetics has a certain impact on the development of innovation [2]. Innovation and novelty have also been found to be primarily positive aesthetics [3][4][5].

"Aesthetic Experience" refers to the individual through the art appreciation and admire beauty of objects, which will have a conscious and subconscious experience [6][7]. Most aesthetic experience is a conceptual discussion [8]. Through the combination of the potential of consciousness and sub-consciousness, the daily creativity and beauty involved in art appreciation become the source of creativity [8]. Edinger [9] argues that art is a manifestation of beauty, and by using prototype images, we subconsciously respond to all our psychological connections as part of the performance of creativity [9][10]. In other words, aesthetic experience will create psychological and subconscious responses, i.e., creativity and innovation, while creating creativity. So scholars believe that the acquisition of aesthetic experience can cultivate and inspire students innovation [7][8][11].

Bandura [12] and Kear [13] pointed out that the higher the personal aesthetic experience, the higher the creative self-efficacy. The aesthetic experience is not only an important factor in the development of innovation, but also the main reason for creative self-efficacy. Through the absorption, accumulation and internalization of the

aesthetic experience, one can enhance one's self-confidence and face challenges. Therefore, aesthetic experience is also an important factor in opening up self-creativity; it can improve self-efficacy and develop individual creativity and innovative behavior [6][7][14]. However, students' creative self-efficacy and innovative behavior have a significant positive impact [15].

This study aims to explore creative self-efficacy as a mediator through empirical research methods, and explore whether aesthetic experience will further influence students' innovative behavior through creative self-efficacy mediation. The research focused on the following aims:

- 1). To study the effect of students' Aesthetic experience on innovative behavior
- 2). To study the effect of students' creative self-efficacy on innovative behavior
- 3). To study the effect of students' Aesthetic experience on creative self-efficacy
- 4). To study whether students' aesthetic experience can indirectly affect students' innovative behavior through creative self-efficacy

## **2. Literature Review and Suppositions**

### *2.1. Aesthetic experience and innovative behavior*

Experience is the fulfillment of an organism in its struggles and achievements in a world of things, it is art in germ [14]. Even in its rudimentary forms, it contains the promise of that delightful perception which is aesthetic experience [5]. Averill, Stanat and More [16] to explain the aesthetic experience of beauty, that aesthetic experience is not only pleasurable or enjoyable experience, aesthetic experience may also exist unpleasant and happy feelings, such as a drama in the audience Eyes, may produce sad and happy emotions, and the upcoming storm may produce fear and attractiveness. And aesthetic experience is also absorbing state, meaning that focus, to achieve the realm of ecstasy, but not all the state is full of aesthetic experience. Aesthetic experience must be intrinsically motivated and not practical. According to [17], "challenge and control (mastery) can play a role in aesthetic appreciation, may also be used for personal cognitive assimilation ability, or in the aesthetic distance of the security conditions to deal with reality and personal emotional efforts [7], so the attributes of aesthetic experience include four attributes: pleasure, concentration, motivation and challenge.

In the perspective of aesthetic experience theory and creative cognition, the viewer becomes a kind of meditation, absorption, and integration into individual thinking and feedback experiences [18]. These experiences will become open through a combination of subconscious and conscious experiences, and the potential energy of creativity may play a role in future creativity and innovation [7] [8].

Individuals like to appreciate the beauty of things, are easily attracted by the unconsciousness of beautiful things and will express their happiness and appreciation of things, which will be helpful to the future of creativity. Enjoying diversity culture and different ideas, looking for good aspects and values within bad things, can all help develop personal vision and thinking, stimulate individual innovation [19][20], and scholars' research can become an aesthetic experience for student innovation. Cultivating and inspiring creativity can have a major impact [6][7][11][21]. This study deduce the acquisition and accumulation of students' aesthetic experiences and has a

positive impact on students' innovative behavior.

**Hypothesis 1:** Students' aesthetic experience has a positive effect on innovative behavior.

## *2.2. Aesthetic experience, creative self-efficacy and innovative behavior*

Bandura [22] argues that observing the environment in a particular context creates a special perception of self-efficacy and creates an experience that enables individuals to be confident of the challenges presented in the environment [23][24]. A person absorbs and internalizes knowledge in a field, generating cognition, motivation, and experience, thereby enhancing an individual's perception of the field and creating a perception of self-efficacy [25]. They subsequently introduced the concept of "creative self-efficacy" based on the theory of creativity [26], assuming that creative self-efficacy is a belief that one has the ability to produce creative results. Tierney and Farmer [24] found that compared with self-efficacy, creative self-efficacy can more effectively explain changes in employee innovation performance.

Kaufman & Sternberg [25] pointed out that individuals can absorb the knowledge of the field and its internalization, and in this process will produce awareness, experience, motivation, etc., will also make individuals have confidence in the innovation is expressed as a student's Creative self-efficiency [12], requires a firm sense of efficacy, insisting on innovation effort, which is creative self-efficacy. And many scholars also use creative self-efficacy as an important factor in the development of personal Innovation [27][28].

Individual through previously experienced from the visual arts, the experience of other memories and personal development out of contemplation skills which not only become a link of the core of aesthetic experience, can achieve, unify and make the object of the infinite potential to be expressed, but also to build confidence in potential consciousness [6]. When the individual in the appreciation of art, through the process of contemplation to access a new aesthetic experience, get the art of some of the potential and combine with the previous experience; therefore, individuals can show the potential of art, which have grown in the subconscious and then enhance self-confidence in the arts. Moreover, Girod, Twyman and Wojcikiewicz [29] found that the aesthetic experience not only showed in the learning effect, but also appeared on the further exploration of the self-efficacy beliefs. Thus, to increase the aesthetic experience of students will help inspirit their creative self-efficacy [30][31][32]. which is assumed as the following.

**Hypothesis 2:** Students' creative self-efficacy has a positive effect on innovative behavior

**Hypothesis 3:** Students' aesthetic experience has a positive effect on creative self-efficacy

Bandura [12] and Kear [13] indicated that the abundance of individual aesthetic experience is proportional to the individual's creative self-efficacy. Creative self-efficacy moderates individual behavioral performance. According to the social cognitive theory, self-efficacy plays a critical role in the ability to self-regulate and also as a mediator in the relationship between perceived experience and behavioral performance [12][23]. Studies have also reported the mediating effects of creative

self-efficacy on the relationship between individual creative behavior and creativity. Davies, Higgins, Hopkins, Stecker and Cooper [33] also pointed out that attending aesthetics courses, in order to increase students' aesthetic experience, can strengthen the learner's daily motivation, since aesthetic experience can lead to students' intrinsic motivation and self-belief. In summarizing the above theories, we can say that, through the aesthetic experience of the pleasure of beauty, aesthetic attitude, understanding of beauty and the full experience of the process, the individual absorbs the beauty of things that are seen, accumulates and internalizes them into a personal potential experience, and then enhances their personal confidence in creative thinking, creative products, and counterattacks negative evaluation, and can then face the challenge of enriching their personal innovation. Scholars also agreed that aesthetic experience will be through the individual's self-efficacy, in order to develop personal innovation [6][7][14]. Therefore, the following study deduces that aesthetic experience will have an indirect effect on innovative behavior through the mediating effect of self-efficacy.

**Hypothesis 4:** Students' aesthetic experience can have indirect effects on innovative behavior through the intermediary effect of creative self-efficacy

### 3. Research Design and Methods

#### 3.1. Research Structure

Our review used the theory of social cognitive theory as guiding frameworks to place creative self-efficacy in the innovation process, explore the Relationships Among aesthetic experience, creative self-efficacy and innovative behavior.

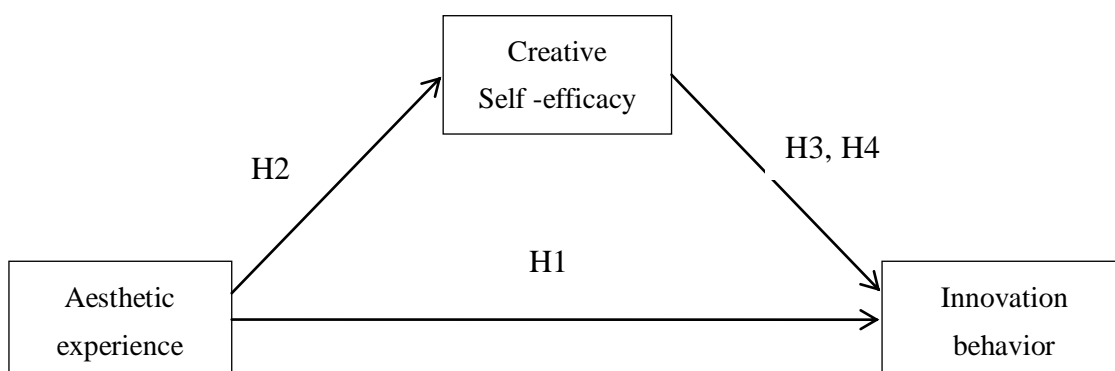


Figure 1. Research Structure

### *3.2. Research Object and Sampling*

The study object was the student of Thailand and Chinese. three schools were selected by purposive sampling, and 120 students of Thailand and Chinese were selected in each school. A total of 360 students were selected.

### *3.3. Research Tools*

#### *1). Aesthetic Experience Scale*

An original source of Aesthetic Experience Scale is from Student Aesthetic Experience Scale [34], which contained four dimensions: the "pleasure of beauty", "aesthetic attitude", "understanding of beauty" and "full experience"; and the total of topics is 21.

In terms of the reliability of the aesthetic experience, Cronbach's  $\alpha$  values of the four dimensions, 0.828, 0.746, 0.827 and 0.750, were all greater than 0.7, exceeding the standard recommended [35].

The aesthetic experience scale was then examined using CFA. The factor loadings of each dimension and item ranged from 0.60 to 0.80. Furthermore, CR values for latent variables were between 0.786 and 0.838, which exceeded the evaluation standard of 0.60. AVE figures were between 0.425 and 0.539 which exceeded the 0.40 evaluation standard [36].

#### *2). Creative Self-efficacy Scale*

According to the study of Creative Self-efficacy Scale for Students [37], which is divided into "creative thinking beliefs", "creative product faith", "the faith of against the negative evaluation" three dimensions and a total of 12 topics.

In terms of reliability, Items 11, 12, and 13 of the creative self-efficacy dissemination did not meet reliability standards and were therefore eliminated. Cronbach's  $\alpha$  values of the three dimensions of creative self-efficacy were 0.809, 0.710 and 0.704, and were all greater than 0.7.

The creative self-efficacy scale was then examined using CFA. The factor loadings of each dimension and item ranged between 0.59 and 0.78. Furthermore, CR values for latent variables were between 0.700 and 0.823, which exceeded the evaluation standard of 0.60. AVE figures were between 0.435 and 0.538, indicating that the figures exceeded the 0.40 evaluation standard.

#### *3). Innovation Behavior*

According to the study of Innovation Behavior Scale f [38], which is divided into "opportunity exploration", "generativity and formative investigation", "championing and application" and contained 4 dimensions and a total of 11 topics.

In terms of the reliability of the innovation behavior, Cronbach's  $\alpha$  values of the three dimensions, 0.757, 0.808 and 0.703, were all greater than 0.7, exceeding the standard recommended.

The creative self-efficacy scale was then examined using CFA. The factor loadings of each dimension and item ranged between 0.61 and 0.79. Furthermore, CR values for latent variables was between 0.718 and 0.822 exceeded the evaluation standard of 0.60. AVE figures were between 0.460 and 0.535 the figures exceeded the 0.40

evaluation standard.

#### 4. Analysis Results

For this study, 316 valid questionnaires were returned from students. Regarding the demographics, there were 137 males and 179 females. 170 participants were from Thailand and 146 participants were from China.

##### 4.1. Testing of Direct Effects

In Table 1, it can be seen that the structural coefficients of Aesthetic Experience and Creative Self-Efficacy on Innovative Behavior are all statistically significant ( $p < .05$ ), meaning that there are direct effects between these factors and Innovative Behavior. The standardized coefficients are 0.773 and 0.204, indicating that Aesthetic Experience and Creative Self-Efficacy have a positive influence on Innovative Behavior, which is consistent with the findings of [20][11][21] (see Figure 2). Therefore, H1 and H2 stand.

Secondly, the structural coefficients of Aesthetic Experience and on Creative Self-Efficacy are statistically significant ( $p < .05$ ), meaning that these factors have direct effects on learning motivation. The standardized coefficient is 0.739, indicating that the higher the level of Aesthetic Experience, the higher a student's level of Creative Self-Efficacy, which is consistent with the findings of [29][31][34]. Therefore, H3 stands.

##### 4.2. Testing of Mediation Effects

In order to test the multiple mediation model, this study used the bootstrap method proposed by [38]. This is a method of obtaining the median effect and the 95% confidence interval using a resampling procedure. If the 95% confidence interval for mediating effects obtained by resampling does not include 0, the mediating effect is statistically significant ( $p < .05$ ) [39].

The indirect effect of Creative Self-Efficacy on Aesthetic Experience of Innovative Behavior is 0.572 ( $0.773 \times 0.739$ ) and the confidence interval (0.409, 0.814) does not contain 0, meaning that the effect is statistically significant ( $p < 0.05$ ) and that learning motivation has a mediation effect. The direct effect is 0.204 and the confidence interval (-0.033, 0.394) does contain 0 while the total effect is 0.776 ( $0.572 + 0.204$ ) and the confidence interval (0.684, 0.852) does not contain 0, meaning that the effect is statistically significant, and that Creative Self-Efficacy has a full mediation effect on Aesthetic Experience and Innovative Behavior (Table 1 and Figure 2). This indicates that Aesthetic Experience affects one's Innovative Behavior by influencing Creative Self-Efficacy, which is consistent with the findings of [7][33]. Therefore, H4 stands.

Table 1 Bootstrap SEM analysis of total, direct, and indirect effects

	Estimate	<i>p</i> value	Confidence Interval
Direct effect			
AE -> CE	0.773	< 0.05	0.660, 0.861
CE -> CB	0.739	< 0.05	0.542, 0.960
AE -> CB	0.204	< 0.05	-0.033, 0.394
Indirect effect			
AE -> CE -> CB	0.572	< 0.05	0.409, 0.814
Total effect			
AE -> CE	0.776	< 0.05	0.684, 0.852

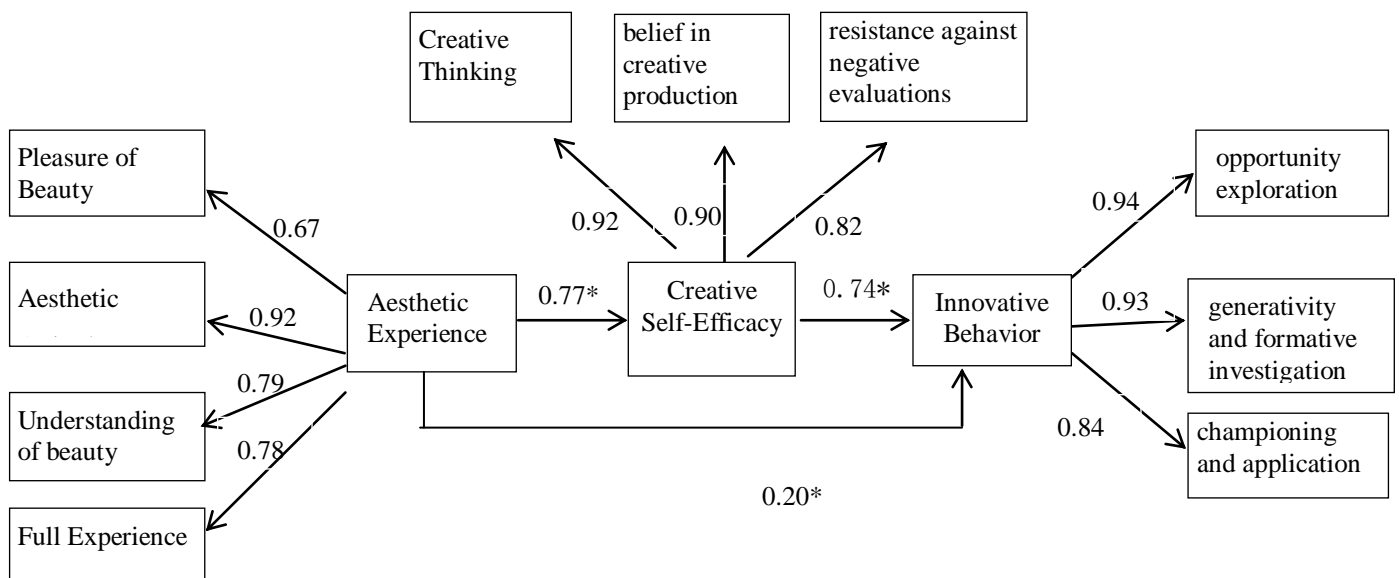


Figure 2 SEM (Structural Equation Modeling) Path Coefficient Diagram

## 5. Conclusion

### 5.1. Conclusion

The aim of this study is mainly to explore the influence of the aesthetic experience of Thai and Chinese students on innovation ability, with creative self-efficacy as the intermediary variable. The study found that students' aesthetic experience and creative self-efficacy have a positive impact on innovation behavior, and creative self-efficacy has full mediation between aesthetic experience and innovative behavior.

This means that if students discover good things positively or unconsciously, they will have a pleasant feeling and then share good experiences with others; and at the time of creation, they will recall relevant things that have been experienced before, such as

good experiences. When a potential experience arises, students are able to recall related things in the creative process, thus having more new ideas, more confidence in creativity, and better innovation performance. The same is true for creative self-efficacy. When students are more creative in their creativity, the performance of innovation will be better.

The study also found that students' aesthetic experience indirectly affects students' innovative behavior through creative self-efficacy; that is, when the students appreciate the meaning of things and accept them, they can recall related work in the creation of new things. In addition, the higher the perceived and analytical ability of the United States, the more new solutions to problems the students will have and will not worry about the negative evaluation of their work. However, they are also more confident about creating different and refreshing work. Students' aesthetic experience is an important factor in the performance of creativity, and so we must value this development of their aesthetic experience.

## 5.2. Suggestions

Schools should encourage students and help students gain aesthetic experience to enhance their creative self-efficacy and innovative behavior. Moreover, creative self-efficacy has a complete intermediary effect between aesthetic experience and innovative behavior. Therefore, students' aesthetic experience can enhance creative self-efficacy; when creative self-efficacy is improved, it can also improve students' innovative behavior.

Aesthetic experience is the forerunner of creative self-efficacy and innovation research. From the research results, we can see that aesthetic experience has a positive impact on creative self-efficacy and innovative behavior. Therefore, when future research explores students' creative self-efficacy and innovative ability, aesthetic experience can also be studied as a pioneering and an important factor.

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# Empirical Analysis of the Impact of Equity Incentive on Corporate Performance —— Take A-Share Listed Companies as an Example

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## Abstract

As the reform of equity division is approaching to the end, China's State-owned Assets Supervision and Administration Commission (SASAC) and the ministry of finance promulgated *The Measures for the Administration of the Listed Company Equity Incentive* in August 2016. Meanwhile, in order to improve the performance of the company, a growing number of companies began to give equity incentive to executives and employees, under the circumstance that China's capital market is constantly improving. Based on such context, this paper makes a theoretical analysis of the impact of executives' equity incentive on corporate performance, so as to provide a reference for corporate management.

**Keywords:** senior executives; equity incentive; corporate performance; listed companies

## 1. Introduction

### 1.1. Research background and purpose

The issue of executive equity incentives is a problem that has been constantly exploring by the yield of management and is also the most pressing concerns of listed companies in China. Under the system of the separation of ownership and managerial authority, benefits, stemmed from it, are relevant, but problems still exist, such as companies do not take the incentive system seriously, inefficient resource allocation, low enthusiasm towards work, executive interests diverge from shareholders. Most executives consider the interests from their own perspectives when operating companies, while ignoring the interests of shareholders. As a result, corporate profits are sacrificed. Manso [1] One scholar put forward an effective solution - equity incentive: when executives work up to a certain age and reach the performance goal of the enterprise, they would be granted a number of shares. By performing this equity incentive, there would form a closely linked tie between the interests of managers and interests of owners, which, at the same time, can not only give the executives fully personal interests to work harder but also relieve the conflict between the managers and shareholders. It is possible to link the executives' salaries with their work efforts, and that the dividend system is the transmission mechanism. Wang and Lan [2] The development of a company is inseparable from the equity incentive, and the establishment of a stable principal-agent relationship is conducive to the coordination and unification of the interests of operators and shareholders.

Through the theoretical research on the effect of senior executive equity incentive on corporate performance, this paper shows that there are some problems in the equity incentive system of China's listed companies. In order to better implement the equity incentive system,

it is of great significance to promoting corporate reform. In response to that, this paper will discuss the relationship between equity incentive for senior executives and corporate performance, which in turn to provide effective senior executives' equity incentive mechanism for listed companies, to promote the incentive and supervision of senior executives, to improve business efficiency, and finally to foster reasonable equity incentive ideas for listed companies in China.

### *1.2. Research significance*

This paper starts by seeking to guide enterprises to choose appropriate incentive methods and objective, fair management performance evaluation system. Secondly, analyzing the index influencing factors that affect the effectiveness of stock option incentive in the industry of listed companies, for guiding the operation and management of listed companies. Thirdly, from the perspective of the empirical analysis of listed companies' stock option incentive system, it is conducive to China's government to introduce policies to help investors find an effective profit model of enterprises for investment, as well as to encourage enterprises to effectively evaluate the performance of corporate management. Fourthly, taking 2013-2017 data of listed companies, it is hoped to make a fair evaluation of executives' performances in the companies that follow equity incentive programs, which will help the list companies to achieve healthy development and promote the virtuous cycle of the stock market. Therefore, this paper lies a very important practical significance.

## **2. Literature review**

### *2.1 A review of the positive correlation between equity incentive and corporate performance*

M.C.Jensen and Meekling [3] put forward the "convergence-of-interests" theory. These two scholars theoretically believe that the higher the proportion of shares held by executives, the better the corporate performance will be. In other words, there is a positive correlation between shares held by executives and corporate performance Hall .and Liebman [4] respectively studied the influence of CEO compensation and their shareholding ratios on the corporate value of 478 large American companies from 1980 to 1990 and found that the effect of executive stock ownership or stock options on corporate value was stronger than that of executive compensation on corporate value. Therefore, it is believed that the implementation of equity incentive for senior executives can make them work harder, which in turn maximizing the value of the company. Zhang and Chen [5]examined the relationship between executive motivation and enterprise performance by obtaining sample data of listed companies in the Shanghai stock exchange in 2000. The results showed that corporate performance is significantly correlated with executive compensation and shareholding ratio, and the correlation is positive. Chen and Guo et al[6]There is a positive correlation between senior executives' equity incentive and corporate performance by studying the listed companies with equity incentive. The sample data of A-share listed companies in 2006 and obtained a weak positive linear correlation between the equity incentive of executives of listed companies and corporate performance by Pearson correlation test. Moreover, Wan Q [7] through the establishment of simultaneous equations, the conclusion is drawn that the asset-liability ratio, the size of the company and the growing ability of the company will affect the equity incentive and company performance of the listed company to different degrees .

## *2.2 Equity incentive has a negative impact on corporate performance*

Foreign scholars, represented by Kannianen [8], found through their researches that the implementation of equity incentive for senior executives would reduce corporate performance. Chinese scholars, represented by Dongmei and Ping [9], selected real estate companies listed on the Shanghai stock exchange from 2007 to 2009 as samples and conducted a regression analysis on the data, which proved that equity incentive was negatively correlated with corporate performance. Qiuxia and Xiaoyi [10] adopted factor analysis method to obtain that equity incentive, for public companies through the sample of 9 companies listed in 2006, has a restrictive effect to the performance of companies.

## *2.3 Equity incentive has no obvious effect on corporate performance*

Other researchers believe that equity incentive has no correlation with corporate performance, and the implementation of an incentive system may not have a significant impact on corporate performance. Cheung places the idea of cost adjustment in his model, and sees no evidence of a correlation. Xi [11] used performance data of some listed companies from 2007 to 2008 for the empirical test and found that the former had no significant influence on the latter. At the same time, he discovered that China's equity incentive is not perfect and the effect is not obvious.

## **3. Research Method**

### *3.1. Paper structure*

Take A-share listed companies. By applying SPSS to check the descriptive statistics of model variables, correlation analysis, regression analysis and some methods as robust analysis, this article hopes to analyze the impact of executives' equity incentives on corporate performance. Finally, conclusions are drawn and suggestions are put forward.

### *3.2 Samples collection and data sources*

This paper selects the data of A-share companies listed in Shanghai and Shenzhen from 2013 to 2017 as research samples. Excel was used for the summary, collection, and calculation, while SPSS was implied for empirical analysis. Screening of samples based on the following rules:

- (1) Financial listed companies that have strong particularity should be eliminated;
- (2) The abnormal financial data of ST and PT, which are not universal, should be eliminated;
- (3) Abnormal asset-liability ratio and earnings-per-share of some companies, or incomplete data of some companies shall be removed.

### *3.3 Hypothesis*

The problems to be solved in this paper include: whether the implementation of executive option incentive has a significant impact on corporate performance? Is there a positive linear relationship between the proportion of executive options in total shares and corporate performance? To this end, this paper makes the following hypothesis:

According to the principal-agent theory, since the goals of shareholders and senior managers are inconsistent, managers pursue the maximization of their own interests, while owners want to maximize the company's benefits. This paper believes that corporate performance can be improved through equity incentives for senior executives.

As an incentive means, the option incentive system makes the senior executives become shareholders by granting options to them, thus stimulating them to manage the company with heart. If the stock price as an incentive means, we can focus on the future performance of enterprises to improve.

Based on the shareholding ratio of executives, this paper determines that the higher the shareholding ratio, the better the corporate performance.

Hypothesis 1: executive option incentive has a significant impact on company performance.

Hypothesis 2: There is a positive linear correlation between the strike price of a stock option of executives and corporate performance.

## **4. Results and Discussion**

### *4.1 Equity incentive for senior executives*

There are various equity incentive models adopted by listed companies, such as performance stock, stock option and employee stock ownership plan, etc., while the majority of listed companies in China adopt stock option and restricted stock. This study is based on the measure of the executive equity incentive mode constructed by Li and Zhang[12], Kun[13]. In the meantime, considering the easiness to obtain data and the accuracy of data, Equity price is to show when issuer issues authority card, agree, it is authority card holder buys to issuer or the price that sell. Is used to measure the degree of the strike price of a stock option important indicators.

### *4.2 Enterprise performance*

This paper draws a lesson from Li [14], who selected ROE as the measurement of enterprise performance, which is a kind of financial index analysis method. This method is most widely used in China, and the data is easy to be obtained. At the same time, it ensures the objectivity and accuracy of data. Therefore, it is in line with China's specific conditions to measure enterprise performance.

### *4.3 Selection of panel data model*

In the attempt to explore the impact of executive equity incentive on the performance of the company, this paper, with ROE as the dependent variable, The strike price of a stock option is the independent variable to measure the level of enterprise performance. Furthermore, taking equity concentration, asset-liability ratio, business growth, the company size, company cash flows, property rights, the proportion of independent directors, the number of institutional ownership and board directors, as control variables, with each variable controlled within certain industry and year. The data is extracted from 481 companies ranging from 2014 to 2017. The model is established as follows:

$$ROE = \beta_0 + \beta_1 EI + \beta_2 FIRST + \beta_3 LEV + \beta_4 GROWTH + \beta_5 SIZE + \beta_6 RFC + \beta_7 STATE + \beta_8 OUTDIR + \beta_9 IISHARE + \beta_{10} BSIZE + \sum INDUSTRY + \sum YEAR + \varepsilon$$

(1)

Where  $\beta_0$  is the intercept,  $\beta$  is the regression coefficient and  $\varepsilon$  is the random perturbation term and The selection of variables can be seen in table 1.

Table 1. Variable selection:

Variable types	The variable name	Variable definitions	
Explanatory variables	ROE	Net profit/net assets	
Explained variable	EI	The strike price of a stock option (KPI)	
	FIRST	The ratio of the total number of shares held by the largest shareholder to the total number of shares in circulation	
	LEV	The ratio of total ending liabilities to total ending assets	
	GROWTH	The ratio of the difference between the operating income of the current year and the operating income of the previous year to the total operating income of the previous year	
	SIZE	The natural logarithm of the company's total assets	
	Control variables	RFC	Net cash flow generated by the company's operating activities/average ending total assets
		STATE	State-owned enterprises take 1, non-state-owned enterprises take 0
		OUTDIR	The ratio of the number of independent directors to the total number of directors
		IISHARE	The ratio of the total number of institutional shares to the outstanding shares of the superior company A shares
		BSIZE	Total number of board members to be measured
	INDUSTRY	Virtual variable	
	YEAR	Virtual variable	

#### 4.4 Descriptive statistics

Firstly, the variables were statistically described, and the range, average level and fluctuation of variables were observed. Descriptive statistics were made on ROE, The strike price of a stock option, equity concentration ratio, asset-liability ratio, company growth, company size, company cash flow, property right nature, proportion of independent directors, institutional shareholding ratio and number of directors of A-share listed companies from 2013 to 2017, so that the minimum, maximum, mean and standard deviation of each variable were obtained.

As can be seen from the table above, the minimum ROE of each company from 2013 to 2017 is -1.8069; the maximum is 1.1168, and the average ROE of each company is 0.0741. The minimum and maximum EI shareholding ratio of executives is 1.63 and 120.6 respectively, with an average of 11.3953. It indicates that the equity incentive value of senior executives varies greatly. The minimum value of equity concentration of each company is 0.0029; the maximum value is 0.7973, and the average level of equity concentration of each company is

0.2083. The minimum value of the asset-liability ratio of each company is 0.0244; the maximum value is 0.9155, with an average level of the asset-liability ratio of each company is 0.4090. The minimum value of the growth of each company is -0.8625. Its maximum value is 96.0237, with a large range, indicating that the growth of each company is more polarized. The average level of the growth of each company is 0.3846, and the standard deviation is 2.9457, representing that the growth of each company is quite different. The minimum value of company size is 18.2194 and the maximum value is 27.2693. Its average size of each company is 22.2830, and the standard deviation is 1.1499, which means the size of each company varying greatly. The minimum value of corporate cash flow is -0.4353; its maximum value is 0.5893, and the average level of corporate cash flow is 0.0457. The mean value of property variables was 0.1663, presenting that state-owned enterprises accounted for 16.63% and non-state-owned enterprises 83.37%. The minimum proportion of independent directors is 0.2500; the maximum is 0.7143, and the average is 0.3779. The minimum value of the institutional shareholding is 0; the maximum value is 1.1789, with an average level of 0.0744. The minimum number of board of directors is 4; the maximum is 17; the average is 8 and the standard deviation is 1.5764, suggesting that the number of board of directors of each company is quite different. the results were shown in Table 2 below.

Table 2.Descriptive statistic:

	N	Minimum	MAX	Average	Standard deviation
ROE	2405	-1.8069	1.1168	.074106	.1156520
EI	2405	1.63	120.6	11.3953	10.48567
FIRST	2405	.0029	.7973	.208399	.1593295
LEV	2405	.0244	.9155	.409066	.1979658
GROWTH	2405	-.8625	96.0237	.384602	2.9457114
SIZE	2405	18.2194	27.2693	22.283068	1.1499638
RFC	2405	-.4353	.5893	.045751	.0825095
STATE	2405	.0000	1.0000	.166320	.3724452
OUTDIR	2405	.2500	.7143	.377994	.0593676
IISHARE	2405	.0000	1.1789	.074471	.0881711
BSIZE	2405	4.0000	17.0000	8.453638	1.5764068
N	2405				

#### 4.5 Multicollinearity test

In this study, using variance inflation factor VIF to test the multicollinearity problem of the variables, namely: the executives shareholding, risk bearing level, equity concentration, asset-liability ratio, business growth, the company size and corporate cash flow, the nature of property rights, the proportion of independent directors, institutional ownership, the number of board directors. As space is limited in the paper, listed below are the main variables of multicollinearity test. The results were shown in Table 3 below.



Table 3. Multicollinearity checklist:

	VIF
EI	1.100
EI	1.299
FIRST	1.823
Lev	1.834
Growth	1.059
Size	2.022
RFC	1.133
STATE	1.241
OUTDIR	1.434
IISHARE	1.138
BSIZE	1.644

If there is a variable with VIF greater than 10, it means that serious multicollinearity occurs among variables. As can be seen from the results in the table, VIF of each explanatory variable is greater than 1 and less than 10, indicating that there is no serious multicollinearity among explanatory variables of the model.

#### 4.6 Analysis of the impact of equity incentive on corporate performance

In order to explore the influence of equity incentive on corporate performance, the OLS method was used to conduct a regression analysis on the model (1), and the results were shown in Table 4 below.

The F value of the model is 22.655, which is significant at the 1% level, showing that the combined regression results are significant. The coefficient of Equity incentive (EI) is 0.001, which is significant at 1%, indicating that the equity incentive of senior executives has a significant positive impact on enterprise performance. The improvement of equity incentive of senior executives will promote the improvement of enterprise performance: if the proportion of senior executives' shareholding increases by 1, the average ROE will increase by 0.001. Enterprises can improve the level of enterprise performance through equity incentives for senior executives. So it fits the hypothesis H1, H2.

Among the control variables, the coefficient of FIRST is 0.037, which is significant at the 5% level, suggesting that ownership concentration has a significant positive impact on enterprise performance, and the improvement of ownership concentration will promote the improvement of enterprise performance. The LEV coefficient is -0.111, which is significant at the 1% level, revealing that the asset-liability ratio has a significant negative impact on enterprise performance, and the improvement of asset-liability ratio will reduce enterprise performance. The GROWTH coefficient is 0.002 and is significant at the level of 5%, demonstrating that enterprise GROWTH has a significant positive impact on enterprise performance, and the improvement of GROWTH will promote the increase of enterprise performance. The coefficient of

SIZE is 0.026, which is significant at 1%, reflecting that company SIZE has a significant positive impact on performance. With the expansion of company SIZE, performance improves gradually. The coefficient of RFC is 0.389, which is significant at the 1% level, depicting that corporate cash flow has a significant positive impact on corporate performance, and the increase of corporate cash flow will promote the increase of corporate performance. Lastly, the coefficients of IISHARE、STATE and OUTDI are not significant at the 10% level, expressing that the nature of property rights and the proportion of independent directors have no significant influence on corporate performance.

Table 4. Executive equity incentive regression analysis of corporate performance:

	B	Standard deviation	Beta	T value	Significant
(constant)	-.520	.055		-9.369	.000
EI	.001	.000	.091	4.799	.000
FIRST	0.037	0.015	0.051	2.483	0.013
LEV	-0.111	0.014	-0.190	-7.761	0.000
GROWTH	0.002	0.001	0.045	2.397	0.017
SIZE	0.026	0.003	0.255	9.860	0.000
RFC	0.389	0.027	0.277	14.356	0.000
STATE	0.006	0.006	0.020	0.968	0.333
OUTDIR	-0.020	0.042	-0.010	-0.467	0.640
IISHARE	0.040	0.025	0.030	1.557	0.119
BISZE	0.003	0.002	0.041	1.747	0.081
INDUSTRY			control		
YEAR			control		
R <sup>2</sup>			0.217		
The F value			22.655		

## 5. Conclusions and Suggestions

According to the fourth chapter is between executive incentive and firm performance relationship studies of descriptive statistics and the empirical results show that the executive incentive can have a certain degree of influence on corporate performance, after the empirical study of this article executive equity strike prices has a positive significant effect on corporate performance, shows that executive equity incentive has a positive effect on corporate performance. Executive decisions for the company's business and development is very important, if the executive office for company normal operation is affected, so the board of supervisors should strengthen the regulation of the company's financial, also must carry on the supervision of executive decision behavior, enterprise for executives to motivate or punishment decision again, in line with the executive's own needs, in order to improve the incentive system can carry out targeted incentives, after the executives to meet its own needs more efforts for the enterprise, improve enterprise performance.

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## **Analysis of Factors Affecting Chinese Enterprises' Willingness to Investment in Thailand**

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### **Abstract**

With the increasingly closer ties between China and Thailand, trade and investment of these two countries has become more frequent than ever before, which result in a popular trend of China's direct investment in Thailand. By studying the previous researches on FDI by various scholars, this paper selects the industrial production index of Thailand, per capita wages, taxation, production price index, and China's FDI in Thailand as the key factors. Furthermore, by examining the relationship between these key factors and FDI through a series of analytical methods such as regression analysis, it is found that the amount of China's foreign direct investment to Thailand in the previous period has a positive impact on foreign direct investment in the current period. Additionally, if the per capita wage level, the tax on foreign investors, and the production price index of Thailand gets bigger, the foreign direct investment between China and Thailand will decrease. In the due course, this paper aims to make some suggestions to the Chinese investors and their future in investment in Thailand, as well as giving some recommending changes to the Thai side of the investment.

**Keywords:** foreign direct investment, production price index, per capita wages, industrial production index

### **1. Introduction**

From the historical observations of history, Chinese people have been active in Thailand since the 13th century. Because there are many commercial ports in southern Thailand, the convenience of transportation has attracted many Chinese to do business in Thailand. By the 16th century, Thailand had a solid economic foundation and was in Thailand. In the city, the Chinese gathered here to start commercial competition with the Japanese and the Portuguese. Due to the efforts of the Chinese, they became the trade agent of the Royal Thai in the former capital of Thailand, Ayutthaya. The Thai emperor also regarded the Chinese as their own and gave them to the Thai businessmen. Chinese special treatment. Then in July 1971, China and Thailand officially established diplomatic relations. The trade between the two countries also opened at this time. In 1975, the total trade volume between the two countries reached 2.5 million US dollars. In the four years of the district, the total trade volume began to rise sharply.

In December 2014, Premier Li Keqiang went to Thailand to attend the fifth meeting of the leaders of the Greater Mekong Sub-region Economic Cooperation, and witnessed the signing of the Memorandum of Understanding on Sino-Thai Railway Cooperation with Thai Prime Minister Hashi. The signing of the China-Thailand

high-speed rail agreement also means that the economic and trade exchanges between China and Thailand are becoming increasingly close. The total assets of global Chinese business enterprises are about 5 trillion US dollars, and about 1/3 of the world's top 500 Chinese enterprises are concentrated in Southeast Asian countries.

For Thailand, its economic development is mainly in the central part of Bangkok, and the ultimate goal of its development is to attract investors to invest in each other, to create a new environment for investors, and to facilitate investor financing and financing in China and Thailand. Taking Thailand as the gateway of China and ASEAN countries, it provides an important geographical location for China to implement the One Belt and One Road interconnection strategy with its superior geographical position, and intensifies economic integration, political mutual trust and cultural exchange with other ASEAN countries, and invests in China and Thailand. Mutual assistance and mutual benefit will also become an important way for economic integration between the two countries. China's diversified economic environment is already an indispensable partner of Thailand and a major market for Thailand's export growth.

Based on the relationship between China and Thailand, and using the China's foreign direct investment (FDI) to Thailand, Thailand's Industrial Production Index, land price (purchase or lease), per capita wages, tax situation and the current incentives offered by Thai government to the foreign business, this paper seeks to:

- 1) Analyze whether the current economic situation in Thailand is a suitable for investment and whether the Thai economy is significantly affected by the increase in foreign investment capital.
- 2) The withdrawal of foreign capital from Thailand will lead to the stagnation or retrogression of Thailand's economy. Based on the hypothesis, analyze Thailand's economic situation, and predict Thailand's future economic development as well as whether Thailand is a suitable country to invest, under the trade policy of China after China's implementation of the One Belt and One Road strategy.
- 3) At present, China is Thailand's largest import and export trade country. The efficiency of foreign direct investment in Thai capital is another reason for its economic growth. Explain to investors so that they will not blindly invest and understand the economic pull of Thailand. Thai-Chinese account for about 14% of Thailand's total population, and China is Thailand's main trading partner. Since the establishment of the ASEAN Free Trade Area and the implementation of the "One Belt, One Road" strategy, the two countries will definitely expand their corporation overseas due to their geographical advantages. They will surely emerge out as the main partner of the market. Southeast Asia's economy and financial industry have different development paths from China's. As a major partner of Thailand, China's research on the financial structure and efficiency of Thailand is far from enough.

This paper uses the data from 2011 to 2018 to analyze the Sino-Thai FDI relationship, in order to represent Chinese companies' investment in Thailand, and performs the empirical research base on it. The result should have certain significance of timeliness. So far, Chinese researches have made noted development in the empirical analysis of investing in Thailand. Apart from them, it is hope that this article will able to quantitatively analyze China's FDI, and proposes feasible proposals by relating to China's "One Belt, One Road" strategy and by combing with the actual local policies

and industrial production index levels of Thailand.

According to the availability of data and indicators, and due to the lack of some types of data, there are some limitations in this empirical analysis. At the same time, because of the rush of time to finish this paper, lack of experience in the selection of variables, some international variables, such as investment in other countries, market rates occupied by other countries, are not taken into account,

## **2. Paper structure**

This article is based on the Thai industrial production index, per capita wage, taxation, production price index, the relationship between China and Thailand FDI, etc. It tries to analyze the various variables, using the relevant literature to explain the research.

Foreign direct investment (FDI) is one of the means to achieve internationalization of capital. It refers to the investor of a country using its own capital for production or operation in another country to form a multinational enterprise or an international enterprise. Foreign direct investment is invested according to the economic scale of the investing country. Differences in the economic situation of the investee countries determines the differences in the amount of foreign direct investment.

The capital and money brought by foreign direct investment is a major way for the host countries to conduct external financing, especially in developing countries. In addition, foreign direct investment can also boost the import and export of the host country, introduce advanced science and technology, and expand its labor market, which turns out to be the main reason for promoting the productivity level and economic growth of the host country. Bugueo [1] studied the impact of China's investment in Laos on the development of Laos' economy, while the paper proposed bilateral cooperation between Laos and China, as well as reciprocal policies. Tuan and Nigreen [2] pointed out that manufacturing aggregation is an encouragement for Asian FDI, and also points out that host countries need to have a certain amount of industrial production capacity or infrastructure to attract investors. Ameen and Mahmoud Khalid [3] selected the time series data of Malaysia from 1975 to 2010 to analyze the inflow of foreign direct investment to economic growth. The result showed that the inflow of foreign direct investment has a significant contribution to the economy of the host country, and the government should pay attention to economic development, relaxation of policies to attract foreign investment. Stephen [4] first discovered that foreign direct investment has a significant impact on the host country's economy. With the introduction of Stephen's monopoly theory, foreign researchers gradually attributed the factors affecting the host country's economy to foreign direct investment. Lamsiraroj and Ulubasoglu [5] used sample data from 140 countries in 1970-2009, and analyzed regional differences, economic status, financial development, and trade openness, which all had positive effects on FDI growth. Michael [6] examines which economic variables from 1980 to 1988 best explain Germany's FDI model for five manufacturing sectors. The statistical model also yields estimates of country-specific fixed effects. The results indicate that the industrial production index of the host country may help explain German foreign direct investment. Xiang [7] conducted research directly on foreign countries and analyzed the closeness of trade links and the importance of GMM for attracting Chinese investors. Xiang [8] proposed based on Chinese data that in the face of FDI, there will be policy competition between regions, which reflects the importance of the

host country for the introduction of FDI from the side door, which is very important for both sides of the investment. It is also very important for the study of FDI. Yang [9] also proposed that foreign investment plays an active role in promoting China's own economic restructuring. It is its positive role for the host country, so FDI is a very important factor for the host country. Zhang [10] pointed out the problem of China's FDI and believed that the quality of FDI should be strengthened. Whether it is the introduction of FDI or foreign investment, it is necessary to strengthen the quality, which is beneficial to both parties.

### **3. General Guidelines**

This paper uses monthly data as the analysis data to study the relationship between Thai industrial production index, land price (sales or lease), per capita wage, tax, production price index and China-Thailand FDI. The period taken for this research is from 2011 to 2018, and the research materials are from the Ministry of Commerce of Thailand, the Investment Promotion Board of Thailand, the Central Bank of Thailand, country reports and so on.

Combining domestic and foreign related literature, past researchers in the empirical research uses GDP, import and export volume, total household consumption, production price index, industrial production index, inflation rate, employment rate, etc. as indicators for the economic development. At the same time, the research indicators of financial structure are expressed by financial related ratios, financial efficiency and so on. According to previous researches, this paper uses China's direct investment in Thailand (Foreign Direct Investment, FDI) as the dependent variable, while the independent variable use the Thai per capita wage (PCA), the Thai Industrial Production Index (Manufacturing Production Index, MPI), Production Price Index (PPI), and Thai Taxation (TAX) for measuring the willingness of China's FDI in Thailand. The following is a list of variables.

The reason for selecting the above variables can be simply explained as: The industrial production index represents the industrial development speed of the investor country, that is, the future industrial development potential, that is, whether the investor country has potential investment potential and rapid development capability. Therefore, it is chosen as a variable. The per capita wage as a direct labor cost is a major factor that investors must consider when investing. It can also measure the level of the investor's expected net income in disguise. This is precisely the investor's most concern. The reason for including it in the variable is also positive. It is here. The production price index represents the price volatility of the product, that is, the price change and price stability. A good, market- and consumer-acceptable commodity can be sold at a stable price for a long time. Therefore, it is chosen as a variable. To a certain extent, taxation is a political factor variable. It represents the attitude of a government to foreign investment and the relevant policies promulgated. This will directly affect whether foreign investors are willing to invest in the country. Therefore, it is selected as one of the variables.

According to the previous literatures, the article uses literature analysis and statistical analysis methods to clarify the possible correlations between foreign direct investment and host country industrial index, land price, average wage, and tax. Applying the foreign direct investment as the dependent variable and the relevant research factor

indicators as independent variables, the impact of these indicators on foreign direct investment is discussed. The article variables are described in Table 1.

Table 1 Variable Description Table

Variable Type	Variable Names	Variable Calculation Formula and Description	Source
Dependent Variable	FDI	A country's investors use their capital for production or business in another country to form a multinational or international company (unit: million baht)	Thailand Investment Promotion Committee
Independent-variable	MPI	$K = \frac{\sum_{Q_1} W_0}{\sum W_0} \text{ 或 } K = \frac{\sum_{Q_1} Q_n P_n}{Q_n P_n}$ (K is the all index; Q is the quantity; w is the weight assigned; P is the unit production value). To indicate the growth rate of industry.	Central Bank of Thailand
	PCA	Since China is more inclined to invest in industrial sector, the per capita salary data in this paper is more inclined to the average wage of the industrial population.	Thai Ministry of Commerce
	TAX	Taxes for industrial enterprises, especially foreign direct investment enterprises	Thai Ministry of Commerce
	PPI	Measuring changes in commercial payment prices	Thai Ministry of Commerce

The original model for constructing the above variables and research methods is as follows:

$$FDI_t = \alpha_0 + \beta_1 PPI_t + \beta_2 MPI_t + \beta_3 PCA_t + \beta_4 TAX_t + \epsilon_t \quad (1)$$

According to the statistical analysis method, if the test residual has ARCH phenomenon, the ARCH model or the GARCH model is used for estimation.

China is one of the biggest trading partners with Thailand. The economic and trade exchanges between these two countries have risen rapidly in recent years. As China's implementation of the "One Belt, One Road" strategy is imperative, and in order to study Thailand's industrial production index, land prices, taxes, per capita wages, production price index impact on China's foreign direct investment in Thailand, this paper takes the variables, proposed in Chapter 3, which are from 2014 to 2018 and the monthly data of China's foreign direct investment in Thailand.

Before conducting an empirical analysis of land prices, industrial production indices, Thai per capita wage, taxes, and China's foreign direct investment in Thailand. A simple statistical analysis should be performed at first. According to the statistical analysis results, shown in Table 4.1 are the average, median, maximum, minimum and standard deviation of China's foreign direct investment (FDI) in Thailand, Manufacturing Production Index (MPI) of Thailand, Thailand's per capita wage (PCA), Thai tax (TAX) and the production price index (PPI) of Thailand.



Table 2 Descriptive statistics

variable	Average	Median	Max	Min	Standard deviation
<b>FDI</b>	10329.730	7953.000	43189.000	8.000	11235.230
<b>MPI</b>	147.541	114.600	1148.900	75.800	116.385
<b>TAX</b>	103.387	103.300	128.100	91.100	8.347
<b>PPI</b>	102.315	105.100	109.200	86.200	6.032
<b>PCA</b>	0.939	0.890	2.360	0.390	0.375

The average number of foreign direct investment (FDI) in China is 10,329.730, with a median of 795.300, a maximum of 43189.000, a minimum of 8.000 and a standard deviation of 11235.230. The average value of the Industrial Production Index (MPI) is 146.541, with a median of 114.600, a maximum of 1148.900, a minimum of 75.800 and a standard deviation of 116.385. The average per capita wage (PCA) in Thailand is 0.939, with a median of 0.890, a maximum of 2.360, a minimum of 0.390, and a standard deviation of 0.375. The Thai tax (TAX) has an average of 103.387, a median of 103.300, a maximum of 128.100, a minimum of 91.100 and a standard deviation of 8.347.

We can see very clearly through Figure 4.1 that China's foreign direct investment in Thailand has risen since 2012. The possible reason is that the political situation in the country was unstable due to the coup in Thailand. China's foreign direct investment in Thailand reached a peak in 2014, then fell to the lowest in 2015. It gradually recovered in the next three years, but the overall trend shows a downward trend. The reason for lowest figure in 2015 was possibly due to the terrorist attack in Erawan Shrine and the massive drought, which caused the outside world to feel unconfident about the political situation in Thailand. Through the overall observation, China's FDI in Thailand has been showing great fluctuations. This would be caused by many factors, which are to be analyzed through systematic analysis in following sections.

From Table 3, it can be seen that there is a correlation between Thailand's tax level on foreign business, land price, industrial production index of Thailand and China's foreign direct investment in Thailand, but not to a great degree. However, China's foreign direct investment does a significantly positive correlation with the Thai production price index, and has a significantly negative correlation with the per capita wage in Thailand. This proves that the profitability and expected profitability are the most concerned and most influential factors to sway investors' willingness to invest. In addition, from the correlation analysis results, it can be found that there is no significant correlation between the independent variables, which means that there is no multi-collinearity at first sight. Proves to no multi-collinearity is also verified in Table 3.

Table 3 Correlation coefficient matrix

	FDI	TAX	MPI	PPI	PCA
FDI	1				
TAX	- 0.27	1			
MPI	- 0.17	- 0.15	1		
PPI	0.28**	0.22*	- 0.39**	1	
PCA	- 0.47**	0.10	0.49**	- 0.78**	1

\*\* a significance level of  $\alpha=0.01$ : significantly correlated

\* a significance level of  $\alpha=0.05$ : significantly correlated

In this paper, the original model is subjected to parameter estimation, multi-collinearity test, and the normality, self-correlation, heteroscedasticity and self-correlation conditional heteroscedasticity of the residual value. The parameter estimation table of Table 4 and the verification result of Table 5 found there is no multi-collinearity problem in the model, but the residual has the problem of abnormality and heteroscedasticity, and cannot reject the autocorrelation and ARCH phenomenon. Therefore, it may be necessary to make various modifications to the model.

Table 4 Original Model Parameter Estimation

Variable	Parameter Estimate	Std. Error	T-Statistic	VIF
C	124517.200	58806.380	2.117*	
TAX	-285.773	156.020	- 1.832	1.452
MPI	4.865	10.933	0.445	1.386
PPI	-282.757	305.381	- 0.926	2.904
PCA	-18648.530	5600.337	- 3.330**	3.769
R-squared		0.287		
Adjusted R-squared		0.223		
Akaike info criterion		21.329		
Schwarz criterion		21.559		
Log likelihood		- 898.490		
F-statistic		4.437		
Prob(F-statistic)		<0.001		

\*\*At a significant level of  $\alpha = 0.01$ , there is a significant effect.

\* At a significant level of  $\alpha = 0.05$ . there is a significant effect.

Table 5 Residual verification results of the original model

Backward period	Residual				Residual squared			
	ACF	PACF	Q-Stat	Prob	ACF	PACF	Q <sup>2</sup> -Stat	Prob
1	0.601	0.601	31.841	0.000	0.502	0.502	22.224	0.000
2	0.242	-0.188	37.054	0.000	0.133	-0.160	23.798	0.000
3	0.064	0.007	37.427	0.000	0.020	0.032	23.836	0.000
4	-0.097	-0.164	38.293	0.000	-0.083	-0.121	24.471	0.000
5	-0.106	0.078	39.330	0.000	-0.091	0.014	25.228	0.000
JB value	26.37168			<0.0001				
ARCH-LM	27.74137			<0.0001				

In order to solve the problem of the residual value, this paper adopts the variable transformation method ( $\lambda = 0$ ) to take the logarithm of the corresponding variable FDI, then adds the previous FDI to the model and estimates it with the AR(1) model.

The results are shown in Table 6. It is found that after the correction, the residual has a heteroscedasticity at the beginning of the second phase, and the ARCH phenomenon is significant under the second phase ( $p=0.0215$ ). Therefore, the paper adds the previous phase to the model. The FDI is estimated by the AR(1)-ARCH(2) model. The parameter estimation table is shown in Table 6, and the residual verification result is shown in Table 6. The result shows that after the correction, the residual has normality and no heteroscedasticity. There is also no autocorrelation and ARCH phenomenon, and the AIC and SBC values are also greatly reduced, and the explanatory power is also improved.

Table 6 Residual verification results of AR (1) model

Backward period	Residual				Residual squared			
	ACF	PACF	Q-Stat	Prob	ACF	PACF	Q <sup>2</sup> -Stat	Prob
1	-0.036	-0.036	0.1148	0.735	-0.003	-0.003	0.0007	0.980
2	0.079	0.078	0.6628	0.718	0.303	0.303	8.1126	0.017
3	-0.093	-0.088	1.4362	0.697	0.109	0.122	9.1709	0.027
4	-0.069	-0.081	1.8606	0.761	-0.067	-0.173	9.5752	0.048
5	0.115	0.127	3.0775	0.688	-0.132	-0.239	11.166	0.048
ARCH-LM(1)	0.0008			0.9802				
ARCH-LM(2)	4.0300			0.0215				

Table 7 AR (1)-ARCH (2) Model parameter estimation table

Variable	Parameter Estimate	Std. Error	T-Statistic
C	20.784	5.315	3.911**
LogFDI (-1)	0.544	0.067	8.179**
TAX	- 0.029	0.016	- 1.832*
MPI	0.002	0.004	0.547
PPI	- 0.089	0.030	- 3.019**
PCA	- 1.786	0.566	- 3.152**
Variance Equation			
C	0.2608	0.1120	2.329*
RESID(-1)^2	0.3536	0.1934	1.828
RESID(-2)^2	0.6120	0.2779	2.202*
R-squared	0.6907		
Adjusted R-squared	0.6577		
Akaike info criterion	2.8839		
Schwarz criterion	3.2311		
Log likelihood	- 109.12		

\*\*At a significant level of  $\alpha = 0.01$ , there is a significant effect.

\* At a significant level of  $\alpha = 0.05$ , there is a significant effect.

Table 8 Residual verification results of AR (1)-ARCH (2) model

Backward period	Residual				Residual squared			
	ACF	PACF	Q-Stat	Prob	ACF	PACF	Q <sup>2</sup> -Stat	Prob
1	0.020	0.020	0.0357	0.850	-0.007	-0.007	0.0037	0.951
2	0.148	0.147	1.9553	0.376	-0.042	-0.042	0.1608	0.923
3	0.056	0.051	2.2320	0.526	0.099	0.098	1.0277	0.795
4	-0.025	-0.049	2.2867	0.683	-0.054	-0.055	1.2886	0.863
5	0.044	0.030	2.4628	0.782	-0.125	-0.118	2.7182	0.743
JB 值	3.186			0.203				
ARCH-LM	0.073			0.930				

In Table 8, China's foreign direct investment in Thailand lags behind the first-order ( $p < 0.01$ ), Thailand's per capita wage ( $p < 0.01$ ), and the Thai production price index ( $p < 0.01$ ) has a significant impact on China's foreign direct investment in Thailand. Only Thailand's industrial production index has no significant impact on China's foreign direct investment in Thailand. Besides, China's foreign direct investment in Thailand is lagging behind, while Thailand's per capita wage level, Thai tax, and Thai production price index are negative. That is to say, under the same conditions, the previous period of China's foreign direct investment in Thailand has a positive impact on foreign direct investment in the current period. What's more, the higher per capita wage level in Thailand, Thailand's tax on foreign business, and Thai production price index, the lower the amount of China's foreign direct investment in Thailand.

According to the monthly data selected from 2011 to 2018, the descriptive statistics are used to analyze the willingness of Chinese enterprises to invest in Thailand. Although past studies have pointed out that economic growth is one of the most relevant factors for attracting foreign direct investment, it also noted that there exist many other variables that affect foreign direct investment. By combining past researches, this paper analyzes the causes of foreign direct investment by analyzing factors such as industrial production index, production price index, taxation, per capita wage, etc., as well as studies Thai commercial taxation and industrial production in Thailand by time series multiple linear regression model, which reveals their impacts on Chinese companies investing in Thailand.

The empirical results show that China's foreign direct investment in Thailand lags behind the first-order ( $p < 0.01$ ), Thailand's per capita wage ( $p < 0.01$ ), and the Thai production price index ( $p < 0.01$ ) has a significant impact on China's foreign direct investment in Thailand. Only Thailand's industrial production index has no significant impact on China's foreign direct investment in Thailand. Besides, China's foreign direct investment in Thailand is lagging behind, while Thailand's per capita wage level, Thai tax, and Thai production price index are negative. That is to say, under the same conditions, the previous period of China's foreign direct investment in Thailand has a positive impact on foreign direct investment in the current period. What's more, the higher per capita wage level in Thailand, Thailand's tax on foreign business, and Thai production price index, the lower the amount of China's foreign direct investment in Thailand.

The Thai per capita wage, the Thai production price index and the Thai unemployment rate have a negative impact on China's foreign direct investment in Thailand. As the Thai consumer consumption index determines the consumption level of Thai residents purchasing consumer goods and services, and when it rises, Thailand

is more prone to inflation, which means that the Thai economy will be stagnant, thus affecting China's foreign direct investment in Thailand. Moreover, taxation is the most direct and objective data relative to other indicators. Through carefully observation, it shows that taxation represents the degree of acceptance to a country's foreign investment, the company's after-tax net profit and whether the foreign investment will be restricted. In other words, the level of taxation directly affects the willingness of enterprises to invest and their investment enthusiasm.

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# **The Impact of Organic Food's Corporate Image and Electronic Word of Mouth on Consumers' Purchase Intention: The Moderating Effect of Moral Identity, Self-efficacy and Impression Management Motivation**

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## **Abstract**

Organic food consumption has become a hot topic in the academic field. In the future, Marketing and psychological drivers are likely to play an important role and are subject to discussion. In this context, based on the TRA and SOR model, this paper aims to discuss: Does corporate image and electronic word-of-mouth affect the intention to buy organic food under the moderating effect of moral identity? Does impression management motivation and self-efficacy have a moderating effect on the “attitude-behavioral intention” transformation process in organic consumption? Finally, this study expands the theoretical research on the factors affecting organic food consumption, and proposes marketing recommendations to promote organic food consumption.

**Keywords:** Organic food, Corporate Image, Electronic word-of-mouth, Moral identity

## **1. Introduction**

The International Federation of Organic Agriculture defines organic food as the foods that have been certified by organic food certification organizations and issued certificates according to organic food planting standards and production and processing technical specifications [40]. Paul and Rana [25] reviewed the literature on the consumption behavior about organic foods in the past 30 years through the literature review. The intention people purchase organic foods is influenced by the characteristics of organic foods (safety and nutrition, etc.) and the characteristics of consumers (cognition and income, etc.). And distribution, marketing, ethical consumption and other areas may help develop the organic food market in the research in the future. Marketing and psychological drivers are likely to play an important role and are subject to discussion [28].

Corporate image and electronic word of mouth have a significant impact on consumer perception and behavior in the marketing arena [37, 23]. Since the concept of corporate image has been proposed, it has always been a topic of concern for market management researchers and practitioners [17]. According to the existing public data of the network, the Sanlu Dairy Group's melamine incident caused the corporate image to plummet and eventually went bankrupt. Corporate image is the vitality of the enterprise, with outstanding guiding force and strong influence on consumers. Establishing a good corporate image as determined by consumers is an important mission for green companies [17]. At the same time, electronic word-of-mouth is widely spread as a new marketing type because of its speed and accessibility [23]. As an important online information channel, it has an important impact on individual purchasing decisions and is considered to be the driving force of most industries [18]. According to Nielsen's survey, 52% of Internet users search online for product or service

reviews before making a purchase decision. Marketers should design better communication strategies for specific market segments to achieve effective communication and sales [29]. Besides, moral identity may play a regulatory role in moral judgments and moral behaviors [1]. Impression management motivation is one of the hotspots for behavioral research, it can promote prosocial behavior [11]. Self-efficacy is the individual's perception for environmental and behavioral control [21]. The regulatory effects that these factors may play have not received sufficient attention. The organic food industry in China has maintained a relatively fast development trend and as the fourth largest organic food consumer in the world. Therefore, this study examines the consumers' purchase intention to buy organic foods in the Chinese market with great development potential.

In summary, the specific motivation for this study is based on The Theory of Reasoned Action (TRA) and the Stimulus–Organism–Response (SOR Model), which are widely used to predict organic food consumption [20]. Based on the above-mentioned “attitude-intention” model, this paper explores the impact of external factors and psychological motivation factors on the purchase intention towards organic foods in order to increase the market share and competitiveness in the market. The purpose aims to explore the influence of the corporate image and electronic word-of-mouth on the purchase intention of organic food under the regulatory effect of moral identity. At the same time, this paper analyzes the moderating effect of impression management motivation and self-efficacy on the transformation process of "attitude-behavior intention" in organic consumption. This study finally expands the theoretical research on the influencing factors of organic food consumption, provides a new theoretical perspective, puts forward targeted and specific marketing suggestions to promote the consumption of organic food, and expands and improves the marketing approaches and methods of organic food consumption. Research questions include: 1. Does corporate image affect the attitude of consumers? 2. Does electronic word of mouth affect the attitude of consumers? 3. Does consumer attitude affect purchase intention? 4. Does moral identity regulate the impact of corporate image on consumer attitudes? 5. Does moral identity regulate the impact of electronic word-of-mouth on consumer attitudes? 6. Does self-efficacy regulate the impact of consumer attitudes on purchase intentions? 7. Does impression management motivation regulate the impact of consumer attitudes on purchase intentions?

## **2. Theory and hypothesis development**

### *2.1 Theory of Reasoned Action (TRA)*

Fishbein and Ajzen [9] proposed the TRA rational action theory, which argues that behavioral intention is the direct factor determining behavior, and it is determined by two subjective factors: behavioral norms and attitudes. Attitude is influenced by the potential earnings beliefs from individuals and the relative importance of individual perceptions. It is the overall evaluation from consumers based on comprehensive cognition. Subjective norms are the criteria for judging objective things formed by individuals in the social life process. They come from the individual norms and the observance motives. The two theoretical assumptions on TRA are: first, consumer rationality, intention and behavior are closer; second, the will control consumer behavior, and the specific intention of individuals to form in a given environment will dominate their subsequent behavioral performance. Therefore, this study materializes the factors that influence attitude (corporate image, electronic word-of-mouth), establishes a research framework with consumer attitude as the mediating variable, and considers the moderating effect of self-efficacy and impression management motivation on the transformation of "attire-behavioral intention" of consumption.

## 2.2 Stimulus–Organism–Response (SOR Model)

In 1926, Woodworth first proposed the “Stimulus–Organism–Response” model, as the S-O-R model, which explained that external physical stimuli affect human emotional state and influence its subsequent behavior [14]. The basic S-O-R model consists of three elements: stimulation, body and response. Stimulation is usually considered to be external to the individual. An organism is an intrinsic state produced by environmental stimuli. The response is the final result, which is divided into proximity behavior and avoidance behavior. According to the S-O-R model, corporate image and e-word of mouth are external stimuli that have different effects on consumers' attitudes and thus show different purchase intentions. Therefore, this study constructed an organic food purchase intention model.

## 2.3 Hypothesis development

### (1) The impact of electronic word of mouth on consumer attitude

Electronic word-of-mouth is the actual or potential consumer's comments on products, services or companies through blogs, product online forums, and comments are passed to other groups through the network or organization [13]. The significance of e-word-of-mouth communication research lies in that it has considerable commercial influence because it can influence and determine consumer perceptions, evaluations, and behaviors of products, services, brands, or organizations [29]. In his research on mobile phone brand attitudes and intention to pay, Kudeshia and Kumar [18] confirm that positive electronic word-of-mouth will positively influence consumers' attitudes on mobile phone brand and their intention to pay. electronic word-of-mouth has a positive predictive effect on consumption [23]. Based on the TRA theory and the S-O-R model, active electronic word-of-mouth communication will promote consumers' in-depth and extensive understanding on organic foods, and then it will generate good attitudes towards them. Therefore, the hypothesis 1 in this study is proposed as follows:

H1: Electronic word of mouth has positive impact on consumer's attitude.

### (2) The impact of corporate image on consumer attitude

Corporate image is the end result for all the experiences, impressions, beliefs, feelings and knowledge in a company [37]. Corporate image in green marketing is the ultimate result for people's knowledge, beliefs, thoughts, feelings or impressions from an organization in terms of social responsibility, product image and corporate reputation [17]. Consumers will have a preconceived attitude based on different perceptions in the company and influence the final products choice [16]. The corporate image in the catering industry will significantly affect consumer satisfaction and will influence consumer intention [38]. Good corporate reputation positively affects the consumption on organic foods [24], and most scholars believe that corporate image and corporate reputation are synonymous [10]. Based on the TRA theory and the S-O-R model, if an organic food company has a good corporate image, it will enhance the positive and positive effect on the consumer attitude. Therefore, the hypothesis 2 in this study is as follows:

H2: Corporate image has positive impact on consumer's attitude.

### (3) The impact of consumer attitudes on purchase intention

Consumer attitudes are consumers' evaluations on products, purchase processes, or themselves based on a comprehensive perception [6]. When consumers are stimulated by relevant information about a product, they will generate attitudes based on past experience



[32]. Consumer attitudes are the determining factor in the intention to buy green products [2]. Consumers' intention to buy organic food is determined by utilitarian attitudes [20]. Therefore, the hypothesis 3 in this study is presented as follows:

H3: Consumer's attitude has positive impact on purchase intention.

(4) The moderating effect of moral identity

Moral identity is a moral trait that can be organized in relation to ethical behavior, and that people with the same qualities will take this behavior [1]. Green consumers are ecologically conscious, consumers with high moral identity have stronger green preferences, and moral identity causes different perceptions [19]. Individuals with higher moral identity are more concerned with moral-related self or contextual information, and their moral identity is more likely to serve as a moral self-regulation mechanism to stimulate moral judgment and behavior [7]. The higher the consumer have moral identity, the better the image a good organic food company have and the goodwill that electronic word-of-mouth on the green level. Therefore, the hypotheses 4 and 5 in this study are as follows:

H4: The higher the consumer's moral identity, the more positive the impact of corporate image on consumer's attitude.

H5: The higher the consumer's moral identity, the more positive the impact of electronic word of mouth on consumer attitudes

(5) The moderating effect of self-efficacy

Self-efficacy refers to the individual's perceived control for the environment and behavior [27]. Consumers with high self-efficacy have confidence in their abilities and will work hard to complete the purchase. Individuals believe that they have the ability to dominate specific behaviors [21]. Self-efficacy has a strong explanatory power for consumers' environmental consumption behaviors [33]. Consumers with higher efficacy, the correlation between environmental consumption attitudes and environmental consumption behaviors is stronger [5]. Regarding organic food consumption, people with high self-efficacy tend to pay more for paying premiums and environmental protection. Therefore, the hypothesis 6 in this study is as follows:

H6: The higher the consumer's self-efficacy, the more positive the impact of consumer's attitude on purchase intention.

(6) The moderating effect of impression management motivation

Impression management motivation reflects the desire to create a particular impression in the minds [36]. Finkelstein and Penner [8] define impression management motivation as "hoping to maintain a positive image and appear more in contexts related to the environment. When a person has a strong impression management motivation, they will do something characteristic to make them seem more moral [15]. When consumers buy green products in public, they will increase their purchases because it is an altruistic behavior approved by the society [12]. People buy organic foods in the hope of getting credit for pro-social behavior. Therefore, the hypothesis 7 in this study is presented as follows:

H7: The higher the motivation of consumer's impression management, the more positive the impact of consumer's attitude on purchase intention.

### 3. Research methods and design

#### 3.1 Research architecture

Based on the "attitude- Purchase Intention" model in the theory of rational behavior and the SOR theory, this study constructed an organic food purchase intention model by taking the two variables of organic food corporate image and electronic public praise as external stimulus and consumer attitude as the mediating variable. Considering the moderating effects of self-efficacy, impression management motivation and moral identity, the following research framework is proposed. The framework of this study is summarized in fig 1.

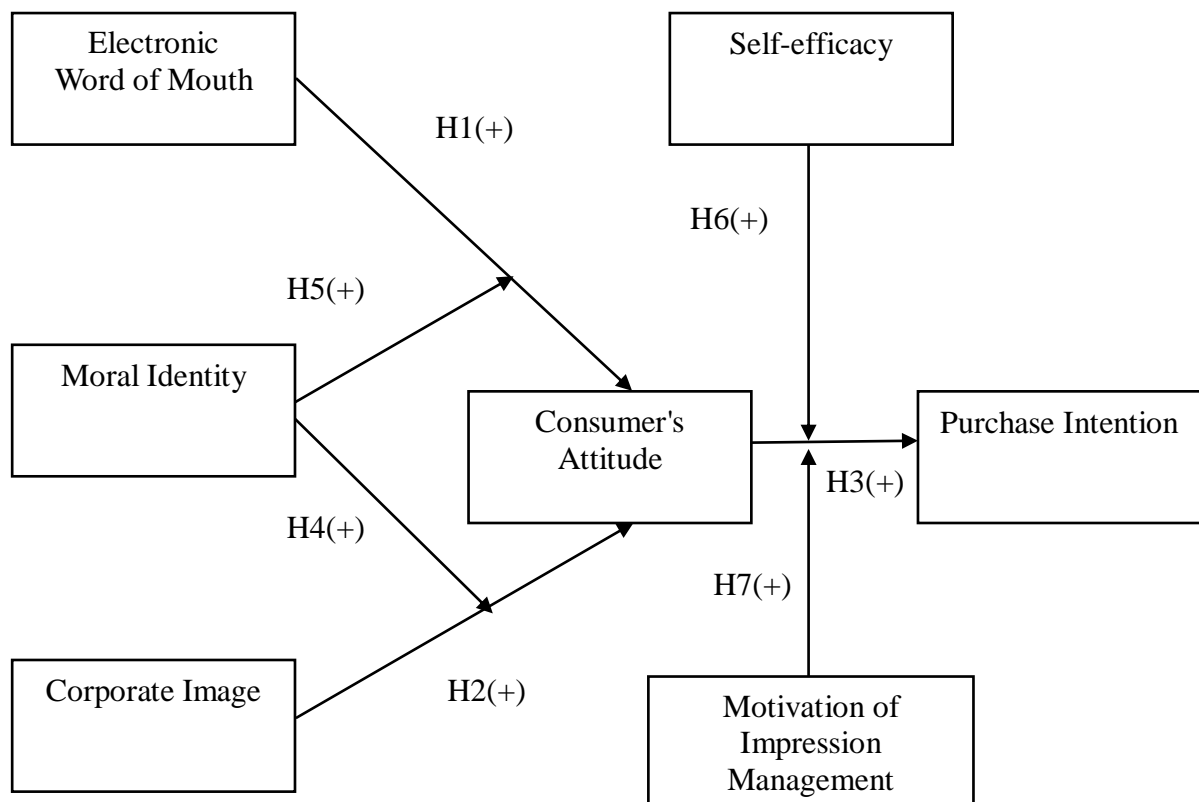


Fig1. The conceptual framework of research  
 Source: by this study

#### 3.2 Variable definition and measurement

##### (1) Definition of variables

The definitions of this study are summarized in table 1.

Table 1: Definition of variables

Variables	Definition	Resources
Electronic Word of Mouth	Any comments made by real, potential or past consumers about organic foods will have a broader impact on the web.	Hennig <i>et al.</i> [13]
Corporate Image	It is the final result of people's knowledge, beliefs, thoughts, feelings or impressions on organic food companies.	Ko <i>et al.</i> [17]
Consumer's Attitude	When consumers are stimulated about organic food-related information, they evaluate the product, the purchase process, or itself based on a comprehensive perception.	Sengupta and Fitzsimons [32] Burton <i>et al.</i> [6]
Purchase Intention	The possibility of consumers buying organic food.	Yadav and Pathak [41]
Moral Identity	It is a self-concept formed around a series of moral characteristics, a psychological representation on a person's moral traits.	Aquino and Reed [1]
Self-efficacy	Consumers' confidence in their own abilities	Rodgers <i>et al.</i> [27]
Motivation of Impression Management	Consumers want to maintain a positive image	Finkelstein and Penner [8]

Source: by this study

## (2) Measuring variables

Regarding the measurement project on electronic word-of-mouth, this study combines the scale of Bambauer and Mangold [3] to design an 8-item scale for electronic word-of-mouth. With regard to the corporate image measurement project, this study combines the Ko' [17] scale to design a 9-item scale for corporate image from three levels: social responsibility, product image and corporate reputation. With regard to the measurement project on consumer attitude, this study combines with the scale of the wang [39], designs the consumer attitude 6-item scale. Regarding the measurement project on purchasing intention, this study selects Teng and Lu' [35] 5-item scale for purchasing intention. For measuring moral identity, this study uses the 13-item scale developed by Aquino and Reed [1]. Since the general self-efficacy scale is intended to broadly and steadily measure consumers' beliefs about responding effectively to stress situations, this study combined the GSES developed by Schwarzer and Born [31] to design a 10- item scale. For measuring impression management motivation, this study uses the Scheier and Carver' [30] 7-item scale. For each item uses the Likert five-level scale to measure the respondents' responses. The tone is from objection to approval. The scores range from 1 to 5, where 1 means very disagree, and 5 means very agree.

## (3) Control variables

Previous studies on organic food consumption have shown that consumers' social statistical characteristics have an impact on organic food consumption, including: the education level and consumers income ,which significantly affect consumers' demand for organic food [25], Age and female respondents have an impact on organic food preferences 2. Therefore, the above statistical features are used as control variables in this study.

### 3.3 Research objects and data collection

#### (1) Research sample

Beijing is China's political, economic, and cultural center. With a large population, urban residents are more likely to afford high-level consumption and better understand organic food [26]. In the sample selection, this study adopts the convenience sampling method in non-random sampling. The investigators selected the entrance and exit of each supermarket and the organic food specialty stores in different time periods, and completed the collection of consumer data by means of questionnaire survey.

## (2) Questionnaire issuance and recycling

If it is a regional study, the average sample size should be between 500 and 1000 [34]. Online surveys can reduce costs, increase efficiency, and increase the scientific and accurate data collection [22]. The survey was conducted using an electronic questionnaire, and an online on-site scanning codes survey was used to conduct surveys of 500 electronic questionnaires.

### *3.4 Data analysis method*

This study uses SPSS25.0 and AMOS21.0 analysis software for data analysis, which includes descriptive statistical analysis of demographic characteristics. Reliability is measured by Cronbach's Alpha value. Validity is measured using discriminant validity and convergence validity [20]. The hypothesis in this study will be tested by regression analysis. The mediating effect of the variables is verified by hierarchical regression analysis, and the regulation is verified by hierarchical interference regression analysis [4].

## **4. Expected research results**

In the organic food consumption field, the expected conclusion is that the corporate image and electronic word-of-mouth positively influence the attitude of consumers, and consumers with higher moral identity have stronger influence. At the same time, consumers' self-efficacy and impression management opportunities reinforce the positive impact of consumer attitudes on purchase intentions.

In practice, this study helps guide the way companies do business. Enterprises can use multiple channels (such as opinion leaders, experts, self-media, hot-spot APP) to widely publicize company's image and products, thereby enhancing consumer awareness and goodwill, and forming a competitive advantage that cannot be imitated. If the corporate image and electronic reputation are still not popular, the company can temporarily adopt an avoidance strategy and strengthen the management and shaping image and word of mouth. In addition, considering the psychological and ethical consumers characteristics, enterprises should strengthen the self-interest and altruistic characteristics of organic food consumption, so that consumers can feel the correlation between organic consumption and environmental protection and themselves, and perceive the influence and recognition of their behaviors on environmental protection and the whole society. This study provides a broader marketing perspective for organic food companies.

In theory, this study analyzes the effects of external factors and consumer psychological factors on organic food consumption. It expands the research content of influencing factors of organic food consumption behavior and enriches the theoretical application of corporate image, electronic public praise, moral identity, self-efficacy and impression management motivation in the organic food industry. The action path of the above factors and the regulating effect on the transformation process of "attitude-intention" of green consumption are determined. Subsequent research can further explore new influencing factors based on this perspective.

Finally, this study takes the Chinese market as the research center, and the research may have certain limitations. This study did not explore the variables conformation, and subsequent studies could be further refined from the different facets . This study did not distinguish between organic foods categories, and subsequent studies could be discussed in detail based on different organic industries.

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# **Grey Relational Analysis of China's Industrial Structure and Economic Growth**

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## **Abstract**

From the perspective of the correlation between industrial structure and economic growth, this paper establishes a grey relational model through the grey relational analysis method. The relationship between GDP and the output value of China's three major industries and various industries in the national economy in the same period was calculated, examined through MATLAB. The results show that China's secondary industry contributes the most to the development of the national economy, followed by the tertiary industry and the primary industry. Industry · Wholesale and retail · Accommodation and catering industry ranks in the top three in terms of GDP · with relative potential for investment development. thus providing a reference for foreign investors to make direct investment choices in China.

**Keywords:** FDI, economic growth, national economic industry, grey relational analysis.

## **1. Introduction**

Since the reform and opening up, China has joined many economic free trade zones, such as China - ASEAN ( " 10 + 1 " ), China - Switzerland, etc., and the combination of the " introducing " strategy advocated by China and the " going out " strategy advocated by " the belt and road initiative " constitute the two pillars of China's expansion of opening up in the new era. On November 5, 2018, Chinese Chairman Xi Jinping pointed out at the opening ceremony of the first China International Import Expo that " Openness has become a distinctive symbol of contemporary China. China's continuous expansion of opening to the outside world has not only developed itself but also benefited the world ". This is an undoubted contribution to the whole world. Current researches show that FDI is one of the main driving forces for economic growth, especially for developing countries where attracting foreign capital is of great significance. For example, Sun [1] obtained through empirical analysis that FDI has a significant impact on economic growth in the eastern region of China and is also the most important factor which causes economic differences between the eastern and western regions. At the same time, Xiao and Shen [2] show that one of the main factors to attract foreign investment is the GDP, which comprehensively reflects the domestic economic environment and determines the average market income level.

However, the relationship between GDP and FDI is not easy to clarify, as there are many factors affecting these two terms. A better instrument is needed to help us understand this relationship, and this is why this paper chose the grey relation analysis to obtain clear results.

## **2. Literature Review**



Han[3]believes that economic growth and industrial structure change are interdependent. The industrial structure can dynamically reflect the relationship between industries in a country or a region, and can also measure the level of the economic development of a country or a region.Elhorst [4] empirically analyzed the impact of industrial structure upgrading on regional economy and employment. The study found that there are differences in the contribution rates of different industries in promoting economic growth and employment growth. Zhu and Deng[5]measured the contribution of the three major industries to economic growth by establishing a regression equation. Recent results from Xu[6], Yang[7], Ma[8] and other empirical analysis of the correlation between regional economic development and industrial structure in Beijing, Chengdu, Fujian, and other areas reflects the economic development of various regions.

The existing literature provides many research methods for industrial structure and economic development, and there are many research results for the regional economy. Yet, the application of grey relational theory on this topic has been largely overlooked by most researches in China. Therefore, this paper tries to use the gray correlation analysis to analyze the impact of various industries, under the industrial structure of China, on GDP by using GDP and industry-added value data. Meanwhile, it is also strived to reflect the development of China's market economy since the reform and opening up, as well as providing investment advises and reference for investors from various countries.

### 3. Research method

#### 3.1 Sample selection

Zhu and Deng[5]put forward that China's industrial structure has experienced five different stages of development. In an attempt to more reasonably reflect the real economic market situation of the new era in China, this paper selects related data from 2000 to 2017.

According to the "National Economic Industry Classification", (GB/T4754-2017) [9]the three industries can be subdivided into a total of 20 categories of A-T industries. However, the National Bureau of statistics reformed the new method of accounting for R&D expenditure, and the sub-industry data was revised in 2011. Therefore, this article uses the nine major industries data published.

Table 1 Major industries under the three industries.

Primary industry	Secondary industry		Tertiary industry					
Agriculture, forestry, animal husbandry and fishery	Industry	Construction industry	Wholesale and retail	Transportation, storage and postal services	Accommodation and catering	Finance	Real estate	Other industries

Other industries: information transmission, software and information technology services I, leasing and business services L, scientific research and technology services M, water conservancy, environment and public facilities management industry N, residential services, repairs and other services O, education P, health and social work Q, culture, sports and entertainment industry R, public management, social security and social organizations S.

Sources: China Statistical Yearbook (2018) compiled by the National Bureau of Statistic

### 3.2 Grey Relational Analysis

Due to the limited statistical data in China, it is difficult to meet the data requirements of traditional econometric analysis under the interference of various factors. This paper adopts the grey relational analysis method first proposed by Deng[10]. It requires less data, not limited to large samples, doesn't have to obey the conditions of typical distribution, and is suitable for the factor analysis of dynamic changes in complex systems. Besides, this method has been applied in various fields, especially in the social and economic fields ( Man and Zhu [11]). Xu[12] also showed that GRA can more intuitively grasp the developing relationship between industrial structure and economic growth. The calculation steps are as follows:

(1) Establishing a reference sequence:  $X_0 = (X_0(1), X_0(2), \dots, X_0(k))$ ,  $k$ : the original data of the  $k^{\text{th}}$  year; Comparison sequence:  $X_i = (X_i(1), X_i(2), \dots, X_i(k))$ ,  $i = 1, 2, \dots, m$ ;  $M$  indicates the number of influencing factors.

(2) Eliminating dimensional treatment.

$$X'_i = \left( \frac{X_i(1)}{X_i(1)}, \frac{X_i(2)}{X_i(1)}, \dots, \frac{X_i(k)}{X_i(1)} \right) = (X'_i(1), X'_i(2), \dots, X'_i(k))$$

(3) Difference sequence.  $\Delta_{0i}(k) = |X'_0(k) - X'_i(k)|$ ,  $i = 1, 2, \dots, m$

(4) Calculating the correlation coefficient. The resolution coefficient  $\xi$  is usually 0.5

$$r(X_0(k), X_i(k)) = \frac{\min_i \min_k \Delta_{0i}(k) + \xi \max_i \max_k \Delta_{0i}(k)}{\Delta_{0i}(k) + \xi \max_i \max_k \Delta_{0i}(k)}, \xi \in (0, 1), k = 1, 2, \dots, n; i = 1, 2, \dots, m$$

(5) Calculating the grey relational degree.  $r_{0i} = \frac{1}{n} \sum_{k=1}^n r_{0i}(k)$ ,  $i = 0, 1, \dots, m$

## 4. Results and Discussion

Programmed according to the mathematical formula of grey correlation analysis, MATLAB is used to achieve the calculation results shown as follows in turn (owing to the space limited, only 3 decimal places are reserved for the displayed data). See Annex 1 for the MATLAB program.

### 4.1 Grey Relational Analysis of GDP and Three Industries

(1) Determining a reference sequence  $X_0(k)$  and a comparison sequence  $X_i(k)$ , wherein  $i = 1, 2$  and 3 correspond to first, second and third industries; For the 18<sup>th</sup> year, 2017, the original data are shown in Annex 1.

$$X_0(k) = (X_0(1), X_0(2), X_0(3), X_0(4), \dots, X_0(18))$$

$$X_i(k) = \begin{pmatrix} X_1(k) \\ X_2(k) \\ X_3(k) \end{pmatrix} = \begin{pmatrix} X_1(1) & X_1(2) & X_1(3) & X_1(4) & \dots & X_1(18) \\ X_2(1) & X_2(2) & X_2(3) & X_2(4) & \dots & X_2(18) \\ X_3(1) & X_3(2) & X_3(3) & X_3(4) & \dots & X_3(18) \end{pmatrix}$$

(2) Dimensionless treatment. In this study, the initial value is used to normalize the data so that the indexes can be compared. Table 2.

$$X'_0(k) = (X'_0(1), X'_0(2), \dots, X'_0(18)) = \begin{pmatrix} \frac{X_0(1)}{X_0(1)} & \frac{X_0(2)}{X_0(1)} & \dots & \frac{X_0(18)}{X_0(1)} \end{pmatrix}$$

$$X'_i(k) = \begin{pmatrix} X'_1(k) \\ X'_2(k) \\ X'_3(k) \end{pmatrix} = \begin{pmatrix} \frac{X_1(1)}{X_1(1)} & \frac{X_1(2)}{X_1(1)} & \frac{X_1(3)}{X_1(1)} & \frac{X_1(4)}{X_1(1)} & \dots & \frac{X_1(18)}{X_1(1)} \\ \frac{X_2(1)}{X_2(1)} & \frac{X_2(2)}{X_2(1)} & \frac{X_2(3)}{X_2(1)} & \frac{X_2(4)}{X_2(1)} & \dots & \frac{X_2(18)}{X_2(1)} \\ \frac{X_3(1)}{X_3(1)} & \frac{X_3(2)}{X_3(1)} & \frac{X_3(3)}{X_3(1)} & \frac{X_3(4)}{X_3(1)} & \dots & \frac{X_3(18)}{X_3(1)} \end{pmatrix}$$

(3) Difference sequence, the absolute difference between the comparison sequence and the reference sequence is calculated to obtain Table 2.

$$\Delta_{0i}(k) = |X'_0(k) - X'_i(k)|, \Delta_{0i}(k) = (\Delta_{0i}(1), \Delta_{0i}(2), \dots, \Delta_{0i}(18)) i = 1, 2, 3$$

Table 2 China's GDP, Pretreatment and Difference Calculation of Three Major Industries.

Dimensionless treatment					Difference sequence			
Year	GDP	Primary industry	Secondary industry	Tertiary industry	Year	Primary industry	Secondary industry	Tertiary industry
2000	1.000	1.000	1.000	1.000	2000	0.000	0.000	0.000
2001	1.106	1.053	1.088	1.145	2001	0.052	0.018	0.040
2002	1.214	1.100	1.185	1.289	2002	0.114	0.029	0.075
2003	1.370	1.153	1.373	1.448	2003	0.217	0.003	0.077
2004	1.614	1.420	1.627	1.670	2004	0.194	0.013	0.057
2005	1.868	1.482	1.929	1.941	2005	0.386	0.061	0.073
2006	2.188	1.584	2.285	2.300	2006	0.604	0.097	0.112
2007	2.695	1.888	2.773	2.903	2007	0.807	0.078	0.208
2008	3.186	2.225	3.284	3.429	2008	0.961	0.098	0.243
2009	3.481	2.321	3.508	3.879	2009	1.160	0.026	0.398
2010	4.119	2.675	4.196	4.563	2010	1.444	0.078	0.444
2011	4.879	3.137	4.972	5.416	2011	1.743	0.093	0.537
2012	5.389	3.459	5.357	6.136	2012	1.930	0.031	0.748
2013	5.936	3.759	5.736	6.967	2013	2.176	0.199	1.031
2014	6.422	3.964	6.078	7.721	2014	2.457	0.343	1.299
2015	6.871	4.135	6.176	8.676	2015	2.736	0.695	1.805
2016	7.415	4.326	6.494	9.609	2016	3.089	0.921	2.194
2017	8.185	4.219	7.287	10.675	2017	3.965	0.898	2.490

(4) Calculating the correlation coefficient. The correlation coefficient refers to the geometric distance between the reference sequence and the comparison sequence at each time point. The bigger the value, the greater the correlation degree between the two index sequences on the corresponding index. See table 3.

$$r_{0i}(k) = \frac{\min_i \min_k \Delta_{0i}(k) + \xi \max_i \max_k \Delta_{0i}(k)}{\Delta_{0i}(k) + \xi \max_i \max_k \Delta_{0i}(k)}, \xi=0.5, k = 1, 2, \dots, n; i = 1, 2, \dots, m$$

(5) Calculating the grey correlation degree. The correlation coefficients are many and scattered, and cannot be compared uniformly. The degree of correlation concentrates the correlation coefficients and generally reflects the degree of importance. The greater the value, the stronger the correlation. See table 3.

$$r_{0i} = \frac{1}{18} \sum_{k=1}^{18} r_{0i}(k), i = 1, 2, 3; k = 1, 2, 3, \dots, 18$$

Table 3 China's GDP and Relational Coefficient and Degree of Three Major Industries

Grey relational coefficient $r_{0i}(k)$				Grey relational degree $r_{0i}$			
Year	Primary industry	Secondary industry	Tertiary industry	Primary industry $r_{01}$	Secondary industry $r_{02}$	Tertiary industry $r_{03}$	industry
2000	1.000	1.000	1.000				
2001	0.974	0.991	0.980				
2002	0.946	0.986	0.964	0.6687	0.9205	0.8029	
2003	0.901	0.999	0.963				
2004	0.911	0.994	0.972				
2005	0.837	0.970	0.965				
2006	0.767	0.953	0.947				
2007	0.711	0.962	0.905				
2008	0.674	0.953	0.891				
2009	0.631	0.987	0.833				
2010	0.579	0.962	0.817				
2011	0.532	0.955	0.787				
2012	0.507	0.985	0.726				
2013	0.477	0.909	0.658				
2014	0.447	0.852	0.604				
2015	0.420	0.740	0.523				
2016	0.391	0.683	0.475				
2017	0.333	0.688	0.443				

#### 4.2 Grey Relational Analysis of GDP and Various Industries

The total GDP of China from 2000 to 2017 is selected as the reference series  $X_0(k)$ , and the added value data of 9 kinds of national economic industries in the same period is taken as the comparison sequence  $X_i(k)$ , where  $i = 4, 5, \dots, 12$  correspond to agriculture, forestry, animal husbandry, fishery, industry, ..., and other industries.  $k = 1$  represents the first year, 2000, and  $k = 18$  indicates the 18th year, 2017.

$$X_0(k) = (X_0(1), X_0(2), X_0(3), X_0(4), \dots, X_0(18))$$

$$X_i(k) = \begin{pmatrix} X_4(k) \\ X_5(k) \\ \dots \\ X_{12}(k) \end{pmatrix} = \begin{pmatrix} X_4(1) & X_4(2) & X_4(3) & \dots & X_4(k) \\ X_5(1) & X_5(2) & X_5(3) & \dots & X_5(k) \\ \dots & \dots & \dots & \dots & \dots \\ X_{12}(1) & X_{12}(2) & X_{12}(3) & \dots & X_{12}(k) \end{pmatrix}$$

As in the previous section, by using grey relational analysis and MATLAB software, the comprehensive grey relational degree and ranking of 9 sub-sectors and GDP under the three major industries are calculated as shown in table 4.

Table 4 Relational Degree and Ranking of Subdivided Industries under Three Major Industries

Primary industry $r_{01}$	Secondary industry $r_{02}$	Tertiary industry $r_{03}$						
Agriculture, forestry, animal husbandry and fishery $r_{04}$	Industry $r_{05}$	Construction industry $r_{06}$	Wholesale and retail $r_{07}$	Transportation, storage and postal services $r_{08}$	Accommodation and catering $r_{09}$	Finance $r_{010}$	Real estate $r_{011}$	Other industries $r_{012}$
0.725	0.917	0.828	0.875	0.790	0.858	0.721	0.726	0.760
8	1	4	2	5	3	9	7	6

## 5. Conclusion

This paper selects GDP from 2000 to 2017 to reflect China's economic development and the average market income level in the new era, and chooses the added value of the three major industries and sub-sectors to reflect the industrial structure. Through an empirical analysis of the impact of industrial structure on economic development,  $r_{02} > r_{03} > r_{01}$  is obtained, indicating that China's secondary industry contributes the most to the development of the national economy, followed by the tertiary industry and the primary industry. On the one hand, it shows that China has not yet reached the "321" stage, the highest stage of industrial structure development, which is the First Clark Theorem 4. On the other hand, it reveals that the pillar industry of China's domestic economic market at this stage is the secondary industry, with relative potential for investment development.

By subdividing China's three major industries, the grey relational analysis is carried out between nine national economic industries and GDP, thus obtaining  $r_{05} > r_{07} > r_{09} > r_{06} > r_{08} > r_{012} > r_{011} > r_{04} > r_{012}$ . It indicates that the industry in the secondary industry contributes the most to GDP, followed by the wholesale and retail trade, accommodation and catering industry in the tertiary industry, the construction industry in the secondary industry, transportation, warehousing and postal services in the tertiary industry, other industries, real estate industry, agriculture, forestry, animal husbandry and fishery in the primary industry. The financial industry in the tertiary industry has the weakest impact. What is worth noting is that since April 2018, Bank of China and the two conferences [the National People's Congress (NPC) and the Chinese People's Political Consultative Conference (CPPCC)] have successively released more than 10 policies related to the financial opening to the outside world. A number of market access and business expansion initiatives in foreign banking, securities, insurance, funds and futures industries have gradually come to an end (Ma [13]), which is also an opportunity for investors around the world.

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## Appendix 1: MATLAB program

```
clc, clear, close all
```

```
a=[                                %import data

]

a=a'

for i=[1:4]

    a(i,:)=a(i, :)/(a(i,1));

end

a=a'

[m,n]=size(a);

cankao=a(:,1)

t=abs(repmat(cankao,[1,n])-a);

mmin=min(min(t));

mmax=max(max(t));

rho=0.5;

xishu=(mmin+rho*mmax)./(t+rho*mmax)

w=repmat(1/18,1,18)

guanliandu=w*xishu

[gsort,ind]=sort(guanliandu,'descend')

guanliandu=guanliandu'
```

# **A Study of Effect of Hofstede's cultural dimensions theory on Employee loyalty: The Mediating Effect Analysis of Leader-Member Exchange Relationship**

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## **Abstract**

In the final analysis, the competition among countries in the world is the competition of talents, and the competition among enterprises is also the case. How to make excellent employees identify with and be loyal to the enterprise and ultimately remain effective for the enterprise is particularly critical. This article studies employee loyalty from the Hofstede's cultural dimensions theory and leader-member exchange relationship, and aims to provide some reference for multinational corporations to establish effective employment and retention mechanisms and policies in Asian regions. In this paper, a questionnaire survey was used to survey 400 employees. Inspected the relationship between the Hofstede's cultural dimensions theory and leader-member exchange relationship and employee loyalty. This paper discusses the mediating effect of leader-member exchange relationship on the influence of Hofstede's cultural dimension theory on employee loyalty. Through empirical analysis, this paper draws the following conclusions: (1) Hofstede's theory of cultural dimensions has a positive effect on employee leader-member exchange relationship. Hofstede's five cultural dimension theories have a positive effect on employee leader-member exchange relationship. (2) Hofstede's cultural dimension theory has a positive effect on employee loyalty. (3) The employee's leader-member exchange relationship has a positive effect on employee loyalty. (4) leader-member exchange relationship plays a mediating role in Hofstede's cultural dimension theory and employee loyalty. (5) Highly-matched Hofstede's cultural dimension theory, through high-quality leader-member exchange relationship, can strengthen employee loyalty. (6) Hofstede's cultural dimension theory and employee leader-member exchange relationship may have dual effects on employees' corporate loyalty.

**Keywords:** Hofstede's cultural dimension theory; leader-member exchange relationship; Employee loyalty; mediating effects

## **1. Introduction**

With the globalization of the economy, joint ventures and foreign-invested companies have increased. In an enterprise, more and more employees come from different cultural backgrounds and different countries. However, how to allow excellent employees to identify and be loyal to the company and eventually stay the issue of serving the enterprise has become increasingly important.

In an organization, employees have different cultural backgrounds and educational backgrounds. Employees' corporate identity is also different. Under the combined effect of the two, how will employees' corporate loyalty change? What are the influences of Hofstede's



cultural dimension and employees' sense of corporate identity on employee loyalty? How does the corporate identity of employees and their dimensions play a role in Hofstede's cultural dimension? All questions will be the focus of the author's research and writing this article.

Through the cultural survey questionnaire, the final result can be obtained, because there are differences in culture in the company, and there will inevitably be a derivative contradiction. Because the differences in understanding of culture between employees and leaders can lead to understanding and acceptance errors in some work arrangements, which will have a butterfly effect on the decision-making and future development of companies and enterprises.

## **2. Literature review**

### *2.1 Research on employee loyalty*

#### 2.1.1 Definition of employee loyalty

Employee loyalty is the degree of employee loyalty to the company. It is a quantitative concept. Loyalty is the organic unity of employee loyalty and attitude loyalty. Behavioral loyalty is the basis and premise of attitude loyalty. Attitude loyalty is the deepening and extension of behavioral loyalty.

#### 2.1.2 Employee loyalty influencing factors

There are two main factors that affect employee loyalty: compensation and leadership-member exchange. The relationship between leadership and employees has a far greater impact on employee loyalty than wages. The impact of wages is short-term, and the relationship between leaders and members is a long-term factor. According to this theory, the communication relationship between leaders and members is divided into three aspects: emotional unity, dangling identity and standardized identity. Let us use Hofstede's cultural dimension theory to explain how these three aspects affect employee loyalty. Leadership-member exchange relationships are closely related to economic partnership loyalty. What is its connotation and influence, and further detailed research is needed.

### *2.2 Research on Hofstede's cultural dimensions theory*

#### 2.2.1 The theoretical basis of Hofstede's cultural dimensions theory

In the field of cross-cultural research, in addition to Hofstede's national cultural dimension model, the more popular cultural dimension theory is Edward Hall's high and low context theory, Clark Hung and Schobek's value orientation theory, Cai Andis's individualism-collectivism theory and the theory of cultural architecture of Trumpinas. These different cultural dimension theories interpret and expound cultural differences from different perspectives and entry points. Full use of these theories can help us understand and grasp the differences between different cultures in different dimensions, and effectively use different theoretical guidance. And enrich the practice of cross-cultural communication in the context of globalization. It can be said that the development of the cultural dimension theory to today has presented a systematic development pattern of multidisciplinary intersection, multi-level association, multi-dimensional overlap and multi-perspective integration.

Although the various cultural dimension theories are different in their research, each has its own characteristics, but there are also many overlaps. Among various theories, Hofstede's theory of cultural dimension is the most authoritative and research value.

## 2.2.2 The effect of Hofstede's theory of cultural dimension

Since Hofstede's cultural dimension theory was put forward, the study of Hofstede's cultural dimension theory in business management focused on exploring Hofstede's cultural dimension theory and the variables affecting individual and organizational outcomes. . These outcome variables can be roughly divided into two major categories: attitudes, perceptions, and behaviors. Among them, attitudes and perceptions refer to leader- member exchange relationships. Behaviors include: communication, innovation, and organizational citizenship behavior. The results provided by the organization have also been shown to be closely related to the influence of Hofstede's cultural dimension theory. Studies confirm the inextricable link between Hofstede's cultural dimension theory and these variables.(Buchanan,1974)

## 2.3 Research on leader- member exchange relationship

### 2.3.1 The connotation and structure of leader- member exchange relationship theory in western situations

In organizational behavior and industrial and organizational psychology, leader- member exchange relationship is an individual's psychological attachment to the organization. The basis behind many of these studies was to find ways to improve how workers feel about their jobs so that these workers would become more committed to their organizations. leader- member exchange relationship predicts work variables such as turnover, organizational citizenship behavior, and job performance. Some of the factors such as role stress, empowerment, job insecurity and employability, and distribution of leadership have been shown to be connected to a worker's sense of leader- member exchange relationship. Westerners think that the sense of dependence is less important than the other two. Westerners pay more attention to the degree of participation in a company and an organization. It is also in line with Westerners' education views to encourage heroism.

### 2.3.2 The connotation and structure of leader- member exchange relationship theory in Asian situation

The biggest difference between the Asian researchers and the West regarding the issue of leader- member exchange relationship is the difference in cultural background between the two sides. The leader- member exchange relationship in the Asian context has a strong sense of attachment. Reliance on identity is important as an Asian in measuring the status of individuals in the organization. Although Orientals will also consider emotional identity and normative identity, they have long been influenced by Confucianism and Orientals value the dependence more. Compared with the sense of participation and normative identity, the Orientals generally believe that it is particularly effective to shoot a headed bird. So more Orientals tend to ignore the sentiment and normative recognition of the company.

### 2.3.3 Effect of leader- member exchange relationship

Leader- member exchange relationship will change employee's work attitude and behavior. Porter and so on believed that leader- member exchange relationship was negatively related to employee turnover intention, and the turnover rate of high leader- member exchange relationship was lower and more willing to stay in the organization; Korean wing found that leader- member exchange relationship would affect employee performance. believed that the work input of the members of the organization was related to leader- member exchange relationship, and It is pointed out that work engagement is a spontaneous and proactive behavior of the members of an organization, while leader- member exchange relationship is a spontaneous action taken by members for consideration of the vital interests of an

organization. Mowday research shows that employees with high leader- member exchange relationship have a high degree of spontaneous innovation behavior. Enterprises should increase their leader- member exchange relationship.

### **3. Objectives**

From the research of Hofstede's cultural dimension theory, it is concluded that the different cultural differences of employees in the company will affect the operation of the company. So this is an important factor affecting the company. The cultural differences between leaders and employees also determine the relationship between each other. It is concluded by the research that the company or business leaders are more likely to communicate with each other and issue orders when they have the same cultural ideas as the employees. Therefore, if you want a company to develop better, you should pay more attention to whether the cultural differences of the company itself are different from the company's employees. If this happens, it is necessary to adjust in time to try to integrate the cultural differences between employees and leaders and companies.

First, from the social background of reality, eliciting problems, reviewing the literature, studying the viewpoints and conclusions drawn by previous people, and presenting their own theoretical models and research hypotheses.

Second, design questionnaires based on research hypotheses and theoretical models, issue and collect questionnaires, use spss software to analyze and process the questionnaire data, and use three dimensions of Hofstede' s cultural dimension theory, leader- member exchange relationship, and employee loyalty to the company. Conduct reliability and validity analysis.

The third uses correlation analysis, regression analysis and other methods to discuss the relationship between Hofstede's cultural dimension theory and leader- member exchange relationship, employee' s leader- member exchange relationship and corporate loyalty, employees' corporate identity, and employee's loyalty to the company. The positive predictive role of employees and the leader- member exchange relationships of employees and their various dimensions have played a mediating role in the relationship between Hofstede' s cultural dimension theory and employees' loyalty to the company. These three variables and their variables have been studied. The influence relationship and impact mechanism.

Based on the analysis and processing of the questionnaire data, the fourth criterion draws conclusions to see whether it supports the hypothesis, and then concludes with the actual situation to extend management implications so as to provide some reference for future management practices.

### **4. Theoretical model and research hypothesis**

The basic hypothesis of Hofstede's cultural dimension theory is that culture is a psychological program shared by people in an environment that can distinguish a group of people from others. Through research, he summed up the differences between different cultures into six basic dimensions of cultural values. Are all such people committed to leader- member exchange relationships? But the hint is affirmative. leader- member exchange relationships still affect many important effect variables, such as employee loyalty.

Employee loyalty is one of the most significant organizational effect variables affecting employees' emotional commitment. Studies have shown that the leadership-member exchange relationship has a significant positive effect on employees' emotional commitment

(Vandenberghe&Stinglhamber,2004). That is, the higher the quality of the leadership-member exchange relationship, the higher the employee's emotional commitment (Vecchio&Gobdel,1984); It shows that leader- member exchange relationship also has a positive impact on employee loyalty, that is, the higher the leader- member exchange relationship, the higher its loyalty. Hofstede's cultural dimension theory and employee's sense of corporate identity have a positive influence on employee loyalty. Therefore, the quality of Hofstede's cultural dimension theory will not be passed by high-quality leader- member exchange relationship. To strengthen employee loyalty, if this idea can be verified, it will play a great role in the theory and practice of human resources.

#### *4.1 Research hypothesis*

The employee's loyalty to the company is emotionally dependent on a state of the organization, embodying the psychological attitude of the employee to the organization's identity, commitment, and loyalty (Buchanan, 1974; Allen et al., 1991). Under the organizational environment in Asia, how to increase employee loyalty and reduce employee turnover is an issue that managers and academics in the enterprise are eager to solve and discuss in depth. The author believes that when the quality of Hofstede's cultural dimension theory is high, when employees encounter difficulties, they may receive support and encouragement, and provide more job-related information. In order to reward the leadership's trust and authority, employees often work harder than their own responsibilities. They show that they feel more support from the company. The employees will be more satisfied with the work they are doing, and then they will have more influence on their own organization. With a sense of identity and loyalty, the level of emotional commitment will be higher. From this, we propose the following research hypotheses

#### **H1: Hofstede's theory of cultural dimensions has a positive effect on employee loyalty.**

H1a rights distance has a positive effect on employee loyalty

H1b Uncertain evasion has a positive effect on employee loyalty

H1c individualism/collectivism has a positive effect on employee loyalty

H1d long-term/short-term orientation has a positive effect on employee loyalty

H1e masculinization \female has a positive effect on employee loyalty

According to Hofstede's theory of cultural dimension, the background of each employee is different, and they have very different recognition and behavior of value. When a small number of people are in line with the company's policies and goals, they will receive high attention, gain more trust and respect, and more work-related interests, their job satisfaction and corporate identity. Higher. In other words, when Hofstede's cultural dimension theory has a high degree of match, employees' sense of identity will be strong. However, the other part is contrary to the culture of the company. Under such circumstances, employees often show grievances and attitudes and feel unfair, which means that when the degree of match of Hoghoffsted's cultural dimension theory is low, employees The leader- member exchange relationship is lower. From this we propose the following research hypotheses

#### **H2: Hofstede's theory of cultural dimensions has a positive effect on employee leader-member exchange relationship.**

H2a rights distance has a positive effect on employee identity

H2b uncertain evasion has a positive effect on employee identity

H2c individualism/collectivism has a positive effect on employee identity

H2d long-term/short-term orientation has a positive effect on employee identity

H2e masculinization and feminization have a positive effect on employee identity

According to the employee-organization matching theory, when the employee's goals and values are matched with the indications, they will make emotional commitments to the organization. Meyer (1991) and others also believe that when the work experience of employees matches their values, they will form employee loyalty to the company, and employees will increase their sense of identity with the company, increase investment in work, and therefore have higher loyalty. We propose the following hypotheses:

**H3: employees' sense of corporate identity has a positive effect on employee loyalty.**

H3A entitlement distance has a positive impact on employee identity.

H3B uncertainty avoidance has a positive impact on employee identity

H3C individualism/collectivism has a positive impact on employee identity.

H3d Long-term/short-term orientation has a positive impact on employee identity.

H3e positivity and feminization have a positive impact on employee identity.

In a company, Hofstede's cultural dimension theory and employees' sense of corporate identity are uncertain. When the employee's sense of corporate identity is lacking, the positive impact of high-quality Hofstedt' s cultural dimension theory on employees will compensate for the negative impact of lower identity. A common cultural background, even if different from the sense of identity, will leave employees to work in the company. Therefore, we propose the following research hypothesis

**H4: The employee organization promised to mediate between Hofstede's cultural dimension theory and employee loyalty to employees.**

H4a employee organization promises mediation between rights distance and employee loyalty

H4b employee organization promises to mediate between uncertain avoidance and employee loyalty

H4c employee organization promises to mediate between individualism, collectivism and employee loyalty

H4d employee organization promises mediation between long-term\short-term orientation and employee loyalty

H4e employee organization promises to mediate between masculinization and femininity and employee loyalty

*4.2 Theoretical models*

Based on the above assumptions and past research results, this study focuses on the current stage of the organizational context of Asia, the relationship between Hofstede's cultural dimension theory, leader- member exchange relationship, and their dimensions to influence employee loyalty and attempts to The sense of corporate identity serves as an intermediary variable to examine how the employee's sense of identity and the various dimensions of the employee play a mediating role in Hofstede's theoretical dimension of cultural dimension.

Based on the previous literature review and combined with the above analysis, we propose the theoretical model of this research as shown in Figure 2



Figure 1 Theoretical model of this research

## 5. SAMPLES, SCALES AND RESEARCH METHODS

### 5.1 Samples

In this study, Asian companies were the main survey subjects: different types of companies such as Asia, Singapore, Thailand, and Vietnam, 400 questionnaires were distributed and 376 were recovered. The recovery rate was 94%, of which 334 were valid, and the effective recovery rate was 88.5%. Most of the questionnaires were obtained on the spot and the details of the samples were as follows:

Table 1 Study sample

Demographic characteristics		Number of people	Percentage
Gender	male	220	65.8
	Female	114	34.2
Marital status	married	148	
	unmarried	186	
Age	Under 25	152	
	26-35	148	
	36-45	29	
	More than 46	5	
Education	Undergraduate	154	
	College	101	
	Undergraduate	73	
	Master and above	6	
Working years	Less than 3 years	164	
	3-6 years	82	
	6-15 years	66	
	More than 15 years	22	
Position	General staff	207	
	General managers	79	
	Middle management	40	
	Senior management	8	

## 5.2 Definition and measurement of major variables

### 5.2.1 The definition and measurement of employee loyalty

Employee loyalty to employees refers to employees' psychological recognition of the organization and is the leader- member exchange relationship put forward. Numerous studies have shown that loyalty is the most important influencing factor in leader- member exchange relationship. Using it as an alternative to employees' identification with companies is not only feasible but also more accurate. In employee loyalty measurement, (Mowday & Porter, 1979) developed the "leader- member exchange relationship questionnaire" (QCA scale), although its original intention is to measure leader- member exchange relationship, but Mowday and Allen's research results show that the QCQ scale The main measure is employee loyalty. The QCQ scale is the most comprehensive and most characteristic measure of employee loyalty to date. Developed the Emotional Commitment Scale based mainly on the revision of the Mowday scales, and the exclusion of the questionnaire on turnover intentions resulted in the formation of an 8-question scale for emotional commitment.

This paper uses the Emotion Commitment Scale proposed (Meyer et al., 1993). The scale includes six items. The measurement was selected using the Likert 5 scale (1=very disagree; 5=strongly agree).

Table 2 The Emotional Commitment Scale used in this paper

TABLE 2	
NO.	content
c1	I am happy to develop my career in this company for life
c2	I think the company's business is my personal business
c3	The company gives me a strong sense of belonging
c4	I have deep feelings for people and things in the company
c5	I feel like a member of an extended family in the company
c6	I think the company is extraordinary for me
Cumulative variation interpretation (%)	
Gauge consistency coefficient ( $\alpha$ )	

### 5.2.2 The definition and measurement of Hofstede's cultural dimension theory

Hofstede's cultural dimensions theory is a framework for cross-cultural communication, developed by Geert Hofstede. It describes the effects of a society's culture on the values of its members, and how these values relate to behavior, using a structure derived from factor analysis.

Based on Hofstede's cultural dimension theory, Chen developed a dimension scale of Hofstede's cultural dimension theory in the context of Asia, with 22 items in total. Measurements using LIKERT five scales (1=very disagree; 5=strongly agree)

Table 3 The Hofstede Cultural Dimension Theory Relationship Scale used in this paper

TABLE 3	
NO.	content
a1	Company's distribution has rules to follow
a2	The company's distribution is open and transparent
a3	The company's distribution system can be well implemented
a4	The company's employees can participate in the development of the distribution system
a5	All people are equal before the distribution system
a6	The company's distribution system can represent the wishes of the majority
a7	Remuneration reflects my efforts to work
a8	Compared with other colleagues, my compensation is reasonable
a9	My reward reflects my efforts to work
a10	Compared with colleagues with the same job and duties, my compensation is reasonable
a11	In terms of my workload and responsibilities, my compensation is reasonable
a12	In terms of my job performance, my compensation is reasonable
a13	The leader has no prejudice against me
a14	My work has been recognized by leaders
a15	Leadership is right for me
a16	At work, leaders can give me support and help
a17	I think I got enough respect from the leaders
a18	The leadership's assessment of me is just
a19	There are opinions on the results of the distribution, and the leaders will interpret patiently
a20	Have opinions on the assigned procedures and processes, and the leaders will give me a comprehensive
a21	I think leadership makes sense in explaining the distribution process and results.
a22	Leaders are very concerned about my thoughts on distribution and can communicate with me in a timely

## 6. Methods

This study intends to use a combination of theoretical and empirical analysis. The theoretical deduction seeks to review, compare, and evaluate relevant literature about Chinese and Western employees' corporate identity, and combines Chinese specific cultural characteristics with logical analysis and documentary evidence to explore employees' sense of identity and employees. The relationship between the sense of identity and employee loyalty to the company and the establishment of an employee-to-business loyalty influencing mechanism theoretical model, thus suggesting that the leader- member exchange relationship of the employee mediates between Hofstede's cultural dimension theory and corporate loyalty. This is a reasonable assumption.

The empirical analysis first uses reliability and validity testing to determine the validity of the research and application scale; collects data, analyzes data, validates hypotheses, and establishes employees' sense of corporate loyalty to the company based on the theoretical framework and assumptions that have been drawn up. Influencing mechanism; through the found rules, inferences and assessments are made from the relationship between Hofstede's cultural dimension theory, employee leader- member exchange relationship, and corporate loyalty, so as to how to coordinate employees' sense of corporate identity in practice and improve leadership. Effectiveness, guiding employees' behaviors and making suggestions for countermeasures; providing evidence for how to build core mechanisms and establishing effective employment mechanisms and policies. The statistical analysis methods that this study will involve mainly include correlation analysis, regression analysis and so on.

## 7. Results



This study studied the relationship between Hofstede's theoretical dimensions of cultural dimension, leader- member exchange relationship, and employee loyalty theory and the relationship between them. Through questionnaires, statistical analysis methods were used for data processing. Finally, the following main findings were obtained: in conclusion:

Hofstede's theoretical relationship of cultural dimension is a positive predictive variable for employees' loyalty. Hofstede's theoretical relationship of cultural dimension is an important positive predictor of leader- member exchange relationship. leader- member exchange relationship is an important positive predictor of employee loyalty to employees. The employee's organization promises to mediate the relationship between Hofstede's cultural dimension theory and employee loyalty.

<b>Hypothetical</b>	<b>result</b>
H1: Hofstede's cultural dimension theory has a positive effect on employee loyalty	√
H1a rights distance has a positive effect on employee loyalty	√
H1b Uncertain evasion has a positive effect on employee loyalty	√
H1c individualism/collectivism has a positive effect on employee loyalty	√
H1d long-term/short-term orientation has a positive effect on employee loyalty	√
H1e masculine\female has a positive effect on employee loyalty	√
H2: Hofstede's theory of cultural dimensions has a positive effect on employees' leader- member exchange relationship	√
H2a rights distance has a positive effect on employee identity	√
H2b uncertain evasion has a positive effect on employee identity	√
H2c individualism/collectivism has a positive effect on employee identity	√
H2d long-term/short-term orientation has a positive effect on employee identity	√
H2e masculinization and feminization have a positive effect on employee identity	√
H3 employees' sense of corporate identity has a positive effect on employee loyalty	√
H4: Employee organization promises in Hofstede's cultural dimension theory Intermediary effect between employee and employee loyalty	√
H2a employee organization promises mediation between rights distance and employee loyalty	√
H2b employee organization promises to mediate between uncertain avoidance and employee loyalty	√
H2c employee organization promises to mediate between individualism, collectivism and employee loyalty	√
H2d employee organization promises mediation between long-term\short-term orientation and employee loyalty	√
H2e employee organization promises to mediate between masculinization and femininity and employee loyalty	√

## 8. Results and discussion

Based on the analysis of Hofstede's cultural dimensional theory relationship, leadership member exchange relationship and employee loyalty theory, this paper examines the relationship between cultural dimension, leadership member exchange relationship and employee loyalty. Discussed the mediating role of the leadership member exchange relationship in the model.

The correlation analysis and regression analysis of the relationship between Hofstede's cultural dimension theory and employee loyalty show that the relationship between leadership and Hofstede's cultural dimension theory has a significant positive impact on employee loyalty. That is, the high-quality Hofstede's cultural dimension theory relationship can effectively improve employee employee loyalty.

The higher the degree of match between Hofstede's cultural dimension theory, the higher the employee's loyalty, and the stronger the employee's leadership-member exchange relationship. The higher the leadership-member exchange relationship, the higher employee loyalty; conversely, the lower the employee loyalty.

Regardless of whether the communication relationship between the leader and the member is high or low, the highly-matched theoretical relationship of the Hofstede cultural dimension will enable employees to have higher employment opportunities.

Uncertainty avoidance and long-term orientation/short-term orientation are the lowest. And, it shows that employees' career planning is important, but the procedural fairness and fairness of information transfer at work are more important.

This study shows that employees' leader- member exchange relationships have the greatest direct impact on employees' corporate loyalty. This can enable business managers to fully recognize the importance of employees to the company, and to the human resources management of the company, especially the mechanisms for employing and retaining human resources. The establishment of these institutions has great potential implications.

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## Career Planning and Incentive of International Students in Thailand: A Case of DPU-CAIC Student

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### Abstract

Since 1993 when China published a policy that encouraged citizens to study abroad, going abroad for education has been more popular as it considered to be beneficial for career planning. Twenty six years have passed the effectiveness of overseas education in relation to career development is still questionable. This study focused on the incentive of studying in Thailand. The qualitative method was adopted to conduct this study. For example, interviews about students' daily informal discussion topics are used to analyze their career planning. Previous literatures are used to review and investigate the education quality of universities and student experiences in Thailand. Finally, the research result conformed that the overseas education might not have impacted in students' career planning as before.

**Keywords:** tendency, teaching quality, Current situations, cultural restriction, mentality.

### 1. Introduction

Because of the tuition fees are much cheaper in Thailand, the number of people who would like to choose to study in Thailand, is increasing. As time passed by, studying abroad might not be that useful. Therefore, we made a survey about "what international students are talking about everyday". According to the Thai Immigration Department, the total number of Chinese residence in Thailand has reached to 9,272 in 2015. As the report of CAIC, Dhurakij Pundit University, it reveals the number of Chinese would be as high as 350,000- 400,000 in the past decade [1].

Regarding to this survey my hypothesis is that, as time passed by, studying abroad may not be as useful as before. However, a large number of people still choose to do so because they can experience various cultures and teaching styles. Especially, studying in Thailand can help to reduce education costs to a great extent due to its low level of tuition fees. In the following context, part 1 is going to be on the backgrounds and current situations of students studying abroad. Part 2 is the methodology and empirical results of this study. Part 3 and 4 will be the presentation and discussion of the study results. And part 5 is the conclusion.

#### *1.1 The career planning and incentives*

Recently, more and more universities or high education organizations pay much attention on the post graduate career planning of their students. With the development of the economy, the demands of corporations and societies have been changes. They require employees to have various skills and abilities, thus to help businesses to progress further. Therefore, job-searching becomes more and more challenging for modern graduates. However, the efforts made by

universities are still far from enough. Although they provide some curriculums about career management, they often tend to be formalized rather than be pertinent to specific problems and students. Additionally, the teaching and education resources that have been placed in job related courses are still not adequate to serve all the students.

Universities are supposed to have measures and policies to fix these problems. Not only teach the students with academic knowledges, but also fit them individually with abilities and qualities that are required in a society with challenging and intense employment pressure [2].

So as far as I am concerned, the universities need to make their career management courses are more specific, and students have to know what they are able to and want to do. Therefore the student's mentality has to be focused. First one is their opinions about their future choices; second one is the motives about why they choose this major or college to study.

### *1.2 The background of studying abroad*

In the 19th century, the Self-Strengthening Movement in China initiated the tendency of studying abroad [3]. Many people such as Lu Xun, the famous author, and Sun Zhongshan, father of the nation, went studying abroad and made great contribution to our country, brought China with advanced ideologies and technologies. As we can see, studying abroad had significant effect at that time. In recent several decades, these positive effects have changed gradually.

In 1993, China changed its policies towards studying overseas being more open and less strict [4]. Even the financial crisis in 1997 did not stop Chinese people's enthusiasm. According to the previous research, although the number of Chinese overseas students' is still growing, but their intentions to stay abroad have shrunk noticeably. The statistic shows that the number of overseas students increased from 144 thousand in 2007 to 608.4 thousand in 2017 [5], whereas merely 13% of student still wanted to seek for long term development abroad [6]. When these people finish their study and come back to china, they will even have more working opportunities.

Because of the globalization, the association between countries is getting closer and closer. Whether studying abroad is not a vital element for career development anymore.

As some countries like the UK are making educations to be more commercialized. It is hard for many people to afford the expensive living and studying costs. Therefore, more and more people would like to choose Thailand to finish their undergraduate and postgraduate study, because generally universities in this country just need one third of the expenditures per year of other countries.

### *1.3 Teaching quality of Thailand*

There is a tendency that more people would like to study at universities in Thailand, because they have cheaper tuition fees and lower price levels. However, people have different judgments on education quality of Thailand. The reasons why Chinese people choose there is because currently China is advocating the One Belt and Road Initiative, they could have more chances for jobs in the future. Another reason is that the Ministry of Education accept education qualifications of Thailand. Lots of people regard this as a bridge to study in other countries. Besides, there is no big quality disparity between private universities and public universities, so people could choose universities according to their financial situations. Furthermore, Thai universities have 357 international courses totally, and provide great opportunities of internship

[7].

Although the education system in Thailand seems to be better than other countries in some aspects, it still have its drawbacks. For instance, after the financial crisis in 1997, some fields in Thailand was severely shocked, so the economy has accordingly stagnated. The education quality needs to be inspected seriously.

#### *1.4 Current situations of Thailand*

With respect to the politics of Thailand, most people would say this country needs to be improved. As for their infrastructure, many people said that transportations cost a lot, because their streets are too narrow and there were lots of stray dogs. It is not safe cause no one knows where those dogs had been and what did they eat, also we don't know if they are carrying any virus. However, because most people in Thailand follow Buddhism, they don't want to hurt the dog. As a result, these stray dogs just wander in the streets and people face the danger caused by stray dogs at any time. What's more, the exchange rates here are not consistent, this problem greatly affect people's feelings towards this country.

#### *1.5 Culture restriction*

Because of some unique cultures in Thailand, some foreigners may feel difficult to be accustomed to these traditions. For example, even university students are required to wear school uniforms, which is not common in any other countries. According to the article of Dhurakij Pundit University, it thinks that wearing uniforms could help students to be more self-discipline and reduce violence in the campus [8]. Unfortunately, they did not consider about temperature of Thailand. It is always above 30°C, wearing uniforms makes people uncomfortable and embarrassing. At the same time, as the infrastructures are incomplete here, student always have to choose bus or "Songthaew", and when they arrive at the university, their uniforms have already soaked by sweat. After that when they sit in the classroom, the air condition makes them feel cold, this could cause some people get sick.

In a word, although people have a difficult time getting used to the local customs, they have no choice but to respect it. This is the cultural restrictions in Thailand that confused international students here.

#### *1.6 Mentality*

Referring to some previous papers, we discovered that there are two factors that affect students' mental health and cross-cultural adaptation, they are level of degrees and the length of living in Thailand. It is also suggested that the international students are under higher risk of suffering because they might meet something stressful, such as culture shock, bullying and so on [1]. Not only can these factors change the study experience of international students, but also affect their career planning and self-cognition.

#### *1.7 Questions*

Since this study was discuss some reasons and opinions to improve people who study abroad which are not so kind of useful, especially study in Thailand, because people have to pay more cost about their low infrastructure and cultural restriction. As this interview, this study makes 4 questions:

Question 1. What do modern Chinese international students care about?

Question 2. Do they care about their career development or future planning?

Question 3. How do Chinese students think about their career planning?

Question 4. Do Chinese students choose Thai universities because they might be helpful to perceive more culture and chance?

## 2. Methodology

### 2.1 Interview

This study involved the interview sessions with the FA-B students, in CAIC, Dhurakij Pundit University. The sample contains 44 students. The topic of interview is “what topics students are talking about.”

Table 1 Quality analysis- encoding trainer chart

No	Factors	Quantity
1)	food	2
2)	Anime	1
3)	Vision & ideality	11
4)	Career planning	9
5)	Major	3
6)	Family of origin	1
7)	Physical condition	2
8)	VR	1
9)	Loving view	10
10)	Future planning	2
11)	Sino-us trade war	1
12)	Opinion about teacher	1
13)	life	2
14)	cognition electronics	1
15)	Games	6
16)	Opinion about college	2
17)	Plan of Postgraduate study	2
18)	Basic information	1
19)	Family situation	1
20)	Chinese new year	2
21)	Experience	1
22)	Daily consumption	1
23)	Music	2
24)	Appearance score	2
25)	Value	3
26)	Sex	1
27)	Fitness	1
28)	Marriage	1
29)	Variety show	3
30)	Self-evaluation	1
31)	others	10

### 3. Results

According to the interview, this study classify these data into 6 categories include “daily, entertainment, love, ideal, future planning and major,” as this chart we probably could know their thinking, chatting way and their care.

Table 2: Quality analysis- encoding trilinear chart

Categories	Quantity ( Total )	Ratio ( % )
Everyday life	33	38.3721%
Entertainment	14	16.2791%
Future planning	13	15.1163%
Bisexual Relationship	12	13.9535%
Aspiration	11	12.7907%
Major	3	3.4884%

### 4. Discussion

The topic that people talk about most commonly is about their everyday life. In the research sample, there were more females than males, but the amount of males who talking about entertainment was even bigger than that of females. In addition, games account for a large proportion of entertainment. We could see how the games affect our generation. As for the bisexual relationship, most people like talking about their opinion upon the relationship, it shows us the undergraduate students generally have mature and objective love values. And the aspiration involves two parts: long-term and short-term. There are two parts in long-term planning as well, career planning and postgraduate study preparing. Lastly, people do not talk too much about their major,

To conclude, most people prefer to talk about entertainment (everyday life, entertainment, and Bisexual Relationship) which accounts for 59 percents and they talk less about work (future planning, aspiration and major) which only takes 26 percents. It shows that students are more interested in their everyday life and they tend to be indifferent about their career planning.

Based on Weiner's Attribution Theory, undergraduate students are every sensitive, which means that they are much easier to be frustrated by outside factors, like the politics, cultural restriction or other externalities [9]. Therefore, although Thai universities have high quality of education, there are still many factors that is affecting Chinese international students' mentality and interest. These factors drive them making different decisions of career planning.

### 5. Conclusion

This study has a couple of limitations. Only the daily informal discussion was used to analyze the student's perceptions on career planning. Furthermore, the sample involved mainly the China international students who are studying in CAIC, DPU. A more formal interview session about career planning could be conducted to get actual facts from the students. To sum up, this paper's findings conformed that the education quality of Thailand are good in general,



and Thai university and higher education institutions offer career development exposures to students, but there are other influences to change one's mind, like cultural restrictions. Through the investigation, it was found that the students did not care about their career development, which has shown that studying abroad might not be helpful in career development as before, and it leads to a result that international students might not consider seriously about their future planning. Chinese international students considering about studying abroad in Thailand because of the cheaper costs will also need to consider the other factors. Based on these findings, it would help international students and the Thai universities to overcome academic and cultural related matters.

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## Appendix A Questionnaire Survey

### Employee loyalty survey

Dear Sir/Madam, Hello!

This is a questionnaire about employee loyalty in your daily relationship with your leaders. There is no right or wrong answer.

This questionnaire is not named and the results will only be used for academic research and will not involve commercial use or personal privacy. We guarantee that all information provided by you will be kept strictly confidential. If you would like information on research results, we will also actively provide feedback.

Thank you for your support and cooperation!

Please read the following questions carefully and tick "√" on the number that matches your situation based on your personal subjective perception.

Totally Disagree	Slightly Disagree	General	Some Agree	Totally Agree
1	2	3	4	5

### The first part: the experience of the relationship with the leadership

Numbering	Topic	Degree of consent				
1	I often communicate with leaders about ideas, opinions and feelings in work and life.	1	2	3	4	5
2	I feel very relaxed when I communicate with the leader.	1	2	3	4	5
3	If the leader decides to leave the company, I will feel lost and upset.	1	2	3	4	5
4	If the leader encounters difficulties in his private life, I will do everything I can to help him/her.	1	2	3	4	5
5	I am willing to obey the leadership unconditionally.	1	2	3	4	5
6	Even if I don't agree with the leader, I will support his/her decision.	1	2	3	4	5
7	I am willing to give up my personal goals to achieve my leadership goals.	1	2	3	4	5
8	I am willing to sacrifice personal interests to meet the interests of leadership.	1	2	3	4	5
9	The leader will let me help with his/her family affairs.	1	2	3	4	5
10	My leader and I will call each other on holidays or visit each other.	1	2	3	4	5
11	In my spare time, I will participate in social activities with leaders, such as eating and entertainment.	1	2	3	4	5
12	I am familiar with the family of the leader and have personal contacts.	1	2	3	4	5

## “激励/保健因素”重要程度感知 与“工作满意度”感知的关系

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### 摘要

随着经济全球化的发展,企业的竞争日益激烈。企业要想壮大,离不开强有力的员工队伍,如何提高员工的工作满意度,也成为企业管理的一个重要内容。本研究采用定量研究方法,通过问卷向贵阳市乌当区居委会 60 名委员进行“激励/保健因素”重要程度感知和“工作满意度”感知进行数据收集,最后用描述性分析法和线性回归分析法对收集到的数据进行分析,从而得出结论。笔者试图探索委员对双因素理论中“激励/保健因素”的重要程度感知与其“工作满意度”感知的关系。结果表明委员“工作满意度”相关的“激励因素”有工作挑战性、成就感,“保健因素”有工作条件、领导能力。乌当区居委会委员的工作满意度处于基本满意的状态,但在工作收入方面的满意度较低。乌当区居委会委员的工作收入需要提高,这对提高委员工作满意度有比较大的帮助。针对工作挑战性、成就感、工作条件、领导能力、人际关系做出适当的调整,有利于改善委员的工作满意度。

**关键词:** 工作满意度; 激励因素; 保健因素

### 1. 引言

居民委员会是居民自我管理、自我教育、自我服务的基层群众自治性组织,是中国人民民主专政和城市基层政权的重要基础,也是党和政府联系人民群众的桥梁和纽带之一。在中国的城市地区有 4 亿多居民通过这一制度直接行使宪法赋予的自治权和民主管理经济、文化和社会事务的权利。

乌当行政区(以下简称“乌当”)是贵州省贵阳市下辖的六个市辖区之一,位于贵阳市区东北部。其范围内有 5 个社区,划辖 15 个社区居委会,共有委员 60 人。由于居委会委员的工作涉及居民利益,又是政府和群众的桥梁,因此,居委会委员的工作情况,会对群众的利益产生影响,而工作情况,又与工作满意度息息相关。

### 2. 研究问题

居民委员会所处的特殊环境,让居委会委员在处理民生问题时,扮演了重要的角色。居委会委员的工作绩效将直接关系社区居民对居委会的服务感受,让人民群众真切地感受到政策法规给自己生活带来的好处,有利于提高社区居民生活满意度。

郝金磊、尹萌(2018)指出,工作满意度对任务绩效和关系绩效有显著正向影响。目前,有关居委会委员工作满意度的研究资料缺乏,属于理论研究的缺失环节,具有较显著的理论研究价值。因此,研究居委会委员的工作满意度以及“激励/保健因素”重要程度感知与委员“工

作满意度”感知的关系，成为了本文的研究问题。本研究通过调查居委会委员的整体工作满意度感知以及委员对“激励/保健因素”的重要程度感知，科学的分析两者之间的关系。

笔者为了达到找到“激励/保健因素”重要程度感知与“工作满意度”感知关系的目的，提出以下议题：

议题一：整个乌当区居委会委员的总体工作满意度如何？

议题二：委员对“激励/保健因素”的重要程度感知如何？

议题三：“激励/保健因素”的重要程度感知与“委员工作满意度”感知有什么关系？

### 3. 文献综述

有关工作满意度影响因素的研究最早始于西方学者。Mayo 在 1927 年到 1936 年，领导由哈佛大学和芝加哥的西方电器公司联合组成的调查队，在霍桑地区进行了著名的霍桑实验。孙耀君（1980）介绍了梅奥和罗特利斯伯格进行的“霍桑实验”，实验结果显示，员工满意度与员工的人际关系，安全感，社会需求满足程度，工人个人情况，工作场所，领导能力等因素有关。Herzberg（1968）提出双因素理论，他将影响工作满意度的因素分为“激励因素”和“保健因素”，其中，工作本身、成就感、提升、赏识和责任感常被说成是满意的根源，这一组因素被称为“激励因素”，与工作内容有关；管理、人际关系、工作条件、薪金等常被说成是不满意的原因，这些因素称为“保健因素”，和工作的周围事物有关。Campbell（1991）指出，工作满意度影响因素个人因素、升职可能性、工作反馈、工作认同、工作本身和环境因素。Nancy（1996）研究了工作满意度与人口学变量、组织特征和角色取向三个因素的关系。

Herzberg 将影响员工工作满意的因素分为两类。一类是激励因素，是指能让员工感到满意的因素。激励因素的改善能够使员工感到满意，能够激发员工工作热情，提高生产效率。若是激励因素没有得到满足，往往也不会让员工产生不满意。他发现激励因素主要包括：工作上的成就感、由于良好工作成绩而得到的奖励、晋升机会、责任感、工作的挑战性等；另一类是保健因素，职造成员工不满意的因素。如果保健因素不能得到满足，将会使员工产生不满情绪、消极怠工。但保健因素得到一定程度的改善后，无论再努力进行改善，也很难使员工感到满意，因此也就难以激发员工工作积极性。他发现保健因素包括：工资报酬、工作条件、工作政策、领导水平、人际关系等。

目前关于 Herzberg 双因素理论的研究有很多，有的学者研究结论支持了双因素理论，比如甘霖（2018），对武汉市民办高校辅导员的工作满意度的激励因素和保健因素进行了考察。他采用明尼苏达工作满意度短式量表设计调查问卷，选取武汉市 4 所民办高校的辅导员发放工作满意度调查问卷，有效回收率 96%。经研究发现，影响辅导员队伍工作满意度的保健因素包含：（1）薪酬待遇；（2）学校的政策与管理；（3）人际关系；（4）工作环境条件。激励因素包括：（1）工作成就感；（2）工作评价与认可；（3）工作本身；（4）发展与晋升。Taylor & Francis（1986）研究了 Herzberg 提出的工作满意度双因素理论的一般性。他采用两份问卷调查以色列小学校长工作满意度和不满情绪的来源。研究结果对双因素理论进行了支持。Hulin（1968）对 Herzberg 双因素理论中包括工作本身，晋升机会，工资收入，监督和同事关系进行了方差单向分析，结果支持了传统理论。

有的研究结果显示了与双因素理论的差异，比如孙多勇、朱仁崎（2006），运用双因素理论

对中国公共领域进行了调查，通过研究，他们发现，双因素理论提及的因素在调查中得到了反映。同时，Herzberg 认为的工作满足感来自个人工作中的内在因素，而不满感则来自工作中的外在因素也在调查中被证实。但是，由于所处的环境不同，赫兹伯格的一些结论在中国公共领域表现出一定的差异性。肖文璧（2014）对比了双因素理论在中西方应用的情况，发现了差异。肖文璧的研究，重点突出在中西方的差异上，提醒研究者，在将双因素理论运用于中国工作满意度研究时，不应该完全套用，应当结合要研究的对象的情况做改善。Evans & Linda（2010）考察了 Herzberg 双因素激励理论在尼日利亚的适用性，通过考察相关因素在教师工作生活中的影响，他们得出结论，西方的理论观点，在尼日利亚适用性不一定能很好，还需要对职业心理学进行更多的研究。

#### 4. 理论框架

王红芳（2015）以非国有企业员工为研究对象，对以不同工作情境下的个性化员工需求为导向对非国有企业总体报酬、工作满意度、敬业度与工作绩效进行研究。在对全国 25 个省市自治区 149 家非国有企业调查后，他指出员工的总体报酬感知与工作满意度显著正相关，不仅对 Herzberg 双因素理论的跨文化应用进行了拓展，而且进一步扩充了总体报酬、敬业度和工作绩效的研究范围。孙迎娣、许红华、张萍（2018）通过对煤炭企业 240 名员工进行问卷调查，调查结果显示，员工对领导行为的感知与员工的工作满意度呈显著的正相关关系。邓睿（2013）通过实证研究的方法，对中国东、中、西部 28 个省市自治区的 107 所学校采集了 6073 个教师问卷，分析数据后发现，教师对工作成就感的感知会对教师的职业倦怠产生影响。俞燕琳（2013）调查了护理人员工作满意度对职业倦怠的影响。结果表明工作满意度与职业倦怠呈显著负相关，工作满意度越高，职业倦怠越低。任灵洁、薛宪方（2016）采用问卷调查法，对员工责任感与员工工作满意度进行研究。结果发现，员工责任感与工作满意度存在显著正相关关系，当员工的责任感较强时，其工作满意度也会较高。李宗波、彭翠（2014）探讨了挑战性压力与员工满意度的影响，结果显示，挑战性压力对员工工作满意度有显著的正向影响，员工认为自己完成有挑战性的工作后，能够获取一定的收益，这种回报又是自己所看重的，具有较大的效价。汪雅霜（2018）基于对江苏省 50 所小学的 4241 名小学教师的调查数据，运用多元线性回归的方法对小学教师工作满意度影响因素进行分析发现，工作环境与人际关系因子对工作满意度具有显著影响。组织支持也包括单位与工作有关的政策的支持，汤金宝、胡恩华（2017）通过文献回顾发现中学教师组织支持感是影响工作满意度的重要变量。在对 19 个省、市 24 所中学的 2187 名教师进行问卷调查后，他们得出中学教师组织支持感和工作满意度呈显著正相关，中学教师组织支持感能很好地预测工作满意度。

基于以上理论框架，笔者对“激励/保健因素”的重要程度感知与“委员工作满意度”感知的关系进行研究。

#### 5. 模型框架

笔者构建委员“激励/保健因素”重要程度感知与委员“工作满意度”感知关系模型如下：

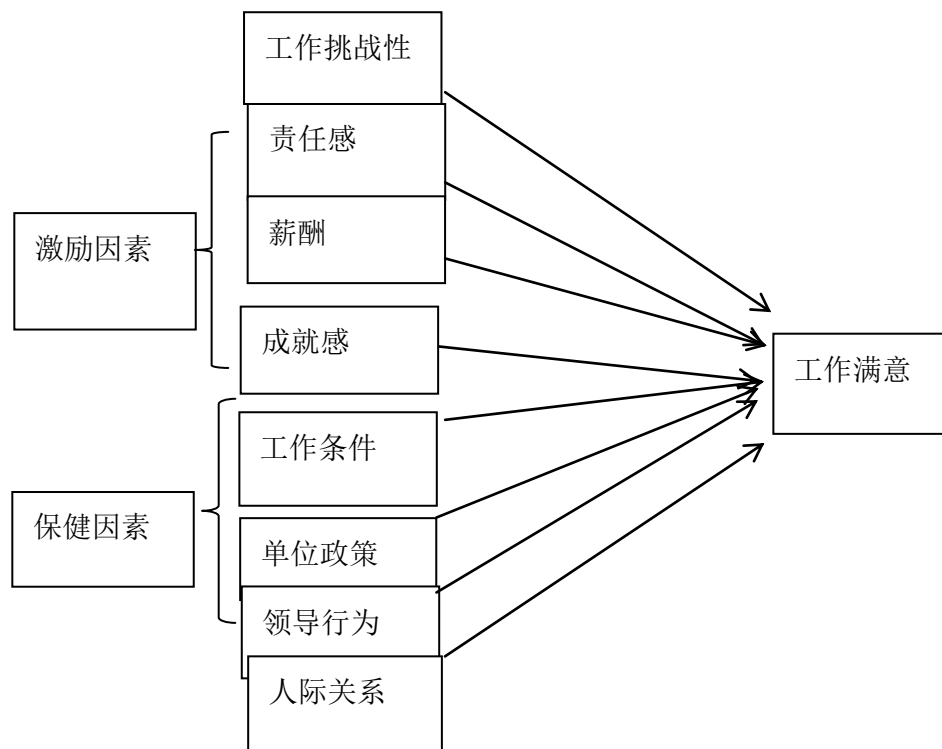


图 1 本研究的研究模型

## 6. 研究方法

(一) 定量研究法：定量研究这一概念有广义和狭义之分，广义是指在研究中使用数学符号和数学语言来说明问题；狭义是指具有一系列的研究程序和研究步骤，包括概率抽样选取样本、采集资料、数据分析等。本文使用经过检测的标准化工具和程序向乌当区居委会委员采集数据，进而对数据进行分析，得出结论。

(二) 问卷调查法：利用工作满意度指数量表测量委员的整体工作满意度，根据双因素理论，在问卷中加入调查委员“激励/保健因素”重要程度感知的题目设计问卷。对委员进行整体问卷调查，收集原始数据。

### (三) 描述性统计分析

描述性统计分析指的是将原始数据转换成容易理解和解释的形式。描述回答统计结果或观测结果是分析的首要形式。计算均值、频数分布和百分比分布式综合分析的普通方法。

### (四) 线性回归分析

在统计学中，回归分析指的是确定两种或两种以上变量间相互依赖的定量关系的一种统计分析方法。回归分析按照涉及的变量的多少，分为一元回归和多元回归分析；按照因变量的多少，可分为简单回归分析和多重回归分析；按照自变量和因变量之间的关系类型，可分为线性回归分析和非线性回归分析。

## 7. 研究方法

根据 Herzberg 双因素理论以及本研究的理论框架，笔者结合研究模型，得到如下假设：

表 1 研究假设

假设编号	假设内容	显著性	是否成立
H1	“激励因素”中的“工作挑战性”重要程度感知与委员“工作满意度”感知有关	0.012	成立
H2	“激励因素”中的“成就感”重要程度感知与委员“工作满意度”感知有关	0.011	成立
H3	“激励因素”中的“薪酬”重要程度感知与委员“工作满意度”感知有关	0.069	不成立
H4	“激励因素”中的“责任感”重要程度感知与委员“工作满意度”感知有关	0.148	不成立
H5	“保健因素”中的“工作条件”重要程度感知与委员“工作满意度”感知有关	0.047	成立
H6	“保健因素”中的“单位政策”重要程度感知与委员“工作满意度”感知有关	0.152	不成立
H7	“保健因素”中的“领导能力”重要程度感知与委员“工作满意度”感知有关	0.016	成立
H8	“保健因素”中的“人际关系”重要程度感知与委员“工作满意度”感知有关	0.067	不成立

## 8. 研究结果

### 1. “工作满意度”感知量表描述

“工作满意度”感知量表采用 Likert 五点计分法 1 分代表非常不满意，2 分代表不满意，3 分代表一般，4 分代表满意，5 分代表非常满意。得分越高，说明满意度越高。利用统计软件对数据进行描述统计中的频率分析和描述分析，得到 6 个因子的得分都高于 3 分，其中对工作收入的满意度感知得分最低，接近 3 分。6 个因子的得分由高到低排序为上司满意度感知，同事关系满意度感知，工作性质满意度感知，工作情形满意度感知，晋升机会满意度感知，工作收入满意度感知。将 6 个因子通过转换变量计算，得到乌当区居委会委员整体工作满意度得分为 3.40 分。

### 2. “激励/保健因素”重要程度感知量表描述

“激励/保健因素”重要程度感知量表采用 Likert 五点计分法，1 分代表非常不重要，2 分代表不重要，3 分代表一般，4 分代表重要，5 分代表非常重要。利用统计分析软件对数据进行分析，得出 8 个“激励/保健因素”重要程度感知得分分别是工作挑战性（3.53 分）、薪酬（3.96 分）、成就感（3.82 分），责任感（3.89 分），工作条件（3.91 分），领导能力（3.95 分），单位政策（3.89 分），人际关系（3.84 分）。8 个因素的得分都明显高于 3 分，说明这 8 个因素在委员的工作中，都很重要，其中最重要的因素是薪酬。

### 3. “激励/保健因素”重要程度感知与“工作满意度”感知相关性研究

#### 8.31 “工作挑战性”重要程度感知与“工作满意度”感知线性回归分析

利用统计软件将之前得到的“工作挑战性”重要程度感知数据与“整体工作满意度”感知的数据进行线性回归分析，验证两者是否有关，若结果显著性  $> 0.05$ ，则说明两者无关，反之，则有关。分析结果如下：

表 2 “工作挑战性”重要程度感知与“工作满意度”感知方差分析结果

模型	平方和	df	平均值平方	F	顯著性
1 迴歸	3.572	1	3.572	6.720	.012b
殘差	30.828	58	.532		
總計	34.400	59			

从表 2 的结果得知，回归的平方和为 3.572，F 检验显著性  $P=0.012 < 0.05$ ，说明线性回归方程显著，说明“工作挑战性”重要程度感知对“工作满意度”感知的线性影响是显著的。

### 8.32 “成就感”重要程度感知和“工作满意度”感知线性回归分析

利用统计软件将之前得到的“成就感”重要程度感知数据与“整体工作满意度”感知的数据进行线性回归分析，验证两者是否有关，若结果显著性  $> 0.05$ ，则说明两者无关，反之，则有关。分析结果如下：

表 3 “成就感”重要程度感知与“工作满意度”感知方差分析结果

模型	平方和	df	平均值平方	F	顯著性
1 迴歸	3.659	1	3.659	6.904	.011b
殘差	30.741	58	.530		
總計	34.400	59			

从表 3 的结果得知，回归的平方和为 3.659，F 检验显著性  $P=0.011 < 0.05$ ，说明线性回归方程显著，说明“成就感”重要程度感知对“工作满意度”感知的线性影响是显著的。

### 8.33 “薪酬”重要程度感知和“工作满意度”感知线性回归分析

利用统计软件将之前得到的“薪酬”重要程度感知数据与“整体工作满意度”感知的数据进行线性回归分析，验证两者是否有关，若结果显著性  $> 0.05$ ，则说明两者无关，反之，则有关。分析结果如下：

表 4 “薪酬”重要程度感知与“工作满意度”感知方差分析结果

模型	平方和	df	平均值平方	F	顯著性
1 迴歸	1.918	1	1.918	3.425	.069b
殘差	32.482	58	.560		
總計	34.400	59			

从表 4 的结果得知，回归的平方和为 1.918，F 检验显著性  $P=0.069 > 0.05$ ，说明线性回归方程不显著，说明“薪酬”重要程度感知对“工作满意度”感知的线性影响不显著。

### 8.34 “责任感”重要程度感知和“工作满意度”感知线性回归分析

利用统计软件将之前得到的“责任感”重要程度感知数据与“整体工作满意度”感知的数据进行线性回归分析，验证两者是否有关，若结果显著性  $> 0.05$ ，则说明两者无关，反之，则有关。分析结果如下：

表 5 “责任感”重要程度感知与“工作满意度”感知方差分析结果

模型	平方和	df	平均值平方	F	顯著性
1 迴歸	1.228	1	1.228	2.146	.148b
殘差	33.172	58	.572		
總計	34.400	59			



从表 5 的结果得知，回归的平方和为 1.228，F 检验显著性  $P=0.148>0.05$ ，说明线性回归方程不显著，说明“责任感”重要程度感知对“工作满意度”感知的线性影响不显著。

### 8.35 “工作条件”重要程度感知和“工作满意度”感知线性回归分析

利用统计软件将之前得到的“工作条件”重要程度感知数据与“整体工作满意度”感知的数据进行线性回归分析，验证两者是否有关，若结果显著性  $>0.05$ ，则说明两者无关，反之，则有关。分析结果如下：

表 6 “工作条件”重要程度感知与“工作满意度”感知方差分析结果

模型	平方和	df	平均值平方	F	顯著性
1 迴歸	2.278	1	2.278	4.113	.047b
殘差	32.122	58	.554		
總計	34.400	59			

从表 6 的结果得知，回归的平方和为 2.278，F 检验显著性  $P=0.047<0.05$ ，说明线性回归方程显著，说明“工作条件”重要程度感知对“工作满意度”感知的线性影响是显著的。

### 8.36 “单位政策”重要程度感知和“工作满意度”感知线性回归分析

利用统计软件将之前得到的“工作条件”重要程度感知数据与“整体工作满意度”感知的数据进行线性回归分析，验证两者是否有关，若结果显著性  $>0.05$ ，则说明两者无关，反之，则有关。分析结果如下：

表 7 “单位政策”重要程度感知与“工作满意度”感知方差分析结果

模型	平方和	df	平均值平方	F	顯著性
1 迴歸	1.206	1	1.206	2.107	.152b
殘差	33.194	58	.572		
總計	34.400	59			

从表 7 的结果得知，回归的平方和为 1.206，F 检验显著性  $P=0.152>0.05$ ，说明线性回归方程不显著，说明“单位政策”重要程度感知对“工作满意度”感知的线性影响不显著。

### 8.37 “领导能力”重要程度感知和“工作满意度”感知线性回归分析

利用统计软件将之前得到的“单位政策”重要程度感知数据与“整体工作满意度”感知的数据进行线性回归分析，验证两者是否有关，若结果显著性  $>0.05$ ，则说明两者无关，反之，则有关。分析结果如下：

表 8 “领导能力”重要程度感知与“工作满意度”感知方差分析结果

模型	平方和	df	平均值平方	F	顯著性
1 迴歸	3.326	1	3.326	6.207	.016b
殘差	31.074	58	.536		
總計	34.400	59			

从表 8 的结果得知，回归的平方和为 3.326，F 检验显著性  $P=0.016<0.05$ ，说明线性回归方程显著，说明“领导能力”重要程度感知对“工作满意度”感知的线性影响是显著的。

### 8.38 “人际关系”重要程度感知和“工作满意度”感知线性回归分析

利用统计软件将之前得到的“人际关系”重要程度感知数据与“整体工作满意度”感知的数据进行线性回归分析，验证两者是否有关，若结果显著性  $>0.05$ ，则说明两者无关，反之，则有关。分析结果如下：

表 9 “人际关系”重要程度感知与“工作满意度”感知方差分析结果

模型	平方和	df	平均值平方	F	顯著性
1 迴歸	1.948	1	1.948	3.482	.067b
殘差	32.452	58	.560		
總計	34.400	59			

从表 9 的结果得知，回归的平方和为 1.948，F 检验显著性  $P=0.067>0.05$ ，说明线性回归方程不显著，说明“人际关系”重要程度感知对“工作满意度”感知的线性影响不显著。

## 9. 结论和建议

### 1. 主要结论

本研究采用 Likert 五点计分法对委员“工作满意度”的 6 个因素进行统计，五点评分法的中值为 3 分，最高为 5 分，最低为 1 分，据此我们可以将委员“工作满意度”感知的基本情况以 3 分作为分界线，3 分以下即为不满意，高于 3 分则说明工作满意度水平较高。分数越高，说明这个因子的满意度越高。在调查委员“工作满意度”感知的 6 个因素中，得分从高到低依次是对上司的满意度（3.62 分），对同事关系的满意度（3.57 分），对工作性质和当前工作情形的满意度同分（3.45 分），对晋升机会的满意度（3.30 分），对工作收入的满意度（3.02 分）。研究数据表明委员对工作收入的满意度最低，在调查的 60 个对象中，只有 37.7% 的人，对工作收入满意度感知达到满意及非常满意，62.3% 的人工作收入满意度感知在一般水平及以下，已超过半数。居委会作为政府与人民的桥梁，委员工作的重要性不言而喻，委员的工作满意度将直接影响他们的工作状态，也会对社区居民的接受服务的感受造成影响。提高委员工作满意度对维护社会稳定也有帮助。在 6 个因素中，工作收入满意度感知提升的空间和潜力都比较大，相比其他 5 个因素，工作收入满意度感知提高的方法也更容易一些。

根据 Herzberg 双因素理论以及相关的研究显示，“工作挑战性”，“成就感”，“责任感”，“薪酬”属于影响工作满意度的“激励因素”，“激励因素”能够刺激员工产生积极情绪以及对工作的满意态度。4 个“激励因素”重要程度感知的得分由高到低依次是薪酬重要程度感知（3.96 分），责任感重要程度感知（3.89 分），成就感重要程度感知（3.82 分），工作挑战性重要程度感知（3.53 分）。在委员看来，薪酬因素是“激励因素”中最重要因素，因此也对为什么委员的薪酬满意度感知得分最低有一定的解释。委员认为“薪酬”因素最重要，因为在社区工作，作为基层工作人员，工作岗位提供的稳定薪酬待遇肯定是他们选择这份工作的重要原因之一。一个不错的薪酬管理制度对大多数工作者来说，都应该是在选择工作的时候要考虑的。但目前居委会委员的薪酬管理制度在社会发展中显示出了滞后性。激励形式单一、激励幅度较小、收入上涨幅度小且速度缓慢已经被委员所诟病。这种薪酬制度的滞后性对委员的工作满意度有着很大的影响。对居委会吸引人才，优化队伍也很不利。委员认为“工作挑战性”因素重要程度最低，这和他们的工作性质应该有关系。社区工作的主要内容是为了建设更好的社区环境，要解决的也是一些社区的问题，因此，工作的挑战性并不是那么重要。和谐，幸福才是需要达到的目标。

根据 Herzberg 双因素理论以及相关的研究显示，“工作条件”，“领导能力”，“人际关系”，“单位政策”属于影响工作满意度的“保健因素”，“保健因素”能够消除员工的不满情绪以及

维持原有的工作效率。4个“保健因素”重要程度感知的得分由高到低依次是领导能力重要程度感知(3.95分),工作条件重要程度感知(3.91分),单位政策重要程度感知(3.89分),人际关系重要程度感知(3.84分)。在委员看来,领导能力因素是“保健因素”中最重要因素。在“保健因素”中,委员们认为“领导能力”因素最重要。委员对领导的决策能力是非常看中的。在委员的工作中,工作的内容和方向都是由领导安排的,领导的决策水平对委员的工作有很大的影响。另外,领导跟下属沟通的方式也很重要,领导说话时要态度平和,给下级营造一种轻松地沟通氛围。一个轻松地沟通氛围,能够使委员在工作中感受到快乐,会对员工的工作效率和工作质量带来提升。“人际关系”因素是委员在“保健因素”中重要程度感知最低的。人际关系是单位内部比较难处理得问题,上级与下级之间的关系,同事之间的关系都会影响到员工的工作质量和工作效率。该因素的得分不算很低,只是相对其他几个因素来说,比较低。可能是因为委员更看重与自己关系更直接的东西,工作条件、领导能力、单位政策都会对委员的工作带来比较直接的影响,人际关系影响委员工作的程度相对会比较低一些。

## 2. 建议

(1) 进一步提高居委会委员的工作收入。加大政府的经费投入,提高委员的收入,建立居委会委员队伍发展的保障机制,有利于居委会吸引人才和留住人才,这样委员就能更好的为社区服务,居委会这个政府与居民的桥梁也会更加牢固。

(2) 收入分配应尽量公平。制定更科学,更公平的收入分配制度,能保护委员的工作热情。

(3) 完善激励制度。一个完整的激励机制,能够激发委员的工作热情,让他们能保持良好的工作状态。

(4) 合理分配工作。在领导分配工作任务时,根据不同委员的技术特点,可以让他们多进行团队合作,完成不同难度水平的工作,以此来调整他们的工作挑战性。这样不但可以增强团队的凝聚力,还能让委员在合作中互相学习,取长补短,保持工作热情。

(5) 营造良好的工作环境。良好的工作环境能够让委员工作得更舒适,能改善委员的工作态度。因此在合理的范围内,提升办公硬件配备,改善工作条件,让委员能够身心愉悦的服务社区。

(6) 融洽同事关系。在工作中,应当营造一个和谐的工作氛围,建立融洽的同事关系。上级在与下级沟通时,应当态度平和,让员工轻松地沟通,这样更有利于掌握员工的真实想法,化解工作矛盾。

## 10. 研究展望

笔者受限于能力水平和时间问题,此次研究尚存在很多不足之处。研究结果目前仅停留在理论阶段,还有待实践去证实。今后的相关研究还需要扩大样本范围,增加样本量,完善考察指标,扩大研究的数据库,以提升研究结论的适用性。

居委会委员的工作满意度不是一成不变的,对激励/保健因素的重要程度感知也会发生变化。因此,还需要进行更多横向和纵向的相关研究,才能得到更可靠的数据,得出更客观的结论。

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# 台湾霹雳布袋戏在南京高校的潜在观众市场研究

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## 摘要

霹雳布袋戏，也叫霹雳偶动漫，是霹雳布袋戏与动漫的集合体，是布袋戏发展的最新形态。霹雳布袋戏在台湾取得空前成功的同时，其影响也逐步渗透到祖国大陆。近几年霹雳公司更是采取“立足台湾、胸怀大陆、放眼世界”<sup>[1]</sup>的经营理念，积极开拓大陆市场。但霹雳公司想要深耕大陆市场，就必须要在大陆高校的大学生群体中打下基础，大学生群体不仅是打开大陆市场的突破口，更是延续布袋戏生命的源泉。但霹雳公司经过了多年的努力，由于宣传等各方面的原因，霹雳偶动漫在中国大陆的观众市场依然局限在一批固定的粉丝上，市场相对狭隘，难以扩大。

本次研究将在梳理文献的基础上，在南京的高校召开布袋戏的第学术讲座，组织大学生观众观看霹雳布袋戏，进行现场问卷。将收集的信息进行研究分析，掌握潜在观众市场的信息，并得出的根据结论向霹雳公司提出合理建议。

**关键词：**霹雳布袋戏；霹雳偶动漫；南京高校；潜在观众市场

## 一、引言

### 1. 研究背景

台湾布袋戏经过了两百多年的发展，在清朝时就从大陆传入了台湾地区，现在已经成为了颇受台湾民众喜爱的电视布袋戏、布袋戏电影，以及线上游戏、动漫等一系列种类繁多的布袋戏文化创意产业。而其中最为典型的的就是霹雳布袋戏。

霹雳布袋戏，也叫霹雳偶动漫，霹雳布袋戏，因每出剧名皆有“霹雳”二字得名，是一部结合传统布袋戏文化和动漫形式的影视作品。以 1984 年《霹雳城》为创始，不过大家所熟悉的霹雳布袋戏，是指 1988 年开始播出的《霹雳金光》，剧情以霹雳三大主角清香白莲素还真、百世经纶一页书、刀狂剑痴叶小钗作为主线而衍生发展的天下武林故事，剧情以魔幻为主，剧集之间既环环相扣又可独立成章。霹雳系列从《霹雳金光》、《霹雳眼》、《霹雳至尊》三部作品开始，到 2018 年上档的《霹雳惊涛》已播出超过两千三百余集，为霹雳国际多媒体的主干布袋戏。

到了二十一世纪的传统布袋戏虽已没落，但相对的，提升制片水平与品质的电视布袋戏却借由录像带、VCD、DVD、有线电视等影音媒体，增加布袋戏的收视观众。2005 年，台湾电视布袋戏整体产值已提升到 4000 万美金以上，影音出租一百万人次，“有线电视收视户更达 350 万户以上”不仅此，各项衍伸自布袋戏的周边商品或演出于台湾甚至成为一种热潮，如同人志贩售会经常有的 COSPLAY 活动，就会出现布袋戏人物，而这一热潮也开始逐渐蔓延到大陆地区。

霹雳布袋戏在台湾取得空前成功的同时，其影响也逐步渗透到祖国大陆。事实上霹雳国际多媒体早就计划着把目光投向商机无限的大陆。从外因看，台湾资源贫乏，市场狭小，竞争压力迫使台湾企业迈出向外拓张的脚步。从内因看，霹雳布袋

戏的制作是大手笔，其分摊成本，追逐利润的动力，也会促使企业对外扩张。[2]从拓展市场的角度来看，霹雳布袋戏开拓市场最好的选择莫过于中国大陆。一是文化同源，文化认同度高；二是语言相近，交流障碍小；三是大陆土地和人口资源庞大，市场极其广阔；四是大陆地区文化创意正处于成长阶段，人们需要相对成熟和优秀的文化创意类产业进入，发展空间大。[3]因此，开拓大陆市场，成了霹雳集团的必然选择。但是霹雳布袋戏在大陆的传播就曾经遇到过重重的困难。就比如霹雳布袋戏在大陆的传统官方媒体——报纸、广播、电视上基本得不到正式、大规模的宣传，霹雳国际多媒体在 1993 年推出的《霹雳狂刀》，在 2004 年就在大陆部分电台播出过，但是因被举报片中有分尸，色情倾向等情节，不利于儿童成长而被禁播。

让大陆已有的戏迷接收布袋戏并不难，难的是让未曾接触过布袋戏的观众也慢慢的喜欢上布袋戏，最后加入到戏迷的行列中去。到了今天，自媒体、社交网络、视频网站、直播平台已经盛行，霹雳布袋戏要想深入拓张大陆市，中国高校的大学观众群体将是其中的关键，如何把其中的潜在观众群体慢慢培养、发展为霹雳的粉丝，霹雳国际多媒体将会面临着更多的机遇和挑战。

南京作为中国高等教育资源最集中的五大城市之一，是国家三大高等教育中心、国家四大科研教育中心，科教综合实力仅次于北京、上海，居全国第三，有仙林大学城、江宁大学城和浦口大学城三个大学城，截止 2017 年拥有普通高等学校 53 所，拥有在校大学生数量为 72.15 万人，在全国城市大学生人数排行中名列第五。由于江苏南京的大学招生源地是面向全国，学生都来自中国的五湖四海，所以将南京市高校的大学观众群体作为霹雳布袋戏潜在观众市场研究的对象，一定程度上是具有代表全国大学生的广泛性的。

## 2.研究目的

霹雳偶动漫的自身特点决定了其向中国大陆市场进军的必然性，而在中国大陆的观众市场里，年轻的大学生群体是其中的关键因素，更是延续布袋戏生命的源泉。但经过了许多年的努力，由于宣传等各方面的原因，霹雳偶动漫在中国大陆的观众市场依然局限在一批固定的粉丝上，市场相对狭隘，难以扩大。这次研究将会在梳理文献的基础上，在南京的高校召开布袋戏的第学术讲座，组织大学观众观看霹雳布袋戏，进行现场问卷，并进行研究分析，掌握潜在观众市场的信息，得出的结论将便于企业掌握和规划扩张观众市场的关键因素，制定相应的市场营销方案。

## 3.研究意义

研究在南京高校的潜在观众市场，将有利于霹雳偶动漫打开中国大陆高校的观众市场，为霹雳制定更合理的营销策略提供依据和建议，也会让更多人了解布袋戏、了解霹雳和中国各类传统文化，培养一批热爱霹雳布袋戏和布袋戏文化的粉丝，在为企业拓宽市场的同时，中国的文化创意类将会得到更好的发展，传统文化的保护和创新经营也会被越来越多企业所发扬。

(1) 大霹雳集团层面：针对南京高校可能发展为霹雳粉丝的潜在观众市场进行问卷调查研究分析，将有利于霹雳突破自身在中国高校的发展瓶颈，找到在进入大陆市场中存在的问题或不足，并在可协调、可操作的范围内对作品内容、形式进行

优化改良，并在掌握在高校的潜在观众群体的共同特质后，通过特定的平台或渠道做定向宣传，从而吸收更多新的年轻的观众群体，为霹雳深耕大陆市场打下长远而坚实的基础。

(2) 社会文化层面：霹雳布袋戏打开高校观众市场，除了其商业价值外，也会让更多的青年大学生了解霹雳、布袋戏文化，在观看霹雳布袋戏的同时重温和学习古文、古诗词、戏曲、古代服饰、传统礼仪、琴棋书画、儒道释思想等诸多中华优秀传统文化，在对于传统文化的保护、创新、经营和宣扬上也将起到相当的作用。

## 二、研究和发现

### 1. 问卷信息收集概述

#### (1) 问卷一

本次研究的问卷一，是通过在南京的高校组织校园文化类讲座的形式，在大学生第二课堂的线上平台“PU 口袋校园”上发起讲座活动，讲座名为“文化创意类产业的创新和经营——台湾霹雳布袋戏”，约 400 名大学生报名参加。讲座在封闭的阶梯式扇状报告厅举行，具体流程如下：

①介绍文化创意类产业。

②介绍布袋戏的起源和霹雳布袋戏的创建背景。

③介绍霹雳布袋戏在台湾的影响力。

④介绍今天的霹雳布袋戏，布袋戏的剧集。

⑤播放 1988 年的《霹雳金光》，介绍霹雳布袋戏在大陆的发展经历。

⑥介绍霹雳布国际多媒体近年来的经营理念和战略，以及为开拓大陆市场所做的努力。播放霹雳布袋戏发展史中的精彩片段，最后播放 2018 年的作品《霹雳天命的战祸邪神》和《霹雳惊涛》的精彩剪辑片段。

⑦介绍霹雳布袋戏在对外拓宽市场中遇到的困难。

⑧引导大家进行问卷填写。

在讲座结束后回收问卷一共 219 份。

从问卷一的问题 6 来看，在回收的 219 份问卷中有 33 人对霹雳布袋戏非常感兴趣，74 人感兴趣，96 人一般，11 人没兴趣，5 人一点不感兴趣。

我们预提取其中对霹雳布袋戏非常感兴趣和感兴趣的 107 份问卷作为研究对象进行研究分析。再对这些问卷进行初步审查后，最终确认问卷一 107 份问卷为有效研究对象，可对其进行研究分析。

#### (2) 问卷二

本次研究的问卷二，是在南京各高校社团组织的帮助下，在各大高校发放二维码调查问卷，现场填写后获得的数据。共有 431 名学生参与问卷填写，共回收有效问卷 385 份，通过问卷二中的问题 5 发现其中对布袋戏感兴趣的有 53 人。在这 53 人中，有 39 人感兴趣，14 人非常感兴趣。

我们预提取其中对霹雳布袋戏非常感兴趣和感兴趣的 53 份问卷作为研究对象进行研究分析。在对这些问卷进行初步审查后，最终确认问卷二 53 份问卷为有效研究

对象，可对其进行研究分析。

## 2. 问卷信息分析

### (1) 霹雳布袋戏在南京高校潜在市场空间

我们从问卷一的问题 4 和 4.1“您以前是否有见过或接触过这种类型的动漫？如果有的话是大概是在什么时候？”来看在对霹雳布袋戏非常感兴趣的 33 人中有 8 名同学以前从未接触过霹雳布袋戏，6 名同学有 5 年以上未接触过布袋戏，3 名同学在 1-5 年内接触过布袋戏，5 名同学在 1 年内接触过，11 名同学在 1 个月内有接触过布袋戏。在对霹雳布袋戏感兴趣的 74 人中有 39 名同学以前从未接触过霹雳布袋戏，6 名同学有 5 年以上未接触过布袋戏，7 名同学在 1-5 年内接触过布袋戏，17 名同学在 1 年内接触过，5 名同学在 1 个月内有接触过布袋戏。从中我们可以看出在问卷一的 107 份有效调查问卷中有 69.16% 的大学生平时没有接触霹雳布袋戏的，但是他们却在布袋戏的讲座后表示自己对霹雳布袋戏非常感兴趣或感兴趣，这表明霹雳布袋戏再南京的高校其实有许多潜在的观众值得开发。

我们从问卷二的问题 4 和 4.1“您以前是否有见过或接触过这种类型的动漫？如果有的话是大概是在什么时候？”来看在对霹雳布袋戏感兴趣的 53 人中，有 18 名同学以前从未接触过霹雳布袋戏，5 名同学有 5 年以上未接触过布袋戏，10 名同学在 1-5 年内接触过布袋戏。从中我们可以看出在问卷二的 53 份有效调查问卷中有 62.26% 的大学生平时是没有接触霹雳布袋戏的，但是他们却在问卷二中表示自己对霹雳布袋戏非常感兴趣或感兴趣，这也表明霹雳布袋戏再南京的高校其实有许多潜在的观众值得开发，也与问卷一中问题 4 和 4.1 的研究结论相合。

### (2) 霹雳布袋戏在南京高校宣传途径

#### ① 加强宣传工作的必要性

通过问卷一的问题 7“如果您以前没有接触过霹雳，又对此感兴趣，是否觉得是因为宣传做得不够？”的数据收集结果来看，在对霹雳布袋戏非常感兴趣的 33 人中有 18 人非常同意霹雳的宣传工作做得不够，6 人表示同意，5 人中立，4 人空白，不同意和非常不同意的为 0。在对霹雳布袋戏感兴趣的 74 人中有 12 人非常同意霹雳的宣传工作做得不够，40 人表示同意，10 人中立，10 人空白，2 人不同意。在问卷一的 107 份有效调查问卷中有 71% 的大学生观众感觉霹雳布袋的宣传做的还不够好，这表明霹雳布袋戏在南京高校的宣传还有待加强。

通过问卷二的问题 6“如果您以前没有接触过霹雳，又对此感兴趣，是否觉得是因为宣传做得不够？”的数据收集结果来看，在对霹雳布袋戏感兴趣的 53 人中有 13 人非常同意霹雳的宣传工作做得不够，24 人表示同意，7 人中立，6 人空白，3 人不同意。在问卷二的 53 份有效调查问卷中有 69.8% 的大学生观众感觉霹雳布袋的宣传做的还不够好，这表明霹雳布袋戏在南京高校的宣传还有待加强，问卷二的这一研究结论与问卷一中问题 7 的研究结论相合。

#### ② 接触霹雳布袋戏渠道

通过问卷一的问题 4.2“如果有接触过霹雳布袋戏，您是通过什么渠道接触的？”的问卷结果来看，在对霹雳布袋戏非常感兴趣的 33 人中除了有 8 人未接触过，其他



25 人的了解霹雳布袋戏的渠道 16 人是通过电视、5 人通过网络平台、1 人通过亲朋好友、1 人通过朋友圈、2 人其他渠道。在对霹雳布袋戏感兴趣的 74 人中有 6 人是通过电视了解的霹雳布袋戏、18 人通过网络平台、2 人通过亲朋好友、4 人通过朋友圈、7 人其他渠道。

问卷一数据显示在南京高校有 35.48% 的大学生通过电视接触过霹雳布袋戏，有 37.1% 的大学生通过网络平台接触过霹雳布袋戏，从中我们可以看出网络平台和电视在宣传中的贡献是极大的，且在电视将被手机等移动终端取代的发展趋势下，网络平台将会在布袋戏的宣传上发挥巨大的作用。

通过问卷二的问题 4.2“如果有接触过霹雳布袋戏，您是通过什么渠道接触的？”的问卷结果来看在对霹雳布袋戏非常感兴趣的 53 人有 7 人是通过电视了解到布袋戏的、23 人通过网络平台、2 人通过亲朋好友、2 人通过朋友圈、3 人为其他渠道。

问卷二数据显示在南京高校有 18.9% 的大学生通过电视接触过霹雳布袋戏，有 62.16% 的大学生通过网络平台接触过霹雳布袋戏，从中我们可以看出网络平台和电视在宣传中的贡献是极大的，且在电视将被手机等移动终端取代的发展趋势下，网络平台将会在布袋戏的宣传上发挥巨大的作用，这也与问卷一中问题 4.2 的研究结论相合。

### ③潜在观众群体常用视频平台

通过问卷一的问题 20“您习惯在那些平台观看视频？（多选）”的问卷结果来看在对霹雳布袋戏非常感兴趣的 33 人中有 29 人常使用爱奇艺观看视频，27 人常用斗鱼，26 人常用优酷，9 人常用 bilibili，3 人常用 AcFun，4 人常用土豆，11 人常用腾讯视频，4 人常用 PPS。在对霹雳布袋戏感兴趣的 74 人中有 45 人常使用爱奇艺观看视频，21 人常用斗鱼，31 人常用优酷，21 人常用 bilibili，5 人常用 AcFun，7 人常用土豆，34 人常用腾讯视频，1 人常用 PPS。

问卷一的数据显示在南京高校喜欢霹雳布袋戏的大学生中有 69.19% 的人常用爱奇艺、53.27% 的人常用优酷、44.86% 的人常用斗鱼、42.06% 的人常用腾讯视频、38.31% 的人常用 bilibili。也就是说他们的最常用的视频网站 AAP 主要有爱奇艺、优酷、斗鱼、腾讯视频和 bilibili。

通过问卷二的问题 11“您习惯在那些平台观看视频？（多选）”的问卷结果来看在对霹雳布袋戏感兴趣的 53 人中有 33 人常使用爱奇艺观看视频，10 人常用斗鱼，22 人常用优酷，33 人常用 bilibili，5 人常用 AcFun，3 人常用土豆，31 人常用腾讯视频，2 人常用 PPS。

问卷二的数据显示在南京高校喜欢霹雳布袋戏的大学生中有 62.26% 的人常用爱奇艺、58.49% 的人常用优酷、18.87% 的人常用斗鱼、58.49% 的人常用腾讯视频、62.26% 的人常用 bilibili。也就是说他们的最常用的视频网站 AAP 主要有爱奇艺、bilibili、腾讯视频、优酷和斗鱼，这与问卷一中问题 20 的研究结论相似。

## （3）霹雳布袋戏内容改良和优化

### ①霹雳布袋戏最吸引观众的元素

通过问卷一的问题 5“霹雳布袋戏最吸引你的地方是？（多选）”的问卷结果来看

在对霹雳布袋戏非常感兴趣的 33 人中有 28 人表示喜欢其中的人偶造型，21 表示人喜欢武打特效，14 人喜欢剧情，12 人喜欢霹雳音乐，15 人喜欢霹雳中的中国古文化，4 人喜欢闽南语配音，并且在这 4 人中有 3 人从未接触过布袋戏或者 5 年以上未接触过，8 人喜欢定场诗。在对霹雳布袋戏感兴趣的 74 人中有 48 人表示喜欢其中的人偶造型，48 表示人喜欢武打特效，35 人喜欢剧情，28 人喜欢霹雳音乐，36 人喜欢霹雳中的中国古文化，16 人喜欢闽南语配音，并且在这 16 人中有 8 人从未接触过布袋戏或者 5 年以上未接触过，21 人喜欢定场诗。

问卷一的数据显示在南京高校喜欢霹雳布袋戏的大学生中有 71.03% 的人非常喜欢人偶造型、64.49% 的人非常喜欢武打特效、47.66% 的人非常喜欢霹雳布袋戏中的中国古文化、45.79% 的人非常喜欢剧情、37.38% 的人非常喜欢其中的音乐，可以看出霹雳布袋戏最受人喜欢的首先是人偶造型，其次是武打特效，然后是古文化、剧情和音乐，非常喜欢闽南语的观众并不多。

### ②血腥画面对观众影响程度

通过问卷一的问题 8“您觉得霹雳布袋戏中有些过于血腥的画面会影响您继续观看吗？”的问卷结果来看在对霹雳布袋戏非常感兴趣的 33 人中，有 13 人觉得血腥的画面会影响观剧，10 人觉得不太受影响，10 人不受影响。在对霹雳布袋戏感兴趣的 74 人中，有 5 人觉得血腥的画面会影响观剧，46 人觉得不太受影响，23 人不受影响。

问卷一的数据显示在南京高校喜欢霹雳布袋戏的大学生中有 16.82% 的人觉得血腥画面影响观剧，有 52.33% 的人不太受影响，也就是说即便是喜欢霹雳布袋戏，血腥的画面还是会相当一部分人的观剧体验。

### ③双版本配音

通过问卷一的问题 9“您是否能接受闽南语版的配音”的问卷结果来看在对霹雳布袋戏非常感兴趣的 33 人中有 17 人喜欢闽南语版本的配音，6 人表示接受，5 人表示一般，3 人表示不太接受，2 人表示不接受。在对霹雳布袋戏感兴趣的 74 人中有 13 人喜欢闽南语版本的配音，29 人表示接受，20 人表示一般，9 人表示不太接受，3 人表示不接受。

问卷一的数据显示在南京高校喜欢霹雳布袋戏的大学生中有 28.03% 的人喜欢闽南语配音、32.71% 的人接受闽南语配音，问卷结果表明，喜欢布袋戏的人绝大部分也是能接受或喜欢闽南语版本配音的。

通过问卷一的问题 10“您觉得普通话版本的配音会好于闽南语配音吗？”的问卷结果来看在对霹雳布袋戏非常感兴趣的 33 人中，有 18 人表示普通话版本更好，12 人保持中立，3 人表示不同意。在对霹雳布袋戏感兴趣的 74 人中，有 40 人表示普通话版本更好，28 人保持中立，6 人表示不同意。

问卷一的数据显示在南京高校喜欢霹雳布袋戏的大学生中有 54.2% 的人觉得普通话版本会更好，只有 8.41% 的人不同意此观点。也就是说有半数以上的人觉得普通话版本的人优于闽南语版本，只有少部分人觉得闽南语会比普通话版本更好。

### ④布袋戏电影

通过问卷一的问题 17“您是否期待霹雳偶动漫制作成电影？”的问卷结果来看，

在对霹雳布袋戏非常感兴趣的 33 人中有 29 人期待霹雳偶动漫制作成电影,4 人表示一般。在对霹雳布袋戏感兴趣的 74 人中有 49 人期待霹雳偶动漫制作成电影, 24 人表示一般, 1 人选择否。

问卷一的数据显示有 72.9% 的人希望有布袋戏电影的推出。

通过问卷二的问题 8“您是否期待霹雳偶动漫制作成电影?”的问卷结果来看, 在对霹雳布袋戏感兴趣的 53 人中有 43 人期待霹雳偶动漫制作成电影,8 人表示一般, 2 人选择否。

问卷二的数据显示有 81.13% 的人希望有布袋戏电影的推出, 也就是说在南京高校喜欢霹雳布袋戏的人群中绝大部分是希望霹雳公司制作相对续集来说更为短小精炼的电影。这与问卷一中问题 17 的研究结论相合。

#### (4) 经营模式

##### ① 付费观看

通过问卷一的问题 12“您是否愿意付费观看霹雳布袋戏?”的问卷结果来看在谈到是否愿意付费观看霹雳布袋戏的时候, 33 名对霹雳布袋戏非常感兴趣的人中有 11 人表示非常愿意支持付费观看, 5 人表示愿意, 7 人表示一般, 9 人觉得不花钱更好, 1 人不愿意付费观看。在谈到是否愿意付费观看霹雳布袋戏的时候, 74 名对霹雳布袋戏感兴趣的人中有 6 人表示非常愿意支持付费观看, 17 人表示愿意, 30 人表示一般, 21 人觉得不花钱更好。

问卷一的数据显示有 35.78% 的人愿意或非常愿意付费观看、62.61% 的人则表示不难么愿意或不付费更好。也就是说在南京高校喜欢霹雳布袋戏的大学生中绝大多数人不太习惯付费观看。

通过问卷一的问题 13“如果是付费观看, 您能接受的价格范围大约为多少?”的问卷结果来看在对霹雳布袋戏非常感兴趣的 33 人中有 23 人接受 5 元内/每周的付费观看价格, 7 人接受 10 元/每周, 1 人接受 15 元/周, 2 人接受 20 元/周。在对霹雳布袋戏感兴趣的 74 人中有 56 人接受 5 元内/每周的付费观看价格, 16 人接受 10 元/每周, 1 人接受 15 元/周, 1 人接受 20 元/周。

问卷一的数据显示在南京高校喜欢霹雳布袋戏的大学生中有 73.83% 的选择的是最低档次的付费观看方案, 也就是说, 即便是在对霹雳布袋戏感兴趣的人群中绝大多数人也是不愿意花太多钱在每周的付费观剧上。

##### ② 购买布袋戏人偶

通过问卷一的问题 14“您愿意花高昂的价格去购买精美的霹雳布袋戏的人偶吗?”的问卷结果来看, 对霹雳布袋非常戏感兴趣的 33 人中有 12 人表示很有可能花高昂的价格去购买布袋戏的人偶, 5 人表示有可能会购买, 10 人表示不一定, 4 人觉得不太可能, 2 人表示不可能。在对霹雳布袋戏感兴趣的 74 人中有 9 人表示很有可能花高昂的价格去购买布袋戏的人偶, 15 人表示有可能会购买, 27 人表示不一定, 20 人觉得不太可能, 3 人表示不可能。

问卷一的数据显示有 38.31% 的人表示很有可能或有可能花高昂的价格去购买精美的霹雳布袋戏人偶, 也就是说在南京高校喜欢霹雳布袋戏的大学生群体中有少数

分是有可能花钱购买价格高昂的布袋戏人偶的。

### ③购买周边商品

通过问卷一的问题 15“如果您愿意，购买霹雳周边商品价格在什么范围内能接受？”的问卷结果来看，对霹雳布袋非常感兴趣的 33 人中有 22 人表示接收 100 元以内的价格，6 人接受 100-200 元之间的价格，2 人接受 200-500 元之间的价格，1 人接受 500-1000 元之间的价格，1 人接受 1000 元以上的价格，1 人未填写。在对霹雳布袋戏感兴趣的 74 人中有 45 人表示接收 100 元以内的价格，14 人接受 100-200 元之间的价格，2 人接受 200-500 元之间的价格，2 人接受 500-1000 元之间的价格，11 人未填写。

问卷一的数据显示有 62.61% 的人选择了最廉价的消费方案，也就是说在南京高校喜欢霹雳布袋戏的大学生群体中绝大多数人也只愿意购买相对廉价的周边商品。

## （5）观众偏好

### ①魔幻、仙侠题材的故事、电影、电视剧

通过问卷一的问题 16“您平时喜欢看魔幻、仙侠题材的故事、电影、电视剧吗？”的问卷结果来看，在对霹雳布袋戏非常感兴趣的 33 人中有 21 人表示喜欢看魔幻、仙侠题材的故事、电影、电视剧，9 人表示一般，3 人认为不是。在对霹雳布袋戏感兴趣的 74 人中有 51 人表示喜欢看魔幻、仙侠题材的故事、电影、电视剧，20 人表示一般，3 人认为不是。

问卷一的数据显示有 67.29% 的人选择喜欢喜欢魔幻、仙侠题材的故事、电影、电视剧的。

通过问卷二的问题 7“您平时喜欢看魔幻、仙侠题材的故事、电影、电视剧吗？”的问卷结果来看，在对霹雳布袋戏感兴趣的 53 人中有 40 人表示喜欢看魔幻、仙侠题材的故事、电影、电视剧，12 人表示一般，1 人认为不是。

问卷二的数据显示有 75.49% 的人选择喜欢魔幻、仙侠题材的故事、电影、电视剧的，这与问卷一中问题 16 的研究结论相合。也就是说在南京高校喜欢霹雳布袋戏的大学生中绝大多数是喜欢魔幻、仙侠题材的故事、电影、电视剧的。

### ②魔幻、仙侠类题材游戏

通过问卷一的问题 18“您平时喜欢玩儿魔幻、仙侠题材的游戏吗？”的问卷结果来看，在对霹雳布袋戏非常感兴趣的 33 人中有 23 人表示喜欢玩儿魔幻、仙侠题材类的游戏，7 人表示一般，3 人选择否。在对霹雳布袋戏感兴趣的 74 人中有 36 人表示喜欢玩儿魔幻、仙侠题材类的游戏，32 人表示一般，6 人选择否。

问卷一的数据显示有 55.14% 的人表示喜欢玩儿魔幻、仙侠类题材的游戏。

通过问卷二的问题 9“您平时喜欢玩儿魔幻、仙侠题材的游戏吗？”的问卷结果来看，在对霹雳布袋戏感兴趣的 53 人中有 34 人表示喜欢玩儿魔幻、仙侠题材类的游戏，15 人表示一般，4 人选择否。

问卷二的数据显示有 64.15% 的人选择喜欢玩儿魔幻、仙侠题材类的游戏，这与问卷一中问题 18 的研究结论相合。也就是说在南京高校喜欢霹雳布袋戏的大学生中绝大多数是喜欢玩儿魔幻、仙侠类题材的游戏的。

### ③cosplay

通过问卷一的问题 19“您喜欢 cosplay 吗？”的问卷结果来看,在对霹雳布袋戏非常感兴趣的 33 人中有 17 人表示喜欢 cosplay, 9 人表示一般, 7 人选择不是。在对霹雳布袋戏感兴趣的 74 人中有 17 人表示喜欢 cosplay, 32 人表示一般, 25 人选择不是。问卷一的数据显示只有 31.78%得人选择喜欢 cosplay, 但也有很大一部份并不是那么喜爱 cosplay, 甚至有 29.9%得人表示不喜欢。

通过问卷二的问题 10“您喜欢 cosplay 吗？”的问卷结果来看,在对霹雳布袋戏感兴趣的 53 人中有 22 人表示喜欢 cosplay, 23 人表示一般, 8 人选择不是。

问卷二的数据显示,有 41.5%的人选择喜欢 cosplay、有 15.1%的人选择不喜欢,也就是说在南京高校喜欢霹雳布袋戏的大学生中有很一大部份并不是那么喜爱 cosplay, 者与问卷一中的问题 19 的研究结论相似。

### ④其他偏好

通过问卷一的问题 21“您平时喜欢还有什么兴趣爱好,可列举关键词,例如喜欢玩儿的的游戏,喜欢看的电视剧,电影,小说,运动,艺术项目等等。”的问卷结果来看,在对霹雳布袋戏非常感兴趣的 33 人中有 6 人在附加信息的兴趣爱好中提到喜爱篮球、足球、轮滑类运动。在对霹雳布袋戏感兴趣的 74 人中有 16 人在附加信息的兴趣爱好中提到喜爱篮球、足球、轮滑类运动。

在问卷一中有 22.42%的人是篮球、足球、轮滑类运动的爱好者,共有 11.21%的人提到喜欢玩儿英雄联盟、王者荣耀等电子竞技类游戏,而其他信息并没有太多令人注意的地方。

通过问卷二的问题 12“您平时喜欢还有什么兴趣爱好,可列举关键词,例如喜欢玩儿的的游戏,喜欢看的电视剧,电影,小说,运动,艺术项目等等”的问卷结果来看,在对霹雳布袋戏感兴趣的 53 人中有 9 人在附加信息的兴趣爱好中提到喜爱篮球、足球、乒乓类运动,占比为 16.98%。共有 10 人提到喜欢玩儿英雄联盟、王者荣耀等类型的游戏,占比为 18.87%。而其他信息并没有太多令人注意的地方。也就是说在南京高校喜欢霹雳布袋戏的大学生中有一部分是喜爱体育运动或像英雄联盟、王者荣耀等技电子竞技类游戏的,这与问卷一中问题 21 的研究结论相合。

## 3.问卷分析整合

在将问卷一和问卷二的相关问题进行分析对比后,发现两套问卷得出的结论相合或相似,整理后得具体结论如下:

### (1) 市场空间和宣传

①霹雳布袋戏在南京的高校中有许多潜在的观众值得开发。

②南京高校中绝大部份喜爱霹雳布袋戏的观众感觉霹雳布袋的宣传工作的还不够好。

③网络平台将会在霹雳布袋戏的宣传上发挥巨大的作用。

④在南京高校大学生中喜欢霹雳布袋戏的人最常用的视频网站 AAP 主要有爱奇艺、优酷、腾讯视频、斗鱼和 bilibili。

### (2) 布袋戏内容优化和改良

①在南京高校大学生中霹雳布袋戏最受人喜欢的首先是人偶造型，其次是武打特效，然后是古文化、剧情和音乐，非常喜欢闽南语的观众并不多。

②即便是在喜欢霹雳布袋戏的人群中，血腥的画面还是会影相当一部分人的观剧体验。

③喜欢布袋戏的人绝大部份也是能接受或闽南语版本配音的。

④有半数以上喜欢霹雳布袋戏的人觉得普通话版本的人优于闽南语版本，只有少数人觉得闽南语会比普通话版本更好。

### （3）经营模式

①在对霹雳布袋戏感兴趣的人中绝大多数人不太习惯付费观看。

②即便是在对霹雳布袋戏感兴趣的人群中绝大多数人也是不愿意花太多钱在每周的观剧上。

③在对霹雳布袋戏感兴趣的人群中，只有少部分是愿意花钱购买价格高昂的布袋戏人偶的。

④即便是在对霹雳布袋戏很感兴趣的人群中，绝大多数人只愿意购买相对廉价的周边商品。

### （4）观众其他偏好

①对霹雳布袋戏非常感兴趣的人群中绝大多数是喜欢魔幻、仙侠题材的故事、电影、电视剧的。

②绝大部分喜欢霹雳布袋戏的人是喜欢玩儿魔幻、仙侠题材类游戏的。

③绝大部分喜欢霹雳布袋戏的人希望霹雳公司制作相对续集来说更为短小精炼的电影。

④喜欢霹雳布袋戏的人很多喜欢 cosplay，但也有很大一部份并不是那么喜爱 cosplay。

⑤喜爱霹雳布袋戏的人中有一部分是篮球、足球、轮滑类运动的爱好者，还有一部分人喜欢玩儿英雄联盟、王者荣耀等类型等竞技类游戏。

## 三、建议

### 1. 产品内容改良和优化

#### （1）双版本配音发行

从文献综述中专家学者的建议和两次问卷的调查结论来看，绝大多数南京高校的观众是喜欢和习惯普通话版本，故霹雳公司在大陆市场要的开拓上以普通话版本为主，这不仅便于霹雳布袋戏的受众推广，也有利于霹雳偶动漫培育新一代的粉丝群体。另外需要注意的是霹雳布袋戏还需要坚持闽南语和普通话双版本的发行，虽以普通话版本为主，但不可轻视了布袋戏的经典元素之一的闽南语“口白”，有许多喜欢霹雳布袋戏的粉丝并不排斥闽南语版本，他们或可能慢慢适应和接受，甚至到喜爱。例如，在爱奇艺、优酷等视频网站上要有普通话版本和闽南语版本的视频，在每周同一时间更新；但在类似斗鱼的直播平坦宣传播放时，要以普通话版本为主。

#### （2）经典元素的强化

从霹雳布袋戏讲座后的问卷调查结果中来看，南京高校中喜爱霹雳布袋戏的大学生观众最喜爱的霹雳布袋戏元素包括人偶造型、武打特效、古文化、剧情和音乐，故霹雳公司应坚持继续加强布袋戏人偶造型和武打特效的创新，巧妙的将更加丰富的中国古文化融入到布袋戏剧的情中和音乐当中。有不少专家学者在文献中提到剧情“冗长”的问题，故继续加强优化相对“冗长”的剧情结构，减少和简化故事的支线，主次分明，使新观众更加容易融入到剧情故事主线中去，避免出现在布袋戏剧情中突然被砍去的“浮动山城”一故事线。

### **(3) 布袋戏电影的联合拍摄**

虽然霹雳公司曾经在大陆推出过的两部布袋戏电影都没有带来很好的经济效益，但在南京高校中仍然有不少喜欢霹雳布袋戏的大学生期待霹雳布袋戏推出新的电影，故霹雳公司可继续尝试布袋戏电影的制作，可以考虑与爱奇艺等有合作的视屏网站联合拍摄，共享版权，共同宣传推广，合作方可提供资金支持和宣传渠道，具体专业的电影拍摄制作依然由霹雳国际多媒体完成。

### **(4) 血腥画面的控制**

霹雳公司还需要注意布袋戏剧情中血腥画面的控制，因为不仅专家学者在文献中有提到霹雳偶动漫曾经因为剧情中有血腥、色情倾向的情节而被在大陆的官方媒体上禁播的历史，而且从布袋戏讲座的现场观众问卷反馈来看，血腥的画面还是会影影响相当一部分人的观剧体验。霹雳国际多媒体可尝试减少分尸、爆体、裸露尸骨、器官等情节，适当减少血流不止、喷血的画面的时长，尽量使用让人物吐血的方式表现。

## **2. 周边商品价格**

从霹雳布袋戏讲座后的问卷调查的结果来看，在南京高校中对霹雳布袋戏感兴趣的人群中绝大多数人只愿意购买相对廉价的周边商品，只有少部分是愿意花钱购买价格高昂的布袋戏人偶的，且一般的大学生难以承受一个精美的霹雳布偶近万元的花费。面对这一情况，建议霹雳公司向大陆的粉丝优先多推出一些物美价廉的适合大学生使用的周边商品，如：笔、笔记本、钥匙链等小商品，在淘宝开设官方的网络购物渠道，待慢慢将观众培育为忠实的粉丝后，观众的周边商品的购买力才会随之提升。

## **3. 经营模式**

和全国的观众很相似的，对于南京高校的大学生而言，他们也早已习惯了电视剧免费播放、从网络获取免费视频资源。从本次独立研究报告的问卷调查结果来看，在南京高校的大学生里即便是在对霹雳布袋戏感兴趣的人群中绝大多数人也是不愿意花太多钱在每周的观剧上，现实情况也是很多观众是抱着不花钱更好的心态在网络上获取免费的视频资源。正因如此建议霹雳公司可以考虑与国内企业或视频网站进行“合作经营”，或者可以通过“安许可证排”的方式在经营模式上进行改良。例如：霹雳公司可以考虑与爱奇艺合作，将布袋戏的将霹雳布袋戏的播放权售出给爱奇艺，观众可以通过爱奇艺的平台付费或开通VIP通道观看霹雳布袋戏。

## **4. 宣传渠道和营销方式**

### （1）与视屏网站合作，找到精准的推广渠道

在当今社会，电视这样的传统媒体已经渐渐被人淡忘，随之而来的手机等移动终端、视频网站、自媒体平台已经成为了人们生活中的重要部分，网络平台将会在霹雳布袋戏的宣传上发挥巨大的作用。从本次独立研究报告的调查问卷结果来看，在南京的高校大学生群体中喜爱霹雳布袋戏的人群接触霹雳布袋戏的方式主要是通过网络平台，并且喜欢霹雳布袋戏的人最常用的视频网站 AAP 主要有爱奇艺、优酷、腾讯视频、斗鱼和 bilibili，故建议霹雳公司充分利用与这些视频网站的合作关系进行宣传。在问卷结果中还显示，喜欢霹雳布袋戏的人，绝大多数是喜欢魔幻、仙侠题材的故事、电影、电视剧的，一部分戏迷还非常喜欢 cosplay，因此可充分利用粉丝们这一特性，在与霹雳公司合作视频网站中做定向的宣传。例如：利用各合作平台的技术支撑，设定在这些视屏网站中总是观看魔幻、仙侠类题材视屏或 cosplay 视屏的观众，可能会收到关于霹雳布袋戏的宣传信息。

### （2）高校粉丝社团和学术讲座宣传

在部分参考文献中有学者提到要借助“粉丝的”力量进行宣传，故霹雳公司可以考虑号召在南京各大高校的粉丝们在大学里成立关于霹雳布袋戏的社团组织，且霹雳公司在高校霹雳布袋戏社团的成立和日常社团活动的组织开展方面给与一定的技术支持和经费帮助，把在高校的宣传工作交给愿为之“卖命”宣传的粉丝们。

合本次调查问卷的有效问卷数量来看，在高校组织召开与霹雳布袋戏相关的第二课堂学术讲座收集到的有效问卷比例，也就对霹雳布袋戏感兴趣的人数比例要远远高于直接问卷调查收到的比例，从而可以判断，在高校召开与霹雳布袋戏相关的第二课堂学术讲座将有利于布袋戏在高校的宣传和推广。因为现在的南京的高校的第二课堂讲座宣传，已经不仅仅停留在海报宣传，而是已经覆盖到每个大学生的手机上 APP——口袋校园中，几乎南京的所有高校在都在使用口袋校园系统来做大学生的第二课堂建设。霹雳公司可派遣布霹雳公司相关人员，与高校社团负责人对接，联系高校教务处或团委，前往高校召开传统文化或文化创意类产业等与霹雳布袋戏相关的第二课堂学术讲座，通过海报、口袋校园平台宣传，让更多前来听讲座的大学生从源头了解布袋戏、了解传统文化，从而一点点喜欢上霹雳布袋戏。

### （3）与游戏公司合作

在本次独立研究报告的问卷结果中显示，在南京高校的大学生群体中大部分喜欢霹雳布袋戏的人是喜欢玩儿魔幻、仙侠题材类游戏的，对此建议霹雳公司考虑与部分热门的魔幻、仙侠类题材的游戏进行合作，在游戏中加入霹雳布袋戏的元素或植入广告。例如在某和一些热门的仙侠类网络、单机游戏的合作中加入霹雳布袋戏的剧情元素、人物元素等等，让游戏玩家在不经意间就了解到了霹雳布袋戏的元素，为对霹雳布袋戏兴趣的产生创造机会。

## 四、总结及有待进一步解决的问题

### 1.总结

在网络和新媒体盛行信息量爆炸的今天，手机等移动终端、视频网站、自媒体



平台已经成为了人们生活中的重要组成部分，中国大陆的文化创意类产业蓬勃发展，霹雳布袋戏要想深耕大陆市场将面临着新的机遇和挑战，如何打开高校的观众市场将是霹雳国际多媒体面临的新话题。

本次独立研究报告从开题到定稿历时近六个月，初衷是想为研究者本人所喜爱的霹雳偶动漫在大陆的观众市场拓展做出自己微薄的贡献。从研究者个人主观的对霹雳布袋戏的问题分析，到相对客观的文献查阅，寻找与自身观点相吻合的信息，提出假设，再到设计问卷，开展布袋戏专题讲座和调查问卷，虽然有些环节不尽完美，但却差强人意。比如在问卷收集方面，因为霹雳布袋戏本身在大陆高校并非人人皆知，除了经历过布袋戏专题讲座的观众，很多参与问卷的观众都没有正式的观看过霹雳布袋戏，不了解布袋的文化、起源和其中的精华，因此在问卷二的收集，我们发现其中有效问卷的比例并不高。而这恰恰让我们看到了，开设霹雳布袋戏第二课堂专题学术讲座在有效问卷收集和布袋戏宣传上的优势。

本次独立研究报告的研究结果和建议，只是供大霹雳集团和霹雳国际多媒体参考，在大陆高校的潜在观众市场研究并不是一两次研究报告就能使之完全明了，在南京的做高校的布袋戏市场调研并不一定就能完全代表整个大陆。研究者需要在研究中不断发现的问题，总结经验，并不停地和观众沟通交流，不断的做调研，了解潜在观众和老粉丝们的感受，才能真正明白他们想要和希望的东西是什么。

## 2.有待进一步解决的问题

在本次独立研究报告的问卷最后在南京高校对霹雳布袋戏感兴趣的大学生观众中有大约 20%左右的人提到有喜欢某些体育运动或英雄联盟类的电子竞技游戏，这其实可以给我们一些启发，比如霹雳布袋戏是否可以针对这些观众开发自己的某些体育用具，或是与英雄联盟合作，开发与霹雳布袋戏相关的英雄或英雄皮肤。与英雄联盟合作或许很有可能。首先台湾在的英雄联盟的世界赛赛场上是有过精彩表现的；其次依据霹雳布袋戏在台湾人们中的地位，霹雳布袋戏中的经典人物加入到英雄联盟的英雄人物将可能得到民众极高的呼声；拳头公司门下的英雄联盟本来就是集各国、各类世界文化中的英雄人物为一体的游戏，或许霹雳布袋戏中的经典人物，恰好就是拳头公司下一个想要开发的英雄。在电子竞技火爆的今天，如果霹雳布袋戏人物成功入驻英雄联盟，这或将成为布袋戏走向世界一次重要机遇。

霹雳布袋戏在大陆确实面临新用户培育困难的问题，例如在本次独立研究报告中在南京高校的大学生群体中很多可能会喜欢上霹雳布袋戏的人在收到问卷或参与讲座前都没有机会去深入的接触和了解布袋戏文化，霹雳公司也没有办法花高成本到广泛的宣传上，因此精准的宣传渠道将会是解决这一难题的关键。要想找到精准的宣传渠道，了解潜在观众的习惯和爱好将会是一个突破点，这也是我们后面要去不断探索的方向。

霹雳布袋戏内容的改良和优化也是一个艰难的话题，“众口难调”是大家公认事实，布袋戏也要有布袋戏的坚持，闽南语不能丢，“流血”的画面更是不能少，否则霹雳布袋戏长久以来追求的“逼真”将相当于被否定了。当然布袋戏的观众们已经从霹雳近期播出的剧集中感受到霹雳布袋戏也在不断的优化和改良，是让布袋戏更

多的适应观众，还是让感兴趣的观众慢慢喜欢上布袋戏，这里面尺度的拿捏也是我们后面要不断探索的方向。

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## 解析主旋律医疗剧的创新之道

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### 摘要

医疗剧是围绕医生工作以及医患关系的电视剧类型,主旋律电视剧是以传播意识形态为核心的电视剧类型。电视剧自身的娱乐功能与主旋律的宣教功能彼此矛盾,难以调和。近期以《心术》、《产科医生》、《青年医生》为代表的医疗剧,不仅成功融合了娱乐与宣教,而且各有特色与创新。本文从媒介经济学的角度,以近期三部医疗剧为例,解析主旋律医疗剧的创新之道,为以后类似题材的电视剧探索新的创新思路。

**关键词:** 媒介环境; 共性; 外部性; 传播功能

主旋律电视剧是中国特色的电视剧种类之一,主要通过电视剧的形式传播意识形态,承担大众媒体的宣传与教育功能。在当前电视剧空前繁荣的背景下,主旋律电视剧不仅在作品数量上大幅增加,尤其是表现形式正逐渐脱离以往过分偏向于主旋律的“高大全”与“千人一面”,并以适应市场需求为目的而日趋多样化。以《亮剑》为代表的军旅题材,以《潜伏》为代表的谍战题材等传统题材的主旋律电视剧,通过重新阐释英雄人物,现代社会与平民化视角,独特新奇的人物事件等多样化的叙事风格与审美定位,极大的促进了主旋律电视剧的发展。形式上的市场化创新随之带动内容上的创新,以反映现代社会问题为题材的主旋律电视剧在近期呈现喷薄之势。由此可见,主旋律电视剧和市场化有效结合的关键点,在于对广大电视观众审美趣味——即市场化需求的转向。

传播学媒介环境学派著名学者尼尔·波兹曼 Postman (2004)对电视媒介有一个举世闻名的判断,即“娱乐至死”。电视媒介本身就具有娱乐化的传播偏向,况且当前电视媒介市场越来越倚重收视率——即经济效益,原先过分偏向于主旋律的电视剧生产开始过分市场化。在市场竞争的压力下,电视剧创作中题材撞车、内容克隆、形式跟风等现象蔚然成风。比如近期屡遭诟病的“家斗剧”,以现代社会的家庭关系问题为题材,生硬的将各种利益的勾心斗角添加进温情脉脉的传统家庭关系中。原本弘扬中国传统家庭关系的主旋律题材,由于制作的粗俗化、庸俗化、低俗化、泛娱乐化倾向严重,内容缺乏深厚的民族文化内涵展示,使中国主旋律电视剧出现了“畸形”的繁荣。这种注重经济效益(市场化)而忽视社会效益(主旋律)的现象日趋严重,主旋律电视剧在市场化大潮中重新遇到瓶颈。

### 一、医疗剧的概念界定

1964年,加拿大著名传播学家麦克卢汉 McLuhan (2011)在其著作《理解媒介——论人的延伸》中曾预言与医疗有关的特定剧种未来将备受瞩目,因为医疗剧“创造了一种对身体幸福的痴迷”。几十年过去,麦克卢汉的预言已经实现。

“医疗剧”是发源于美国和日本的一种重要的电视剧类型,国内早期学者对医疗剧有如下定义:“以医院或诊室为背景,以一个或几个医生为主线贯穿全剧的情节系列剧,每一集相对独立,但集与集之间仍具有连续性。”(Wu Suling, 2008, P.84).随着医疗剧的快速发展,不少医疗剧已经

改变了过去的叙事模式，表现出一个多彩的形态。因此，从当前视角来看，对医疗剧应作如下定义：医疗剧是以医院为背景，以医生为叙事主体，从医生工作的专业性角度出发，围绕情感矛盾与医患冲突，兼具现实性与故事性的娱乐功能，全景式地展现医生工作与生活的电视剧类型。随着人们的生活水平的提升，人们开始越来越关注自己的身体健康，对于医疗题材的电视剧也是兴趣浓厚。

## 二、国内当前的主旋律医疗剧

国内观众对诸如美国的《豪斯医生》和《急诊室的故事》，日本的《白色巨塔》等耳熟能详，香港地区曾经播出的《妙手仁心》、《侠骨仁心》等电视剧也受到热烈欢迎。其实早在1987年，我国就出现了第一部医疗题材的单本电视剧《希波克拉底誓言》，从上世纪末的《妇产医院》、《儿科医生》到新世纪的《医者仁心》、《人到四十》等十余部医疗题材的电视剧相继出现，大多围绕歌颂医疗工作者的主旋律，缺乏现代电视剧的娱乐功能，收视率难以为继。主旋律电视剧是中国特色的电视艺术形式，弘扬主旋律无可厚非，忽视电视剧规律的一味宣传只能适得其反，直到2012年《心术》的出现。

《心术》是国内以反映医患关系为主题的大型电视剧，与以往同类反映现代社会问题的医疗剧题材类似，主旋律性质较为明显。2012年5月3日开始在东方卫视、安徽卫视、天津卫视、浙江卫视四家电视台，以及搜狐视频同步首播。根据CSM城市收视统计，《心术》开播后收视率随即一路飙升，以5日和6日两天为例，四家播放《心术》的卫视均进入电视剧排行榜前十位，其中浙江、安徽、东方卫视进入排行榜前四位，直逼第一位的江苏卫视。《心术》制作精良，由六六担纲编剧，围绕当前医患关系的热点话题展开，并穿插亲情、友情、爱情等成熟类型的叙事手法。演员方面更是新老明星齐上阵，从近期火热的张嘉译、海清等，再到老一代的王诗槐、秦怡等纷纷登场。电视剧推广采用市场化的整合营销传播手段：网台联播，植入广告，电视栏目配合宣传等。《心术》最终获得叫好又叫座的效果，使得处于瓶颈期的主旋律电视剧迎来了一股清新之风，后来的《产科医生》、《青年医生》等都是依循此模式的创新之作。

按照媒介经济学的基本逻辑，作为媒介产品的电视剧既具有公共性，又具有外部性。前者被哈贝马斯赋予公共领域的属性，具有宣教功能，体现媒介产品的社会效益。后者定义为“企业或个人向市场之外的其他人所强加的成本或效益” Samuelson, P&W, Nordhaus (2004). 体现媒介产品在公共性基础上的经济价值。在中国特色的社会主义市场经济体制下，主旋律电视剧的存在就是要发挥其宣教功能——目的，当前的市场化趋势是为了实现宣教功能的可持续性发展——手段。以往过分偏向主旋律而忽视市场化，属于没有找到合理的手段达到有效的目的；当前过分市场化不仅淡化主旋律甚至歪曲主旋律，属于目的与手段的本末倒置。因此，本文将以本年度热播的主旋律医疗剧《心术》、《产科医生》、《青年医生》等近期知名医疗剧为个案，依照媒介经济学的基本逻辑，从如何调和主旋律题材与市场化矛盾的全新视角入手，找出实现主旋律电视剧社会效益与经济效益统一的方法，为中国电视剧产业的未来发展提供若干指导性意见。

### 1. 真实性与娱乐性的统一

媒介经济是注意力经济，电视剧产品主要诉诸于闲暇时间，通过对闲暇时间的注意力占据来实现电视剧的经济价值。“这种时间不被直接生产劳动所吸收，而是用于娱乐和休息，从而为自由活动和发展开辟广阔天地，”马克思将闲暇时间分为提高自我和恢复自我两个部分。前者对应的是以真实性为代表的媒介产品，后者对应的是以娱乐性为代表的媒介产品。按照尼尔·波兹曼的观点，电视媒介完全诉诸于稍纵即逝的线性画面，电视的一般表达方式是娱乐。电视剧主

要满足恢复自我的需求，因此，娱乐性是电视剧必须具备的基本属性。比如当前热播的“家斗剧”，虽然照顾到提高自我的需求，提供一些如何处理家庭矛盾的有价值的真实性内容，但是其主要目的是娱乐，剧中的家庭矛盾更加偏向于故事冲突的戏剧性（娱乐性），而疏离于现实生活的真实性。

在此之前，反映医生工作与情感生活的《医者仁心》、《感动生命》等类似题材的主旋律电视剧已先后播出。如果后来者继续以情感生活为叙事主线，以医患关系为故事要素，虽然有独特卖点，还是会陷入同质化竞争；如果过分强调独特卖点——医患关系，就会过分突出真实性，不仅淡化电视剧的娱乐性，还可能被医患关系的真实性分割注意力，失去电视剧自身的竞争力。因此，《心术》选择以娱乐化的电视剧形式，诉诸于严肃性宣教内容的定位策略。剧中反复强调的经典对白都是有关医疗工作的理念，医学知识的普及以及医患矛盾的真实性讨论。电视剧向受众传播医生对病患的真实性医学实践，逐渐消除受众偏见与无知的过程，不是简单枯燥的说教，而是通过医生与医生之间，医生与患者之间戏剧性（娱乐性）情感关系的自然流露。《心术》的独特之处就在于此，既能满足恢复自我的需求，又能满足提高自我的需求，统一了真实性与娱乐性，广泛获得了注意力。

## 2. 主旋律与多样性的统一

主旋律医疗剧的创新在真实性与娱乐性的统一之后，必须要解决意识形态单一性与受众需求多样性的矛盾。医疗剧最近广受欢迎，主要在于医疗过程较为封闭具有专业性，又和日常生活密切相关，通过真实性的拍摄可以满足受众的各种疑问与好奇。《产科医生》与《心术》、《青年医生》等偶像剧风格不同，剧情设置、人物情感与矛盾冲突完全围绕医院工作和医疗过程进行。《产科医生》选择北京的某家医院为实景，协和、同仁等著名权威医院的产科医生全程参与“监工”，尤其是拍摄手术镜头的时候，全部由“专业手替”完成，每一个细节都彰显出医疗剧的真实性。因此，必须在医疗剧专业性的基础上，结合当前民间话语与草根价值，从普通大众的审美日常化出发，实现医疗剧的意识形态宣传可以充分融入受众需求，完成两者的有效统一。

《产科医生》主要通过写实的方法，从与医疗工作相关的现实生活的各种遭遇完成主旋律与多样性的统一。首先是理想主义的产科主任肖程是海归博士，不谙中国的传统规则，医术高超又桀骜不驯，思想充满了典型的非主流价值观。全剧围绕肖程展开了对科学与人性、职业信仰与道德伦理、现实原则与理想主义的辩证，将主旋律与受众的多样需求相互激荡，引导人们沿着主流价值观思考。其次是何晶的设置更加充满现实主义，一个拥有丰富临床经验的基层医院的年轻医生，通过来到省城大医院进修的机会，积极进取，与人为善，宽容大度，不迷信权威，事事为患者着想，通过剧情使得受众不断与同为进修医生的朱爱萍进行对比，传统的思想价值观与现代社会的职业精神直接导向了受众的认知。最后，权力斗争是现实生活中每个人都有的遭遇，剧中争夺科主任到亲人、师徒的利益纠葛等，编织成一幅十分现实的权术网络。权力同样制约和影响了剧中人物，最终按照主旋律设置的结局，虽然不能完全符合现实，但是满足了受众对权力斗争的真实需求。

## 3. 科学性和艺术性的统一

美国医疗剧《急诊室的故事》自 1994 年开播以来，成为各国医疗剧编剧们学习借鉴的模本，被称为医疗剧的奠基之作。由它所创建的“P+P”模式，即 Professional（专业）+Personal（人性），其对于真实性和专业性追求，也已成为医疗剧的两大重要的特征。专业性是医疗剧本身的一个特性，要依据一定的及科学的医学专业知识，以此来更好的进行宣教功能，有利于健康知识的传播，这正和媒介的宣教功能相契合。然而有些医疗剧中过于追求娱乐性和经济价值，凭空编造出一些离奇的疗法，一味的进行艺术上的创作，过于追求影视作品的市场化，这些都会损

害了国产医疗剧的品质和水平。从“魔弹论”的角度来看，不是科学专业的知识或者行为是对受众一种错误信息的灌输，会使观众对科学的医疗产生一定的错误认知，产生负面的观剧效果，不仅使得健康医疗知识没有的到很好的传播，反而错误的医疗健康知识会去误导受众。

在中国特色社会主义市场经济体制下，影视行业的标准是要实现社会效益与经济效益的双丰收。随着《产科医生》、《心术》等剧的播出，我们看到国产医疗剧在科学性、严谨性方面有了较为明显的进步和提升。在《产科医生》中，剧中不仅有诸如“羊水穿刺测 DNA”、“宫内矫治”、“髂内动脉结扎”等大量产科专业术语，而且在采用“凝血酶灌注手术”救治产后大出血病例时，剧中就特别用字幕提示“凝血酶应用于产科临床目前尚有争议，本剧治疗方式不具指导性”。这种做法加强了该剧的科学性和医学知识的普及和传播，使得观众通过媒介产品参照现实生活的经验进行价值实现，对于医疗健康知识有了全面的了解，满足了人们对于医疗健康知识的需求。与此同时，剧组专门聘请了专业的医生和护士现场全程跟组，为观众提供健康生活和急救救助措施的指导，将科学健康的生活知识和急救常识传播给观众，达到艺术性与科学性的统一。

#### 4. 宣教功能与娱乐功能的统一

与一般实体产品的功能性价值类似，媒介产品的使用价值主要在于满足受众的心理需求。媒介经济学通常把媒介产品的社会功能归结为传播信息、引导舆论、推销商品、提供娱乐四种类型，分别对应于新闻信息、宣教内容、商业广告、娱乐信息四种不同功能性价值的媒介产品。一般来讲，主旋律电视剧诉诸于引导舆论和统一思想，立足于谋求社会效益，主要提供宣教功能；市场化电视剧诉诸于市场化和商业化需求，立足于谋求经济利益，主要提供娱乐功能。两者不可能做出非此即彼的选择，而是更倾向于社会效益或者经济利益。由于媒介产品自身公共性与外部性的本质属性，主旋律电视剧与市场化电视剧往往向对应的功能性价值方向靠近，能够兼顾的不多。《青年医生》不仅完成了娱乐与宣教的统一，而且兼顾了四种功能性价值。

《青年医生》的独特定位具体表现为，不是以戏剧性（娱乐性）的故事情节与人物矛盾为主线，而是以矛盾冲突最多的医院急诊室为背景，较为客观的展现了医生的工作和生活，尤其重点的反映了现实生活中医生和患者之间彼此猜疑、利益冲突等种种矛盾（新闻信息）。通过医患纠纷的诸多场景，电视剧还辨析了医闹维权与法制维权的合理性，并在剧中反复传播医务工作者的职责（宣教内容）。作为主旋律电视剧，《青年医生》根据市场规则自然选择了植入性广告，有汽车、钙片、医疗仪器、牛奶等等，为了避免大量广告的植入太过生硬，甚至尝试了将广告词嵌入到台词当中（商业广告）。剧情设置延续了同类电视剧的成熟模式，亲情、友情、爱情无一不少，以戏剧性的手法讲述医患之间参照现实生活的各种类型化故事（娱乐信息）。四种功能性价值不是区隔的孤立存在，而是合理的融为一体。

### 三、主旋律医疗剧对电视剧产业的意义

在中国特色的社会主义市场经济体制下，《心术》、《产科医生》、《青年医生》等医疗剧在媒介经济学逻辑下的借鉴意义，不仅对主旋律电视剧而且还对市场化电视剧都给予了重要启示，对未来电视剧产业的发展趋势也具有一定的指导意义：

首先，政府以及领导政府的执政党，最重视的媒介功能是传播信息、引导舆论，两者相比较，又以引导舆论更为重要，传播信息也是为了引导舆论。把党和政府主管主办的大众媒体作为从事经济活动的社会主体来分析，它的媒介产品应该主要是信息内容——为受众提高自我而提供的新闻信息，但也不排斥适量的为受众恢复自我而提供的娱乐信息。新闻信息产品以“真”为规定价值——使其“是其所是”的价值，是关于自然界和人类社会新近发生事实的真实报道。引导舆论的宣教功能所追求的规定价值却是“善”，即有利于党和政府的政治任务的完成、政治

目标的实现。为此目的所进行的信息传播活动，既可以是偏于理性诉求的新闻信息与舆论引导，还可以包括偏于感性诉求的娱乐信息——电视剧。主旋律电视剧可以通过娱乐功能满足市场化需求的办法，获得社会效益，实现“政治社会化，即通过宣传、教育把科学的民主政治理念提供给公众，促进他们公民意识的成熟，引导他们理性地参与公共生活” Li,S.(2012)。

其次，与传播信息、引导舆论的功能定位不同，主要提供娱乐功能的电视剧制作已经率先进行了市场化，并逐步显现数量累积上的同质化竞争。以市场化电视剧优先坚持的一定是成本原则，需要更多的满足市场化需求来实现经济利益最大化。电视剧供给与市场化需求进行等价交换之后，具有公共性的电视剧传播可能会产生正外部性，即满足受众有利影响的心理需求；也可能产生负外部性，即激发受众不利影响的心理需求。前者可以说是促进了社会效益，后者则损害了社会效益。在同质化竞争中，电视剧都是脆弱的替代品，而不是坚挺的必需品，不能给予受众有利的功能性价值的电视剧终将被市场淘汰。如何进行差异化竞争，是摆脱同质化的唯一出路。通过新导演、新演员、新题材的创新，仅仅是形式化的创新，注重社会效益的创新才是可持续发展的创新。

最后，《心术》、《产科医生》、《青年医生》等主旋律医疗剧在剧情内容上吸引了观众，获得了巨大的效益，其经济效益也被最大程度的挖掘，但这仅是近期主旋律医疗剧的偶然性个案。当前电视剧的产业化进程中，兼顾社会效益与经济利益不具有普遍性。媒介产品作为一种精神产品，当被作商品投放入市场，既需要兼顾市场因素也要起到宣传教育。未来电视剧的发展需要从政府和市场两头同时努力，我国政府相关管理部门应当在电视剧作品首先发挥一个指挥棒的作用，当市场出现同质化现象时，应当适当调节，使得电视剧发展更加平衡，剧种类型更加多元化，以市场化促进主旋律，以主旋律带动市场化。根据媒介产品公共性与外部性的两重属性，不断发挥媒介产品的四重功能，最终促进整个电视剧产业达成社会效益与经济利益的统一。

#### 四、结语

我国现代医疗剧在近年来发展迅速，众多优秀作品不断涌现。电视剧是被认为对现实生活的写照，按照麦克姆斯曾提出议题设置理论，国内主旋律医疗剧更聚焦了当下其他社会热点问题，对受众的影响主要体现在对于医疗知识的获取以及对于医生形象、医患关系的态度上的一个转变，实现了最大程度的价值指向，从而来引发了人们的思考。

医疗剧作为影视行业中的重要组成部分，健康知识与娱乐信息共存，艺术价值与社会价值兼具。但是，我国医疗影视作品仍然需要进一步创新，相信未来通过不断探索与努力，我国医疗剧会以自己独特创新的内容，朝着一个良性的方向不断发展，主旋律医疗剧更应强调对科学医疗知识的正确传播，避免错误医疗知识给观众带来误导，同时医疗剧中要插入人文质素，宣扬人文理念，此构建起医疗剧与非医疗行业受众对话的可能，更好的实现社会效益和经济效益的统一。

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## 智慧云医院的未来发展与应用性研究

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### 摘要

众所周知，教育&医疗一直以来是政府的民生工程，然而，在中国一直存在医疗资源分布不均匀，医患关系紧张，老百姓一直感到看病难、看病贵。政府努力在积极尝试医疗改革的方向，但是顽疾很深。始终找不到有效的方法与手段，从根本上解决老百姓关心的看病难、看病贵的问题。

本文从中国医疗市场的现状来剖析，基于中国当下现存的医疗资源分布状况，着重运用现代科技手段，云计算、大数据、互联网、物联网、智能化、VR 等科技手段和技术，充分地协调、联动和调动现有的医疗资源，并加以充分发挥利用，让现有医疗资源得到合理的配置，减少医院已有医疗资源的重复建设。避免医院医疗资源的严重浪费，解决目前医疗上的痛点，缓解医患关系紧张，为中国的医疗改革方向提出建设性的参考意见和建议。

**关键词：**医疗改革、医患关系、智慧医疗、云技术、VR 技术

### 研究背景及目的

#### （一）选题的背景与意义

目前，各大医院门诊部经常人满为患，经常有患者在工作人员还未上班时已经将门诊部堵得水泄不通，给患者自身以及医院自身的工作都带来了极大的不便。并且，由于大部分患者对医院看病流程不太熟悉以及在求医心切的患者心理的影响下，对医院的服务水平满意度大大降低，导致了部分不必要的医患纠纷的出现。另外，现今，大部分三甲医院自动化设施以及在线服务都较为齐全，然而，很多患者却不会利用这些资源来顺利就医，造成了医疗资源的不必要的浪费。基于此，我们提出了“智慧云医院”的想法，即利用 VR 技术来智能地引导患者正确顺利就诊，充分利用各方面资源来提高医院的工作效率，减少矛盾冲突，打造和谐友好高效的新型医院形象，给患者带来全新就医体验。

#### （二）研究的范围、研究目的、主要内容和创新

##### 1. 研究范围

本研究致力于整合医院平台、临床运用、运营管理三个场景模块，为各级医疗机构从全方位、智能化、信息化的角度和提升医疗服务系统水平为出发点，并在此基础上运用以 VR-互联网技术为主，物联网为辅的三线合一式的系统方案，坚持“智能化、信息化、人文化”的服务要素，以“灵活高效、科技创新”为宗旨，引领中国 3D 互联网医院向社会主义现代化新型医疗模式进军。

##### 2. 研究目的

本文以“优化医疗资源、解决医患壁垒、精准医疗决策、精致医疗服务”为四重目标，着力为医疗机构设计并配备完备的智能信息化体系，解决和优化院前、门诊、住院、特色服务、急诊、院外、OA 管理平台七个场景的工作运转效率和人文化服务。

##### 3. 研究的主要内容和方法

通过对本研究课题的相关文献检索和查询，还没有相关文献研究正式提出“智慧云医院”系统的研究文章，目前相关文献主要集中在一些智慧医疗、VR 技术在医疗某个领域的应用探讨与研究，与本文研究的方向，提出“智慧云医院系统”这一概念有很大的不同之处，本研究的主要方向是基于现有医院的医疗软硬件的资源，充分地协调调动和充分利用已有的医疗资源，运用

互联网、VR 技术等科技手段的一套智慧云医院系统概念。

### 3.1 技术背景

VR 技术 (Virtual Reality) 即虚拟现实技术, 是由美国 VPL 公司创建人 JaronLanier 在 20 世纪 80 年代初提出的, 是一种可以创建和体验虚拟世界的计算机仿真系统, 它利用计算机生成一种模拟环境, 多源信息融合的、交互式的三维动态视景和实体行为的系统仿真可以使用户沉浸到该环境中。操作者借助一定的辅助设备就能在虚拟的环境中进行交互, 从而获取大量的信息。由此, 360°全景展示系统可以运用到医院的创新服务方方面面, 患者就算在月球也能通过 VR 了解医院全景, 就医流程, 缩短时间, 做出就医计划, 提高看病效率。打造虚拟现实 360°全景医院, 更好展示医院, 创新服务人民。根据目前 VR 技术发展趋势, 2017 年是 VR 技术进入爆发的元年, 而后的几年中 VR 技术会出现大范围推广普及, 此时正是引入 VR 技术和医疗服务系统结合的好时机, 在未来的几年中, VR 技术的发展与普及也将会为本研究的优化和普及应用推广提供有力理论上和技术上支持。

#### 3.1.2 市场背景

目前我国大多数的医院网站都是用简单的文字和图片对医院进行介绍、宣传, 效果都不大理想。现实中, 我们经常可以看到许多病人到了医院因为找不到方向以及不熟悉看病就诊流程, 而疲于奔波。为方便广大患者来院就医、我们不仅要在网站上提供平面的地理位置图, 还要将成熟的三维全景展示技术用于仿真展示医院布局, 患者在网站上即可身临其境的察看医院的整体布局, 在来院就医前可先通过网站查明相关科室的具体位置和了解就医流程, 提前体验就医。

进入医院 VR 全景导览展示系统, 患者则可自由地在医院漫游。了解医院的整体布局, 同时也可体会医院舒适、幽雅的就医环境。有助于保证患者初次就医, 便可轻车熟路的找到目的地, 大大节省了患者就诊的时间, 减少医院的滞留人群。通过 VR 全景实景拍摄对医院先进的医疗设备及设施进行展示, 加深患者对我院医疗水平及实力的了解和信赖, 引导更多思考选择医院就医。VR 技术的显著优势:

(1) VR 有沉浸感, 简单说, 身临其境。所谓沉浸感, 也可以称之为空间临场感, 就是让人专注在当前的目标情境下感到愉悦和满足, 而忘记真实世界的情境。沉浸感往往包括人的感官体验和人的认知体验, 是强烈的正负情绪交替的过程。而 VR 全景沉浸式体验, 通俗点理解即用户将某个全景当作真实的东西来感知时, 就会产生自己在空间意义上, 置身于这个全景环境中的感觉。VR 可以带入进去进行互动, 随着用户的位置移动, 计算机也可以经过计算传出画面。

(2) 患者在来医院之前, 患者就算在月球也能通过 VR 了解医院全景, 就医流程, 缩短时间, 做出就医计划, 提高看病效率, 提前预约好确定看病时间点, 避免病患者扎堆一个时间点看病。基于此, 我们提出“智慧云医院”的想法, 即利用 VR 技术来智能地引导患者正确顺利就诊, 充分利用各方面资源来提高医院的工作效率, 减少矛盾冲突, 打造和谐友好高效的新型医院形象, 给患者带来全新就医体验。目前大部分三甲医院自动化设施以及在线服务都较为齐全, 然而, 很多患者却不会利用这些资源来顺利就医, 完成了医疗资源的不必要的浪费。针对这些问题, 都是本研究 VR 智慧云医院系统着重探讨并提出解决的方案。

#### 3.1.3 政策背景

党的十九大明确了“两个一百年”的宏伟目标, 医疗卫生服务体系的发展面临新的历史任务, 要在“病有所医”上持续取得新进展, 实现人人享有基本医疗卫生服务。国家领导人在两会提出建立“互联网+”时代, 使得云计算、物联网、移动互联网、大数据等信息化技术得以快速发展。党的十九大报告提出“健康中国战略”、“要完善国民健康政策, 为人民群众提供全方位全周期健康服务, 深化医药卫生体制改革, 全面建立中国特色基本医疗卫生制度、医疗保障制度和优质高效的医疗卫生服务体系, 健全现代医院管理制度”。“人民健康是民族昌盛和国家富强的重要标志”, “大健康”理念将从理论付诸实践。在这样的大背景之下, 本研究的智慧云医院系统可谓顺势而生, 利用智能系统更好地服务于医疗行业, 为广大医务工作者和患者提供便利, 推动我国医疗事业发展。

### 3.2 功能与介绍

预期研究的方向主要有两大块: 前期主要以院前 VR 全景导诊系统--“云景平台”以及 VR 分诊导诊系统为主, 后期主要包括: VR 缴费取药系统、VR 医疗信息交流平台、检验项目

及人流监测系统。

### 3.2.1 院前 VR 全景导诊系统

#### (1) 流程

进入平台按条件检索医院进入 VR 医院全景体验系统选择医院注册用户预约挂号来到医院就诊进入导诊平台，按照提示完成就医流程科室前等候叫号。

#### (2) VR 院前介绍：

①VR 医院全景帮助患者选择医院患者通过网站或者 app 进入 VR 智能云医院患者平台。在该平台，患者可根据自己所在地区定位，按照不同筛选条件，获取不同医院的排序，如筛选条件按距离，则优先出现距离最近的医院。在一次检索的基础上，患者可添加二次筛选条件进入二次检索，然后平台会根据患者要求进行医院的综合排序，为患者智能选择出部分最优就诊医院。此时患者可点进系统推荐的医院，进行一次就诊前的“观光游览”——就医环境与就医流程的 VR 体验。患者通过类似 VR 眼睛效果的手机操作界面以及语音提示、语音介绍，完成对医院医疗环境与人文环境的体验。体验完系统推荐医院的 VR 内外部全景以后，患者对医院已经有了一个初步的认识，在此认识的基础上，患者自行对就诊医院进行选择，不仅给患者提供了更多就医选择，也有利于国家“分级就诊”政策的落实，积极响应了国家“十三五”医改相关政策，同时也有利于督促医院努力改善其医疗环境。当患者选择医院后，如果需要预约挂号，则需要利用身份证注册账号，填写基本个人信息后即可进入预约分诊平台。该平台将帮助患者较为准确地挂号就诊。

#### ②VR 导诊

患者来到医院，可进入导诊平台，输入挂号的科室，VR 导诊系统即可结合目标定位，指引患者按照正确的就医流程与路线指引，到相应科室的等待区等待系统叫号。同时还将根据用户需求提供相应的楼层指引、消防及疏散指引等，使得用户在就医前即可提前体验就医的便捷化服务。

### 3.2.2 VR 分诊、预约系统

#### 3.2.2.1 系统背景

基于现有医疗分诊、预约系统的不完善，本研究致力打造 VR 分诊、预约系统来实现就诊患者的高效准确分诊挂号。平台深度对接各层级医疗机构系统，围绕开展层级转诊、远程会诊、院后服务、家庭医生、远程教育、数据共享中心、临检中心、病理中心、心电中心等 9 大业务，推动形成基层首诊、双向转诊、急慢分治、上下联动的就医新秩序，实现分级诊疗建设落地。平台优势在于数据和服务的整合、互通及协同能力。

#### 3.2.2.2 功能描述

主要流程：注册账号分诊预约挂号自助报道

##### (1) 注册

患者首先通过网站，公众号平台或者 APP 进入界面，在院前 VR 技术体验过医院就医环境以及相关信息的基础上，用身份证号注册账号，录入基本信息后，即可进入预约分诊系统用户界面。经过注册后，病人即可获得通过我们公司平台及其合作医院就医的所有就医信息，这部分将在病人的个人中心显示。且病人可以在个人中心订购其他保健养生相关个性化服务。并且可以通过注册会员成为 VIP，得到许多优惠与人工引导服务。

##### (2) 分诊预约挂号

对于初次就诊的病人，在分诊界面，用户可以根据 VR+3D 技术提供的虚拟人体来详细的了解人体的构造，并且通过点击相应地部位进入相关疾病的选择界面，在该界面每一个典型疾病还有一些发病机制的动画链接，更加生动形象的向病人展示了发病机制。此外，每个疾病下还有该医院相关医生的介绍，以及看诊时间，帮助病人更好的根据自己的时间安排结合医生看诊时间，选择预约时间，也可以根据系统推荐预约医生时间来进行预约。

对于需要预约床位的病人，系统与医院的管理系统对接，可以清楚地显示床位分布于使用情况，系统将机动调节床位分布，以及可以让患者进入预约选床位界面，并且根据患者需要，点击进入所选床位，即可获得该床位的 VR 可视化画面，以及现在所处状态。

##### (3) 自助报道

对于网上挂完号进入医院的患者，患者可利用研究设计的 VR 院内导诊功能，找到就诊的相关科室，并在导诊指引下通过手机摄像头扫描各科室前的二维码，进行自助报道。也可以购买医院提供的诊疗卡（该诊疗卡的主要功能是辅助记录患者就诊相关信息以及缴费功能）去医院提供的自助报道机报道。

此外，对于网上预约的患者，患者可以通过在个人中心获取正在等候人数信息，在还有 5 人等候时，系统会通过患者预留的手机号码提醒其尽快前来报道，逾时未到的患者，系统会自行将其向后推迟 5 个号，两次推迟以后，系统会给予退还挂号费，挂号费将按照原路径返回其账户。

#### （4）随访病人报道

对于上午挂号就诊，下午拿着各项检查结果找其就诊医生随访的病人，需要重新预约随访时间，系统根据其上次挂号的时间，读取就诊信息，安排其随访时间。并且根据下午其他患者挂号看诊预约时间以及医生的工作时间进行系统调节，达到随访患者与就诊患者交叉看诊的效果，以提高看诊效率与减轻患者的不满。

### 3.2.3VR 缴费、取药系统

#### 3.2.3.1 系统背景

基于现有的缴费方式大部分医疗系统缴费方式单一不全面，医保报销流程问题过多，取药不方便对患者就医造成困难的现状，本研究打造了 VR 缴费、取药系统来提供多种支付方式来方便患者，其中综合医保报销功能，简化医保报销流程，同时简化取药流程，使患者能够快速拿到治疗药品。

#### 3.2.3.2 功能描述

##### 1 缴费系统

##### 2 医保报销

根据以上政策，将医保报销定为以下流程：

##### （1）门诊报销

门诊就医告知医生本人身份，享受医疗保险待遇，患者缴费前将医保账号与实名制账号绑定，付费时可直接进行报销，超出医保范围需患者自费。

##### （2）住院、门诊大病报销

在办理住院手续的时候，患者在系统中选择是否享有医保待遇，选择医保类型（主要有城镇居民医保、职工医保和新农合医保），填写身份证，医保卡信息，登记住院，这样才能保证在医院的部分开销纳入医保报销范围。

##### （3）出院后报销

①出院时，患者在系统中点击确认出院，由医生和护士确认信息后，系统自动上传由门诊收费处盖章生效的主治医师开具的诊断证明书、住院通知单、住院押金条收据；

②患者检查无误后还需选择自己的身份信息，医保卡，选择完毕后点击提交；

③办理完成，系统反馈给患者出院通知单，包含各种开销明细，报销范围、报销金额等等内容。报销金额会在几个工作日内返回患者的支付账户。

##### 3 取药

由于目前现状，大多数医院药房窗口都是拥挤不堪，给医院的管理带来大大地不便。即使患者自觉地自行排队，但由于每位患者取药的种类数量不同，配药师配药速度不可能一样，有可能造成最前面的患者药最后配好的情况，这无疑给患者的自行排队带来影响，甚至有可能患者之间拿错配药；若是取完药后再到下一个患者，这无疑是白白浪费了许多时间。医院 VR 取药叫号系统可以很好的处理这些问题，患者把药单交给配药师后可随时在 VR 系统中查看自己的配药进度，根据进度提示自行安排等待的时间，系统提示可以取药时患者再到取药窗口即可。这样不仅不会出错，服务环境也得到了改善，服务效率也得到了提高，给医院的整体形象都提示了一个档次。该系统工作流程主要有：

（1）患者缴纳药费后系统自动向配药师递交药单。

（2）显示进度：配药系统统计后向患者反馈当前等待配药人数，大概所需时间，并以进度条的形式反馈给患者，这样可以缓解患者等待时的焦急情绪。

- (3) 配药：配药师根据系统提交的药单进行配药。
- (4) 叫号：配药师配药完毕后在系统中确认患者药单，患者进度显示配药完成可取药。
- (5) 取药：患者根据显示信息自行取药。

### 3.2.4 VR 医疗信息交流平台

#### 3.2.4.1 系统背景

现有的医疗通，寻医问症等医患交流平台存在诸多的缺点，如医生不能及时反馈患者而耽误病情，或者不能准确了解病情而误导患者；同时患者不了解医生的真实水平而轻易相信或者胡乱质疑而得不到准确有效的治疗；以及平台功能单一，使用不便等。为了解决这些问题，本研究致力于打造一个方便医患及时有效地进行沟通，功能多样，保密性良好的 VR 医疗信息交流平台。

#### 3.2.4.2 功能总述

##### (1) 电子病历整理功能：

该系统能够抓取患者注册时的基本信息进行存档，病人就诊时，医生在其诊疗卡上输入的诊断记录和处方会实时同步在病人的 VR 系统上，病人可以自行查询诊断记录和处方，了解自己的病情状况。VR 可从生成的病历中提取检查方式，开药名称等信息，生成指引，指引病人进行下一步操作（需要时可开启语音功能和字体放大镜功能或导航功能），例如缴费，检查，取药。并且系统具有终身账号存档功能（注销账号自动清除信息），患者可以随时看到自己在不同医院，不同时间就诊的病历，拥有一个属于自己的健康档案，方便就诊医生了解其过往病史，血型，有无过敏史等对治疗有影响的关键因素，在平台与医生沟通时可以准确展现自己的身体状况和病情，方便医生进行诊断和反馈；同时也方便患者调理自己平时的生活，远离病痛。

##### (2) 就医信息反馈功能：

平台具有消息提醒功能，除了能够上传病历，还能传送缴费取药情况、服药医嘱、手术通知、术后复查通知、检查通知以及结果等信息给患者，能够及时提醒患者进行正确治疗不耽误病情；同时系统能够对接社区医院，为患者临近在社区医院进行复查治疗提供可能，

##### (3) 医患沟通平台功能：

①系统平台实施的是患者与医生“优先一对一，可以一对多”的方案，患者首先推荐的是与已经就诊的主治医生进行线上沟通，如果患者不满意与该医生的沟通，可以调整后与其他医生进行沟通（其中患者可以通过系统了解相关科室医生进本情况和研究方向，方便选择），做到准确可靠就医。

②医生也可以通过平台与患者主动沟通病情，开导患者，增进医患感情与信任，使患者能够及时采取治疗，不耽误病情，同时也方便医生及时对医疗方案进行调整，减少失误，增加治疗效果；通过这个平台，医生也可以实现对患者的一对一监护，在下班时间也可以第一时间了解患者情况（类似于社交软件），可以及时抢救危急病人。

### 3.2.5 检验项目与人流监测系统

#### 3.2.5.1 系统背景

目前患者就医做检查存在不了解各个检查处具体情况，容易浪费大量时间在不科学的排队等待上，使自己得不到高效的就医体验。该系统能够帮助患者实时了解相关检验项目的具体情况，为患者绘制省时方便的检查路线流程，提高患者时间利用率，使其能够得到高效的治疗从而提升对就医的满意度。

#### 3.2.5.2 功能总述

##### (1) 实时监控反馈功能：

①检验项目人流监测系统能够实时监控各个检验项目处的人数变化，结合该项检查所需的时长、要求（是否需要空腹或服用电解质等）、检查点位置、检查人员上下班时间、检查设备是否正常等要素统一反馈给患者一系列综合信息，界面会人性化反映目前待检查项目等待人数有多少，推荐检查时间，温馨提醒患者注意事项；

②当临近检查时间时系统会自动提醒患者需要进行检查，过号后采取后排三位二次提醒方式，再次过号就按照取消号退费方式处理；

##### (2) 优化流程功能：

①当患者需要做多项检查时，系统会整理所有信息自动反馈优化的流程方案给患者（如最省时路线并进行语音提醒），让患者能够有效利用时间完成检查；

②当一个环节出现问题时（如设备故障），系统会自动切断该节点进入下一节点并及时提醒患者；当出现新环节的时候系统会自动更新推荐路线并提醒患者；

③系统不局限于检查项目的考察，在给出的优化方案中也会提醒患者充分利用时间进行住院手续办理或者缴费取药，系统可以识别该病患是否办理了相关手续。

### 3.2.6 物联网实况监察预警系统

#### 3.2.6.1 系统背景

目前医院存在对入院病人的实时情况监控不到位的情况，如病人的位置、完成检查的程度、身体状况等（离开病房自主活动时是否发生危急情况），另外当出现紧急情况时，有时候会因为难以识别病人身份和科室导致救治延误（这种情况一般会走急诊流程，时间过长）。本研究打造的物联网实况监察预警系统使院方对入院病人能够实施实时预警监控，监督其进行治疗，同时及时应对院内急诊病人，缩短救治时间，有利于抢救病人生命，打造患者良好的入院体验。

#### 3.2.6.2 功能总述

##### (1) 实时监测位置：

系统采取物流节点监控设计，能对入院病人完成位置监控，并且同步检查进度，方便住院科室提醒患者需要进行检查的项目以及返回病房时间。

##### (2) 预防危机、应急报警：

当出现联系不到患者的情况出现时（发出消息无人应答），科室将会第一时间联系失联患者家属，确定患者目前状况。当患者出现紧急状况时，可以触动报警按钮请求医疗救助；若没有自主求助能力时，系统具有定位功能帮助确定患者位置，与此同时发现患者的医务工作者或是其他患者可以借助自己的系统识别急救病人信息（系统可以对患者手环进行扫码）帮助报警，接到报警的科室会在第一时间组织救援并且指示救助者将患者送往相应救助点或是原地等待（不走急诊流程）。

### 3.2.7 VR 手术系统

#### 3.2.7.1 系统背景

虚拟手术系统在医学上的应用起源于医务人员对复杂的三维医学解剖体数据的可视化需求，进而发展到能对重建的数据进行实时操作，以建立可供手术和手术前规划使用的虚拟环境。传统的手术过程存在风险高，病人痛苦大，术后效果不理想等缺点，手术效果受医生个人业务水平影响很大。虚拟手术系统，为医生提供一个虚拟的 3D 环境以及可交互操作平台，逼真的模拟临床手术的全过程。与传统的手术教学相比，虚拟手术具有无损伤性、可重复性和可指定性等优点。但是，该领域的大部分研究仅限于仿真的可视化阶段，由于缺乏触觉效果，医生在虚拟环境下完成的手术与临床环境差别很大。

#### 3.2.7.2 功能总述

(1)VR 教学：用 CT 和 MR 横截面影像或组织学切片建立起空间模型采用人工智能技术，把人体各部位不同领域的知识填充到空间模型，制成了解剖三维可视化虚拟人体图谱，同时建立 VR 人体模型，节省医疗机构实物练习开支。同时也节省了医疗机构培养优质医师开支，提高规培效率。

(2)VR 手术、全景下的手术分为两种，一种是利用全景的拍摄技术形成的真实场景回放，另一种虚拟环境下的 VR，利用动画进行虚拟成像。近年来外科整复手术成为热点，比如颅骨修补术、鼻梁整形术、颧骨整形术等。利用虚拟手术系统，医生可以在对病人实施复杂手术之前进行练习，把通过成像设备获取的病人图像导入仿真系统，医生可以对实际手术作出相应的规划，或者对病变缺损部位进行较精确的前期测量和估算，从而预见手术的复杂性。运用增强现实技术可以使医务工作者沉浸于虚拟的场景内，可以通过视、听、触觉感知并学习各种手术实际操作，体验并学习如何应付临床手术中的实际情况。这样节约了培训医务人员的费用和时间，使非熟练人员进行手术的风险性大大降低，对提高医学教育与训练的效率和质量以及改善医学手术水平发展不平衡的现状有着特殊的意义。

系统包含一台头显，以及一支连接到标准机械臂上的触笔。在 VR 中，这支触笔看起来就

是一支注射器，通过一个按钮可以排空注射器，另一个按钮可以重新填满液体。在现实世界中移动触笔就可以在 VR 中移动注射器。当虚拟的针头接触到虚拟的皮肤、肌肉或者骨头时，不同介质带来的不同的阻力能够通过触笔传导给使用者，让他们对真实的人体有逼真的感受。

(3) 往期手术重现：VR 技术记录、重现实际的手术过程，可以供满足不同等级医生的需求。如实习医生等可以通过学习模仿前辈的经典手术过程，全面深刻地了解手术全过程及学习经典的手术操作方式；亦可以通过分享 VR 手术过程跨越区域限制传播较高难度手术技术，实现远程医疗教学。

#### (4) VR 课堂

患者可以选择通过 VR 平台对自己的疾病现状、患病原因、在以及随后的手术过程更加深入的了解，减少医患沟通壁垒，帮助病人透彻了解手术风险，通过结合自己的现实情况对自己的治疗方案做出更加合理的选择。

### 3.2.8 VR 随访系统

#### 3.2.8.1 系统背景

传统的医疗随访一般采用的是门诊随诊、信访随诊、家访随诊、委托代随诊、电话及电子邮件随诊这些方式，本研究的项目是把随访体系植入所建立的智慧云医院系统中，把新型 VR 技术应用于随访中，建立一个新型的医疗随访多功能服务系患者在手机 app 界面中即有相关链接可进入随访界面，进行相关的随访反馈；同时院方在另一端可以及时接收反馈。系统会自动将不同反馈进行一式多份分配统计到符合随访设计所需的不同类目中，方便医院医疗人员随时调取并进行相关研究（建立相关的数据库）。

该系统取代以往随访繁琐且不易实施与回收的方式，不仅能够使患者便捷真实地填写反馈随访，而且也使院方能够快速回收随访结果并且有效分析，得到预期的效果，大大降低随访的成本，同时增加病人的满意度与配合度，使数据更加真实可靠，有利于院方以此为据进行相关的整改或科研研究，更进一步推动医疗卫生的发展。

#### 3.2.8.2 预期产品开发与功能描述

##### (1) 具体的随访体系：

①从患者角度：对就医环境，诊断过程，住院过程，检查过程的相关满意度调查，有利于院方进行积极整改，提升医院形象，为患者提供便利。按实施随访级别划分为：

②从院方角度：对患者病情数据的及时反馈，特别是离院后的数据采集，有利于收集大量真实有效的临床数据进行科研研究。

③从产品提供方角度：调查使用者对于智慧云医院系统使用状况的满意度，帮助产品提供商进一步改善服务系统，更好地反馈高质量服务于患者和院方：

##### (2) 云访双向随访平台的建设

###### ①端口特点

要具有多接口接入与接出的特点，即不同科室、不同病症不同分系统，不同科室、同一病症不同分系统，同一科室、不同病症不同分系统，同一病人、不同病症不同分系统，不同病人、同一病症同一分系统等等，尽量增大各个随访项目之间的相关性，减少重叠性，减少系统负担，避免出现随访内容的过度繁琐使使用者积极性下降；

###### ②随访界面内容设计

参照标准的医疗随访体系内容建立，主要以电子问卷形式进行数据调查（不取消邮件、电话等方式，方便使用者反馈意见或者投诉），因为需要在手机上可以直接进行，模块展示时要求简洁舒适，方便观看，明了清楚；问卷形式展示时要求视觉舒适，选项清晰简洁，问题不繁琐（具体的问卷内容统一见附录部分）。

##### 患者满意度调查问卷

##### 东莞地区三甲医院就医环境满意度调查

1.您对某医院的医疗服务总体评价是？

A 很满意

- B 满意
  - C 一般
  - D 不满意
- 2, 请选择您对该医院医疗服务感到不满意的事情?
- A 医疗水平差
  - B 就诊、缴费、取药排队等待时间过长, 浪费时间过多
  - C 护理态度差
  - D 医生态度差
  - E 其他人员态度差 (电梯工、门卫、清洁工、导诊护士、药房、检验科、放射科、超声科、心电图等)
  - F 收费高或收费不透明
  - G 检查科室寻找不方便
  - H 医院管理混乱
- 3, 您在医院候诊一般是多长时间?
- A 1~2 个小时
  - B 30 分钟~1 个小时
  - C 15 分钟~半个小时
  - D 15 分钟以内
- 4, 就诊期间, 医生和您的沟通是否细致?
- A 很细致, 问诊时间很长
  - B 比较粗糙, 敷衍了事
  - C 太简单了, 甚至没有沟通
- 5, 您接触过的医生的服务态度如何?
- A 态度温和、友善、很满意
  - B 态度不好不坏, 基本满意
  - C 态度不理不睬, 一般
  - D 态度很差, 很不满意
- 6, 在您的就医结束时, 医生是否有医嘱?
- A 医嘱很详细, 包括日常行为习惯的调整都有医嘱
  - B 医嘱很简单, 只是指示最基本的用药方法
  - C 没有医嘱
- 7, 您和您的家属对医院的住院服务满意吗?
- A 环境温馨, 服务体贴, 非常满意
  - B 感觉一般, 不好不坏。
  - C 各方面不尽人意, 甚至缺乏必要的住院监测
- 8, 您认为您就诊医院的收费是否合理?
- A 很可以, 基本都比较满意
  - B 医院之间差别很大, 有的合理又得乱收费现象很严重
  - C 不合理, 普遍看病较贵
- 9, 您在医院就医, 是否有接到过医院的任何形式的回访?
- A 都有
  - B 有的医院有, 有的医院没有
  - C 都没有

③随访设计的双向性

不仅可以患者信息及时反馈给院方, 同时院方可以通过系统平台反向反馈给患者其病情分析与目前医学治疗手段的发展, 方便患者了解其病情, 并及时知道最新的研究成果, 方便其对自己的下一步治疗有一个清楚的方向和认知, 有利于患者及时采取治疗 (针对医疗科研数据的随访); 也可以及时反馈院方对于医疗环境整改的相应措施和成果, 提升患者



的就医满意度, 增加患者二次就医选择几率 (针对满意度调查)

④附加功能 (积分制度)

会与 VR 医疗信息交流平台进行一个相关连接, 按时填写随访反馈的用户可以获得相应积分, app 使用信誉良好和积分高的用户, 可以优先安排与其理想医生线上沟通, 程序会优先考虑医生回复顺序。该用户也可以获得参加某些实验项目的优先权。同时 VR 随访系统也会与 VR 分诊、预约系统连接, 如果信誉过低的用户会把过号再叫次数减少, 信誉良好则会适度增加再叫次数, 同时随访打卡也会适度优先排序。

**“智慧云医院”系统使用满意度调查**

1, 医院的院前 VR 导诊模式是否对您初步了解医院的就医环境, 就医流程有帮助?

- A 有很大帮助
- B 作用一般
- C 无作用

2, 医院的 VR 预约挂号系统能否有效缓解您的排队压力?

- A 有很大帮助
- B 作用一般
- C 无作用

3, 医院的 VR 缴费、取药系统能否有效缓解您的排队压力?

- A 有很大帮助
- B 作用一般
- C 无作用

4, 系统反馈的就诊收费清单是否能让您看得很明白?

- A 非常清楚, 一目了然
- B 不是很清楚了
- C 项目收费混乱, 看不明白

5, 您是否对系统的保险报销服务满意?

- A 满意
- B 不满意
- C 一般

6, 系统提供的 VR 课堂等学习服务是否对您有帮助?

- A 有很大帮助
- B 作用一般
- C 无作用

7, 您对系统的随访服务是否满意?

- A 满意
- B 不满意
- C 一般

8, 您对“智慧云医院”的整体感觉如何?

- A 整体较为满意, 就医体验得到较大改善
- B 感觉一般
- C 就医情况没有得到改善, 并且操作复杂。

统计分析法: 目的通过研究医院门诊、住院患者的满意度, 改进医院门诊、住院服务质量, 方法采用随机抽样法对 700 份患者进行现场问卷调查, 调查患者对相关科室的满意度、对就医环境、医疗服务的满意度及医院总体满意度、通过 EXCEL 表进行统计分析, 结果患者对挂号收费处和药房满意较低、满意度低于放射科、检验科、功能检查科、输液室、导诊台、(均  $P < 0.05$ ), 患者对就医环境 (干净、安静) 和医疗收费价格一项目公示情况, 收费满意度较低、满意度均低于“医生服务态度及诊疗技术”和护士服务态度及操作 (均  $P < 0.05$ ), 对医院的总体满意度 78%。

结论患者对医院门诊、住院的总体评价较为满意，医院针对患者满意度不高的方面立即采取措施，改进服务质量。

### (3) 随访系统维护与升级

会根据用户反映及时维护或者升级系统，进一步提升使用体验满意指数。

#### 3.2.9 特色服务

##### 3.2.9.1 背景

随着科技进步与用户对产品要求的不断提高，为了更好地服务于用户，同时也为了提升系统市场竞争力，在开发一般就医流程系统的同时，也开发了一些具有个性特色的服务系统，进一步完善优化就医总系统，使得用户体验进一步优化。

##### 3.2.9.2 功能描述

###### (1) 急诊系统

院内：急诊可以连通物联网实况监察预警系统对案发地点进行 VR 路线指引、安排急救与急诊手术，同时可以启动急救绿色通道（如急救轮椅、板床、电梯等）；

院外：与 120 急救中心和急诊处合作，在急诊患者未到达医院时就录入基本信息存档，提前安排诊室对病情进行会诊，安排医生等待，当危及病人送达时能够尽快救治，降低死亡率。

###### (2) 惠民系统

院外：患者及家属可以通过 VR 平台了解医院周边的基本情况，如食宿、交通、银行、商店、药店等的位置和路线，优化就医体验。

#### 4, 研究的创新性。

基于国家最新政策和患者就医现状，以 VR 智能为主打研究的方向，打造了包括院前 VR 全景导诊系统、VR 分诊预约系统、VR 缴费取药系统、VR 医疗信息交流平台、检验项目与人流检测系统、物联网实况监察预警系统、VR 手术系统、VR 随访系统、特色服务系统在内的九大 VR 智能医疗服务系统，致力于打造更加舒适便捷地医疗环境。

## 结语

本研究从两个纬度来解决目前医疗上普遍在存在的两大方面问题，一方面，实现 HRP 解决方案和 OA 管理系统并用，对医院人、财、物、科教研、综合运营等维度信息进行整合和资源统筹规划，提高医院综合运营管理能力为医院创建数据同源、互联互通、信息共享、统一高效的柔性可扩展平台，实现医院内部信息整合和资源统筹规划，切实帮助医院全面提升资源管理水平，推动医院向精细化、科学化管理转型。

另一方面，基于移动互联网技术的 VR 视觉化呈现和物联网技术对患者进行分级，提供更多教学操作机会，以转诊、会诊业务为次要切入点，把分级诊疗与层级转诊的核心思想以信息化手段来展现。围绕层级转诊、院前预约、院后随访、远程教育、数据共享中心、临检中心、病理中心、等 7 大业务构建，推动基层首诊、双向转诊、急慢分治、上下联动的就医新秩序，实现分级诊疗建设落地，将门诊决策的精准化。

系统将基于物联网监控和 VR 指引技术构建人文基础设施建设，全方位多层次贯穿院前，就诊，住院，离院四大部门的引导，为患者提供精细的就诊体验。

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## S 口腔医院员工激励问题研究

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### 摘要

人才是医院最重要的核心资源，是医院社会效益和经济效益的直接创造者，是医院长久健康发展的根本。医院若想要加强自身的竞争优势，最重要的是健全和优化员工的激励制度，了解员工的需求并及时回应，充分调动员工工作的积极性。本文选取 S 口腔医院为研究对象，运用西方经典理论为基础指导，通过问卷调查分析了医院医护人员的满意度和激励需求，发现 S 口腔医院在医护人员的激励中存在若干问题，导致医患矛盾时有发生，部分员工出现工作不稳定、人才流失的情况。本文针对 S 口腔医院的医生和护理人员，给出一系列优化建议。

**关键词：**医护人员；激励；优化

### 一、引言

随着经济高速发展，医疗卫生服务也提升到新的阶段。人才是医院各种资源中最重要的资源，是医院社会效益和经济效益的直接创造者，是医院生存发展之根本，优化人力资源管理激励机制就会大大提高医院的竞争优势。目前中国医院中的人力资源管理理论尚不完善，许多医院都沿袭以前的人事管理模式，未实现激励方式的创新与有效应用。人才尤其是知识型人才是一个单位战略发展中的重要资源，吴敬琏先生曾说过：“在现代社会，谁能抓住人才资源、开发人力资本，谁就能在激烈的经济竞争中异军突起”

本文拟对 S 口腔医院现存的激励问题现状进行研究，目的在于找出其激励方面存在的不足之处，并对因何原因而形成这些不足之处进行研究，从而提出具有实际意义和可操作性的改进办法及建议，以达到能为 S 口腔医院建立起一套更为合理的人力资源激励体系，使之更加适应现阶段医疗行业的发展趋势。于此同时也希望能够为 S 口腔医院提高行业整体竞争力提供一些有益的帮助。

### 二、理论基础与文献评述

#### 2.1 激励理论

双因素理论是美国学者赫茨伯格，莫斯纳、斯奈德曼联合在上世纪五十年代末对一家工厂近两百名工人进行了工作满足感调查分析而得出的结论。他们通过研究得出一个结论：保健因素、激励因素是激发劳动者积极工作的主要因素。前者能够符合医护人员最低需要，使其保持平衡的心态与劳动的兴趣，后者则可调动整体的工作氛围，连续持久的激发劳动者的积极行为。以医院为例，医护人员的工作环境，薪酬、年终奖等属于保健因素；而社会影响、病人给予的好评、优秀工作者、个人发展前景则是激励因素，这两方面都能促进医护人员更加积极的工作，推动医院进步与发展。这种理论认为对职工的不同需要加以满足，能够取得不同的激励效果。将双因素理论带到医院的人力资源管理中，就是要对医院医护人员的需求进行了解和掌握，从保健因素和激励因素两个方面对其进行满足。除此之外，双因素理论也主张使医院的管理者重视员工个人能力的全面提升与自我价

值的展现。关于这一点，心理学家马斯洛曾做过一项研究，他研究的结果证明，只有不到十分之一的人能在工作中发挥出其最大的能力。参照双因素理论，医院人力资源管理应当尽量满足员工保健因素的需要，同时，还要在激励因素上下功夫，通过医院的资源有效配置来使医护人员肩负起使命感和责任感，给予他们充分发挥才能、大显身手的机会和条件，从而最大限度的为医院创造价值。所以双因素理论的引用对医院的人力资源管理工作的作用是十分重要的。

波特和劳勒于提出成绩对满足影响的一种激励理论。一个人努力与否和其努力的程度取决于“激励”；能力的大小、努力程度以及对所需完成任务理解的深度，决定了实际的工作绩效；也有观点认为，技能、知识能力和个性特征决定了工作绩效；工作绩效是奖励的前提，必须先完成组织的任务才能获得精神或物质的奖励。外在奖励，满足马斯洛的需求层次理论中低层次的需求，包括薪水、地位、晋升、安全感等。内在奖励，满足马斯洛的需求层次理论中较高层次的需求，包括对自我存在意义及能力的肯定等；被激励者认为获得的报偿是否公正，决定了奖惩措施的满意度。

期望激励理论其实可以用以下模型表示：员工通过努力-->得到期望的绩效-->该绩效能获得某种结果（比如涨工资或培训机会）-->评价该结果的个人价值

因此，通过该模型反推，当获得结果的个人价值增高，员工才会更加努力的工作。也就是说虽然人人都想涨工资，但对某个个体来说，一个外出培训机会对其的个人价值更高，他会更加愿意努力工作以达成此结果。

## 2.2 文献评述

大多数的专家，将医疗专业技术人员的薪酬与员工间形成的激励关系看做研究医院激励制度的重要内容。医院绩效考核主要内容应考虑于医疗服务的质量，即员工在提供医疗服务的过程中使病人的满意度不断提高 Scott A(2011)。

制定科学的定量和定性业绩考核指标，对全体组织人员和管理人员进行全方位的整体考评（自身评价、上级评价、下级评价、同事评价），使绩效考核不仅能真实地评价职工的工作成果，还能起到激励医护人员、管理人员、引导和宣传组织价值观的作用，且能及时发现组织人员和管理人员存在的问题，积极加以引导和帮助，使组织人员和管理人员与组织共同成长，提高组织人员和管理人员的积极性（马春艳，2013）。绩效考核存在的误区是目前有很多民营医院对医护人员的考核紧靠工作业绩，而对医护人员的考核其实应包括很多综合内容，比如最基本的有患者满意度、管理能力体现、自我学习能力表现等（王瑞，田文华，2016）。

现代人力资源管理的实践经验和研究表明，现代的员工都有参与管理的要求和意愿，创造并提供机会让员工参与到管理工作当中，是调动他们积极性的一种有效方法。让员工适时、恰当地参与到管理工作当中，既能激励员工的工作热情，提高员工的主观能动性、工作积极性，又能增强整体的凝聚力，从而增加收益（施玉洁，丁克恕，2008）。

当今医学技术日新月异，医务工作者的技能、经验、医疗服务态度和医疗专业技能知识等都需要不断更新和提高，医疗专业技术人员有很高的教育培训需求。医院应重视员工个人职业生涯规划，为优秀的专业技术人员提供更好的成长和发展机会。塑造个人专业技术品牌形象，重视专业人才梯队的建设。根据医院发展的需要，对骨干员工，给予其多种培训的成长途径，如在职硕士、本科继续教育、专业学术会议、专题讨论会、专家定期讲学、选派技术骨干定期外出进修等。以此提高医护人员的觉悟，激发他们的工作热诚和主管能动性（韦凯，2013）。

激励方式、方法设计的原则中，多数学者的观点是，建立医院的激励体系要立足医院的实际运营情况，要让医院的所有员工有意识的提高职业水平与综合素质，从而使医疗技术和服务水平得到全面提升，这需要将医护人员的薪资水平、职称评定、个人发展、社会认可度、奖励与处罚等诸多方面，同他们提供的医疗技术质量、服务质量和水平等做出多方面的结合，使各方面表现突出的医护人员得到高酬劳、得到高度的评价、得到更多晋升空间、更多学习进修机会，以此产生激励效果，带动全员积极性的提高。此外，医院文化是医院的底蕴和灵魂，也是医院核心竞争力的重要组成部分（周芸 2018）。良好的医院文化有助于医护人员形成共同的价值观和荣誉感，激励医护人

员不断进取，努力提高医疗技术和服务水平，以满足患者对健康和美的追求。

### 三、研究方法

#### 3.1 研究对象

本文选取 S 口腔医院的医护人员为具体研究对象，面向 S 口腔医院全体医护人员，采取不记名的方式，通过问卷调查，来了解他们真实的激励需求及对医院当前激励方式、方法的意见和建议。本次共回收有效问卷 36 份。

#### 3.2 研究方法

本文采用问卷调查法，辅以访谈法，文献研究法，以 S 口腔医院医作为个案研究对象，了解 S 口腔医院在激励方式、方法的不足之处，以激励理论为基础，从医院管理实践中出现的问题着手进行分析，最后提出优化建议。

#### 3.3 问卷的设计

问卷一共分为三部分。第一部分：个人的基本情况，如被调查人员的岗位类别、受教育程度、性别、年龄、职称、医院工作年限。第二部分，将西方经典激励理论与 S 口腔医院的实际情况结合，列出了医院员工在激励方面主要关注四个关键因素：薪酬与管理、工作相关、晋升发展、荣誉。对每项因素进行满意度调查，分别给出非常满意、比较满意、一般、不太满意、很不满意 5 个选项，进行 5 个等级的评分（5 至 1 分），重点调查员工对各类激励因素的满意程度。第三部分，员工对激励因素真实的需求调查，主要是对工作环境、奖励、学习培训等方面的需求情况。

### 四、S 口腔医院员工激励现状分析

#### 4.1 S 口腔医院调查对象基本情况

从本次调查的医护人员岗位比例上看：医生岗 14 人，占调查总数人数的 38.9%；护士岗 22 人，占总人数的 61.1%。医护人员岗位比例见表一。

表一 医护人员岗位构成

岗位	人数	百分比 (%)
医生	14	38.9
护士	22	61.1
总计	36	100

从医护人员的年龄结构上看：30 岁以下（含 30 岁）共有 20 人，占调查总人数的 55.6%；31-40 岁 16 人，占调查总人数的 44.4%。可见，S 口腔医院的医护人员主要以 80 后、90 后的年轻人组成。医护人员年龄结构，见表二。

表二 医护人员年龄结构

年龄	人数	百分比 (%)
30 岁以下	20	55.6
31-40 岁	16	44.4
41-50 岁	2	5.6
50 岁以上	1	2.8
总计	36	100

从医护人员参加工作的时间来看：1 年以内 2 人，占调查总人数的 5.6%；2-5 年 15 人，占调查总人数的 41.7%；6-10 年的 12 人，占调查总人数的 33.3%；11-20 年的 6 人 16.6%；20 年以上 1 人占 2.8%。医护人员参加工作时间年限，见表三。

表三 医护人员工作年限

参加工作时间	人数	百分比 (%)
1 年内	2	5.6
2-5 年	15	41.7
6-10 年	12	33.3
11-20 年	6	16.6
20 年以上	1	2.8
总计	36	100

从医护人员的职称上来看：初级职称 24 人，占调查总人数的 66.7%；中级职称 5 人，占调查总人数的 13.9%；高级职称 0 人，其他 7 人，占调查总人数的 19.4%。从中我们可以看到，S 口腔医院目前缺少具备高级职称的学科带头人，医护人员的职称结构，见表四。

表四 医护人员职称结构

职称	人数	百分比 (%)
初级	24	66.7
中级	5	13.9
高级	0	0
其他	7	19.4
总计	36	100

#### 4.2 S 效度检验

在使用问卷分析数据之前，对量表的效度检验。效度是测量的有效性程度，即测量工具确能测出其所要测量特质的程度。鉴别效度须明确测量的目的与范围，考虑所要测量的内容并分析其性质与特征，检查测量的内容是否与测量的目的相符，进而判断测量结果是否反映了所要测量的特质的程度，把具有共同属性的因子归类成一类。

使用 SPSS22.0 对本次调查问卷满意度调查部分进行效度检验，首先进行 KMO 检验和 Bartlett 球形检验。KMO 检验用于检查变量间的相关性和偏相关性，取值在 0~1 之间，Bartlett 球形检验判断如果相关阵是单位阵，则各变量独立因子分析法无效。KMO 值 > 0.5，P 值 < 0.05 时，即问卷有结构效度。由 SPSS22.0 检验结果显示 KMO 值 > 0.5，Sig. < 0.05（即 p 值 < 0.05），说明各变量间具有相关性，因子分析有效，问卷有结构效度。见图 4.1。

KMO and Bartlett's Test		
Kaiser-Meyer-Olkin Measure of Sampling Adequacy.		.672
Bartlett's Test of Sphericity	Approx. Chi-Square	152.950
	df	55
	Sig.	.000

图 4.1 KMO 检验和 Bartlett 球形检验

在因子分析中，从旋转成分矩阵可知，分为四个维度，取因子载荷数值 > 0.5 的为标准值，将其与双因素理论相结合，分别归类为薪酬与管理、工作相关、晋升发展、荣誉。见表五。

表五 旋转成分矩阵 (Rotated Component Matrix<sup>a</sup>)

	Component			
	1	2	3	4
您觉得单位的员工晋升机制公平吗	.907			
您对当前的收入满意吗	.868			
您对医院的工作氛围满意吗	.630	.433		
您认为医院的激励制度是照顾到每个人吗	.466			.413
您认为目前工作挑战性如何		.882		
您认为目前的岗位是否能发挥出您的能力和专长		.717	.401	
您认为单位的员工之间关系融洽吗	.396	.659		
您的患者对您的工作满意吗			.867	
您认为现有的知识技能能满足工作需要吗			.802	
您的上级对您的工作态度认可吗				-.872
您的工作能为您带来荣誉感吗		.366		.659

#### 4.3 S 口腔医院医护人员满意度调查

满意度调查可以发现影响医护人员的关键因素，可以在提高医护人员满意度的过程中能有的放矢，制定有效的激励策略，保证医院的长久健康发展。通过效度检验因子分析，我们将满意度调查分别归类为薪酬与管理、工作相关、晋升发展和荣誉。其中薪酬与管理为保健因素；工作相关、晋升发展和荣誉为激励因素。对每项因素进行满意度调查，分别给出非常满意、满意、和基本满意、不满意、很不满意 5 个选项，分别赋值 5 至 1 分，进行 5 级评分，均值越高说明该因素满意度越高，反之，则满意度越低。见表六。

表六 医护人员满意度调查

双因素	归类	问题	满意度均值
保健因素	薪酬与管理	您觉得单位的员工晋升机制公平吗	2.19
		您对当前的收入满意吗	1.64
		您对医院的工作氛围满意吗	2.69
激励因素	工作相关	您认为目前工作挑战性如何	2.19
		您认为目前的岗位是否能发挥出您的能力和专长	2.89
		您认为单位的员工之间关系融洽吗	2.86
	晋升发展	您的患者对您的工作满意吗	3.08
		您认为现有的知识技能能满足工作需要吗	2.78
荣誉	您的工作能为您带来荣誉感吗	3.33	

综合上表可以看出，医护人员对荣誉感的满意度（3.33）最高，这也反应出员工更注重知识的转化和个体自由的发挥，重视个体价值的体现，同时，随着中国口腔医疗行业的飞速发展，人们的健康意识逐年提高，爱美之心愈发浓烈，口腔医生和护士越来越受到人们的尊重和信赖；其次得到患者的满意体验和高度评价（3.08）。体现了医护人员追求的是自身价值的实现和为患者创造价值的实现。

医护人员最不满意的因素是目前的收入（1.64），其次是晋升机制（2.19）和工作的挑战性（2.19），在工作相关和晋升发展维度中，满意度普遍都偏低。从中我们不难发现，首先，医院员工对当前的薪资待遇最不满意，这说明，医院目前的薪资制度急需随着时代的变化而改进，留住追求创造价值的骨干核心员工。其次，是员工对现有的激励方式存在不满，这种不满会制约员工创造性的发挥，挫伤员工创造价值的积极性，影响员工对患者价值创造的实现，最终继而制约医院的发展；再次，

员工看重的是工作的晋升机会和工作的成就感；管理者更应该帮助员工创造更多的晋升机会和平台，帮助员工创造价值、实现价值提升，使员工获得成就感与荣誉感，从而全面激发员工内在的潜能和创造性，同时医院管理者也应注重医院文化建设，给与员工美好的愿景与规划。

#### 4.4 影响 S 口腔医院激励制度因素的分析

表七 影响激励制度的因素

问题	因素	频率	百分比 (%)
医院吸引您留下的因素有哪些	稳定的工作	16	44.4
	良好的环境	7	19.4
	好的发展平台	3	8.3
	成就感	10	27.8
影响医院激励制度的主要因素	工作环境	2	5.6
	工资收入	13	36.1
	个人发展空间	21	58.3
希望医院采用什么方式激励您	加薪	20	55.6
	培训机会	16	44.4
假设您要离职原因会是什么	福利不好	19	52.8
	没有发展空间	14	38.9
	工作压力大	3	8.3

从表七中，我们看到个人发展空间出现的频率最高，占 58.3%，其次是加薪，占 55.6%，培训的机会 44.4%，稳定的工作 44.4%。从结果来看也符合了 S 口腔医院医护人员结构特点。首先，他们大多是 20-30 岁的年轻人，迫切需要医院能够提供好的发展空间给他们。一方面通过学习结交更多的专家、学者，提高自身的动手能力与医疗专业理论和技术水平，使之更好地运用到实践中去，有更充分的发展空间，使个人价值得以体现。另一方面，通过学习与培训，在理论-实践-再理论-再实践的过程中，不断地学习和掌握国际、国内新知识、新方法，不断地提高自身业务水平与能力。口腔医疗第一注重的是医护人员的医疗专业技术和对患者的尊重、理解与服务能力，在实现个人价值的同时，为患者也创造了价值。同时，通过这样的良性循环，使员工的工作得以稳定，有了稳定的工作，医护人员才有归属感、成就感和幸福感，员工会把这种情感自然的带入到工作中，为患者提供良好的技术与服务，实现医患和谐的良好和谐的局面。我们看到假设员工要离职，福利待遇不好是最不能忍受的原因。福利待遇包括医院的薪筹制度、休假制度等诸多因素。其次是发展空间，说明员工很注重未来的发展与提升。再次是工作压力，这就要求管理者在日常管理中，除了关心工作质量，还要特别注重关心员工的情感变化与心理疏导，以缓解因工作和人际关系以及来自家庭等方面的压力。

#### 4.5 S 口腔医院激励制度存在的问题

(1) 绩效薪资制度不完善。薪酬制度为单位所制定、给予员工报酬标准的制度，按员工实际上完成的劳动定额、工作时间或劳动消耗而给付劳动薪酬。薪酬制度的制定会考量激励性、竞争性、公平性、经济性及合法性等。S 口腔医院的医护人员对薪资方面普遍反应出不满意，说明该医院的薪酬制度管理相对滞后，而这种滞后相应的也制约了医院的发展步伐。在薪酬设计过程中，第一，管理者通常会考虑到公平性，但往往是根据管理者的个人经验沿用一些比较旧的制度，已经和当前口腔医疗行业的快速发展不相适应；第二，管理者没有考虑到实际因素，比如岗位之间的差别和员工之间的差异，使得薪酬制度缺乏适应自身特点的灵活变革，分配设计不合理；第三，绩效评估不够科学和准确，没有考虑员工付出的具体时间、贡献大小等因素，导致员工效率下降，激励的功能弱化或不足，难以发挥出好的激励作用；第四，绩效目标不明确。清晰明确的绩效目标有助于员工对工作本身和质量有清晰的认识，增强对工作的热情和主动性。S 口腔医院每个科室没有明确各自的绩效目标，绩效考核只是参考业绩的提成，流于形式，难以达到更好的激励效果。



(2) 员工职业发展空间不足。从调查中我们可以发现,员工对个人的职业发展比较迷茫。医院如果不能提供给员工足够的发展空间就会造成医院人才的流失,而往往流失的都是有追求、有想法的优秀人才。如果员工没有梦想,没有一个目标,其实是很难成长的。所以做为管理者无论从任何一个角度去讲,都需要有一个梦想来引领我们自己,来牵引员工。企业和员工成长当中最重要的要素就是梦想和目标牵引,在人力资源管理中,员工成长是第一位的,要为员工创造无限的成长空间。学习与培训是医院发展永恒的主题,医护人员既是医院员工的主体,也是医院经济效益和社会效益的直接创造者,代表了医院的整体形象与医疗水平。医护人员的进步和个人学习培训息息相关,医院可持续发展也离不开自身医疗团队的建设,因此,无论是个人的发展还是医院的进步,学习与培训都有举足轻重的重要意义。医护人员的医疗技术、责任心、服务与综合素质,直接决定了患者在医院的切身体验与感受,即决定了医院的社会效益和整体经济效益。

(3) 缺乏长效激励。S 口腔医院目前的薪资激励属于短期的,缺少长期而有效的激励机制,这不利于医院的长久稳定发展,也不利于医院做大做强。员工们只是单纯的上班拿工资,没有主人翁意识,责任感相对较低,管理者可以根据医院自身的实际情况引入利润比例分享、人才培养计划、职业发展规划等,让员工的利益与医院利益相结合,促进医院长久的发展。

#### 4.6 S 口腔医院激励制度存在问题的原因

(1) 管理者忽视绩效薪酬的激励作用。第一,医院的管理者很多是从医疗专业技术岗位走上管理岗,本身的管理学理论欠缺,在管理方法和经验上相对不足。S 口腔医院没有专制的人力资源管理者,只有一位医生兼职管理,自身还兼顾着临床工作,相对来说投入到管理的精力和时间都有限。第二,在绩效薪酬激励制度的制定上,没有做过调查,也没有充分听取大家的意见,没有将医院的发展目标与员工有效结合,忽视了对不同岗位员工的激励作用。第三,这也导致了各个科室对自己的目标不明确,绩效考核单一,流于形式,激励作用严重不足。总的来说,医院管理决策者认为人力资源管理是医院的成本,而实际却忽略了其带给医院的无形资产的价值。今天在人力资源管理中要寻找有创造力的人,医院最重要的价值源于员工的创造力,而医院的持续发展,依赖于医院员工的持续创造力。

(2) 管理者对人才培养重视不够。医院管理缺乏长期系统的激励制度,S 口腔医院人力资源工作很大程度上仍停留在简单的人事管理范畴内,缺乏长期具有战略意义的人力资源规划,这就使得医院人力资源工作不能服务于医院的战略目标。由此造成激励工作缺乏规划,缺乏系统性、有效性,无法适应员工变化的需求。医院不谈愿景,员工没有梦想,没有一个目标,就会迷茫,是很难成长的。

#### (3) 员工企业文化意识淡薄

S 口腔医院目前自身的企业文化还没有完全深入每个员工的内心,这不利于形成员工的归属感和主人翁意识。医院自身企业文化不仅是其保持长久核心竞争力的重要因素之一,同时也是在竞争中立于不败之地的关键。医院自身企业文化能够满足员工精神方面的需要,使他们产生自尊感、归属感、成就感、责任感和主人翁意识,从而激励员工,使员工发挥巨大潜力。同时我们还要注意,员工对文化的理解和认同程度,一旦有了强烈的共鸣,那么激励功能就具有了持久和整体的优势。

## 五、结论与建议

在当今医疗行业日渐激烈的竞争环境中,S 口腔医院若想立于不败之地,必须找出不同员工的特点和找到适合他们的激励方式,充分调动医护人员的主观能动性,使其发挥出对工作的积极性和创造性。

### 5.1 研究结论

(1) 构建合理、公平的薪资及福利体系。S 口腔医院目前的医护人员激励制度存在不合理之处,考核流于形式,缺乏长期有效的激励。所以要吸引人才,留住人才,发挥出员工的积极性,必须建立公平、合理的薪资福利体系。包括有公开且有竞争力的绩效薪资制度、奖励措施,健全和完

善医院员工福利制度，建立长期高效的激励机制。

(2) 注重员工的职业成长，优化培训体系。人才是医院最重要的核心竞争力，而医疗服务行业与人们的健康息息相关，也代表了医院的医疗水平。这就决定了医院员工的专业技术必须过硬，并且与时俱进，同时还要具备良好的服务意识、责任心和较高的心理素质。所以优化培训体系与培养学科带头人显得尤其重要。

(3) 建立医院文化，增强员工向心力。医院文化能够使员工在工作中自主构建共同的发展目标与使命感，对于增强内部凝聚力而言至关重要。在共同理想和相同发展目标的激励下，有利于员工团结一心共同迎战复杂多变的发展形势，丰富精神激励措施。

## 5.2 优化建议

本文的研究对口腔医院激励制度的设计提供了有益的启示。目前在医院中，医护人员的激励制度一直存在滞后的情况，而医护人员往往因为工作原因形成一个整体，故而在激励方面不好区分。本文通过调查分析与访谈结果，总结如下：从岗位方面，医生更看重发展空间和自身的提高，护士更注重自己被认可和工作的成就感；从年龄来看，年轻人对薪资待遇的敏感度更高，更看重发展空间，年龄较大者则相对看重稳定的工作和成就感。建议从以下方面优化：

(1) 薪资制度。薪资结构有三部分，基准月薪、绩效月薪和岗位奖金组成。基本月薪不受当前经营效益影响，基准月薪是对医护人员基本能力和综合价值的定位，是对员工劳动基本报酬和生活的基本保障。绩效月薪是对员工月度经营绩效的实际奖励，实际发放额根据个人绩效考核结果确定。其中，基准月薪的设计可以根据医院目前的实际情况考虑几个部分组成，考虑当地目前的城镇职工平均工资作为参考基数乘以系数、工龄等级、职称、岗位性质等方面因素。绩效月薪则考虑医护人员的技术服务、患者满意度、整体效益，三者量化考核，制定考核标准与权重，由医院管理者、经治患者多方打分，综合考核分数。护士考核实行与医生组合的方式。具体实施应注意以下几个方面：医疗技术水平。现实中患者的需求越来越多样化、个性化，所以，医护人员就必须适应患者的需求，提供多样化与个性化的技术与服务，真正能够帮助患者解决他们的问题，这也是考核医护人员的现有医疗技术水平；服务与患者满意度。现代社会各行各业都讲究客户体验，那么口腔医疗行业也不例外，如果在医院再受到医生、护士等工作人员的语言上或者服务态度上的不够重视或藐视，就会受而感到不愉快，也就是体验不好，从而厌恶医生、护士甚至厌恶医院，个别人还可能引发不满与愤怒，激化矛盾。所以，要想或者体验良好，就必须保证医护人员良好的工作情绪与状态，经常的关心医护人员的工作和家庭。

(2) 利润比例分享。利润比例分享是指员工通过超额的工作绩效而得到分享医院的一部分利润的激励方法。优点是可将医院的利益和员工的利益在同一个目标或计划内体现出来，这样的激励方法可以使员工更为关注公司的发展和经济效益，合理运用可以起到很好的激励作用。管理者可以以科室为单位，制定每个季度的目标计划。按超额完成目标的比例情况，奖励给科室一定奖金，再由科室主任根据具体情况发给本科室的人。我们需要注意的是，医院的本质是治病救人，服务患者的。在追求经济效益的同时，一方面要保证医疗服务质量，另一方面要严防过度治疗，否则就会因小失大，得不偿失而背离了医疗的本质。

(3) 职业发展激励。医院发展战略与员工个人职业规划是密切相关的，所以，医院必须有自身的战略规划与目标，并将医院的战略目标与员工的个人职业规划目标相结合，使医院与员工个人都有共同的追求，体现员工的个体价值，培养未来更多的创意精英，从而实现医院的社会价值与可持续发展。

(4) 培训进修激励。内部培训方面：①专业技能培训。主要以院内专家、医生、护士分享他们的专业技术成果、典型病例、失败教训与经验总结。另一方面是将院外专家请进来进行技术培训培训。②服务礼仪培训。将院外服务礼仪专家请进来进行服务礼仪示范培训。③沟通技巧培训。以院内前台、咨询师、医生、护士分享沟通成功与失败教训。请行业沟通专家培训员工沟通艺术与技巧，提升患者信任度与满意度，增加社会效益和经济效益。外部进修方面：①每年或每两年安排医生到北京和上海的知名医院进修。通过外出培训使员工学习新技术、新理念、新材料、新方法，开

阔员工的视野,跟上时代的步伐,使医院可持续发展。②签订培训服务年限协议。给予培训学习方面的鼓励与支持。比如,给时间、给报销培训费用等。

(5) 医院文化激励。医院文化激励是一种重要的激励方式,针对 S 口腔医院的实际情况,本文提出了由上至下认知,由下到上执行的沟通模式。医院的管理层需要对于医院文化理念,价值,核心意义有理解和认同,同时需要对核心员工的价值有更为清晰的,更为深刻的认识,搭建通畅的沟通渠道,建立起有效的沟通方式,创建良好的沟通氛围。而由下而上贯彻执行,必须需要公司的每个员工,特别是核心对于员工而言,在领会明确医院文化愿景后,从身边的事做起,按照计划方针的要求,以医院的价值观和行为准则要求自己,从而形成由下而上的凝聚力和推动力。S 口腔医院可以在以下方面注意医院文化的建立:第一,注重核心员工成就感的培养。成就感是指做某件事情时,为自己所做的事情感到愉快或成功的感觉。核心员工作为医院的中坚力量,发挥着重要的作用。从调查中我们也发现,无论是医生还是护士都很看重上级的看法以及患者的评价。在我们的印象中,医护人员本身的工作就是神圣的,这更让他们对自己的工作有一种与生俱来的肯定。积极的肯定有奋发向上的作用,管理者应对有良好的工作成绩的员工给予充分的肯定和鼓励,对于还有所不足或者欠缺的同样也需要进行反向的激励;第二,培养员工的凝聚力,增强其对医院的认同感和归属感。归属感的建立过程就是员工与医院之间相互认知,相互理解,在认知的思想层面上达成一致的一个过程。建立良好的沟通渠道,使得员工有机会和条件参与医院的某些经营决策,使其思想和医院的发展渐渐紧密联系。这样的过程可以使增强员工对医院的认同感和归属感,更好地激发他们的工作积极性。

### 5.3 局限性与未来研究方向

由于现阶段中国及西方专家对于医院人力资源管理的相关专著及文献数量有限,且都存在研究不够深入的现实情况,加之员工激励问题方面涵盖了很多领域,使这个问题变得更加复杂、多样。另外笔者个人的研究能力及与知识面还有很多不足之处,因而对于某些问题的论述尚不够完善,还有待于今后的进一步深入研究。随着基础知识的提升,实践的不断扩展,一定会探索出更为适合的医护人员激励方式和方法,更好地服务于现代医院管理中。

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## 工作热情的激励因素分析

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### 摘要

本文通过问卷调查探讨工作热情的激励因素，实证了组织的内外部激励对工作热情的正向显著影响。内部激励对热情深刻性的影响系数最大，对热情的持久性排第二，对活力性影响排第三，外部因素对工作热情的影响程度依次排序分别是活力性、持久性以及深刻性。研究发现：就工作热情的活力性而言，外部激励因素比内部激励因素大，但总体上内部激励因素对工作热情的影响明显超过外部激励因素，对此本文给出了新的解释以及新的管理建议。

**关键词：**激励因素；工作热情；路径分析

### 1.引言----工作热情的重要性

在管理工作中，激发员工工作热情具有十分重要的作用。英国学者兰兹伯格(2008)在《唤起你的工作热情》中指出：一个优秀的员工，最重要的素质不是能力，而是对工作的热情。热情能产生不断创新的活力，它能使人获得源源不断的灵感去完成一项以前根本无法想象的事情。Ho & Wang S & Lee(2011)认为，工作热情是员工愿意对组织投入他的心，是一种态度与行为的表现。对工作有热情的员工，能量源源不绝，无论是什么工作都能做得有意义，也能为组织创造绩效，热情对于组织及个人都有莫大的影响。

根据积极心理学的研究显示，员工如果在工作中能保持乐观、积极的情绪，将有利于员工身心的健康发展，有利于员工成就与绩效（Seligmen&Csikszentmihalyi,2000）。在组织方面，通过示范作用，魅力型领导可借此达成组织任务与绩效（Conger,Kanungo,&Menon,2000）

苗元江等（2012）对工作热情的作用做了总结，他认为工作热情是一种对工作的强烈情感，可以①造就有效领导，②造就服务差异化，③带动创造发明，④造就个人成功，以及⑤提高工作满意度。正是因为工作热情如此重要，工作热情的唤醒与激发在企业管理中显得日益重要。

### 2.工作热情需要激发---基本假设：组织激励对工作热情的决定作用

激励因素是指能造成员工感到满意的因素。教师、医生、科技人员的热情需要激励以及激发，这些群体在组织激励因素刺激下极大地激发了工作热情，提高了工作效率以及创造性（帅凯辉，2010、程光华，2016、张莉（2016）。同样，作为企业的员工，包括知识型员工，其工作热情也需要激励因素的激发，李玉（2011）在对知识型员工进行探讨时发现，员工在激励因素满足需要上，针对这些需要，提出相应激励措施，激发员工工作热情的同时，可以实现企业目标。

唐蔚蔚、柴建军与胡雅洁（2013）研究提出，激励通过满足员工需要，激发了员工为组织献身的工作热情。激励因素的改善能够极大地激发员工工作的热情，提高劳动生产率，但即使管理层在其他因素方面不能给予其满意，往往也不会因此使员工感到不满（吴叔，2012）。李峰（2013）认为，企业生存发展是关键在于人才的竞争，以激励因素为基础，探讨激励因素在员工工作中的不同作用，只有满足内外部激励因素的需要，合理的运用因素，就会激发企业现有人才的潜能和工作热情，为企业创造价值。

工作热情与热情应是不同的,热情作为人格特质的一部分,工作热情除受个人特质的影响外,工作热情还受外在环境因素的影响(温金丰、张涵垚、黄心怡,2016)

根据上述激励因素对工作热情的理论探讨,可以发现激励因素对工作热情有很大的影响,故本文对此提出基本假设:

H: 员工的激励因素对员工的工作热情有正向显著影响。

### 3.具体假设、模型和研究框架的建立

为了使本研究更为深入细致,本文对激励因素与工作热情变量进行定义与分类。

#### 3.1 激励的定义与分类

心理学认为,人的行为都是由一定得动机引发的。人的工作动机首要的就是满足自己的需要。激励(Motivation),就其本质来讲,它表示某种动机所产生的原因及调动人积极性的过程,即向人们提供可以满足其需要的事物作为目标物,进而激起其积极行为的过程。学者史蒂芬 Stephen(2006)提出,激励就是解决个体在实现目标过程中努力的强度、方向与坚持性的过程。周三多(2014)将激励定义为“组织通过设计适当的外部奖励形式和工作环境,以一定的行为规范惩罚性措施,借助信息沟通,来激发引导、保持和归化组织成员的行为,以有效地实现组织及其成员目标的系统活动。

关于激励的理论非常多,包括:马斯洛的需求层次理论、XY理论、赫茨伯格双因素理论、三种需求理论、目标设定理论、再强化理论、公平理论、预期理论以及各种理论的整合(Stephen P. Robbins, & Mary Coulter, 2012)。

从分类上看:在双因素理论中,赫兹伯格(1959)将管理措施划分为“保健因素”和“激励因素”,保健因素是一种基本的因素,有这种管理措施不一定提高工作热情或绩效,但没有这种措施,就一定会影响热情与绩效。激励因素是真正对员工的热情与绩效产生激励效果的因素,赫兹伯格提出了“内在满足”和“外在满足”,即“内在激励”和“外在激励”的问题。“内在满足”是指个人从工作本身得到的满足。“外在满足”是指个人在工作之后得到的满足。

本文遵从赫茨伯格的理论,把激励因素分为外部激励因素(outsidemotivation)和内部激励因素(insidemotivation)两大类,外部激励因素主要表现为获得外部社会的认可,外部越对员工的工作越认可,获得的外部激励就越大;内部激励因素主要表现为自觉发展的满足,也就是个人发展与成功的机会可得性,当这种机会可得性越高,对自身内在的激励就越大。

根据这种分类,我们很容易得出如下之推论:

H1: 外部激励因素正向显著员工工作热情;

H2: 内部激励因素正向显著员工工作热情;

接下来,我们把工作热情进一步分类或分维,可以得到更为细致的结论。

#### 3.2 工作热情的定义与分类

Vallerand et(2003)认为,热情是一种使人产生精力、决心、承诺、着迷等行为的特质,由在个人与任务的相互作用中的内在动机产生。热情是一种强烈的情感,当你非常在乎某个人或某件事时,强烈的情感就会自你的内心表达出来(Anderson, 2004)。

工作热情是在工作中发生的。Gudman(2004)以大五(big five)人格特质为基础将工作热情分为三个组成部分:工作的内容(what you do)、工作的环境(when you do)以及工作的角色(who you are)。Perrewé et al.(2014)将工作热情定义为基于个人对工作评价与认知而产生的工作情感与坚持的态度。工作热情需要工作者以积极的心态去影响他人,从而顺利完成组织交给的工作任务(吴叔,2012),并且在不同的工作环境中是否有好的工作适应性,会影响工作热情的产生。这种工作热情是员工为完成组织交给任务,因兴趣、爱好而调动自己积极情绪和行为过程。

综上所述,本文认为,热情是指人参与活动或对待别人所表现出来的热烈、积极、主动、友好的情感或态度,它常与人生观,价值观关联,是一个人态度、兴趣的表现,人在热情的支配下,常能调动身心的巨大潜力。而所谓工作热情则是指工作者在完成组织交给的工作任务过程中,所表现出来的一种积极的情感心理状态和行为。

从热情的分类或分维来看，有关热情的特点与分类的文献讨论少得可怜。普通心理学将热情归类为一种情绪状态，热情是一种强而有力、稳定、持久和深刻的情绪状态。它没有心境的弥散那么广泛，但比心境更有力和更深刻；没有激情那么猛烈，但比激情更持久和稳定。热情本身没有对立的两个极端，它的对立面是冷淡、冷漠；但热情具有程度上的区分以及指向上的区别，以饱满的热情投身于学习、工作、生活和事业的人，生活充实而有意义，更容易获得成就和敬慕。

根据普通心理学的情绪状态，按照 Schaufeli, W.B. and A.B. Bakker (2001) 的理解，工作热情类似于工作卷入度以及工作敬业度，与情绪耗竭相对，被分为热情专注性、热情持久性以及热情活力性三个特征，本研究遵从 Schaufeli, W.B. and A.B. Bakker (2001) 与普通心理学的逻辑，将工作热情的维度分为如下三个方面：

第一，工作热情的持久性 (durability)。意即这种热情的心理状态保持相对较长的延续性，也就是长时间对工作以及涉及的事物保持开放、接纳、欢迎以及积极的兴趣与情感态度。

第二，工作热情的深刻性 (depth)，按照 波士顿大学 James A. Russell (2003) 研究，工作情感是分层次结构的，他将情感结构分为核心情感与归因情感等不同层次，而核心情感是意识的原始层面，归因情感是意识的有意层面，由于热情是情感的一种，以此逻辑，热情也是有深与浅的区别，工作热情包括了从喜欢、喜爱以及狂热等不同深度的范畴 (Vallerand et al., 2003)，对此，我们将工作的热情的深刻性作为工作热情的维度之一。不过，这种热情深刻性表现为对事物的专注，如果对事物没有给予足够的专注，根本不能对事物产生深刻的体验，这种情绪与热情不可能深刻。

第三，工作热情的活力性 (activity)，由于热情具有指向上的区别，很容易产生热情的效用，热情的心理与行为效用表现为服务的差异化、技术的创新、面对困难的勇气、快乐的获得、责任的承担、任务的完成以及成就感与意义感获得等等 (Gubman, 2004; Chang, 2001; Bennis, 2004; Smith, 2002; 石滋宜, 2005)。

基于以上热情分类，很容易得出以下推论与假设：

- H1a: 外部激励对工作热情活力性有显著的正向影响；
- H1b: 外部激励对工作热情持久性有显著的正向影响；
- H1c: 外部激励对工作热情专注性有显著的正向影响；
- H2a: 内部激励对工作热情活力性有显著的正向影响；
- H2b: 内部激励对工作热情持久性有显著的正向影响；
- H2c: 内部激励对工作热情深刻性有显著的正向影响；

### 3.3 基本研究框架的提出

在假设基础上，我们很容易发展出如下图 1 所示研究模型框架：

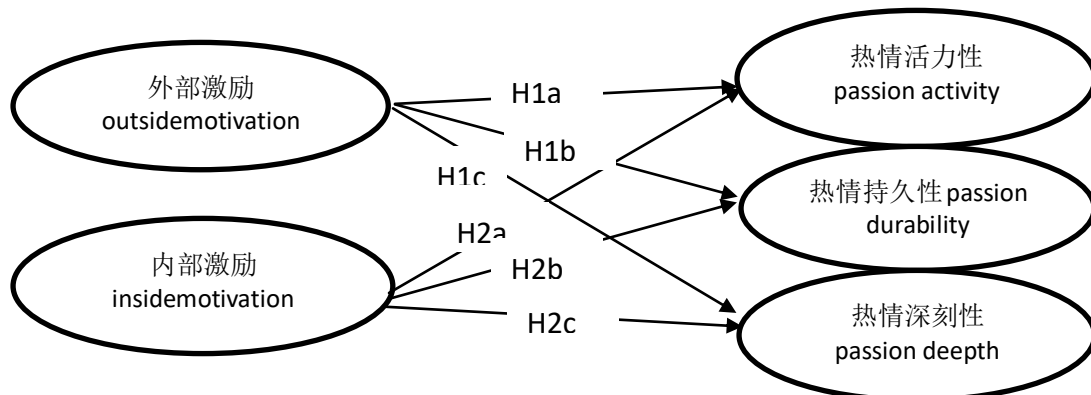


图 1: 研究模型框架

本研究框架通过对应的假设，探讨内外部激励的因素对工作热情活力、持久以及深刻性的影响，并为企业的发展提供建议。

## 4.研究方法

本文采用通过问卷获取数据进行实证研究的方法。具体如下：

### 4.1 关于变量的操作性定义和问卷设计

变量的操作性定义和问卷设计如下表 1 所示，为了保证变量的内容效度，激励因素量表选取李慧娟（2016）和李君（2006）相关成果，结合学者们对外部因素及内部因素的测量，以及本文对激励因素的界定，本文用 12 个题项来测量激励因素。工作热情采用量表为 Schaufeli、Salanova、Gonzalez-Roma、Bakker(2012)的员工工作热情量表，量表共计 17 题，两者皆采用李克特(Likert) 五点尺度法，全部采用正向题项与计分，当受测者所得分数愈高，则表示该受测者的工作激励和热情程度越高。

表 1:变量操作性定义和问卷设计表

解释变量	激励因素(A)	衡量题项
外部激励(AA)	AA1.	职业发展通道完善，工作能力强就能晋升
	AA2.	工作具有挑战性，不全是重复性的乏味工作
	AA3.	工作经常得到上级或老板的鼓励和认可
	AA4.	有较多机会参与公司的管理和决策
	AA5.	工作能带来成就感
	AA6.	如果工作出色，可以获得领导和公司的公开鼓励，得到公开表彰
内部激励(AB)	AB1.	提供较好的培训机会，帮助个人发展技能，更新知识
	AB2.	获得各种进修和学习的机会
	AB3.	完全以个人能力和工作成绩作为晋升的指标
	AB4.	在工作中能够提高自己的能力和知识
	AB5.	有机会充分发挥个人能力，实现抱负
	AB6.	我相信我个人在公司有不错的发展和成长机会
被解释变量	工作热情(B)	衡量题项
热情活力性(BA)	BA1.	在工作中，我感到充满能量
	BA2.	在我的工作中，我感觉我很强壮而且精力充沛
	BA3.	当我早上起床时，我想去上班
	BA4.	我为我所做的工作感到自豪
	BA5.	在我的工作中，我能立刻恢复精神
	BA6.	我发现我所做的工作充满了意义和目的
热情持久性(BB)	BB1.	我对我的工作很热心
	BB2.	在我的工作中，我总是坚持不懈，即使事情不顺利
	BB3.	对我来说，我的工作是具有挑战性的
	BB4.	脱离我的工作是很困难的
	BB5.	我可以一次持续很长时间的工作
	BB6.	我的工作启发了我
热情深刻性(BC)	BC1.	我工作的时候时间过得很快
	BC2.	当我工作的时候，我忘记了周围的一切
	BC3.	我沉浸在工作中
	BC4.	我工作时忘乎所以了
	BC5.	我努力工作时，我感到快乐

### 4.2 抽样方法和问卷的发放

本文采取方便抽样法，在中国大陆北京、上海、深圳地区发放问卷，其中北京（北京美团大众

公司、北京链家房地产经纪有限公司) 发放 200 份、上海(上海瑞丽杂志、上海宝洁国际有限公司) 发放 200 份、深圳(华润置地有限公司、华为技术有限公司) 发放 200 份, 共计发放 600 份问卷。因为北上深属于一线城市, 一线城市的公司员工来自全国各地, 调查研究对象会更加全面, 年龄、性别以及收入水平等不同人口统计分布, 不会偏离总体的特性, 故这种抽样样本具有天然的代表性与合理性, 故本研究采用便利抽样法是可行的和科学的, 可以保证样本的合理性, 为后面的统计分析做好数据收集工作。

#### 4.3 问卷的回收

本文调研问卷主要以北、上、深三个城市的 6 个企业的员工随机发放问卷, 经过历时一个月的发放与收集, 共发放 600 份问卷, 回收 549 份问卷, 回收率为 100%, 剔除无效问卷 51 份(问卷不全、问卷数据异常、问卷涂改较多以致看不清答案等), 回收有效问卷为 549 份, 因此有效回收率为 91.5%。

#### 4.4 问卷信度与效度检测

问卷信度检验结果如表 2 所示:

表 2: 信度检验结果表

变量	Cronbach's $\alpha$	题项数量
外部激励	0.857	6
内部激励	0.860	6
热情活力性	0.842	6
热情持久性	0.859	6
热情深刻性	0.829	5

由表 2 数据可以看出, 四个变量的信度都在 0.8 以上, 表示量表的信度较高(Hair *et al.*, 1998)。问卷效度检验结果如表 3 与表 4 所示:

表 3: 聚合效度检验结果

问项	Estimate	S.E.	CR	P	因素负荷量	组合效度(CR)	AVE
AA1 <--- 外部激励	1.000				.712	0.865	0.517
AA2 <--- 外部激励	.961	.060	15.929	***	.713		
AA3 <--- 外部激励	1.128	.069	16.230	***	.752		
AA4 <--- 外部激励	1.082	.065	16.541	***	.702		
AA5 <--- 外部激励	.828	.062	13.307	***	.750		
AA6 <--- 外部激励	.957	.066	14.400	***	.683		
AB1 <--- 内部激励	1.000				.704	0.857 0.500	
AB2 <--- 内部激励	.990	.118	8.385	***	.709		
AB3 <--- 内部激励	1.158	.133	8.705	***	.698		
AB4 <--- 内部激励	1.710	.181	9.470	***	.719		
AB5 <--- 内部激励	1.528	.167	9.142	***	.704		
AB6 <--- 内部激励	1.545	.171	9.040	***	.710		
BA1 <--- 热情活力	1.000				.699	0.859 0.505	
BA2 <--- 热情活力	1.153	.100	11.558	***	.741		
BA3 <--- 热情活力	1.056	.111	9.528	***	.737		
BA4 <--- 热情活力	1.228	.127	9.638	***	.644		
BA5 <--- 热情活力	1.156	.122	9.459	***	.725		
BA6 <--- 热情活力	.758	.089	8.517	***	.712		
BB1 <--- 热情持久	1.000				.721		



	问项	Estimate	S.E.	CR	P	因素负荷量	组合效度(CR)	AVE
BB2	<--- 热情持久	1.074	.100	10.693	***	.723		
BB3	<--- 热情持久	.928	.095	9.740	***	.728		
BB4	<--- 热情持久	1.069	.105	10.187	***	.704		
BB5	<--- 热情持久	1.079	.113	9.558	***	.733	0.861	0.508
BB6	<--- 热情持久	1.015	.107	9.509	***	.664		
BC1	<--- 热情深刻	1.000				.737		
BC2	<--- 热情深刻	1.058	.055	19.084	***	.725		
BC3	<--- 热情深刻	1.128	.061	18.458	***	.719	0.835	0.503
BC4	<--- 热情深刻	1.002	.057	17.478	***	.670		
BC5	<--- 热情深刻	.770	.058	13.354	***	.694		

其中表 3 是建构效度中的聚合效度检验结果，而表 4 是建构效度中的区分效度。表 3 中组合效度 CR 的值大于 0.8，说明该潜变量的收敛效度较好(Fornell and Larcker, 1981)。表 4 中 AVE 大于或等于 0.5，两个潜变量的 AVE 平方根均大于它们之间的相关系数，则说明这两个潜变量有较好的区分效度(Fornell and Larcker, 1981)。检验结果表明不管聚合效度还是区分效度，两者效度良好。问卷可以有效使用。

表 4：区分效度检验结果

	外部激励	内部激励	热情活力	热情持久	热情专注
外部激励	<b>0.719</b>				
内部激励	0.415	<b>0.707</b>			
热情活力	0.58	0.390	<b>0.710</b>		
热情持久	0.44	0.344	0.446	<b>0.713</b>	
热情深刻	0.492	0.345	0.453	0.515	<b>0.709</b>

注：对角线所在位置的数据为 AVE 值的平方根，用黑体字显示差别。

## 5. 路径分析

根据上述模型进行路径分析，路径分析的拟合度如下表 5 所示：

表 1：模型拟合度指标

	卡方值	$\chi^2/df$	IFI	TLI	CFI	NFI	GFI	AGFI	RMSEA
指标值	3815.82	10.20	0.608	0.573	.607	.584	.586	.518	.130

由表 5 可知，虽然模式适配度偏低，但综合各方面指标看，模型拟合数据尚可接受。

路径分析结果如下图 2 所示，其所对应的数据则由表 6 表示。数据表明：

第一，内外部激励因素以及热情品质组成路径权重各个不同。

从外部激励组成路径看，工作经常得到上级或老板的鼓励和认可权重较大，工作具有挑战性，不全是重复性的乏味工作以及工作能带来成就感影响外部激励权重最小，而如果工作出色，可以获得领导和公司的公开鼓励，得到公开的表彰、有较多机会参与公司的管理和决策以及职业发展通道完善，工作能力强就能晋升影响权重在中间；

从内部激励组成路径看，获得各种进修和学习的机会以及完全以个人能力和工作成绩作为晋升的指标在内部激励中影响最大，而有机会充分发挥个人能力，实现抱负方面在内部激励中最小，其他问项对内部激励影响居中；

就热情的灵活性看，工作中自我感觉很强壮而且精力充沛影响灵活性最大，所做的工作充满了意义和目的影响最小。热情的持久性中，可以一次持续很长时间的工作影响最大，工作具有挑战性

最不影响持久性。热情深刻性中，沉浸在工作中影响最大，努力工作时，我感到快乐影响最小。

### 第二，内部激励对热情品质的影响明显超过外部因素对热情品质的影响

从路径系数看，内部激励对热情活力性、持久性以及专注性的路径系数（0.598、0.889、1.384）总体上明显大于外部激励对工作热情相关品质的路径系数（0.823、0.216、0.265），之所以如此原因如下：

（1）内部激励对热情品质的影响明显超过外部激励是由内部激励与外部激励的本质决定的。从定义上看，热情品质是一种心理品质，这种心理品质虽然受外在环境包括外在激励的影响，但必然由其他内部的心理品质决定，而非由外在的环境或刺激决定。因为内在的激励和热情品质同属于心理品质，不一定涉及外在，而外在的激励虽然问卷化数据化以后和心理品质的界限变得模糊，在一定程度上与热情品质是一种异类性。因此同质的内部激励对热情品质的影响明显超过异质的外部激励对热情品质的影响。

（2）外部激励因素是一种外在的满足，一般表现为他人对自己的认可，这种认可与激励是一种外因，相对于内部激励它又是远因，而内部激励主要是自我的认可，自觉发展的满足，并不必然涉及他人，因此，在外部激励与内部激励对热情品质发生作用时，内部激励更加接近热情品质而外部激励显得相对较远。因此内部激励对热情品质的作用超过了外部刺激或激励。

（3）按照辩证唯物主义，外因要通过内因而起作用，内因起决定性作用。也就是说，当内部因素与外部因素两者同时对热情品质发生作用时，内在激励起决定性作用，而外部激励要通过内部因素，也就是内部激励对心理品质也就是热情品质发生作用。这样，由于一个是决定性因素，一个是辅助性因素，自然内在激励对热情品质的影响程度会明显超过外在激励因素。

（4）对于内部激励对热情活力性路径系数小于外部激励对热情活力性路径系数之调查结果，是由热情的活力性本质决定的。当谈到工作的价值、意义、目的、精力与积极等热情的活力性时，个人的认可远远比不上他人的认可，甚至在很多场合，个人的认可是不算数的，只有获得他人的认可，自身才觉得工作有价值、有意义，从而表现出工作的热情的活力性。这样外在的激励对热情活力性的影响就超过了内在激励。除此之外，就热情的持久性与深刻性而言，外在因素就显得力不从心了，因为外在激励是暂时的、偶尔的，而内部激励是常在的，经常的。所以就热情的持久性与深刻性，内在激励对它的影响就超过了外在激励。

### 第三，内外部激励对热情品质的影响都是显著正相关的。

#### （1）外部激励对热情活力性的影响

路径系数为 0.823，置信水平超过 95%，外部激励对热情活力性有着显著的正向影响，在外部激励的下，会使人的心理始终维持一种兴奋的状态，激发出一种高昂的热情活力，外部激励有利于调动工作热情的活力，并达到满足员工受尊重以及自我实现的需求。

#### （2）外部激励对热情持久性的影响

路径系数为 0.216，显著水平低于 5%，外部激励对热情持久性有着显著的正向影响，利用外部激励，首先满足员工合理的物质需要，吸引人才、挽留人才。其次，通过外部激励提供给他们合适的工作，足够的权利、事业的责任和价值的认可，尽量避免“大材小用”、“小材大用”的情况，从而更加能够激发工作热情的持久性。

#### （3）外部激励对热情深刻性影响

路径系数为 0.265，置信水平超过 95%，外部激励对热情深刻性有着显著的正向影响，这与刘继敏（2017）研究结果一致，当对员工传达外部激励的信号时，员工的工作热情深刻性会保持的很好，外部激励对热情深刻有着显著促进作用。外部激励能够吸引员工对工作的关心与专注，透过员工的对工作关心于专注的提升，充分提升了员工工作的体验深度，在工作情感上表现出热情的深刻性，并用这种工作热情的深刻性作为力量支持，推动企业长期稳定发展。

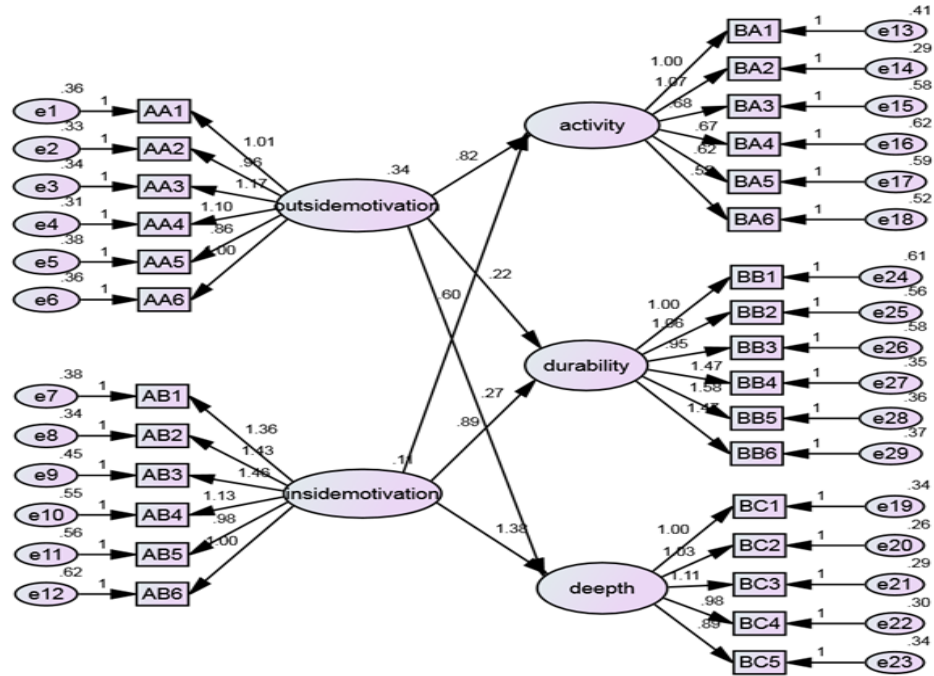


图 2：路径分析图

(4) 内部激励因素对活力性的影响

路径系数为 0.598，显著水平低于 5%，内部激励对热情活力性有着显著的正向影响，内在激励是员工的自我认可与自觉的满足，这不仅可以提高员工的工作热情的活力性，还能够最大限度的改善企业的现状。企业因地制宜的采取有效激励手段，设定合理的目标，建立长期的激励措施，结合企业实际，实施精准激励，这种激励内化为自我的认可与自觉的满足与意义感，从而促使企业员工发挥更大的热情为企业创造更大的价值，从而促进工作热情的活力性。

(5) 内部激励因素对热情持久性的影响

路径系数为 0.889，置信水平超过 95%，内部激励对热情持久性有着显著的正向影响，在内部激励下，工作是作为对自己的工作。这充分调动员工创造精神，促进员工主动工作。这种内部激励致使员工不是一味的执着于“金钱”，而是更加看重工作本身带来的自我发展与自我实现，由于自我发展与自我实现是长期的过程，这种激励使得工作态度和热情表现为持久性。

表 6：路径分析结果表

			Estimate	S.E.	C.R.	P	Label
activity	<---	outsidemotivation	.823	.061	13.387	***	
depth	<---	insidemotivation	1.384	.171	8.106	***	
durability	<---	outsidemotivation	.216	.032	6.675	***	
durability	<---	insidemotivation	.889	.139	6.376	***	
depth	<---	outsidemotivation	.265	.033	8.071	***	
activity	<---	insidemotivation	.598	.089	6.739	***	
BC1	<---	depth	1.000				
BC2	<---	depth	1.028	.075	13.792	***	
BC3	<---	depth	1.109	.080	13.845	***	
BC4	<---	depth	.981	.075	13.055	***	
BC5	<---	depth	.892	.074	12.014	***	
AA6	<---	outsidemotivation	1.000				

			Estimate	S.E.	C.R.	P	Label
AA5	<---	outsidemotivation	.861	.063	13.613	***	
AA4	<---	outsidemotivation	1.100	.068	16.088	***	
AA3	<---	outsidemotivation	1.171	.072	16.220	***	
AA2	<---	outsidemotivation	.964	.064	14.956	***	
AA1	<---	outsidemotivation	1.008	.067	15.004	***	
BA1	<---	activity	1.000				
BA2	<---	activity	1.072	.076	14.179	***	
BA3	<---	activity	.676	.076	8.946	***	
BA4	<---	activity	.670	.077	8.669	***	
BA5	<---	activity	.617	.075	8.240	***	
BA6	<---	activity	.552	.069	7.960	***	
BB1	<---	durability	1.000				
BB2	<---	durability	1.058	.158	6.677	***	
BB3	<---	durability	.953	.151	6.304	***	
BB4	<---	durability	1.471	.184	8.010	***	
BB5	<---	durability	1.583	.195	8.098	***	
BB6	<---	durability	1.474	.185	7.968	***	
AB6	<---	insidemotivation	1.000				
AB5	<---	insidemotivation	.977	.150	6.525	***	
AB4	<---	insidemotivation	1.135	.162	7.004	***	
AB3	<---	insidemotivation	1.460	.186	7.841	***	
AB2	<---	insidemotivation	1.434	.178	8.066	***	
AB1	<---	insidemotivation	1.361	.173	7.886	***	

(6) 内部激励对热情深刻性的影响

路径系数 1.384, 显著水平低于 5%, 内部激励对热情深刻有着显著的正向影响, 内部激励越大, 对员工工作热情深刻性越深。企业采取内部激励措施增加了职业与个人发展空间, 满足了员工的自我需求, 实现了自我价值, 会得到自觉的满足。如果员工处于工作状态, 必然会对工作更加专注, 增加了情感体验的深度, 从而促进了工作热情的深刻性。

根据路径分析结果研究发现汇总如下表 7 所示: 上面所有的推论或假设都得到支持。同时有两大重要发现: (1) 总体上内部激励因素对工作热情的影响明显超过外部激励因素, (2) 但就工作热情活力性, 外部激励因素比内部激励因素影响大。

表 7: 研究假设实证结果与研究发现汇总表

	序号	假设内容	验证结果
假设 检验	H1a	外部激励对工作热情活力性有显著的正向影响	支持
	H1b	外部激励对工作热情持久性有显著的正向影响	支持
	H1c	外部激励对工作热情专注性有显著的正向影响	支持
	H2a	内部激励对工作热情活力性有显著的正向影响	支持
	H2b	内部激励对工作热情持久性有显著的正向影响	支持
	H2c	内部激励对工作热情专注性有显著的正向影响	支持
研究 发现	(1)	总体上内部激励因素对工作热情的影响明显超过外部激励因素	
	(2)	就工作热情活力性, 外部激励因素比内部激励因素影响较大	

## 6.研究建议

研究建议根据上述研究结论。本研究提出以下研究建议。

第一，管理者应当采取必要措施激励员工的工作热情

随社会经济的发展，企业公司也不断的强大，作为一名企业中员工，其面对的矛盾和任务更加复杂和艰巨，要求也更高。在这样的情况下，要想提高员工的工作积极性，保持员工的工作热情，企业管理者应当采取各种必要的手段激励员工工作热情，这些手段包括内外激励两个方面：

(1) 提升外部环境（社会与管理者等）对员工认可度。通过增加工作挑战性、增加管理与决策参与度、完善职业发展通道，加强对员工工作的鼓励和认可，激励员工的工作热情；

(2) 增加员工自觉个人发展的机会，从而产生内部激励。从员工个人发展的角度提供各种学习培训机会、晋升条件、并能够在工作中提升员工的知识和技能，让员工充分发挥个人能力，实现抱负，产生自我内部激励的良性循环，导致员工工作热情洋溢，绩效卓越。

第二，更加关注内部激励，努力采取措施使得外部激励转化为内部激励

相对于外部激励，员工的自我内部激励对员工的热情唤醒更加有效，这就要求管理者在采取措施激励员工工作热情的时候更加关注员工的个人发展，帮助员工自我实现。而且在进行环境外部性激励时，也应当尽力采取措施使得外部激励措施内在化。内在化的效果在于外部激励目标和内部激励目标的一致性，员工对外部激励措施的赞同与认可。

第三，采取措施激励员工工作热情的持久性、专注性与活力性

鉴于内外激励对工作热情持久性、专注性与活力性的不同，采取的激励措施应当有所不同。在实现企业短期目标方面，企业应当采取措施激励员工工作热情的专注性与活力性，而在实现企业长期目标方面，应对的措施应当在关注员工工作热情的专注性与活力性的基础着力于培养和激励员工工作热情的持久性。由于外在激励对工作的活力性超过内在激励因素，企业应当实行双向调节：内在激励外在化以及外在激励内在化，使得内在激励与外在激励保持目标一致。

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## 员工工作压力、职场关系网络构建行为对工作满意度的影响：情绪智力的调节效果

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### 摘要

“关系”被认为是了解中华文化和华人行为的要素，优秀的人际关系资源对工作生活发展影响甚深。服务行业员工则更需要通过提升自我情绪智力能力来调节自我情绪，更好地解决与同事或顾客的冲突缓解工作压力，提升工作满意度。本研究基于中国特色文化重视人际关系的大背景下来探讨服务业员工工作压力及职场关系网络构建行为对工作满意度的影响：情绪智力的调节效果。本研究的结论为，挑战性压力对工作满意度具有显著正向影响；阻碍性压力对工作满意度具有显著负向影响；关系网络构建行为在挑战性-阻碍性压力源对工作满意度的影响中具有中介作用；情绪智力在关系网络构建对工作满意度的影响中具有正向调节作用。

**关键词：**工作压力；职场关系网络构建行为；工作满意度；情绪智力

## 1 序言

### 1.1 研究背景及动机

想必处在职场打拼的个体，都能深切体会到人脉所扮演的重要角色。莫莫（2015）良好的人脉即人际关系对工作生涯发展影响是颇深远的。黄四林、韩明跃与张梅（2016）职场中的人际关系网络的形成对于任何的人来说都不是一蹴而就的，它是需要长期个体不断地投入时间、财力物力和精力去建立、维护和发展的。职场关系网络构建行为基于中国特色人情文化下的探索还比较少。介于中西方的文化差异，Wolff and Moser (2006)指出有关于职场关系网络构建行为的中介作用的研究比较匮乏。本研究探讨工作压力、职场关系网络构建行为对工作满意度的研究，把职场关系网络作为中介变量也是本研究的创新点之一。结合本研究的研究背景与动机，本研究的研究目的如下五点：

- (1)、探讨工作压力对关系网络构建行的影响。
- (2)、探讨关系网络构建对工作满意度的影响。
- (3)、探讨关系网络构建在工作压力对工作满意度的影响中是否具有中介作用。
- (4)、探讨情绪智力在工作压力对工作满意度的影响中是否具有调节作用。
- (5)、探讨情绪智力在关系网络构建对工作满意度的影响中是否具有调节作用。

## 2 文献回归与研究假设

### 2.1 工作压力对职场关系网络构建行为之影响研究

Ng and Feldman (2012)提出，处于压力下的个体会将关系网络构建作为一种保存和获取资源的方式，战略性地加以运用。当员工面对压力时，他们为了获取新的资源，发生关系网络构建行为的意愿会更高。在工作态度方面Wu and Wang (2010) 研究发现，网络建构能显著预测工作满意、情感承诺和规范承诺。COR理论中的“资源获取”原则假定人们通过获得新的或额外的资源来激发对抗资源枯竭的动机资源。本研究提出本研究的H1如下：

H1a:挑战性压力源对关系网络构建行具有正向影响。

H1b:阻碍性压力源对关系网络构建行具有负向影响。

## 2.2 关系网络构建行为对工作满意度之影响研究

Wolff and Moser (2006)的研究发现, 关系网络的构建行为都会对员工的工资收入都有正向影响, 并且会促进员工工资的增长并促进员工职业满意度的提升。Wolff and Moser (2009)关系网络构建对员工的收入有正向影响, 也能提升员工的工作满意度。本研究提出本研究的H2如下:

H2a: 关系网络构建行为对内在满意度具有正向影响。

H2b: 场关系网络构建行为对外在满意度具有正向影响。

## 2.3 关系网络构建行为的中介作用之研究

本研究基于COR理论中的“资源获取”原则, 当个体处于压力的状态下通过关系网络构建行为获得额外资源来对抗流失的资源, 从而提升工作满意度。Wu and Wang (2010) 研究发现, 网络建构能显著预测工作满意。综合以上假设及相关学者的研究可得知工作压力会对关系网络构建行为产生影响, 本研究探讨职场关系网络构建行为的中介作用也是本研究的创新点之一。本研究提出本研究的H4如下:

H3a1:关系网络构建行为在挑战性压力对内在满意度的影响具有正向中介作用。

H3a2:关系网络构建行为在阻碍性压力对内在满意度的影响具有正向中介作用。

H3b1:关系网络构建行为在挑战性压力对外在满意度的影响具有正向中介作用。

H3b2:关系网络构建行为在阻碍性压力对外在满意度的影响具有正向中介作用。

## 2.4 工作压力与情绪智力之影响研究

情绪智力与工作压力之间呈现显著的负向影响的关系。情绪智力是一种能够调节工作压力的能力, 情绪智力相对较高的个体在压力的应对上, 通过有情绪智力的调节, 压力会小于那些情绪智力较低的个体 (Mikolajczak, Luminet, & Menil, 2015)。本研究提出本研究的H5如下:

H4a:情绪智力在挑战性压力对关系网络构建行的影响具有正向调节作用。

H4b:情绪智力在阻碍性压力对关系网络构建行的影响具有正向调节作用。

## 2.5 情绪智力对工作满意度之影响

在工作中同理, 情绪智力作为一种能力在员工工作满意度预测方面发挥这非常重要的作用 (Rezvani, Chang, Wiewiora, Ashkanasy, Jordan, & Zolin, 2016), 拥有较高情绪智力的员工比较情绪智力低一些的员工而已更能够正视自己和处理工作中的负面的情绪, 因而能在工作中拥有更高的工作满意度 (Meisler, 2014)。本研究提出本研究的H6如下:

H5a:情绪智力在职场关系网络构建行为对内在满意度的影响有正向调节作用。

H5b:情绪智力在职场关系网络构建行为对外在满意度的影响有正向调节作用。

# 3 研究方法

## 3.1 变量的定义与衡量

本研究参考Cavanaugh et al. (2000)研究, 将工作压力定义为: 能激发出个体挑战和成就感带来积极的情绪和结果的压力就是挑战性压力; 带来消极的负相数为结果阻碍个人能力发挥和工作目标完成的就是阻碍性压力源。工作压力量表采用Cavanaugh et al. (2000)挑战性—阻碍性压力量表共15个题项。

本研究将参考在Forret and Dougherty (2001) 的研究, 将职场关系网络定义为: 职



场关系网络是个体尝试与对自己工作或职业有潜在帮助的人包括正式关系与非正式关系，建立和维护关系的行为。职场关系网络构建行为的量表采用于桂兰与孙瑜于（2015）中国情境下企业员工网络建构行为量表共19个题项。

本研究将参考Weiss et al. (1967) 提出工作满意度的概念，认为工作满意度是员工对其所处的工作环境所抱持的感觉或态度，包括内在满意度与外在满意度。工作满意度的量表采用了吴静吉、廖素华（1978）的将工作满意度量表分为内在满意度、外在满意度这两个维度共19个题项。

本研究将参考Salovey and Mayer (1990)对情绪智力的定义总结为：情绪智力是指个人具有调节、使用、评估自己及他人情绪的能力。在情绪智力的量表采用了在中国环境下开发的情绪智力量表由刘咏梅、卫旭华与陈晓红（2011）研究所研发的量表，共有15个衡量题项。

### 3.2 研究框架

本研究探讨了关系网络构建行为在中国文化中的应用，并基于COR理论来探讨工作压力与关系网络构建行为和工作满意度的关系，以运用这一研究结果来提升企业对员工的管理决策提高员工的工作满意度从而减少人才的流失。本研究的重点是工作压力，职场关系网络构建，工作满意度，情绪智力之间的关系。本研究的研究框架如下。

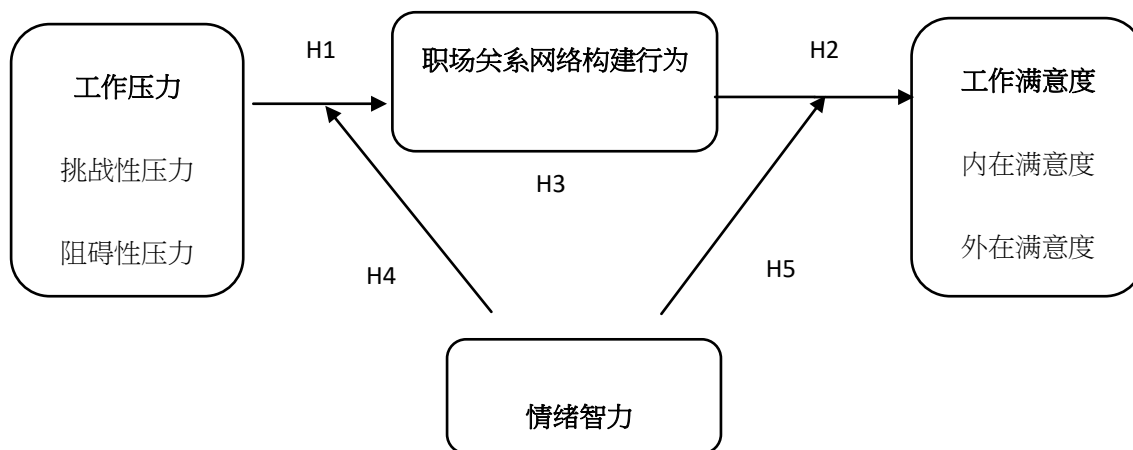


图 3.2 研究框架图

资料来源：本研究整理

### 3.3 数据收集和分析

本研究的模型结构主要针对服务行业员工作为纸质问卷发放的对象。在发放正式问卷之前，本研究发出60份副本进行了前测，以确保问卷的质量。考虑到研究时间及人力因素的限制及抽样方法的可行程度，根据便利抽样方法在云南省昆明市最终发放问卷数为700份，并计划在删除无效问卷并取得有效样本。本研究的数据分析工具为SPSS 21.0和AMOS 22.0统计分析软件，并运用了描述性分析、信效度分析、相关分析、回归分析等数据统计分析方法进行数据分析。

## 4 研究结果

### 4.1 基本资料分析

从样本性别分布来看，女性387位（53.5%）稍比男性336位（46.5%）多一些，

但是相差不大；从婚姻状况来看，已婚者518位（71.6%）比重较大；从学历分布情况来看，本科388位（53.7%）所占比重较大说明样本整体知识水平是较高的；从年龄分布情况来看样本年龄在36-45岁315位（43.6%）比重最大；样本当前职位分布中基层员工446位（61.7%）所占比重最大；而在平均月薪分布方面样本平均月收入在2001-4000元281位（38.9%）比重最大；在工作年限方面，7年及以上的样本数388位（53.7%）所占比重最大，说明样本的工作年限都比较长，工作比较稳定，这也与样本的平均年龄较大有关。

#### 4.2 信度分析

信度的一般判断方法为：大于0.8最好，大于0.7可行，大于0.6需修正量表，整体而言各构面量表之信度皆有超过或达到Hair, Anderson, Tatham and Black (1998) 所建议可接受0.7之标准为佳，具体到本研究的内容，相关调查数据采用SPSS 22.0软件依次对各变量进行了信度分析，以Cronbach's  $\alpha$ 系数进行说明，研究分析结果为：挑战性压力源Cronbach's  $\alpha$ 系数为0.898大于0.8；阻碍性压力源Cronbach's  $\alpha$ 系数为0.888大于0.8；关系网络构建Cronbach's  $\alpha$ 系数为0.915大于0.8；情绪智力Cronbach's  $\alpha$ 系数为0.902大于0.8；内在满意Cronbach's  $\alpha$ 系数为0.923大于0.8；外在满意Cronbach's  $\alpha$ 系数为0.893大于0.8；我们可以看出，从以上的数据分析可以看出衡量各个变量及构面的测量工具具有良好的稳定性及可靠性。

#### 4.3 效度分析

##### 4.3.1 收敛效度分析

卡方比自由度 (CMIN/DF)之标准将参考 Medsker, Williams and Holahan (1994) 提出的，与近似均方根误差 (RMSEA) 之标准将参考Steiger (2007) 提出的，增量适配度与简约适配度相关数据之标准将参考Bagozzi and Yi (1988) 提出的，数据分析结果显示，CMIN/D为2.778 < 3.000（良好），其中CMIN为6098.152；DF为2195。SRMR为0.046 < 0.060（良好）；GFI为0.943 > 0.900（良好）；RMSEA为0.050 < 0.080（良好）；AGFI为0.904 > 0.900（良好）；CFI为0.957 > 0.900（良好）；NFI为0.943 > 0.900（良好）；IFI为0.956 > 0.900（良好）；因此，可以确认该模型具有较好的拟合度，验证性因子分析结果显示各题项在其相应潜变量上的标准化负荷系数(Estimate)都大于0.5以上，各构面的组合信度CR皆高于0.6以上，且各构面的平均变异数抽取量(AVE)皆高于0.5以上，符合Fornell and Larcker(1981)提出的标准。

##### 4.3.2 区别效度分析

表 4.1 区别效度分析表

	挑战性	阻碍性	网络构建	情绪智力	内在满意	外在满意
挑战性	0.726					
阻碍性	-0.261**	0.737				
网络构建	0.434**	-0.416**	0.724			
情绪智力	0.181**	-0.119**	0.121**	0.763		
内在满意	0.406**	-0.319**	0.476**	0.156**	0.725	
外在满意	0.330**	-0.247**	0.167**	0.175**	0.267**	0.728

资料来源:本研究整理；\*表示 $P < 0.05$ ，\*\*表示 $P < 0.01$ ，\*\*\*表示 $P < 0.001$ ，对角线上为各变量的AVE的平方根

表4.1是对问卷整体包含的6个潜在变量之间的相关系数进行了汇总，其中对角线上的数字为每一变量AVE值的平方根，各变量的AVE值平方根在0.725到0.763之间，而各变量间的相关系数绝对值介于0.171到0.545之间，每一变量AVE值的平方根都明显大于

这一变量同其他变量之间的相关系数，就说明6个潜在变量之间拥有比较好的区别效度。除阻碍性压力与其他变量间的关系成负相关外其他各变量间的关系均成正相关。

#### 4.4 回归分析

根据第二章提出的假设，本研究利用回归分析的方式来进行假设验证。首先完成各主要变量间的假设验证，再接着进行有关中介作用的验证，最后进行调节作用是否成立的检验确认。

##### 4.4.1 中介效果的检验

据Baron and Kenny (1986)观点，第透过回归检测，所有检测均经由SPSS 22.0软件处理，检测结果如下所示，接下来针对这些成立的路径做更详细的分析。

表 4.2 关系网络构建在挑战性压力、阻碍性压力对内在满意度的中介作用分析

因变量	内在满意度			关系网络构建	
	模型一	模型二	模型三	模型四	模型五
性别	-0.026	-0.009	-0.022	0.018	0.038
年龄	0.001	-0.012	-0.004	-0.011	-0.025
婚姻状况	-0.025	0.004	0.019	-0.073	-0.043
最高学历	0.031	0.033	0.024	0.026	0.029
当前职位	0.027	0.038	0.025	0.025	0.040
平均月薪	0.011	-0.004	0.016	-0.045	-0.063
工作年限	-0.034	0.011	0.007	-0.036	0.013
挑战性压力		<u>0.406***</u>	<u>0.245***</u>		<u>0.348***</u>
阻碍性压力		<u>-0.230***</u>	<u>-0.124***</u>		<u>-0.327***</u>
关系网络构			<u>0.325***</u>		
R <sup>2</sup>	0.005	0.217	0.292	0.006	0.291
调整后 R <sup>2</sup>	-0.005	0.207	0.282	-0.004	0.283
F	0.466	21.936***	29.344***	0.623	32.593***

资料来源：本研究整理；注：\*表示  $P < 0.05$ ，\*\*表示  $P < 0.01$ ，\*\*\*表示  $P < 0.001$

从模式五可以看出，自变量挑战性压力对因变量关系网络影响是正向显著的；自变量阻碍性压力对因变量关系网络影响是负向显著的；固可以进行下一步的验证分析。且第三章研究方法中的假设：

H1a: 挑战性压力源对关系网络构建行具有正向影响。(获得支持)

H1b: 阻碍性压力源对关系网络构建行具有负向影响。(获得支持)

从模型三的数据可以看出，在加入了中介变量关系网络构建后，自变量关系网络构建对因变量内在满意度的影响是正向显著的，且加入中介变量关系网络构建后的标准化回归系数小于自变量对因变量的回归系数，所以中介作用成立，且为部份中介。固可以进行下一步的验证分析。

H3a1: 关系网络构建行为在挑战性压力对内在满意度的影响中具有中介作用，且为部分中介。(获得支持)

H3b2: 关系网络构建行为在阻碍性压力对内在满意度的影响中具有中介作用，且为部分中介。(获得支持)

表 4.3 关系网络构建对内（外）在满意度的影响

因变量	内在满意度		外在满意度	
	模型一	模型二	模型三	模型四
性别	-0.026	-0.035	-0.100	-0.103
年龄	0.001	0.007	-0.005	-0.004
婚姻状况	-0.025	0.010	-0.101	-0.089
最高学历	0.031	0.019	-0.008	-0.012
当前职位	0.027	0.015	-0.021	-0.025
平均月薪	0.011	0.033	-0.025	-0.017
工作年限	-0.034	-0.017	-0.006	0.000***
关系网络构		<u>0.478***</u>		<u>0.164***</u>
R <sup>2</sup>	0.005	0.231	0.036	0.047
调整后 R <sup>2</sup>	-0.005	0.223	0.011	0.020
F	0.466	26.844***	2.132	4.410***

资料来源：本研究整理；注：\*表示  $P < 0.05$ ，\*\*表示  $P < 0.01$ ，\*\*\*表示  $P < 0.001$

从模型二的数据可以看出，自变量关系网络构建对因变量内在满意度的影响是正向显著的，自变量关系网络构建对因变量外在满意度的影响是正向显著的，且第三章研究方法中的假设：

H2a：关系网络构建行为对内在满意度具有正向影响。(获得支持)

H2b：关系网络构建行为对外在满意度具有正向影响。(获得支持)

表 4.4 关系网络构建在挑战-阻碍性压力对外在满意度的中介作用分析

因变量	外在满意度			关系网络构建	
	模型一	模型二	模型三	模型四	模型五
性别	-0.100	-0.092	-0.085	0.018	0.038
年龄	-0.005	-0.017	-0.017	-0.011	-0.025
婚姻状况	-0.101	-0.073	-0.079	-0.073	-0.043
最高学历	-0.008	-0.008	-0.005	0.026	0.029
当前职位	-0.021	-0.020	-0.011	0.025	0.040
平均月薪	-0.025	-0.035	-0.040	-0.045	-0.063
工作年限	-0.006	0.030	0.031	-0.036	0.013
挑战性压力		<u>0.326***</u>	<u>0.313***</u>		0.348***
阻碍性压力		<u>-0.173***</u>	<u>-0.186***</u>		-0.327***
关系网络构			<u>-0.042</u>		
R <sup>2</sup>	0.020	0.153	0.154	0.006	0.291
调整后 R <sup>2</sup>	0.011	0.142	0.142	-0.004	0.283
F	2.132	14.315***	12.987***	0.623	32.593***

资料来源：本研究整理；注：\*表示  $P < 0.05$ ，\*\*表示  $P < 0.01$ ，\*\*\*表示  $P < 0.001$

从模型三的数据可以看出，加入中介变量关系网络构建后的标准化回归系数小于自变量对因变量的回归系数，但关系网络构建行为的回归系数是不显著的，所以中介作用不成立。固可以进行下一步的验证分析。且第三章研究方法中的假设：

H4a1: 关系网络构建行为在挑战性压力对外在满意度的影响中具有中介作用。

(没有获得支持)

H4a2: 关系网络构建行为在阻碍性压力对外在满意度的影响中具有中介作用。

(没有获得支持)

#### 4.4.2 调节效果的检验

调节变量和自变量在回归验证时, 应该对调节变量和其他变量首先进行标准化处理, 分析结果如下表所示:

表 4.5 情绪智力在工作压力与关系网络构建行为的调节作用分析

因变量	关系网络构建			
	模型一	模型二	模型三	模型四
性别	0.018	0.038	0.039	0.038
年龄	-0.011	-0.025	-0.021	-0.016
婚姻状况	-0.073	-0.043	-0.032	-0.030
最高学历	0.026	0.029	0.036	0.034
当前职位	0.025	0.040	0.008	0.004
平均月薪	-0.045	-0.063	-0.037	-0.030
工作年限	-0.036	0.013	0.019	0.015
挑战性压力		<u>0.348***</u>	<u>0.367***</u>	0.360***
阻碍性压力		<u>-0.327***</u>	<u>-0.363***</u>	-0.364***
情绪智力			<u>0.230***</u>	0.225***
挑战性压力				<u>0.061</u>
阻碍性压力				<u>0.036</u>
R <sup>2</sup>	0.005	0.217	0.292	0.020
调整后 R <sup>2</sup>	-0.005	0.207	0.282	0.011
F	0.623	32.593***	36.908***	31.140***

资料来源: 本研究整; 注: \*表示  $P < 0.05$ , \*\*表示  $P < 0.01$ , \*\*\*表示  $P < 0.001$

由表4.5的模式二可以得知, 挑战性压力对于关系网络构建具有显著正向影响, 阻碍性压力对关系网络构建具有显著负向影响; 模式三可以得知, 情绪智力对于关系网络构建具有显著正向影响; 模式四可以得知, 挑战性压力x情绪智力对于关系网络构建的影响不显著; 阻碍性压力x情绪智力对于关系网络构建的影响不显著; 由此推断情绪智力在挑战性、阻碍性压力源对关系网络构建的调节作用不成立。固第三章研究方法中的假设:

H4a: 情绪智力在挑战性压力对关系网络构建的影响具有正向调节作用。(没有获得支持)。

H4b: 情绪智力在阻碍性压力对关系网络构建的影响具有正向调节作用。(没有获得支持)。

表 4.6 情绪智力在关系网络构建行为与内在满意度的调节作用分析

因变量	内在满意度			
	模型一	模型二	模型三	模型四
性别	-0.026	-0.035	-0.035	-0.032
年龄	0.001	0.007	0.008	0.016
婚姻状况	-0.025	0.010	0.013	0.023
最高学历	0.031	0.019	0.022	0.018
当前职位	0.027	0.015	0.000***	0.002
平均月薪	0.011	0.033	0.045	0.046
工作年限	-0.034	-0.017	-0.016	-0.019
网络构建		<u>0.478***</u>	0.466***	0.461***
情绪智力			<u>0.102***</u>	0.108***
网络构建 × 情绪智力				<u>0.203***</u>
R <sup>2</sup>	0.005	0.231	0.241	0.282
调整后 R <sup>2</sup>	-0.005	0.223	0.232	0.272
F	0.466	26.844***	25.202***	28.033***

资料来源：本研究整理

注：\*表示  $P < 0.05$ ，\*\*表示  $P < 0.01$ ，\*\*\*表示  $P < 0.001$

由表4.6的模式二可以得知，关系网络构建对于内在满意度具有显著正向影响；固可以进行下一步检验。模式三可以得知，情绪智力对于内在满意度具有显著正向影响；且个人背景资料变量中的当前职位在情绪智力对内在满意度的影响具有显著影响；固可以进行下一步检验。模型四可以得知，关系网络构建x情绪智力对于关系网络构建的影响具有正向显著影响；由此判定情绪智力在关系网络构建行为与内在满意度的调节作用成立。固第三章研究方法中的假设：

H5a: 情绪智力在关系网络构建对内在满意度的影响具有正向调节作用。(获得支持)。

表 4.7 情绪智力在关系网络构建行为与外在满意度的调节作用分析

因变量	外在满意度			
	模型一	模型二	模型三	模型四
性别	-0.100	-0.103	-0.103	-0.098
年龄	-0.005	-0.004	-0.001	0.012
婚姻状况	-0.101	-0.089	-0.084	-0.066
最高学历	-0.008	-0.012	-0.007	-0.015
当前职位	-0.021	-0.025	-0.047	-0.044
平均月薪	-0.025	-0.017	-0.034	0.003
工作年限	-0.006	-0.028	0.002	-0.004
网络构建		<u>0.164***</u>	0.146***	0.137***
情绪智力			<u>0.157***</u>	0.167***
网络构建				<u>0.364***</u>
R <sup>2</sup>	0.020	0.047	0.071	0.203
调整后 R <sup>2</sup>	0.011	0.036	0.059	0.191
F	2.132	4.410***	6.034***	18.094***

资料来源：本研究整理

注：\*表示  $P < 0.05$ ，\*\*表示  $P < 0.01$ ，\*\*\*表示  $P < 0.001$

由表4.7的模式二可以得知，关系网络构建对于外在满意度具有显著正向影响；且个人背景资料变量中的工作年限在关系网络对外在满意度的影响具有显著影响；模式三可以得知，情绪智力对于外在满意度具有显著正向影响；且个人背景资料变量中的平均月薪在情绪智力对外在满意度的影响具有显著影响。模式四可以得知，关系网络构建x情绪智力对于关系网络构建的影响具有正向显著影响；由此判定情绪智力在关系网络构建行为与外在满意度的调节作用成立。固第三章研究方法中的假设：

H5b：情绪智力在关系网络构建对外在满意度的影响具有正向调节作用。(获得支持)。

## 5 研究结论与建议

### 5.1 研究结论

处于挑战性压力源下的个体在透过关系网络构建行为获得额外的资源来，激发个体的挑战欲更好的完成工作实现自我价值，从而提升内在满意度；而处于阻碍性压力源下的个体也能透过关系网络构建行为获得额外的资源来对抗流失的资源，阻碍性压力对内在满意度的负向影响能透过关系网络构建行为得到改善。关系网络构建在挑战性-阻碍性压力对外在满意度的中介作用不成立，本研究推测外在满意度是对于工作环境、设备、与同事及领导相处方式的满意程度，而网络构建行为之对象是对其职业有潜在帮助的人，属于主观认识。

本研究推测情绪智力在挑战性-阻碍性压力对关系网络构建行为之影响方面更多的是凸显于对他人情绪的评估能力，但职场上的人形形色色情绪难以捉摸，因此挑战性-阻碍性压力对关系网络构建行为的影响透过情绪智力的影响也不显著。情绪智力在关系网络构建对内（外）在满意度的影响方面更加凸显于对自己情绪的评估及运用方面的能力，个体对自身情绪评估及运用能力越强，也更好的在关系网络构建对内（外）在满意

的正向影响下透过情绪智力的能力得到更好提升。

## 5.2 管理意涵

### 一、学术意涵

本研究在查阅大量的文献的基础上,采用验证性因子分析的方法以中国服务业员工为样本,对压力源的两个子构面进行验证,并对其与关系网络的构建行为和工作满意度之关系进行实证分析。本研究将关系网络构建行为成为中介变量进行研究也是对其中介过程研究做出有关贡献。在情绪智力的调节机制有关方面,本研究情绪智力可以正向调节关系网络构建对工作满意度的影响,这一研究也丰富情绪智力作为调节变量的相关研究。在情绪智力的调节机制方面,本研究情绪智力能够正向调节关系网络构建对于工作满意度的影响,这一研究也丰富情绪智力作为调节变量的相关研究。

### 二、管理意涵

本研究之结论对企业的管理具有一定的启示作用。应尽量避免阻碍员工完成工作的因素,如尽量简介的叙述对员工的期望、提供发展的机会、为员工提供必要的支持和帮助来减少工作过程中的阻碍。在关系网络构建方面,也证实了关系网络构建在不同的文化中,都具有一定的普遍性。其次对于企业来说,本研究也有助于进行工作岗位的配置,例如:在那些需要更多人际沟通和关系资源的岗位,在招聘和选拔时可以对员工进行相关的评估,优先录取那些更加善于关系网络构建的员工。在进行人才招聘的时候也要对其情绪智力进行相关的评估,因为高情绪智力的人,能够在工作中调试自己的负向情绪,从而减少员工负面情绪的产生从而提升工作的满意度。

## 5.3 研究限制及相关建议

本研究之研究对向为从事服务行业的员工,且样本都集中于云南省昆明市地区。隔行如隔山,不同行业的工作压力有所不同,且不同职业的员工可能对于关系网络构建行为也有所不同。所以本研究之结论不适应于所有的行业;本研究样本过于集中,因此研究之结论受地域的限制也不具有代表性。为后续的研究提出的相关建议有如以下几点:一、后续研究可以拓展研究的范围,探究不同职业的关系网络构建行为是否存在差异;二、拓展有关于关系网络构建行为的中介过程及调节机制的相关研究;三、不同文化下的关系网络构建是存在差异的,国内的学者可以基于中国文化来探究关系网络构建的相关研究,丰富其领域的相关研究。

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## 数字化整合营销与四川微信 APP 用户使用反馈之间的关系

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### 摘要

本文旨在于调查研究四川用户对于微信 APP 的使用反馈以及数字化整合营销与四川微信 APP 用户使用反馈之间的关系；本文调查研究数据主要来自于 450 位四川微信用户的在线问卷调查，采用描述性统计方法，包括百分比、频数分析、均值和标准差等，运用皮尔森相关系数对数据进行分析总结；研究结果显示，总体而言四川用户有时会对微信 APP 作出使用反馈，其中用户的使用反馈均数最多的是对于微信的诉求，其次分别是对微信的倡导、行动、认知以及询问；研究假设检验结果显示数字整合营销与四川微信 APP 用户的使用反馈之间有着普遍的联系。

**关键词：**数字化整合营销传播，用户反馈，微信 APP

## The Relationships between Digital Integrated Marketing Communication and Sichuān Consumers' Response to Wechat Application

### Abstract

This study aims to investigate Sichuān consumers' response of Wechat application and to determine the relationships between digital integrated marketing communication and Sichuān consumers' response to Wechat application. A survey research was employed and the data were obtained from an online survey of 450 Sichuān consumers. Statistics used to analyze the data were descriptive statistics, including percentage, frequency distribution, mean, and standard deviation. Pearson Correlation were used to test the hypothesis. Results from the research revealed that Sichuān consumers sometimes responded to Wechat application in overall. The highest average was Appeal, followed by Advocate, Act, Aware, and Ask, respectively. The results of hypothesis testing showed that overall digital integrated marketing communication were moderately related to Sichuān consumers' response of Wechat application.

**Keywords:** Digital Integrated Marketing Communication, Consumers' Response, Wechat Application

## 一、研究背景

近几年来随着信息技术的不断进步与发展、移动终端设备得到快速发展，其中，智能手机的普及越发突出，它给人们的生活带来了极大的便利，智能手机也成为人们日常生活中不可或缺的一部分，因此各种手机 APP 也应运而生；2011 年初，深圳市腾讯计算机系统有限公司推出了一款移动即时通讯应用软件—微信，作为一款手机聊天软件，迅速被社会大众所接受认可，微信可以通过网络发送图片、文字、语音等信息，实现快速传播海量信息。微信的推出，不仅使社会大众沟通交流平台得到创新，更增加了社会大众的互动分享的机会，现如今，在各大手机应用市场下载排行中，微信排名第一。根据腾讯公司公布的 2018 年第三季度业绩数据（腾讯公布 2018 年第三季度业绩，来源：<https://www.tencent.com/zh-cn/articles/8003541542193986.pdf>）显示，微信月活跃账户达 10.825 亿，同比增长 10.5%，用户参与度稳定增长，是目前国内最受瞩目的移动即时通讯应用软件。

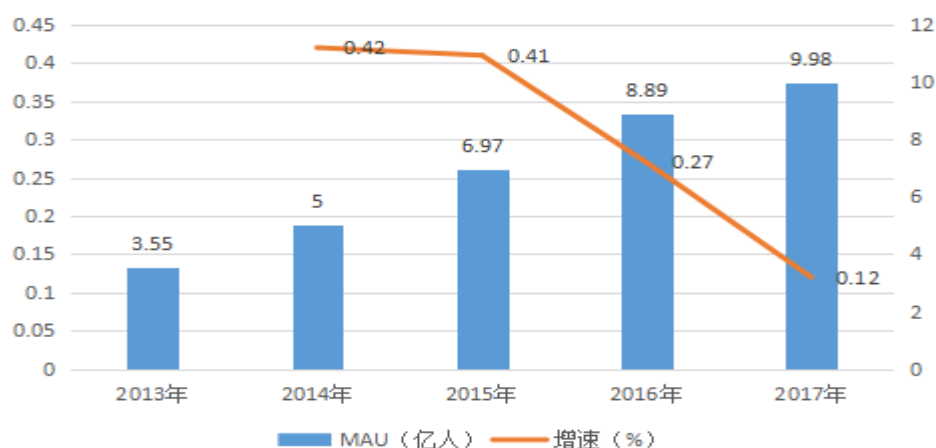


图 1 微信已成为国内最大的移动通讯工具  
 图片来源：中国产业信息 <http://www.chyxx.com>

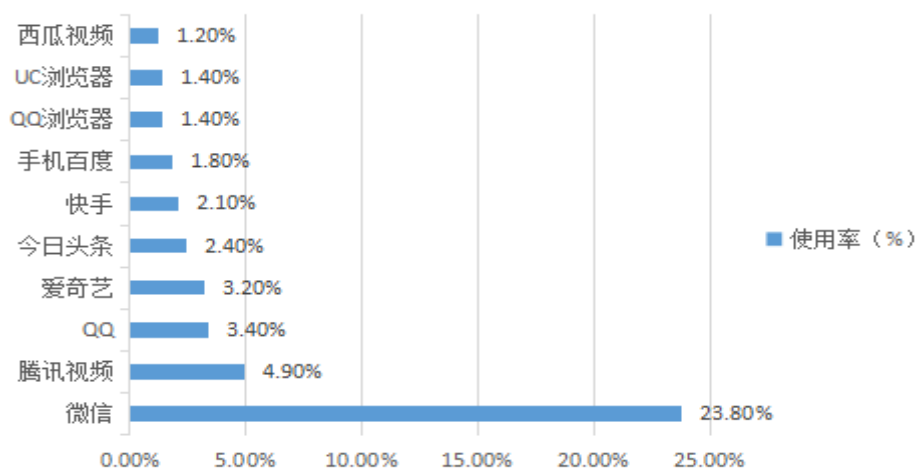


图 2 微信占据 2017 年时长 TOP 10 移动应用第一  
 图片来源：中国产业信息 <http://www.chyxx.com>

然而，在中国微信用户使用人数持续增长的情况下，关于微信 APP 的宣传广告却很少，大多数中国人主要通过微信与朋友聊天、完成网络购物移动支付、查看朋友圈状态等。尽管很多泰国人知道微信 APP 这款手机软件，但很少使用，故微信在泰国的用户并不多。因此，本人旨在通过调查研究“四川微信 APP 用户使用反馈以及数字化整合营销与四川微信 APP 用户使用反馈之间的关系”，对数字化整合营销传播下微信在海外市场策略计划的完善提出一些思考与建议。

## 二、研究目的与意义

### （一）研究目的

本文选取四川微信用户作为研究样本，结合数字化整合营销相关理论以及科特勒的“5A 架构理论”来进行梳理和分析“数字化整合营销与四川微信 APP 用户使用反馈之间的关系”，以期进一步完善微信市场策略发展计划，为微信的海外营销传播提供合理有效的优化建议，以及为其他应用程序的营销传播提供参考和借鉴。

### （二）研究意义

理论意义：丰富和完善微信 APP 其自身的营销传播的理论研究，在关于微信的研究中，国内学者多偏向于将微信作为营销工具，而对微信自身的营销传播与微信用户的反馈的研究比较少。本文旨在研究数字化整合营销与四川微信 APP 用户使用反馈之间的关系，通过分析两者之间的关系，为微信的海外市场营销传播提供合理有效的理论依据。

实践意义：本文通过对四川微信 APP 用户使用反馈以及数字化整合营销与四川微信 APP 用户使用反馈之间的关系进行分析总结，为优化海外市场的营销传播提供合理有效的建议，且为其他同类型 APP 的海外市场营销提供十分重要的意义和参考价值。

## 三、国内外研究现状

### （一）相关基础理论研究

#### 1、数字化整合营销传播（Digital Integrated Marketing Communication）

整合营销传播是(Integrated Marketing Communication)简称 IMC,兴起于美国。其核心是以消费者为出发点和落脚点,并强调关系为先,综合使用各种传播渠道和形式,对准传播目标进行产品信息及商户形象和品牌传播,使用户心中树立产品品牌形象,并通过商户与用户(消费者)的双向沟通及时吸收用户反馈信息,以此进行合理的调整营销策略,最终完成品牌的建构。整合营销传播主张把一切企业的营销和传播活动,如:广告、促销、公关、客服、直销等,进行一元化的整合重组让消费者从不同的信息渠道获得对某一品牌的一致信息,以增强品牌诉求的一致性和完整性。

现如今在数字传播时代,数据价值逐渐被挖,大数据技术开始打破原有思维推动了整合营销传播模式的全部升级与转型,演化出以“数字”作为核心生产要素的新型业务模式-数字化整合营销传播,企业的营销和传播活动也演变为数字广告、数字客服、数字促销、数字公关、数字直销等。

#### 2、科特勒《营销 4.0》-5A 架构

在《营销 4.0》中科特勒将顾客体验路径重新修改成为 5A 结构,分为:认知(aware)、诉求(appeal)、询问(ask)、行动(act)和倡导(advocate)。(来源:<https://baijiahao.baidu.com/s?id=1589355522630231102&wfr=spider&for=pc>)

认知阶段:顾客被动接受信息,顾客从过往经验、营销传播或来自其他人的倡导,被动接受品牌讯息,这是进入整个顾客体验路径的大门,也是品牌知名度(Brand awareness)主要的来源。

诉求阶段：增加顾客的品牌印象，顾客认知到几个品牌之后，会处理接触到的讯息，创造短期记忆或扩大成长期记忆，结果只对少数几个品牌印象深刻。

询问阶段：适度引发顾客的好奇，好奇心的驱使下，顾客会积极从亲友、上网搜寻、或直接间接从品牌搜集信息。在询问阶段，顾客体验路径由个人转为社群，品牌诉求必须获得其他人认可，才能继续出现在顾客体验路径上。

行动阶段：让顾客参与互动，如果顾客在询问阶段被进一步的信息说服，就会决定采取行动。想要让顾客采取的行动并不是只有购买。在购买之后，顾客会透过消费、使用以及售后服务，进一步与品牌互动。当顾客有问题和抱怨时，品牌必须密切注意，并确保问题获得解决。

倡导阶段：让顾客成为品牌传播者，随着时间经过，顾客可能会发展出对品牌的强烈忠诚度，这会反映在顾客保留率、重复购买，以及向其他人宣扬品牌的好处。积极的倡导会在没有人询问的情况下主动推荐，成为品牌的传播者。但最忠诚的拥护者则是在有人询问或出现负面宣传者时才会发声，因为他们觉得自己有义务推荐或捍卫自己喜爱的品牌。



图3 科特勒 5A 架构流程

图片来源 <https://baijiahao.baidu.com/s?id=1589355522630231102&wfr=spider&for=pc> (2019-2-21)

### 3. 微信 5A 架构解读及现状

在《营销 4.0》中科特勒将顾客体验路径重新修改成为 5A 结构，分为：认知 (aware)、诉求 (appeal)、询问 (ask)、行动 (act) 和倡导 (advocate)。微信的营销主要是先通过媒介新消息或者以广告的形式，增加微信的品牌知名度先让消费者被动接受微信信息，消费者在接收到微信传播信息之后，对微信产生印象，在适度引发消费者的好奇之后，消费者会积极从亲友、上网搜寻、或直接间接搜集和微信相关信息，通过传播产品信息之后，将会刺激消费者下决定使用微信，成为微信用户，最后通过与用户的及时互动沟通获取反馈信息，根据信息对营销策略进行灵活的改变，同时用户也会发展出对微信的强烈忠诚度，向其他人宣扬微信的好处，向他人主动推荐，扩大微信的影响力，创造更多的用户；消费者在询问和行动阶段时是最容易受到影响的，消费者会尽可能的吸收外界讯息，所以微信在营销上可以增加微信的偏好度，引发消费者的好奇心，让消费者进入询问阶段；在消费阶段和使用阶段，给用户提供更好的消费体验，微信就能成为消费者偏好的产品。有时候，消费者很可能在体验路径中跳过某些阶段，例如：刚开始并没有被微信所吸引，但是因为朋友使用或者朋友推荐就直接使用微信了，这就是消费者跳过了诉求阶段，直接从认知阶段发展到询问阶段，进而直接使用微信 APP，新的消费者体验路径中也可能是迂回前进的，消费者到了询问阶段时，向朋友提出疑问，可能会获得另外一个产品，然后在自己的认知范围又增加了新的选项，或者去研究另外一个产品或者更换使用另外一个产品，进行更多的产品研究。

## （二）国内研究现状

在微信成为中国即时通讯的典型代表时，微信也成为各类专家学者研究的热门课题。党昊祺在《从传播学角度解构微信的信息传播模式》中提了对微信在功能方面、广告推广模式和传播特性方面进行研究，分别对微信的控制、内容、媒介和受众等方面进行分析研究，探讨微信的信息传播模式；周蕾在《微信广告传播力研究》中分析微信广告的传播优势，提出微信广告的传播价值，最后提出微信营销传播需建立在用户的传播欲基础上；戴慧祺在《移动互联网时代背景下的微信营销探究》中提出微信营销比传统营销方式更适合移动互联网背景下的企业营销；周爽《浅析微信公共平台营销技巧》中提出微信营销不仅是信息传输途径的改变，而是营销思维的转变，营销者应从用户角度出发，注重营销技巧，专门性地进行营销活动。

综上所述，国内对微信的研究大多局限于研究微信的营销策略、技巧及传播力方面，关于微信数字化整合营销以及对于微信 APP 用户使用反馈方面的研究少之又少。

## （三）国外研究现状

在国外对于微信的研究则相对较少，Xinyua zhen 在《The Communication Strategy of Wechat Application and The use of Consumers in the People's Republic of China and Thailand》中主要研究微信的营销策略；Raymond Pun 《WeChat in the library: promoting a new virtual reference service using a mobile app》中主要研究微信作为一种营销工具，探讨其实用性大小；Chunmei Gan 和 Weijun Wang 《Uses and gratifications of social media:a comparison of microblog and WeChat》中主要是对比研究微博和微信作为社会媒介的区别与异同。

# 四、研究思路与方法

## （一）研究思路

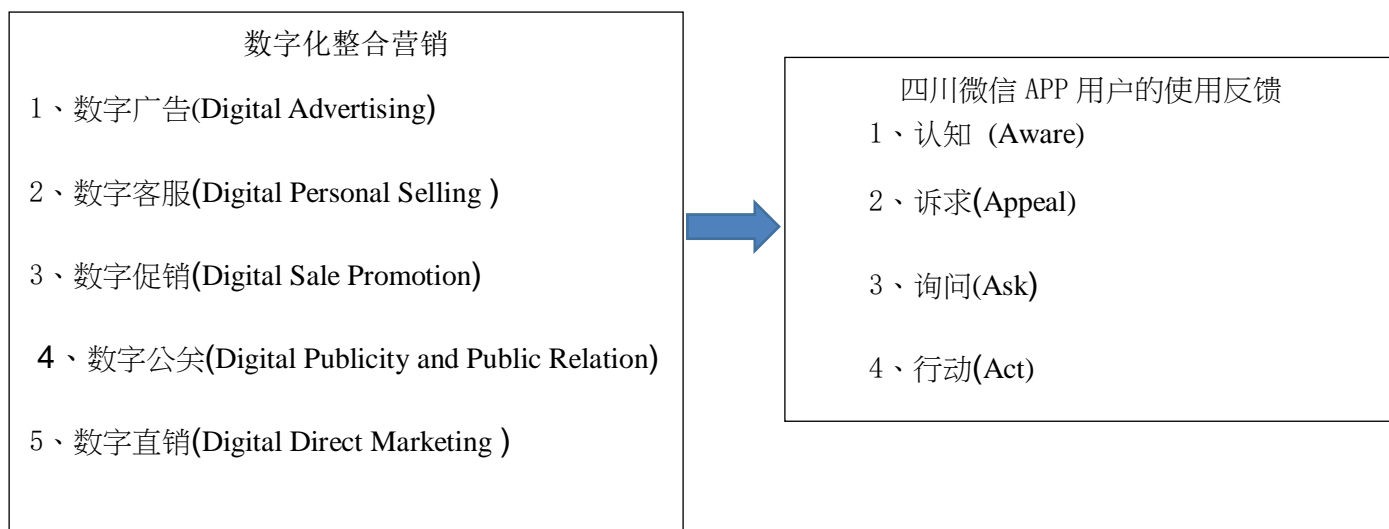


图 4 研究思路图

## （二）研究方法

### 1、调查样本

本文采用定量研究方法 (quantitative research)，研究调查样本是居住在四川省且是微信 APP 的用户，在调查过程中不能确定四川省具体的微信 APP 用户人数，因此，笔者选用分层卡方 (Cochran-Mantel-Haenszel) 检验(Cochran, 1977)，其检验结果中 P 值为 0.05，则需收集不少于 385 份调查问卷，为了保证所收集资料的完整性及数量，笔者分发了 500 份调查问卷，运用

配额抽样 (Quota Sampling)方法,将调查总体样本按照性别进行分层,规定女性和男性样本数额各 250 份,笔者最终回收有效样本数为 450 份。

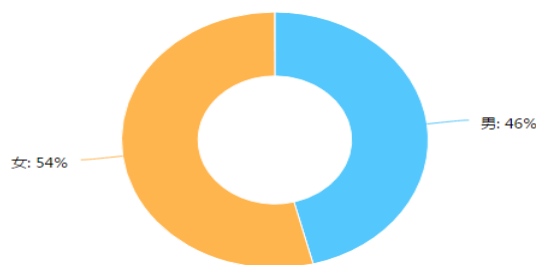


图 5 调查问卷样本男女比例

## 2. 研究工具

本文主要是通过调查问卷(Questionnaire)来收集相关资料,调查问卷主要内容是根据查阅相关文献、书籍、期刊、以本专业的研究人员及专家学者的相关理论来设立调查问卷,主要是运用 Nattha Changshutod 的《整合营销传播(Digital Integrated Marketing Communication)》(Nattha Changshuto,2558)、Atthapol Wutthisakanas 的《Digital Marketing Communication and Customers Decision Making on Online Messenger in Bangkok District》(Atthapol Wutthisakanas,2560)中关于数字化整合营销的思路来设立关于数字化整合营销方面的调查问卷;运用《营销 4.0》中科特勒将顾客体验路径的“5A 结构”(来源:<https://baijiahao.baidu.com/s?id=1589355522630231102&wfr=spider&for=pc>)、赵岩的《科特勒顾客价值理论及其研究发展》(赵岩,2013)中关于顾客体验路径的思路来设立关于四川微信(wechat)APP 用户的使用反馈方面的问卷内容;笔者对问卷进行测试,对测试结果进行效度(Content Validity)和信度(Reliability Test)分析且经过专业人士的检查,其中,变量数字化整合营销的克隆巴赫系数值(Cronbach's Alpha)为 0.953;变量微信 APP 用户的使用反馈的克隆巴赫系数值(Cronbach's Alpha)为 0.888,这表示调查问卷信度良好,因此本调查问卷具有较高的可靠性和有效性。本调查问卷主要分为 3 部分,如下所示:

第 1 部分主要是关于调查对象个人基本资料的相关问题,采用封闭式提问,每个问题后面给出若干个选择答案,让被调查对象进行单项选择,一共为 6 道题;

第 2 部分主要是关于调查对象对数字化整合营销方面看法的相关问题,采用封闭式提问,一共为 20 道题,采用里克特量表(Likert scale)的等级量表,将选项设置为 5 个等级;

第 3 部分主要是关于调查对象对微信 APP 用户的使用反馈的相关问题,采用封闭式提问,一共为 22 道题,采用里克特量表(Likert scale)的等级量表,将选项设置为 5 个等级。

## 3. 数据分析方法

本论文主要使用 SPSS 社会科学统计软件包系统对调查数据进行统计和分析,采用描述性统计方法,包括百分比、频数分析、均值和标准差等,运用皮尔森相关系数对数据进行分析,最后得出研究结论。

# 五、研究结论与建议

## (一) 研究结果

关于数字化整合营销与四川微信 APP 用户使用反馈之间的关系的研究结论如下:

### 1. 问卷样本人口统计学特征

本次答卷总数量为 450 份,答卷者大部分性别为女性,其数量为 242 人,占比为 53.78%;年龄主要集中于不超过 25 岁,占比 56.22%;婚姻状况大部分为单身,其数量为 301 人,占比 66.89%;教育水平主要集中于大学本科,其数量为 249 人,占比 55.33%;收入水平主要集中于低于 2000 元,其数量为 154 人,占比 34.22%以及职业主要集中于学生/肄业生/大学生,其

数量为 141 人，占比 31.33%

## 2.关于微信 APP 用户的使用反馈

四川微信 APP 用户使用反馈数据结果分析，如表格 1 所示：

表 1 四川微信 APP 用户使用反馈数据均值) Mean(和标准差)S.D.(

反馈	均值	标准差	频率
认知(Aware)	2.65	0.70	有时
诉求 (Appeal)	3.31	0.74	有时
询问(Ask)	2.57	0.73	有时
行动(Act)	2.96	0.57	有时
倡导(Advocate)	3.19	0.83	有时
总计	2.94	0.53	有时

根据表 1 图表调查样本数据显示四川微信 APP 用户使用反馈频率为有时，其中平均用户使用反馈频率占比最多的是对于微信的诉求，其次分别是对微信的倡导、行动、认知以及询问；根据“5A 架构流程”具体内容，用户使用反馈分析如下：

认知阶段：根据调查问卷数据显示，均值最高的是“您的朋友及认识的人经常提及微信 APP”；均值最低的是“您在微博上看到微信 APP 的广告”。

诉求阶段：根据调查问卷数据显示，均值最高的是“您经常长时间使用微信 APP”；均值最低的是“你会考虑在微信 APP 上看见的商品及服务”。

询问阶段：根据调查问卷数据显示，均值最高的是“您会比较信任微信 APP 上提供的商品及服务”；均值最低的是“您在使用微信 APP 过程中遇见任何问题将会和微信团队联系以便解决问题”。

行动阶段：根据调查问卷数据显示，均值最高的是“您会向您认识的人推荐使用微信及其功能”；均值最低的是“您会电话微信的 Wechat out 功能”。

倡导阶段：根据调查问卷数据显示，均值最高的是“您会点赞别人的朋友圈动态或是转发公众号文章”；均值最低的是“您会推荐您的朋友或是认识的人使用微信”。

## 3.数字化整合营销

四川微信 APP 用户对数字化营销传播的认同程度数据结果分析，如表格 2 所示：



表 2 四川微信 APP 用户对数字化营销传播的认同程度数据均值) Mean(和标准差)S.D.(

数字化营销传播	均值	标准差	认同程度
数字广告)Digital Advertising)	3.11	0.75	中等认同
数字客服)Digital Personal Selling )	3.47	0.63	很认同
数字促销)Digital Sale Promotion)	3.46	0.63	很认同
数字公关)Digital Publicity and Public Relation)	3.35	0.71	中等认同
数字直销)Digital Direct Marketing )	3.53	0.70	很认同
总计	3.39	0.61	中等认同

根据表 2 图表调查样本数据显示四川微信 APP 用户对数字化营销传播认同程度为中等认同，其中均值最高的是数字直销方面，其次是数字客服、数字促销、数字公关及数字广告，每方面具体信息如下：

数字广告：根据调查问卷数据显示，均值最高的是“微信广告投放选择以微博、QQ 及其他网页上为媒介，能够全面的进入目标群体客户，提高微信知名度”；均值最低的是“插播在其他网页上的微信广告，能够让您马上对微信产生兴趣”。

数字客服：根据调查问卷数据显示，均值最高的是“微信及其第三方服务的客服咨询能够更加促使您产生使用微信 APP 的动机”；均值最低的是“微信团队能够帮助用户解决微信使用中的一些问题，能够建立微信与用户之间良好的关系。”

数字促销：根据调查问卷数据显示，均值最高的是“微信满减优惠促销活动，例如：微信支付满 20 随机立减优惠，能够促使您更多的使用微信 APP ”；均值最低的是“通过微博及 QQ 或其他社交软件进行相关营销活动，例如：在微博上关于微信话题讨论、QQ 空间相关微信动态，能够很好地吸引您使用微信 APP”。

数字公关：根据调查问卷数据显示，均值最高的是“过腾讯视频、优酷、爱奇艺等互联网媒体平台上发布的相关资讯，例如：使用微信登陆腾讯视频、使用微信登陆优酷等，能够促使您微信服务产生兴趣”通；均值最低的是“连续地微信公关推广，能够为微信打造一个良好的形象”。

数字直销：根据调查问卷数据显示，均值最高的是“微信有助于我们有效的和别人沟通且及时得到别人的反馈”；均值最低的是“QQ 邮箱的邮件推送到用户微信上，使您更加忠诚于使用微信应用程序”。

#### 4.检验研究假设结果

运用皮尔森相关系数来对提出的假设-数字化整合营销传播与四川微信 APP 用户使用反馈之间存在联系进行检验分析总结，具体内容如表格 3 所示：

表 3 数字化整合营销传播与四川微信 APP 用户使用反馈之间关系图示

数字化整合营销	微信 APP 用户使用反馈综述		
	r	Sig	关系程度
数字广告	0.50	0.00	中等
数字客服推销	0.52	0.00	中等
数字促销	0.54	0.00	中等
数字公关	0.50	0.00	中等
数字直销	0.51	0.00	中等
总计	0.60	0.00	中等

根据表 3 图表调查样本数据分析显示，数字化整合营销传播每个方面与四川微信 APP 用户使用反馈之间关系程度为中等关系，均值最高的是数字促销方面，其次是数字客服推销、数字直销、数字广告和数字公关。

## （二）研究结论

1. 四川微信 APP 用户使用反馈频率为有时，其中平均用户使用反馈频率均值占比最多的是对于微信的诉求，其次分别是对微信的倡导、行动、认知以及询问；在诉求阶段，其均值为 3.31，其原因是微信 APP 作为一款手机聊天软件，迅速被社会大众所接受认可和喜爱，已经成为人们日常生活中最常见的聊天软件，该结论与《中国产业信息》调查中，微信已成为国内最大的移动通讯工具内容相一致；在倡导阶段，其均值为 3.19，其原因是人们主要通过微信发送图片、文字、语音等信息，增加了社会大众的互动分享的机会，这与《中国产业信息》调查中，在各大手机应用市场下载排行中，微信排名第一内容相一致；在行动阶段，其均值为 2.96，其原因是在市场上与微信相类似的产品也是有增无减，因此用户在使用之前会考虑哪一个产品能够符合其自身需求，这与景开（2015）在《微信广告研究》中提到的“微信的竞争对手有增无减，米聊、陌陌等与微信相似的二十多个产品，它们遍布在各个智能手机的应用商店，且纷纷加入了社交功能，各产品用户数量增长迅速，是微信强有力的对手”内容相一致；在认知阶段，其均值为 2.65，其原因是因为微信依托腾讯拥有先天良好的用户群，微信也成为人们生活中必不可少的话题，因此用户被动接受信息，从过往经验或其他人的倡导过程中接受到微信的讯息，形成了对微信的认知，这与张姝（2013）在《微信成功的原因及其意义分析》中提到的“微信 APP 运用病毒式营销，给用户营造出一种没玩过微信就落伍的感觉，从而让微信，迅速占领人们视线”内容相一致；在询问阶段，其均值为 2.57，其原因是用户在下决定使用微信 APP 之前，会直接或间接搜集和微信上提供的服务以及尽可能的了解关于他人对微信讯息，这也与郑思远（2016）在《微信营销模式分析》中提到的“微信运用口碑式营销模式，通过已使用微信的用户将其使用心得讯息发布出来，吸引更多的潜在用户，增强微信 App 的可信度。”内容相一致。

2. 四川微信 APP 用户对数字化营销传播每个方面总认同程度为中等认同，其中对数字直销、数字客服及数字促销认同程度为很认同，在数字直销方面均值为 3.53，其原因是微信能够帮助我们和别人有效的进行沟通，这与向北（2012）指出为微信的私密性较强这个特点能够是受众的接受度较高，双方进行交互的可能性很大，能够实现高质量的信息传播内容相一致；在数字客服方面均值为 3.47，其原因是微信及其第三方客服服务能够促使用户产生使用微信的动机，这与严星（2014）指出微信及其第三方客服平台正在逐步受到众多企业青睐，被用来建立一对一交互的客服中心，满足用户的需求内容相一致；数字促销方面均值为 3.46，其原因是在微信及其第三方服务平台上所提供的“满减优惠”“领取红包”等促销活动能够吸引用户更多地使用微信，这与张演辅（2017）指出在微信平台开设的店铺满减促销活动，能够引导消费者更多的访问平台内容相一致；在数字公关和数字广告方面的认同程度为中等认同，两者的均值分

别为 3.35 和 3.11，其原因是微信已成为人们日常生活中最常见的聊天软件，所以现阶段并没有太多关于微信广告和公关方面的推广，这与 Xinyua zhen (2015) 指出在中国微信用户使用人数持续增长的情况下，关于微信 APP 的宣传广告却很少内容相一致。

3. 运用皮尔森相关系数来对提出的假设进行验证，得出的结论是—数字化整合营销传播与四川微信 APP 用户使用反馈之间关系的程度为中等关系。这与 Chuleekorn Ketthong (2010) 在《数字化整合营销传播对曼谷消费者购买在线网络产品服务影响探析》中指出数字化整合营销传播活动是会影响消费者下决心购买在线网络产品服务的决策过程内容相一致。

### (三) 对策及建议

#### 1. 本次研究的对策及建议

数字化整合营销方面：

微信促销活动等能够促使用户更多的使用微信 APP，因此，腾讯公司应该继续推出促销活动维持与顾客之间的关系；同时应通过其他社交软件进行相关营销活动，推送关于微信的相关动态，挖掘更多的新的用户，吸引更多消费者对微信 APP 的关注与使用。

微信的第三方客服咨询能够促使用户产生使用微信 APP 的动机，但在微信团队及微信客服方面，微信团队主要是引导用户进行自助解决微信使用中常见问题答疑及微信进行反馈问题，在这方面微信不能马上帮助用户解决问题，而是需用户自行解决问题。因此，腾讯公司在微信数字客服方面，应该及时提高客服接待能力，或者将客服往智能方向发展，完善客服咨询，及时高效的解决用户需求，建立微信与用户之间良好的关系。

在数字直销方面，现在处于全微信时代，微信很大程度上帮助我们有效地和别人交流沟通且及时得到他人的反馈，在通过邮件营销方面，微信可进一步通过邮件推送微信 APP 信息，推送相关微信的用户活动，通过大数据或者客户信息更加精准触达用户，减少微信 APP 直接与用户沟通的中间流通成本，快速覆盖更多的目标客户。

在数字广告、数字公关方面，微信已拥有庞大的用户群，微信应选择合适的线上广告投放方式，选择不同的营销推广渠道和运作手法，扩大微信的影响力。

用户使用反馈方面：

用户对微信 APP 在诉求、倡导方面的反馈频率占比较高，而在行动、认知及询问阶段反馈频率还需进一步提高，因此，应该让用户多参与微信的互动，了解关于微信上相关的服务与功能之后，下决心使用微信，成为微信用户。

#### 2. 未来研究展望

笔者在此次的研究者中主要研究了数字化整合营销传播与四川微信 APP 用户使用反馈之间关系，范围主要为四川省的微信用户，在下一次的研究中将拓展研究范围的深度和广度，拓展至全中国及海外市场。

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## 交互设计理念在儿童药品创新包装设计中的应用研究

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### 摘要

儿童的身心健康一直都是家庭和社会关注的焦点。关于儿童用药,比较常见的是患儿拒绝用药从而导致用药剂量不足、耽误病况,药品浪费或是儿童在用药的过程中误食药物等问题。改善儿童药品包装设计,帮助儿童克服用药心理障碍,是对这一特殊弱势群体的人性化关怀。要做到这一点,药品生产商除了需要在药品的剂型配方和口感上做出调整外,药品包装设计也要满足儿童情感需求及趣味性设计的研究。本文分析了我国儿童药品包装的现状问题和包装的发展趋势,明确儿童药品包装设计的视觉传达设计原则。从药品消费者情感心理需求出发,细致研究交互设计理念在儿童药品创新包装设计中的应用和设计方法。本文研究的创新点在于:笔者先对儿童用药心理和感官行为进行分析,通过搜集分析数据和测试实验得出,儿童患病时的心理特征会变得敏感、恐惧焦虑;易表现出挣扎和拒绝用药的行为。研究表明,五种感官在对儿童用药过程行为中影响最大的是视觉、味觉和嗅觉,其次是触觉,听觉影响最低。通过对儿童心理分析、认知分析,正确把握儿童用药心理和感官行为对药品包装设计的影响,将包装的结构造型设计成富有童趣的形象、色彩和外形,让孩子在服药时的抗拒心理最大限度的转化为互动体验、好奇、探索、游戏。通过包装在互动中产生的趣味性吸引儿童注意力并且帮助儿童积极用药、安全用药。这种与高科技技术相结合的创新型儿童药品包装设计既能准确传达药品信息,又能带来体验上的愉悦和快乐。本篇文章研究的意义是希望能够给儿童药品生产者和设计者一些参考,帮助他们解决当前设计及生产中遇到的一些问题。使产品适应于市场体制下的竞争,促使我国的儿童药品包装设计方面有更深层次的提高,为祖国的花朵带来更多的福音。

**关键字** : 交互设计理念、儿童药品包装、互动体验、人文关怀

### 1. 研究背景

中国是一个拥有 13 亿人口的大国,正是由于人口众多,中国人的生病看病问题在中国一直是家庭和社会极度关注的焦点。而中国的药品质量和包装设计一度令人担忧,随着时代的发展和人类需要的提高,药品除了保证质量安全外,药品的包装设计也越来越受到人们的关注和重视。药品的包装设计不仅仅只满足于安全性、可用性和稳定性等基本保障,同样要考虑到服药患者的心理和情感需求。尤其是儿童,因为目前在中国人口比例中儿童人数占有很大的基数,并且儿童是一个特殊的用药群体,其健康成长关系到一个家庭的幸福和国家社会的未来。但是在儿童用药的过程中出现了很多问题,最常见的问题是患儿抗拒药品的特殊味道而拒绝用药,从而导致用药剂量不足,耽误病况、药品浪费,更严重的是患儿可能会在好奇心的作用下误食或错用药品而危及生命健康。据统计,由于药品包装标签不清、包装相似或者药品形状相似,每年会导致 2.48% 的儿童患者误服药品而死亡。种种这些常见问题不但引起家长的重视,药品生产商和设计者也越来越关注,怎样才能帮助儿童克服用药心理障碍、用药困难以及安全服药,是药品生

产商和包装设计师需要研究的课题，特别是如何突破目前市场上为了降低印刷成本而设计陈旧的包装样式，或是药品之间盲目的模仿使药品之间相似度极高，如何以儿童用户为中心，调动儿童用药的积极性，同时针对儿童心理进行人性化设计成为了儿童药品包装设计领域迫在眉睫的研究课题。

而笔者作为一名设计师，通过对目前国内外儿童药品包装设计的研究调查发现，目前欧洲、日本等国在儿童药品包装设计上比较先进、药品包装设计具有一些游戏趣味性、图案卡通性，包装结构具有互动体验性等等设计特征，这些设计有利用帮助儿童积极用药（如图 1）。但通过对中国儿童药品包装市场现状的研究调查发现，大部分的儿童药品包装都存在一些问题，比如功能性匮乏、图案单一、包装设计结构过于简易,缺乏童趣,很难吸引住儿童这个特殊的消费群体的关注，没有真正的发现儿童的心理和行为需求（如图 2）。儿童的成长过程是一个较漫长的过程,不同的年龄阶段的儿童都会有不同的生理和心理特征。此次的研究对象为学龄前（3-7 岁）的儿童,他们无论是从生理和心理上都没有达到成熟,正处于初期发育阶段。儿童的思维方式、行为方式都不同于青年或成年人。因此,就需要改善市场上现有的儿童药品的包装设计,使得儿童药品包装设计符合儿童所处阶段的需求和行为方式，真正的达到以儿童的心理和行为需求为主的儿童药品包装设计。本文笔者将先对儿童用药心理和感官行为进行分析，通过搜集数据和分析数据，正确把握儿童用药心理和感官行为对包装设计的影响，然后针对性的提出情感体验与多感官交互设计理念运用到儿童药品包装设计的重要性，同时提出自己研究后的创新畅想---将交互设计理念和先进的科学技术运用到现代儿童药品包装设计中去，使儿童药品包装设计达到真正的以“以儿童用户为中心”运用交互设计理念中的人机互动和视觉、听觉、嗅觉、味觉、触感等感官影响这些方式,使得通过包装在互动中产生的趣味性吸引儿童注意力并且帮助儿童积极用药、安全用药。



图一 日本儿童药品趣味包装设计



图二 我国当前的儿童药品平庸的包装设计

## 2. 研究的目的是与意义

本文研究的目的在于通过对儿童用药心理和感官行为的分析,进一步的研究怎样设计药品包装设计更适合儿童,帮助儿童积极安全用药。同时对现在中国儿童药品包装市场现状出现的问题进行研究改善,将“以儿童用户为中心”的交互设计理念引入儿童药品包装设计中,

运用交互设计理念中的人机互动体验、多感官交互体验和情感交互体验等方面提出具体针对儿童药品包装设计的设计方式与方法,使得通过药品包装在互动中产生的趣味性、参与性吸引儿童注意力并且帮助儿童积极用药、安全用药。

### 论文研究的意义

1、通过对儿童用药心理和感官行为的深入分析,可以正确把握儿童用药心理和感官行为对儿童药品包装设计的影响程度,从而对儿童药品包装设计进行改善和提高,解决患儿因其药品包装问题而拒绝用药等系列问题,帮助儿童克服用药困难,进行积极主动高兴的安全用药,也附带减轻患儿父母家庭在此过程中的精神压力。

2、改善目前中国儿童药品包装市场上普遍存在的图案单一、包装设计结构过于简易,缺乏童趣性,平淡刻板等问题,同时改善以往忽视药品包装设计对患儿的心理影响,进一步提出改善药品包装的设计方式和人性化情感互动设计。

3、突破以往包装设计研究重心在于图形、色彩、结构材料和印刷等方面,在此基础上提出了将以人为本的交互设计理念引入儿童药品包装设计中去,深入挖掘交互式包装设计的核心内涵,探究其实现方法和如何具有更好的用户体验,同时本课题的研究为新的信息技术与包装设计更好的融合搭建了具有现实意义的桥梁。

## 3. 文献回顾

信息时代的商品包装设计,不仅要为消费者提供使用产品的便利,还应满足消费者精神层面的心理需求。而交互设计理念就是以满足用户需求为目标,能高度与用户需要保持一致,用户能从中获得满意且稳定的交互体验。而国外对交互设计的研究已经形成了一定的理论体系,并且对设计和用户体验的关系有了一定研究的成果。但专注于交互式包装理念的专著尚未发现。而本文的研究就是怎么样将交互设计理念应用到儿童药品包装设计中去,让儿童在用药过程中可以体验到快乐,从而积极安全的用药。所以笔者先对交互设计的概念和理论进行研究分析,交互设计的概念是交互设计又称互动设计,最初产生于用户和计算机界面的信息传递互动领域,其出发点是研究交流过程中人的心理和行为模式,并在此研究基础上,设计交互方式。简言之,交互设计是指人和人、人和物之间能够进行信息的沟通和交流的产品设计。从收集到的文献来看,在交互设计、用户体验领域比较享有盛名的有被誉为“交互设计之父”的阿兰·库柏(Alan Cooper)、美国的认知心理学家唐纳德·A·诺曼(Donald Arthur Norman)和交互设计领域的思想领袖 Jon Kolko 等。阿兰·库柏他本人所著的《交互设计精髓》是学习研究交互设计的入门著作,系统化的研究集中在产品设计的人性化及可用性上,其中最著名的有《The Design of Everyday Things》(中文名《设计心理学》)从设计的三个不同维度为视角,阐述用户本能、行为、反思层面产生情感的作用和重要性对设计的影响。[1]唐纳德·A·诺曼将用户体验视为核心,他的观点是一个设计要想得到用户的肯定与喜爱,就必须深入了解消费者内心的感受,让用户带着愉悦的心情去选择和使用产品。而美国设计师 Jon Kolko

在他的著作《交互设计沉思录》中将当代设计理论和研究成果融入到了交互设计的实践中，探讨了人与科技之间的联系，提出交互设计作为“以人为本”的基本概念，当中就有具备交互设计理念的包装设计案例。[2]通过对这些相关理论书籍的研究也对本文研究交互式理念在儿童药品包装设计中的应用具有很大的帮助[3]。

目前国内外的艺术设计领域里，越来越多的设计师和学者开始关注交互式理念的包装设计。许多发达国家都已经完成了针对儿童患者的药品包装设计市场化的细分，尤其是美国、日本、德国、瑞士等发达国家。例如比较优秀的儿童药品包装设计为日本大木制药出品的 Hello Kitty 儿童复合多维元素片。(如图 3)药盒内有附赠的 30 枚色彩缤纷、活泼可爱的 Hello Kitty 主题贴纸。儿童每吃一颗药丸，便可撕下一枚贴纸作为奖励；贴纸旁对应的数字既能让儿童和家长知道已服药的天数，对儿童也是十分有吸引力的互动体验。还有美国设计师设计的一款以动画片卡通图案为主的药品包装设计，为了是可以让患儿短时间内能对药品产生兴趣，避免了对吃药的抵触心理。



图三 日本大木制药生产的 HELLO KITTY 儿童药品包装

而我国儿童药品生产企业对药品包装设计的重要性还认识不足。多数企业以降低成本为首要考虑因素，将药品包装承包给印刷厂设计制作，致使儿童药品包装长期沿用陈旧的样式，或盲目模仿而致相似度越来越高。市面常见的儿童药品包装普遍存在图案单一、包装设计结构过于简易,缺乏童趣性,平淡刻板等问题。通过对国内相关资料的收集整理，交互式包装设计在我国的研究相对较少，虽然在包装消费市场也能看到极少一些具有交互理念的包装设计，但是，大多数设计对交互式包装设计的认识停留在国外优秀案例的分享和借鉴上，没有形成科学的基于用户体验的交互式包装设计的研究方法以及交互理念对于包装设计的影响没有系统化的研究。所以针对上述搜集到的文献资料和设计调研，笔者将这些文献资料作为研究的理论支撑，同时提出自己的研究创新点，就是“以儿童用户为中心”为出发点，先深入研究儿童用药心理特征和多感官行为，在正确把握儿童这一特殊用户的需求后，进一步研究如何将交互设计理念运用到儿童药品包装设计中去，总结出适应儿童药品包装中交互设计运用的方式方法，使这套理论方法可以满足儿童对药品包装的需求和好感。

## 4. 研究框架与方法

### 论文研究的内容

基于对交互设计和用户体验相关基础理论的研究后，引出研究的主要内容----交互式理念在在儿童药品创新包装设计中的应用研究，在“以儿童用户为中心”的基础上，通过对儿童用药心理和感官行为的调查分析和研究，对搜集来的数据信息分析，准确把握儿童（3-7 岁）患病时的心理特征、用药心理以及感官行为。在明白了患儿的心理特征



和用药需求的基础上,去研究探讨交互式包装理念中哪种设计形式和方式更适合儿童药品创新包装设计,哪种包装样式和交互形式更能积极帮助和促进儿童安全积极用药。并通过对前沿技术的研究和分析,找到与其交互式包装设计的结合点应用到儿童药品包装设计中的新方式和可能性畅想。

## 5. 论文研究的方法

### 5.1 文献研究法

通过对与本文相关的文献、资料的搜集和分析,学习理解交互设计、体验设计以及前沿科技领域的新技术,对相关理论与方法进行归纳对比,为验证研究结论提供理论依据。同时进一步探究各学科以及新技术应用于儿童药品包装设计的可能性和方法,并总结出自己的创新理论成果。

### 5.2 用户调查访谈法

为了满足儿童用户对药品包装各个方面的需求,首先要做的就是用户调研,笔者选定了 20 户家庭中有 3-7 岁以下的儿童家庭进行走访访谈,访谈内容主要是针对儿童用药困难的原因、儿童患病时的心理特征以及用药时的感官行为特征进行访谈调查,同时搜集家长对当前市场上的儿童药品包装的看法和意见。为了更好的搜集准确的数据信息,笔者还专门对 2 名儿童医生进行面对面访谈,主要从医学和科学的角度去搜集儿童患病时的心理特征、用药心理和感官行为。

### 5.3 参与观察试验法

在对儿童用户调查访谈的基础上,笔者本人亲自参与到测试研究对象中,具体方式是笔者选定一个幼儿园,选择 3 岁小班儿童一班 15 个人,4 岁中班儿童一班 15 个人,5-7 岁大班儿童一班 20 个人分别进行测试,测试的内容是笔者事先准备好的四款儿童药品包装设计,第一个是包装简易,图案简单的药品包装。第二个是带有一些卡通人物和游戏人物图案的药品包装设计。第三个是包装结构具有一定的游戏交互互动体验的药品包装设计。第四个是药品包装里附带一些贴画奖励的包装设计。将这四款不同的儿童药品包装让不同年龄的儿童进行选择试验,测试出哪种药品包装形式更容易让儿童接受和喜欢,积极的去用药。

### 5.4 调查问卷法

问卷调查采用的方式是当面发放给儿童家长和当面收回,因为 7 岁前儿童年龄较小没有填写问卷的能力,而家长最了解自己的孩子的心理和行为特点,问卷总共是 100 份。问卷的内容是关于儿童感官行为体验的内容,因为无论是儿童还是成人,我们人类接受事务本源基本分为视觉、听觉、触觉、嗅觉、味觉这五个感官来源。而感官行为对于交互设计和互动体验是有直接影响的,通过问卷调查了解这五种感官行为中哪种对儿童的行为影响最大,也为将多感官交互设计理念应用到儿童药品包装设计中作为真实准确的理论依据。

## 6. 资料数据分析

### 6.1 用户调查访谈的结果分析

通过对 20 户家庭中有 7 岁以下的儿童家庭进行走访访谈,从对家长的访谈结果来看,家长普遍认为儿童用药困难的原因是儿童拒绝吃苦药,一般先给吃颗糖果,再顺势喂药,有的儿童甚至就是无论怎么哄劝都拒绝用药,而且儿童在患病时因为身体的难受就会大哭大闹,情绪很难控制,只能先转移儿童的注意力,以拿一些玩具和看一些动画片来缓解失控的情绪,之后等患儿情绪好转时再进行哄劝的喂药。根据家长访谈中谈到儿童用

药时的感官行为是多数儿童都是在先看到如果是药片而不是糖果时，就果断拒绝用药，或是喝苦汤药时闻到苦味就抗拒用药。在感官行为中的视觉、嗅觉、味觉对儿童用药过程中的行为影响比较大。同时家长反映当前中国市场上的儿童药品包装设计都过于简单和儿童药品之间的包装过于相似，希望儿童药品包装设计可以设计的更具童趣性，更多互动，希望让儿童看到药品包装时就可以主动接近药品，产生好感。

为了更好的搜集科学准确的数据信息，笔者还专门对2名儿童医生进行面对面访谈，通过医学和科学的角度请医生分析儿童患病时的心理特征、用药心理和感官行为。分析结果是：儿童患病时的心理特征会变得敏感、恐惧焦虑、情绪波动大；用药过程中对于味苦、口感不佳的药品，易表现出挣扎和拒绝用药的行为。研究表明，儿童在生气或哭闹时，大脑的语言中枢就不愿接受太多的语言信息，家长的劝说言词往往是无效，而强行喂药只会让儿童抗拒，并形成心理阴影，反复的这种心理阴影就造成了儿童认知世界里的拒绝行为，即便下次吃的药不苦，儿童也会变成习惯性的拒绝行为。同时医生从科学的角度分析到目前儿童的药品中多数药物成分是中药，都有一股让人难闻的气味，成年人尚且不愿意服用，小孩子自然会抗拒。虽然很多儿童药剂都会加入香甜的味道或包上糖衣，目的就是减缓孩子这种抗拒心理。可是并不是所有药物成分的气味和味道都可以加入香型来掩盖，所以让儿童能从心理上接受、信赖所服用的药物是至关重要的，而药品包装设计则是让患儿从心理上接受药品的第一道屏障，如果药品包装可以设计的深受孩子喜爱，就可以先减缓孩子接受的抗拒心理，帮助患儿克服不好的情绪，使其积极快乐的接受用药。

## 6.2 参与观察测试结果分析

笔者本人亲自参与到测试研究对象中，具体方式是笔者选定一个幼儿园，选择3岁小班儿童一班15个人，4岁中班儿童一班15个人，5-7岁大班儿童一班20个人分别进行测试，测试的内容是笔者事先准备好的四款儿童药品包装设计，第一个是包装简易，图案简单的药品包装。第二个是带有一些卡通人物和游戏人物图案的药品包装设计。第三个是包装结构具有一定的游戏交互互动体验的药品包装设计。第四个是药品包装里附带一些贴画奖励的互动体验包装设计。

表一 观察测试结果分析

包装样式	测试人数	接受人数	百分比	程度
1、包装结构简易、图案单一	50	2	4%	低
2、包装结构具有童趣性、图案卡通人物造型	50	10	20%	中
3、包装结构设计具有游戏交互性	50	23	46%	最高
4、包装内的辅助件具有交互体验设计	50	15	30%	高

测试结果显示：四款药品包装设计中，第三款包装设计具有游戏交互性的药品包装最受孩子喜欢，接受人数最多，接受度占测试人数总比例的46%。其次是第四款包装接受喜爱度30%，第二款包装接受喜爱度20%，第一款包装接受度最低，只有4%。试验测试工具中的道具第三款最受孩子喜爱药品包装设计为设计师 Kim yeji 等人设计的 Dr. joy 儿童药品包装（如图4）。整板药片是3只可爱的小猪造型，小猪鼻孔和手掌以药丸代替。只需沿小猪身体轮廓虚线抠开即可形成支架让小猪站立在桌面上。“三只小猪”是儿童耳熟能详的经典故事，服药后患儿还可以把包装作为故事游戏的道具，获得快乐心理体验。从测试试验的结果数据研究表明儿童的天性是喜爱游戏的，在儿童

药品包装中融入游戏元素，能传递愉悦情绪，排遣用药压力。据统计，在服药过程中加入游戏环节，对于来缓解患儿服药困难的问题，其有效率约为 60 %。而包装结构设计具有游戏交互性是指包装的结构设计上可以让儿童进行折叠、伸缩、扭曲、拼插等形态改变，当服用药物完毕后可以成为孩子们喜爱的玩具重复使用，从而实现交互体验的快乐参与感。所以在对儿童药品包装设计中要更多的考虑到游戏互动性、图案造型童趣性、包装内附赠一些有趣贴图互动体验性等要素。



图四 Dr.Joy 儿童药品包装互动设计

### 6.3 调查问卷数据分析结果

问卷调查采用的方式是当面发放给儿童家长和当面收回。对回收回来的问卷进行检查并排除无效答卷，问卷总共是 100 份，有效问卷 89 份。问卷的内容是关于儿童感官行为体验的内容，分别为视觉、听觉、触觉、嗅觉、味觉这五个感官来源。而感官行为对于交互设计和互动体验是有直接影响的，通过问卷调查了解这五种感官行为中哪种感官对儿童的行为影响最大，为将多感官交互设计理念应用到儿童药品包装设计中作为真实准确的理论依据。通过科学 SPSS 数据统计工具来分析 89 份调查问卷（如下表）

表二 调查问卷数据分析结果

五种感官在对儿童用药过程中行为的影响程度	问卷数量	实际收回问卷有效数量	平均值	标准差	程度
视觉交互	100	89	4.76	0.131	最高
嗅觉交互	100	89	4.13	0.203	高
触觉交互	100	89	2.35	0.394	中
味觉交互	100	89	3.59	0.152	高
听觉交互	100	89	0.21	0.514	低

从以上 SPSS 数据统计分析结果显示：儿童在获取药品信息时，70 %的印象来自视觉眼睛，15 %来自嗅觉，12 %来自味觉，3 %来自触觉。也就说明五种感官在对儿童用药过程中行为影响最大的是视觉、嗅觉和味觉，其次是触觉，听觉影响最低。因为在用药过程中儿童是先通过视觉来捕捉信息，然后再靠嗅觉感知气味，为了避免误食药品一般不让儿童先去触摸。也就说明儿童药品包装通过图形、文字、色彩的设计等视觉元素传递信息。这些信息是否能被儿童理解接受，是否能引发他们的情感共鸣和兴趣，是儿童药品包装设计成功与否的关键。而嗅觉则具有引导情感特性，美好的气味能唤起人的食欲。如果可以通过药品包装散发出美好气味来刺激患儿嗅觉，可以使其产生愉悦的情感

反应,增加对药品的好感。而触觉是儿童探索世界、感知事物的主要手段,如果通过药品包装造型与材料的巧妙结合形成有趣的包装结构,可以吸引患儿参与触觉体验,从游戏玩耍中得到情绪上的放松,从而消除用药带来的恐惧焦虑的情绪。当然服药时产生的味觉也至关重要,毕竟孩子们最终是要通过味觉感知来决定下次服药的态度和意愿的。

## 7. 结论

本文研究以“儿童用户为中心”为出发点,通过访谈、试验、问卷调查等方式深入研究了儿童用药心理特征和多感官行为,再此研究数据结论的基础上,探讨适合儿童体验互动的药品包装设计方式和方法,同时提出笔者个人对交互理念运用到儿童药品包装的创新设计想法,研究结论如下:

1、五种感官在对儿童用药过程中行为影响最大的是视觉、嗅觉和味觉,其次是触觉,听觉影响最低。说明在儿童药品包装设计中,设计者要先考虑到儿童视觉的需求,设计图案时应选择一些卡通图案或是儿童喜爱的图形。其次使包装设计发出特定的声音或是散发美好的气味来吸引患儿的注意力,消除因生病带来的不安恐惧情绪。同时设计包装结构造型上要有一定的触觉互动体验,使患儿可以参与进来,让包装和患儿之间形成一种有效的互动体验乐趣。

2、通过对此课题的研究,笔者总结了交互式理念运用到儿童药品包装设计的方法:首先交互式包装设计始终要围绕用户进行,确定其过程是一个迭代的设计过程,迭代式设计是基于循环过程的设计流程,包括用户研究、用户测试、用户体验设计、概念设计、改进和完善设计、用户反馈等环节。设计的具体方式是:首先药品包装要地照顾患儿的心理,同时有利于增强患儿病愈的信心。其次药品包装设计特别要注重外包装的亲力和感染力,比如把分装的药瓶设计成积木类的游戏,也可以在瓶身上安装小装饰,让儿童在用药的时候能体验到游戏的快乐,从而消除对吃药的恐惧。最后药品包装设计要具有安全性,儿童药品可选用特种瓶盖,增加开启难度或延缓开启时间,不能让儿童轻易开启,或是瓶盖设计扭动时发出一些奇特声响可以提醒家长孩子在动药瓶,以便及时加以阻止,避免儿童误食药品。

3、儿童药品包装的交互设计还有很多研究与实践的空间,本文仅对相关概念、现状和发现问题、以及解决问题的方法做了研究与探讨,提出笔者个人的设计思想与改进方法,在此基础上笔者也提出自己对儿童药品包装创新设计的想法:就是随着高科技技术的发展,数字技术也为交互式包装设计的发展提供养料,通过和AR增强现实技术、NFC近场通信/RFID无线射频识别技术、柔性屏幕、无线电源技术、眼球跟踪技术等高科技结合,将这些技术运用到交互包装设计中,相信可以开启交互式包装设计的新领域。同时这些高科技技术也可以运用到儿童药品包装设计中,因为现在很多儿童出版物纷纷推出包含AR技术的儿童读物,其交互阅读的视听效果深受儿童喜爱,同时还有一些AR技术的儿童玩具游戏卡片等。笔者在此研究基础上提出结合AR技术的概念儿童药品交互包装设计的新想法,可以设计一款“卡通”AR技术的药品包装设计,家长可以帮助儿童用手机扫描药品包装盒上的卡通图形二维码,当扫描后即可在手机画面中出现语音会动的卡通人物造型,同时卡通人物用讲故事的方式讲述怎么用药,用药后可以恢复身体健康的正能量画面,让患儿在体验动画片似的娱乐中享受用药过程,这种将真实的包装和虚拟的图像完美结合到一起,就是交互式理念在儿童药品创新包装设计中的新应用。而如何将儿童药品包装和其他高科技技术紧密结合,设计出具有强大交互体验的创新包装设计将是我们未来继续研究探索的课题。

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## 泰国媒体市场竞争力性的回顾

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### 摘要

泰国是中国联系东南亚国家的中心国家，也是大湄公河次区域 (Greater Mekong Sub-region, GMS) 五国中历史、政治、经济、社会和文化等各方面发展最具连续性和发展水平最高的国家。泰国实行自由经济政策，外部市场的依存度较高。同时受美国、日本、韩国的文化影响较大。相对而言，中国与泰国一直维持稳定的友好关系，文化交往和贸易的基础比较稳固。“中泰一家亲”的观念已深入两国人民心中。一方面中华文化博大精深，具有很强的包容性和文化本身的强大魅力，能与泰国文化融合；另一方面，中国经济的不断增长和维护世界和平的国际形象，也是两国文化产品发展的外部条件，人数众多的泰国华人华侨正在不断拓展中国文化产品的市场空间，泰国持续的“华文热”为中国文化产品走进泰国市场和文化贸易的奠定了基础。

**关键词：** 中泰；文化产品；发展

### 一、 泰国发展文化贸易的产业基础

中泰两国除双方货物文化产品发展较快之外，文化产品市场十分广阔。潘少红(2003)历史上自泰国建立起第一个独立王朝素可泰以来，就有中国人开始移居泰国。此后，华人移居泰国从未间断过。吕小琴(2008)指出在与泰人几百年的和平友好相处中，华人把中国文化带入泰国，给当地带来了深刻的影响。泰国社会在一定程度上受到中国文化的浸染，尤其表现在文学、建筑艺术、宗教、医药学、科学技术、风俗习惯等方面。周媛、刘锡涛(2009)中国文化在泰国有广阔的市场基础，经过多年的发展，泰国文化产业取得了不斐的发展。在1997年亚洲金融危机中，金融危机与全球化竞争给泰国带来了双重压力之下，泰国将文化创意产业，纳入了进行经济复苏的战略。2001年2月9日他信执政，从政府层面上开始大力推动文化创意产业。2013年3月泰国文化部宣布完成了七大国家文化产业发展项目计划的制定工作。

#### (一) 五大国家发展战略项目

泰国文化产业这个概念的提出比中国晚了很多年，近些年开始重视，并列为国家发展战略，目前已完成七大国家文化产业发展项目计划的制定工作，其中包括五个国家发展战略项目和两个东盟战略项目。前五个项目内容如下：

1、全面发展各种行业项目，增加文化产品和文化资本的价值，建立创新文化产业发展服务和咨询中心；

2、创意文化城市项目，首先在8个府治和城市试行，包括清迈府、普吉府以及芭堤雅市等，在这些城市的未来发展中侧重于多元文化的认同，同时实现旅游业的多样化；

3、促进创意文化产业项目，增加国家在文化产业上的竞争潜力，进而为国家带来收益；

4、齐心发展地方文化项目，重点发展南疆地区的文化特色，学习南疆地方多元素的文化特

点;

5、生态文化发展项目,促进生态文化城市的发展,并在10个府治试行,包括春武里、罗勇、坤敬以及大城府等。

6、泰国大力发展文化产业,并制定了文化产业发展的各项战略方针与政策指导,同时给予资金上的大力支持,全力促进文化产业的发展。

## (二) 两大东盟战略项目

1、与东盟国家合作发展文化产业项目,运用文化实现东盟间关系的加强;

2、东盟文化窗户项目,发展与邻国接壤的五个府治,包括与缅甸接壤的清迈和清莱府、与老挝接壤的农开府、与柬埔寨接壤的沙缴和四色菊府,促使这些试点府治成为泰国文化产业进军东盟、获得进一步发展的窗口,为当地民众带来收益。

泰国在文化产业发展项目计划书中明确表示要与东盟国家加强合作,重视提升边境文化交流的作用。

## (三) 泰国传媒产业发展中的中国地位

泰国消费者不仅从电视、广播和平面媒体等传统媒体上收集信息,也从网站、社交媒体平台等线上新媒体上获取信息。特别在城市,新媒体对消费者的吸引力正在增强。

### 1. 电视产值居泰国媒体之首,而电视剧节目多来自中国

电视作为传统媒体因为趣味性强、传播便捷,收看方便,成为最受欢迎的媒体。在泰国电视线上媒体获取信息的民众占人口的三分之一。据普华永道发布的报告,泰国产值最高的媒体是电视广告,2016年达22.53亿美元。

泰国主要电视节目为本土自制,综艺节目较多。泰国近年来趋向从别的国家购买节目版权然后由本土制作,再加入许多本国的元素,有些节目则努力改进和适应观众的口味,变为人们有口皆碑的热门节目,电视播出后被观众在网上流传分享。杨保筠(1997)指出在泰国,中国电视剧较受欢迎,中国的多部经典影视剧作品泰国人最爱看的。有的影视剧作品时间跨度超过15年,如《包青天》、《仙剑奇侠传》、《黄飞鸿》、《画皮》、《还珠格格》、《流星花园》、《上海滩》、《西游记》、《武媚娘传奇》、《步步惊心》、《神雕侠侣》和《一眉道人》等作品。有些影视剧作品还掀起过收视热。相比之下,英语节目在本地受众并不多。

### 2. 本土纸媒最受欢迎,中文报纸销量较高

泰国以本土语言文字为主的媒体是纸媒,它是最受欢迎、盈利最高的媒体。报纸是泰国历史最久的媒体形式之一,也是最流行的业余读物,全国大约有40种当地报纸,在工作人群中最受欢迎(约占80.5%比重)。泰国的报纸主要是泰语和英语,曼谷邮报(Bangkok Post)是泰国的三份英语报纸之一,也是曼谷最主要的英语报纸。中文报纸也较流行,汉语借词占泰语30%左右。《世界日报》、《星报》和《京华中原联合日报》等是泰国的主要中文报纸。李欧(2010)一些优质华语的内容,根据当地用户喜好,也被翻成本地语言在纸媒中推广和销售。《京华中原联合日报》所刊发的新闻除了泰国国内新闻外,就是刊发与中国有关的新闻,并不定期地开设《中国新闻》、《港澳台》和《广东新闻》等专栏。吉原和男、王建新(2004)指出新闻来源有不少是中国中新社的文稿和图片,其基本立场倾向于中国大陆,比较多的是关于某华侨协会庆典及其他活动的报道、也有华人组织和个人慈善捐献等报道,基本上是将宗教与慈善、“仁爱”等中国传统文化元素有机地融合在一起,显示出旅泰华人的特点。该报的文化版面也很大,

主要是金庸、琼瑶、郭戈、倪匡、温瑞安、古龙、孙自筠等港台作家的小说与自传。此外就是不定期的刊登具有中国传统文化特色的“谜语”、“诗词”，还有“阅读”与“文艺园地”等消遣娱乐性的内容，港台作家的作品较多；其它的文化栏目则偏重于刊登大陆作家和文化人的作品，主要读者为中老年人。受泰国文化背景的影响，泰国读者更喜欢简单易懂、轻松搞笑的内容。《星暹日报》系汉语报纸，在办报风格和内容上与《京华中原联合日报》比较接近，但文化娱乐的内容略多，刊登港台和中国大陆的影视明星们的一些生活与动向，同时预告泰国主要电视台的节目。泰国也发行免费报纸，M2F 每天在曼谷大约散发 400,000 份，目前是泰国最受欢迎的免费报纸，内容与普通杂志非常接近。在泰国，书籍出版产值次于电视和网络，2016 年产值达 11.85 亿美元。杂志是另一种受欢迎的媒体，其通俗的语言和轻松的内容非常适合休闲阶层阅读。旅游杂志在男性读者中最受欢迎，美容杂志在女性读者中最受欢迎。杂志的不断发展是因为广告版面的销售额超过杂志的销售额成为收入的主要来源。拥有 1000 千多万泰籍华人是中国文化产品主要消费群体，并不断发展。泰国本土书籍以专业、教育类为主，电子书籍逐步增加出版者的收入。

### 3. 网络媒体及文学作品备受欢迎

泰国拥有 2600 万互联网用户，占人口的三分之一。根据 2016 年 1 月的《2016 年全球互联网、社交媒体、移动设备普及情况报告》显示，泰国互联网渗透率达到 57%，而受众每天上网时长高达 4.7 小时。Facebook 是常用的社交媒体，Facebook 上也有许多泰国字幕小组，《兰陵王妃》、《琅琊榜》、《三生三世十里桃花》等许多中国电视剧被无偿翻译。李芳英(2000)中国网络文学继承发扬了中国通俗小说的传统和古典文化精华，在泰国有较大的市场空间。泰国读者除很喜欢的古代言情之外，也喜好玄幻和侦探类的小说。2017 年 9 月中国网络文学国际传播全球研讨会泰国专场在曼谷召开。泰国三大出版集团之中的 B2S, Amarin, 以及 Ookbee, Siam, Hongsamut.com 等十余家主流数字和图书出版商参加。阅文集团旗下的《鬼吹灯》、《全职高手》、《将夜》和《双世宠妃》和《如果蜗牛有爱情》在泰国深受欢迎。刑晓姿(2011)泰国书店畅销书区域随处可见来自中国的网络文学作品。据泰国最大数字平台之一 Ookbee 介绍，中国网络文学作品的线上人气越来越高。谷歌是泰国唯一被广泛使用的免费搜索引擎，拥有将近 100% 的市场占有率。

### 4. 泰国媒体市场竞争激烈，以社区电台为主

泰国全国 60% 以上的人收听社区电台，除社区广播电台之外，泰国另有 524 家广播电台，在泰国的广播普及率达 98%。广播在泰国听众众多，有 300 余家调频 (FM) 与 200 多家调幅 (AM) 电台，有线电视和卫星电视在全国随处可见，FM103.75 泰国中文国际广播电台是一家 24 小时播出的调频电台，隶属于泰籍知名华人传媒集团，是泰国相对开放的一家中文电台媒体，泰国电台有一台至九台，比较出名的是三台和七台，由于两个台覆盖率不一样，三台在曼谷收视率高，相对来说，明星比较出名和受欢迎，得奖的明星也多于七台。七台在泰国除曼谷以外的地方（称外府）收视率较高。但针对贪腐时政批评、军人政权、皇权议题、司法审判以及其他敏感议题仍实施谨慎的制度。泰国主要的新闻通讯社有 National News Bureau of Thailand、ThaiNews Agency (TNA)、INN 新闻通讯社、Isranews Agency 和 InfoQuest。

为推进中泰文化产品的发展，本文对中泰文化产品的兴趣和接受模式的状况，采用文献分析法及文件调查进行了研究。共分为几个方面，内容分别为中泰文化产品消费状况、泰国民众



文化产品抑制因数等。

## 二、 中泰文化产品深度发展趋势预测

一国对外文化贸易受到本国发展战略、经济增长、人口和资源、市场扩大，以及地缘条件多因素的影响，推动着全球文化贸易格局从以西方大国为主，向西方国家和新兴大国多极化的方向发展。与中国在世界经济总量上的地位相比，中国对泰国的文化贸易还处于初步阶段。

泰国文化是一个多元化的国家，泰国当地民众对于其他国家的文化产品都比较关注，关注领域也比较广泛。从调研分析的图中可以看出，美、中、日是泰国民众最关注的前三名的国家，韩国和印度为其次，但作为亚洲的大国和邻国，中国文化贸易的发展和竞争力优势却远未发挥出来。中国是一个传统对外文化贸易的大国，但不是对外文化贸易的强国。美国和日本作为发达国家，其文化产品的竞争力优势和国际地位是与其高科技水平密切相关的。

安阿农、罗莎琳、黄旺贵(2008)中泰两国是睦邻，一直有着友好的关系。发展与泰国的文化贸易市场前景十分广阔。

### 1. 科学技术及新媒体促进文化贸易市场广阔

泰国文化产业的分类参照了联合国贸易开发署与联合国教科文组织概念 UNESCO(2005)，并结合本国国情有所调整。泰国 UNCTAD (2008)在文化遗产的分类下有手工艺、历史与文化观光、泰国料理、泰国传统草药；艺术分类下有表演艺术与视觉艺术；媒体的分类下有电影、出版、广播、音乐；在创意的分类下则有设计、时尚、建筑、广告、软件等。中国悠久的历史和文化尤其表现在文学、建筑艺术、宗教、医药学、科学技术、风俗习惯等方面，中国文化产品包括图书、杂志、软件、电影、视听节目等丰富多彩，文化演出、文化活动等日益频繁，人数众多的泰国华人华侨正在不断拓展中国文化产品的市场空间，泰国持续的“华文热”也为中国文化产品走进泰国市场奠定了基础。更值得一提的是，方兴未艾的各类新媒体技术也为中国文化产品走出去提供了必要的技术保证。无论是数字电视、网络电视，还是手机电视、手机纸等新媒体的出现，还是互联网、移动互联网在全球的出现以及电子商务的高速发，都将使文化产业与科技、文化传播与贸易更加融合，为中泰文化贸易的发展提供更为便利的技术条件，这些新媒体将突破传统空间的限制，开启中泰文化贸易的新领域，双方文化贸易市场前景十分广阔。

### 2. 泰国政府大力发展文化产业和文化贸易的发展

从 1997 年开始重视文化创意产业到如今文化贸易的大发展，泰国政府始终扮演推动者的角色。为促进文化贸易的发展，泰国政府从本国实际出发，制定了各项符合泰国文化创意产业发展的战略、政策与目标。泰国政府为促进文化贸易，加强国际合作、交流相关领域的知识和技术成立了许多相关机构并直接隶属于总理办公室，从而减少了许多沟通协调的障碍，促进了文化产业和贸易的发展，文化产业和贸易正在成为推动泰国经济发展的重大助推力。泰国将遵循“灵活、友好、趣味、合作”四大原则，打造泰国文化品牌，打造亚洲的文化枢纽。นายพล โสหารชุน(2009)指出泰国文化部在推进文化产业和贸易发展中出台了一系列政策，包括加强国际间的合作；吸引更多的国际游客了解泰国文化；通过文化方面的展演、展会和交流，宣传泰国文化；通过媒体、机场等展示泰国文化；通过有线电视、多媒体、文化大使以及动漫等方式展示泰国文化，打开泰国文化通向亚洲的大门，这些都是发展中泰文化贸易的有利条件和有力的保证。

### 3. 中泰文化贸易结构的互补性加大和差异性减少

从文化产业结构上看,中泰文化贸易有着极强的互补性。中国文化产业的核心构成部分主要是电视、电影服务、新闻服务、出版发行和版权服务、广播、文化艺术服务;外围层主要分布在网络文化服务、文化休闲娱乐服务中。而泰国最具前景和潜力的文化服务业主要集中在文化旅游、餐饮、文化传媒和商务服务这四大服务业上,中泰文化贸易有各自的比较利益和优势。郑志明(2005)认为泰国社会在一定程度上受到中国文化的浸染较深,两国在文化产业结构和贸易结构中竞争关系较弱,互补的空间很大。同时,两国的差异性也十分明显。泰国推进文化产业发展最基本的原则是尊崇本国文化本质属性,按照泰国人的价值观,制定发展目标和计划。其总体战略思想是:第一、保护、传承本国文化的稳定性,保持地方文化的多样性;第二、塑造泰国式的价值观、意识和修养;第三、用国家专项文化基金建设社会品质和增加经济的含量;第四、管理好宗教、艺术和文化组织。泰国政府十分注重打造泰国文化品牌,其发展目标就是要将泰国打造成亚洲的文化枢纽之一。尽管两国文化的形成具有历史性和坚固性难以改变,但充分挖掘两国文化的竞争性资源是大有可为的。两国都是多民族文化的国家,具有多元化的文化特色和丰富的文化价值内涵,具有巨大的价值开发和利用空间。许肇琳(1995)指出两国文化贸易处于发展与转型的新时期,不断延伸双方文化发展的力度,不断吸取和借鉴外来文化地的优秀成分,实现文化要素的有效流动,提升民族文化及产品的竞争力,才能减少两国文化差异的冲突,实现两国文化产业的有效对接和贸易的互惠互利。

### 4. 中国“海上丝绸之路”倡议将巩固泰国与东盟各国合作发展的基础

随着区域经济一体化形成,文化产业与文化贸易已成为东盟各国合作发展的重要领域,同时也是东盟经济共同体发展的内在要求之一。东盟提出的互联互通的概念,更适合东盟地区发展以及东盟和中国关系的发展。中国建设“海上丝绸之路”的倡议不仅为中泰贸易提供了更为开放的合作平台,也为东盟国家建立统一的文化贸易组织,增加教育设施,协调资金、政策、人才不足提供了有利条件。中国支持东盟通过各种合作形式及减少各国差距的基础上建立东盟共同体,可以在各个层面、环节、领域互联互通,文化贸易是不可或缺的内容,泰国地处东盟地区中心,具有天然的区位优势,实现文化价值共同的认同感和双边贸易可以促使中国更好地参与东盟经济共同体的建设和发展。

在泰国方面,充分寻求与利用文化贸易中机会与中国形成互补,打造共同文化贸易市场,体现在文化产业和文化贸易人才的培养上。双方建立多方位的文化贸易教育基地,加强两国高校间的合作,培养文化产业和文化贸易所需的各类型人才,做好文化人才的储备也十分重要。泰国与中国各个高校间可建立友好文化交流基地,细化各部分文化贸易专业型人才的培养,针对性地实行人才在双边基地间的流动学习,完备后期人才的运用机制,实现文化产业提升和文化贸易可持续发展目标。同时,双方在文化贸易中加深对两国文化价值的包容和理解,放弃一些文化贸易所不兼容的价值观,为中泰文化贸易提供更多的合作机会。

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## 南京吉祥牌云锦的营销策略研究

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### 摘要

21 世纪,越来越多的非物质文化遗产濒临灭绝,南京云锦作为非物质文化遗产的一项,面临着同样的困境。南京云锦作为中国传统丝绸工艺中的巅峰之作,其木机妆花工艺是我国三千年织锦史上唯一流传至今尚无法用现代机器生产代替的传统手工织造工艺。随着现代社会的进步,快销品的流行云锦等传统手工艺品的市场被挤压。如何能让云锦能更好的在特色手工艺市场发展,增加云锦的市场竞争力本文拟用问卷调查的方式从消费者行为进行分析,通过实证研究,运用因子分析法来找出南京云锦客户消费行为的主要影响因素,通过结构方程模型因子验证来总结出各个维度的重要程度,将之分为“购买意愿”和“购后反馈”两部分,在通过差异性分析各个人群对待购前和购后的重视度如在购买意愿上男性消费者与女性消费者的购买意愿上的显著差异概率超过 95%。本研究发现女性消费者所感受到的重视度会高于男性消费者,显示性别会导致较高的购买意愿。从年龄上看 30-50 岁的消费者在购买意愿方面显著高于年龄为 20-30 岁的消费者。从学历来看大学本科毕业的又显著高于其他阶段,月收入 5000-7000 的也显著高于 3000-4000 从购后的重视度来看,女性消费者感受到的满意度会高于男性消费者,30-50 岁左右的消费者又高于 20-30 岁的消费者,大学本科学历的消费者高于高中与硕士及以上的消费者,月收入 5000-7000 的消费者在购后反馈上又高于其他消费者。

**关键词:** 南京云锦; 工艺品; 游客; 消费行为; 调查研究

### 1. 引言

中国历史悠久传统手工艺产物繁多,对云锦的深入分析对传统手工艺如何在现今社会更好的立足保护和发展有着深刻的意义。吉祥云锦的模式还可以推广到其他手工织造类。此外云锦作为手工丝制品,织锦的一种,也因此作为一种丝绸。如果对云锦的消费者行为以及营销探索成功,对丝绸业和整个传统民族手工艺品制造业都有借鉴作用。将有利于传统文化的继承发展和创新。

南京云锦是中国手工织锦工艺艺术品中的杰出代表,她的灿若云霞,华贵美丽,传承着古老的华夏文明,走到快消品流行的现代社会怎样使这种古老的织锦更符合现代人的消费习惯及审美,使得这一种蕴涵着悠久历史和深厚文化底蕴的品牌得以继承,得以发扬,仅仅靠部分人的研究、保护、呼吁是达不到目的的,必须让她能够重新融入特色消费市场,同时更好的融入现代生活。

### 2. 研究目的

南京云锦作为有着悠久传承历史的手工艺织物,在其工艺和文化底蕴上有其独一无二的闪

光点。在快销品流行的现代社会，如何让云锦这种传统手工艺织物能更好的发展，更好的融入当代生活。本文通过问卷调查分析从消费者购买行为出发，以期能达以下目的：(1)通过问卷调查分析法来确定南京云锦产品的产品的定位，将其定位于高端产品和中端产品。(2)通过文献研究南京云锦产品的营销环境与市场提出相应的营销策略与方法。(3)根据问卷调查数据，得出为赢得现代年轻人对云锦的需求(4)利用云锦独特的文化底蕴制作成有民族特色的民族服装，来进行文化推广。

### 3. 文献综述

#### 3.1 市场营销观念的演进及作用

市场营销就是在变化的市场环境中，旨在满足消费需要，实现企业目标的商务活动过程。它包括市场调研，目标市场选择，产品开发，产品定价，渠道选择，产品促销，产品储存和运输，产品销售，提供服务等一系列与市场有关的企业业务经营活动。

#### 3.2 购买意愿

李振兴(2015)购买意向是指消费者购买商品的倾向性。消费者实际购物行为的指示信号。消费者行为学产生于二十世纪六十年代前后，消费者购买行为作为广义消费者行为的一种具体行为，是消费者行为学领域研究的重要内容。其产生有丰富的理论基础，包括了心理学、经济学、社会学、人类学甚至哲学等内容。适用于消费者行为学的理论基础在一定程度上也适用于消费者购买行为、购买意向。具有丰厚的理论依据。

#### 3.3 购买反馈

张轶蕾(2009)消费者购后反馈是指消费者购买商品后对商品本身的品质与价值达到消费者的心理需求的期望值。消费者购买后的满意度比较隐蔽，不容易被企业所观察和检查，但是许多商家通过购买后对产品的评价来了解消费者购后的满意度，例如淘宝确认付款后的评价，分别对产品质量，服务质量，物流质量进行评分。消费者的购后反馈直接营销到了消费者对品牌的忠诚。因此消费者的购后反馈的研究对于企业生产经营和市场销售活动理论的影响和意义更加深远和重要。

#### 3.4 市场营销的作用

舒文瑾、周雷(2006)对市场的迟钝，拘泥于老式产品，宣传力度的薄弱，这一切都表明目前云锦的发展是以传统为中心，而不是以市场为导向。如果失去了使其稳固立足的大众市场，不能为人们喜爱和接受，她的研究价值也会大打折扣。所以，挖掘南京云锦的市场潜力，不仅能为南京云锦研究所带来经济上的利益收入，使其研发能力能够增强，也能使得云锦的市场价值得以提升，其历史文化能够得以传承。

#### 3.5 市场营销策略

##### 3.5.1 价格策略

耿红路(2009)顾客的认识价值定价。作为文化品牌南京云锦，其定价方法主要采用顾客认知的价值进行定价。定价的关键在于消费者对价值的认知，可以用其他营销组合因素，如广告和销售压力，在消费者心中建立并加强认识，并给与积极的承诺。

##### 3.5.2 价格与成本

徐峰(2013)认为价格策略取决于制造产品的生产成本，当制造产品成本较低时，可以提高产

品的直接利润。2.引入网络渠道可以增加制造商的利润，但也会导致零售商的利润减少，进而导致渠道间冲突。如果引入网络渠道与零售商的销售价格一致，可以减少渠道冲突，还能增加总体销量，同时提高零售商和网络渠道的销售量。

### 3.53 促销渠道

耿红路（2009）总体思路为：实体店的标准化，精致化。虚拟店的立体化和便捷化。确保营销行为艺术化、情景化。以非物质文化遗产为核心，精干实体，无限虚拟，实体展示形象，虚拟传播影响，以虚带实，计划用五年时间建成全球化的营销网络。

### 3.54 品牌策略

吉祥云锦，十大领带品牌，知名服装饰品品牌，江苏省著名商标，中华老字号，非物质文化遗产南京云锦的传承品牌，致力于传承云锦遗产文化、云锦织造传统技艺的现代化丝织品生产企业。公司将云锦遗产文化、云锦织造传统技艺与时代发展需求相结合，行成了一个新兴文化产业。以传统工艺文化为媒介让经济和文化相依托成长。

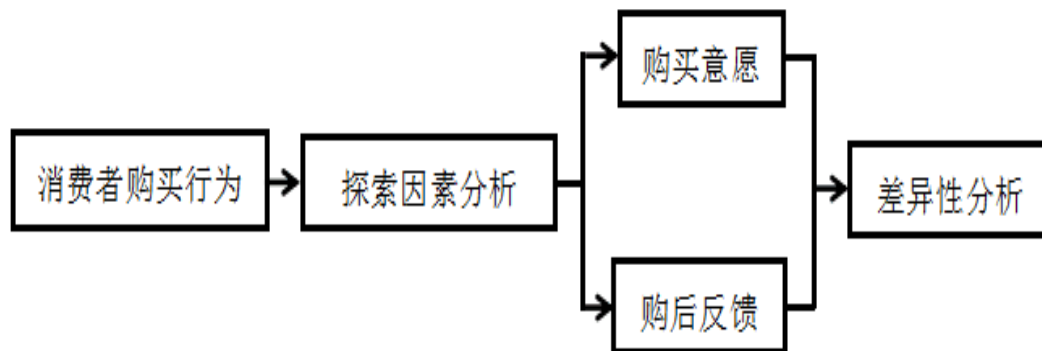
## 4. 研究方法 with 框架

### 4.1 问卷调查法

通过问卷调查法和文献分析法来了解当今不同年龄层次以及不同消费能力的消费者对于南京云锦产品有哪些需求，产品受众范围，价格受众范围，以及需要程度是否需要。迎合消费当今消费者的需求来营销，也是南京云锦发展的重要环节之一。

### 4.2 研究框架

本研究旨在探索南京吉祥牌云锦的营销策略，以购云锦的消费者为研究对象，采用问卷调查法设 100 份问卷经过探索性因素分析，提取出两个有效因素，分别为购买意愿和购后反馈，与郭建男学者提出的维度相符合，并针对购买意愿和购后反馈使用方法分析探讨其不同背景变量的消费者的差异性。



## 5. 南京云锦调查问卷结果分析

### 5.1 因子分析

如下表所示，通过主成分分析法抽取因子，最大方差法进行因子转轴后，提取 2 个因子，因子 1 共有 12 个观测因子，因素负荷量为 0.580-0.857 之间，因素负荷量大于 0.5，表示 12 个观测因子都非常显著；因素 2 共有 6 个观测因子，因素负荷量为 0.635-0.845 之间，因素负荷量

大于 0.5, 表示 5 个观测因子都非常显著; 总体累计解释变异量为 71.294%, 符合 Birman and Joseph (1987) 提出的累计解释变异量达 40% 以上即可有效解释各因素所代表的意义。

表 4.2 主成分分析法转轴后的成分矩阵

	因子 1	因子 2
17. 我会收藏或持续关注南京云锦博物馆的动态。	.857	.284
14. 我对南京云锦博物馆销售平台很满意。	.856	.361
16. 我会推荐他人购买南京吉祥牌云锦。	.806	.385
3. 我愿意通过南京云锦博物馆搜寻信息。	.787	.344
7. 我计划购买更多的南京吉祥牌云锦。	.759	.463
15. 我对销售南京吉祥牌云锦的人员很满意。	.745	.456
18. 我会考虑后期再次购买南京吉祥牌云锦。	.731	.441
4. 我愿意从互联网上中搜寻南京吉祥牌云锦的信息。	.731	.366
8. 我会从南京云锦博物馆内购买南京吉祥牌云锦产品。	.705	.492
6. 我会购买南京吉祥牌云锦。	.690	.404
11. 我愿意更常光顾南京云锦博物馆。	.671	.473
1. 南京云锦博物馆更新的讯息会激发我的购买兴趣。	.580	.486
10. 其他可代替品的价格更低, 我依然会购买南京吉祥牌云锦。	.375	.845
9. 我会推荐朋友或其他人购买南京吉祥牌云锦。	.323	.787
13. 我对南京云锦博物馆内购买到的云锦很满意。	.430	.709
5. 我愿意从各个渠道上获得南京吉祥牌云锦的相关信息。	.491	.692
12. 我对南京吉祥牌云锦的品牌很满意。	.300	.678
2. 南京云锦博物馆中发布的广告会激发我的购买兴趣。	.319	.635
起始特征值	11.802	1.031
累计解释力(%)	41.998	71.294

如上表所示, 通过主成分分析法共提取出 2 个因素, 根据每个因素内所包含问项的特点, 本研究分别对因子 1、因子 2 命名为购买意愿、购后反馈。

## 5.2 购买意愿差异性分析

### 5.2.1 年龄

分组为三组及三组以上时, 采用方差分析法。在进行方差分析时, 若方差齐性则选择 Scheffe 法进行进一步判断, 若方差非齐性则采用 Tamhane 进一步进行比较。

采用单因素方差分析法检验购买意愿在年龄分组上是否存在显著差异, 本文将年龄分为 20 岁以下、20-30 岁、30-50 岁、50 岁以上, 其中 20 岁以下的有 2 人, 20-30 岁的有 69 人, 30-50 岁的有 26 人, 50 岁以上的有 3 人。通过变异数同质性检测, 发现方差为齐性。

购买意愿在年龄上的差异分析结果如下表所示, 不同年龄的消费者在购买意愿具有显著差异( $F=3.705, p<0.05$ ), 通过 Scheffe 事后比较可知, 年龄为 30-50 岁的消费者在购买意愿方面显著高于年龄为 20-30 岁的消费者。

购买意愿在不同年龄组的差异性分析

		平方和	df	平均值平方	F	p	Scheffe
购买 意愿	群组之间	1.591	3	.530	3.70 5	.000	30-50 岁>20-30岁
	在群组内	72.256	96	.753			
	总计	73.847	99				

## 5.22 月收入

采用单因素方差分析法检验购后反馈在月收入分组上是否存在显著差异，本文将月收入分为 1000-3000 元、3000-4000 元、5000-7000 元、7000 元以上，其中 1000-3000 元收入的有 5 人，3000-4000 元收入的有 41 人，5000-7000 元收入的有 49 人，7000 元以上的有 5 人。通过变异数同质性检测，发现方差为齐性。

购后反馈在月收入程度上的差异分析结果如下表所示，不同月收入的消费者对购后反馈具有显著差异( $F=3.502, p<0.05$ )，通过 Scheffe 事后比较可知，月收入 3000-4000 元的消费者在购后反馈方面显著高于月收入 1000-3000 元的消费者。月收入 5000-7000 元的消费者在购后反馈方面显著高于月收入 3000-4000 元的消费者。

		平方和	df	平均值平方	F	p	Scheffe
购后反 馈	群组之 间	.534	3	.178	3.50 2	.00 0	3000-4000 元>1000-3000 元 5000-7000 元>3000-4000 元
	在群组 内	84.534	96	.881			
	总计	85.068	99				

## 5.3 购后反馈的差异性分析

### 5.31 年龄

采用单因素方差分析法检验购后反馈在年龄分组上是否存在显著差异，本文将年龄分为 20 岁以下、20-30 岁、30-50 岁、50 岁以上，其中 20 岁以下的有 2 人，20-30 岁的有 69 人，30-50 岁的有 26 人，50 岁以上的有 3 人。通过变异数同质性检测，发现方差为齐性。

购后反馈在年龄上的差异分析结果如下表所示，不同年龄的消费者对购后反馈具有显著差异( $F=3.311, p<0.05$ )，通过 Scheffe 事后比较可知，年龄为 30-50 岁的消费者在购后反馈方面显著高于年龄为 20-30 岁的消费者。

		平方和	df	平均值平方	F	p	Scheffe
购后 反馈	群组之间	.818	3	.273	3.3 11	.000	30-50 岁>20-30岁
	在群组内	84.250	96	.878			
	总计	85.068	99				



### 5.32 月收入

采用单因素方差分析法检验购后反馈在月收入分组上是否存在显著差异，本文将月收入分为 1000-3000 元、3000-4000 元、5000-7000 元、7000 元以上，其中 1000-3000 元收入的有 5 人，3000-4000 元收入的有 41 人，5000-7000 元收入的有 49 人，7000 元以上的有 5 人。通过变异数同质性检测，发现方差为齐性。

购后反馈在月收入程度上的差异分析结果如下表所示，不同月收入的消费者对购后反馈具有显著差异( $F=3.502, p<0.05$ )，通过 Scheffe 事后比较可知，月收入 3000-4000 元的消费者在购后反馈方面显著高于月收入 1000-3000 元的消费者。月收入 5000-7000 元的消费者在购后反馈方面显著高于月收入 3000-4000 元的消费者。

		平方和	df	平均值平方	F	p	Scheffe
购后 反馈	群组之间	.534	3	.178	3.50 2	.00 0	3000-4000 元>1000-3000 元
	在群组内	84.534	96	.881			5000-7000 元>3000-4000 元
	总计	85.068	99				

## 6. 结论与展望

### 6.1 云锦市场营销产品策略

1. 旅游纪念品一直是旅游业的附带产业，南京云锦博物馆的旅游开发，同时在旅游景区开设旅游纪念品的小型云锦装饰品挂件商店，为云锦的衍生品提供了良好的传播平台和销售平台。且外来旅游者大多数对云锦了解并不深入，所以实体店内的的工作人员一定要对云锦文化和工艺有足够的了解，这样才能向外来那些不懂云锦的游客进行宣传推广，使他们对云锦产生兴趣并且喜欢上云锦，愿意对其进行消费，提高实体店的收益。

2. 云锦的营销针对于互联网购物。由于互联网时代的到来，绝大多数消费者选择了在网上购买云锦产品，根据问卷显示在网上购买云锦产品的消费者占据了 82%，因此对于网上的店铺遍布区域可以扩散至全国以及海外，例如在淘宝，唯品会，京东等现代大型互联网购物平台入驻，开设自己的正品专卖店。并且做好品牌真伪的辨别，以及自身品质的把关，在品质上做到和实体店购买一致。并且大型互联网购物平台都具有商家与消费者的沟通功能，借此机会也可以向网上购物者进行一次云锦文化的科普与宣传，增加消费者的购买意向。通过互联网购物让销售范围越来越广，以此赢得更多的云锦客户。

### 6.2 云锦品牌营销方式与策略

1. 通过互联网购物以及媒体传播品牌。电子商铺时代的到来逐渐正在代替大部分的实体店，根据问卷显示 82% 云锦消费者购买云锦的方式是互联网购物，我们正好可以利用其互联网购物的地域广泛性把云锦品牌推广至全国各地，通过一部分人群对云锦的商品购买，把云锦品牌带出南京走向全国，让更多的人知道到云锦这个品牌以及产品。在电子商铺的介绍中，详细的介绍云锦的文化价值以及品牌的唯一性和专业性巩固品牌的地位。同时利用媒体例如商业广告和微博、微信公众号等途径把云锦品牌推广出去，加深消费者对云锦品牌的印象。

2. 利用海外游客以及出口渠道将云锦品牌走向世界。由于南京旅游业越来越发达，到南京

旅游的海外游客也在不断增加，据问卷调查分析大部分的外来旅客会将云锦产品作为礼物送给他人，正好借此机会将云锦品牌带到国外。源源不断来自世界各国的旅客将云锦产品带向全世界也就等同于把云锦这个品牌带向了全世界。但是光靠外来旅游者把云锦品牌带向世界的宣传力度还是不够的。还需通过出口渠道将云锦产品出口至国外，并且在当地具有云锦文化宣传能力，逐渐将云锦品牌走向国际化。

### 6.3 云锦市场营销的价格与定位策略

根据市场消费者需求把云锦的价格定位于高端和中端两个部分，因其成本和品质问题所以不会定位于低端价位，且低端价位对于云锦产品有很多不利因素。高端和中端不同价格不同种类的云锦产品不仅可以解决营销对象的局限性问题。

定位于高端价位是根据问卷统计购买过云锦产品的人群占据了绝大部分的 81%。由此可以看出整个中国奢侈品市场的发展极具潜力。随着经济的不断增长，人们生活水平的提高，在满足基本的物质的需求和要求的同时，开始追求精神需求。人们对奢侈品的需求和购买力也逐年提高。而云锦的造价高，成本高，且文化内涵浓厚悠久，极具精致的民族手工艺品，具有潜在的价值。通过与其他奢侈品的战略合作，打通奢侈品市场，有效的带动云锦的发展，提高其经济效益。

根据问卷调查大部分消费者来自外来旅游人士占据了 71%，而他们购买云锦的主要目的是为了当作礼物送人占了 59%。高端的奢侈品作为礼物送人大部分游客和普通消费者是很难接受的，中端价格的云锦产品正好能满足他们的需求。使大部分消费者得到消费满足，增加云锦产品的销售量，从而解决了营销对象局限性的问题。

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# “比”字高程度构式研究

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## 摘要

[S 比 X 还 X]构式属于一类典型的比较句式。该结构本身前 X 与后 X 形式相同，但语义内涵有所差异：前 X 指称具体的某一概念，后 X 指称前 X 这类事物的某种典型属性、状态和特征。本文在构式语法理论框架下，考察了该结构的构式性特征，发现：（一）这类结构具有高能产性、高图式性与低组构性的特点；（二）这类结构虽然有“比”字，但并不是在比较，而是在强调比较目标的特征，表达一种“高程度”的整体构式义；（三）进入 X 句法槽的成分本身与整个构式之间的语义兼容性是 X 不断扩展的重要原因。

**关键词：**比字句；构式；高程度；构式压制；语义兼容

## 1. 引言

比较是人类的一种基本认知能力，也是认识世界的一种基本方式。汉语中，比较构式的基本格式是[S 比 X A]，其中 S 为比较目标，X 为比较客体，A 为比较结果。但目前，在口语、网络语言和文学作品里存在着一类典型的比较句式，即[S 比 X 还 X]结构，其中比较客体与比较结果形式相同。这种比较句式在其他语言中也存在，如泰语、越南语和壮语。例如：

- (1) 老爸说：“境界不高，情人就成了比仇人还仇人的人。”（汉语）
- (2) pi:<sup>231</sup>te:<sup>13</sup>      muŋ<sup>231</sup>    pi:<sup>53</sup>    luk<sup>11</sup>    ɲe:<sup>231</sup>    li<sup>13</sup>    luk<sup>11</sup>    ɲe:<sup>231</sup>    pai:<sup>53</sup>。（壮语）<sup>5</sup>  
脾气          你          比          小孩          还          小孩          去  
‘你的脾气比小孩还小孩。’
- (3) kra:<sup>22</sup>-tʰə:<sup>33</sup>    ba:<sup>33</sup>-kʰon<sup>33</sup>    pen<sup>33</sup>    pʰu<sup>41</sup>-jiŋ<sup>24</sup>    jiŋ<sup>41</sup>    kwua:<sup>22</sup>    pʰu<sup>41</sup>-jiŋ<sup>24</sup>    （泰语）<sup>6</sup>  
人妖          有的人          是          女人          更          比          女人  
‘有些人妖比女人更女人。’
- (4) Anh ta    đàn bà    hơn    cá    đàn bà    （越南语）<sup>7</sup>  
他          女人          比          还          女人  
‘他比女人还女人。’

从以上跨语言例句来看，[S 比 X 还 X]这样的“比”字句是一种普遍概念。结构中，这种比较客体与比较结果形式相同，在其他语言也是一种程度与程度比较，表达高程度构式义。本文

<sup>5</sup> 壮语例句由浙江大学人文学院博士研究生韦焕干提供。

<sup>6</sup> 泰语例句来自泰国国家语料库 ( Thai National Corpus ) 。

<sup>7</sup> 越南语例句由浙江大学人文学院越南博士研究生 ViThuy 提供。

以这种典型“比”字句为考察对象，以构式语法为理论框架，重点考察汉语中这类结构的能产性、图式性和组构性，在此基础上揭示该类构式压制机制与整体构式义的产生等问题。

已有研究认为，这种典型的“比”字句属于超常组合，偏离了语法常规（王强，2008；杨玉玲，2011），表达时带有夸张意味（周锦国，2003）及强烈的主观性评价（吉益民，2012；马伟忠，2014）。另外，充任 X 位置，通常是名词为多（周锦国，2003；徐茗，2006；王强，2008；杨玉玲，2011；吉益民，2012；马伟忠，2014；周敏，2014 等），其次是形容词、动词（周敏 2014）和区别词（程亚恒 2013）。

本文通过搜集语料及分析后发现，[S 比 X 还 X]结构虽然拘于“比”字句，但不拘于比较，前后 X 相同词语的重复是对比较目标“S”的属性、状态与特征的强调。另外，除了已有研究所提的四种词类以外，副词、代词、短语（含成语或习语）都可以进入充任[S 比 X 还 X]结构中的 X。例如：

(5) 我还是爱着你,比非常还非常的爱着你,可是,你呢? (郑州大学西亚斯国际学院贴吧)

(6) iPhone6“比更大还更大”! (中国苹果官网)

(7) 那人望着秦宝宝，已有惊惧之意，一个小孩子，竟比老江湖还要老江湖，想出的方法偏偏又很有效。（李笑佛《绝毒断肠》）

(8) 他神情冷漠，单调的旋律表现得比无动于衷还无动于衷，比心不在焉更心不在焉...（普鲁斯特《追忆似水年华》）

上述例（5）-（8）中，“X”分别为副词、副词短语、习语和成语。

本文通过搜集语料分析[S 比 X 还 X]结构，然后对汉语、壮语、泰语与越南语四种语言的同类结构使用情况进行对比，本文发现：（一）这类比较句式是一个普遍现象，并不是汉语特殊的一种现象；（二）这类结构凝固性很强，表达一种主观性上的高量度（参见程亚恒 2013；马伟忠 2014 等），具有明显的构式性特点；（三）这种前后 X 同词语反复，拘于比较形式，而不拘于比较意义，重复成分后 X 对前 X 作程度加深，使其程度达到极点。最后，本文提出这类结构不纯粹是在比较，而更像是在强调比较目标具有的某个征。

## 2. 构式语法与构式压制

### 2.1 构式语法理论

构式语法（construction grammar）的基本观点是，语言是形式与意义或功能（form-meaning/form-function pairing）的结合体。任何语言单位，只要其形式或功能的某一方面不能从其组成部分或其它已有构式中严格预测出来，都可以称为构式（Goldberg 1995, 2006；李艳芝，2015）。也就是说，构式不是构件的简单加合，即构式的整体意义大于或等于各个构件的意义之合。由此，[S 比 X 还 X]就是一个形式与意义配对体的构式，且其整体意义超出该结构部分意义的加合。

构式可以从三个方面得到体现：能产性（productivity）、图式性（schematicity）与组构性（compositionality）（Traugott&Trousdale, 2013；李艳芝，2015）。

（一）能产性，指构式的活力（vitality）即创新程度与可扩展的能力，一般将从类频率（type）与例频率（token）得到体现（参见 Barðdal, 2008）。

语言中，一个固定了的表达式将体现出一个固定的语言形式，这个语言形式是由固定成分

与不固定成分构成的。就[比 X 还 X]构式而言，它是一个固定的语言形式，在这个形式中，“比”与“还”是固定成分，而 X 是不固定成分。其中，不固定成分 X 可以表示“类”或“例”两个概念。当 X 表示“类”时，“类”指的是 X 的词性；当 X 表示“例”时，X 指的是“类”里面的成员。由此，随着语言的发展，X 在类频率与例频率上（能产性）都会得到扩展（参见 Bybee 1995）。

（二）图式性，是构式抽象的层级程度，与能产性关联很密切。因此，图式性的高低取决于能产性的高低。

（三）组构性，指构式形式与意义的语义组合关系，即整个结构的形式与语义的一致性（semantic coherence）。倘若整个构式的意义等于其组合部分的意义加合，那么这个构式具有高的组构性；倘若整个构式的意义不等于其组合部分的意义加合，那么这个结构具有低的组构性。就[比 X 还 X]结构而言，整个构式意义超出了其构式组合部分意义的加合。

一般来说，图式性、能产性与组构性三者之间关联紧密。图式性的增强，意味着能产性的增强；反之，能产性高的构式，图式性程度必然也高。同时，倘若图式性增强、能产性增高，意味着组构性可能减弱（Barðdal, 2008；李艳芝，2015）。

## 2.2 构式压制

Goldberg (2006: 22) 指出，结构可以自由地组合起来形成实际的表达，只要这个结构被理解时不存在某方面的不兼容（冲突）。但是，如果结构的某方面存在冲突（不兼容）而人们仍能理解该结构所表达的意义，那么这个结构发生了“压制”，即构式压制（construction coercion）。构式压制不是纯粹的语用过程，而是被语言中已有特定构式所允准的，也就是说当一种结构需要特定的解释，而不是通过特定的词汇项目独立编码来解释（Goldberg, 1995: 159），构式可以强制词项产出与构式整体意义相关的意义（Goldberg, 2006: 22）。

在此基础上，国内学者对构式压制也做出了解释，如董成如，杨才元（2009）认为，构式压制是句法结构中出现不是所期望、默认或一致的词项，从而调整词项意义的情况；施春宏（2012，2015）认为，在组构成分进入构式的过程中，构式向组构成分提出需要满足的准入条件，如果组构成分的功能、意义、形式跟构式的常规功能、意义、形式不完全吻合，那么构式就通过调整其功能、意义结构与形式结构中的某些侧面以满足该准入条件。若两相契合，构式压制成功；若不能两相契合，构式压制无效。由此可见，构式占据了主导地位，压制了词项原有功能，同时也赋予了词项额外的功能，使得词项能出现在构式中。另外，被压制的词项自身一定要含有跟构式相匹配的某些特征，词项进入构式后，这方面特征便凸显出来；如果词项不含有构式所要求的某方面的本质特征，压制现象便无从发生（施春宏 2012）。

那么，为什么[S 比 X 还 X]这种非常规的组合不但成立，而且人们可以轻易的理解这种表达义？本文认为，这种构式被压制后，在语境的激发下又经过了一次意义兼容，然后呈现出该构式的真正意义。

在[S 比 X 还 X]构式中，前 X 是具体概念，后 X 是抽象概念，两个概念在特定的语境中再经过一次语义调整（语义兼容），之后表达出一种程度达到极点的意义。一般来说前 X 是有指成分，而后 X 是无指成分。但是，本文认为前 X、后 X 都是有指的，只不过两者指的东西不同，前 X 指具体型，而后 X 指具体型具有的涵义特征。如果说后 X 无指的话，当说话人再重复后 X 这个词语时，听话人不能轻易就理解了说话人的表达义。相反，因后 X 也有指，当说话人重复

后 X 这个词语时，听话人不言而喻就能理解该词语指的涵义。请看下例：

(9) 那么漂亮的男生还真是少见！虽然长得比女人还女人，倒没有娘娘腔的感觉。（听语《sweet 情郎》）

(10) 夏天智说：“人是一头的癞疮，但扮了旦了，走是走样，唱是唱样，一笑一颦比女人还女人哩！（贾平凹《秦腔》）

上述例句，前面的“女人”指具体女人，而后面的“女人”指女人某个特征或神态等。在例（9），句中出現“长”一词，这个线索提供听话者理解后面的“女人”指的是女人的长相，即理解为这个男人的长相比女人还要甜美；而例（10）不是指“长相”而是指“行为”，“一笑一颦”提供听话者理解后面的“女人”为“女人的行为”，即理解为男旦的行为有了柔媚女性时常有的行为，而且这种柔媚行为超过女性时常有的。

综上所述，在[S 比 X 还 X]构式中，一般前 X 是指型，而后 X 是指义。句法上允准前 X、后 X 可以是同样的词项，而只有两者同形时才能表述极性程度的意义。这种极性程度比较不是纯粹比较两个客体的差异，而是在强调比较目标具有的某些特征。通过构式的压制，这些非常规组合可以成立且呈现出非常规的表达义，这种表达义则容易理解。

### 3. [S 比 X 还 X]构式三要素特征分析

#### 3.1 高能产性

如前文所说，构式能产性的高低是通过综合了类频率与例频率两方面来体现。

首先是类频率。在[S 比 X 还 X]构式中，类频率是指“X”的类型，即能进入充任“X”位置的词性。通过检索北京大学中国语言学研究开发的 CCL 语料库和北京语言大学开发的 BCC 语料库，本文发现[S 比 X 还 X]构式共有 358 条，其中能充任“X”的词性分别是名词、形容词、动词、区别词、副词、代词和短语等（见表 1）。

其次是例频率。在[S 比 X 还 X]构式中，例频率指的是类频率里面的成员。通过检索语料库发现，充当“X”位置共有 358 个词项，分别包括 255 个名词、62 个形容词、14 个动词、5 个区别词、3 个副词、1 个代词和 18 个短语（含成语与习语）。本文把[S 比 X 还 X]构式中的“X”分类如下：

表 1 “X” 的类型

构建	X				
词性类别	名词	指人	专有人名	具体人 拟人	希特勒、凤姐、刘翔... 葛朗台、007、罗密欧...
			地域的人		北京人、欧洲人、南方人...
			社会角色		官员、教练、CEO ...
			社会阶层		流氓、农民、VIP、白领...
		指处所	地域		昆明、美国、西方...
			具体处所		旅馆、公园、别墅...
			抽象处所		地狱、天堂
		指物	动物		牛、猪、大象...
			事物		垃圾、闹钟、花瓶...
			自然物质		冰、空气、石头...
			植物		白菜
			科技		电脑、病毒、互联网...
	指时间	时间		晚晴、夏天、冬天...	
	指思想	社会思想		乌托邦、法西斯、共产主义...	
	形容词	性质		纯白、真、假、单纯、黑...	
		状态		寂寞、美丽、真实、内向...	
	动词	动态		退步、穿越 ...	
		状态		逃荒、端正、认识、疼...	
		心理		爱、喜欢、满意、开心...	
	区别词			业余、巨型、古典、五星级、国营	
	副词			偶尔、非常、特别	
	代词			什么	
	短语	短语		一家人、更大、演戏、出乎意料、...	
成语/习语			修正主义、心不在焉、老江湖...		

据表 1 所示，[S 比 X 还 X]构式的可扩展性很强，无论是类频率或例频率，两者都不断地在扩展。类频率方面，早期文献认为，一般只有名词能充任“X”位置，形容词、动词与区别词也可以进入[S 比 X 还 X]构式充任“X”位置，但比例少于名词。本文搜集语料时发现，副词与代词也可以充任“X”位置，但比例少于上面几种词类。从这种趋向性可看出，[S 比 X 还 X]构式一直不断地扩展“X”的范围，即类频率在不断地生产。

在类频率不断地扩展范围时，例频率也同时在扩展。本文以“X”是名词类深入讨论例频率的可扩展性。早期研究中，王霞（1992）认为“一般是具有显性意义的，在历史文化的积淀中或社会交际中被赋予描写意义的表人名词才能进入此格式，这些词常具有概括意义，例如“女人”一词，然而无生命的不能进入该结构”；宗守云（1995）认为，“凡有极鲜明特征的人或事

物几乎都可进入该格式”；唐依力（2001）讨论充当“N”的条件，他认为进入该结构一般是表人、动物、处所、时段或抽象名词，其中有生命度名词占了绝大多数，无生命度名词占得较少；郭晓红（2001）观察“N”的语义类型发现，表人名的“N”可以是专有名词、一般人名、身份名、职务、党派名等。至今，随着社会的发展，各种新事物、新现象也不断地发展，语言同时也不断地扩展出新的表达义来接应这些外部事物发展的需要。由此，进入[S比X还X]构式的名词性不仅仅是已有研究所指出的那些名词了。从表1来看，与科技相关的词或外来词也可以进入这个构式，如互联网、电脑、病毒、CEO、VIP等。

### 3.2 高图式性

构式图式是一个抽象的层级系统。一般认为图式性与能产性关联紧密，倘若图式性程度高，构式的能产性也高；倘若图式性低，构式的能产性也低（李艳芝 2015）。[比X还X]构式的图式层级可刻画如下：

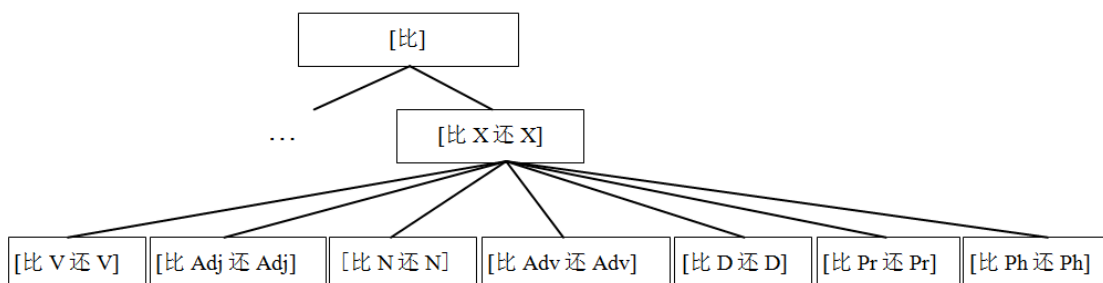


图1 [S比X还X]构式图式层级

从图式层级来看，[S比X还X]构式图式是[比]字句的下位图式之一。根据语料，能充当“X”位置的包括名词、形容词、动词、副词、区别词和代词等词类与短语。

### 3.3 低组构性

根据组构性原则（principle of compositionality），一个完整句子的意义是其组件意义的函项（李艳芝，2015）。也就是说，整个构式的意义等于其组合部分的意义加合。组构性的强弱取决于该结构的意义是否能从其组成部分直接得到，即形式与意义是否匹配。从意义上看，[S比X还X]的整个构式义并不是从其组合部分意义的加合，也不能从其组合部分中直接推导出来。由此可说，[S比X还X]表现为低组构性。请看下例：

（11）反唇相讥：“得啦，老先生，你的同行们写的那些破玩意，比垃圾还垃圾呢！”（李国文《垃圾的故事》）

例（11）中，“垃圾”是普通名词，指废弃物，作为比较客体指实体的垃圾，作为比较结果指垃圾的特征，在这里强调的是所写的东西像“垃圾”一样没有价值而应丢弃。显然，整个结构义以“垃圾”作为陪衬来鄙视他所写的东西。

（12）老板山姆提出要向每一位顾客提供比满意更满意的服务。（科技文献）

例（12）中，“满意”是心里动词，表示人对事物满足的状态，在句中“满意”反复出现加强了它的程度，使得这个程度超出了它本身具有的意义。

（13）这个美丽的女郎，看来比神秘更神秘！（倪匡《幽灵星座》）



例(13)中,“神秘”表示一种高深莫测、使人摸不透的感觉,在这里强调了神秘感的程度。

从上述例句来看,在[S比X还X]构式中虽然有“比”字,但并不纯粹表示比较;而是说话者通过同语反复的方式来强调比较目标“S”的属性特征,重复成分“后X”对“前X”作程度加深,使其程度达到极点或超出前X具有的程度。从意义上看,这种表程度达到极点在其它“比”字句中是无法体现出来的,只有前后X同形的“比”字句才能体现出这样的意义。显然,[S比X还X]的整个结构意义已超出了其构式组合部分的意义加合。

通过以上第4.1至4.3节的考察,本文发现[S比X还X]构式具有高能产性、高图式性与低组构性的典型特征。

#### 4. [S比X还X]的高程度意义

比较的作用是通过两项不同事物或同一事物不同方面的比较,显示出它们的差异,这种差异涉及到量的差异。在量的程度上,比较具有阶梯性的特征,这个阶梯性的程度变化是通过不同的形式来表达的。在[比]字句里,[S比XA]、[S比X还A]和[S比X还X]呈现出程度上的递进关系。从形式上来看,[S比XA]、[S比X还A]和[S比X还X]都由四个成分构成:比较目标“S”、比较词“比”、比较客体“X”与比较结果“X”、“还A”与“还X”。

在“比”字句中,[S比XA]是基本的比较句式,一般是客观陈述两种比较项的差异,因此倾向表示客观量;[S比X还A]结构中出现程度副词“还”,表示比较出来的结果的量度增高(陆建明、马真,1999:34),比较信息增加主观内容,因此倾向于表示主观量(马伟忠2014)。在[S比X还A]结构中,比较后的量度增高了,但这个量度仍是两个比较项的差异;[S比X还X]是[S比X还A]的派生结构,其中比较结果“X”不是表示两个比较项的差异的结果,而是在强调比较目标“S”在某程度上还要增强。或者说,在[S比X还X]结构中,比较客体“X”包含一定程度在内,比较结果“X”的程度在比较客体的程度上增高。例如:

- (14) a. 她比李冰冰漂亮。  
b. 她比李冰冰还漂亮。  
c. 她比漂亮还漂亮。

例(14)中,“李冰冰”是中国知名度高的女星,且很漂亮。例a、b中将“李冰冰”作为比较客体,十分形象地形容她的美丽。因此,从a、b中,我们得知一个事实就是“她漂亮”;例c将“漂亮”作为比较客体,与比较结果相同,但程度上不相同,后面的“漂亮”基于前面“漂亮”的程度而受到提升,是一种程度与程度的比较,这种程度与程度的比较不仅仅是比较,而更是在强调她的漂亮,即“她超级漂亮”。

- (15) a. 他比葛朗台吝啬。  
b. 他比葛朗台还吝啬。  
c. 他比葛朗台还葛朗台。(他比吝啬还吝啬。)

例(15)中,“葛朗台”是巴尔扎克小说《欧也妮·葛朗台》中的重要人物,是一个很有钱、很有威望的商人,但为人却极其吝啬,是守财奴的代表。在他眼里,女儿妻子还不如他的一枚零币。可见,葛朗台这个人本身就形象突出,特征鲜明。在例a、b中将“葛朗台”作为比较的客体,可以十分形象地形容某个人的吝啬。因此,从a、b中,我们得知一个事实就是“他吝啬”;在例c中将“葛朗台”作为比较客体,与比较结果相同,前后同指葛朗台特突出的“吝啬”特

点，后面的程度于前面的程度而得到提升，因此，例c还可以另表达为“他比吝啬还吝啬”。

(16) 我没说不喜欢你，而且是比喜欢还喜欢。(黄苓《邂逅在你怀里》)

例(16)中，“喜欢”是心理的一种状态或活动，一般与程度副词组合后把这个状态增高或将降低，如“很喜欢，非常喜欢，特别喜欢”，相反，“还喜欢”则降低了喜欢的程度，但是，“喜欢”出现在[S比X还X]构式中，“还喜欢”受到了构式的压制与语境的激发，再经过一次意义调整“喜欢”的程度则被提升，比较结果“喜欢”基于比较客体“喜欢”的程度上受到程度副词“还”给程度提升上去。最终，强调了“他是超级喜欢”这个结果。值得注意的是，并不是所有动词都可以进入这个构式，能进入这个结构的动词都比较特殊，具有层级性的动词，即具有量幅义。

(17) 我比特别还特别的想你。(百度空间)

例(17)中，“特别”是程度副词，表超寻常，出现在[S比X还X]构式中，比较结果“特别的想你”基于比较客体“特别想你”的程度上受到强调，这个句子的语义表达“我超级想你”的意义。本文认为，副词性成分出现在[S比X还X]构式中，其实是一个省略的反复叠加结果。但，由于构式的压制，整个叠加成分可以不出现。

(18) 每天忙得比什么还什么，只能在叠纸片的时候听会歌了。(微博)

例(18)中，“什么”表示任指，出现在[S比X还X]构式中可以理解为“忙的程度无法指出来”，即“超级忙”。

(19) 有一个嘴唇涂得像火一样红的长了满脸雀斑的女人朝他走过来，她满脸堆笑地看着谭渔说，住旅社吗？谭渔说，不住。那女人仍拦住谭渔说，我们那条件齐全，要什么有什么。谭渔说，五星级吗？女的明白了谭渔的意思，她说，比五星级还五星级，而且价格合理。(黑白《爱情的面孔》)

例(19)中，“五星级”是机构划分的档次，共分五级，“五星级”是最高档次，表示酒店的建筑、装饰、设施设备、管理与服务水平等极高。那么，“五星级”已居在最高程度上的位置，比较结果“五星级”在比较客体“五星级”的程度上受到提升。

以上例句，例(14)-(19)分别为名词、形容词、动词、副词、代词与区别词。从以上分析中可知，不论是什么词类，只要它们的语义特征中蕴含了“量幅义”，就能准入[S比X还X]构式并受到压制，而不蕴含“量幅义”的项是不能进入该构式的。通过分析本文认为，无论X是哪种词类，最终被激活的首先是X的特征义，后X的量度在前X的基础上递推，突出其层级的极点。此外，只有前后X同形时，才可以表达出超量度意义，而这种超量度表示强调比较目标的某方面的性质或特征。

## 5. 周边语言的[S比X还X]结构

从跨语言视角看，汉语里[S比X还X]这种非常规的比较式其实在其他语言中都存在，如泰语、越南语与壮语等，而且同样是在某种特征的程度比较，比较结果表达出一种高程度意义，或者说表示强调比较目标的某方面的特征。

众所周知，汉语、泰语、越南语和壮语都是SVO语序的语言，一般来说结构的语序大致相同。但是，在比较句中，这四种语言则表达两种不同的顺序，一种是“他比我漂亮”，即[S比NA]，另一种是“她漂亮比我”[SA比N]，虽然有两种顺序，但都是表达“他比我漂亮”的意义。

汉语和壮语表现为第一种顺序，而泰语和越南语表现为第二种顺序。请看表 2：

表 2 “比” 字句的顺序

	汉语	壮语	泰语	越南语
(I)	[S 比 X A]	[S pi <sup>53</sup> X A]	[S A k <sup>h</sup> wa: <sup>22</sup> X]	[S A hon X]
(II)	[S 比 X 还 A]	[S pi <sup>53</sup> X li <sup>13</sup> A]	[S A jiŋ <sup>41</sup> k <sup>h</sup> wa: <sup>22</sup> X]	[S còn A hơn cả X]
(III)	[S 比 X 还 X]	[S pi <sup>53</sup> X li <sup>13</sup> X]	[S X jiŋ <sup>41</sup> k <sup>h</sup> wa: <sup>22</sup> X]	[S còn X hơn cả X]

根据表 2 所示，四种语言的“比”字句来看，表中 (I) 格式是“比”字句中的初始格式，在壮语、泰语和越南语都表示对两种客体的差异的比较，比较结果都是由形容词充当。

表中 (II) 格式，壮语出现了“li<sup>13</sup>”同样也是表示强调的功能，泰语出现了功能词“jiŋ<sup>41</sup>”强调比较目标，越南语的情况比较特殊，句中出现“còn/还”，同时也出现了功能词“cả”，两者都有强调的功能，其中“cả”隐含了“非常”或“特别”等涵义。

表中 (III) 格式是表高程度意义的格式。在三种语言中，这类格式不是在比较两个客体的差异，而是在比较两个量的程度，比较结果不仅是程度的差异，更是强调比较目标的某方面特征的量度。汉语中的“比”在壮语、泰语、越南语中分别对应“pi<sup>53</sup>”、“k<sup>h</sup>wa:<sup>22</sup>”和“hon”；汉语中的“还”在壮语、越南语中分别为“li<sup>13</sup>”和“còn”，泰语中没有“还”这个词语，但有了功能词“jiŋ<sup>41</sup>”表示“更加”的意义来代替，位于“k<sup>h</sup>wa:<sup>22</sup>”前面，越南语也出现了功能词“cả”表示强调，但居在“hon”后面。可见，汉语和壮语的形式完全相同；泰语出现了功能词“jiŋ<sup>41</sup>”；越南语同时出现“còn/还”与功能词“cả”两个。

从形式上看，汉语和壮语的核心成分是“还 X”和“li<sup>13</sup> X”，前面的“比 X”和“pi<sup>53</sup> X”是状语修饰后面的成分，相反，泰语和越南语的核心成分是“X jiŋ<sup>41</sup>k<sup>h</sup>”和“còn X”，后面成分“k<sup>h</sup>wa:<sup>22</sup>X”和“hon cả X”是补语成分修饰前面的成分。请看下例：

(23) ɲo:n<sup>231</sup>ko:n<sup>33</sup>, ku<sup>51</sup> pai<sup>53</sup> te ʔde: pi<sup>53</sup> nam:<sup>231</sup>niŋ<sup>231</sup> li<sup>13</sup> nam:<sup>231</sup>niŋ<sup>231</sup> (壮语)  
 前天 我去地方比南宁还南宁  
 ‘我前天去的地方，比南宁还南宁。’

(24) k<sup>h</sup>wa:m<sup>33</sup>-ciŋ<sup>33</sup> man<sup>33</sup> ceap<sup>22</sup> jiŋ<sup>41</sup> k<sup>h</sup>wa:<sup>22</sup> ceap<sup>22</sup> (泰语)  
 事实 它 痛苦 更加 比 痛苦  
 ‘事实它比痛苦更加痛苦。’ / ‘事实比痛苦还痛苦。’

(25) k<sup>h</sup> hoach này còn tuyệt vời hơn cả tuyệt vời (越南语)  
 该计划 还 完美 比 (强调) 完美  
 ‘该计划比完美还完美。’

例 (23) - (25) 中，例 (23) 壮语的情况完全与汉语相同；例 (24) 泰语，句中出现功能词“jiŋ<sup>41</sup>”把痛苦的程度提升，但泰语中可以删掉“jiŋ<sup>41</sup>”，删掉后句子仍然成立且表达高程度意义，如“ceap<sup>22</sup> k<sup>h</sup>wa:<sup>22</sup> ceap<sup>22</sup>/超级痛苦”、“tu:k<sup>22</sup> k<sup>h</sup>wa:<sup>22</sup> tu:k<sup>22</sup>/超级便宜”。例 (25) 越南语，句中出现了“còn”与“cả”具有强调的功能，但其中“cả”可以省略，但省略“cả”之后，程

度意义则降低。

从跨语言对比来看,这种比较客体与比较结果形式相同的“比”字句,在泰语中,只有“k<sup>h</sup>wa:<sup>22</sup>/比”一词就可以表达出高程度意义,因此可以说这种高程度意义完成是结构赋予的。汉语和壮语中,出现了表示元语增量的“还”,所以表达这种高程度意义,除了结构赋予以外,“还”也有所贡献。越南语中,结构出现了“còn/还”与强调功能词“cả”,其中“cả”可以省略,但省略之后程度则降低,由此可说,越南语的这种高程度意义由结构、“còn”与“cả”三个成分体现出来。

从对比的结果来看,四种语言的共同点是这些格式都表达高程度意义,表示强调比较目标的某种特征的量度;四种语言的差异点是(一)壮语中只有名词能进入这个格式;泰语中名词与形容词可以进入这个格式,但形容词>名词;越南语同样是名词与形容词都可以进入该格式,但名词>形容词;(二)泰语中删去功能词“jɨŋ<sup>41</sup>”,句子完全成立,且表达高程度意义;越南语中,可以删掉功能词“cả”,句子仍成立,且表达高程度意义。

## 6. 结论

通过语料分析发现,汉语[S比X还X]构式具有这些特点:(一)从共时发展的角度来看,这类结构的扩展是不断类推的结果,这个扩展趋势表现为从实词到虚词、从具体到抽象;(二)从构式整体来看,这类结构表达一种“高程度”的整体构式义,是“比”字句阶梯性特征的结果,这种表达最终强烈强调了比较目标的某些特征;(三)从语义上看,进入X句法槽的成分本身与整个构式之间的语义兼容性是X不断扩展的重要原因。从跨语言对比来看,这种拘于“比”字结构出现而表达高程度意义是一种普遍现象,而非汉语独有的。此外,从汉语教学的角度来看,通过夸语言对比来展现这种结构的异同,还有利于帮助泰、越母语者学习或习得汉语。

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## 汉泰惯用语源域分类对比分析

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### 摘要

隐喻是人在日常生活中使用最多得较多的语言现象。认知隐喻理论认为隐喻归结于人们的生活体验，是一个或者两个以上概念之间的映射，它从一个较熟悉具体的概念映射到另一个不熟或抽象的概念。虽然人类的视觉、听觉、嗅觉、触觉等感官功能是相同的，但由于生活在不同的环境带下给人们不同的体验，使每个地区的人对同样的事物有不同的认知。惯用语是熟语中使用频率最高的一种语言现象。惯用语的特征是具有双层意义并且结构相当固定的语言单位，主要是通过一种概念来形容另一种完全不同的概念，即用隐喻来形容或者表达思想。汉语和泰语的惯用语都蕴含非常深厚的文化内涵，导致学习者没办法了解惯用语真正的含义。若想正确地了解汉语惯用语或者泰语惯用语，必须了解中泰两国的文化以及人民的思维方式。由于汉泰惯用语的数量和范围非常庞大，想更深层地了解汉泰惯用语，首先要了解汉泰惯用语使用源域的分类、数量和比例。本文通过收集汉泰惯用语将其分为物质层次，制度层次和精神层次，三个层次。再次分析汉泰惯用语使用的源域是否相同。在教学中若是教师了解汉泰惯用语的整体比例，以及每一层次各个领域中的异同，会对选择什么领域和要怎么解释惯用语有较大的帮助。

**关键词：**汉语；泰语；惯用语；认知隐喻；源域

### 1. 引言

由于中国的经济、政治、文化等方面的迅速发展，泰国出现汉语热的现象。目前泰国政府实行了在泰国推广汉语教育的政策，将在初-高中学校开设汉语课程。泰国汉语学习者的不断增长，学习汉语的各种问题也随之出现。由于中泰两国之间文化、生活方式以及生活环境的差异，导致两国学习者学习汉语和泰语的时候出现较多的障碍。在日常生活中惯用语是使用最多的一种熟语。惯用语是语言的精华，具有口语色彩，其特色是具有双层意义，能够体现出各个民族的认知心理基础和思维方式。从 cooper (1999) 的研究指出人类在日常生活中会使用大约 1000 万个隐喻和 2000 万个惯用语，也就是说，每个星期人们会使用 3000 个隐喻和 7000 个惯用语(转引自石洛祥，2009)。人们在口语上使用惯用语的频率较高，且大部分惯用语具有双层意义。若是学习者不够了解目的语的文化背景、该民族的生活和思维方式，会出现惯用语使用不当的问题。

汉泰惯用语数据庞大，要较全面地理解汉泰惯用语首先要了解其大概的数量和采用源域的趋向。本文通过隐喻认知理论和文化学的文化层次为切入点。隐喻理论认为，隐喻是两种或者两种以上之间概念的映射。人类将较熟知和具体的概念映射到模糊或者不熟知的概念上。而文化学将文化结构层次分为物质文化、制度文化和精神文化三种层次。可见认知隐喻理论和文化结构层次具有较相似的一点就是他们都是由一个具体到抽象的过程。但惯用语的源域不仅仅只

出现在文化的领域中，选择源域的范围非常广泛。因此本文将从文化结构层次的角度对惯用语进行分析，但是本文的分类跟文化学上的定义不完全一样，本文所收集的汉泰惯用语不完全具有文化内涵，只将文化结构层次作为参考。因此将汉泰惯用语分为物质层面、制度层面和精神层面，三种层面。

## 2. 研究目标与意义

本文以认知隐喻和文化结构层次的角度为切入点，从物质层面、制度层面以及精神层面三种层次将汉泰惯用语进行梳理和分类。得出汉泰惯用语在三个层面较全面的数据和趋向，以便于中泰两国的学者互相理解对方的语言和文化，以及能够较全面的理解汉泰惯用语使用源域的数据和趋向，为将来研究汉泰惯用语作出贡献。

## 3. 研究范围与方法

本文主要是探讨和对比三层面的汉语惯用语和泰语的 *สำนวน* (sam - nuan) 间的比例与趋向。本文惯用语的定义以温端政先生 (2014) 的定义为主，即非“AA:BB”格的描述语，结构相当固定，不限于三字格，具有明显的双层意义和口语色彩。而泰语的 *สำนวน* (sam - nuan) 的定义以曦娅 (2018) 的定义为主，即具有双层意义与比喻性、结构相当固定用于描述事件或人的行为、没有智慧性内涵的术语，是长期使用的一些唯美词语。

本文在收集汉语惯用语预料是以温端政 (2011) 《中国惯用语大词典》为主。而收集泰语 *สำนวน* (sam - nuan) 的材料，是以 *ขุนวิจิตรมาตรา (สง่า กาญจนาคพันธุ์)* (1998) 《泰语熟语 (สำนวนไทย)》、*ขวัญกัลยาณี* (2005) 《泰语熟语完整版 (สมบูรณ์ ครบถ้วน สำนวนไทย)》、*ดนัย เมธิตานนท์* (2005) 《泰语熟语的来源 บ่อเกิดสำนวนไทย》和 *วรวรรณ คงมานุสรณ์* (2010) 《了解泰语熟语 (รู้ถ้อยสำนวนไทย)》为主。

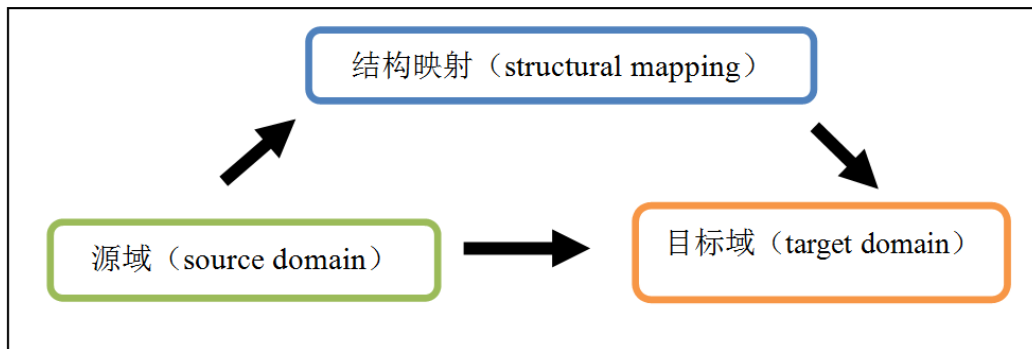
## 4. 汉泰惯用语源域分类

惯用语是每种语言特有的现象。汉语中惯用语有很多定义，但每个学者给惯用语的定义都有共同点，即惯用语属于语汇而不是词，具有双层意义，结构不限于三字格，可多可少，具有口语色彩，结构相当固定。本文认同温端政 (2014) 给惯用语的定义，因为如果要找出惯用语的性质而只考虑它的结构和语义未免太简单了一些，因此同时也应该从语汇学的角度来分与讨论。本文对惯用语的定义，即非“AA:BB”格的描述语，结构相当固定，不限于三字格，具有明显双层意义和口语色彩的语言单位。

泰语熟语中的三种下位类型，即 *สุภาษิต* (su-pa-sit)、*พังเพย* (pang-pei) 和 *สำนวน* (sam-nuan)。本人认为 *สำนวน* (sam-nuan) 和 *พังเพย* (pang-pei) 是属于语汇系统，结构相当固定，不能随便改动，它不包含知识性的语言单位，具有双层意义和丰富的口语色彩。汉语惯用语与泰语的 *สำนวน* (sam-nuan) 和 *พังเพย* (pang-pei) 有较相似的特点，因此本人将两者进行对比和探讨。

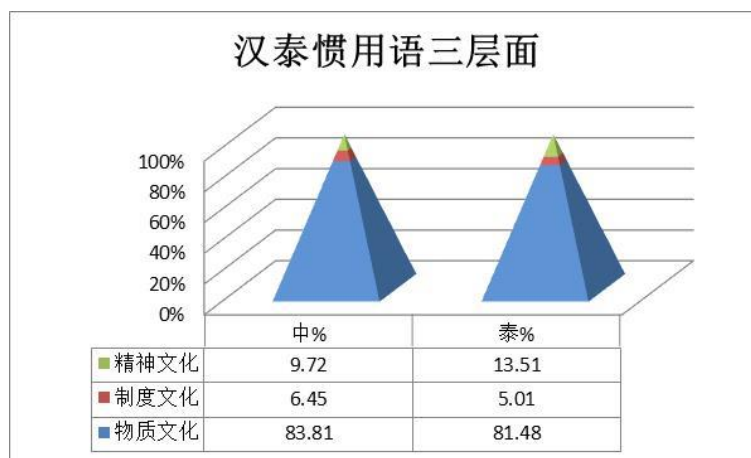
汉泰惯用语的特点是具有双层意义，也就是说使用一个概念来映射到另一种概念。该特点可用概念隐喻理论来解释。概念是人们通过亲身体验所获得的认知，对不同经历的人来说，概念有不同的含义。赵艳芳 (2001) 认为人类生存在客观世界中，当人类把客观世界中的对象范畴化、概念化，就形成了概念，概念藏于人的思维中，通过认知的过程，概念可以被符号化而形成语言系统。概念是人认识世界的产物，是对事物本质的反映，也是人类对世界的体验，是基于人的感官的东西。概念隐喻理论认为隐喻是两个认知域之间的一种固定和系统性关系，包括了四个部分：源域、目标域、经验基础和映射。认知隐喻机制是人通过自身的经验将自己较

熟知或具体容易理解的概念（源域）映射到了不熟悉或抽象的概念（目标域），如下图：



图一 概念隐喻理论中隐喻的映射过程（孙毅，2013）

可以说隐喻反映的是人类的认知和思维，而语言是能反映出隐喻的工具，同时也能反映出人类的认知和思维。可看出隐喻、语言和文化的关系是无法分开的。惯用语是文化的结晶，是各个民族普遍的语言现象，可以反映出各个民族对客观世界的认知、思维、社会生活和语言文化等。本文所收集到在物质层面、制度层面和精神层面有关的汉泰惯用语（包含每条较相似的汉泰惯用语）一共有 7,029 条其中汉语惯用语 5,193 条，分为物质层面 4,353 条（占 83.82%），制度层面 335 条（占 6.45%）和精神层面 505 条（占 9.72%）。泰语惯用语 1,836 条，分为物质层面 1496 条（占 81.48%）、制度层面 92 条（占 5.01%）和精神层面 248 条（占 13.51%），如下图：



图二 三层面的汉泰惯用语

三种层面的汉泰惯用语包括：

#### 一、物质层面的惯用语

1.使用人体器官为源域的汉泰惯用语，分为：头部、身体、肢体、骨头、内脏和分泌物体，等六种，如：缩着脖子做人——做人小心谨慎；ฝังหัว（埋头）——完全相信；开口见喉咙——一张口说话就暴露出真实思想；ถ้าปากก็เห็นลิ้นไก่（一张口就看见小舌头）——了解对方的想法，等。

2.关于自然环境的惯用语，分为：地理、矿产、地名、水文、天文、天气和烟火，等七种，如：走风声——泄露了消息或秘密；นุ่งลมหม่ฟ้า（穿风盖天）——裸身，等。

3.关于动物惯用语，分为：鱼类、鸟类、爬行类动物、两栖类动物、哺乳类动物和无脊索



类动物，等六种，如：龙下蛋——出现奇迹；ว่ายน้ำหาจระเข้（向鳄鱼游去）——知道情况危险但还是愿意冒险，等。

4.关于植物惯用语，分为：蔬菜类、果实类、草类、谷粮类、观赏性树植类和植物结构类，等六种，如：吃回头草——时候懊悔，走回头路；เห็นกงจักรเป็นดอกบัว（看到齿轮以为是莲花）——把不好的东西看成好的东西，等。

5.关于物品惯用语，分为：机械工具、衣物、家用工具、武器、交通工具、厨具、文具、农牧工具和其他类型，等九种，如：弄威柄——玩弄权力；มีดกรีดหิน（用到划石头）——做错了事永远都抹不掉，等。

6.关于建筑惯用语，分为：建筑物和建筑结构，等两种，如：坐冷宫——被冷落或闲置不用；บ้านเล็ก（小家）——第三者，等。

7.关于饮食惯用语，分为：肉类、蔬菜类、菜肴名字类、饮料类、味道类、调料类、烹饪类、吃格式类和药物类，等九种，如：尝苦头——得到沉痛的教训；หวานนอกขมใน（外苦里甜）——外面说得很好，其实心里面在暗算对方，等。

8.关于感官惯用语包括冷、热、气味和听闻，如：冷心换热心——冷漠变为主动、热情；หนีร้อนมาพึ่งเย็น（避暑来靠凉）——来依靠比较好的人或地方，等。

9.颜色惯用语包括黑色、白色、红色、绿色、黄色以及其他颜色，如：黑吃黑——坏人之间互相欺压；เสียงเขียว（声音绿）——生气地说，等。

在物质层面的汉泰惯用语指的是使用看得见摸得着的东西来作为惯用语的源域。本文收集到该层面的汉泰惯用语一共有 5849 条，分为汉语惯用语 4354 条和泰语惯用语 1496 条。汉语物质层面分为九种范围，包括人体器官 1504 条（占 32.32%）、自然环境 661 条（占 15.18%）、动物 471 条（占 10.82%）、植物 257 条（占 5.90%）、物品 812 条（占 18.65%）、建筑 199 条（占 4.57%）、饮食 453 条（占 10.41%）、感官 43 条（占 0.99%）和颜色 40 条（占 0.92%）。泰语物质层面一共 1,496 条，包括人体器官 348 条（占 23.26%）、自然环境 179 条（占 11.97%）、动物 412 条（占 27.54%）、植物 158 条（占 10.56%）、物品 229 条（占 15.31%）、建筑 49 条（占 3.28%）、饮食 114 条（占 7.62%）、感官 2 条（占 0.13%）和颜色 5 条（占 0.33%）。如下表：

表一 汉泰语惯用语物质层面对比

汉语	汉语%	泰语	泰语%
人体器官	32.55	动物	27.54
物品	18.65	人体器官	23.26
自然环境	15.18	物品	15.31
动物	10.82	自然环境	11.97
饮食	10.41	植物	10.56
植物	5.90	饮食	7.62
建筑	4.57	建筑	3.28
感官	0.99	颜色	0.33
颜色	0.92	感官	0.13

从上表可见，从物质层面的数量比例来看，汉泰惯用语存在着很大的区别。汉语惯用语数量最多的是人体器官、物品、自然环境、动物饮食和植物，而泰语惯用语出现最多的是动物、人体器官、物品、自然环境、植物和饮食。但在三种数量最少的惯用语中，如建筑物、感官和颜色，汉泰双方的区别不是非常明显。

在物质层面中汉泰惯用语数量最多的是使用人体器官和动物为源域。在人体器官中汉泰惯用语出现很多同样的源域，如：头脑、脸面、胸部、肚子、手、脚、腿、骨头、心、眼泪、口水、血和汗，等源域。但汉泰惯用语还出现独有的源域，如：汉语惯用语出现腮、胳膊、胳肢窝、膝盖骨髓、关节、胆和鼻涕，等源域。泰语惯用语独有的源域，如：臂肘，等。众所周知，泰拳是泰国最有名的一种运动和武术。泰拳练习者认为，在近距离的情况下，人体最有力量、最有杀伤力的部位就是 ศอก (臂肘)。泰拳中打肘的姿势有很多，通常对准对手的头、额头、眉头、眼睛、腮以及下巴，每种打肘都能让对手受伤或者晕倒，十分危险。因此在泰语惯用语中，ศอก (臂肘) 的杀伤力映射到了力量或者权威的概念中，如 “กินน้ำใต้ศอก (在别人臂肘下喝水) ——无奈地接受比别人低一档的状态，通常用于女性第三者”，又如 “ศอกกลับ (还臂肘) ——将麻烦或问题还击报复给始者”。而在汉语惯用语中，用胳膊来表示有力量或有威力的概念，如：“助一臂之力——给人以帮助和支持”或者“挖墙撩胳膊——在背后虚张声势，耍脾气”等。

汉语惯用语中最大的特色之一是“胆”。胆是人体器官的一种，古代中医认为胆有两种功能：一、胆储存和排泄肝分泌的胆汁，有助于肠胃消化系统；二、在人的心理活动过程中，胆能做出判断和决定。在古代中医学的理念中胆被定义为公正的器官，能够做出判断和决定，因此它能决定人的性格是否勇敢(王茂、项成东，2013)。汉语中关于胆的惯用语基本上都映射到了“勇敢”和“勇气”的概念，如：“七个头八个胆：人胆子非常大”或者“吓破胆：受到了极大的惊吓”。泰语中映射到“勇敢”的惯用语却使用了“肺部”或者“眼睛”，而不是“胆”。泰语使用“肺部”表示勇敢的原因不明确，人们各有各的说法。比较可靠的是，在拉玛五世时代，很多人得到了肺炎，得肺炎的人常有呼吸急促、喘气、脸色苍白发灰、精神萎靡等症状，正好跟人极度害怕的状态相似，眼睛也因为极度害怕而呈现翻白眼的状态。因此“肺部”和“眼睛”的病态症状映射到了“害怕”或者“不勇敢”的概念，如：“ปอดแตก (肺破)”、“ปอดลอย (肺浮起来)”以及 “ขี้ขลาดตาขาว (胆怯白眼)”都含有极度害怕或者非常胆怯的意义。

## 二、制度层面的惯用语

1.使用经济方面为源域的惯用语包括牌子、账、钱、生意和职业，如：牌子大——名声大，靠山强；อัฐยายซื้อขนมยาย (外婆的钱买外婆的零食) ——用别人的钱给别人的好处，等。

2.使用生死概念为源域的惯用语包括诞生与死亡，如：死不死，活不活——忍受巨大的精神痛苦；ตายตาไม่หลับ (死不闭眼) ——一直很担心或牵挂，等。

3.使用婚姻与家庭成员为源域的惯用语包括父母-子女、爷爷-奶奶、姥姥-舅舅、兄弟、亲人-朋友、夫妻和婚姻，如：回娘家——回到曾经工作、生活过的地方；นอกพ่อ (父外) ——做坏事，低贱的人，等。

4.使用社会地位为源域的惯用语包括皇帝、官、小姐-丫环以及主人-奴隶，如：背后骂皇上——讥讽人只敢在背后耍威风；ช่านอกเจ้า ข้าวนอกหม้อ (主人外的努力，锅外的米) ——做一些没有命令的事情，等。

5.使用政治方面为源域的惯用语包括军、兵、将、战争和阵，如：打冷战——双方(多指国家之间)进行不使用武器的争斗；ศึกหน้านาง（女人前的仗）——在心上人面前打架，等。

6.使用时间季节为源域的惯用语包括季节、节日和时间，如：打得船来，过了端午——行动迟缓，延误了时机；ซื้อผ้าหน้าหนาว（冬天买布）——价格高，等。

关于制度层面的惯用语，本文以人与社会的关系进行分类。从制度层面的角度来归类所收集到的汉泰惯用语，笔者发现该层面包括经济方面、生死观念、婚姻和家庭成员、社会地位、时间季节以及政治方面，六种范围。该层面收集到的汉泰惯用语一共有 427 条，其中汉语惯用语 335 条，泰语惯用语 92 条。汉语惯用语在制度层面分为六种范围：经济条件 81 条（占 24.18%）、生死观念 73 条（占 21.79%）、婚姻与家庭 57 条（占 17.01%）、社会地位 43 条（占 12.84%）、时间季节 41 条（占 12.24%）和政治 40 条（占 11.94%）。泰语惯用语在制度层面一共有 92 条，包括：经济条件 31 条（占 33.70%）、生死观念 27 条（占 29.35%）、婚姻与家庭 11 条（占 11.96%）、社会地位 16 条（占 17.39%）、时间季节 6 条（占 6.52%）和政治 1 条（占 1.09%），六种范围。如下表：

表二 汉泰语惯用语制度层面对比

汉语	汉语%	泰语	泰语%
经济	24.18	经济	33.70
生死	21.79	生死	29.35
婚姻家庭	17.01	社会地位	17.39
社会地位	12.84	婚姻家庭	11.96
时间季节	12.24	时间季节	6.52
政治	11.94	政治	1.09

以上表可见，汉泰惯用语使用制度层面为源域的趋向较相似，数量最多的是关于经济方面的惯用语。在使用经济方面为源域的汉泰惯用语同样出现关于金钱、账目、生意和买卖，等源域。汉语惯用语独有使用的源域如：牌子、幌子、收入、本钱、成本、支票、店面和摊子，等源域。使用经济方面为源域的汉语惯用语常与做生意的职业相关。汉语中有“开店”和“摊子”的惯用语，中国人用“店”和“摊子”的合伙特征映射人的行为、心理状态和同伙或集团的概念，如“散摊子——解散原有的集体、组织”和“开黑店——组织阴谋集团或犯罪团伙”，等。而使用经济方面为源域的泰语惯用语和做生意的职业及其他职业相关，如“รถไฟ เรือผม ลีเก ตำรวจ（开火车 开船 演戏 警察）”包含着不能相信、善于沾花惹草的意思，泰国人认为这四个职业不停地在外漂流，不能长时间地停留在某个地方，因此映射沾花惹草的男人。

使用经济方面为源域的汉泰惯用语可以展现出两个国家独特的文化特色，地区不同、文化不同，语言也会反映出不同的意义。但在“钱”的概念基本上是一致的，即利益、给人好处、行方便。

### 三、精神层面的惯用语

1.使用宗教信仰为源域的惯用语包括基督教、道家、佛教、和尚、佛教仪式中使用的工具、

佛教的核心教义和佛教的活动，如：神仙一把抓——人的能力非凡，能将于大奥的问题一下子都解决掉；ซีปล่อยปลาแห้ง（尼姑放生干鱼）——假装做好事，等。

2.使用鬼神文化为源域的惯用语包括妖怪、神、鬼、阎王和鬼魂，如：撒迷魂药——让人迷惑的语言或行为；ปล่อยผี（放鬼）——有时候让自己或他人释放一回，等。

3.使用习俗迷信为源域的惯用语包括占卜、咒语和祭祀，如：摆路祭——做牺牲品；ตัดไม้ข่มนาม（砍木压名）——做某个举动让对方感到害怕，等。

4.使用娱乐游戏为源域的惯用语包括文艺、音乐、乐器、运动和游戏，如：唱驴皮影——暗箱操作；ศรศิลป์ไม่กินกัน（两箭吃不下）——双方力量相当，难分胜负或者双方不能和睦相见，等。

精神层面指的是人与自我意识之间关系所获得的，是人的内心世界。在精神层面中，汉泰惯用语分为娱乐游戏、鬼神、宗教和迷信四种源域。该层面一共收集到 753 条惯用语，为汉语惯用语 505 条，泰语惯用语 248 条。使用娱乐游戏为源域的汉语惯用语有 222 条（占 43.96%），使用鬼神为源域的汉语惯用语 147 条（占 29.11%），使用宗教信仰为源域的汉语惯用语 118 条（占 23.37%）和使用习俗迷信为源域的惯用语 18 条（占 3.56%）。泰语惯用语 138 条（占 55.65%），使用宗教信仰为源域的泰语惯用语 59 条（占 23.79%）、使用鬼神为源域的泰语惯用语 31 条（占 12.50%），和使用习俗迷信为源域的泰语惯用语 20 条（占 8.06%）。如下表：

表三 汉泰惯用语精神层面的对比

汉语	汉语%	泰语	泰语%
娱乐游戏	43.96	娱乐游戏	55.65
鬼神	29.11	宗教	23.79
宗教	23.37	鬼神	12.50
迷信	3.56	迷信	8.06

以上表可见，汉泰惯用语出现的源域最多在娱乐游戏的范围，而鬼神和宗教数量排位中间，出现最少的是关于迷信的惯用语。本文将探讨数量最多关于娱乐游戏的汉泰惯用语。关于娱乐游戏的汉泰惯用语分为文艺（包括音乐、戏剧和文学）、游戏和运动三方面。娱乐游戏的特点是能反映出各个民族的文化习俗和生活方式。虽然汉泰惯用语同样出现的源域包括调子、歌曲、歌、鼓、หนังตะลุง（皮影）、象棋、打牌、赌博、风筝和足球，等源域。汉语惯用语独特出现的源域如：板眼、锣、笛子、琴、神话、戏曲、台、角色、双簧、电影、西游记、三国、画皮、金沙滩、把戏、杂技、西洋镜、谜语、雪球和乒乓球，等等。泰语惯用语独特出现的源域如：ซ้อง（泰国乐器-锣）、เป็（泰国乐器，类似于笛子）、ขลุ่ย（泰国乐器，类似于笛子）、โขน（孔剧）、โนราห์（泰国南方传统的戏剧）、เห่เรือ（赛船诗歌）、รามเกียรติ์（罗摩衍那）、นิทานชาดก（佛说本生经）、พระอินทร์（因陀罗）、ชนไก่（斗鸡）、พนันจิ้งหรีด（斗蚱蚱）、งูกินหาง（蛇吃尾巴）、泰拳和赛船，等。

汉泰惯用语同样出现了“皮影”，但汉语惯用语的“皮影”和泰语惯用语中的“皮影”也会反映出不同的风格和种类。在惯用语的隐喻意义上也有一定的区别。汉泰语惯用语使用皮影为源域出现了“唱驴皮影——暗箱操作”，“ชักใย（啦线）——在幕后操作”，等。该惯用语以人

在幕后拿着皮影演戏映射到了人暗箱操作的概念。而泰语中使用皮影委员与还出现了“หนังหน้าไฟ（火前的皮）——比别人先受到灾难或不好的后果”。该惯用语从皮影演出时使用皮在火面前表演，受到火的热度的感觉映射到了第一个受到不好后果的概念。

## 5. 结语

本文对惯用语的定义是非“AA:BB”格的描述语，结构相当固定，不限于三字格，明显具有双层意义和口语色彩。由于所收集到的汉泰惯用语的数量庞大，不能全面进行详细分析。因此本文从三种层面角度将汉泰惯用语分为物质层面的惯用语、制度层面的惯用语以及精神层面的惯用语。本人发现不管数量方面、采取题材方面或者理解隐喻意义方面中泰间都有一定的异同。

从各层面的汉泰惯用语可见，虽然汉语惯用语和泰语惯用语的数量比例相差较大，但整个惯用语系统的结构是相同的。在三层面的惯用语中，物质层面的数量最多，精神层面的数量排第二，数量最少的是制度层面的惯用语。作为最基本的物质层面惯用语的数量最多。但第二层的制度层面惯用语的数量却少于精神层面的惯用语。也就是说，物质、制度和精神的三个层面结构并不完全影响到惯用语的数量。

第一层，物质层面的惯用语。从数量的方面来看汉泰惯用语在物质层面有较大的区别。汉语惯用语从种类数量最多到数量最少的是，人体器官、物品、自然环境、动物、饮食、植物、建筑、感官和颜色，而泰语惯用语种类从数量最多到最少的是，动物、人体器官、物品、自然环境、植物、饮食、建筑、颜色和感官，数量的排行反映出中泰两国人民通过使用周围环境来制造惯用语的不同因素。由于中国的历史悠久，中医在世界上赫赫有名。中国人对人体器官有一定的认知和了解。而泰国是一个热带国家，动植物种类丰富。因此泰语惯用语中数量最多的是关于动物的惯用语。

第二层，制度层面的惯用语。该层次的数量在三个层面中是最少的。制度层面是关于人与社会之间的制度，包括法律、经济、婚姻家庭等等。从数量的角度来看，在制度层面中的汉泰惯用语采取题材的种类基本上是相同的。最多出现的题材是以经济方面为源域的惯用语，最少的是使用政治战争方面为源域的惯用语。而使用婚姻家庭和社会地位为源域的数量不大相同。

第三层，精神层面的惯用语，在三个层面中数量排第二位。精神层面是一种看不见摸不着的文化，包括宗教信仰、娱乐习俗、文学艺术等方面。该层面中，中泰两国的惯用语数量最多源于娱乐游戏类，而关于习俗、迷信类的最少，但两国间使用宗教和鬼神方面的惯用语数量也不尽相同。

从使用源域的角度来看，虽然大多数是采取相同的题材来造出惯用语，但还是出现一定的区别。从所有的惯用语中，不管汉语还是泰语，物质层面的惯用语都占 80% 以上。汉泰惯用语在物质层面采取相同的题材比较多，但由于地形、气候以及生活环境的区别使两国的惯用语有一定的差别。而对于制度层面和精神层面中泰两国大部分采取不同的题材构成惯用语，如：使用节日的时间和意义、军事中的军、兵将和阵法、家庭成员、以及宗教信仰的不同等。也就是说，在物质层面中两个国家的惯用语还是出现很多共同点，而制度层面和精神层面能更明显地反应出汉泰两国的独特文化习俗、生活方式以及民族的思维方式。

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### 摘要

本文以中國文化大學校本部學習華語的華語中心的韓國學生為研究對象，這些韓國學生來台灣學習華語，程度約為 TOCFL Band B 級的程度，本文收集量化數據。量化數據包括自然語言的口語練習，針對韓國學習者口語練習的聲調偏誤調查。本文探討韓國學生學華語常出現的聲調偏誤，韓籍人士學習華語時，對聲調詞組的不同理解及韻律模組的差異，會對學習者產生干擾，就會有腔調上的差異。實驗研究方法為教師聽辨研究方法，研究學生聲調偏誤，韓漢的韻律結構差異可能造成學習者對聲調詞組的不同理解，韓語中的韻律模組，不存在於漢語中。除了理解韓語及漢語的差異，還要理解韓語聲調詞組中的模組，及區分的方法，如送氣音或是硬音在音高上有所不同會對聲調模組產生不同影響。從聲調偏誤了解到韓國聲調受到韓國韻律模組的影響，導致在學習漢語時產生了負遷移。

**關鍵詞：** 中韓偏誤分析；對比分析；負遷移

### 1.文獻探討

華、韓漢字字音、字義之間的關係，也會在韓國學生的華語表現上產生正、負遷移的影響（盧順點，2015）。為發揮韓國學生漢字認知正遷移，同時避免負遷移影響，從「語言差異」和「偏誤現象」出發，擬出字詞教學應用建議及教學排序（許葳，2012）在實際的語音應用上，若遇到字音相近字時，提醒學生盡可能地先利用韓語的漢字發音先推敲華語的語音，再聆聽華語母語者的語音，並對照其舌位及口型，將華韓語音無差異的字音直接遷移，而有細微差異的字音就調整華語發音。而語義的應用方面，以「字」為單位時，先提供學生一系列的相關詞彙使其自行猜測華語詞義，再以韓語釋義之方式給予學生明確解釋；以「詞」為單位時，則視詞彙的義意、固定搭配用法與語法功能的不同，為學生說明並加以區辨。至於語音的教學排序為，唸讀正確率較高的字音相近字先於正確率較低的字音不相近字；語義的教學排序，亦從學習者表現較好的同形同義詞著手，再次為異形同義詞、逆序同義詞，最後才是漢韓語言差異較明顯，且學習者最容易混淆不清的同形近義詞和同形異義詞教學。

華、韓漢字字音、字義之間的關係，也會在韓國學生的華語表現上產生正、負遷移的影響。為發揮韓國學生漢字認知正遷移，同時避免負遷移影響，從「語言差異」和「偏誤現象」出發，擬出字詞教學應用建議及教學排序。在實際的語音應用上，若遇到字音相近字時，提醒學生盡可能地先利用韓語的漢字發音先推敲華語的語音，再聆聽華語母語者的語音，並對照其舌位及口型，將華韓語音無差異的字音直接遷移，而有細微差異的字音就調整成華語的發音。而語義的應用方面，以「字」為單位時，先提供學生一系列的相關詞彙使其自行猜測華語詞義，再以韓語釋義之方式給予學生明確解釋；以「詞」為單位時，則視詞彙的義意、固定搭配用法與語法功能的不同，為學生說明並加以區辨。至於語音的教學排序為，念讀正確率較高的字音相近字先於正確率較低的字音不相近字；語義的教學排序，亦從學習者表現較好的同形同義詞著手，

再次為異形同義詞、逆序同義詞，最後才是漢韓語言差異較明顯，且學習者最容易混淆不清的同形近義詞和同形異義詞教學。

在中國文化大學校本部學習華語的華語中心，有韓國學生來台灣學習華語，程度約為 TOCFL Band B 級，本文收集量化數據。量化數據包括自然語言的口語練習，針對韓國學習者口語練習的聲調偏誤調查結果。

表 1 韓生語音偏誤分析 Part 1

學生名字	裴 A 元	金 B 恩	金 C 娟
國籍	韓國 Republic of Korea		
年紀	23	22	20
性別	女		
是否學過中文	有，學 16 個月	有，學 1 年半	有，學半年
來台灣之前在哪學中文?	上海 + 韓國學校	韓國學校	家教
在台灣住多久了?	1-6 個月	1 周	1-6 個月
是否有華語文證書考試?		沒有	沒有
為什麼學中文?	興趣	工作需求，好奇	工作需求

韓生語音偏誤分析 Part 2

學生名字	田 D 秀	金 E 迎	崔 F 鎮
國籍	韓國 Republic of Korea		
年紀	23	21	26
性別	女		男
是否學過中文	沒有	有，學 2 年	有，學 7-12 個月
來台灣之前在哪學中文?	在韓國自修	韓國學校	韓國學校
在台灣住多久了?	1-6 個月	10 天	1-6 個月
是否有華語文證書考試?	沒有	沒有	HSK4
為什麼學中文?	興趣	工作需求	興趣

## 2. 研究方法

本文研究韓國學生在台學習期間，在文化大學學習華語之口語資料檔，以聽覺辨認出韓國學生的語音偏誤，再收集語音數據加以分析。收集之口語語音資料檔，由韓國學生自行撰稿形容韓國學生自己的家中房子，在口說練習之機會，音錄韓國學生的語料內容。韓國學生可以自己畫圖形容自己家中的房子，再形容出自己的家，完全用口語表達。

表 2 聲調分析

	韓生 a 偏誤	韓生 b 偏誤	韓生 c 偏誤	韓生 d 偏誤	韓生 e 偏誤	偏誤總計
聲調	61	91	17	50	116	49
一聲	3	2	8	4	0	17
二聲	1	1	0	0	5	7
三聲	1	4	6	0	2	13
四聲	3	2	3	0	3	11
輕聲	0	0	0	0	1	1
偏誤總計	8	9	17	4	11	49



聲調總計	聲調偏誤%	聲調%
335	100	100.00
61	5.07	18.21
91	2.09	27.16
119	3.88	35.52
50	3.28	14.93
116	0.30	34.63

由於韓語是沒有聲調的語言，所以對韓國學生來說，掌握漢語的聲調是有些難度的，這是由母語負遷移所造成的偏誤。其實母語負遷移是韓國學生乃至所有外國學生出現偏誤的主要原因。

聲調是漢語語音的一大特點，也是外國學生的學習難點，一聲上不去，四聲下不來，三聲不會拐，二聲不會提。肢體學習法 SEA 的提出 Zhang F (2006, 242) *The teaching of Mandarin Prosody, A somatically – enhanced approach for second language learners.*，以肢體語言和全身的律動，來帶領外籍學生發出正確的聲調，學會正確的漢語聲調發音，聲調偏誤通常是外國學生開始學習漢語語音時的共同特點。而且很多學生直到高級水平也無法讀出正確的發音聲調。根據 (Lin 2007)，漢語的韻律結構中，在音節之上，音韻字之下還有音步一層，這與韓語不同，韓語並沒有音步這一階層，音節之上便是韻律字。

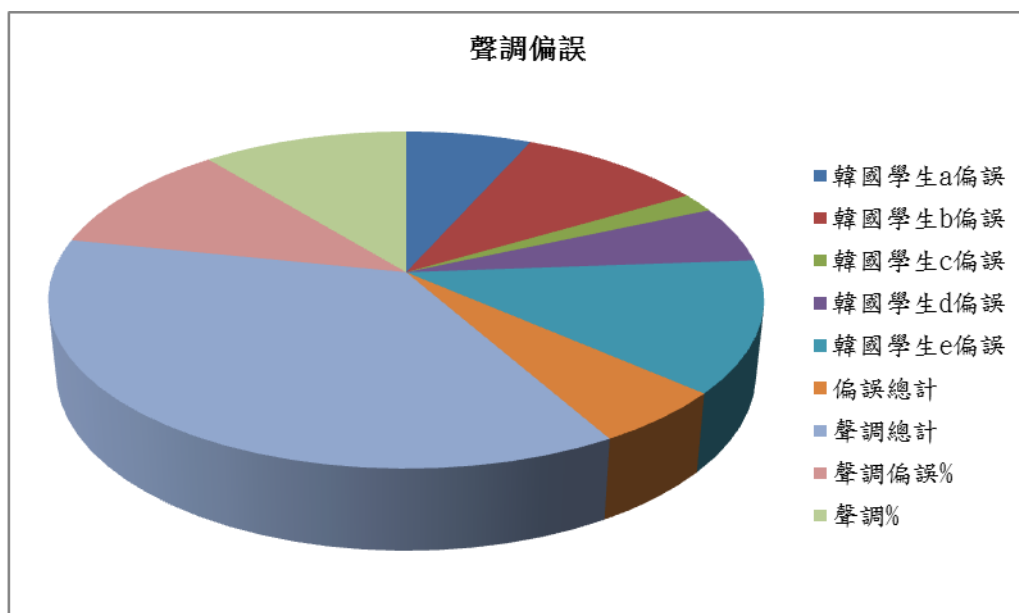


圖 1 聲調偏誤

本文研究韓國學生在發音時的漢語聲調偏誤，每個韓國學生唸出的聲調有偏誤時，可由以下的圓餅圖可看出哪個韓國學生的偏誤多，哪個韓國學生的偏誤少，偏誤百分比多的學生即是漢語口說聲調偏誤多，即我們一般稱為——華語講話不標準的。

偏誤較少的韓國學生的偏誤，在圓餅圖上即可看出該生的偏誤百分比比較少，偏誤百分比多的學生即是漢語口說聲調偏誤多，即我們一般稱為——華語講話挺標準的。

### 3.研究結果

#### 1. 聽覺分析

##### (1) 聲調偏誤

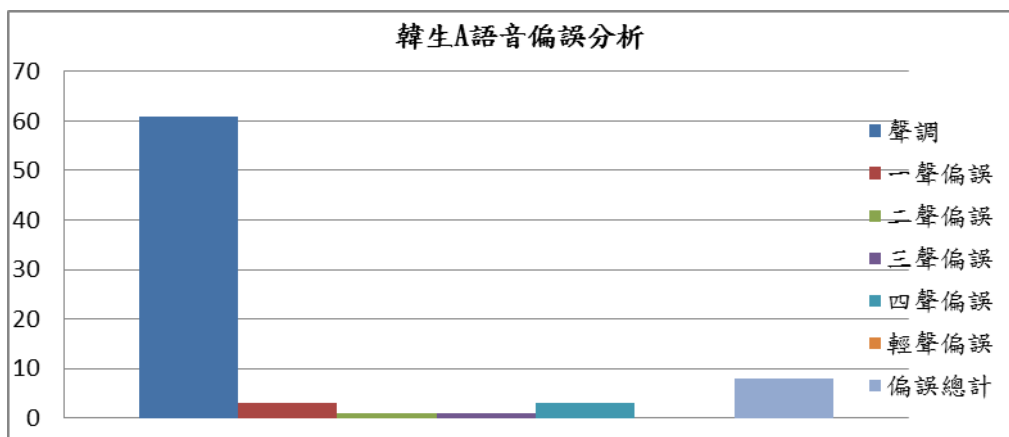


圖 2 韓生 A 語音偏誤分析

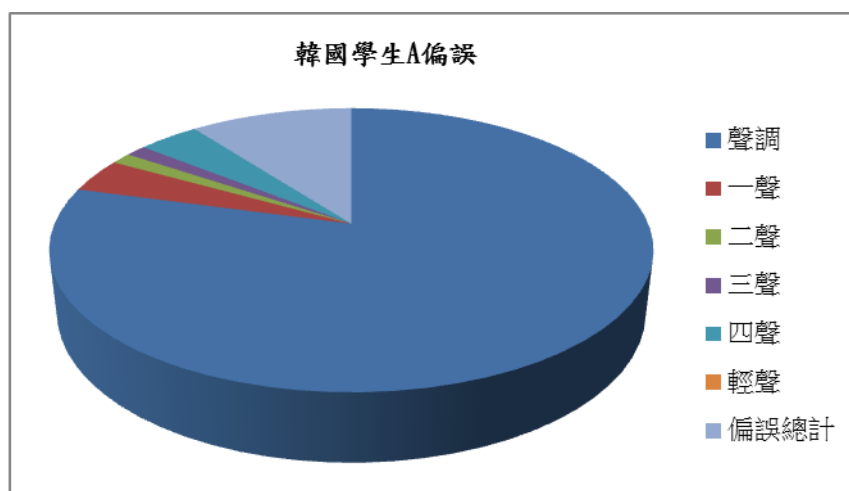


圖 3 韓生 a 語音偏誤分析

從圖 2 和圖 3 中可以看出，韓生 A 在一聲和四聲的聲調偏誤較為明顯，因受到韓國母語負遷移影響所導致。

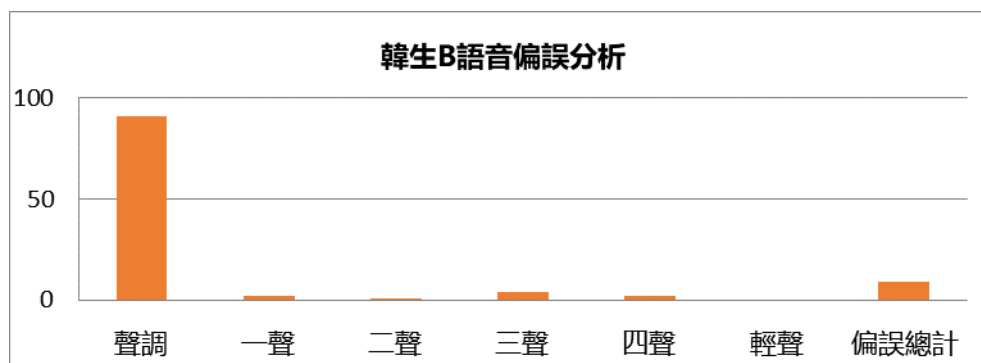


圖 4 韓生 B 語音偏誤分析

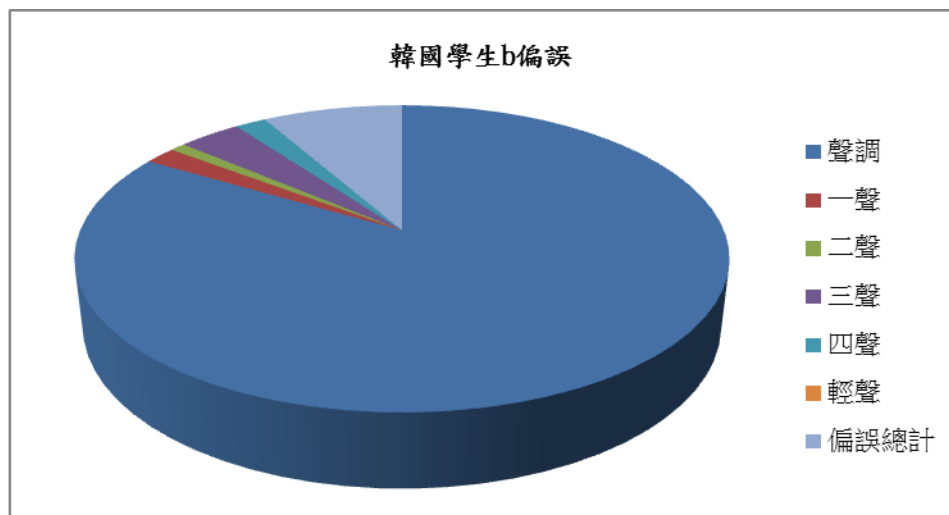


圖 5 韓生 B 語音偏誤分析

此位韓生 B 的三聲的聲調偏誤顯然較前一位韓生 A 多，但兩位韓生輕聲偏誤較少。

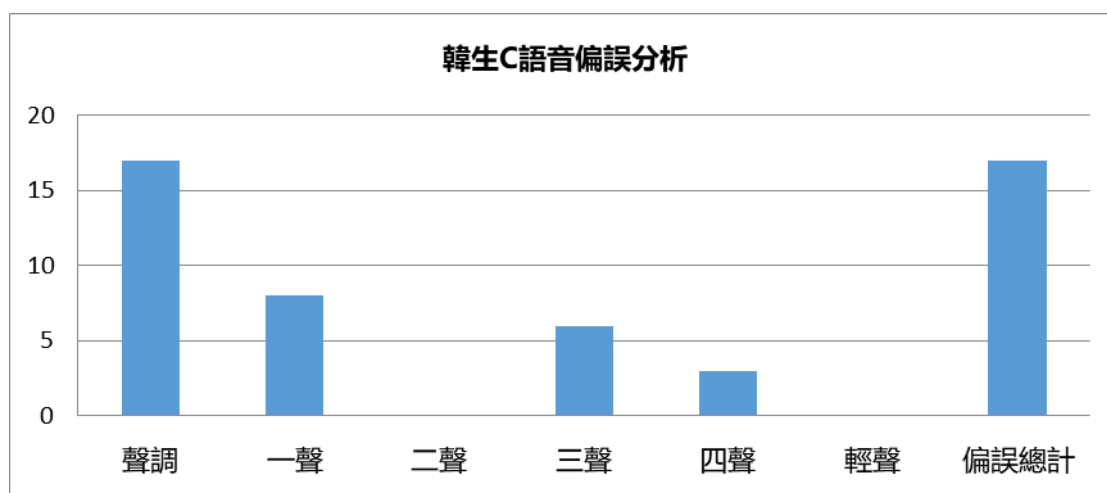


圖 6 韓生 C 語音偏誤分析

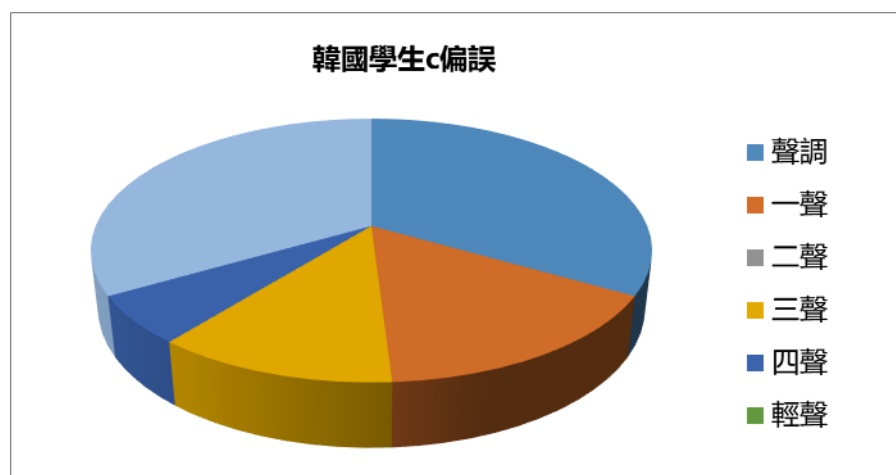


圖 7 韓生 c 語音偏誤分析

此位韓生 C 的一聲的聲調偏誤顯然較前一位韓生 A 多，但二聲和四聲的偏誤較少。

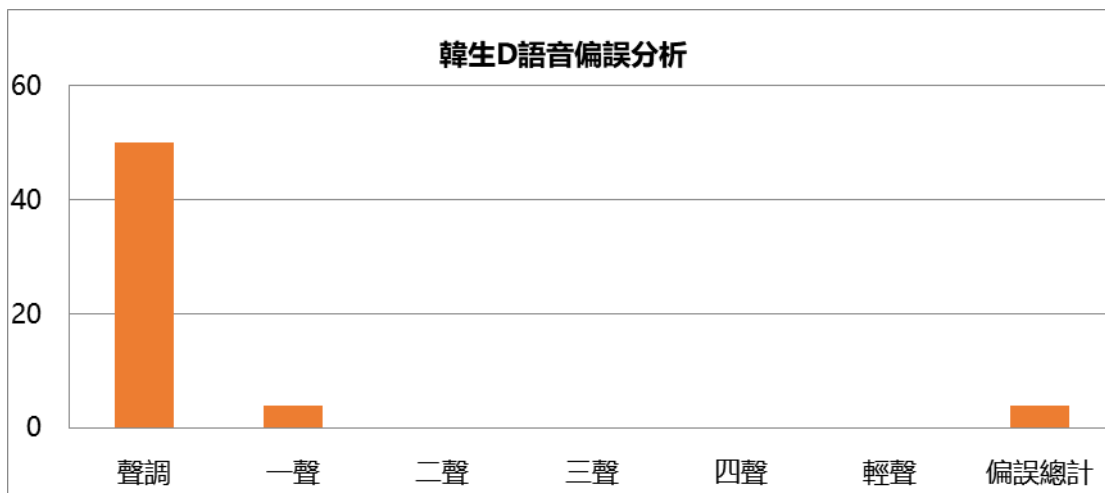


圖 8 韓生 D 語音偏誤分析

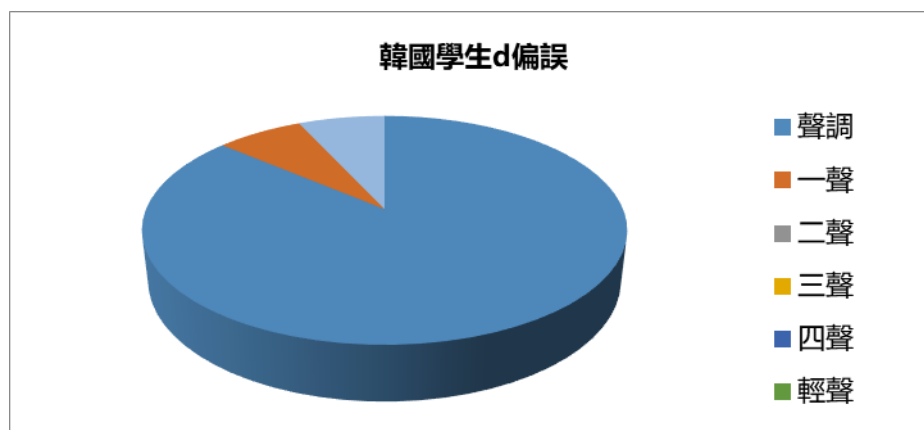


圖 9 韓生 D 語音偏誤分析

韓生 d 的聲調偏誤較少，此韓生的偏誤以一聲較多，因此學生具漢字背景。

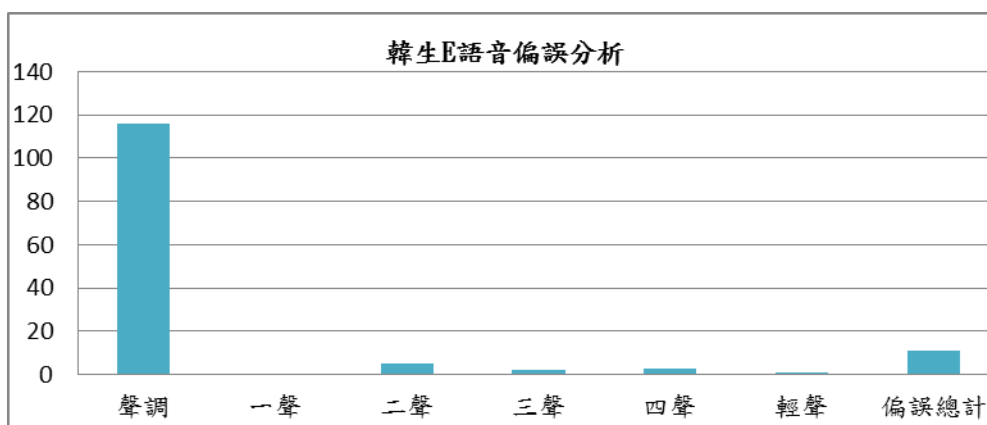


圖 10 韓生 E 語音偏誤分析

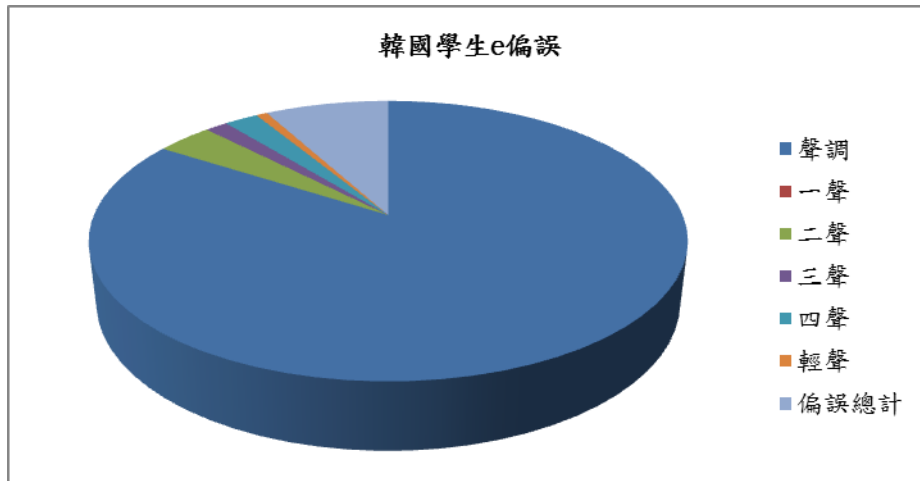


圖 11 韓生 e 語音偏誤分析

此位韓生 e 在輕聲有點語音偏誤，但在一聲偏誤顯然少許多，這些來台的韓國學生顯然受到華韓漢字字音之間的關係，與華語語音唸讀正確率呈顯著關係。在後附頁為韓國學生的語音錄音檔。

本研究以量化研究方法，從數據中去分析聲調，也透過數據進行對比分析，對學生習得漢語聲調進行實驗研究，更能了解韓國學生學習華語在聲調方面的困難性，研究顯示韓國學生在一聲的偏誤比率上較高，其次為三聲及二聲，輕聲的偏誤極少，由分析結果顯示韓國學習華語的學生在各個聲調偏誤的分布。

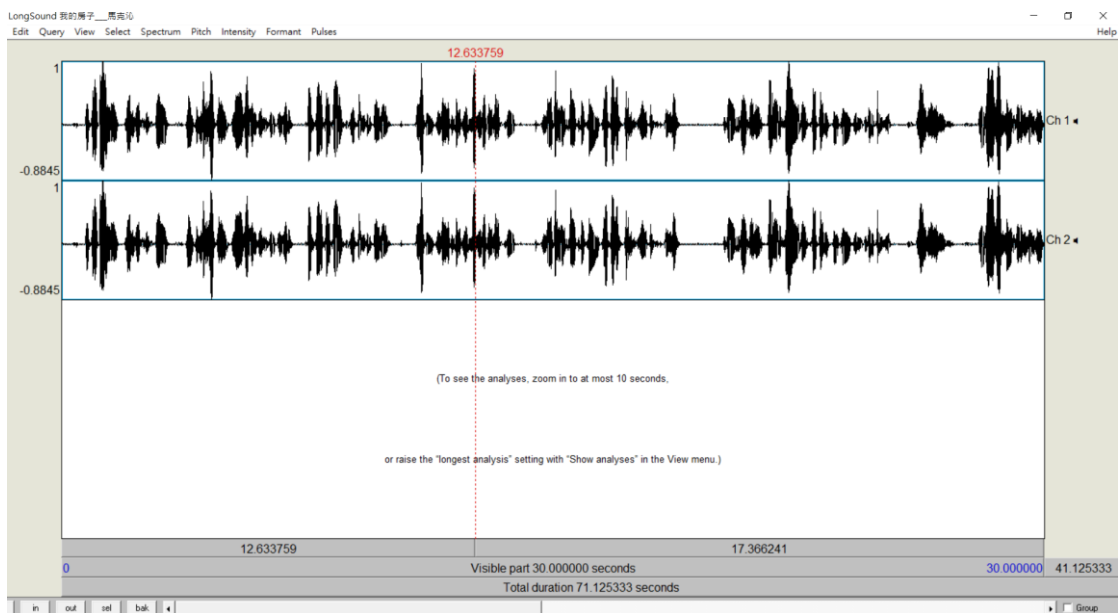


圖 12 韓國學生 我的房子 音檔 M1

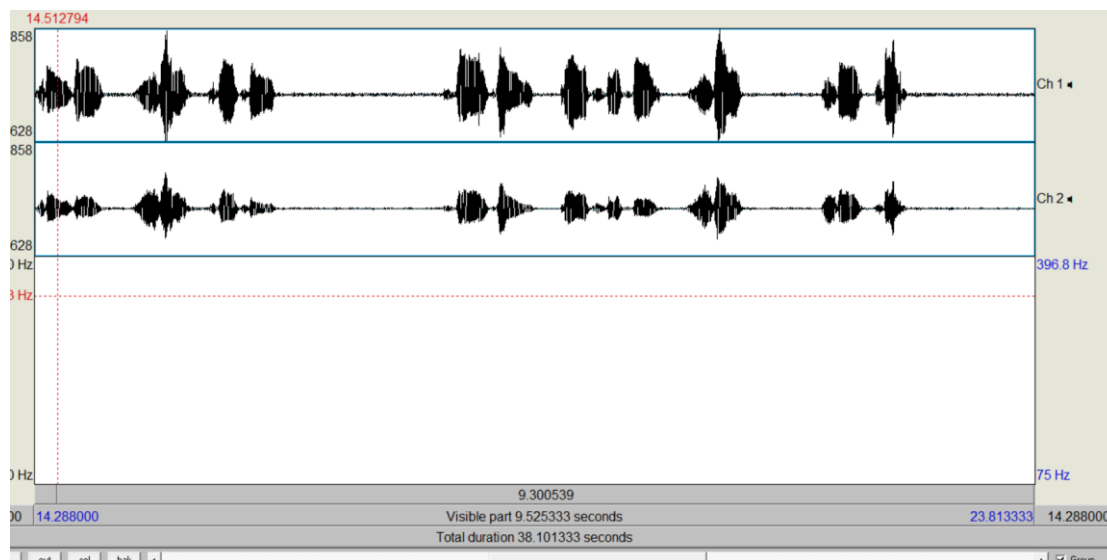


圖 13 音檔擷取圖 L1



圖 14 音檔擷取圖 m2

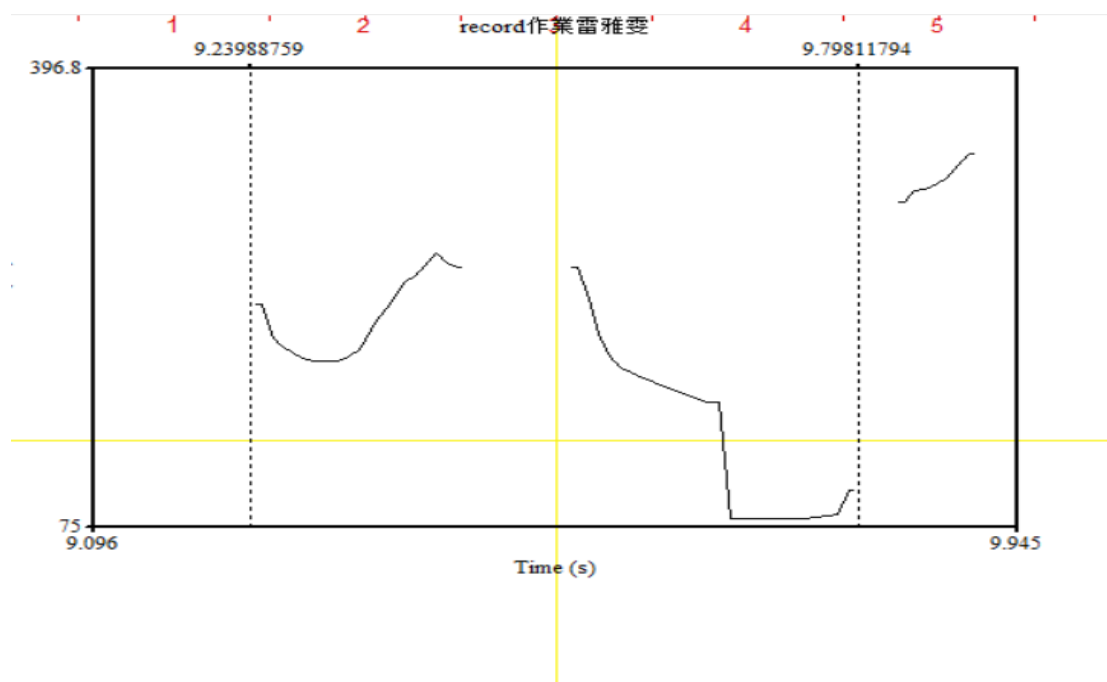


圖 15 部分音檔擷取圖 L2

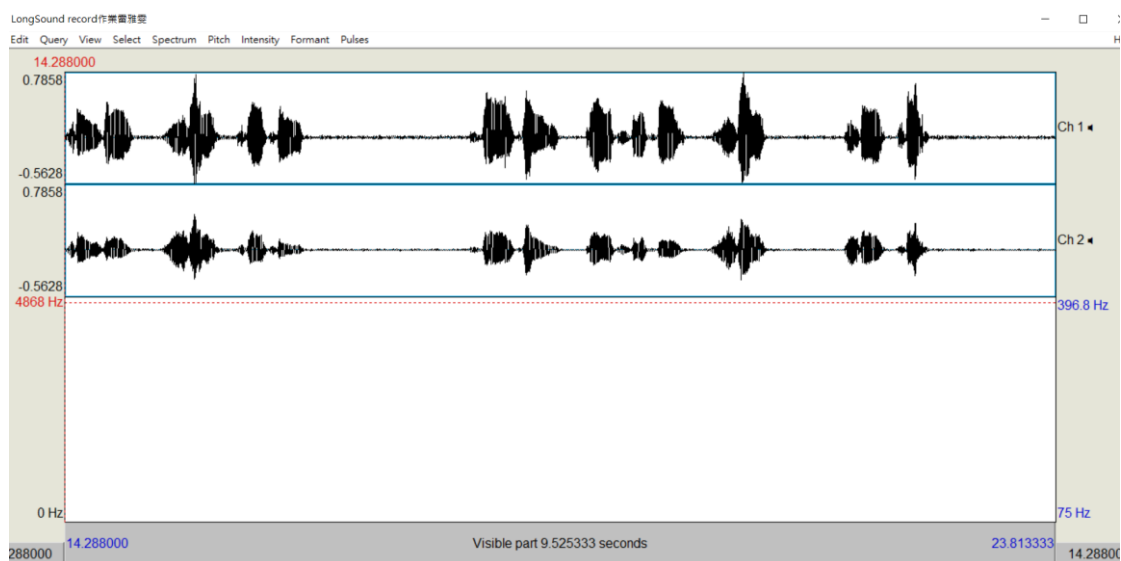


圖 16 擷取音檔圖 L3

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## 俄國學生華語聲調偏誤分析及教學建議

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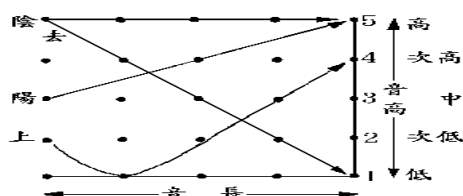
### 摘要

本研究以 3 位俄語學生的聲調偏誤為出發點，以實驗測試法和教師聽辨分析法為研究方法分析俄語學生的口語偏誤。數據來自三位俄國學習者來台學習每週 2 小時共 18 週，學習時數 36 小時的課程。數據的分析顯示俄國學習者在說話時聲調會往上或往下及起點音比較高。前人對俄國學生的研究大多數來自中國大陸地區，來自台灣地區的研究極少；前人研究中所提出的改進方法是以反復練習為主，但效果不太好。本文會探討反復練習、音樂啟蒙法、逐字標調法的教學和 Zhang (2006) 肢體教學法的實用度和成效。Zhang (2006) 肢體教學法以身體為中心，教學之中會用哼聲、拍手、節奏還有動作來教學，通過句型的節奏學習提高學習者對聲調與節奏的敏感性。肢體教學法已經用過教中國學生學泰語的課程上了。本文會詳細介紹肢體教學法的相關研究，以便為解決俄語外籍生華語聲調習得提出建議。

**關鍵詞：** 偏誤分析； 負遷移； 肢體教學法； 聲調偏誤

### 1. 研究動機

前人對俄國學生的研究大多數來自中國大陸地區，來自台灣地區的研究極少。本文為在台灣的俄國華語學習者的偏誤分析，俄語的語言本身是無聲調的，每個詞都含有重音節和非重音節，就算聲調變了，語意也不受到影響 (娜莉達婭, 2014)。華語通常採用 Chao (1930) 設計的「五度標調法」，趙元任建立一個坐標，把聲調的高低調值分為五度，分別用 1、2、3、4、5 來表示，其中 1 表示音高最低，2 表示次低，3 表示次中，4 表示次高，5 表示最高。這五度的區別沒有絕對頻率值，只表示相對的高低不同，也就是說，調值是相對音高而非絕對音高。調型即聲調的類型，指聲調高低、升降的變化模式。調域是指聲調的音值，陰平的音值 55 為高平調型，陽平的音值 35 為中升調型，上聲的音值 214 為曲折調型，去聲的音值 51 為全降調型。Chao (1930)設計的「五度標調法」圖示如下：



圖一「五度標調法」

### 2. 文獻探討

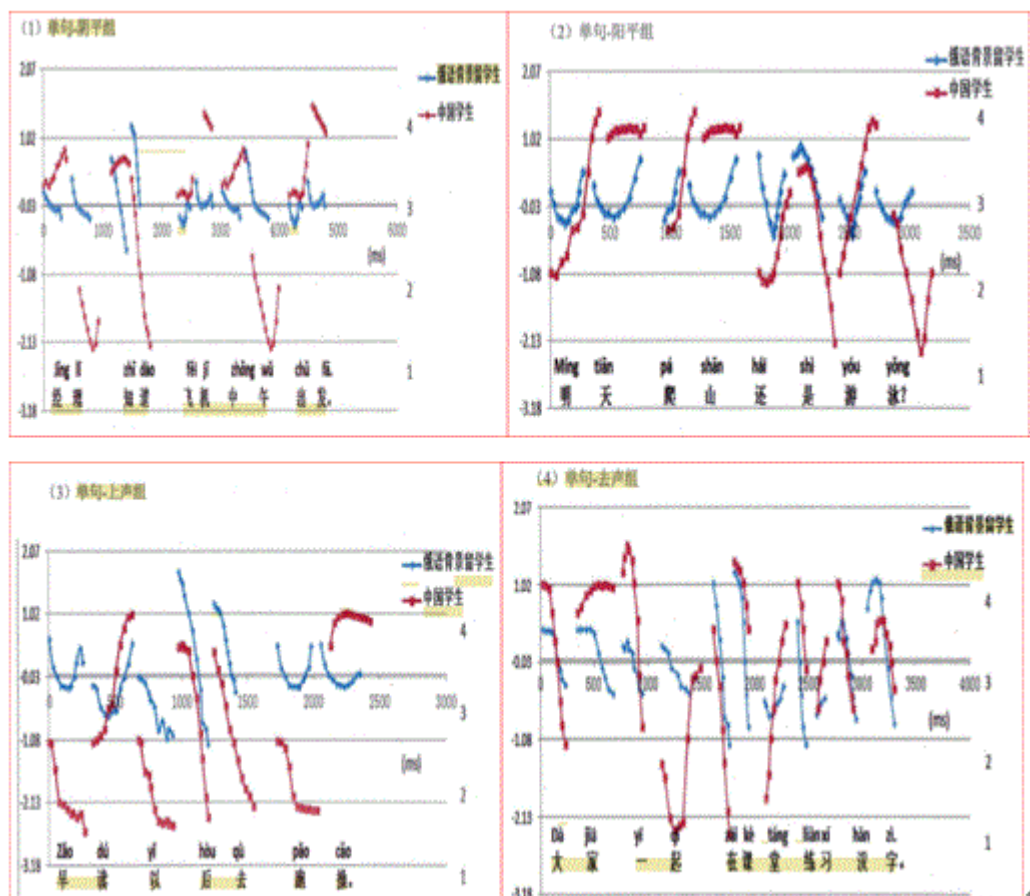


張娟，楊新璐（2016）在聲調研究上陷於孤立的單字調或雙字調的研究，華語語音研究僅僅局限於孤立的單字調或雙字調研究，少數研究關注了單字或雙字在進入語流後的偏誤研究，未有研究涉到自然的，以句子為主的語言交際層面。

娜斯佳（2014）提到傳統的對外華語語音教學主要依靠趙元任先生的五度標記法，對於沒有聲調概念的俄羅斯留學生來說，這種方法不是很好。雖然俄語為俄國通用語言，但在華語習得時，學習者可能還受到不同的母語因素的干擾，導致其偏誤表現的差異。娜達莉婭（2014）利用上聲變調規則選取了兩字組、三字組和四字組的詞語作為上聲變調習得語音實驗的語料。娜達莉婭（2014）發現四位俄語學生華語變調難度的順序為二聲〉四聲〉一聲〉三聲。但提議從一聲開始訓練，然後教四聲，二聲和三聲。

李媛，洪勇明（2013）指出俄羅斯留學生的母語為非聲調語言，因此對聲調的感知很困難，其語氣和情感主要通過語調的上升和下降來表達，與華語聲調的作用有本質的區別。他們受母語中聲調音高的影響較大，因而對普通話聲調的學習造成干擾。大多數留學生學習華語都以模仿為主，把母語作為學習第二語言的媒介，自然會從本族語中尋找與之相近似的音位或音素進行語音模仿，結果造成偏誤。在他們的研究中俄語學習者的話語聲調難度的順序為四聲〉二聲〉三聲〉一聲。

李樂之研究是唯一利用單句測驗俄語背景學生發音的研究。用 adobe audition 錄音，然後用 Praat 分析學習者的發音。以下四張圖是其研究中的俄羅斯學習者跟中國學生在四種句子上的聲調比較。因為本研究也只是分析了句子，李樂之結論為本研究提供的俄羅斯學習者華語四聲習得的證據：



圖二：俄羅斯學生單句，陰，陽，上和去聲組的四聲發音。

總而言之，每個調性俄羅斯學生們的調域都非常窄，中國學生的調域差不多比俄羅斯學生的寬一倍，而且兩國學生的句子起點都有明顯的差距。所以如要使俄羅斯的華語聲調習得有效，他們的調域和起點都得糾正。在探討聲調教學建議以前，本文先討論其研究方法和結果。

### 3. 研究方法

本論探討俄羅斯學生來台學習華語產生的聲調偏誤。華語聲調主要通過不同的音高來體現，聲調的音高主要確定基音的頻率從聲調的起點音高到終點音高是基頻的變化範圍也就是聲調的調域。本研究利用 Praat ([http://www.fon.hum.uva.nl/praat/download\\_win.html](http://www.fon.hum.uva.nl/praat/download_win.html)) 語音實驗軟件分析語音材料。Praat (2017) 語音分析軟件處理聲音、分析聲譜、分析音高、分析音強、分析共振峰，所得出的數據用於分析發音人與標準音在調域、調值、調型方面的差別。Praat 為自動測量功能，通過此功能可以測量出語音樣本的基頻。

#### 3.1 研究對象

俄國學生來台灣中國文化大學學習華語，是文化大學俄羅斯姊妹大學的學生，通常只在台灣待 6 個月左右，所以收集口語數據的機會較少，限制了本研究的有效性。因此本文只收集三筆口語數據。口語數據來自自然語言的口語練習，本文針對外籍俄國華語學習者口語練習的分析聲調偏誤。

表一 俄國學生基本資料

名字	年紀	學多久 中文?	來台灣前在哪學中文?	在台灣住多久?	是否有華語文證書考試?	為什麼學中文?
學生一	20	2 年	俄國學校	1~6 個月	沒有	興趣
學生二	20	3 年	俄國學校	2 個星期	HSK3 級	工作需要 興趣
學生三	22	3 年	中國大陸	6 個月	有	工作需要

#### 3.2 數據收集方法：聽覺分析法

本文研究分析數據俄國學生每週兩小時共 18 週，學習時數總共 36 小時的課程，華語口語材料來自他們的期中考第一個星期的作業。收集數據形式給予日常生活說話練習，語料內容包括問候、介紹、關於對方和對方的家庭問題和買東西等問題，學生不准讀稿子，得完全用口語表達回答問題。

Corder (1967) 認為分析與研究學習者在第二語言習得過程中所出現的偏誤應該用以下五步完成：1.將偏誤分析需要的語言材料進行客觀、系統地收集、整理 2.偏誤進行鑑別 3.按照不同類別劃分偏誤 4.找出偏誤產生的來源 5.分析評估存在的偏誤影響語言交際的程度。本文在研究過程中針對俄羅斯學生的華語聲調偏誤進行調查和分析時，研究者利用自然的說話收集語料進而將每一類聲調偏誤進行數據統計分析說明，將數據分析到最為精準，偏誤分析更加有客觀性以及科學性。

#### 3.3 研究結果

##### 3.3.1 聽覺辨識分析

表二 俄羅斯三個人各個聲調偏誤的平均值

	起點音高(Hz)	終點音高(Hz)	調域(Hz)
第一聲平均	252.55	230.16	-22.39
第二聲平均	243.82	222.64	-21.18
第三聲平均	194.00	169.49	-24.52
第四聲平均	239.90	239.11	-0.79
輕聲平均	331.71	308.36	-23.35

Tone 1	Maximum F <sub>0</sub> (Hz)	Minimum F <sub>0</sub> (Hz)	Pitch range for Tone 1 (Hz)
NS 1	150.85	147.18	-3.67
NS 2	162.70	157.21	-5.49
Average	156.78	152.20	-4.58

Tone 2	Maximum F <sub>0</sub> (Hz)	Minimum F <sub>0</sub> (Hz)	Pitch range for Tone 2 (Hz)
NS 1	116.79	133.62	+16.82
NS 2	125.24	150.83	+25.59
Average	121.02	142.23	+21.21

Tone 4	Maximum F <sub>0</sub> (Hz)	Minimum F <sub>0</sub> (Hz)	Pitch range for Tone 4 (Hz)
Ns1	162.01	119.98	-42.03
Ns2	160.49	127.31	-33.35
Average	161.25	123.65	-37.69

圖三 Zhang (2006)華語母語者(n=2)的各個聲調平均

從表二，學習者的各個聲調的平均值的顯示都是往下。圖三的 Zhang (2006) 的兩位母語者的數據顯示，四聲都往下，但本國人的四聲從 5 到 1 的幅度較大(-37.6Hz)，俄國學生說華語時的四聲沒有到位，下降幅度只有-0.79Hz。三聲和二聲聲調三位俄羅斯學生都是往下。這跟俄羅斯語音聲調有關，俄羅斯學生起音都過高，而且調域有窄。因此，聲調往下的時候往往都下不去，所以產生四聲的偏誤。一聲跟二聲俄羅斯學生的起音相對比本國人的起音還要高很多，因為她們都是女生，而 Zhang 的母語者都是男生。但是一聲和二聲又受到母語的負遷移影響終點音會往下，往下的幅度都超過 20Hz。俄羅斯在學習的一聲和二聲的時候，會發生說話語流的關係，受到句子的影響導致在發一聲和二聲的時候會發音會很像本國人發三聲的聲調導致一聲和

二聲的偏誤。這三位俄國學生在俄羅斯的時候，已經學過華語，但在口說的時候仍然會出現錯誤。

#### 4. 結論

本論研究在數據的分析顯示得知，來台學習華語的俄羅斯學生，本身就有華語的基本能力，產生聲調偏誤可能大多是在俄國學習時所發生的錯誤沒有被立即糾正過來，因此來台學華語時所產生出來的偏誤，還有自身的母語負遷移。多位研究聲調偏誤學者提出的教學方法大致雷同，很多學者的教學法的建議大多數是外顯的教學方法，例如：五度標制教學法 (李媛, 洪勇明, 2013; 娜達莉婭, 2014)，音樂啟蒙法和逐字標調法 (于紅偉, 2011)。只有娜達莉婭 (2014) 和李樂 (2014) 認為聲調聽辨法是一種直接訓練學生聽覺的方法。在訓練聲調的過程中，也只有娜達莉婭 (2014) 提出控制聲帶的鬆緊的重要性，但並沒有說明學生應該如何訓練自己控制自己肌肉的鬆緊。雖然每一位學者都覺得對聲調的認知很重要，但除了用五度標制教學法加強認知，好像沒有其他的提議。Zhang (2006) 的肢體教學法彌補了以上聲調教學的建議，提出了新的教學方法，避免抽象的學習方法。肢體教學法的學習環境需要有以下基本特徵：

##### 4.1 教學的教材以華語句子為主。

Zhang (2006) 指出採用在真實語境中出現的句子包括完整的語調、重音和其他韻律特徵來教授華語韻律不但可以幫助外籍華語學習者習得華語的語音系統，也有助於學習者同時探索新語言的句法系統。不需要把句子切成 2 或 3 字組。

##### 4.2 強調在語言學習過程中探索學習者的音高範圍(音域)。

Miracle (1989) 和 Shen (1989) 許多學生說華語時不知道聲調是什麼，更不知道應該從哪裡開始。他們認為華語二語學習者聲調上的偏誤主要來自調域(tone range)而不是調形 (tone shape)。例如，英語的人說英語時的調域往往比華語母語者說華語時的調域窄 (Zhang, 2006)。因此意味著充分瞭解學習者自己的音域對他們的華語語音習得可能會有幫助。Shen (1989) 並且建議在教學中不要使用聲調符號，在教學中需要讓學習者通過自己的耳朵探索自己的音域。程美珍和 趙金銘 (1985) 更提出了具體的聲帶控制方法，如何利用肢體訓練在外籍華語學習者的身體中建立一個產生四聲的機制提供了重要線索。這些線索對 Zhang (2006) 的實驗有根本性的啟示。Zhang (2006) 肢體教學法中所提倡的是如何使用節奏和動作使學習者加強對華語韻律的感覺，促使學習者內化對四聲的理解，並通過大量的練習使華語四聲的輸出自動化。

##### 4.3 避免抽象的語音認知方法而注重加強用身體感知的教學方法。

要教好聲調，首先老師們要瞭解語音，耳朵和身體的物理性質。聲學語音學(Acoustic phonetics)是語音學的一個分支，也被稱為語音聲學(Acoustics)。聲學語音學研究的是在嘴巴和耳朵之間傳播的語音的物理性質 (Crystal, 1997)。從聲學語音學角度來說，一個聲音中大都承載從約 50Hz 到 16,000Hz 的所有頻率(在各種音強之下) (Lian, 1980)。從理論來說，一個聲音聽起來可能都不一樣。根據耳朵之前受訓方式，各人耳朵似乎可以「選擇」聽什麼。第二語言學習者在學習二語時，傾向使用 Trubetzkoy (1939) 所稱的「母語篩子」(Mother tongue sieve)，就是通過使用他們母語熟悉語音感應習慣來學習目標語。換句話說，每個語言中每個聲音都具有一特定的「最佳」頻率，或多個「最佳」頻率，該頻率就是母語者能識別的感知頻率。當華語學習者無法學會某一個華語語音時，可能是因為學習者無法辯別其最佳頻率，因此，他們無法正確輸出那個語音 (Lian, 1980)。基於對聲音本質理解及其在口語作用，已故克羅地亞心理語言學家 Petar Guberina (1913-2005)在 20 世紀 50 年代對語言感知進行相關研究。根據其研究 Guberina 為那些有嚴重溝通障礙者開發了語調聽覺法(Verbotonal method: VTM) (Renard, 1975)。該方法基礎信念來自所有語用都是從口語演變而來，而且口語是一種社交活動。當發話者使用口語溝通時，語言的「意義」不僅通過語言要素傳播，更通過發話者節奏、語調、響度、停頓、肌肉張力(tension)和手勢中存在的聽覺和視覺資訊傳播。

對外華語教學最終目標在於教導外籍華語學習者打破學習母語過程中根深蒂固習慣。例

如，英語母語者說英語的調域往往窄於華語母語者說華語的調域。Zhang (2006) 實驗結果顯示 13 位澳洲籍男性英語母語者基本頻率平均值為 113.06 赫茲，低於 13 位澳洲籍男性華語母語者的 131.52 赫茲，在女性受試者團體中也是同樣結果。俄語母語者的調域也是很窄，所以用解決英語母語者說華語時的方法也許合適。若要打破這些根深蒂固習慣，創造一個讓外籍華語學習者個人及團體感到高度熟悉與安全的學習環境是不可或缺因素。此外，鑑於感知和發聲過程所涉及各種複雜性，學習過程必須是無意識的。因此，課程設計一定要避免華語和俄語語音系統等活動。因為類似活動會啟動華語學習者的「母語篩子」(Trubetzkoy, 1939)，也可能導致負遷移。因此建議在實體課程當中，故意不使用傳統認知負荷減輕措施如五度標制教學法或逐字標調法等，而把學生的精力放在感知華語聲調的過程中。

#### 4.3.1 肢體教學法的教學步驟

在成人學習者的第二語言習得過程中，他們的感知和產出系統很明顯地已經被母語影響。因此，當成人學習者開始學習第二語言時，外籍華語學習者會對華語語音產生「耳聾」現象(Trubetzkoy 母語語音篩子假說)。由於感知和產出可能在輸出-輸入彼此互相影響，因此外籍華語學習者需要密集地操練新發音模式，以便培養對目標語的「語感」，同時也須讓正在學習的語音聲學模型(Acoustic models)在長期記憶中定型。本課堂的語音敏感化階段教學流程就是要達到這個目的。

#### 4.3.2 語音敏感化階段

在每週兩小時課程中，第一個小時先實行此教學流程，一間能夠移動桌子和椅子的大型教室最合適，語言實驗室教學在此階段應避免。

##### 第一步：哼聲

為了說明 1-9 步驟的進行方式，本文將用圖一中的第一周的教學材料來顯示教學流程。第一課的學習目標是讓外籍華語學習者學會如何自我介紹。第一步共進行 5 次。在教第一句話「老師好」時，華語教師會要求外籍華語學習者站起來圍成一個圓圈，華語教師是圓圈成員之一，而非站在圓圈中間。然後，華語教師說「Please hum the sentence with me while walking slowly in a circle(請一邊慢慢繞圈一邊跟著我一起哼唱這句話)」。華語教師每次都會哼唱句子的節奏，然後請外籍華語學習者跟著哼唱。此步驟跟于紅偉的音樂啟蒙法相似，只是不需要教師認識樂譜，所以每個老師都應該能夠做到。

第一步是在沒有母音和輔音情況下哼唱這個句子 5 次。這個策略的目的是突出華語韻律特徵。在這個階段，外籍華語學習者隨著語調模型哼唱明確而積極地參與活動，聽完華語教師的哼唱語調模型後，教師要求他們重複哼唱。這是一種讓外籍華語學習者產出沒有母音和輔音句子的方法。對於以英語或俄語為母語和其他拼音語言為母語的華語學習者來說，刪除母音特別重要，因為這樣就可以促使他們優先考慮華語韻律的重要性。因為語言的輸入和輸出會相互加強。

選擇教材時必須考慮三個因素，才能提高輸出和感知的效益：首先，輸入結構應該最多有五到七個音節；其次，哼唱能讓外籍華語學習者能夠更好地感受到句子旋律模式；最後，與其他所有後面程式一樣，每一個步驟都將強化前一個步驟。句子也要哼唱五次。這個步驟主要作用仍然是重複練習句子模型以提高外籍華語學習者對語音和聲調的敏感度。

##### 第二步：跟著句子的節奏拍手

「Now, clap to the rhythm of the sentence with me while walking in a circle.」(現在我按照句子的節奏拍手，然後你們在繞圈圈的同時跟著我一起拍手)。(第二步)這個步驟也重複五次。外籍華語學習者在拍手的同時，也要哼唱句子的語調。外籍華語學習者一邊聆聽和「感受」語調模式，一邊開始走動。此時，外籍華語學習者按照華語教師示範句子節奏和語調走動。教師根據句子重音和話語特徵提供句子節奏。例如，在教授「老師好」句子時，如果句子以漢字形式呈現，由於文字之間沒有空格，除非學生已經瞭解句子的意思，否則閱讀句子時就無法辨別詞組。

如果外籍華語學習者僅通過閱讀學習，那麼便很可能於「老」，「師」和「好」之間加上停頓。但如果以口語為主，教師便用下列方式為該組詞語提供節奏：

[老][師] (暫停) [好]。

一拍一拍 一拍

跟著語調模式拍手為學生創造一種繞圈時可跟隨的節奏。跟隨華語教師時，外籍華語學習者也會跟隨華語教師劃分句子，這樣他們就會立即感受如何斷句。經過多次類似練習之後，外籍華語學習者會「知道」如何分割華語。這種隱性訓練過程與母語環境中嬰兒學習如何分割母語方式非常相似。

### 第三步：結合動作和手勢

除了發話者聲音物理變化之外，發話者身體哪些機制是負責音高、響度和節奏變化？聲學語音學中的肌肉鬆緊 (tension) 的概念包含這種關係。音高機制之一形容的是肌肉鬆緊跟語音產出關係。程美珍和趙金銘 (1985) 用不同聲帶緊張度來描述華語四種聲調：產出一聲時，發話者聲帶應保持緊張；產出二聲時，聲帶一開始既不緊張也不鬆弛，然後迅速緊張 (到了高聲時)；產出三聲時，聲帶在緊張後馬上鬆弛，然後再次緊張；產出四聲時，聲帶應該突然緊張，然後逐漸鬆弛。本教學法按照程和趙的描述開發出相應動作或手勢來訓練外籍學習者身體鬆緊度。

#### 產出第一聲時：要求身體保持緊張

為了讓外籍華語學習者在發出第一聲時體驗身體緊張，向上的動作非常重要。因為這動作會使外籍學習者肌肉感到緊張，並通過身體感覺產出語言。這種感覺也可通過手勢來感覺肌肉緊張。首先把手指展開並且手掌朝上，然後保持向上，好像試圖觸摸天花板一樣。當發音時，就要保持這種姿勢。此外，由於第一聲是從高頻率開始，此時身體的緊張度大於大多數人的平常語言習慣，因此需要額外肢體訓練來提醒外籍華語學習者必須從他們聲音調域最高處開始。如果要伸展個人肌肉系統來表達華語聲調，華語教師必需要求外籍華語學習者起立，並做各種動作或手勢，因此外籍華語學習者說話時可以同時體驗各種肌肉的協調。

#### 產出第二聲時：聲帶一開始既不緊張也不鬆弛，然後迅速變得緊張。

由於語音或漢字是在句子環境中教授，第二聲和其他詞彙一起教授。首先，第二聲在以下句子出現：

Nín guì xìng?

您 貴 姓？

為了讓外籍華語學習者體驗說「您」(第二聲)時聲帶逐漸緊張，建議外籍華語學習者雙手手指全部展開伸直，然後手掌應從臀部開始，逐漸將手直推到頭，同時發出「您」。此動作會產生弧形。每次遇到二聲華語教師都要用此動作提醒外籍華語學習者二聲時身體肌肉緊張度。比如，練習華語數字一到十時，也可以使用這種動作，因為十也是第二聲。

#### 產出第三聲時：聲帶在緊張後立即變得鬆弛，然後再次緊張。

平常說話時，華語變調規則很多。例如，第三聲在第一聲、第二聲和第四聲前面變成低平調，在另一個第三聲之前變成第二聲。在本課程中，外籍華語學習者在句子中遇到這個例句：

A: 老師好。

在例句中，第三聲「老」讀成低平調，此時手勢要從腰部的高度開始並保持平坦的高度。

#### 產出第四聲時：聲帶突然緊張，然後逐漸鬆弛。

例如：Nín guì xìng

你 貴 姓？

由於第四聲比其他聲調響亮，而且比學習者的音域低很多，所以華語教師說「貴」時就跺腳。

以上所形容動作和手勢為句子的出提供了必要肌肉緊張度。從過去 12 年使用肢體教學法教學成果顯示，即使第二語言學習者在哼唱和拍手步驟無法感知句子韻律，若加上肢體動作或手

勢，就能夠正確感知句子。因此，鼓勵外籍華語學習者於自我學習中使用動作或手勢很重要，這種訓練也有益日常溝通。

#### 第四步：嘴型模仿

在這一步中，教師說「Continuing with the movements, now mouth the sentences while I say them out loud (繼續做動作，然後在我說出句子時你們不要說話只用嘴型模仿)」來指導外籍華語學習者。這一步驟也是五次。(第四步)

到目前為止，在整個學習流程中，外籍華語學習者第一次聽到整個有意義的句子。但華語教師只要求外籍華語學習者不要重複句子，只用嘴巴模仿句子發音。這種技巧應可減少發音偏誤數量。然而，這並不意味著不再練習句子韻律成分。相反，儘管學習者們沒有發出聲音，但通過手勢他們仍得到練習機會。

在重複完整句子之前，外籍華語學習者已經多次練習例句。從第一步到第五步，每一個華語語音層次都已個別練習。在下一步各語音成分會回歸至例句中。

#### 第五步：在語調模式中添加單詞

接著，教師說「Now repeat after me(現在跟著我說)」，然後說出完整例句，把母音和輔音加回去。這個步驟也應重複五次。

之後教師讓每個人重複練習這個例句，同時也檢查每位外籍華語學習者是否能夠正確說出例句。教師再次哼唱韻律模式，並要求外籍華語學習者聽到韻律模式同時說出帶有母音和輔音例句，這會使學習者將迄今為止進行的各種練習和正常語音的產出聯繫在一起。這一步類似唱歌，哼唱代表外籍華語學習者「唱」這些詞的「曲調」。

#### 第六步：重複練習

為了進一步鞏固上述程式收穫，在適當時刻(對話結束時)可以用剛學會目標語玩乒乓球遊戲。例如，在練習以下對話之後，乒乓球遊戲可以這樣進行：

A:你好，您貴姓？

B:我姓 Davies，你呢？

A:我姓劉，你叫什麼名字？

B:我叫瑪麗，你呢？

A:我叫天星。認識你我很高興。

B:認識你我也很高興。

在乒乓球遊戲中，老師把一張舊紙捏成一個乒乓球，拿著球的人扮演 A 的角色。A 說完句子(例如，「你好，你貴姓？」)後，就把球投給另一位學生(B 角色)。當 B 接到球時，他應該用自己的細節回答問題。在這種情況下，B 要說「我姓 Davis，你呢？」。在說「你呢？」後，B 將球扔向另一名外籍華語學習者。在學習上述對話每兩個句子後都可以玩這個遊戲。

隨著外籍華語學習者信心增長，他們非常願意參加這項活動 (Lian, 1980)。雖然課堂情況不可能完全在外籍華語學習者掌握中，但外籍華語學習者可在課堂中按照自己進度和節奏參與。這是因為每次外籍華語學習者聽和觀察另一個外籍華語學習者產出對話同時，他們自己學習也被強化。通過乒乓球遊戲，外籍華語學習者有機會聽到其他同學如何使用學過句子交流，從而在他們腦海中也同時修正自己學習的語言知識。遊戲的隨機性也會產生一些緊張感，這種緊張感可鼓勵外籍華語學習者觀察其他外籍華語學習者表現，並隱晦地練習語言。

華語教師任務是仔細聆聽所有外籍華語學習者的輸出。當華語教師發現常見偏誤時，華語教師就有機會使用手勢和節奏來糾正外籍華語學習者偏誤。如果要獲得最佳結果，教師必須至少監督語音敏感化階段。如果華語教師檢測到外籍華語學習者對韻律結構有不正確感知，他必須立即採取糾正措施。當外籍華語學習者完成語言敏感化階段時，外籍華語學習者已經重複每一句約 35-40 次。這樣的重複練習顯然強化了外籍華語學習者對華語感知和產出。

### 第七步：檢查語義和對話活動

華語教師首先可以通過與其中一位外籍華語學習對話展示每句意思。華語教師在示範之後詢問外籍華語學習者「Now what is the meaning of the sentence?(這個句子是什麼意思?)」，外籍華語學習者自願用英語表達句子的意思，句子意思通常在幾秒鐘內可以確定。

要注意的是，在整個學習過程中，並不需要翻譯或寫下句子。外籍華語學習者自己寫下意思時就代表他們已可內化句子語音。在課程結束時，教師請外籍華語學習者們坐下來寫寫的筆記。在每堂課結束之前，全班一起使用課程材料做小組對話活動。

這七個步驟就是整個語音敏感化階段。在以往的研究中，被學生們稱為繞圈圈(walking in circle)流程。

課本句子首先在語音敏感化階段是以聽覺而非書面的形式呈現，刪除教材華語拼音意味著外籍華語學習者不該閱讀書面文字，而須先用耳朵輸入教材。但因外籍華語學習者皆已在自己國家受過基本教育，所以都想用自己拼寫方法寫下發音。為了延遲寫筆記衝動，首先就要執行第一步至第六步的流程。做完六步驟活動之後，外籍華語學習者筆記就成為強化正確感知目標語工具，而非障礙。如果第一步是傳統「跟著我重複」，外籍學生就會激發 Trubetzkoy (1939) 假說的母語語音篩子，會自動被迫使用母語習慣學習華語。事實上，如果一開始華語教師就允許外籍華語學習者使用母語拼寫，那麼第一步到第六步就不會起到任何作用。如果第一步是「Repeat after me」，無論以後花多長時間在主動技巧，全部精力和時間都會被浪費。

總之，在所敘述學習流程中，出現了幾個「非傳統」要素，例如，哼唱，肢體動作和手勢，嘴型模仿和重複練習等。學習過程中的步驟為外籍華語學習者提供了回憶聲調和華語韻律(聲調，語調，響度，語法結構和口語的節奏)整體的物理方式。這些措施建立了一系列學習步驟，這些步驟可用於在家自學，並協助外籍華語學習者理解日常生活語言。

本教學法已被用過教授華語和泰語 (Meesat, 2014; Zhang, 2006; Zhang & Buranapatana, 2008)，效果優良。Meesat (2014) 發現肢體教學法在抵抗學生的 L1 普通話幹擾方面取得了成功。以真實句子為出發點，在發音訓練中保留了韻律的各個方面，不僅有利於語言聲音的獲取，也便於探索新語言的句法系統。肢體教學法的教學方法前後中國學生停頓的位置有太大的轉變，證明中國學生能在適當的句法位置成功地停頓同時成功地學到泰語語法知識。肢體教學法還幫助中國學生通過在泰語韻律教學中使用身體動作，手勢和發音來減少他們的 L1 篩子。Zhang & Buranapatana (2008) 發現通過肢體教學法，學習者對生詞的記憶增加了很多。

研究者因此希望將來可用此方法教授俄國學生華語，以便進一步驗證此教學法的成效。當然驗證此教學方法最優越的教學場所應該是在俄羅斯本國教零起點的學習者。但這樣的機會很罕見。最近的實驗顯示中級華語學習者也能成功地矯正他們的聲調 (鄭振融, 2019)。

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## 泰语感叹词对比研究

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### 摘要

感叹词是表达情绪的一种重要方式，是沟通与互动中不可或缺的一部分，而感叹词即为情绪表达的一项重要方式。感叹词是人类表达喜怒哀乐等情感的词，是最富于表现力的词语之一。它丰富了人类沟通与互动的语言表达方式。学会它，有利于向他人表达和传递复杂的思想和内在的情绪，在日常生活中，起着举足轻重的作用。感叹词是人类自然反应或表达的生理反应，从自然的行为构成语言连续体的核心。但是目前针对汉泰感叹词的对比研究分析还没有报道。本文作者为泰国人，其母语为泰语，学习汉语多年，在研究汉语与泰语感叹词方面具有一定语言基础。

### 1. 选题背景与意义

语言是一种社会现象，是音与义的符号系统。人类将语言作为沟通与互动的表达方式。泰国皇家学院大词典（1982）指出：“语言是声音或者动作用来表达人类的想法与情感”。美国语言学家乔姆斯基（1968）说：“所有正常的人都具有语言能力，即使获得的语言是最简单的，这也远远超出了在其它方面都很聪明的语言能力”。美国语言学家萨丕尔-沃夫也说过：“语言不是本能的行为而是社会的习俗，是思维的工具，它同时也强烈影响和制约着思维。感叹词几乎存在于每一种语言中，而在这些感叹词中也有很多类似的地方。人类表达喜怒哀乐等情感的词就是感叹词。它不构成后面句子的一个语法成分，却在意义上与它有关连，后面的句子一般说明这种情绪的性质，原因。感叹词是语言中最富有表现力的词语之一。美国语言学家萨丕尔-沃夫认为：“感叹词可能是人类最古老的语言现象，是属于口头语的最古老的形式，代表着最原始的发声”。感叹词几乎在所有的人类语言中均能找到，常用于口语中，是口语中特有的现象。

感叹词几乎存在于每一种语言中，而在这些感叹词中也有很多类似的地方。人类表达喜怒哀乐等情感的词就是感叹词。它不构成后面句子的一个语法成分，却在意义上与它有关连，后面的句子一般说明这种情绪的性质，原因。感叹词是语言中最富有表现力的词语之一。美国语言学家萨丕尔-沃夫认为：“感叹词可能是人类最古老的语言现象，是属于口头语的最古老的形式，代表着最原始的发声”。感叹词几乎在所有的人类语言中均能找到，常用于口语中，是口语中特有的现象。

感叹词是一种“普遍存在却又被忽视的”语言现象（Ameka, 1992）。经国内外语言学家的长期研究，表达情感的语言工具在语言交流中依然没有得到足够的重视和深入的研究。虽然世界上的语言各不相同，但是感叹词在这些不同的语言中却是广泛存在的。对它们的使用不仅有悠久的历史，而且富有强大的生命力。或许在语言交流中，再没有一种语言现象能像感叹词一样复杂并容易引起争论了。

虽然语言学家很早就对感叹词有所注意，但是感叹词在的语言学研究中仅仅处于边缘地位。

近年来在理论语言学中感叹词的研究已经开始引起较多的关注，但是目前针对汉泰感叹词的对比研究分析还没有报道。汉语和泰语是两种不同的语言所以导致了学习者在学习的过程中有混淆和错误的使用问题。汉语感叹词与泰语感叹词的情感分类和意义不能一一对应。很多感叹词，都不能直接借助翻译的方式进行讲解，还需涉及语言习惯和文化的问题，这增加了教学的难度。了解两种语言中感叹词的异同，有助于深化我们对这两种语言体系的认识，有利于我们从词的角度准确理解和实现感叹语气的表达，本文拟在数量、分类和使用情况上对汉泰感叹词进行深入对比分析和研究探讨。本文作者为泰国留学生，其母语为泰语，学习汉语多年，在研究汉泰感叹词方面具有一定语言基础。当今世界经济全球化的趋势日益加强，中泰双方的交往与联系日益密切，因此对语言文化知识的掌握是非常重要的，甚至这对推动经济发展也有一定的积极作用。本文拟从感叹词的定义、类型、功能、结构等方面对泰语感叹词与汉语感叹词的异同点进行对比和研究分析，揭示汉泰语感叹词隐现规律的差异。本文旨在说明汉泰感叹词翻译与语言所产生的文化背景是密不可分的，进一步强调词性对比分析研究在翻译工作中的重要性。同时，该研究成果有望改善泰国学生学习汉语和中国学生学习泰语使用感叹词的不理想状况，使人们更加正确和恰当地掌握汉泰感叹词的使用。

## 2. 选题背景与意义

### 2.1 研究内容

汉语与泰语的感叹词，主要都在口语中使用，感叹词起源于人类自然的心理或者生理的反应，构成了从自然行为到核心语言的连续体。虽然对感叹词的研究已经有很多学者作了一些有益的探讨，但是针对汉泰感叹词的对比研究分析还未见报道。所以本文试图在前人已有的理论基础之上，更侧重于感叹词的实际运用及功能表达，通过对汉语与泰语两种语言的感叹词进行系统性的比较分析，本文将在从不同的研究角度，着重它们的语言基本概念的界定、基本特征、句法功能、以及表义功能等几个方面进行多角度、全方位、尽可能详细的描写，以此对汉泰对比分析，深入发掘汉泰感叹词的同与异。

### 2.2 研究方法

本文采用的研究方法如下：

1. 语料归纳法：通过收集的资料进行查读相关的文献综述资料，找出研究感叹词的方向。
2. 文献资料法：本论文将在所收集到的详尽的语料上，收集阅读人类学相关的研究，简要梳理国内外语言学家对感叹词研究的主要内容与成果。
3. 对比分析法：通过全面比较汉语感叹词和泰语感叹词两种语言的构成类型，普及状况和使用情况，我们发现感叹词的意义虽然丰富，但必须依附于一定的语言来说明，否则，感叹词的意义就具有模糊性和不确定性。Randal L. Whitman (1970) 的对比分析的步骤。

第一步：描写，借助于形式语法对所比较的两种语言进行详细的描写。

第二步：选择，由于不可能对有关的两种语言所有的方面都进行比较，因此，必须对要比较的某些语言形式（如某些语言项目、规则和结构）做些选择。

第三步：对比，对两种语言所选择出来

第四步：预测，在以上三个步骤的基础上，对外语学习者可能出现的错误和学习困难进行预测，这种预测一般是通过构进行比较的语言形式加以印证，并详细列出它们之间的关系。建

第二语言学习“难度层次”或通过应用心理学和语言学的理论来实现的。

### 3. 汉语与泰语感叹词的界定

#### 3.1 汉语感叹词的界定

感叹词（叹词）是人类表达的喜怒哀乐等情感的词，是最富于表现力的词语之一，例如：啊、哎、哼、哎哟、嗯、咳等等。感叹词是目前学术界争议较大的一个词类。在不同版本的现代汉语专著上，叹词的定义不尽相同。马建忠在《马氏文通》（1898），23 中认为“凡虚字以鸣心中不平者，曰叹字”。李德津在《外国人实用汉语语法》（话语教学出版社出版，1988），146 中提出“感叹词是表示感叹或者呼唤应答的词”。王力在《中国现代语法》（商务印书馆，1985），326 把感叹词成为“情绪的呼声”，说明其“是表现各种情绪的。自然，极微妙的情绪绝对不是呼声所能传达；它只是表示一种大概的情绪，未尽之外是须待下文整句的话来说明的”。中国社会科学院语言研究所词典编辑室编《现代汉语词典》中指出：感叹词是“表示强烈的感情以及招呼、应答的词”。黄伯荣、廖序东《现代汉语》将叹词归为实词。胡裕树版的《现代汉语》将叹词划归为虚词，但是提出，“这些词在句子当中的位置比较灵活，通常不同其他的实词发生特定的关系，也不充当一般的句法成分，但是他们能独立成句，所以是一种特殊的词类”。赵元任在《中国话的文法》中提出：“感叹词是唯一永远独用的语式，所以跟相连用的语助词正好相反”。黎锦熙在《新著国语文法》中将感叹词看成情态词的一类，提出感叹词是“用来表示说话时的一种表情的声音”。袁毓林(1998) 在《基于原形的词类系统》一文中,将感叹词描述为:“不能跟其它词组合,只能作单独成分的词”。他指出“叹词不跟其他词发生句法关系,经常出现在句子的前面,有时也插在句子的中间”。李竹(1999) 在《中文信息处理与现代汉语词类研究》一文中, 主要依据词的句法功能以及词与词的组合关系, 划分了一套适合于中文信息处理用的现代词类标记集。

#### 3.2 泰语感叹词的界定

泰语是东南亚国家最古老的语言之一，关于“感叹词”有很多学术家对感叹词提出不同的观点，例如：斑中·潘土么塔在《泰语形》（蓝康恒大学出版社，1993），221-223 中提出：“感叹词是当人类有情感的时候发出的声音，感叹词有许多按照个人的习惯发出的。虽然有相同的情感，但是常常也可以用不同的感叹词来表达。感叹词是可以表达人类的情感，不用说很长的话语，我们不能确定哪个叹词代表什么样的感情，因为同一个感叹词，往往可以表示多种的情感”。松坡·亚搜莫难在《沃尔特·迪斯尼漫画翻译成泰语的感叹词研究》（玛希隆大学，2002），3 中指出：“感叹词在语言里非常的重要，因为它可以表达许多的情感。例如：惊讶、喜悦、悲伤、愤怒、嫉妒等”。凯夕立·巴莫娜阿哟塔亚在《泰语词类的功能》（朱拉隆功大学出版社，1994），280 中提出：“如果我们不知道感叹词的表达意义，就不会明白说话者到底要表达什么。感叹词是为了表达说话者的某种情感而发出的声音 或者为了把话语变得更长变得更清楚”。卡差·同乐在《现代泰语》（阿莫出版社，1990），285 提出：“感叹词是发出的声音，如果用来表示开心、惊讶、悲哀的词、短语、或者句子里都叫做感叹词，感叹词可以有或者没有意义”。夕占·余差桐在《现代泰语课程的教学》（泰国潘纳空皇家师范大学，1998），177 中说出：“感叹词是为了表达情感发出的词语，为了体现情感，表达出人类话语中的态度与需求”。暖奴·塔昆各提扒善在《Vocabulary Street and Today English》（玛希隆大学，1998），24 中提出：“感叹词是用来表达情感与说话者的观念的词语”。皇家学院在《泰语大词典，皇家学院版》（阿束阐恩坛公司，

1995), 955 中指出:“感叹词一般发出在开心、惊讶、悲哀的语句中”。塔巴尼·娜控坛在《泰语基础》(1990), 310 中认为:“感叹词大部分的声音都是 อ/ฮ/ห 的声母。因为 อ/ฮ/ห 的声母是很简单自然发出的, 当人类在兴奋紧张的时候, 需要马上表达的感情, 就使用这些很自然发出的感叹词, 例如: โอ、เอ、เอ๊ะ、โอย้、เฮ้อ、เฮ้ย、หือ、หา 等等。这些感叹也时常加个感叹号(!)”。

从汉语与泰语感叹词的定义中, 我们也不难发现感叹词最为本质的特点, 汉语与泰语感叹词比较相似, 都是为了表达情绪情感与思想状态的词, 它们的功能都是有助于人类表达的喜怒哀乐情感, 为人与人之间的沟通与交流更真切。它们在句法功能都具有独立性, 在语义上大都不固定, 依据不同的语境来表达情感的意义。

#### 4. 汉语与泰语感叹词的基本特征对比

通过对汉语与泰语的基本分类与特征对比, 我们得出下列几点结论。

(一) 汉语与泰语感叹词的基本特征的相同点:

1. 两个语言, 感叹词后面都会出现感叹号(!), 可要注意的就是汉语在感叹的情绪较强时, 后面用感叹号(!), 如果不强, 通常用逗号(,)。例如: 啊, 原来是这样的!。
2. 汉语与泰语中的感叹词都是单音节和双音节。
3. 汉语与泰语的感叹词里都有“一形多义”的感叹词。就是可以用相同的字形来表达很多不同的感情。
4. 汉语与泰语感叹词里都有“一义多形”的感叹词。就是同一个意义, 有很多不同的字形。例如: 汉语有“啊、啊、咳、嘍、呀、咦、哟、哟、哎呀、哎哟”都可以表示惊讶的感叹词。泰语有“ฮ้า[ha:i/]、โอย้[?oè://hoæ:/]、ฮือฮือ[?u://huæ:/]、ฮ้า[?aè:w/]、เอ้[?e:i/]、แม่เจ้าโวย้[mEè://caè:w//woi:j/]”等等。都是可以表达惊讶的感叹词。

(二) 汉语与泰语感叹词的基本特征的不同点:

1. 由于汉语与泰语感叹词的语音结构的特殊性, 因此它们在书面语中写法多样性, 汉语一部分的感叹词是特殊的“形声字”, 均以“口”为义符, 声符表音, 比如: 咦、哟、嘿、哦、唉等等。而在泰语中这一特征并不明显, 它是辅音字母和元音字母构成的感叹词。例如: โอ[?o:/]、เอ[?e:/]、เอ๊ะ[?e:i/]、โอย้[?o:i:j/]、เฮ้อ[h@è:/]、เฮ้ย[h@è:j/]、หือ[huæ:/]、หา[haæ:/] 等等。
2. 汉语感叹词具有多义性。在不同的语境中具有不同的语调, 或高扬, 或低降, 或拖长, 或短促, 可以表达不同的情感, 从而具有不同的含义。比如: 哎呀/aiyā/音较短: 表示惊讶或者不耐烦。哎呀/aiyā/音较长: 表示为难。而在泰语中不同的语调, 高扬, 低降, 拖长, 短促不能区别意义, 它只能强调语言的意思, 使语言更加清楚。
3. 汉语里的一些感叹词是多音字(一形多音), 同一个字形在表达相同的感情的时候, 可以读不同的读音, 这个现象在泰语的感叹词中是没有的。
4. 在泰语中除了单音节、双音节与短语, 还有一些感叹词是句子, 因为当人类受到惊吓的时候, 就会发出自己习惯的感叹词, 不管是词、短语或者句子。例如: ไฟไหม้เจ้าข้าไฟไหม้เจ้าข้า[faj//maèj//caè:w//khaè:](失火了)、อกแตกแล้วโวย้[?ok//tE:k//lE:i:w//woi:j](我的心已碎了)、อกอึ้นจะแตก[?ok//?i://pEè:n//ca<//tE:k/](我的心快要碎了)、อุ้ยแม่ตาเถรตกรน้ำ[?u:j//mEè://ta://thæ:n//tok//na:i:m](我妈掉水里了)、

คุณพระคุณเจ้าช่วยลูกด้วย[khun//phraɨ//khun//caè:w//chuaè:j//luè:k//duaèj/](请阿弥陀佛保护我)等等。

5. 因为泰语的音节较少，所以泰语就会出现“补充感叹词”。这种感叹词不是为了表达人类的喜怒哀乐等情感的感叹词，而是为了使感叹词的声音拖长、强调语言的意思，使语言更加清楚。

6. 泰语的感叹词的表达根据个人、性别、年龄以及语言环境的不同有所区别。泰语的感叹词有分女性用语和男性用语，这一点在汉语中的感叹词是看不到的。

## 5. 汉语与泰语感叹词的句法功能对比

通过我们对汉语与泰语感叹词句法功能研究的同与异有如下。

(一) 汉语与泰语感叹词的句法功能的相同点：

1. 感叹词是语言中特殊的词类。功能而言，感叹词总是独立使用，这与其他任何一类词不用。就语义而言，感叹词不表示概念义，只表示某种感情意义。
2. 汉语与泰语两个语言的位置比较固定，汉语与泰语中的感叹词绝大多数出现在句首。
3. 不管是汉语感叹词还是泰语感叹词，在对话中都能发挥感情对白的作用。
4. 感叹词作为单独词形或固定词组时，具有某种交际功能和相应的语调。其类型包括表示肯定或否定；表达愿意和命令；表达各种情感和感觉；表示一般性提问和回答等等。
5. 汉语与泰语中若感叹词后面用了句末点号（。、!、?）的时候，该感叹词就成为一个独立句子。
6. 汉语与泰语感叹词都可以单独使用，为了表达一个相对完整的意思。
7. 汉语与泰语的感叹词后面都可以加句子，感叹词与后面的句子相结合，来表达各种情绪，此种情况最为普遍。
8. 汉语与泰语中的感叹词可以重叠，为了表示更加强烈的感情或者对某种事情的更积极地反应。比如：哈哈、嘿嘿、呵呵、啧啧、哎呀呀、哎哟哎哟 等等。泰语中的感叹词很少出现重叠形式的，而重叠形式是同一感叹词重叠的。例如：ฮ่าฮ่า[haè://haè://](哈哈)、อืมอืม[?u:m//[?u:m/](嗯嗯)、ช่วยด้วย ช่วยด้วย[chuaèj//duaèj//chuaèj//duaèj/](救命救命)。
9. 汉语与泰语感叹句都经常出现程度副词。
10. 汉语与泰语感叹句后面都经常出现语气词，经常用在句尾，为了表示种种语气。

(二) 汉语与泰语感叹词的句法功能的不同点：

1. 汉语的感叹词可以用作句子成分。虽然感叹词只能做独立成分，但是在某些句子中，汉语与泰语的感叹词可以直接活用，充当句子的语法成分。汉语感叹词在句中可以充当谓语、定语、宾语、状语和补语。可是在泰语中的感叹词没有这个功能。
2. 汉语与泰语感叹词都可以同一重叠使用。为了加重语气，凸显寓意的作用。但是汉语感叹词与泰语感叹词的重叠也有不同的地方，就是汉语感叹词除了可以同一重叠使用，还有一种重叠的形式，那就是重叠感叹词的词尾，可泰语是没有的。

## 6. 结语

综合以上篇章，本文对汉语与泰语两种语言的感叹词对比，将从感叹词的定义、基本分类与特征、句法功能、和表义功能等几个方面进行深入地研究和比较分析，并在研究的过程当中参考了国内与国外的文献，本文中的例举绝大多数是来源人类的日常用语、网络、词典、书上、

文学作品和文章，由此可以得出下列几个论点：

1. 情绪的表达为沟通与互动中是不可或缺的一部分，而感叹词即为情绪表达的一项重要方式。感叹词是人类表达喜怒哀乐等情感的词，是最富于表现力的词语之一。它丰富了人类沟通与互动的语言表达方式。
2. 从句法功能的角度分析汉语与泰语感叹词的同与异。相同之处在于汉语与泰语两种语言的感叹词位置比较固定，它们的位置绝大多数出现在句首，可以用作句子成分，虽然感叹词只能做独立成分，但是在某些句子中，汉语与泰语的感叹词可以直接活用，充当句子的语法成分。
3. 汉语与泰语中的感叹词都有多样性。所表达的心态、情感与各个感叹词之间并不存在对应关系。同一个感叹词，往往可以表示多种情感。相同的情感，常常可以用不同的感叹词来表达。这样表示的语气及语言色彩要根据具体的语言环境来决定的。比如，汉语感叹词“啊”、“咳”、“哎呀”和泰语感叹词“เฮ้ย”、“ โอ้โฮ”、“ ว้าว”都表示惊讶的情感。
4. 从汉语与泰语感叹词的表义功能，本文按照 Wierzbicka 的观点进行分类，可分为三大类：一、认知感叹词；二、情感感叹词；三、意志感叹词。可本文在三大类选出一类来进行，情感感叹词是三类中最大的分类，是表达说话者的情绪与情感。
5. 不管是泰语还是汉语都各有一套语音拼写系统的规则，但是在两种语言的感叹词中都能发现一些与自己的语音系统规则相背的现象。这些原生感叹词在音位及形态上具有一些反常性，它们具有其他词类所不同的语音构成。在汉语普通话的音节中，元音可以自成音节，辅音一般不可以单独使用，或者是一般都是一个辅音后面紧跟着元音，音节尾也只有一个辅音，辅音可以有两个、三个、四个，甚至五个连在一起。但是汉语感叹词的音节结构不同于汉语其它词类的音节结构，较为特殊。比如说有些感叹词可以由辅音独立成音节。例如：“嗯”(en)、“嗯”(m)、“哼”(hng)等。这些感叹词都没有元音，其中“哼”(hng)还是由“h”与“ng”和成的复辅音音节。在泰语中，基本词汇以单音节词居多，泰语基本上是由单音节的词组成，泰语有辅音字母或复辅音字母、元音字母或复合元音字母与发音音调组成的。如：“คุณพระช่วย” [khun/phraì/chuaè:j]、พุทธโธ [phut/thoè:]、โธ้ย [/ʔoɽj]。而且在不同的声调也有区分词汇和语法的作用。虽然泰语与汉语在发音上很部分共同之处（词语有音调），但泰语中包含着大量的梵文及巴利语字汇，大多数是多音节，元音有长短音，又有卷舌音、跳舌音，连音及因简化音节而出现的尾音。因此要讲一口清楚的泰语要注意三点：第一是音调（与汉语的音调有区别，还有一个标准汉语没有的音调），第二是长短音，最后一点要特别注意的是中文所没有的子音尾音。

感叹词作为一种特殊的词类，在语言交际中发挥着不可忽视的作用。人类为了实现语言交流，在语言中尽可能地使用更多的方式。情感意义的表达需要使用大量的情感词汇和用语，而感叹词就是其中最主要的成分之一，同时感叹词又是口语中最富于表现力的词语之一，用途非常广泛，因此学习和掌握感叹词的使用对于提高语言交际能力，表达复杂的思想起着举足轻重的作用。

当然，各种语言和方言的语音系统毕竟不尽相同，不同的民族以及不同方言的人对同种声音有不同的认知心理和社会心理。一种语言的任何词的语音结构都要大致符合本语言的语音体系，人类对声音的模拟只可能是近似的模拟。因此，汉语与泰语的语音上的相同，也只是一定程度上某种程度的类似，而不是完全意义上等相同。

因此我们不难理解，作为有着相同生理及心理机制的人类，具有比较接近的情感，这样产

生的情绪之声总会有些相似或者相近的。虽然每个原生类感叹词的产生,都有其偶然而必然的道理,但是它们的发音原本就是人们说话的时候最普通的表达情感和情绪的声音,经过长期地使用,这些声音就变成了表示说话者的某些专门情感的词汇。汉语与泰语中的感叹词,也是直接以人们在生活实战中的感叹声作为语音符号来传达感叹所系的情感向的。所以在所有词汇中,他们的表意最具有直接性,以至于人们通常根本意识不到它们作为符号媒介的中介性,而直接将其作为所指对象来感知体味,以声音来表达感情,这就是汉语与泰语的感叹词最显著的基本特点。

尽管汉语和泰语两种语言中的感叹词存在多种差异,但其作用大体上相同,都是为了使语言更加生动,形象,增强语言的表现力和感情色彩,在语言学的研究中,感叹词仅仅处于边缘地位。虽然近年来在理论语言学中对于感叹词的研究逐渐增多,但是至今为止关于汉语和泰语的感叹词的研究工作还处于初始阶段,还需要经历漫长的过程。本文也希望通过本论文的研究,引起人们对感叹词对比研究的重视,消除感叹词使用的偏误,加强感叹词在语言中更加广泛的使用,促进人与人之间的交流,加强人类的情感,甚至为促进世界各国文化的成功交流以及世界各国人民的友谊做出进一步的贡献。使无论是研究者还是学习者都对它有一个全新的认识,更好地理解、使用和翻译感叹词,从而促进、完整汉语与泰语感叹词的对比分析,并对对外汉语教学有所借鉴。

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## NKT 集团构建财务共享服务中心的研究

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### 摘要

本文应用文献研究法和案例研究法,通过对有关文献的查阅,以 NKT 集团为研究对象研究财务共享服务中心的构建思路问题;研究分析了 NKT 集团的财务管理现状,揭示出在财务管理方面存在的问题,并用 SWOT 分析法对该集团构建共享中心的可行性进行研究,通过对该集团构建的优劣势分析,为其正式实施搭建了框架思路,并最终制定出本阶段实施财务共享中心的步骤策略,即从业务选择范围、选址、流程再造、组织变革、绩效评价等方面开始实施。希望能帮助 NKT 集团建立适合其特点的财务共享服务中心,也为那些中型企业集团的共享服务建设提供参考。

关键词: 财务共享服务中心; NKT 集团; 构建

### 研究背景及目的

NKT 集团近年来在国内迅速扩展,设立了多家子公司;产品线不仅限于电缆产品,又新增了铁路零部件产品;产品不仅在国内市场销售,也在国际市场销售;同时,在各子公司建立了相应的财务核算和报销制度,但各子公司的财务管理水平不同,业务处理口径不一致,集团难以对各分子公司统一管控。同时决策环节冗长,已出现多次关键订单丢失。由此可见,原有的财务管理方式对其发展已构成阻碍,需要提高数据的透明度,保障信息的有效及充分传递。这就必须对原有的财务管理方式进行变革。其次,随着企业分支机构的新设,企业须投入管理资源,配置财务团队,完成从财务核算到财务管理的全部业务,这导致基层财务人员增加,重复的人力及基础设施投入增加,带来管理成本的增加。另外,各子公司资金的使用和沉淀,使资金分配不均衡的问题突出,资金成本压力很大。最后, NKT 集团管理层发现,原有的以财务核算为主的财务管理方式,无法切入企业的具体业务流程进行深入了解,从而无法进一步为企业的管理决策提供有效支撑。另外,随着新技术的不断发展,商业世界更加的复杂多变;财务服务的对象还应扩展到企业的各个职能部门和各级管理者,财务将不仅仅按月提供资产负债表、利润表和现金流量表,而是要从各个管理维度为各级管理者提供管理分析和报告,以此提升企业的判断力和竞争力。因此,向数据要效益、向管理要效益成为公司集团的新的战略要求。

本文将在梳理文献的基础上,通过梳理 NKT 集团现阶段财务管理的现状,发现其在财务管理方面存在的问题,结合财务共享相关理论,尝试为 NKT 集团构建适应其业务发展的财务共享服务中心,同时也为电缆及轨道交通行业的企业集团财务共享服务中心建设提供参考案例。

本文在写作过程中运用了文献研究法,参考了大量有关共享服务和财务共享服务的文献资料和相关书籍,通过分析梳理,借鉴了大量学者的研究成果,得出了本文的研究视角;通过应用该研究方法,形成了财务共享服务中心构建的总体概念,了解了前人对财务共享服务构建的研究和进展,得出了构建的关键要素以及这些关键要素如何在实际构建中应用。运用案例分析法,本文选取 NKT 集团作为研究对象,调研了该集团的实际情况,发现其现有财务管理方式已经不适应集团的发展,通过分析其共享服务管理的构建需求及可行性,为 NKT 集团财务共享服务中心的构建提供具体方法。对于部分欧美跨国公司和典型中国企业成功构建的案例,本文也有借鉴。

## NKT 集团财务共享服务中心的构建

### 一、NKT 集团概况及财务管理存在的问题

#### 1. NKT 集团概况

(1) 高新技术企业、上市公司。NKT 集团是一家成立于 2000 年初的高新技术企业，主要从事轨道交通高端装备研发、生产、销售和服务,2010 年初，集团在深圳证券交易所创业板上市。

(2) 业务类型多样,产品类别较多。产品布局划分为四大核心业务，主要有：轨道交通地面电气装备解决方案、车辆电气装备解决方案、信息化与安全检测解决方案、售后维修及运营维护解决方案。同时，集团也根据客户需求提供其他配套产品及服务。

(3) 分支机构多且分散。集团总部设在北京市中关村一科技园总部基地，集团在全国 24 个城市建立营销与服务平台，在北京、大连、成都、芜湖、广州、深圳、德国设有七个研发中心，在大连、成都、芜湖、东莞、江门、德国设有六个生产基地。

(4) 集团通过收购完成了规模的扩充，被收购公司人员素质、管理水平参差不齐。2017 年初集团完成了对德国 S 公司 100% 股权的收购。S 公司作为全球轨道交通电源领域的知名企业和技术领先企业，主要从事轨道交通车辆专用创新型辅助电源转换器及其他电气设备的研发、生产和销售。集团目前总资产近 40 亿元，员工总数超过 1800 人。

(5) 业务拓展迅速。NKT 集团是轨道交通行业产品创新解决方案覆盖全面且快速成长的公司，近五年收入复合增速为 35%，在手订单复合增速为 37%，2017 年达到 20.6 亿元。

#### 2. NKT 集团财务管理存在的问题

##### (1) 人力资源成本和运营成本高

NKT 集团是逐步建立的，随着各个分、子公司的设立，人员也随之配备，然而因不同地区的业务类型不同、业务规模差异较大，合理分配各分、子公司财务人员的工作量难度极大。一方面：当区域分子公司的业务量增加时，财务岗位承担的工作量增加，需要新增人员配备，当该区域业务量减少时人员又会出现闲置。另外，鉴于财务工作的特殊性，也不适宜安排过多的临时招聘人员；另一方面，难以制定统一均衡的集团薪酬制度。随着集团分支机构的增加，集团需要平衡集团的统一管理权和分支机构的授权，为此，财务人员在在一个分支机构工作若干年后需要跨区域轮岗，以破解分子公司管理的本地化，防止授权失控。鉴于业务的复杂性和地域性，财务人员的薪酬很难在集团层面得以制定；再者，分支机构大多建立在大城市，薪资的起点较高，加班费等员工额外补贴较多，随着财务人员数量的增加，和人数相关联的办公费、交通费、工资、福利费等都随之增加，总体人力成本较高。

##### (2) 各单位会计制度的标准不一致

近年来通过对不同业务经营实体的收购，NKT 集团进行了快速扩张，会计核算主体随之增加，核算主体的核算内容和所处的核算地都不相同。由于历史原因，新收购的分子公司的某些财务政策尽管和集团不符，仍在延续使用。财务信息的有效性受到极大影响，具体如下：

首先，数据的可比性差，数据容易失真。分子公司按自身的财务核算标准，进行会计信息的确认、计量、账务处理、成本计算、出具会计报表，会计处理的方法和层次繁琐复杂，再加上会计人员个人的主管判断，那么会计信息容易失真。另外，集团根据分子公司的财务数据汇总合并生成集团数据，出具会计报表，这样，集团层面获得的数据的可比性和真实性都有所降低。集团也无法对分子公司进行量化考核，无法有效支持集团的经营战略。其次，财务流程在分子公司具有差异性，内部审批流程也不统一。因组织架构的差异分子公司设置了不同的审批流程，这就会出现同一项业务、类似的金额，在某些子公司报销快速高效，在另外一些分子公司则冗长繁琐，另外授权审批的管理层级也不同，基础核算业务差异大。

##### (3) 管控力度不足，财务风险较高

在集团运营过程中，各分、子公司设立了独立的会计帐套，汇总财务报告时导致层次多、流程长、速度慢，即使调整为统一的会计核算标准，鉴于会计数据的分散和较差的时效性也难以对分、子公司进行有效监督。集团总部对各分子公司的整体管控力度明显不足，具体如下：

第一，集团数据通过报表汇总合并得出，一方面容易因核算人员疏失造成数据差错，另一方面分子公司存在主观调整数据的可能性，集团很难对分子公司业务处理的准确性和规范性做出判断。

第二，集团目前处于发展期，各子公司存在独立的财务管理权限，子公司财务容易从本位利益出发进行财务活动，造成全局观念的缺失，也容易留下舞弊的空间，例如私设小金库，随意进行费用开支。

第三，各子公司的财务报告的时效性差。集团出具合并报表前，由集团总部设定月度结账和年度结账的时间表，需要各分子公司分别出具自身的报表，通过分子公司自己上报的报表来获取子公司财务信息，进行数据的合并，这样信息的时效性差，只能在事后发现问题，无法在问题苗头出现时即斩断风险的火苗。在当今瞬息万变的市场中，这样的滞后决策带来的风险往往是致命的。

第四，资金使用管理存在风险。资金因会计实体的分散而分散到不同的分子公司，集团无法实时的统一协调安排整体的资金调度，现金流的管理存在极大风险。造成总部一方面为资金匮乏的子公司筹措资金，同时其他子公司尚有大量库存资金；甚至总部在调用资金对外投资时，发现子公司的资金不足，造成投资违约事故的发生。

#### **(4) 信息化建设滞后，影响决策效率**

NKT 集团财务信息化建设滞后，“信息孤岛”现象严重，主要表现在如下方面：

第一，财务数据未能充分信息化，现有的财务系统由各分支机构独立建设，仅满足了各分子公司的核算需求，使用的模块主要有：采购与付款、销售与收款、生产循环、资金管理、工资管理等，业务数据在各模块中进行采集，传递而生成财务数据，然而各子系统之间彼此独立分割。分子公司大多使用用友 U8 或金蝶核算软件，核算软件建设处于初级阶段，尚没有统一完善的信息系统，无法监控业务发生状况。

第二，财务系统与企业各业务系统连接不强，特别是对生产运营业务支持不够，不能精准核算产品成本。NKT 集团购买基础性原料加工生产出成品，成品价格受基础性原料的价格影响，成本核算不精准，就无法根据原材料价格的波动，按订单按生产出的库存商品进行核算，而是将各种费用按一定的分摊比率分配到产品中，这样在瞬息万变的市场中，企业价格制定者就不能清楚把握产品定价的底线，该问题甚为销售团队困扰。另外，同一业务相关的数据被分别保存在财务人员和非财务人员手中，形成信息孤岛，企业的销售部门、生产部门按各自的数据进行业务指导和考核，部分数据存在截止日期不一致而导致的差异，无法共享，为统一数据耗费了大量管理精力。由此，会计信息对业务决策的支持功能被弱化了，由此必须进行财务信息化建设。

第三，NKT 集团还未实现财务审核的信息化，各部门报销都要手工填写相关报销单据，要手工递交单据给各级领导审批，增加了人力成本且工作效率低下，亟需借助信息化，使财务流程不再受时间、地点约束，使无纸化、移动审批和电子档案、移动报告展示成为可能，从而借助信息技术提升运营效率和客户满意度。

## **二、NKT 集团构建财务共享服务中心的可行性分析**

在完成对NKT集团的基本问题分析后，接着使用SWOT分析法对公司进行全面的分析，主要从内部优势、劣势、外部机会、威胁四个方面进行分析，旨在帮助NKT集团管理者善用优势、成就机会，制定建立共享中心的战略。

### **1. 建立财务共享服务中心的 SWOT 分析**

#### **(1) 优势**

NKT 集团业务涉及车辆电气装备、能源管理、站台门自动化、线路安全运营四大模块，集团内各公司均已成立多年，分子公司都建立了完善的组织架构，有各自的财务报销流程、内部管控流程，财务团队经多年磨合能有效承担其职责，分子公司完善的财务工作为财务共享服务中心的建设打下了良好的基础。同时，集团自 2017 年下半年开始推行矩阵型管理，开始了管理流程标准化的基础建设，集团把机构的深度协同、高效管控、顺畅运行提升到了战略高度，财务共享中心的建设就有了良好的内部环境。

#### **(2) 劣势**

各分子公司的业务类型多元，其管理的侧重点不同，从而财务标准及分析指标体系不一致，各分子公司侧重于自身的基础核算管理，容易产生信息的“孤岛效应”。另外，管理层次增多，会产生信息的阻隔，信息传递的低效及变异。由此影响集团的决策，在日益激烈的竞争面前缺乏即时的应变。集团通过一系列的兼并重组，实现了集团规模的快速扩张，被兼并公司往往经营状况平平，管理人员的管理水平普通，他们更多的关注本公司本产业链条的部分环节的管理，缺乏整体的管理视角。在建设财务共享的过程中，势必要关注人员的培训、重组，并考虑在合适的时机进行人员的轮替。

### (3) 机会

紧随着信息技术化的发展，信息化办公成为了财务共享中心的发展趋势。财务人员可以远离业务的发生地异地办公，财务流程不再受到时间和地点的约束，无纸化和移动审批、电子发票和电子档案、移动报告展示成为了可能；信息技术也降低了财务的系统建设成本，提升了数据的处理能力，在客户信用管理、风险控制、业务分析等方面有更大的作为。另外，伴随人力的解放，也可以避免分子公司的管理干涉，更容易保持业务的独立性。信息化的发展为财务转型和财务信息化升级改造成为可能。

### (4) 威胁

随着工作职能的调整划分，分子公司的财务人员集中于共享中心的所在地，远离业务发生地的税务部门，因各地区会计与税法的复杂关系，会对分子公司所在地的税务信息的反应迟钝，在协调、收集、上报、反馈当地税务信息的过程中，即使信息渠道建设的再通畅，也难以避免税务政策知悉的滞后。构建财务共享服务中心的过程中，财务部门的人员职能发生了变化，需要对人员进行重新整合，那些不适应再调整的会计人员，将面临再安置、调薪、补偿金等问题的处理，处理不当一方面会带来业务转型的不稳定，影响团队的士气，另一方面也可能会引起群体性事件。因此，要提前制定人性化的人员安置方案，做好人员转型期间的转岗技能培训，以稳定员工队伍。

## 2. NKT 集团构建财务共享服务中心的 SWOT 分析

根据以上分析，可以发现 NKT 集团财务核算组织架构基本齐全，也有良好的内部环境，这是支持构建的基础条件。但分子公司的业务和管理差异较大，困难在于如何建立标准的业务及财务流程上。借助于现代信息技术的发展成果，核算信息化和管理信息化可以助推共享服务中心的建立。而业务的集中带来了财务人员的集中，要建立并落实团队管理制度，也要给予财务共享中心一定的地位，既要做到“共享”也要做到“服务”。

因此，NKT 集团需要利用现有的组织优势，构建过程中要充分关注分子公司的差异性，并使财务共享团队管理制度化，制定出构建的完整思路和框架，才是关键所在。如表 1 所示。

表 1 构建财务共享服务中心的 SWOT 分析

- |                                       |  |
|---------------------------------------|--|
| ● 优势：<br>有完善的财务组织架构<br>管理流程优化，释放了财务资源 | ● 劣势：<br>制度化、标准化有待加强<br>协同效应未能充分发挥<br>管理人员水平较低 |
| ● 机会：<br>信息化的进一步发展<br>管理层的支持          | ● 威胁：<br>人员转型                                  |

## 三、财务共享服务中心的顶层设计 设计思路

NKT 集团构建财务共享服务主要基于财务共享的理论基础、NKT 集团的财务管理现状分析以及 NKT 集团构建共享服务中心的 SWOT 分析。

选择什么样的经营方式来建设财务共享服务中心是 NKT 集团首先要考虑的问题。财务共享中心目前常见的有三种模式：基本模式、市场模式和独立经营模式。NKT 财务共享服务中心本意为配合集团经营战略，通过业务的标准化，来加强企业的内部管控能力，提升企业价值，尚无意于对外盈利，由此市场模式就不是其选择；而基本模式是整合财务日常事务性工作，通

过标准化、规范化的管理，实现规模化的业务处理，同时也可以降低成本，加强集团内部管控，这符合NKT集团目前的需要，本文以“基本模式”作为NKT集团财务共享中心的设计思路。

NKT集团建设财务共享服务中心的定位是：作为集团内部独立的业务单元，定位为集团内部的一个职能中心，以内部客户作为服务对象，下辖于集团财务部门，共享服务中心负责人向集团财务副总汇报工作，为集团内的各分子公司提供集中的会计服务；采取先易后难，逐层推进的方式建设共享服务中心。

### 实施策略

NKT集团的财务共享服务中心的构建分为两个阶段：第一阶段将整合集团内各分子公司重复性高、日常的会计事务性核算工作，通过业务标准化和业务财务流程再造，实现批量业务处理，以此服务于集团内各个层面，使财务交易的处理达到规模效益，并提升风险管控和效率。第二阶段将建立业务财务团队，深入各业务环节，如：生产、研发、销售等，利用专业的财务知识，着眼于企业近期的目标，将业务数据转化为财务信息，为业务前端提供事前的预测和决策支持；第三阶段在业务财务团队搭建的过程中，将同步建立财务战略团队，聚焦集团的战略分析，在企业规划、资本运作、业绩精细化评价等方面为决策行为提供有效信息。经过这三个阶段的实施最终将完成NKT集团的财务转型。

本阶段的实施策略为“顶层设计、分步实施、上线试点、整体推进”，主要按照以下步骤：第一步，根据NKT集团的整体战略，本阶段重点关注财务核算这一职能，首先确定财务核算流程的业务范围。第二步从城市环境因素和公司内部因素两个角度进行考察，确定适合的地址，用于建设NKT集团的财务共享服务中心。第三步，改造企业现有的业务、财务会计流程，实现财务、业务流程一体化，主要涉及：信息流、实物流和资金流，利用信息技术，在流程同步的基础上实现财务服务及财务控制。第四步，整合原有的财务组织，建立一个独立的财务共享服务中心团队，建立该团队的工作内容及工作汇报架构。第五步，财务共享服务中心与企业内部客户签订服务协议，并建立适应其业务特点的绩效考核机制，以保证组织的长效运行。

### 四、财务共享服务中心的实施创新

在NKT集团的财务共享服务中心建设过程中，进行了以下创新：

#### 1. 组织架构改变

组织架构从原有的分散管理的方式转变为共享方式下的矩阵管理方式。原方式下财务设在各分支机构，向当地总经理汇报工作同时向集团财务汇报工作，产生了很多弊端；现行的共享管理方式，财务共享服务中心向集团总部负责，由集团的财务副总直线管理，共享中心财务总监具体负责财务共享服务中心的管理，管理共享中心的日常事务，统一共享中心的标准、流程和单据设定，细化岗位职责，并负责从共享中心会计的内在潜质和工作量进行绩效的评估，建立管理和激励机制。如图1所示。

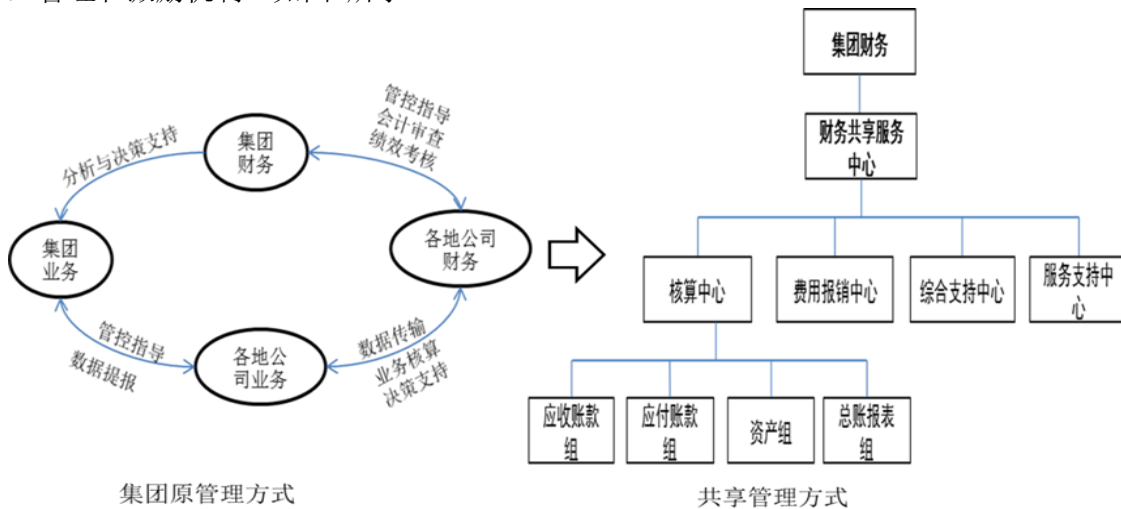


图1 组织架构的改变

#### 2. 财务流程的变化

共享服务中心的建立本质就是业务流程的共享与再造，该集团共享中心建设过程中，充分

借助现代的信息技术，进行了一系列的流程再造。如：通过集成影像管理系统，实现无纸化管理和紧密交互控制；通过集成差旅预定系统，实现差旅费用报销自动化；通过对接银企互连系统，实现集中支付管理，对付款申请进行审批，并记录付款状态。并实现网上报销及审批自动化，实现费用报销便捷化；集成增值税发票管理系统。使用OCR识别、二维码识别等技术。如图2所示。

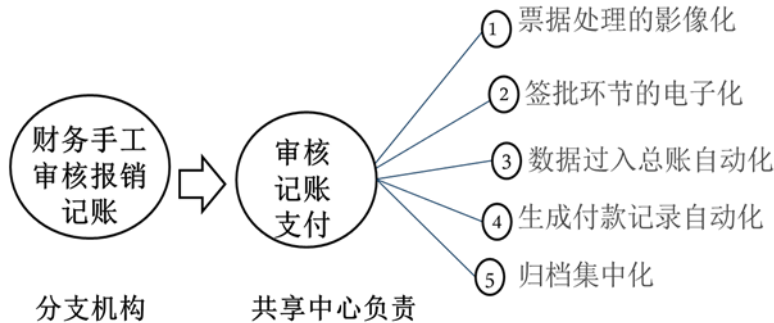


图2 财务流程改变

### 3. 绩效评价方式的变化

科学完善的绩效评价体系将有助于财务共享服务中心的顺利运行，强调绩效评价是为了保证个人目标和组织目标的共同性，促使组织更有凝聚力，保障共享中心的长久运行。原绩效评价采用相对单一的指标，现采用平衡计分卡指标体系建立综合的、科学的评价体系。如图3所示。

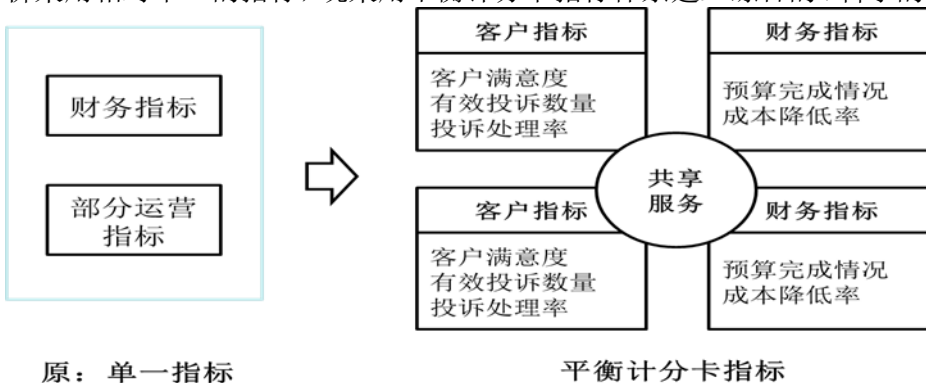


图3 绩效评价方式的改变

## 五、财务共享服务中心实施的注意事项

### 1. 集团内资金使用的税务影响

共享中心对集团内的资金进行集中管理、调拨，这属于资金的拆解行为，需要关注其税务的合法合规性，规避税务风险。该类业务主要涉及增值税和企业所得税，对资金拆借中的利息计价上，要根据中国《税收征收管理法》第三十六条规定，企业或者外国企业在中国境内设立的从事生产、经营的机构、场所与其关联企业之间的业务往来，应当按照独立企业之间的业务往来收取或者支付价款、费用；不按照独立企业之间的业务往来收取或者支付价款、费用，而减少其应纳税的收入或者所得额的，税务机关有权进行合理调整。集团公司向成员企业收取的资金借款或者贷款利息首先应缴纳增值税。企业所得税方面，不高于同期金融企业同类贷款利率计算的金额内在计算应纳税所得额时准予扣除。

### 2. 共享中心的运行支出在集团间的分配

共享中心服务于集团内各企业，共享中心的运行支出势必要合理分配到集团内各业务单元中去，对服务进行收费才能促进财务共享服务中心不断提高服务水平，营造出公开竞争的市场环境。集团内各业务单元签订共享中心服务水平协议，以此为基础，设定每一类别服务的内部标准，依据提供服务的数量和质量按期进行结算，按照中国《国家税务总局关于规范成本分摊协议管理的公告》（国家税务总局公告 2015 年第45 号）的要求及时提供相应资料给税务机关。

### 3. 加强共享中心的服务功能，获得分支机构的认可与配合

2017年集团开始推行矩阵式经营管理体系，重在加强公司垂直管理效率，整合了集团的各

职能板块，对各分子公司的市场、服务、技术、采购、运营、财务、人力资源、战略诸方面进行高效衔接、资源整合和协同作战，把因业务整合、规模扩大带来的管理风险降低到最小。同时，财务共享中心在流程改造中充分重视服务效率的提升。将移动应用与企业商旅系统、费用控制系统相连接，借助移动端的APP软件，实现报销管理的移动化操控。在流程优化方面，成立评审小组收集来自各部门的包流程优化需求，产生流程优化项目，进一步开展流程优化方案的设计和实施，通过持续性的流程管理优化，重在建立自我持续优化的机制，以满足公司分支机构的需要。以此获得分支机构的认可与配合。

## 六、财务共享服务中心的保障措施

### 1. 管理层的认识 and 角色定位

建立财务共享服务中心是企业的一次巨大的组织和管理模式变革，管理层的认识和强有力的支持是建设的重要保障。

作为一项新的变革，组织的权利需要重新分配，相关职责需要在不同模块之间进行转移，这就需要较大力度的调整财务组织管理架构、运作的流程及财务制度，调整过程必然触及原有的利益格局，阻力就会随之而来。相关决策者就会产生畏难情绪，下属层级也会缺乏贯彻政策的热情，因而集团管理层要有推进财务共享服务中心的决心及坚定的执行力，才能保障这一变革的成功。并为共享服务的构建做出长远规划，搭建总体战略和配套的政策。与此同时，当系统再造中遇到组织、文化冲突等时要做好内部利益的再分配，妥善处理好客户和市场的有效需求。防范措施的建立离不了管理层的重视。

管好财务共享服务中心还需要处理好三个关系。一是既需要财务共享服务中心提供高效的内部服务，还要做好财务内部控制，内部服务和内部控制要相互融合；而是划分好共享中心和分子公司的责权利关系，做好业务流程的切分，确保流程的顺畅；三是要为财务共享服务的进一步推进设好内部接口，为业务财务共享和战略财务共享做好准备。

### 2. 信息技术和信息系统的保障

实现“财务共享服务”在技术上要有统一的系统支持，ERP系统是实现共享服务的基础和保障，系统平台的统一搭建和整合是实现共享服务的关键因素，不管是普通的业务核算还是综合性的财务管理决策，都离不开信息系统的支持，防范风险和关注系统的有机整合是信息技术保障很重要的两个方面。

信息化通过网络关联，一旦影响到共享中心的数据库，损失很难挽回，要重视信息存储、兼容性、稳定性，做好硬件损坏的风险规避措施，还要防范密码泄露、外部非法网络入侵等风险。要避免相关的财务系统风险，一是要重视对财务系统的管理，规范系统操作员的操作权限，设定不同级别、不同岗位的财务人员的访问权限清单；操作人员上岗前要进行风险防范培训，提高员工的信息安全意识，特别要规避因误操作带来的信息泄露；二是针对不同的财务信息设置不同的共享范围；三是财务共享服务中心的技术管理人员应建立硬件设施维护的计划进程，建立内部与外部隔离的独立网络，关注软件系统的更新升级，优化网络，建立数据备份的日常保障制度，并保证网络通讯的稳健性。

根据业务需求，共享中心使用了ERP、影像技术、OCR识别技术、数据库、条码识别等技术，如果各项技术缺乏整合和统筹实施，会极大的降低协同效应的效果，因此需要进行信息系统的整合工作。例如：专业影像系统和ERP集成，进行原始单据的扫描和压缩传输、条码的对照定位，报账系统对接核算系统、资金管理系统，资金管理系统通过银企互联对外支付，费用报销事项要想流畅完成，离不开各个系统的有机配合。

### 3. 人力资源的准备和实际的匹配

财务共享服务中心区别于传统的财务组织，主要表现在共享中心是流程驱动的组织，关注标准化、可量化、可操作化，从而产生规模效应，共享中心的内部多以“少量管理人员，大量基础作业人员”的金字塔式的人员结构为主。这就意味着要对原有的财务人员进行重组，区分并选择哪些人员适合基础性的核算业务，哪些人员适合统筹协调，让人才各尽所能。初期阶段，因工作内容和工作地点的转换，员工的账务处理方式及工作分工面临调整，难免会引起员工思想的波动，安置好原有员工将会保障整个团队思想的稳定。也应当考虑建立晋升周期短、按职务或技术等级各自设置的职业晋升机制，以未来可预期的激励考核机制来吸引员工，



使其形成良好的职业预期。

## 结论

NKT 集团财务共享服务中心的构建设计研究，参考了中国及欧美发达国家学者的最新研究成果，研究了财务共享的相关理论知识，并借鉴了跨国集团成功构建的经验，分析了 NKT 集团财务管理现行的管理方式，为该集团建设财务共享服务中心设计了针对性的方案。该设计方案契合了 NKT 集团落实顺畅运行、深度协同、高效管控的战略方向，符合 NKT 集团实施流程化、数字化的发展路径；根据 NKT 集团的管理现状，提出了三阶段的财务共享实施建议，在本阶段重在实现从侧重核算的分散型组织管理方式向集中共享核算方式的转变，本阶段的构建关键步骤为：业务范围的有效选择、共享中心的选址、流程的再造、共享中心的组织构成以及配套的绩效评价机制，能较好的解决当前财务管理存在的财务人力资源和运营成本高、各基层单位会计制度和标准不一致、财务管控力度不足、信息化建设滞后等问题，将为后续实现构建业务型财务团队和战略支持性财务团队的转变打下基础。

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## 職場中男女工作平等差異之研究

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### 摘要

本研究之目的在探討台灣職場男女知覺工作平等之差異，並做為職場擬定工作規範的參考依據。近年來，性別平等意識逐漸抬頭，職場上對工作平權的呼籲也不曾間斷，究竟在政府頒布性別工作平等法之後，男女工作不平等的狀況有否改善呢？為此，我們透過 2016 年勞動部統計處釋出之「105 年工作場所就業平等概況調查」資料，以台灣全職工作者為樣本，由總調查人數 4100 人中隨機抽樣 1031 人進行探究。針對 10 項工作條件，比較受雇男女在這些項目上的知覺，並將結果提供改善職場工作平等之狀況。研究發現，女性比男性在「調薪幅度」、「考核」、「陞遷」、「性騷擾」方面明顯感受到工作不平等，顯示台灣職場中的女性勞工仍然未能擺脫職場玻璃天花板的約束。

**關鍵詞：**台灣、性別、職場差別待遇、工作平等。

### 壹、研究動機與研究目的

*「我相信女人在職場上值得擁有跟男人同樣的薪水，我相信女人對於自己的身體該有全權的掌握，我相信在我的國家，女人該有參與政治以及決策的權利，我相信女人值得和男人同等的社會尊重。但是，直至今日，世界上仍沒有一個國家女人能夠享有上述這些權利，也沒有一個國家敢說他們已經達到性別平等。」*

Emma Watson 2014 年 9 月 20 日為 HeForShe 性別平等組織活動的演講，她更直言以目前現實來說，要男女同工同酬至少還得等上一百年。台灣於 2002 年 1 月 16 日制定公布《兩性工作平等法》，2003 年 3 月 8 日國際三八婦女節實施，並於 2008 年 1 月 16 日更名為《性別工作平等法》，擴大禁止歧視的不同性傾向，以立法解決職場性別不平等的問題，例如：性別差別待遇、同工不同酬等問題，總則第一條及說明立法目的：「為保障性別工作權之平等，貫徹憲法消除性別歧視、促進性別地位實質平等之精神，爰制定本法。」

近 20 年台灣經濟結構轉型、女性教育程度提升、政府實施母性保護措施、以及女權意識抬頭，女性勞動參與率有大幅提升，從 2018 年勞動部統計處報告得知，台灣婦女勞動參與率從 1997 年 45.64% 上升到 2017 年 50.92%，其中 25~29 歲女性達到 89.73%，高於美、日、韓等國家，在 35~49 歲也與美日同等水準達到 70% 以上勞參率。自《性別工作平等法》實施後，兩性平均時薪差距也從 2007 年 18.2% 下降至 2017 年 14.0%，兩性平均薪資差距縮小 4.2% 及減少 15 個工作天數，台灣兩性平均薪資差距相較美 18.2%、日 31.9%、韓 35.4% 等國為小。

儘管女性勞動參與率愈來愈高，現今企業中，女性擔任管理職的比率普遍仍低。2017 年哈佛商業評論評選全球前一百名表現最佳的執行長，在這一百名執行長中只有兩名女性

(Marilyn Hewson & Debra Cafaro) 入選，男女比例十分懸殊，哈佛商業評論認為主因來自性別的偏見，董事會傾向任用白人男性擔任領導，認為選擇白人男性比較安全 (Harvard Business Review Staff, 2018)。女性在職場上的發展，仍面臨相當程度的「性別職業隔離」中的「垂直隔離」，也是所謂的「天花板效應」(Oakley, 2000)，意指「組織中對某些弱勢群體，特別是女性，晉升到高級職位或決策層的潛在限制與障礙，如同玻璃一般，雖然不是明文規定，卻實際存在」(Merriam-Webster, 2018)。

雖然現今社會早已意識到女性工作地位的重要性，也好奇友善女性的職場，以及女性在公司董事比例越高具有什麼好處。根據《經濟學人(The Economist)》「2017 年職業婦女職場友善指數排行榜一玻璃天花板指數(glass-ceiling index)」，瑞典、挪威、冰島、芬蘭、丹麥對待

職業女性最友善，而挪威在 2016 年公司董事會效能排名第 2，瑞典則為第 11 名（PRIDE 指標資料庫，蒐錄由世界經濟論壇(WEF)調查的各國「公司董事會的效能」）。影響董事會效能的因素很多，或許女性細膩的做事方式也是影響運作效能的原因之一。

過去若女性員工想取得和男性同等的階級，就須付出比男性更多的努力才能達成。況且公司的領導大權仍掌握在男性手中，極少數到達管理頂層的女領導獲得的薪資一般也低於同級別的男同事，因此女性想要成功就得加倍努力（許素蘭，2007）。然而經過多年努力，台灣於 2017 年聯合國開發計畫署(UNDP)的性別不平等指數(Gender Inequality Index, GII)為亞洲最低，也就是性別平等狀況已是亞洲之冠，世界排名則為第 8，表現較許多已開發國家都好，2016 年的表現亦同，世界排名則是第 9 名（行政院性別平等會，2019）。本研究在此背景下，欲探討男女在職場對於性別歧視之知覺的情況是否還有明顯差異，希望結果能更促進台灣性別平等發展，並提供政府、企業制定相關規範之參考。

## 貳、 文獻探討

### 一、 求職

Phelps(1972)的統計歧視論(The Statistical Theory of Racism and Sexism)認為就業市場中當僱主辦理招募員工之前，僱主處於一種資訊不充分的狀態，而無法真實瞭解應徵者的未來工作表現。因此僱主就算面試一位在各方面的條件都相當優秀的女性員工時，也容易因為經驗「女性員工可能因婚育離職或負擔較多家庭責任而影響工作表現」而認為「她也是一樣」。所以僱主會以其對團體差異的認知與刻板印象(stereotype)做為僱用決策（陳月娥，2015）。當然，並不是所有女性員工的情況都相同，這種對個別女性勞動力資訊的不足或不正確，僱方根據對整體女性的刻板印象來評估個別女性所產生的僱用歧視，稱為「統計歧視」（王麗容，1995；陳建志，1999；蔡淑鈴 1987）。由於女性在職場中較男性容易因資訊不充分及性別刻板印象造成求職上的不平等，因此提出**假設一：女性勞工在知覺「求職」上存在性別差別待遇多於男性。**

### 二、 工作分配

Chafetz (1988) 說明男性具備較高的權力與性別分工情況，由於男性在社會文化的巨觀面向上擁有較優越的地位，男性常擔任有價值的工作，使得女性被擠壓至低薪資、工時長的工作中，甚至不要女性就業賺錢，而是留在家中打理內務就好。Scanzoni (1980) 和 Fox (1980) 也指出性別階層化是在社會資源分配的過程中，兩性因所掌握之資源有所差異，而產生的分化現象。也就是說，男性因掌控較多可以在社會生活中交換的資源，因此擁有較高的權利與地位；而女性一直以來在父權文化規範的壓迫，所擁有的資源相對較少，進而處於劣勢的位階（周安琪，1994）。職業性別隔離(sex segregation)是指由於社會系統性因素，使不同的性別集中在不同的行業和職位上，是勞動力市場上性別歧視的主要方式之一。亦即男性往往被指派決策性、主導性之工作，而女性則從事較例行性、非決策性的工作(Blumrosen, 1980; Macpherson & Hirsch, 1995; Petersen & Morgan, 1995)。上述文獻指出身處父權社會的女性，在工作分配中往往因為社會文化、性別刻板印象及職業性別隔離等因素導致女性認為自己成為職場中的弱勢，因此提出**假設二：女性勞工在知覺「工作分配」上存在性別差別待遇多於男性。**

### 三、 調薪幅度

張晉芬與杜素豪(2012) 發現 職業對於性別間薪資差距的影響更甚於教育和工作經驗的影響；此一結果與 Francine Blau 與 Lawrence Kahn (2016) 對美國的研究發現類似。這兩位美國學者比較 1980 年與 2010 年的分析結果，發現教育對於性別間薪資差距的解釋力不但下降，甚至成為負值（教育有助於縮小薪資差距），職業的解釋程度則是大幅提升。而性別間最大的薪資差距出現在白領階級中較底層的工作和藍領階級工作。這與過去利用質性訪談所得到的結果一致，例如，即使工作內容相同，僱主仍可能用不同的職務名稱給予男性較高的待遇，尤其是基層的工作（嚴祥鸞 1998；張晉芬 2002）。從文獻中我們得知男性薪資比女性高，甚至出現同工不同酬的現象，而於 2007 年首見同酬日沒有減少的現象，也顯現出男女調薪幅度間依然存在差異，因此提出**假設三：女性勞工在知覺「調薪幅度」上存在性別差別待遇多於男性。**

### 四、 考核（考績或獎金）

李瓊華(1997)針對兩性工作平等現況，調查男性及女性的認知差異。結果發現在整體評估中，有超過三成的女性認為受雇銀行對於兩性有不同的考績及升遷制度，超過一半的女性認為

目前兩性主管的比例並不接近（陸洛、謝碧霞、潘君鳳，2009）。因此提出**假設四：女性勞工在知覺「考核(考績或獎金)」上存在性別差別待遇多於男性。**

#### 五、陞遷

玻璃天花板(Glass Ceiling)這個概念是出現於1986年的華爾街日報(Wall Street Journal)，用來描述女性試圖晉升到組織或公司高層時所面臨的障礙。美國勞工部對「玻璃天花板」界定為：一個具備資格的個人無法在組織中升遷到管理階層的職位，通常是基於一種態度偏差或組織偏差所造成的「人為」阻礙(US. Department of Labor, 1997)。從這個定義更加確定玻璃天花板為無形的障礙，極有可能是人為偏見或歧視所造成的。玻璃天花板一詞用以解釋現今社會女性在職場中所遭受的不平等待遇，因此提出**假設五：女性勞工在知覺「陞遷」上存在性別差別待遇多於男性。**

#### 六、訓練、進修

Becker (1964) 為主的人力資本論者認為，因為女性人力資本的投資比男性低，所以在就業市場中處於劣勢的地位。女性會因結婚、生育或照顧幼兒老人等原因，會選擇先放棄自己的事業，退出勞動市場，經過一段時間後才可能再度進入。此種二度就業的型態，造成女性參與勞動時間較男性短，所以累積的工作經驗以及所投資的技術訓練皆不如男性，造成兩性人力資本有如此大的落差。在這種工作經驗或投入教育訓練的人力資本不足的情況下，女性往往無法進入「高科技」、「重技術」、「重經驗」且被視為是適合男性的職業 (Mincer & Polachek, 1974; 曾敏傑, 2001)。女性的生理構造及傳統社會觀念導致雇主認為投資女性人力資本的效益不比男性，造成職場中女性獲得的資源較男性少，因此提出**假設六：女性勞工在知覺「訓練、進修」上存在性別差別待遇多於男性。**

#### 七、資遣、離職或解僱

女性可能因就業市場的「強制驅離」而喪失工作機會，例如有些公司為了節約人事成本，在經營不善的情況下，先裁減女性就業者(王麗容, 1995; 周碧娥, 1991; 張晉芬, 1995)。而女性也被視為暫時和邊際的勞動力，也就是女性通常是最後才會被雇用但會最早被解雇的族群 (Bowen, 2003)。文獻中指出女性勞動力在市場中的價值較男性低廉，較不受雇主重視，因此提出**假設七：女性勞工在知覺「資遣、離職或解僱」上存在性別差別待遇多於男性。**

#### 八、育嬰留職停薪

勞動部在2014年針對5525名於2013年申請育嬰留職停薪期滿的勞工以郵寄問卷方式調查，採分層比例隨機抽樣，並對照母體行業別、員工規模、性別及年齡比例，加權調整樣本分配國內育嬰留職停薪調查。結果顯示，不同性別在結束育嬰留職停薪回到職場後，面臨明顯差別待遇。根據勞工保險局資料顯示，2013年育嬰假期滿離開職場者有7.3%，有15.5%換工作。調查顯示，育嬰假結束後離職以「因家庭因素自願離開職場」原因居多，其中女性秉此原因離開職場者占40%，是男性的4倍。有25.9%女性擔心一旦請育嬰假，工作職缺會被取代，但僅19.7%男性有此擔心。女性擔心請育嬰假會增加同事工作量負擔的比率也高於男性。由上述資料可以得知，育嬰假期後，自覺考績受影響、工作量變多及未能回到原職位的比例皆為女性較高，因此提出**假設八：女性勞工在知覺「育嬰留職停薪」上存在性別差別待遇多於男性。**

#### 九、性騷擾

我國隨著《性別工作平等法》實施，女性對於職場性騷擾的保障相對以往高出許多，雖然經濟發展與家庭、工作結構轉變等，也是導致勞動總參與率上升的成因，但相信法律的保障也是作為女性決定投入職場之一大助力。兩性對性騷擾的界定相當直接與簡化，但實際性騷擾事件的認定上，卻一致展現較為複雜精細的考慮過程。男女受訪者都指出：個人、人際及情境等因素相當程度地影響自己對性騷擾的認定(楊培珊, 2000)。羅燦煥(2002)對兩性於性騷擾的觀點做出研究，男女兩性皆強調性騷擾的認定與當事人雙方的個人特質，先存的互動關係，及事發當時的情境因素有密切關係。在受訪者所論述的性騷擾案例中，行為者的年齡、外表，被行為者的容忍度，雙方的關係類型(同儕、從屬)及交往程度，事件發生的場合等因素，均影響被行為者對是否受到性騷擾的認定。根據文獻我們可以發現，男性遭遇性騷擾時，較傾向根據自己的反應與感覺來認定，而女性受害者則較關切男性行為者的動機及本意，而女性的物化、

生理本質、權力不對等與社會價值觀等因素使女性較容易成為性騷擾的受害者，因此提出**假設九：女性勞工在知覺「性騷擾」上存在性別差別待遇多於男性。**

### 參、 研究方法

#### 一、 研究對象與施測程序

此問卷調查範圍為 2016 年臺灣地區 15~64 歲之受僱者為研究對象，利用學術調查研究資料庫(Survey Research Date Archive, SRDA)釋出之勞動部「105 年工作場所就業平等概況調查」資料進行分析，「工作場所就業平等概況調查」乃為了解勞工在職場上因結婚、懷孕、分娩或育兒等遭受不平等待遇，以及對《性別工作平等法》認知情形，提供政府推動勞動政策之參考。抽樣方式以臺灣地區電話住宅用戶為抽樣母體，按性別分為二個副母體，各副母體分別採「分層比例隨機抽樣法」，另以 104 年 1 月至 12 月曾領取過生育給付且目前在職之受僱勞工為抽樣母體，採分層比例隨機抽樣取出調查樣本，並以電腦輔助電話訪問法來進行調查，調查項目包括勞工基本資料(含性別、年齡、教育程度)、就業性質、是否遭受職場性別不平等待遇等。回收有效樣本 4100 份。本研究利用第五大題第八小題：「您目前的工作性質」之選項(1)全職工作者作為研究樣本，共 3796 份。未免樣本數大容易導致型 II 誤差，本研究將隨在 3%的誤差水準與 95%的信賴區間下隨機選取 1031 份樣本供後續分析。

樣本特性方面，全體樣本以女性受測者多，有 1031 人佔 73.2%；平均年齡 39 歲；學歷方面以大學學歷者多，佔 44.7%，其次是專科，佔 17.2%，再者是高職，佔 15.1%。平均教育年數為 15 年；平均公司規模 114 人；平均月薪 37118 元。

#### 二、 研究變項與測量

職場待遇問項為：請問您最近一年(104 年 10 月至 105 年 9 月)在工作職場上，有沒有因「性別」而遭受不平等的待遇？選項「求職」、「工作分配」、「調薪幅度」、「考核(考績或獎金)」、「陞遷」、「訓練、進修」、「資遣、離職或解僱」、「育嬰留職停薪」。本研究取用上列 8 項關於職場待遇方面，是否遭受性別不平等待遇作為男女知覺感受之測量變項。該選項勾選遭受不平等待遇代表該性別認為在那方面更容易遭受不平等待遇。問項採二分法測量「是」與「否」，請受測者作答。

另取用第壹大題第九小題問項：九、請問您於最近一年(104 年 10 月至 105 年 9 月)內是否曾在工作場所遭受性騷擾？(包含言語騷擾)。選項「是」作為勞工遭受各方面歧視、不平等待遇或性騷擾男女知覺感受差異之測量變項。問項採二分法測量「是」與「否」，請受測者作答。

### 肆、 研究結果與分析

性別差別待遇之兩母體比例差檢定結果如表 1 所示。本研究性別樣本人數分別為男性 245 人，女性 786 人。利用母體比例差檢定，採單尾檢定，在顯著水準 0.05 下，Z 值以大於 1.645 為顯著。計算公式如下：

母體之比例差檢定統計量  $Z = \frac{(\hat{p}_1 - \hat{p}_2) - (p_1 - p_2)}{S_{\hat{p}_1 - \hat{p}_2}}$ ，其中

$$S_{\hat{p}_1 - \hat{p}_2} = \sqrt{\frac{\hat{p}_1 \hat{q}_1}{n_1} + \frac{\hat{p}_2 \hat{q}_2}{n_2}}，\text{因為 } H_0: p_1 = p_2，S_{\hat{p}_1 - \hat{p}_2} = \sqrt{pq \left( \frac{1}{n_1} + \frac{1}{n_2} \right)}，p \text{ 以加權方式估計}$$

$$p = \frac{n_1 \hat{p}_1 + n_2 \hat{p}_2}{n_1 + n_2}$$

我們可以發現兩性勞工知覺在「調薪幅度」、「考核」、「陞遷」、「性騷擾」方面上有顯著差異，且皆為女性感受較多的工作不平等。

表 1 性別差別待遇之兩母體比例差檢定

變數	$\hat{P}_1$	$\hat{P}_2$	母體比例的估計值	Z 值
求職	0.0108	0.0186	0.0165	0.8810
工作分配	0.0179	0.0133	0.0145	-0.5508
調薪幅度	0.0036	0.0306	0.0233	2.5545*
考核(考績或獎金)	0.0072	0.0319	0.0252	2.2516*
陞遷	0.0143	0.0346	0.0291	1.7176*
訓練、進修	0.0036	0.0120	0.0097	1.2203
資遣、離職或解僱	0.0000	0.0066	0.0048	1.3653
育嬰留職停薪	0.0000	0.0080	0.0058	1.4964
性騷擾	0.0036	0.0293	0.0223	2.4797*

\* $P < 0.05$

## 伍、 結論

### 一、 研究結論與建議

本研究主要是探討台灣勞工面對職場不平等待遇，男女知覺之差異，以及了解 2016 年時台灣工作場所就業平等概況，討論現今職場中性別不平等待遇與就業歧視狀況是否改善，冀望研究結果能提供業界研擬與調整招募求才策略，提升企業形象以及善盡社會責任，打造一個平等的工作環境，保障台灣勞工基本權益。

研究結果顯示，性別在「求職」、「工作分配」、「訓練、進修」、「資遣、離職或解僱」、「育嬰留職停薪」上沒有顯著差異。原因可能在於台灣法律規章已明定，例如《性別工作平等法》第二章即有性別歧視之禁止。

然而，本研究在「調薪幅度」、「考核(考績或獎金)」、「陞遷」、「性騷擾」上，卻發現仍有兩性差異，女性勞工感受較多的工作不平等。即使《性別工作平等法》第七條規定「雇主對求職者或受僱者之招募、甄試、進用、分發、配置、考績或陞遷等，不得因性別或性傾向而有差別待遇。」但仍可發現台灣女性在涉及職場晉升時，在「調薪幅度」、「考核(考績或獎金)」、「陞遷」方面仍然面臨職場玻璃天花板之困境，玻璃天花板現象依舊存在台灣職場，職業婦女在升遷上處處受到限制。原因可能在於法律較難約制公司內部制度，或仍存在淺規則。因此，台灣女性的勞動參與率於 25-29 歲達到高峰後逐年下降的原因除了婚育外，或許也有來自職場不平等對待的無奈。2019 年公佈的台灣性別圖像報告中亦指出，2017 年公開發行公司女性董事比率雖微幅提升，但仍遠低於男性，且女性參與社會組織及擔任決策階層比率雖多有提升，但相較於男性，仍有極大落差等事實。無怪乎，同樣報告中指出中小企業的女性負責人家數持續增加的情況，或許女頭家是女性另闢蹊徑，解決職場玻璃天花板，開創職場藍天的另一條路。而在「性騷擾」問題即使在性騷擾防治法與《性別工作平等法》的努力下，女性依舊較男性遭遇更多性別騷擾的問題，儘管就調查中回報人數可能不多，但比例上已明顯較男性高，顯示台灣還有努力防治與進步的空間。

本研究期望未來企業主能以公平、公正、公開的規章制度，以明文規定避免職場上的不平等待遇，並訂定完善的性別平等待遇制度，使企業能依此規範對員工施以獎懲，並讓受僱者更加了解企業規範以保障自身權益。政府亦能加強宣導及教育，企業能提升管理階層之素養，打破不平等思維。

### 二、 研究限制

本研究之研究限制如下：一、本研究利用次級資料分析，問項本身無法完美符合本研究所需。此外，此問卷答項設計為「是」與「否」之二分法模式，無法具體量化受測者對於工作場所就業平等狀況之知覺感受。二、本問卷按性別分為二個副母體，各副母體分別採「分層比例

隨機抽樣法」，另以 104 年 1 月至 12 月曾領取過生育給付且目前在職之受僱勞工為抽樣母體，採分層比例隨機抽樣取出調查樣本，並以電腦輔助電話訪問法來進行調查。儘管已是全國大樣本資料，但因樣本蒐集經過設計操作，可能無法完全代表台灣地區全職工作者母體而造成抽樣誤差。

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## 以計畫行為理論探討台灣和馬來西亞消費者對綠建築之 購買行為意向

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### 摘要

「永續發展(Sustainable Development)」是全球邁入二十一世紀各國所重視之共同努力方向。人類發展至今，如何使環境生態與人為開發建設間取得平衡共存，乃是現代土木營建工程在進行規劃設計及施工時應導入之新思維。尤其在能源與資源有限性下，推動綠建築(Green Building)更是政府、建築業與消費者責無旁貸的事。因此本研究以計畫行為理論(The Theory of Planned Behavior)為理論基礎，探討開發國家台灣與開發國家馬來西亞兩國消費者對綠色建築購買意向之環境行為比較分析，探討其相關變數包含態度 (Attitude)、主觀規範 (Subjective Norm) 及認知行為控制 (Perceived Behavioral Control) 與購買行為意向 (Behavior Intention) 之關連性。本研究資料分析結果後，得到以下幾項重要結論：台灣及馬來西亞消費者之「態度」、「主觀規範」、「知覺行為控制」均對購買「行為意願」呈正向影響，其中「態度」與「知覺行為控制」呈現正向顯著影響；台灣消費者「態度」與「利己性」、「利他性」、「利社會」均呈現正向顯著影響，馬來西亞消費者「態度」與「利己性」、「利社會」均呈現正向顯著影響；台灣消費者「主觀規範」與「主群體」、「次群體」有正向顯著影響，馬來西亞消費者「主觀規範」僅與「主群體」有正向顯著影響；台灣消費者「知覺行為控制」與「便利條件」、「自我效能」皆有正向顯著影響，馬來西亞消費者則無。本研究顯示台灣與馬來西亞消費者在「態度」、「主觀規範」與「知覺行為控制」對購買「行為意願」有近於一致的關聯，但個別「態度」、「主觀規範」與「知覺行為控制」對次級變項的關聯性能有差異。

**關鍵字：**綠建築；計劃行為理論；態度；主觀規範；知覺行為控制；行為意向；環境行為

## 壹、研究動機與目的

全球永續發展的趨勢瑞典於 1972 年在斯德哥爾摩舉辦「聯合國環境會議」，提出了「永續發展」(Sustainable Development) 的理念，為人類的生存環境發展揭開了新的一頁。1992 年 6 月於巴西里約召開的“地球高峰會議” 170 國的政府代表以及 118 位的國家元首，共同商討挽救地球環境危機的對策，會議中簽署了「氣候變化公約」、「生物多樣性公約」，同時發表了「森林原則」、「里約宣言」、「二十一世紀議程」等重要宣示。另於伊斯坦堡於 1996 年 6 月所召開的「居所會議」(Habitat II Agenda) 商討當今的都市快速發展所帶來的危機。乃至 2002 年南非約翰尼斯堡 (Johannesburg) 第二次永續發展世界高峰會「約翰尼斯堡宣言」，更以積極達成人類與環境共生目標之指導綱領，以強化並擴大永續發展落實策略。這些都顯示了地球環境保護的問題已經成為超越國際、超越政治的全球要務。因此應世界環保議題及國內環境整體發展之趨勢，現行之建築產業及生態環境工程控制技術，亦朝著重自然環境的永續利用原則。從永續發展的觀點來看，為了緩和建築產業消耗資源與破壞環境，以環保為導向的「綠色建築」乃是建築政策上最直接的對策 (邱英峰, 2005; 鄭義鋼, 2014)。台灣地處亞熱帶開發國家，馬來西亞則屬熱帶開發國家，均地理氣候環境因素，能源供應與水資源利用始終是個嚴肅的課題。所以建築上的設計改進變成當前非常重要的任務，因此一個生態、節能、減廢與健康的綠建築 (台灣綠建築發展協會, 2015) 需求應運而生。因此將以計畫行為理論 (The Theory of Planned Behavior, TPB) 為理論基礎，探討影響兩國消費者對綠色建築購買意向的相關變數包含態度 (Attitude, AT)、主觀規範 (Subjective Norm, SN) 及認知行為控制 (Perceived Behavioral Control, PBC)，提出「消費者未來對綠色建築購買之行為意願模式」。

本研究依據前述研究背景與研究動機，本研究將藉由統計分析的結果，歸納出知識分子消費者購買綠建築行為的關鍵因素，給予開發國家或發展中國家，政府推動環境教育或企業推廣綠建築銷售的建議與方案，促使提升消費者未來購買綠色建築的意願，並達成下列幾項研究目的：

一、根據文獻整理，找出可能消費者消費者對購買「綠建築」行為的主要因素，並以計畫行為理論建立本研究之行為意向模式。

二、了解計畫行為模式中各變項對於購買「綠建築」行為意向的影響程度。

三、根據研究的結果，找出影響消費者消費者未來對購買綠色建築的主要因素，並給予分析與建議，以協助相關單位提高消費者對購買率建築的意願。

## 貳、文獻回顧

### 2.1 綠建築定義

綠建築近年受到世界各國重視，但在歐美先進國家、日本、台灣發展相當受到關注。有些國家稱「綠建築」為綠色建築、生態建築或是永續建築，以下是各先進國家、台灣及馬來西亞對綠建築的定義：

根據台灣綠建築發展協會 (2011) 整理「綠建築」在各國的不同定義，以鄰近的日本為例，「綠建築」最早在日本之發展稱環境共生住宅 (Environmental Symbiotic Housing)，其內涵包括「地球環境的保全」、「周邊環境的親和」、及「健康快適的居住環境」等三個層次，而綠建築在歐洲國家稱為「生態建築」(Ecological Building) 或「永續建築」(Sustainable Building)，主要強調生態平衡、保育、物種多樣化、資源回收再利用、再生能源及節能等永續發展課題。而在美國、加拿大等國，即稱綠建築 (Green Building)，主要講求能源效率的提升與節能、資源與材料妥善利用、室內環境品質及符合環境容受力等。

以台灣綠建築發展協會 (2011) 所對「綠建築」的定義為：「消耗最少地球資源，製造最少廢棄物的建築物。積極的定義：具有生態、節能、減廢、健康的建築物。」

根據鄭義鋼 (2015) 引自馬來西亞綠建築指標 (Green Building Index, GBI) 審核標準定義：「綠建築的定義是提高資源利用的效率 (能源，水和材料)，同時減少對人類健康和環境的影響。在建設建築物的期間，通過更好的選址，設計，施工，運營，維護和拆除以減少建築物對周圍環境的影響。」

### 2.2 台灣與馬來西亞對「綠建築」的評估標準

根據中華建築中心於 1999 年 9 月 1 日正式公告受理「綠建築標章」申請，標章之核給須進行「綠建築」七大指標評估系統之評估，包括(1)綠化量指標；(2)基地保水指標；(3)水資源指標；(4)日常節能指標；(5)二氧化碳減量指標；(6)廢棄物減量指標；(7)污水垃圾改善指標；經「綠建築」標章審查委員會審查通過始可發給標章，評定為「綠色建築」。然而伴著「綠建築解說與評估手冊」(2003)的檢討修正，將七大指標系統加入「生物多樣性指標」與「室內環境指標」，成為九大指標。藉此「綠建築」由過去「消耗最少地球資源，製造最少廢棄物的建築物」的消極定義，擴大為「生態、節能、減廢、健康的建築物」的積極定義。(台灣綠建築發展協會，2015)

馬來西亞 GBI 的等級系統基於六項準則：(1) 能源效率：以最適方法改善能源耗用；(2) 室內環境品質：使用低揮發有機化合物促進室內空氣品質與舒適；(3) 永續場址規劃與管理：考量大眾交通，社區服務及最少環境衝擊選擇場址；(4) 材料與資源：推動環境友善，永續來源性，回收性的材料之使用，做好營建廢棄物管理；(5) 水資源效率：雨水收集，水回收，省水配合措施等；(6) 創新：符合 GBI 目標之創新設計與方案。(經濟部推動綠色貿易專案辦公室官網，2009)

### 2.3 計劃行為理論

計畫行為理論 (Theory of Planned Behavior, TPB) 理論主要強調行為意向 (Behavioral Intention) 是預測個人理性行為的最佳變數之一，是由 Ajzen (1988,1989,1991) 提出的。主要是修正 Ajzen 和 Fishbein (1975, 1980) 提出的理性行為理論 (Theory of Reasoned Action, TRA)，因為 Ajzen 研究發現，個人的行為並非完全出自己的「態度」與「主觀規範」，而會受制一些外在的控制，因此將 TRA 擴充了一項對「行為控制認知」(Perceived Behavior Control) 的新變相，從而發展成為新的計劃行為理論 (Theory of Planned Behavior, TPB) 模式。(請參考圖 1)

本研究採用 Ajzen (1985) 對「態度」、「主觀規範」、「知覺行為控制」與「行為意向」之定義，並以態度、主觀規範、知覺行為控制與行為意向等作為探討影響消費者對購買綠色建築意願，有以下幾個主要觀點(段文婷、江光榮，2008)。

1. 個人行為意向不僅能影響非個人意願所能控制的行為，同時也受到個人能力、機會及資源實際因素所製的，而在實際因素足夠的情況下，行為意向是能直接決定其行為的。

2. 如下圖 1 虛線所示，預測準確的知覺行為控制，取決於「知覺行為控制」的真實程度，因此可作為實際控制條件的替代測量指標，並直接預測行為發生的可能性。

3. 「態度」、「主觀規範」和「知覺行為控制」是決定「行為意向」的三個主要變項。態度越積極、重要規範個人或團體的支持越大、知覺行為控制越強，行為意向就越強，反之就越弱。

4. 突顯信念是作為「態度」、「主觀規範」和「知覺行為控制」的認知與情緒的基礎，雖然個體擁有大量有關行為的信念，但也只有在特定的時間環境下，但少量的行為信念被獲取時才能形成。

5. 個人的信念會通過個人以及社會文化等因素間接影響「態度」、「主觀規範」和「知覺行為控制」，並最終影響行為意向和行為。

6. 「態度」、「主觀規範」和「知覺行為控制」從觀念上可完全區隔出來，但有時他們可能擁有共同的信念基礎，因此他們既彼此獨立，卻又兩兩相關。

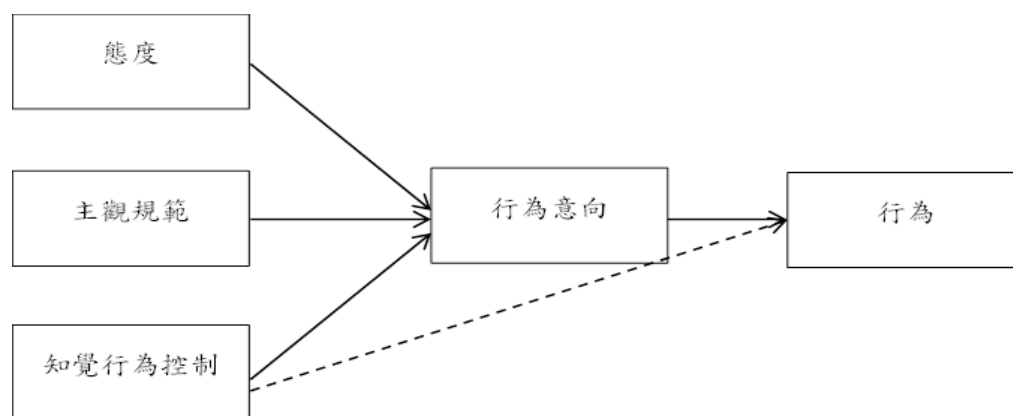


圖 1 計劃行為理論  
資料來源：Ajzen (1991)

### 參、研究方法

#### 3.1 研究架構

本研究邱家範(2000)、黃慶源、羅美齡和黎夢陽(2004)、邱英峰(2005)、鄭義鋼(2014)、黃慶源、紀偉恩、陳鴻靖、邢福華、藍慶麟(2015)等過去運用計畫行為理論對環境行為的相關研究，建構本研究架構圖2，如下說明：

1. 態度(AT)構面：主要分為三個部份，分別是利己性(Egoism,EM)(H1a)、利他性(Altruism,AM)(H1b)和利社會(Sociality,SY)(H1c)性。利己性的問項包括幫助節省能源、減低生活開銷、有益身心健康、紓解生活壓力、滿足購屋需求和提升居家生活品。利他性問項則有幫助綠色建築產業發展、幫助綠色建築廠商推廣綠色建築、減少對鄰居的環境負荷、能給予家人更健康的生活環境和幫助相關建築學術研究發展。而利社會性的問項包括促進自然環境保護、可有利政府推動環保政策、促進生態資源有效再利用、帶動社會永續發展之環境意識和爭取國際認可與推崇。在社會相關利益增加的同時民眾所抱持的態度應該也是正面的，而正面的態度則會增強行為意向。
2. 主觀規範(SN)構面：主群體(Primary Group,PG)(H2a)問項包括伴侶、父母、兄弟姐妹、朋友、同事五個群體，而次群體(Secondary Group,SG)(H2a)問項包括政府部門、環保團體、宗教團體、大眾媒體和個人參與的社會團體五個群體。
3. 知覺行為控制(PBC)構面：便利情況(Facilitating Condition,FC)(H3a)的問項包括綠色建築相關資訊的便利性、綠色建築料理的便利性、綠色建築地點(區位)的便利性、綠色建築的安全性、綠色建築的易用性及綠色建築的容易保養性。而自我能力(Self-efficacy,SE)(H3b)問項包括對本研究假設自我能力主要是消費者對購買綠色建築行為的知識程度，包括是否有足夠的經濟能力、評估時間、評估時間、評估綠色建築的專業能力、綠色建築維護能力、使用綠色建築能力。
4. 個人基本資料：問項包括性別、年齡、教育程度、宗教信仰、家庭結構、經濟狀況、交通工具、目前住宅與環境行為等。

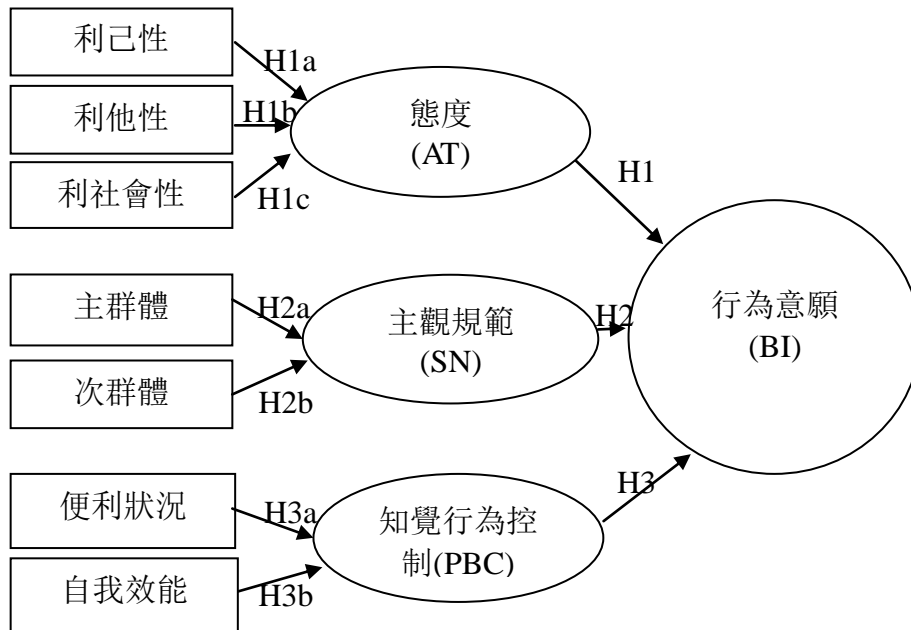


圖 2 本研究架構

### 3.2 研究假設

本研究是依據文獻的探討和圖 2 研究架構的設立而成立的研究假說為：

假設 H1：消費者選擇購買綠建築的態度 (AT) 將對購買綠建築行為的行為意願 (BI) 有顯著性的影響。

H1a：消費者選擇購買綠建築的利己性(EM)的規範信念構面將對購買綠建築行為的態度 (AT) 有顯著性的影響。

H1b：消費者選擇購買綠建築的利他性(AM)的規範信念構面將對購買綠建築行為的態度 (AT) 有顯著性的影響。

H1c：消費者選擇購買綠建築的利社會性(SY)的規範信念構面將對購買綠建築行為的態度 (AT) 有顯著性的影響。

假設 H2：消費者選擇購買綠建築的主觀規範 (SN) 將對購買綠建築行為的行為意願 (Bi) 有顯著性的影響。

H2a：消費者選擇購買綠建築的主群體(PG)的規範信念構面將對購買綠建築行為的主觀規範 (SN) 有顯著性的影響。

H2b：消費者選擇購買綠建築的次群體(SG)的規範信念構面將對購買綠建築行為的主觀規範 (SN) 有顯著性的影響。

假設 H3：消費者選擇購買綠建築的知覺行為控制 (PBC) 將對購買綠建築行為的行為意願 (BI) 有顯著性的影響。

H3a：消費者選擇購買綠建築的便利條件(PC)的規範信念構面將對購買綠建築行為的知覺行為控制 (PBC) 有顯著性的影響。

H3b：消費者選擇購買綠建築的的自我效能(SE)規範信念構面將對購買綠建築行為的知覺行為控制 (PBC) 有顯著性的影響。

假設 H4：消費者選擇購買綠建築的行為上，不同人口變項將對綠建築的意願具有顯著性影響。

H4a~ H4i：消費者選擇購買綠建築的行為上，不同人口變項之性別(H4a)、年齡(H4b)、教育程度(H4c)、宗教信仰(H4d)、家庭結構(H4e)、經濟狀況 (H4f)、交通工具(H4g)、目前住宅(H4ah)與環境行為 (H4i) 等將對綠建築的意願具有顯著性影響。

### 3.2 研究抽樣

本研究採立意抽樣針對台灣消費者施測調查 230 人，馬來西亞消費者施測調查 160 人；最後獲得有效樣本數台灣消費者 200 人，馬來西亞消費者 139 人。

## 肆、研究資料分析

### 4.1 信度分析

信度 (reliability) 是指一個衡量的正確性 (accuracy) 或精確 (precision)，其意義是指測驗結果的穩定性 (stability) 及一致性 (consistency) (黃俊英, 2001)。本研究是採用 Cronbach's  $\alpha$  的係數法，其係數愈高，則表示內部一致性愈高，而根據 Cuieford (1965) 的建議，Cronbach's  $\alpha$  係數越大，表示量表內的內部一致性越高，倘  $\alpha$  值大於 0.70 則顯示其信度相當高，若介於 0.70 與 0.35 間的信度為尚可，而如小於 0.35 則表示信度低。而本研究態度，主觀規範，知覺行為控制行為，以及行為意向的台灣消費者部分信度均高於 0.7 以上，最高者為 0.926，最低者為 0.737；馬來西亞消費者部分信度均高於 0.7 以上，最高者為 0.960，最低者為 0.708。因此本研究所測出來的結果是可信並具有代表性。

### 4.2 迴歸分析

根據本研究假設 H1 到 H3 運用 SPSS 統計軟體進行迴歸分析，驗證研究假設是否成立，驗證結果獲得 TPB 迴歸數學模式 (表 1) 與研究假設成立狀況 (表 2)，說明如下：

表 1 本研究模式研究假設迴歸分析數學式

假設	台灣	馬來西亞
假設 H1、 H2、H3	$BI=0.293AT^{***}+0.125SN+0.390PBC^{***}$ $R^2=0.381^{***}$	$BI=0.323AT^{***}+0.087SN+0.328PBC^{***}$ $R^2=0.353^{***}$
假設 H1a、 H1b、 H1c	$AT=0.263EM^{***}+0.279AM^{***}+0.325SY^{***}$	$AT=.432EM^{***}+(-.167)AM+0.316SY^{***}$
假設 H2a、 H2b	$SN=0.253PG^{***}+0.429SG^{***}$	$SN=0.264PG^{***}+0.158SG$
假設 H3a、 H3b	$PBC=0.454FC^{***}+0.190SE^{**}$	$PBC=0.030FC+0.150SE$

註:BI=行為意向、AT=態度、SN=主觀規範、PBC=知覺行為控制、EM=利己性、AM=利他性、SY=利社會、PG=主群體、SG 次群體、FC=便利情況、SE=自我能力；\*\*代表  $p<0.01$ ；\*\*\*代表  $p<0.001$

表 2 本研究模式迴歸分析研究假設成立狀況

假設	假設內容	台灣	馬來西亞
H1	態度 (AT) 將對購買綠建築行為的行為意願 (BI) 有顯著性的影響。	成立	成立
H2	主觀規範 (SN) 將對購買綠建築行為的行為意願 (Bi) 有顯著性的影響。	不成立	不成立
H3	知覺行為控制 (PBC) 將對購買綠建築行為的行為意願 (BI) 有顯著性的影響。	成立	成立
H1a	利己性 (EM) 的規範信念構面將對購買綠建築行為的態度 (AT) 有顯著性的影響。	成立	成立
H1b	利他性 (AM) 的規範信念構面將對購買綠建築行為的態度 (AT) 有顯著性的影響。	成立	不成立
H1c	利社會性 (SY) 的規範信念構面將對購買綠建築行為的態度 (AT) 有顯著性的影響。	成立	成立
H2a	主群體 (PG) 的規範信念構面將對購買綠建築行為的主觀規範 (SN) 有顯著性的影響。	成立	成立
H2b	次群體 (SG) 的規範信念構面將對購買綠建築行為的主觀規範 (SN) 有顯著性的影響。	成立	不成立
H3a	便利條件 (PC) 的規範信念構面將對購買綠建築行為的知覺行為控制 (PBC) 有顯著性的影響。	成立	不成立
H3b	自我效能 (SE) 的規範信念構面將對購買綠建築行為的知覺行為控制 (PBC) 有顯著性的影響。	成立	不成立

#### 4.3 t 檢定與單因子變異數分析

本研究針對台灣及馬來西亞消費者之性別、年齡、教育程度、宗教信仰、家庭結構、經濟狀況、交通工具、目前住宅與環境行為等對各項研究構面進行 t 檢定或單因子變異數分析，其分析結果，如表 3 及表 4 說明如下：

表 3 台灣消費者不同人口變項對綠建築的行為意向相關變項之變異數分析

變項	檢	態度			主觀規範		知覺行為控制		行為意向
		利己性	利他性	利社會	主群體	次群	便利條件	自我效能	
性別	F	2.48	0.01	0.369	2.835	2.735	0.152	0.262	1.235
年齡	F	1.886	2.191	1.883	2.227	1.669	2.667*	5.055** 3>4,3>5	4.913** 3>5
教育程度	F	3.345*	4.651** 1>4	4.189** 1>3,1>4	6.183*** 1>3,1>4	2.214	9.659*** 1>3,1>4 2>3,2>4	6.686** 1>3,1>4 2>3	13.571*** 1>2,1>3, 1>4,2>4
宗教信仰	F	2.615	0.908	2.867*	1.411	1.529	1.135	2.738*	2.300
家庭結構	F	0.945	1.433	0.543	0.721	1.041	0.573	0.532	1.109
月平均收入	F	0.720	1.545	1.301	0.574	0.719	0.251	0.172	3.904** 5>2.5>3
平時交通工具	F	2.507	4.283* 1>3	2.368	3.225*	0.393	4.494* 1>3	1.161	10.364*** 1
目前住宅	F	1.449	2.289	0.448	3.765* 2>3	2.261	0.360	0.850	2.991* 2>3

註：\*代表 p<0.05; \*\*代表 p<0.01; \*\*\*代表 p<0.001; 本研究採用 Scheffe 事後檢定; 年齡:3 代表 (35~45 歲)、4 代表 45~55 歲、5 代表 55 歲以上.; 教育程度: 1. 代表研究所以上、3. 代表專科、4 代表中學以下; 月收入: 1. 20000 元以上, 2. 20001 元~4000 元, 3. 40001~60000 元, 4. 60001 元~8000 元, 5. 80001~100000 元, 6. 100001 以上; 交通工具 1. 自用車, 2. 大眾交通工具, 3. 機踏車; 目前住宅: 1. 獨棟別墅, 2. 透天屋/鐵皮, 3. 大樓公寓, 4. 農舍。

根據表 3 研究發現，台灣消費者在教育程度對綠建築的購買之「利他性」、「利社會」、「主群體」、「便利條件」、「自我效能」、「行為意向」五個變項有顯著差異，且呈現學歷

越高表現越佳，其中又以「便利條件」、「自我效能」、「行為意向」三個變項最具有顯著差異。另外「平均月收入」、「平時交通工具」、「目前住宅」三項也顯示高收入者、自行開車者、住透天厝者對綠建築之購買「行為意向」呈現較高意願。

表 4 馬來西亞消費者不同人口變項對綠建築的行為意向相關變項之變異數分析

變項	檢	態度			主觀規範		知覺行為控制		行為意
		利己性	利他性	利社會	主群體	次群體	便利條件	自我效能	
性別	F	0.075	3.063* 2>1	2.830* 2>1	2.164	2.443	0.267	0.129	4.614* 1>2
年齡	F	0.570	3.002*	1.749	0.396	1.088	1.405	2.254	0.928
教育程度	F	3.288*	3.316* 2>4	3.472* 2>4	2.035*	1.373	2.893*	4.674** 1>3,1>4	1.665
宗教信仰	F	2.940*	3.997**	3.718*	1.856	1.093	1.760	1.200	1.460
家庭結構	F	0.117	0.372	0.276	0.256	0.064	0.669	0.309	2.209
月平均收	F	0.252	0.594	0.932	0.440	0.115	0.491	0.928	1.425
平時交通	F	0.364	1.494	0.076	0.586	0.51	0.725	0.421	0.181
目前住宅	F	1.440	1.443	0.197	0.738	0.974	0.139	3.181*	2.463

註:\*代表  $p < 0.05$ ; \*\*代表  $p < 0.01$ ; \*\*\*代表  $p < 0.001$ ; 本研究採用 Scheffe 事後檢定; 性別:1.代表男生, 2.女生; 年齡:3代表(35~45歲)、4代表45~55歲、5代表55歲以上。; 教育程度:1.代表研究所以上、3.代表專科、4代表中學以下。

根據表 4 發現馬來西亞性別於「利他性」, 「利社會性」女生顯著高於男生, 但於「行為意向」則是男生顯著高於女生。教育程度對綠建築的購買行為意向前置變項「利他性」, 「利社會」, 「自我效能」三個變項有顯著差異, 且呈現學歷越高表現越佳。

## 伍、結論與建議

本研究結果發現(參閱表1、表2)台灣及馬來西亞消費者之「態度」、「主觀規範」、「知覺行為控制」均對購買「行為意願」呈正向影響, 其中「態度」與「知覺行為控制」呈現正向顯著影響, 且本研究計劃行為模式具有0.35以上之解釋度。另外, 台灣消費者「態度」與「利己性」、「利他性」、「利社會」均呈現正向顯著影響, 馬來西亞消費者「態度」與「利己性」、「利社會」均呈現正向顯著影響; 台灣消費者「主觀規範」與「主群體」、「次群體」有正向顯著影響, 馬來西亞消費者「主觀規範」僅與「主群體」有正向顯著影響; 台灣消費者「知覺行為控制」與「便利條件」、「自我效能」皆有正向顯著影響, 馬來西亞消費者則無。本研究顯示台灣與馬來西亞消費者在「態度」、「主觀規範」與「知覺行為控制」對購買「行為意願」有近於一致的關聯, 但個別「態度」、「主觀規範」與「知覺行為控制」對次級變項的關聯性具有差異性。

根據表 3 及表 4 發現不論台灣或馬來西亞教育程度對綠建築的購買行為意向前置變項「利他性」, 「利社會」, 「自我效能」三個變項有顯著差異, 且呈現學歷越高三項信念也越高。其中台灣高學歷消費者在綠建築購買「行為意向」明顯高於低學歷消費者。因此可見高學歷者之環境意識高, 在綠色消費行為意願也會跟著提升。

根據本研究結果提出幾項建議:

1. 對強化消費者對綠建築購買的「態度」、「主觀規範」、「知覺行為控制」對綠建築的購買「行為意願」具正向影響, 政府與廠商應持續強化「態度」、「主觀規範」、「知覺行為控制」之影響因素內涵。其中又以「態度」、「知覺行為控制」兩大構面因子最為重要

2. 教育程度的高低是影響綠建築購買行為的重要因子, 故提高國民的教育素養有助提升環境教育意識與綠色消費的購買意向, 凸顯開發國家高等教育人口比例較高將更有助於綠色消費之推廣。

3. 綠色消費通常價格較高, 所以所得水準也是一個重要影響因子, 也是凸顯開發國家優於開發中國家推廣綠色消費的因素。因此, 建議開發中國家要推廣綠色消費政府必須政策的補貼, 會更有助於推廣的效益。



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# 金融支持对中国苗族文化创意小微企业成长绩效影响研究

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## 摘要

本文以小微企业金融支持理论为基础,运用实证研究方法,以中国苗族文化创意小微企业为研究对象,引入企业能力为中介变量,研究了金融支持、企业能力与企业成长绩效之间的关系。研究表明,金融支持对苗族文化创意小微企业的能力及成长绩效均有显著的正向影响,企业能力在金融支持与成长绩效之间有中介作用,金融支持通过对企业能力的促进来提高苗族文化创意小微企业成长绩效。最后针对研究结果,本文提出了促进金融支持苗族文化创意小微企业的对策建议。

**关键词:** 金融支持、苗族文化创意小微企业、企业能力 成长绩效

## 一 前言

近年来,随着中国政府对小微文化创意企业发展的重视,苗族文化创意小微企业得到了迅速发展,苗族文化创意小微企业的发展对于苗族聚居区域的就业、扶贫、技术进步和城市化具有重要意义。所谓苗族文化创意小微企业就是指从事以苗族文化知识为元素、利用先进技术再造与创新出适应现代消费需求的苗族特色文化产品的小微企业。由于苗族文化创意小微企业规模小、资金短缺、融资艰难的新生劣势,导致其面临生存和发展的困境。从众多苗族文化创意小微企业失败案例来看,大部分企业的失败都与缺少资金相关。因此,有必要研究金融支持对苗族文化创意小微企业成长绩效的影响,理清这些问题有助于苗族文化创意小微企业的健康有序发展,特别对缓解中国苗族聚居区当前的就业困难,推进扶贫工作,推动大众创业创新发展具有重要意义。

## 二 文献回顾

### 1. 小微企业金融支持理论

目前小微企业的金融支持理论主要有双缺口理论、金融成长周期理论等,这些理论研究内容主要集中在如何解决小微企业融资难的问题上。在小微企业的发展过程中,小微企业因为规模小、发展资金匮乏等因素,使企业长期面临发展资金缺口,在各个成长阶段需采取不同融资方式(Berger & Udell,1998),例如在企业的创业初期,由于信息不对称,银行贷款意愿不强,小微企业通常以内源性融资来克服资金短缺的问题(Myers,1984)。其次,政府、金融机构更倾向投资大中企业等优质客户,对小微企业不够重视,是小微企业难于获取金融支持又一原因(King & Levine,1993)。小微企业普遍存在无形资产较高,市场稳定性较差,贬值风险较高,征信资料不全,财务报表不规范等问题(赵洪艳,2018),金融机构为了避免贷款而产生的金融风险,对小微企业的提供的金融支持积极性不高。郭一恒(2017)通过研究发认为,金融支持能够促进小微企业的成长绩效提升,加大对小微企业的金融支持力度,对小微企业成长和发展具有重要的作用。金融支持对有利于小微企业技术创新,结构升级,提升企业市场竞争力,从而促进小微企业持续健康成长,有利于发挥小微企业促进经济发展、提供就业机会、构建和谐等作用。学者们从各个角度对研究了金融支持对小微企业成长绩效的问题,也从不同角度提出解决问题的对策建议,但金融支持对苗族文化创意小微企业发展的效果如何尚未有实证研究,因此,将苗族文化小微创意企业设为特定对象,有利于验证和强化现有理论的解释力,使理论研究具有可操作性。

## 2. 金融支持与企业绩效的关系

资金是小微企业获得发展的重要支持，在激烈的市场竞争环境下，资金不足成为了小微企业生存与发展的最大障碍，因此，有效地获取金融支持是小微企业获得足够融资的重要保障。Kim & Yoon (2004)研究认为，资金投入越大，企业盈利能力和经营绩效就会越好。小微企业在生产及商业活动中，资金投入是其获得更好经济效益的前提（金子杰，2017）。陈玥、魏亚平（2016）研究认为金融支持是小微企业融资瓶颈破解的关键，金融支持与小微企业成长绩效具有正相关关系。由此可见，金融支持是解决苗族文化创意小微企业在成长和发展中资金不足的重要途径。

## 3. 企业能力理论研究

通过对文献的梳理，发现学者对企业能力的不同定义中都包括了营销能力、技术能力、管理能力及融资能力等方面，企业的发展是企业内部各种能力共同起作用的结果。Carole & Howorth (2001)研究认为营销能力、创新能力、研发能力、管理能力等构成了企业能力，企业的这些能力与企业的成长绩效具有相关关系，企业也依靠这些能力来开发自身潜能和提高自身的市场竞争能力；甄焯等（2018）认为企业通过提高技术创新能力、管理能力等来提高企业的综合能力，从而促进企业成长绩效的提升。本文在借鉴前人研究的成果基础上，结合苗族文化创意小微企业的特点，以企业的营销能力、技术创新能力、管理经营能力、融资能力四个维度来测度苗族文化创意小微企业的企业能力。

## 4. 企业能力与金融支持、企业成长绩效的关系

企业成长资源说理论认为金融是企业成长不可或缺的资源之一，如果企业拥有足够的发展资金就可能比其他竞争对手更快实现成长；如果在发展中得不到足够的融资，就会导致企业因缺乏发展资金而举步艰难，甚至破产，王欣（2018）研究认为金融资源本身不是能力，但小微企业获得金融支持却能够给企业带来较强的市场竞争优势。翁泉，毛庆秋等（2017）研究认为银行金融机构加大对小微企业的贷款力度，满足小微企业的融资需求，小微企业就能获得较好的发展。因此，获得金融支持，小微企业就会得到更好的发展，企业能力就会得到不断加强，反之，如果小微企业成长过程中得不到金融服务，企业就会因发展资金不够陷入财政困难，从而阻碍小微企业发展步伐。

总之，金融支持对小微企业的发展非常重要，从文献梳理上看，研究金融支持对小微文化创意企业成长绩效的影响的文献较少，苗族文化创意小微企业可借鉴的理论匮乏，因此，本文以中国苗族文化创意小微企业为研究对象，研究金融支持对其成长绩效的影响。

## 三 模型的设定

根据文献梳理，本文提出金融支持、企业能力和苗族文化创意小微企业成长绩效之间关系的概念模型，如下图所示：

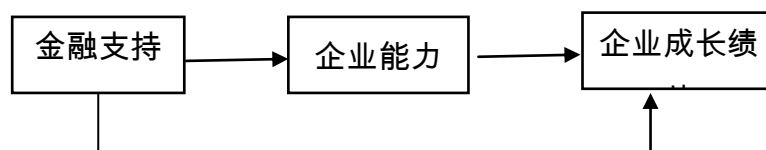


图 1 概型

## 四 假设的提出

### 1. 金融支持与苗族文化创意小微企业能力

苗族文化创意小微企业因其“小”、资金短缺、融资艰难等因素，使得苗族文化创意小微企业必须依靠外源融资才可能获得发展。因此，金融机构对苗族文化创意小微企业的支持具有重要意义。目前，银行金融机构的贷款是文化创意小微企业获得资金的主要渠道，拥有足够资金资本才使企业能够顺利开展各项活动，招募更多员工，购置先进的设备，在短时间内创意出更多适合现代消费理念的产品并推向市场。企业的发展核心动能来源于创新，创新是一项复杂的活动，需要投入大量的资金，所以企业拥有足够的资金才能进行技术创新、研发投入及营销创新等方面（潘玉香等，2016）。因此，有效的金融支持有利于缓解苗族文化创意小微企业进

行资源的整合及创新时所面临的融资难题，提高苗族文化创意小微企业的成功率，从而有助于提升企业成长绩效。

基于以上的研究，本文结合苗族文化创意小微企业的特点，提出假设：

H1：金融支持与苗族文化创意小微企业能力有正向影响。

## 2. 企业能力与苗族文化创意小微企业成长绩效

企业能力包括技术创新能力、营销能力、管理能力和融资能力等方面的综合。企业能力始终贯彻企业的整个成长过程，企业能力的差异会导致企业成长绩效的差异。企业能力是苗族文化创意小微企业竞争力的来源，它的发展与企业能力息息相关，金融支持是从苗族文化创意小微企业的内部增强企业能力，所以，金融支持促进了苗族文化创意小微企业的能力提升，进而提高小微企业的成长绩效。以下以营销能力和管理能力为例。

营销能力是在满足顾客需求、整合和配置市场资源等方面而提升组织绩效的一种企业能力。好的企业营销能力能够为企业赢得顾客和供应链上合作者的忠诚与商业信用，保证产品的销售，并获得市场收益。同时，营销能力有助提升企业品牌价值和市场地位，增加投资者和银行对企业的信任，提升企业的信贷资金获得（李义福，2016），并推动企业渐进式产品创新因此，营销能力是企业获取发展目标的重要途径。管理能力就是指企业在生产活动中进行计划、组织、协调、激励等能力。良好的企业管理能力对企业保持竞争优势有重要影响，也是激励员工创新创意，进而提升企业市场竞争力。对于苗族文化创意小微企业而言，企业能力是直接影响着企业的生存和发展，提升企业能力可以有助于苗族文化创意小微企业突破内部束缚与外部生存困境而实现快速成长。因此，苗族文化创意小微企业通过提升技术创新能力、管理能力、营销能力、融资能力等增强企业能力，良好的企业能力可以帮助苗族文化小微新创企业提升企业绩效。

基于以上的研究，本文结合苗族文化创意小微企业的特点，提出假设：

H2:企业能力对苗族文化创意小微企业成长绩效有正向影响。

## 3. 企业能力对“金融支持—苗族文化创意小微企业成长绩效”关系的调节作用

现有研究表明，金融支持在企业成长绩效中发挥积极作用，但必须要有与其相匹配的能力才可以实现。当苗族文化创意小微企业的金融支持和企业能力都较低时，企业会因为缺乏发展资金而不能及时整合各种资源，也会因为自身能力不足而不能对发展变化的市场环境做出快速反应，丧失发展机会，进而影响苗族文化创意小微企业成长绩效的提升。如果苗族文化创意小微企业具有较高水平的市场发展分析能力就可以帮助其搜寻与发现有价值的发展机会，整合企业的人力、技术、服务等方面的知识，为改善企业绩效的提供可能。当小微企业获得足够的资金和较高的能力水平时，企业就会利用自身的能力整合内外资源，利用机会创造更多价值，提高企业绩效（潘玉香等，2016）。而小微企业得到足够的资金，较低的企业能力会使小微企业在面对机会时难以快速地整合资源，无法将发现的新机会转化为现实效益，也无力在遇到困难时控制风险。现有研究中，很多研究成果企业能力作为中介因素来研究企业的成长，Cole等（1996）研究认为，企业能力在高管团队与企业绩效之间起到了中介作用。因此，金融支持对小微企业发展绩效的发挥受到企业能力的调节。

基于上述，本文提出如下假设：

H3:企业能力在金融支持与企业成长绩效之间起中介作用。

## 五 研究方法

本研究首先通过梳理研究有关小微企业金融支持、企业成长、企业成长绩效的相关文献，借鉴这些研究成果的基础上，结合中国苗族文化创意小微企业的发展实际，设计调查问卷，问卷利用李克特五点评分法对每个指标做五个刻度的描述，“1”表示非常不同意，“5”表示非常同意。本文选取中国贵州、云南、广西三省内的部分苗族文化创意小微企业为研究样本，问卷设计完成后首先对企业主及财务人员进行预访谈，然后对问卷进一步优化，形成正式问卷并随机对贵州、云南、广西部分苗族文化创意小微企业发放问卷，获取研究所需的数据。利用运用 SPSS 19.0 软件进行调研数据的描述性统计分析、相关性分析和多元回归分析，对本文所提出的假设进行验证。

本次调查问卷共发出问卷 200 份, 其中贵州 80 份, 云南、广西各 60 份, 回收问卷共 159 份, 剔除重复、多选少选等不合格问卷, 得到可用问卷 125 份, 按可用问卷计算, 回收率 62.5%, 问卷回收情况达到了预期要求。

## 六 变量测量

### 1. 企业成长绩效

在企业成长绩效研究中, 通常的作法是对企业的几个代表性指标进行综合评价, 其中销售增长率作为衡量企业成长绩效指标最为普遍, 本文参考文献研究成果, 用销售收入增长率、总资产增长率、员工增长、净利润增长等来测量企业成长绩效, 结合苗族文化创意小微企业成长特点, 本文采用销售收入、总资产、净利润、员工数量 4 个指标来测量苗族文化创意小微企业的成长绩效。

### 2. 金融支持

金融支持主要是金融机构对小微企业的资金支持或者是其他增值服务支持。本文借鉴潘玉香等(2016)关于金融机构对小微企业的资金支持、服务支持等测评指标来测量苗族文化创意小微企业的金融支持, 用英文字母 F(Finance)标识, 共 9 条测量项目。

### 3. 企业能力

学术界对对企业能力进行了大量研究, 但是对企业能力的构成与测量都有不同的见解, 并没有形成较为统一的测量标准, 本研究参考了成熟文献对企业能力测量的量表, 选取营销能力、技术创新能力、管理能力及融资能力作为苗族文化创意小微企业能力的测度, 共 12 条测量项目。

根据上面所述, 变量的测量的各题项均采用 Likert 5 级刻度量表来度量, “1”表示非常不同意, “5”表示非常同意, 运用 SPSS19.0 软件进行信度分析, 各测量项和问卷整体的 Cronbach'a 系数值如表 5 所示:

表 5 各测量项的 Cronbach'a 系数值

测量项	Cronbach'a 值	项数
企业成长绩效	0.787	4
金融支持	0.712	9
企业能力	0.785	12
问卷整体	0.839	25

根据统计分析理论, 在表 5 中, 各变量的 Cronbach'a 值均大于 0.7, 问卷整体的 Cronbach'a 值为 0.839, 大于 0.8, 说明本量表有良好的信度, 符合要求。

本研究运用 SPSS 19.0 软件对问卷的效度进行检验, 问卷各量表的 KMO 和 Bartlett 检验结果如表 6 所示:

表 6 问卷的各变量的 KMO 和 Bartlett 检验结果

变量项	KMO	P 值
企业成长绩效	0.862	0.000
金融支持	0.896	0.000
企业能力	0.827	0.000

表 6 验证结果显示, 问卷各个量表的 KMO 值均大于 0.8, Bartlett 球体检验 P 值均显著, 所以本研究的问卷量表结构效度符合研究要求。

### 4. 控制变量

本研究为了避免部分变量对研究结果可能产生影响, 对企业成立年限和企业规模等可能影响企业成长绩效的变量进行控制, 在企业的成长实践中, 处在创业初期的苗族文化小微创意企业规模小, 资金不足, 产品的市场需求具有很大的不确定性, 与处在快速成长阶段和相对稳定阶段的企业相比, 企业面临着资金、资源和市场等内外因素的限制, 可能会影响企业成长绩效。本文以员工数量代表企业规模, 对成立年限和员工人数进行了控制处理, 以降低数据波动过大对分析结果的影响。

## 七 研究结果

为了进一步验证本文中各变量之间的关联性，本文采用 Pearson 相关分析方法，对各变量进行两两之间的相关性分析，结果如表 7 所示：

表 7 各变量的 Pearson 相关分析 NN =125

变量	1	2	3	4	5
企业年限	1				
企业规模	0.664**	1			
金融支持	0.149**	0.194**	1		
企业能力	0.366**	0.397**	0.230**	1	
企业成长绩效	0.379**	0.336**	0.164**	0.626**	1

注：\*表示  $p < 0.05$ ，\*\*表示  $p < 0.01$ ，\*\*\*表示  $p < 0.001$ 。

表 7 为所有变量间的皮尔逊相关系数，可以看出苗族文化创意小微企业成长绩效与各个变量都存在显著相关性，根据 Pearson 相关分析结果来看，本研究所进行的假设和模型基本符合预期，各变量之间均存在一定的相关性，但还需要采用多元回归分析的方法来进一步验证各变量之间的相关性程度。

### 1. 金融支持对苗族文化创意小微企业能力的回归分析

本研究利用 SPSS19.0 软件进行回归分析，在进行回归分析前，先对预测变量的数据进行标准化以及多重共线性检测，当 VIF 值处于 1—10 范围内，变量之间不存在多重共线性问题，下表 8 表是金融支持对苗族文化创意小微企业能力的回归分析结果：

表 8 金融支持对苗族文化创意小微企业能力回归结果

	B	t	Sig
<b>VIF</b>			
常量	<b>2.001</b>	<b>11.240</b>	<b>0.000</b>
控制变量			
成立年限	0.056	0.083	0.985
1.139			
企业规模	0.037	0.916	0.401
1.167			
自变量			
资金支持	0.418***	4.861	0.000
1.539			
<b>R<sup>2</sup></b>			<b>0.301</b>
<b>F</b>			<b>9.216***</b>

注：\*表示  $p < 0.05$ ，\*\*表示  $p < 0.01$ ，\*\*\*表示  $p < 0.001$ 。

根据上表，VIF 值没有超过临界值 1—10 范围，说明各变量之间不存在明显的共线性问题。F 值为 9.216，在 0.001 水平上显著相关，说明金融支持对企业成长绩效有显著性影响。同时，在表 8 中可以看出，资金支持与苗族文化创意小微企业能力之间的回归系数为 0.418，在 0.001 水平上显著相关，回归结果具有显著性，通过了显著性检验，也就是说资金支持对苗族文化创意小微企业的能力具有正向的影响，也可以说，如果苗族文化创意小微企业获得足够的金融支持，企业就可能获得更多的资源，如创意人才、管理人员、技术创新等，企业的各方面能力会得到相应的提高，所以 H1 的假设成立。

### 2. 企业能力对苗族文化创意小微企业成长绩效的回归分析

在企业能力对苗族文化小微创意企业成长绩效的回归中，在引入企业成立年限与企业规模为控制变量的前提下，以企业能力为自变量，苗族文化小微创意企业成长绩效为因变量，进行回归分析，结果如图 9 所示：

表 9 企业能力与苗族文化创意小微企业成长绩效回归分析结果

VIF	B	t	Sig	
常量	1.062	3.447	0.000	
控制变量				
成立年限	0.267	3.131	0.113	1.418
企业规模	0.079	2.068	0.092	1.041
自变量				
企业能力	0.505***	3.813	0.000	1.179
R <sup>2</sup>			0.271	
F			10.263***	

注:\*表示  $p < 0.05$ , \*\*表示  $p < 0.01$ , \*\*\*表示  $p < 0.001$ 。

从表 9 中分析结果可知, VIF 在 1—10 的标准范围之内, 说明本研究的各变量之间不存在共线性问题。F 值为 10.263, 在 0.001 水平上显著相关, 企业能力对苗族文化小微创意企业成长绩效的回归系数为 0.505, 在 0.001 水平上显著相关, 说明企业能力对苗族文化小微创意企业成长绩效具有显著的正向影响, 换句话说, 如果苗族文化小微创意企业的企业能力得到提高, 如获得资金支持、获得融资的能力等的提高, 企业就有可能从外部获得充足的资金, 从而促进企业的成长绩效, 故假设 H2 成立。

### 3. 企业能力的中介作用检验

检验苗族文化小微创意企业能力在金融支持与其成长绩效之间的中介作用时, 应该先检验金融支持(自变量)对企业成长绩效(因变量)的影响, 当金融支持对企业成长绩效具有显著相关才能做中介效果检验, 表 10 是金融支持对企业成长绩效回归分析结果。

表 10 金融支持与苗族文化创意小微企业成长绩效回归分析结果

VIF	B	t	Sig	
常量	1.476	4.015	0.000	
控制变量				
成立年限	0.364	2.939	0.201	1.
企业规模	0.115	1.463	0.141	1.167
自变量				
资金支持	0.285***	3.429	0.000	1.512
R <sup>2</sup>			0.253	
F			11.748***	

注:\*表示  $p < 0.05$ , \*\*表示  $p < 0.01$ , \*\*\*表示  $p < 0.001$ 。

由表 10 回归分析结果可知, VIF 的值都 1-10 的范围内, 本研究中的各变量之间不存在共线性问题。F 值为 11.748, 在 0.001 水平上显著相关, 金融支持对苗族文化小微创意企业成长绩效的回归系数为 0.285, 在 0.001 水平上显著相关, 回归分析结果表明金融支持对苗族文化小微创意企业成长绩效具有显著的正向影响, 根据以上的回归分析结果, 可以做下一步中介作用检验。

经过检验金融支持对企业成长绩效回归结果分析, 接下来可以将企业能力(中介变量)加入解释变量中, 检验金融支持、企业能力对企业成长绩效的影响, 表 11 是回归结果。

表 11 金融支持对企业成长绩效回归

VIF	B	t	Sig	
常量	0.847	3.516	0.029	
控制变量				
成立年限	0.257	3.392	0.018	1.021
企业规模	0.094	1.846	0.177	1.059
自变量				
资金支持	0.212**	2.973	0.002	1.557
企业能力	0.274***	3.028	0.013	1.965
R <sup>2</sup>		0.317		
F		10.851***		

注:\*表示  $p < 0.05$ , \*\*表示  $p < 0.01$ , \*\*\*表示  $p < 0.001$ 。

由表 11 结果可知, VIF 值在 1-10 范围之内, 变量之间不存在共线性问题。F 值为 10.851, 在 0.001 水平上显著相关, 说明金融支持、企业能力对苗族文化创意小微企业成长绩效有显著性影响。企业能力与苗族文化创意小微企业成长绩效的回归系数为 0.274, 在 0.001 水平上显著相关, 资金支持与企业成长绩效之间的回归系数为 0.212, 在 0.01 水平上显著相关, 与表 11 回归分析结果对比, 回归系数降低, 显著度下降, 说明企业能力在资金支持与苗族文化创意小微企业成长绩效之间存在中介作用, 所以本研究假设 H3 成立。本研究的假设检验结果如下表 12 所示:

表 12 研究假设检验结果汇总表

序号	研究假设	检验结果
H1	金融支持对苗族文化创意小微企业能力有显著的正影响	成立
H2	企业能力对苗族文化创意小微企业成长绩效有显著的正影响	成立
H3	企业能力在金融支持与苗族文化创意小微企业成长绩效之间起中介作用	成立

## 八 研究结论与讨论

### 1. 研究结论

结论 1 金融支持与苗族文化创意小微企业能力有显著正向影响。企业能力对金融支持与苗族文化创意小微企业成长绩效有中介作用, 由于苗族文化创意小微企业规模小、缺乏资金等, 使其用于搜寻与识别机会、开拓市场以及维持日常运营等方面的资金严重短缺, 这制约了企业成长绩效的提升, 因此, 在获得足够的金融支持时, 苗族文化创意小微企业成长绩效才可能得到提高。

结论 2 企业能力正向影响企业成长绩效。苗族文化创意小微企业在进行生产活动中, 在高水平企业能力的刺激下, 企业可能获得足够的金融, 成长绩效会得到提升; 但如果企业能力水平低, 尽管企业获得足够的金融支持也只是暂时缓解企业资金不足的问题, 不能持续促进企业成长绩效的提高, 因此, 企业能力水平的高低影响金融支持对苗族文化创意小微企业成长绩效的提升。

### 2. 建议

下面是本文针对研究结论就如何更好地对中国苗族文化创意小微企业开展金融支持提出几点建议。

首先, 政府应加大对苗族文化创意小微企业的金融支持力度。由于苗族文化创意小微企业的“新”、“小”、“弱”等先天缺陷, 政府需要加大对小微企业的金融支持力度, 制定和完善金融支持苗族文化创意小微企业的政策法规, 鼓励银行等金融机构及民间资本加大对苗族文化创意小微企业的信贷支持, 建立小微文化创意企业贷款风险分担与补偿机制, 解决苗族文化创意小微企业贷款贵贷款难等问题。在农村偏远地区适当增加金融营业网点及金融自助服务平台等。



其次，苗族文化创意小微企业要加强自身能力（即企业能力）建设。高水平的企业能力有助于企业配置、整合各种资源，有效识别风险，降低损失从而提升企业成长绩效。苗族文化创意小微企业可以通过组织学习提升自身能力，也可以对知识获取、吸收以及转化等知识管理过程来影响企业的自身能力，在不断创新过程中提升企业能力。

### 3. 研究不足与展望

在金融支持对苗族文化创意小微企业的影响研究实证中，本研究对金融支持、企业能力、企业成长绩效的测量，仅选取几个维度进行，不够全面；由于问卷调查的难度大及时间等限制，所获取的研究样本量不足；同时，没有考虑可能存在的其他中介变量或调节变量。所以，本研究虽然验证了企业能力在金融支持与苗族文化创意小微企业成长绩效之间有中介作用，但仍有不少不足之处。这些不足也是今后需要进一步研究和完善的方面。

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## 员工多样性对知识分享的影响

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### 摘要

随着经济全球化的进程,企业员工的组成也随着全球化呈现越来越明显的多样性特征。现有文献大多把员工多样性因素作为中介或调节变量对工作绩效进行研究。本文运用定性研究方法研究多样性对知识分享的影响。首先将文献中较为稳定的员工多样性因素进行提炼、归纳,总结出 15 个员工多样性因素并将其分成三大类型:任务相关多样性、关系相关多样性及深层特质多样性;其次通过半结构化访谈法向 20 位受访者收集数据,并通过扎根分析法及例证验证了从文献总结出的 15 个员工多样性因素的存在及其特性,研究发现任务相关的多样性因素,即教育、专业、任期、经验、认知、知识和技能的高、低或大、小而对工作绩效产生不同程度的直接影响;关系相关的多样性因素,即年龄、性别及种族的分布不均衡则影响团队结构的协调及矛盾;深层特质的多样性,即信仰、信念、态度、个性、价值观指导个人的言行、举止、思维,从而影响着知识分享,这些因素可根据其异同对团队成员进行分类。上述三类多样性因素根据其程度、分布和差异对知识分享的过程产生了影响。

**关键词:** 员工多样性, 知识分享, 扎根分析法

### 引言

随着经济全球化的进程,市场竞争越来越激烈,团队逐渐成为企业的运作手段,成为重要的组织形式;同时企业员工的组成也随着全球化呈现越来越明显的多样性特征。以日本三菱公司为例,随着业务的拓展,日本三菱在东南亚、欧洲开展业务,目前全世界共有 200 多个机构。业务如此庞大,自然不能够把总部的人都带过去,必须要在当地招贤纳士,以使得业务能够顺利开展。因此无法避免地造成了员工的多样性现象,

关于员工多样性的概念,Finkelstein & Hambrick (1996)认为,员工多样性是指组织成员之间在人口统计学特征以及重要的观念、价值观、经验等方面的差异化及差异化的分布。Roy Y.J. Chua 教授发现,如果团队由越多来自不同文化背景的人,就越容易产生不同的创意和观点,就越能够激发出更高的创造力。例如,在泰国公司上班的中国籍员工可能与泰国员工处理问题的方式完全不同,但这并不意味着是不好的现象,这使得问题的解决方式更具多元化。苹果 CEO 库克也认为最多元化的员工群将生产出最优秀的产品。一些企业也渐渐意识到了多样性的重要性,不少管理者在进行人事招聘时,强调了员工的多样性特质。尽管如此,也有不少企业认为,员工同质化所产生的工作效率比较高,因此在新员工就职时,就向新员工灌输公司理念、企业文化等,使员工的思维模式形成了一个较为固定的模式,但是这些公司也有可能因此产生思维方式、决策性的错误。综上所述,员工多样性现象在实践中呈现了双面性,既有积极的影响,也有消极的影响。

在学术方面,学者们也对员工多样性进行了相当广泛的研究,对于多样性的主效应,即多样性对创新、绩效的影响是学者们最感兴趣的话题。随着研究的渐渐深入,这种研究范式也逐渐被质疑,因为研究结果出现了双面性,既有积极作用也有消极作用,而且有些研究的结果不一样。学者把信息决策理论(Williams & O'Reilly,1998)及社会类化理论(Turner et al.,1987)导入多样性效应的理论框架中,试图解释多样性的效应,但是结果不然。社会类化理论的主要观点认为员工多样性都会导致消极的影响。该理论认为,群体中的个体把与对方的相似或差异当成区分“群内”及“群外”的基础,与“群内人”合作的意愿高而与“群外人”合作的意愿低,从而

影响了创新或绩效的高低。然而信息决策理论认为，员工多样性对个体态度和行为以及群体过程和结果都会产生积极正向的影响（韩立丰等，2010；阮国祥、毛荐其&马立强，2015；邓渝，2016）。

尽管很多学者都对多样性进行了大量的研究，但是围绕的主题大都是绩效和创新方面。本文认为，具有多样性特质的员工必须首先通过知识分享，产生新的知识并进行整合后方可引起相关的绩效和创新。多样性是个人特征的体现，而知识分享的过程则是人与人之间的互动过程，即多样性的交互过程的体现，因此本文认为了解多样性的交互过程对知识分享所产生的效率有一定的作用，因此本文将注重研究多样性在知识分享中的影响情况。

## 文献综述

### 1. 员工多样性的因素及其分类

多样性也叫异质性，均指的是人与人之间的差异。关于员工多样性的研究 50 多年前就已经开始，如今员工多样性已经成为组织行为学领域的研究内容。综观文献，关于员工多样性的定义还没有一个明确的观点，相关学者针对研究的注重点，仅选取部分多样性因素进行研究。文献对多样性也没有一个整体的概括和描述。

通过对文献的回顾、归纳和总结，本文从相关文献搜集了关于员工多样性的因素，并接受现有文献对多样性的分类，经过去重最后提炼出 15 个关于员工多样性的因素。为了厘清这 15 个多样性因素的属性及类别，本文借助通过现有文献相对成熟、稳定的分类方法，分别把这 15 个因素分为 3 个概念，即：任务相关的多样性，包括教育、专业、任期、经验、知识和技能；关系导向的多样性，包括年龄、性别和种族；深层特质的多样性，包括信仰、信念、态度、认知、个性和价值观。如下表所示：

#### 1) 任务相关的员工多样性因素及其类型

任务相关的员工多样性类型指的是可以直接影响工作或任务的完成情况的员工多样性。即：教育、专业、任期、经验、认知、知识和技能。根据第二章对文献的总结，上述 7 个多样性因素都可以在实践中直接发挥并指导工作的运作。因此，与工作有着较高的关系，本文将其归为任务相关的员工多样性类型。

表一 任务相关的员工多样性归纳表

序号	文献	员工多样性因素	文献中对多样性类型的描述	本文对员工多样性的归纳
1	陈睿&井润 (2012)	教育程度	高工作相关性	<b>任务相关的员工多样性:</b> 1.教育/教育水平/ 教育背景/教育程度/ 学历/学位 (以下简称“教育”) 2.专业/专业背景/ 专长 (以下简称“专业”) 3.任期/团队任期 (以下简称“期”) 4.经验/职业 经验/创业经验/行业 经验/职能经验 (以下简称“经验”) 5.认知异质性 (以下简称“认知”) 6.知识 7.职能/职称/地位 (以下简称“职位”)
		团队任期		
		专业背景		
2	侯楠、杨皎平&戴万亮 (2016)	知识	任务导向多样性	
		经验		
		教育程度		
		专长		
		任期		
3	张钢&熊立 (2009)	专业背景	专长异质性	
		学历		
		职业经验		
4	Jackson, Joshi & Erhardt (2003)	行业经验	任务相关异质性	
		职能经验		
		创业经验		
		受教育程度		
5	Jackson, Joshi & Erhardt (2003)	工作年限	任务相关的异质性	
		教育		
6	Foo, Wong & Ong (2005)	行业经验	任务相关异质性	
		职能经验		
		创业经验		
		受教育程度		
7	Liao, Li & Gartner (2009)	行业经验	功能视角	
		职能经验		
		创业经验		
		受教育程度		
8	牛芳, 张玉利&杨俊 (2011)	知识	任务相关异质性	
		技能		
		经验		
9	Pelled (1996)	教育水平	高工作相关的特性	
		任职年限		

## 2) 关系导向的员工多样性因素及其类型

该方面的员工多样性是可以通过表象发现到的多样性特质。即：年龄、性别、种族。

表二 关系导向的员工多样性归纳表

序号	文献	员工多样性因素	文献中对多样性类型的称谓	本文对员工多样性的归纳
1	陈睿&井润田 (2012)	年龄 性别	低工作相关性	关系导向的员工多样性： 1. 年龄 2. 性别 3. 种族
2	侯楠、杨皎平&戴万亮 (2016)	年龄 性别 种族	关系导向多样性(表层或人口统计因素多样性)	
3	张钢&熊立 (2009)	性别 年龄	一般异质性(人口统计学特征)	
4	Jackson, Joshi & Erhardt (2003)	性别 年龄 种族	关系相关异质性	
5	Foo, Wong & Ong (2005)	性别 年龄 种族	非任务相关异质性	
6	Liao, Li & Gartner (2009)	性别 年龄 种族	社会视角	
7	牛芳,张玉利&杨俊 (2011)	性别 年龄 种族	身份相关异质性	
8	Pelled (2003)	性别 年龄	低工作相关的特性	
9	Jackson, Joshi & Erhardt (2003)	年龄 性别 种族	易观察特质的异质性	

## 3) 深层特质的员工多样性因素及其类型

该员工多样性指的是不能够从表象直接观察到的员工多样性，即：信仰、信念、态度、个性、价值观。虽然这些多样性没有直接体现在工作中，但是这些深层次的多样性指导着个人的言行、举止、思维，从而影响着知识分享。

表三 深层特质的员工多样性归纳表

序号	文献	员工多样性因素	文献中对多样性类型的描述	本文对员工多样性的归纳
1	Jackson, Joshi & Erhardt (2003)	价值观	深层特质异质性	深层特质的员工多样性类型： 1. 价值观 2. 信念 3. 态度 4. 信仰 5. 认知 6. 个性
		信念		
		态度		
2	侯楠、杨皎平&戴万亮 (2016)	信仰	深层特质多样性	
		价值观		
3	陈星汶，崔勋，于桂兰 (2015);李楠，葛宝山 (2018)	认知	深层特质异质性	
4	Harrison, Price, Gavin & Florey (2002); Miliken & Martins (1996)	个性	深层特质异质性	

## 2. 知识分享的定义

汪轶等（2008）提出知识分享的研究分为两大研究范式，并由这两大范式衍生出沟通、工具、社会交换、互动、学习、市场、权利七大研究视角。根据不同的研究视角，对知识分享的定义也各不相同。不管怎样，这七大视角都是从知识的传播者与被传播者的角度出发，出于不同的知识分享意愿通过沟通、交流、转换、学习、讨论等方式进行知识分享。

本文章把知识分享作为一种行为进行研究，而知识分享的工具，既是人与人之间的沟通、交谈及交流。员工在工作时的行为均可视为知识分享，如开会、指导同事工作、填写相关表格、就某件事情交换看法等任何与知识流动有关的行为均可视为知识分享。

## 3. 员工多样性及知识分享的相关研究

相关文献中很难找到员工多样性对知识分享过程的影响的研究，但是也有学者把知识分享作为中介变量研究其对创新、绩效的影响，或是把团队成员对多样性的感知作为中介变量，测量多样性对绩效的影响。如彭凯&孙海法（2012）从知识基础的企业观出发，通过知识 IPO（Input-Process-Output）的过程，对研发团队知识多样性、知识分享和整合及团队研发创新三者之间的复杂关系进行了探讨，并归纳总结了三者的模型。邓然（2017）在多样性对知识分享的研究上作出了贡献。他使用回归分析方法研究对多样性特征的团队的管理，并激发他们的创新力。研究中，他把知识分享定义为团队成员向他人传递知识和信息的过程，并认为知识分享的效果自我效能、团队氛围和期望收益有关。

## 研究问题

由于文献中主要都是研究员工多样性对知识分享的影响，因此本文将通过半结构化访谈法对 20 位受访者进行访谈，试图验证 15 个员工多样性因素在案例中的存在，试述每个员工多样性因素对知识分享的影响，并找出三大类型的员工多样性的特性。研究的主要问题有：

1. 每个案例中产生显著作用的员工多样性因素是什么？
2. 每个多样性因素在相关案例中的影响方式是什么？
3. 每种类型的多样性因素的特性是怎样的？

## 研究设计

本文基于社会建构主义的观点，认为人作为社会实践者，经常通过自己的经验和他们所处的社会环境相互作用来解释周围的世界，人类以反映他们的主观思维的方式理解他们周围的世界。因此，为了把握一个人的行为的意义，研究人员应该尝试从那个人的角度看事情（Bogdan & Taylor, 1975），而这时实证研究无法做到的，因此本文通过定性研究方法，研究员工多样性对知识分享的影响，从而填补现有文献的缺陷，从而丰富知识分享领域的研究成果。

## 1. 研究方法

本研究是建立在社会建构主义和解释主义的哲学基础上，因此本文将会使用定性分析的方法，并通过半结构化访谈知识分享的传播方和接收方进行访谈并揭示员工多样性在知识分享的过程中所隐藏的实质现象。

## 2. 访谈对象及样本量

本研究主要从 MBA 课程的学生里挑选研究对象，并通过滚雪球的方式扩大取样范围，从广大的研究人群中找到适合的研究对象。被挑选到的人必须具有在员工多样性团队背景下进行团队合作和知识分享的经历，以便得到调研所需要的数据和信息。本文接受 Fassinger (2005) 的提议，同时样本也在第二十位受访者时接近饱和，因此访谈人数为 20 人。

## 3. 访谈程序

首先，跟受访者解释知识分享的定义，即：员工在工作时的行为均可视为知识分享，如开会、指导同事工作、填写相关表格、就某件事情交换看法等任何与知识流动有关的行为均可视为知识分享。

关于员工多样性的问题，由于员工多样性是个体感知到的与他人的差异，因此在了解案例中的人所具有的多样性特质时，如果受访者所描述的多样性因素较为模糊，笔者则会根据不同的方式进行直接或间接地询问，如：

- 在这次沟通里，你认为你和他有什么样的区别呢？或
- 你觉得为什么他会这么说呢？（言下之意是：他的经验比你多？他是长辈？）或
- 他的态度/认知跟你不一样吗？

访谈过程中会围绕案例中出现相关的员工多样性进行提问，以深挖员工多样性在知识分享中的影响。

## 4. 分析方法

针对收集到的知识分享案例，本文将会对受访者提到的员工多样性的相关例证进行识别，并通过扎根分析法对该内容进行分析、提炼和解读，最终总结员工多样性影响知识分享的相关原因。

# 研究结果及数据展示方式示例

在文献综述中，本文将相关文献中出现的员工多样性因素进行提炼，整理出 15 个员工多样性因素。为了研究 15 个多样性因素在知识分享过程中的相互作用，本文将通过半结构访谈法收集数据，并通过扎根分析法对相关案例进行解读。本文用代码 D (Diversity) 对案例进行编号，如 D1 为关于员工多样性与知识分享的第一个案例，并依次类推至 D20。

以多样性因素中的教育因素为例，本文将依次对“教育”进行概念论述、原文例证、个案诠释及整体总结。

## 第一部分：任务相关性的员工多样性因素研究结果

### 1. 教育

通过对文献的阅读，发现教育程度的高低对价值观、思想、阅历等间接影响，从而对知识分享产生影响。教育水平异质性越高，团队成员在认知、信息处理应对复杂决策环境等方面存在较大差异，因而缺乏共同的目标感，难以形成坦诚互信的沟通氛围。在访谈中，受访者也提到了教育对知识分享的影响（冯亚明&尚海燕，2012；顾予湘，攀重俊&束义明，2015；陈睿&井润田，2012；侯楠、杨皎平&戴万亮，2016；攀传浩&王济干，2013）。

案例 D18 的受访者提到：

“就是因为他们那些就是像没有上过大学，初中高中他们就出来了这一种性格比较 open 一些开放一些说话比较直，他们说话方面不会考虑你的感受。”

从受访者的描述中了解到，教育程度会间接影响个人修养，在沟通时不会考虑到他人的感受，使得知识分享不顺畅。

案例 D12 的受访者也谈到他的下属，认为由于下属由于没有受到正规的高等教育而早早就出社会工作，也不是那种好学和善于学习的人，因而在工作中遇到挫折的时候一般会选择辞职。本文认为这是因为教育程度从侧面影响了个人的素质和价值观。

“那些20岁左右的，很多都是中途辍学了，要不就是还没念过大学的，或者是正在念那种函授大学的。所以他们也不是那种特别好学的特别想学的人。这个也是流动性比较大的原因。”

案例 D13 的受访者提到：

“我们的学习的方式教育就是可能，我们上课中学小学或者大学，我们只是听的。就是提问很少。明白吗？就是培养我们成这样子。你学习的时候你可能只听老师，只是老师讲，看书啊什么的，就不会有很多的讨论，或者发表自己的看法想法，所以就造成我们就是不习惯或者这样的。我觉得也是教育，教养。”

受访者想要表达的意思是，他所在的部门里，工作人员有中国人和泰国人。中国人在开会或讨论问题的时候会积极地发表各自的意见，然而泰国同事则比较含蓄，没有中国同事这么积极。受访者认为有可能是两者的教育方式不同。泰国人的教育往往是听老师说为主，很少有互动；而中国的教育则鼓励多发言、多提问，因此使得两者的沟通方式产生区别。

表四 “教育”因素对知识分享过程的影响的典型例证

数据	典型例证	诠释	员工多样性因素
D18	就是因为他们那些就是像没有上过大学，初中高中他们就出来了这一种性格比较 open 一些开放一些说话比较直，他们说话方面不会考虑你的感受。	教育水平会对个人修养产生一定影响	教育/教育水平/教育背景/教育程度/学历/学位（以下简称“教育”）
D12	那些 20 岁左右的，很多都是中途辍学了，要不就是还没念过大学的，或者是正在念那种函授大学的。所以他们也不是那种特别好学的特别想学的人。这个也是流动性比较大的原因。	教育水平体现人的素质与价值观	
D13	我们的学习的方式教育就是可能，我们上课中学小学或者大学，我们只是听的。就是提问很少。明白吗？就是培养我们成这样子。你学习的时候你可能只听老师，只是老师讲，看书啊什么的，就不会有很多的讨论，或者发表自己的看法想法，所以就造成我们就是不习惯或者这样的。我觉得也是教育，教养。	教育方式的不同而引起的习惯性操作	

综上所述，教育层次的不同会对个人的修养及行为产生影响，同时会对深层特质的员工多样性因素，如价值观产生影响，从而在知识分享过程中的意见分歧，对知识分享造成影响。

由于篇幅的原因，以下仅对员工多样性的其他 14 个因素进行概念分析和案例总结。

## 2. 专业

文献中指出，专业背景不同，则在遇事的时候的思维模式和考量的角度不同，从而影响知识分享（冯亚明&尚海燕，2012；陈睿&井润田，2012；侯楠、杨皎平&戴万亮，2016；张钢&熊立，2009）。

由访谈得知，如果能够了解并熟悉团队中个体所擅长的专业，分工则会更清晰，能够发挥所长因此效率会更高；另外，在特定的知识分享内容下，沟通的内容会根据个体专业的不同而产生不同的视角，从而使得看问题更全面。

## 3. 任期

文献中指出，任期或团队任期在知识分享中有利也有弊。任期长的人员具有多样化观点，或固守原有模式；任期的多样性使得个人对决策工作的理解不同，易激发团队内的冲突，从而影响知识分享（冯亚明&尚海燕，2012；顾予湘，攀重俊&束义明，2015；陈睿&井润田，2012；侯楠、杨皎平&戴万亮，2016）。

访谈结果显示，任期的长短使得个体对具体事情的理解程度不一样，容易造成分歧；另外，任期长的个体由于对组织及事情的把握程度较熟悉，因此做事相对稳、准；任期短的个体则会相对保守。



#### 4. 经验

文献中认为，职业经验代表着不同的认知模式，从而间接影响知识创造；不同工作单位所具有的不同文化、不同特色的管理方法，带来多元化的信息，促进知识分享的气氛（冯亚明&尚海燕，2012；侯楠、杨皎平&戴万亮，2016；张钢&熊立，2009；攀传浩&王济干，2013）。

从访谈到的案例发现，经验充足的成员在团队中具有一定的主动权、发言权，经验的分享能够使得事情事半功倍。

#### 5. 知识

倪旭东&薛宪芳（2013）认为，每个知识员工背后都会存在一个知识网络，这个知识网络是由之前的学习与工作经历建立起来的。基于此观点，团队外存在着多个与现团队成员相应的知识网络。这些分散的知识网络由于团队内知识多样性成员的互动而建立了联系，从而构成了一个巨大的跨组织异质性知识网络。

访谈案例中发现，知识面的高低会导致团队成员共同知识基础的高低差异，对知识分享产生障碍；知识面广的成员占据一定的主动权。

#### 6. 职位

文献中指出，个人通过不同地位所扮演的角色间接影响知识创造，如过度发挥职能则容易产生不满意，使得团队难以沟通，冲突与误解超过了合作与共识。

访谈中发现，职能明确的情况下，能够避免做重复的工作，信息的来源就更准确；但是知识分享的结果会受到职位的影响，因为职位越高其知识的权威更高、更具分量和可信度，使得一些有用的知识不被发现或被忽视；另外，由于不同的职位看问题的角度不一样，如果沟通不好则会产生信息的失真、沟通的障碍。

以上研究结果说明了任务导向中的员工多样性因素，即教育、专业、经验、任期、知识及职位在知识分享过程中的具体影响。研究发现，这些员工多样性因素可分为高或低，多或少；在知识分享的过程中均具有双面性，既有利于丰富知识分享的信息多样性，也会对知识分享产生制约。

### 第二部分：关系相关性的员工多样性因素研究结果

#### 7. 年龄

年龄在多样性因素里是一个显而易见的特征，年龄的多样性并不直接对知识分享产生影响。在文献的描述中，对年龄这个多样性因素有褒也有贬。年龄的多样性使得团队获得更多样化的视角，但是年龄差异性大，则具有不同而经历和背景，使得难以形成一套有效沟通的共同话语体系，导致信息理解的扭曲与误读，造成沟通困难。

访谈的案例中也证实了文献的说明。首先从认知角度来说，同一年龄层的人沟通更为便利；年龄较小的成员考虑问题的角度还不够周全；年纪大的人由于具有更丰富的经验因而能够更好地指导团队；其次，从年龄的分布来说，年纪分布不均或差异太大或会导致团队的融合问题，如年纪大的员工无法融入年轻人的团队等。

#### 8. 性别

跟年龄一样，性别的多样性也并不直接对知识分享产生影响，而是根据个人年龄、性别所具有的经验、思维等深层因素对知识分享产生影响。同样，对于性别对于多样性的影响并没有一个定论，而是具有两面性。从好的方面来说，性别同质化可以使团队具备一定的凝聚力和共同话语，但是具有这些多样性的人在一起工作，会需要更多的时间来彼此了解，更大的耐心来彼此合作，否则会导致更多可能的冲突。

通过对案例的解读，本文发现针对性别的积极作用，性别的差异可以在习性、思维方式、兴趣爱好上形成互补；由于男女之间的观点、逻辑思维、品味等不同，使得团队中更具多元化优势；基于异性相吸的原则，可以减少团队内的摩擦。消极作用可以从性别的分布上来说明，性别分布差异太大则会产生团队中的摩擦。

#### 9. 种族

种族是个人特征的体现。Jackson 等学者将其把种族归纳在“关系取向的员工多样性中”，主要对人际关系的形成产生影响（磨玉峰&徐国芳，2009）。

案例中发现，由于不同种族的生活环境不同，因而会产生不同的观念、价值观，同时也会产生语言差异及相关概念的差异；如果不处理好团队中的种族差异现象，则会导致扎堆现象，团队成员间不能很好地融入。

以上研究结果说明了关系导向中的员工多样性因素，即年龄、性别及种族在知识分享过程中的具体影响。研究发现，这些员工多样性因素可以从其分布情况对知识分享产生影响，分布不均衡则影响团队结构的协调；而且知识分享的过程中要注意该些员工多样性因素的融合，否则会引起团队内不同类型的群体的矛盾，如年龄群、族群等。

### **第三部分：深层特质的员工多样性因素研究结果**

#### **10. 宗教信仰**

信仰是文献中提到的深层员工多样性因素，Griggs(1995)认为它是员工多样性的次要维度。信仰通过主观意识影响着知识分享。

从案例中说明了宗教信仰使得有些话题成为敏感话题，使沟通变得谨慎、不顺畅；而拥有共同的宗教信仰使得大家的一些认知一致，没有产生“群体外”现象，使得合作更为顺畅。

#### **11. 信念**

信念被认为是事实或者必将成为事实的对事物的判断、观点或看法。近义于观念。磨玉峰&徐国芳（2009）把信念归为深层次的影响因素。跟态度、价值观一样，信念对工作绩效产生很大的影响，是影响绩效的直接因素。

访谈中发现，一个人的信念可以被长期生活的环境所影响或改变；一个人的良好状态能够引起他人信念上的共鸣；而个体对他人的执念会影响沟通的深度。

#### **12. 态度**

态度是个体对特定对象，如人、观念、情感或者事件等所持有的稳定的心理倾向。这种心理倾向蕴含着个体的主观评价以及由此产生的行为倾向性。态度跟价值观、信念等一样，属于深层因素的员工多样性（磨玉峰&徐国芳，2009）。

众多访谈案例表明，一个人的行为取决于个体对某些具体事物的态度。可以体现为对生活的态度、对工作的态度及对他人的态度。由于态度是随着时间的推移个体对人或事形成的潜移默化观念而表现出来的行为，因此较难改变。

#### **13. 认知**

认知是人最基本的心理过程，指人们获得/应用知识的过程或信息加工的过程。它包括记忆、知觉、感觉、想像、思维和语言等。文献中认为，多样的认知基模往往会转化为更富有创造性和创新性的创意和想法。认知多样性显著的团队可以比其他团队获得更多的信息，对同一情境有不同的解读及更多的解决方案。

从案例中发现，认知的不一致导致理解的偏差，直接产生了沟通的障碍。

#### **14. 个性**

个性是一个人相对稳定的思想和情绪方式，是其内部的和外部的可以测量的特质。一个人在不同的情境下均表现出的一些特点，称为个性特质，如害羞、进取心、顺从、懒惰、忠诚、畏缩等。

从案例中发现，个性直爽的人沟通起来容易产生冲突，个体对他人个性的接受程度不同而对沟通造成影响，领导的个性会影响团队的主动性。

#### **15. 价值观**

价值观是指个人对客观事物（包括人、物、事）及对自己的行为结果的意义、作用、效果和重要性的总体评价，是对什么是好的、是应该的总看法，是推动并指引一个人采取决定和行动的原则、标准，是个性心理结构的核心因素之一。它使人的行为带有稳定的倾向性。跟信念、个性、态度一样，价值观被认为是深层特质的员工多样性因素，对知识分享直至绩效产生直接的影响。关于价值观对知识分享的影响，访谈案例中也有所体现。

案例中发现，生活环境会对个人的价值观产生影响，种族的差异也会形成价值观的差异，不同的价值观或会造成沟通上的分歧。

以上研究结果说明了深层特质的员工多样性因素，即宗教信仰、信念、态度、认知、个性及价值观对知识分享过程中的具体影响。这些因素可以从异与同进行区分，从而对团队成员的

类型进行分类，类似的人则有更多的共同语言，反之则容易在沟通过程中产生矛盾。这些深层特质的员工多样性因素都是长期以来在个体中潜移默化而形成的，很难能够发生改变。

综上所述，三大类型的员工多样性对知识分享过程的特性如下表所示：

表五 员工多样性对知识分享过程的影响归纳表

员工多样性类型	相关因素	共性及影响	具体说明
任务相关的员工多样性	教育、专业、经验、任期、知识及职位	可分为高或低，多或少	这些因素对知识分享具有双面效果，但均可进行调节
关系相关的员工多样性	年龄、性别及种族	因分布情况而产生影响	分布不均会造成团队结构的不协调，如不能融合则会产生群体间的矛盾
深层特质的员工多样性	即宗教信仰、信念、态度、认知、个性及价值观	因异与同产生影响	因相关因素的异同而产生类化，较难发生改变

为了能够很好地分析每个案例中员工多样性因素对知识分享的影响，本文就总结出的 15 个员工多样性因素及访谈中的 20 个案例所出现的员工多样性因素进行总结，发现在同一个案例中，产生重要影响的员工多样性因素不仅一个，而是多个因素同时发生作用。具体如下表所示：

表六 访谈案例中的员工多样性因素总结表

案例	关键员工多样性因素	案例	关键员工多样性因素
D1	年龄，经验，知识，职位	D11	种族，价值观，年龄
D2	种族，个性，价值观，认知	D12	种族，个性，态度，认知
D3	任期，经验，价值观，态度，职位	D13	种族，价值观
D4	个性，年龄，态度，信念，价值观，认知	D14	职位，个性，态度，价值观
D5	年龄，职位，态度	D15	职位，个性，价值观，认知
D6	年龄，性别，个性，经验，知识，认知，态度，价值观	D16	年龄，教育，职位，个性，价值观
D7	职位，个性，价值观，认知	D17	态度，认知
D8	性别，年龄，态度，个性	D18	教育水平，个性，价值观，态度
D9	年龄，认知，信念，价值观	D19	性别，年龄
D10	信仰，种族，态度，认知，价值观，知识，职位	D20	年龄，性别，种族，个性，经验，知识

## 讨论

以上研究结果归纳了任务相关、关系相关及深层特质三种类型的员工多样性的共性，并具体说明了三大类型的 15 个员工多样性因素对知识分享过程产生的具体影响。以上研究结果对团队的人员管理具有一定的指导意义。首先，通过本文对员工多样性类型的归纳，管理者可以辨析团队中的员工多样性情况；其次，在了解团队中的员工多样性情况后可对相关员工多样性进行调节、补充或替换，使团队中成员能够很好地融合在一起，从而使得知识分享得以协调发展。

在研究的过程中，本文发现每个案例所处的情境不一样，情境不同则发生主要作用的员工多样性则不同。因此在以后的研究中，学者可以对知识分享的情境进行解读并发现其共性，从而研究员工多样性在相关情境中所发挥的作用。

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# 海峽兩岸普通高中科學課程綱要之研究比較 從自我調整學習角度分析

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## 摘要

兩岸近年均對教育進行一連串改革，大陸提出「中國學生發展核心素養」、台灣則提出「12年國教」，兩者均以素養為主要訴求點，這與 USESCO、OECD、EU 等國際組織的觀點一致，並在 2017 年不約而同提出相對於新教育的課程綱要或課程標準，以期能一改過去缺憾，並達成終身學習目標，同時這與自我調整學習(SRL)的理念具一致性。而科學課程在兩岸課程變革中，卻有著不同的調整方式。本研究以自我調整學習角度分析海峽兩岸科學課程課綱(課標)，在推動自主學習上的差異。著重於以下二個層面：

1. 分析兩岸高中課程核心素養內涵與差異。
2. 以自我調整學習角度，比較兩岸科學課程課綱(課標)設計差異。

分析發現兩岸課綱(課標)有四大共同趨勢：高中定位基礎化、培養目標生活化、課程結構多樣化、課程實施學生中心化，與兩種基本分歧：科教重視度、學科統整性。

關鍵詞：普通高中(10-12 年級)；兩岸科學課程；課程標準；課程綱要；自我調整學習

## 1.前言

課程為動態發展，並非靜態。不同課程綱要承載不同時空背景的需求。不約而同兩岸在 2017 年陸續提出新世代的課程綱要，大陸方面提出義務教育與高中教育的新課程標準，台灣方面也提出配合十二年國教的新課程綱要。新時代浪潮下，兩岸教育均面對相似問題，學生成就表現雖佳，但學習興趣低落。

以科學學習部分，由在 PISA2015 表現出差異雙極化，可發現兩岸學生成就雖高，但學習動機卻有落差，如表 1、表 2，台灣在享受科學與對廣泛科學主題的興趣上偏低，大陸則在自我效能較差，而工具型動機相對較高，表示學生被動學習情形較高，與知識論信念較低。

表 1 PISA 2015 科學素養成績比較

項目	OECD	台灣	大陸(B-S-J-G)*
整體平均(標準差)	493(94)	4 <sup>th</sup> -532(100)	10 <sup>th</sup> -518(103)
高分群(L5-L6)	7.7%	15.4%	13.6%
低分群(L2-)	46.0%	30.5%	36.9%

\*2015年大陸為B-S-J-G共同參加，B-S-J-G為北京Beijing、上海Shanghai、江蘇Jiangsu、廣東Guangdong

資料來源：研究者整理自 <http://www.oecd.org/pisa/data/>

表 2 PISA 2015 科學學習動機比較

項目	OECD 整體平均	台灣整體平均	大陸整體平均
享受科學	0.02	-0.06	0.37
廣泛科學主題的興趣	0.00	-0.01	0.45
自我效能	0.04	0.19	-0.01
工具型動機	0.14	0.24	0.53
知識論信念	0.04	-0.01	-0.03
科學活動	-0.02	0.20	0.52

資料來源：研究者整理自 <http://www.oecd.org/pisa/data/>

雖台灣科學教育在學術端不斷地進行研究調整，以冀改變學生學習動機低落的困境，教學方法、教材媒體、課程設計等的改進呈現出許多令人欣喜的結果。但在高中端，研究者所見情況卻有著落差存在，台灣高中學生進入大學主要需要經過學測考試途徑，然多數學生學測結束後在進入高三下學期時，對科學課程的學習動機卻是顯著銳減。學習動機下降所造成的必然結果就是學習成效低落。長期發展下，未來台灣的科學發展將會令人擔憂。相較於台灣，近年來大陸科學發展蓬勃，無論在量子科學、航太科學等尖端科學的領域中均有傲人發展，甚至《經濟學人(THE ECONOMIST)》在 2019 年 1 月以紅月升起(Red moon rising: Will China dominate science?)做為封面標題，討論大陸在科學上的突破相關議題(THE ECONOMIST, 2019)。雖科學突破與多重因素有關，如：經濟學人提到的資金、研究機構、人類智慧的集合，身為教育現場的科學教師，不禁思考在教育上呢？是否在教育上的差異造成科學發展的突破呢？

科學學習是需要學習者有高度自主性，並要求學習者能運用學習的知識，在下一輪學習中作為基礎，這與自我調整學習的理念是不謀而合的。而國際教育趨勢與兩岸的教育變革，均強調學習者的自主性。回過頭觀察台灣的高中學生，是否是因為缺乏自我性而造成學習動機低落呢？若課綱目標為培養自主學習者，其內容是否能與自我調整學習的理念契合？

恰逢大陸與台灣的新世代教育變化，均在科學發展與基礎教育有所著墨，而課程為動態發展，並非靜態，不同課程綱要承載不同時空背景的需求。因此研究者企圖由兩岸高中課程綱要的內涵，透過自我調整學習的理論架構剖析，在推動自主學習上的異同。本文透過文件分析與文獻分析，分析兩岸新課綱內容與相關文獻，以自我調整學習角度剖析兩岸在科學課程上理念與特點，是否能培養出具有終生學習的學習者。

## 2.自我調整學習與兩岸核心素養

### 2.1 自主學習(Autonomy Learning)與世界教育趨勢：

#### 2.1.1 自主學習：

自主性(Autonomy)以 Wall(2003)的看法具有 4 個面向：1.有能力形成複雜的意圖，和有能力維持承諾；2.有必要的獨立能力去規劃出自己的生命路途，並且個人能夠知道何者是有價值的，和值得去做的；3.必須具有自我的意識和力量去控制自己的事務；4.能夠處於一種環境，提供自己較多合於價值的選擇。以此觀點去詮釋自主學習，簡言之，為在學習的過程中，展現自主的行為。學習者在能力、動機上需要有一定的基礎才能滿足進行自主學習的要求。

自主學習觀點與當代教育理念互動下，開始產生轉變，其中有 4 項面向：1.學習策略的訓練與自我調整(Learning strategies and self-regulation)；2.動機導入(Motivation)；3.個人差異化與社會文化取向(Individual differences and sociocultural approaches)；4.教師發展(Teacher development)(Benson, 2007)。所以自主學習並非著重於學習者獨立，亦著重教師與同儕對於自主學習的重要性，如：師生互動、生生互動(高寶玉, 2018)。

#### 2.1.2 國際組織之教育理念趨勢與轉變：

新世代的教育變遷可由三大國際組織(聯合國教育科學文化組織 UNESCO、經濟合作暨發展組織 OECD、歐盟 EU)自 1996 年以降所提出的教育理念作為起點，以學習力、素養為軸線，來瞭解新世代的教育理念與自主學習密不可分。

UNESCO 所提出的五大支柱，其核心均建構於在個體具有「學習如何學(learning to learn)」，

學習力成為新世代的教育主軸之一(Delors, 1996; UNESCO Institute for Education, 2003)。在 2015 年於 WISE 通過的《仁川宣言：面向 2030 年的教育：具全納性與公平性之全民優質教育與終身學習(Incheon Declaration: Education 2030: Towards inclusive and equitable quality education and lifelong learning for all)》，UNESCO 認為教育為公共財，以終身學習能力的建構為目標，教師角色轉變為指引學生自主學習的引導者(UNESCO, 2016; 洪雯柔, 2017)。

OECD 提出三層面九向度的核心素養，其研究計畫 DeSeCo 中提出的核心素養三維向度：1.能使用工具溝通互動、2.能在社會異質團體運作、3.能自主行動(Rychen & Salganik, 2003)，強調核心素養的培養為終身學習與發展的歷程。OECD(2018)在《教育 2030：未來的教育與技能(The future of education and skills: Education 2030)》亦提及核心素養之核心為預期(Anticipation)、行動(Action)、反思(Reflection)，並以回饋循環方式(Anticipation→Action→Reflection)培養核心素養，如自我調整學習過程中不斷修正的歷程。

歐盟強調個體素養的形成和發展，強調「從證書到素養」、「從知識到素養」。自 2001 年的《使終身學習的歐洲成為現實(Making a European Area of Life long Learning a Reality)》提出基本素養後，針對關鍵素養進行了深入探討，提出以經濟和社會發展為目的，以終身學習為核心，建構 8 種關鍵素養，其認為關鍵素養為知識技能和態度的綜合。由近來世界教育趨勢，可整理出四大轉變：由階段轉為終身、由靜態轉為動態、由能力轉為素養、由分科轉為整合。

#### **A.由階段轉為終身：**

無論是 OECD、UNESCO、EU 均在新教育理念提出過程中強調終身學習的必要性(OECD, 1998; OECD, 2002; Delors, 1996; EU, 2004; EU, 2005)。終身學習取向為學習的系統觀，強調以學習者為中心，促進學習動機及各種教育政策目標的平衡觀點(The Scottish Parliament, 2001)。這與自我調整學習的核心一致，以學習者主動對學習中不同的相關情境，運用適合學習策略，以循環式歷程運用，為學習者在未來達成精熟的目標準備(Zimmerman & Schunk, 1998)。

#### **B.由靜態轉為動態：**

Beckett(2008)認為學習者從情境經驗當中，透過判斷、決策與反思性行動發展而成，才能培養出核心素養。自我調整(self-regulation)歷程對於學習的動態歷程具有重要地位。Illeris(2009)認為學習必須重視歷程導向，特別是在素養導向教育上，不能僅限於靜態的素養定義；其指出學習含兩大基本歷程：1.學習者與其社會、文化和物質環境之間的外在互動歷程；2.新學習經驗與其先前學習結果之間的心理歷程(Illeris, 2003)。而自我調整學習將學習視為開放歷程與發展性活動，學習者需要由變動不定的人際、情境、及個人內在狀態之互動結果為基礎，持續評估學習策略的效用(Zimmerman & Schunk, 1998)，此理念與學習的動態取向、素養的培養歷程相呼應。

#### **C.由分科轉為整合：**

學習發生於各種環境與情境中，並非限於正規教育體系。因此整合學科的教育趨勢將才能與學習的理念相互配合。Westera(2001)亦強調「素養」不應限於事實性的「知識」，而應包含促進特定行為表現的認知結構，包含了因應複雜未知情境的高層次思考、行為表現及後設認知能力。由此可知單一學科的知識框架以無法滿足學習的需求，多科整合的學習歷程方能培養素養，以因應學習過程中多樣情境中的需求。自我調整學習被視為一種多元層面的學習現象，強調於培養利用良好的自我管理技能去因應突發狀況的能力，整合多種不同的學習策略，透過學習歷程使個人技能運作的知識與自我效能更應完備，不僅依賴單一特質、能力或發展階段，而是個人信念與動機、多樣策略靈活運用、社會環境輔助支持等多重因素的綜合結果。由上所述，整合取向的教育趨勢，強調學習者在多元情境下靈活學習，這與自我調整學習運作一致。

#### **D.由能力轉為素養**

目前國際重要組織均強調核心素養的重要性，再由核心素養延伸至知識、技能與態度等面向(APEC, 2011; EU, 2011; OECD, 2011; UNESCO, 2011)，由此可知素養為知識、技能與態度的整合。素養無法透過片段知識或是單一面向的累積來呈現，而是透過學習者在特定情境下的任務執行與表現、調整和累積而形成(Beckett, 2008)。換言之與可單一定義的靜態能力不同，素養為動態歷程下多重能力集合與運用。在自我調整學習是將知識與技能相互協調，且為學習者長期建構的結果，自我調整可將個人自動化與控制連結，個體呈現自我監控。調整朝向目標的行動，



發展出類似專家般的知識並自我改善(Zimmerman & Schunk, 1998)。自我調整學習並非著重於單一策略或單一階段的情境脈絡所發展出的能力集結而成，屬於跨領域、跨學科的範疇。

### 2.1.3 自我調整學習之課程分析：

自主學習具有許多不同模式，如：較適用於成人的自我導向學習(Self-Directed Learning, SDL)、較適用於學生的自我調整學習(Self-Regulated Learning, SRL)等。而以兩岸教育變革的角度，本研究認為在高中生課程分析上以自我調整學習討論較為適當。

如之前所討論，由世界教育四大趨勢取向：終身、動態、整合、素養的分析中可知，自我調整學習的模式中，與近年國際趨勢相近的方屬 Zimmerman 的自我調節學習之社會認知模式。Zimmerman 的社會認知模式的理論基礎主要來自於 Bandura (1986)的自我調節的社會認知模型。Zimmerman 的自我調節學習之社會認知模式，其認為學習過程是開放的歷程，具有回饋循環特性。Zimmerman 與 Schunk(1996)提出自我調整的產生主要倚賴兩個基本來源：社會與自我指導的經驗。Zimmerman 與 Schunk(1998)更提出理想的自我調整發展，根植於能提供自我指導練習廣泛機會的社會性支持環境，故適當的課程安排是培養自我調整學習的重要關鍵。

Zimmerman 和 Risemberg(1997)指出學習者非被動角色，自我調整為個體後設認知地、動機地、及行為地主動參與自己學習過程，而自我調整正是在個人內在、行為結果與外在環境這三個因素的交相影響之下，個人有意識而主動地實際投入影響行為的歷程中。社會認知理論強調人類行為運作的主體觀點(agentive perspective)，亦即人類是有所期待的，有目的性的，與自我評估的，並會對動機與行動進行調整(Bandura, 2001)。故人類行為透過個體主動地對過去行為的結果進行判斷與解釋後而做出決定，而非直接受制於到過去行為結果的影響(Schunk, 2001)。綜上可知自我調整學習應以學生為中心來進行。

而 Schunk(1989)以 Bandura 的理論延伸，其自我調整學習的觀念是指個人設定學習目標，維持及修正認知的活動及運用後設認知活動。根據其理論，在自我調整學習歷程中，認為學習者應該表現出下列四種自我調整學習屬性：1.本質或自我激勵、2.計劃與策略應用、3.表現成果的覺醒、4.對環境/社會具敏感和機智(Shih, Chen, Chang and Kao, 2010)。其中「對環境/社會具敏感和機智」意指為了完成目標，自我調整學習的學習者會尋求更好的技能與學習資源或支援。因學習環境和資源可以影響個人學習模式，具有自我調整學習的學習者應主動安排環境條件和有效地尋找其他資源。這也是在 Zimmerman 自我調節學習之社會認知模式中著重的一環。由此可知有利於自我調整學習的培養應提供學習者充足選擇性與真實情境的運用機會，而真實情境多具有複雜脈絡，故跨領域、跨學科的設計亦為有利自我調整學習的培養。

因此本研究認為適合培養自主學習能力的課程應以符合下列原則：1.學生中心化、2.多元選擇性、3.情境應用性、4.跨領域設計。透過自我調整學習的角度，以此四項原則進行分析兩岸之科學課程。

## 3.兩岸核心素養與科學課程課綱(課標)比較

### 3.1 兩岸核心素養發展與內容比較：

台灣部分由蔡清田等(2011)的《K-12 中小學一貫課程綱要核心素養與各領域連貫體系研究》中所提出以自主行動、溝通互動、社會參與三大核心素養及各教育階段核心素養內涵為基礎，台灣教育部於 2014 年之 12 年國教據此建立出核心素養的內容為自主行動、溝通互動、社會參與三面向以及與之對應的九項目。大陸部分則於 2016 年提出「中國學生發展核心素養」，以應對世界教育改革趨勢，提升其教育國際競爭力，其核心素養以培養「全面發展的人」為核心，分為文化基礎、自主發展、社會參與三面向。核心素養之綜合表現為文化底蘊、科學精神、學會學習、健康生活、責任擔當、實踐創新六大素養，具體細化為 18 基本要點。

表 3 大陸台灣核心素養示意比較

比較	大陸「中國學生發展核心素養」	台灣「12年國教核心素養：三面九項」
示意圖		
三維分項	文化基礎、自主發展、社會參與 6要素、再細分18要點	自主行動、溝通互動、社會參與 9項、依學習階段區分具體內涵
相同處	以學習者自主性為核心，透過社會參與，打破學科領域分界	
相異處	學習目的的觀點	

資料來源：研究者整理

### 3.1.1 兩岸核心素養相同處：

綜觀臺灣與大陸的新世代教育計畫均以核心素養為出發點，而核心素養中具有許多相同處，如：均以 OECD 三維向度的架構為基礎發展出的素養體系。內容中均強調學習者的自主性，台灣為自主行動、大陸為自主發展，兩者都強調自主學習者的重要性，抑或是自主學習能力其實即為核心素養框架的本質與核心(郭文娟、劉潔玲，2017)。自主學習強調在具體情境中的問題解決能力與終身學習能力，其貫穿學習者的終生發展。且自主學習能並非先天特質，而為後天經過訓練所塑造習得的，可透過營造自主學習環境、教師鷹架引導和啟發，而協助提高學習者的自主學習能力。另外自主學習能力為跨學科、跨領域解決複雜問題的能力，包含不同認知能力的使用與學習動機的自我驅動，即為 OECD 所強調核心素養的意義。

當學習者具有自主學習能力，同時亦具有較強的情境適應性。導入社會參與，可使學習者不再侷限於學校環境中學科知識的學習，亦可拓展學校環境之外的工作、家庭或社會中的學習與成長。換言之，以自主學習為本質，社會參與為展現，使學習者在解決問題歷程中，不斷積累對自身瞭解與能力培養，提升自我認同與價值提升，進而成就學習者與參與所處生活情境的一切人事物。而學習者如何進行問題解決的基礎，兩岸均重視科學精神與人文涵養的融入。強調由傳統學科領域的知識、技能轉化為學習者的核心素養，無論是大陸的文化基礎中強調的「科學精神」、「人文底蘊」或台灣的溝通互動中重視的「科技資訊與媒體素養」、「藝術涵養與美感素養」，均欲打破學科領域的界線，希望學習者能融會知識技能、情感、態度，而獲得三者綜合表現的核心素養。

### 3.1.2 兩岸核心素養相異處：

台灣核心素養的培養歷程，認為學生為自主學習的個體，主要由生活情境中面對複雜任務採取思考、行動、反思，透過行動使個人瞭解 What, How, Why，進一步省思、調整、成長。傾向於透過社會參與為基礎而帶動發展個人素養的連動性發展態勢。中國核心素養的培養歷程，主要從文化基礎的夯實，到個人自主發展的養成，再到社會參與，體現著由點及面、由靜態到動態的發展過程。傾向於以人的發展為基礎而帶動社會發展的連動性發展態勢。不同的培養歷程，其核心素養的切入亦有不同。兩岸在核心素養上差異最主要在學習目的的觀點不一。

台灣核心素養係建基在自主學習中「終身學習」面向的基礎上，以 K-12 各教育階段核心素養，以終身學習為共同主軸，強調學習者終身無法脫離學習，學習應為融入生活之中，學習歷程與生活情境的並進，以「滾輪效應」培養學習者的核心素養，相對為動態方式養成，強調終

身學習以人為主體，不限於時間、環境均能持續學習(蔡清田、洪若烈、陳延興，2012)。

大陸核心素養架構則建立於雙基(基礎知識與基礎技能的培養)與素質教育發展演變的基礎上著重於「全人發展」與「社會進步」並進，雖著重於自主學習的「全面」，強調學習者需要持續發展，但亦追求社會發展，將個人發展與社會發展方向合一，因此在每個學習階段(小學、初中、高中、大學)著重點也有所不同，不僅希望達成「全面發展的人」的個人目標，亦在體現國家對人力質量的要求(成尚榮，2016)。

### 3.2 台灣高中科學課程綱要演變與變化要點：

十二年國教實施前，台灣高中(10-12年級)原有科學課程稱為自然領域，內容為「普通高級中學課程綱要」決定，課程規劃與九年一貫課程相對為獨立，分為四科目：物理、化學、生物、地球科學，多數科內再分成基礎與選修(除地球科學外)，基礎為所有學生均應修習，選修則為僅自然組學生選擇修習，且選修課程無選擇性(台灣教育部，2009；2013)。

十二年國教實施後，台灣高中(10-12年級)科學課程修改為自然科學領域，內容為「十二年基本教育課程綱要」決定，將國民中小學與普通型高級中等學校的課程整合規劃，分科不變，所有科目再分為必修與加深加廣選修，必修課程中應含 1/3 跨科目之主題式探究與實作課程，加深加廣選修部分則各自劃分為各科目的不同獨立課程(台灣教育部，2018)。

十二年國教在科學課程上調整後，由必修 16 學分降至 12 學分，配合適性分流，減少必修學分，挪於選修課程，學生更可依性向與升學進路之需要自主組合課程，適性選修。增加學生選擇課程的自主權。此變化主要為培育觀點變化進而使分流、課程設計上明顯變化，十二年國教後，培育重視適性揚才與考慮學生差異化，因此在分流時間點上採取彈性作法，以學生能力與需求決定，故降低必修學分，使學生有更多空間可以自主選擇。此變化以自我調整學習的角度而言，相對給予學生更多選擇，在社會性環境支持上，提供了一定幫助。

此外十二年國教於高級中等學校教育階段：安排跨科「自然科學探究與實作」4 個必修學分，連貫 9-10/11 年級的自然科學素養導向學習。以自我調整學習的角度觀察，跨學科的學習情境可提供學生學習歷程的開放性與自主性，理論上對自主學習的培養應有一定幫助。此類型的課程設計，與「方案教學」相仿，已在幼兒、國小、國中教育進行(林吟霞，2010)，對於培養學生的自主學習，具有一定成效。

### 3.3 大陸高中科學課程標準概要演變與變化要點：

中國學生發展核心素養發佈前，大陸高中(10-12年級)原有科學課程分為物理、化學、生物、地理，內容為「普通高中課程標準 2003 年版(實驗稿)」，科內再分為必修課程與選修課程，必修課程為所有學生應修習，選修課程則根據學生傾向修習 1-4 模組，課程已含選擇性(大陸教育部，2003)。中國學生發展核心素養發佈後，大陸高中(10-12年級)科學課程分科不變，內容為「普通高中課程標準(2017 年版)」，科內再分為必修、選擇性必修、選修，必修課程為所有學生應修習，選擇性必修與選修則根據學生傾向修習(大陸教育部，2018)。

大陸 2017 年課程標準主要延續 2003 年課程標準的改革思路，明確普通高中教育定位，強調普通高中教育為義務教育基礎上提高國民素質、面向大眾的基礎教育，不再以大學預科教育為唯一目標，更企圖使學生適應社會生活與職業發展進行準備，為學生的終身發展奠定基礎。故其培養目標為提升學生綜合素質，使學生具有科學文化素養和終身學習能力，具有自主發展能力和溝通合作能力(王湛，2018)。

課程標準主要變化在於課程類別上，由 2003 年的必修與選修兩大類為主的模式，修改為必修、選擇性必修、選修三大類，在保證共同基礎的前提下，為不同發展方向的學生提供有選擇的課程，且明確各類課程的功能定位，與考招制度改革銜接。同時在畢業總學分不變的情況下，對原必修課程學分進行重構，由必修課程學分、選擇性必修課程學分組成，適當增加選修課程學分，既保證基礎性，又兼顧選擇性。以科學課程由 2003 年版的必修 22 學分(物 6 化 6 生 6 地 4)降至 2017 年必修 16 學分(物 6 化 4 生 4 地 2)，使學生在課程選擇上更具有自主權。選修課程模組的增加，使得學生在適性發展上具有更多彈性，具有特性學科潛力和發展需求的學生可在相關科目加深加廣。以自我調整學習觀點來看，此與台灣改革的思路相同，而其課程模組的細化與豐富度較台灣高，學生選擇空間更大。

### 3.4 兩岸高中科學課程比較:

根據以上的兩岸核心素養以及科學課程綱要與課程標準比較，因兩岸文化的相近與面臨國際衝擊的相似，兩者趨勢顯現出高度相似性，又因社會模式差異，在部分面向上出現差異，顯得同中有異。本研究就高中教育的科學課程部分，可分析出四大相同趨勢：

#### 3.4.1 兩岸相同趨勢:

##### A.高中教育定位：基礎化：

因兩岸高中教育定位由大學預科教育轉為國民基礎教育，對於基礎科學課程的內容與取向，產生三類變化：難度由難轉易，方向由專轉廣，學分由多轉少。兩岸在必修科學課程專業深度相對淺化，課程難度下降，學分數減少，在基礎科學課程的作法，有利於學習者在難度較低的情境下，培養自主學習能力。而相對空餘學分，轉為提供選擇性必修與選修課程，提高其學分數與種類豐富度，則有利於學生在彈性環境下進行差異性的選擇，有利於提供自主學習所需的內在動機。

##### B.高中培養目標：生活化：

兩岸高中科學課程課程綱要與課程標準均欲改變單一的記憶、接受、模仿的被動學習模式，發展學生搜集和處理資訊的能力，獲取新知、學會學習，分析問題和解決問題能力交流與合作的能力。以自我調整學習的角度，其優勢有二：a.生活情境式的學習環境，使學習者需要使用多樣的學習策略，可提供學習者大量練習機會，有利於學習者由生手轉換為專家。b.以人為本的轉向，考慮學習者的個人差異，重視學習者的內在動機，有助於學習者目標導向(goal orientation)由成就(Performance)轉為學習(Learning)，培養自我調整學習的能力。

##### C.高中課程結構：多樣化：

兩岸高中教育階段科學課程結構上均大量減少基本共通課程，而增加選擇性課程。整體課程結構由同一性轉化成選擇性，學生選擇性大量增加，在高二高三後，選擇性必修與選修課程的大量增加，是兩岸的共同特徵。大陸提出科學課程的選擇性至少可達 50 餘種；台灣則提出科學課程的選擇性亦有 16 種，強調學生的個人選擇，提出「一學生一課表」的口號。以自我調整學習的立場而言，提供多樣化的選擇性課程，有助於提高學習者在預慮階段中目標設定、策略安排及內在興趣的綜合考量，營造社會性支持環境以提供學習者能自主選擇的經驗。

##### D.高中課程實施：學生中心化：

兩岸在科學課程實施上，均要求以教為主轉為以學為主。台灣課程綱要設定教師角色非直接傳授者，而為關鍵引導者，引導學生藉由問題解決與實務應用建構組織學生的知識，並且提供實際的參與與體驗的機會。大陸課程標準則要求教學實施中，由傳統教師為中心轉換為課堂教學活動中的組織者、設計者與參與者。兩者對科學課程實施中，均轉由以學生為中心，教師角色由「權威」向「非權威」轉變、由「專家」向「學友」轉變、由「唯一的資訊來源」向「共享的資訊平台」轉變。這對自我調整學習來說，教師成為學習者的學習過程中鷹架建構者，師生共同練習策略的使用，同時釋放出的空間，可提供學習者自我指導練習廣泛機會。

#### 3.4.2.兩岸相異趨勢:

##### A.高中科學課程重視度：學分比例變化

兩岸課程均朝向共同必修學分下降的方向前進，但細查其整體課程自由程度，如表 6，卻有著不同的取向。台灣部分畢業總學分數為 180 學分，其中必修佔 118+(4-8)學分，科學類必修僅佔 12 學分(約佔 1/10)，台灣可供選擇科學類選修學分為 32 學分。而大陸部分則畢業總學分數則為 144 學分，其中必修僅 88 學分，而科學類必修卻有 16 學分(約佔 1/6)，可供選擇科學類可高達 76 學分，如表 4。

表 4 台灣與大陸普通高中科學課程學分數分析

項目	台灣(部必+校必+選修)	大陸(必修+選必+選修)
高中畢業總學分	180(118+4-8+54-58)	144(88+≥42+≥14)
科學課程必修學分數	12(分科至少修習 2 學分)	16(物 6 化 4 生 4 地 2)
科學課程可選修學分數	物理 10、化學 10 生物 8、地科 4	物理 12(6+6)、化學 26(6+20) 生物 28(6+22)、地理 10(2+8) (選擇性必修+選修)(地理僅計科學部分)

資料來源：研究者整理

兩者比較，台灣必修整體高於大陸，而大陸科學類必修卻高於台灣，選擇性科學課程大陸亦明顯高於台灣。由此可見兩岸教育觀點對於科學教育重視差異，以必修佔比、選修選擇性來看，大陸對科學教育重視度高於台灣，符合大陸在 1995 年提出「科教興國」的基本路線與「中國學生發展核心素養」中的「文化基礎」面向；反觀台灣普通高中科學課程受限於其他學科領域的競爭壓縮，比例大幅下降，且十二年國教的核心素養中對科學相關的敘述偏少，對科學教育的論述上，也偏向於表徵和溝通的工具(陳泰然、黃鴻博、黃茂在、林哲立，2013)，而非著重於學術專業上。對台灣科學教育上初期基礎累積不足，面臨科學課程專業化後，學生遭遇挫折後信心不足自我效能銳減，可能會造成後期發展的不利影響。

以自主學習的觀點而已，可選擇課程種類增加，有利於學生差異化選擇空間，在自我調整學習的經驗上學習者增加，在培養科學方面的自主學習上，課程選擇性上大陸相對優於台灣。

#### B. 高中科學課程學科統整性：跨學科、跨領域課程設計

兩岸對於科學課程應走向生活化，有相似的看法。但在實施的手法上去有所不同。大陸以學科大概念為核心，以活動主題結合課程內容，雖有生活化，但在跨領域與跨學科的程度，相對較少，僅有綜合實踐活動中的研究性學習 6 學分，要求以開展跨學科研究為主，以及校本課程有涉及跨學科外，並無明確提及跨學科的課程。而台灣除了單一學科的科學課程設計外，另要求至少有 1/3 必修科學課程需要為跨科目主題探究與實作課程，在校定必修課程中，更明訂為延伸各領域/科目之學習，以專題、跨領域/科目統整、實作(實驗)、探索體驗或為特殊需求者設計等課程類型為主，用以強化學生知能整合與生活應用之能力，此外校定選修課程中的多元選修課程以學生興趣、性向與需求開設，包含跨領域/科目專題。以自我調整學習角度切入，多元情境與跨學科的問題解決，可有利於學習者使用多元的學習策略進而評估調整，有助於學習者自主學習能力的培養，以此標準來看，台灣課程設計優於大陸。

### 4. 結論與建議

由兩岸核心素養的理念發展與科學課程綱要(課程標準)的四大共同趨勢，雖有部分差異，如表 5，但可知兩岸整體科學課程設計均有利於自主學習的培養，兩岸在新課程改革上，均投入極大資源與研究動力，的確導入許多新理念與作法，有助於培養學習者自主學習的養成。

表 5 台灣與大陸普通高中科學課綱(課標)分析比較

比較	台灣	大陸
學生中心化	均正視學生的主體性，教師角色轉向非權威、學友、共享資訊平台	
多元選擇性	具有選擇性(科目種類選擇性較低)	具有選擇性(科目種類選擇性較高)
情境應用性	科學課程內容均貼近生活情境化，強調實際運用、練習培養自主學習能力	
跨領域設計	跨科目主題探究、多元選修課程 (安排學分數較多)	綜合實踐活動 (安排學分數較少)

資料來源：研究者整理

但由核心素養、課綱設計落實到學生表現，尚須經過教材、教學、評量、師培等不同環節的介入。詩經：「靡不有初，鮮克有終。」整體系統化的變革，方能使立意良善的初衷轉化為於民於國均得益的結果。本研究建議可針對後續的教材設計、教學實務、評量制度、師培理念進行持續性的分析與研究，將可獲得更完整的教育圖像。

在東方文化中，應試文化一直強力影響教學側，兩岸也不例外。若不能考慮後續考招制度

的教育改革，在東方文化中多半僅淪為口號式的活動。因應此特色，此波的變革中，兩岸均對後續考招進行變動。大陸在教、考、評做出共同調整，高中課程改革與高考綜合改革有一致性的方向，以期兩者能銜接，企圖破除應試文化的陋習。而台灣也在課程改革中，對大學考招制度進行連動性的變革。考招制度的變動，對學習者培養自主學習的目標必然造成影響，本研究建議可針對考招連動的變化進行後續研究分析，釐清考招變化對自主學習的培養影響全貌。

科學不僅由普羅大眾的科學素養所構成，相對在學術專業研究領域上，極度重視科學理論性知識的掌握，亦需要具有科學基礎紮實的學生投入培養。偏重科學素養的養成面向，卻輕了科學知識的累積傳承面向，是否在整體科學發展上造成不均衡的現象呢？兩岸在科學教育的目標落差，對學習者在科學課程的自主學習上，所造成的影響是不同的，本研究建議可針對科學教育取向的不同，科學課程的自主學習培養進行後續研究。

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## 台湾地区幼儿园教保人员在职进修、工作价值观与专业发展之相关研究

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### 摘要

本研究旨在探讨台湾幼儿园教保人员在职进修、工作价值观与教师专业发展之间的关联。以 105 学年度就读儿童与家庭服务学系的进修部学生为研究对象。总计发出 400 份问卷，问卷设计包含个人基本资料、幼儿园教师专业发展问卷、工作价值观问卷、幼儿园教师在职进修问卷。并采径路分析方法，以探究变项间的关系及影响情形。结果显示，幼儿园教保人员在职进修会藉由工作价值观来显著影响教师专业发展，且呈现中介效果。最后，根据研究发现，对教育实务与未来研究提出建议。

关键词：幼儿园教保人员、在职进修、工作价值观、专业发展

### 壹、绪论

#### 一、研究背景与动机

世界先进国家为提升教育质量，近一二十年来纷纷致力于教育改革，改革者们发现关键出于教师素质，因此改革方向便朝向师资教育与教学专业(卢锈珠、黄儒杰、陈雪芳，2009)。且学者(饶见维，2003)指出在欧美各国教师专业发展蓬勃，已成为教育界的新焦点，认为教育工作环境有持续发展与变动的特性，因此教师不论在任职前接受过多少相关训练，都必须在任教期间持续精进专业素养。而一位好教师在其生涯阶段必须不断的发展其专业领域的知能才能维持成长与生存不致于被淘汰(张如柏、郭秋勋，2005)。

教职既然是一项专业工作，而学前教育首当为其根本，作为幼儿教育实践工作者，教师往往被视为教育成败的主要关键，更是所有幼教理念或政策最重要的实践媒介(张纯子，2010)，因此，幼儿园教师更占有举足轻重的地位与责任(洪毓璜译，2005；傅清雪，2006；卢锈珠、黄儒杰、陈雪芳，2009)，职此，师资为一切教育之母，其优劣影响整个教育发展的成败；学校教育的成功与否，与教师的素质有直接的关系(Lin & Chen, 2006)。亦即，幼教老师是掌握幼教质量良窳的舵手，唯有努力提升幼教师资的质量，才能改善幼教质量，协助其专业地位的巩固。

近年幼儿园教师专业发展受到关注，然而研究(林春妙、杨淑珠，2005)指出，台湾目前对幼儿园教师之专业能力上缺完整、正式的研究，因此，应先搜集幼儿园教师专业发展能力相关文献，并着手研拟指标内涵，再建构幼儿园教师专业能力指标的权重体系(王连生，2004)，藉以培养幼儿园教师省思、教师专业发展、教师专业权能、学校发展、协助组织人力资源规划(林清章，2012；潘慧玲，2004)，以利奠定学前教师专业发展之学理根基，带动教育革新与学前教师专业发展之新气象(魏宗明、刘乙仪、张瑞村，2013)。基此，本研究认为对幼儿园教保人员的专业发展现况及相关因素进行探讨实为必要。

幼托整合后的幼儿教育照顾法第 15 条也指出，教保服务人员每年至少需参加教保专业知能研习十八小时以上(幼儿教育及照顾法，2013)。面对幼儿教育的一连串的变革，身为幼儿教育的一线人员必须紧跟着脚步，提醒自己专业成长，以符幼教改革的步调(蒋姿仪、林亚萱，2013)。师资培育法第 19 条亦明定，教育主管机关需提供幼儿教师有进修、研习之管道，并曾于 2004 年增设教师进修研究奖励办法，鼓励幼儿教师能有更多的进修机会。王丽苹(2006)亦指出在职进修的政策是否落实及有效规划，会影响教师在专业领域上的发展。相关研究指出，幼儿教师

在接受过幼儿教育相关知识的进修后，除了提升其个人在该方面的专业之外，其更能运用在教学上，让幼儿受惠(Girard, Lisa-Christine, Girolametto, Weitzman, & Greenberg, 2011, Girolametto, Weitzman, Lefebvre, & Greenberg, 2007, Piasta, Justice, Cabell, Wiggins, Tumbull, & Curenton, 2012)。职此，教师在职进修可以促进个人专业成长，并提升教师专业能力，更可间接影响幼儿的学习。因此，本研究欲探讨幼儿园教保人员在职进修是否影响其在专业发展上的提升。

另外，可能影响教师专业发展的另一个重要因素是工作价值观。教师的工作价值观是一种持久的知觉架构，能塑造并影响个人的行为。教师具有正向工作价值观，对学校目标与教学工作，会有较积极性的认同和参与。因此重视教师工作价值的取向，可以提升良好的教学质量(黄文三, 2003)，再者，教师的价值观可凭借教学的过程来实现(曹翠英, 2007)，且教师工作价值观集中体现了教师专业发展和职业心理素质培养问题，从工作价值观角度探讨教师职业行为及工作绩效成为教育研究的重要方向(胥兴春, 2007)，因而教师工作价值观对其教学效能的良窳具有决定性的作用。此外，Midthassel (2002)的研究发现，教师工作价值观与教师工作投入有关。由此可知，教师工作价值观将影响其教学生涯的表现与专业成长(张瑞村, 2008a)。因此，本研究亦欲探讨幼儿园教保人员的工作价值观是否会对教师专业发展具有直接的影响。

故，重视教师专业发展的持续发展有其必要性存在，但国内有关教师在职进修与专业发展之文献多以直接效果模式进行，少以中介效果模式探讨，且研究结果亦说明教师在职进修能有效预测教师专业发展(蒋姿仪、林亚萱, 2013; Girolametto, Weitzman, Lefebvre, & Greenberg, 2007)，而从相关研究(黄文三, 2003; 邱竹林, 2010)可得知教师在职进修与工作价值观有显著正相关。再者，有些研究结果(伍剑佐、董志文、李嵩义, 2017; 黄文三、沈硕彬, 2012)显示教师工作价值观与专业发展呈现正相关，教师工作价值观能提升专业发展。基此，本研究推论教师在职进修过程当中，教师工作价值观亦为影响在职进修对其专业发展程度高低的重要因素。因此，若要完整理解其关系，应设法检视影响其关系的中介机制。

## 二、研究目的

依据上述研究背景与动机，兹将本研究之研究目的分述如下：

- (一)探讨幼儿园教保人员之在职进修对专业发展之影响
- (二)探讨幼儿园教保人员之工作价值观对专业发展之影响
- (三)分析幼儿园教保人员之工作价值观对在职进修与专业发展间的中介效果

## 三、名词释义

### (一)幼儿园教保人员

广义而言，依据《幼儿教育及照顾法》第2条对「教保服务人员」之规定，指在幼儿园服务之教保员、助理教保员。

### (二)在职进修

在职进修系指教师个人为求改善现况、增进教学能力，进行有系统且多元的进修，以追求个人在专业上的成长，达到自我成长之目的。本研究所称在职进修之操作型定义，系指受试者在编制之「幼儿园教保人员在职进修问卷」所得分数作为解释的依据，得分越高表示在职进修的情形越佳，反之，得分越低表示在职进修的情形越差。

### (三)工作价值观

工作价值观系指个人对工作的态度，以及对工作条件与结果的信念、偏好、与重视程度。本研究所称工作价值观之操作型定义，系指受试者在编制之「幼儿园教保人员工作价值观问卷」所得分数作为解释的依据，得分越高表示工作价值观的情形越佳，反之，得分越低表示工作价值观的情形越差。

### (四)教师专业发展

教师专业发展系指教师在从事教学工作的生涯中，藉由参与各种独立、合作、正式或非正式之多元课程或活动，以提升自我专业知识、技能、态度与精神，增强自我反省的能力，并促进个人的自我实现，最终达成教育目标的历程。本研究所称之教师专业发展之操作型定义，系指受试者在编制之「幼儿园教保人员专业发展问卷」所得分数作为解释的依据，得分越高表示教师专业发展的情形越佳，反之，得分越低表示教师专业发展的情形越差。

## 贰、文献探讨

本研究探讨幼儿园教保人员在职进修、工作价值观、与教师专业发展之相关研究，兹分别说明在职进修、工作价值观、与教师专业发展等三个主要变项。

### 一、在职进修的内涵与相关因素探讨

教师的「在职进修」，强调未离开工作岗位的进修活动，系属于继续教育的其中一种(林惠娟，2005)。在职进修系指教师为增进自己教育专业知能与专业态度所参加的教育活动，是有计划、有组织、有系统及有目标导向的教育活动，用以补偿职前养成教育的不足(张志鹏，2001)。教师在职进修的主要目的是能有效改善与解决教学所面临的问题，并提升自己在教学专业相关领域上的知识(曾晓苓，2005)。而 Sandberg、Anstett 与 Wahlgren(2007)研究也指出，在职训练对其专业教学知能有帮助，可以显著提升学前教育的质量。另外，良好的训练与教育可以提升教师照顾幼儿的能力，且是间接协助幼儿充分发展其潜能的重要关键(Brown, 2012)。

Orlich(1989)综合各种模式，将教师在职进修的活动分为四大类：组织本位模式(organization-based model)、个别本位模式(individual-based model)、角色本位模式(role-based model)、训练者本位模式(trainer-based model)。第一种模式在于模式着重于组织，而不强调个体，主要在于解决组织或其内部单位的问题与新技巧。第二种模式在于个体对有效能组织和无效能组织之间具有影响力，而且给予个体的自由差异性极大。第三种模式强调教育者的角色是由机构所决定，但为个体所修正，着重于在组织范围内个别自我决定需求。第四种模式可视为角色本位模式的分支，所不同的是在于专门化的程度较高。此外，蒋姿仪与林亚萱(2013)亦综合有关研究指出，在职进修的需求可分为：一般知能、幼教教材教法、幼教专业知能、幼儿辅导、行政管理之相关课程。

在幼儿教师个人背景变项的影响方面，赖春金(2001)研究发现在职进修的方式会因其资格的不同而有别。曾晓苓(2005)指出，年龄、学历、年资、职称与任教机构会影响教保人员参与进修。林惠娟(2005)针对教保人员在职进修现况的研究发现，到大学进修的机会较少，以任职公立机构者机会较充足，年资深者较满意进修的经验。此外，邱竹林(2010)研究发现求知兴趣为影响个人在职进修意向最常见的因素。

### 二、工作价值观的内涵与相关因素探讨

工作价值观对个人从事职业工作与生涯发展有相当程度的影响，教师工作价值观是影响教师工作态度与行为的重要因素。张瑞村(2008b)认为，教师工作价值观系指教师个人对所从事的学校教育工作的一般态度，以及对学校教育之工作条件与结果的信念、偏好、与重视程度。而黄文三与沈硕彬(2012)将工作价值观定义为：当个人从事工作活动时，所秉持的满足个人需求与偏好事物的信念，和评鉴工作意义的标准，藉以引导个人工作行为的方向与追求工作的目标。因此，工作价值观不仅影响个人对工作的投入，也深切影响教师对工作的感受与态度。

学者对工作价值观的内涵研究不乏其数，例如，张瑞村(2008a)分析为：成就感与使命感、经济报酬、自主性、自我成长、社会地位与安全感等。黄文三与沈硕彬(2012)则归纳为成就、安全、人际关系等三个层面。

另外有关影响教师工作价值观的因素方面，黄文三(2003)的研究发现，有属于个体特质的因素，也有家庭或学校特质的因素，或是来自个体社会化历程的因素。张瑞村(2008a)研究发现，中学教师工作价值观因其性别、教育背景之不同而有显著差异，惟不因其学历之不同而有显著差异；张瑞村(2008b)幼儿园教师工作价值观因其担任职务、任教年资、教师资格、教育背景与幼儿园类别之不同而有显著差异，惟不因其年龄、婚姻状况之不同而有显著差异。邱竹林(2010)研究发现大学行政人员的工作价值观会因年龄、学历、职务、年资之不同而有显著差异。胥兴春(2011)研究指出教师工作价值观受性别、学校性质、学校地区等因素的影响。

### 三、教师专业发展之内涵与相关因素探讨

学者对于教师专业发展的定义见解不一，有的主张教师专业发展是指教师从职前师资培育阶段，经历在职教育阶段，直到离开教职为止，在整个过程中都必须持续的学习与研究，不断

发展其内涵, 逐渐迈向专业圆熟的境界。Sarch(2003)及Gabriel(2005)皆认为, 教师专业发展不仅是知识的获得, 同时也是一种动态的学习历程, 藉以增进对教育工作环境的了解, 而且强化教师反省能力。所以, 教师专业发展泛指教师在教学生涯中, 藉由参与各种独立、合作、正式或非正式之多元课程或活动, 以提升自我专业知识、技能、态度与精神, 增强自我反省的能力, 并促进个人的自我实现、改进学校的教育质量, 此为一种持续性、动态发展的历程(吴和堂、钟明翰, 2011; 张媛宁、岳美秀, 2012; Guskey, 2000; Hamilton & Brown, 2003)。

对于教师专业发展的内涵涉及的范围广泛, 综合各学者(吴和堂、钟明翰, 2011; 陈俊龙, 2010; 张媛宁、邱美云, 2010; 蒋姿仪、林亚萱, 2013)指出, 内涵大致涵盖认知(专业知识)、情意(专业态度)、技能(专业技能)等。此外, 其内涵随着时代的变迁已由教学与课程有关的范畴, 扩大至人际互动的领域, 强调教师专业不仅追求个人的专业知能, 更需扩及专业承诺与自主性的提高。

张媛宁、岳美秀(2012)研究发现, 不同幼儿园规模、年资、年龄之教师在专业成长上有显著差异存在, 然而在职务、学历则无显著差异。魏宗明、刘乙仪、张瑞村(2013)则研究显示, 年龄、年资、幼儿园规模及所在地无显著差异, 而在学历、具有教师证、职务有显著差异。蒋姿仪与林亚萱(2013)研究发现, 幼儿教师在教学专业发展的整体表现上持正向肯定的态度, 在个人背景变项的影响, 已婚、资深、研究所以上、具有合格教师证的专业发展表现上较佳。此外, 林俊莹等人(2013)研究指出, 学前教师专业成长行为普遍高于其他教育阶段教师, 进一步分析发现教师内控信念与工作特质都对专业成长行为有显著影响。

#### 四、在职进修、工作价值观与教师专业发展之相关研究

本研究综合相关研究的看法, 进一步探讨幼儿园教保人员的在职进修、工作价值观与教师专业发展三者间之关联性。为了解变项彼此间的关系, 兹援引相关文献加以说明, 以知其概要。

就两两的关系而言, 若仅考虑直接效果, 不论是以在职进修预测工作价值观、以在职进修预测教师专业发展, 或以工作价值观预测教师专业发展, 均各有学者予以支持, 且以研究加以检验。例如, 黄文三(2003)研究指出教师在职进修可能影响其工作价值观, 邱竹林(2010)研究也发现参与进修及未来计划进修的行政人员工作价值观较高; 蒋姿仪与林亚萱(2013)研究发现在职进修与教师专业发展有显著相关, 在职进修可有效预测教师专业发展; 伍剑佐、董志文、李嵩义, (2017)的研究发现工作价值观可预测教师专业发展。再者, 若考虑间接效果, 综言之, 教师在职进修可能与教师工作价值观、教师专业发展有关联, 虽然没有相关研究发现在职进修可正向作用于工作价值观, 并进而影响其教师专业发展, 但可推论工作价值观在其影响关系中的中介效应。

### 参、研究设计与实施

#### 一、研究架构

本研究依研究动机与目的, 拟定本研究之研究架构, 藉以了解分析幼儿园教保人员参与在职进修、工作价值观与教师专业发展上之相关情形, 如图 1 所示。

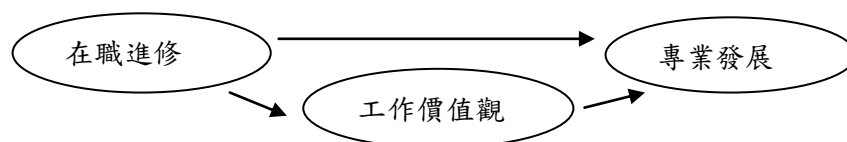


图 1 研究架构图

#### 二、研究对象

研究的对象以现阶段为在职进修的幼儿园教保人员。根据 103 年中华民国教育年报的数据显示, 在各县市中, 设置最多幼儿园所的前六名分别为六大直辖市, 而新北市 1147 所, 台北市 708 所, 桃园市 518 所, 分别位居第一、二、六名, 因此, 台北市、新北市与桃园市三者有其重要的代表性存在。再者, 本研究发现 105 学年度苗栗县亚太创意技术学院儿童与家庭服务学系的进修部共有 11 个二技班及 4 个二专班, 且就读的学生大多数来自于此三县市。缘此, 本研究采取便利取样, 委请该校该系进修部学生协助填写。总计发出 400 份问卷, 回收份数为 400 份, 剔除作答不完整, 合计有效分析样本共 380 份。

### 三、研究工具

本研究问卷设计包含四个部份，分别为个人背景资料、幼儿园教师专业发展问卷、工作价值观的问卷、幼儿园教师在职进修的问卷。基本资料为幼儿园教保人员之背景变项。包括年龄、年资学历、是否具有幼儿园教师证、目前在园所担任的职务、服务园所的规模、服务园的所在地、主要参加的进修活动的类型、参加的进修活动最常由何种机构主办、主要参加进修的时间、园所对于教师进修活动的安排方式、园所对于教师参加进修的经费补助方式、园对于教师为了参加进修而请假的处理方式等等。其余皆采已具有信、效度的问卷，分别为刘乙仪(2013)编制的幼儿园教师专业发展问卷，包含幼儿教保知能、园务行政知能、班级经营知能及探索整合知能，其解释变异量的百分比为61.543%，Cronbach  $\alpha$  信度为.936；刘顺美(2016)编制的工作价值观问卷，包含社会肯定、组织安全及工作环境，其累积解释变异量为72.747%，Cronbach's  $\alpha$  值为0.788；杨淑娟(2007)编制的教师在职进修问卷，包含认知兴趣、专业发展、逃避刺激及他人影响，其解释变异量的百分比为68.93%，Cronbach's  $\alpha$  值为.7932。除基本数据外，量表皆采Likert六点量表来进行评量，以了解受试者对幼儿园教师专业发展、工作价值观、幼儿园教师在职进修之感受程度。

### 肆、研究结果与讨论

根据相关文献理论与实证研究，本研究认为幼儿园教保人员的在职进修与工作价值观对幼儿园教保人员的专业发展有显著的影响，为进一步探究变项间的关系，采径路分析(path analysis)，以探究变项间的关系及影响情形。

#### 一、个人背景资料之现况分析

在资料部分，研究者利用 SPSS20.0 统计软件中描述性统计的次数分配表，透过有效样本的个人背景数据之填答整理成下表来呈现各项资料的分布情形。

在正式问卷分析样本当中，在年龄部分，30 岁以下占 26.3%，31 岁至 40 岁占 37.6%，41 岁至 50 岁占 27.9%，51 岁以上者占 8.2%；在服务年资的部分，11 年以上者，占 26.1%，4 至 10 年者，占 41.6%，3 年以下者，占 32.4%；在教育程度的部分，大学占 46.8%，专科占 48.4%，研究所占 4.7%；在幼儿园教师证部分，有者占 1.3%，没有者占 98.7%；在担任职务的部分，教师占 15%，教保员占 30.3%，助理教保员占 19.7%，行政人员占 35%；在幼儿园规模的部分，1 班占 5%、2 班占 7.4%、3 班以上占 87.6%；幼儿园所在地的部分，台北市占 9.5%，新北市占 40.8%，桃园市占 20.8%，其他占 29%；在主要参加进修活动的类型部分，以学分、学位进修最多，占 91.31%；在主办进修活动的机构部分，以师院、大学最多，占 38.4%；在主要参加进修的时间类型，以公余进修、研究最多，占 60.8%；在目前参加进修时间，以周六、周日最多，占 95.58%；在教师进修活动的安排方式，以自愿者参加最多，占 70.5%；在经费补助方式，以没有补助最多，占 67.4%；在参加进修而请假的处理方式，以尽量要求教师不要上班时间进修最多，占 62.9%。

表一 分析样本背景变项次数分配百分比摘要表

背景变项	分项	次数 (人)	百分比 (%)
年龄	30 岁以下	100	26.3%
	31 岁至 40 岁	143	37.6%
	41 岁至 50 岁	106	27.9%
	51 岁以上	31	8.2%
年资	3 年以下	123	32.4%
	4 至 10 年	158	41.6%
	11 年以上	99	26.1%
学历	专科	184	48.4%
	大学	178	46.8%
	研究所	18	4.7%

幼儿园教师证	有	5	1.3%
	没有	375	98.7%
目前担任职务	教师	57	15%
	教保员	115	30.3%
	助理教保员	75	19.7%
	行政人员	133	35%
幼儿园规模	1 班	19	5%
	2 班	28	7.4%
	3 班以上	333	87.6%
幼儿园所在地	新北市	153	40.8%
	台北市	36	9.5%
	桃园市	79	20.8%
	其它	110	29%
主要参加进修活动的类型	学分、学位进修	347	91.3%
	一周内短期进修	5	1.3%
	周三下午进修	0	0%
	其他	28	7.4%
主办进修活动的机构	县市政府单位	59	15.5%
	师院、大学	146	38.4%
	任教幼儿园	68	17.9%
	教师研习中心	47	12.4%
	民间团体、机构	30	10.5%
	其他	20	5.3%
主要参加进修的时间类型	全时进修、研究	25	6.6%
	公余进修、研究	231	60.8%
	部分办公时间进修、研究	34	8.9%
	留职停薪进修、研究	7	1.8%
	其他	83	21.9%
目前参加进修时间	夜间	7	1.8%
	寒暑假	5	1.3%
	周六、周日	363	95.5%
	其他	5	1.4%
	周三下午	0	0%
	白天(排课、调课)	0	0%
教师进修活动的安排方式	自愿者参加	268	70.5%
	抽签决定	2	.5%
	教师自行轮派	33	8.7%
	学校指定参加	59	15.5%
	其他	18	4.7%
经费补助方式	全额补助	36	9.5%
	部份补助	67	17.6%
	没有补助	256	67.4%

	其他	21	5.5%
参加进修而请假 的处理方式	提供公假并代为安排代课	43	11.3%
	尽量要求教师不要上班时间进修	239	62.9%
	提供公假但需自行课务调整	26	6.8%
	其他	72	18.9%

## 二、幼儿园教保人员的在职进修、工作价值观与教师专业发展之解释分析

由表二与表三可知，多元相关系数为.766，解释变异量为.586，变异数分析结果达到显著，表示预测变量(幼儿园教保人员工作价值观与幼儿园教保人员在职进修)对依变项(幼儿园教保人员的专业发展)的影响达到.05的显著水平。

表二 回归模式摘要

模式	R	R 平方	调过后的 R 平方	估计的标准误
1	.766 <sup>a</sup>	.586	.584	9.98195

a. 预测变量:(常数), 幼儿园教保人员工作价值观,幼儿园教保人员在职进修

表三 变异数分析

模式		平方和	df	平均平方和	F	显著性
1	回归	53231.198	2	26615.599	267.119	.000 <sup>b</sup>
	残差	37564.023	377	99.639		
	总数	90795.221	379			

a. 依变数: 幼儿园教保人员的专业发展

b. 预测变量:(常数), 幼儿园教保人员工作价值观,幼儿园教保人员在职进修

由表四径路分析系数之标准化回归系数值来看，幼儿园教保人员的专业发展为依变量，幼儿园教保人员工作价值观与幼儿园教保人员在职进修为预测变量，其标准化回归系数分别为.121<sup>\*\*\*</sup>、.678<sup>\*\*\*</sup>均达显著，且皆为正值，可知幼儿园教保人员在职进修、工作价值观对教师专业发展皆具有正向解释力。亦即，幼儿园教保人员在职进修情况愈好或工作价值观的情况愈好，对教师专业发展的影响就愈高。

表四 径路分析系数

模式	未标准化系数		标准化系数	t	显著性	
	B 之估计值	标准误差				
(常数)	33.770	4.084		8.269	.000	
1	幼儿园教保人员在职进修	.192	.072	.121	2.680	.008
	幼儿园教保人员工作价值观	.928	.062	.678	14.998	.000

a. 依变数: 幼儿园教保人员的专业发展

## 三、幼儿园教保人员的在职进修、工作价值观与教师专业发展之关系分析

由表五与表六可知，多元相关系数为.681、解释变异量为.463，且变异数分析结果达到显著，表示预测变量(幼儿园教保人员在职进修)对依变项(幼儿园教保人员工作价值观)的影响达到.05的显著水平。

表五 回归模式摘要

模式	R	R 平方	调过后的 R 平方	估计的标准误
1	.681 <sup>a</sup>	.463	.462	8.29346

a. 预测变量:(常数), 幼儿园教保人员在职进修

表六 变异数分析

模式	平方和	df	平均平方和	F	显著性
回归	22424.679	1	22424.679	326.028	.000 <sup>b</sup>
1 残差	25999.371	378	68.781		
总数	48424.050	379			

- a. 依变数: 幼儿园教保人员工作价值观  
 b. 预测变量:(常数), 幼儿园教保人员在职进修

由表七径路分析系数之标准化回归系数值来看, 以幼儿园教保人员工作价值观为依变量, 幼儿园教保人员在职进修为预测变量:其标准化回归系数为.681\*\*\*达显著, 且皆为正值, 可知幼儿园教保人员在职进修对工作价值观具有正向解释力。亦即, 幼儿园教保人员在职进修情况愈好, 对工作价值观的情况的影响就愈大。

表七 径路分析系数

模式	未标准化系数		标准化系数		t	显著性
	B 之估计值	标准误差	Beta	分配		
1 (常数)	26.284	3.112			8.446	.000
1 幼儿园教保人员在职进修	.787	.044	.681		18.056	.000

- a. 依变数: 幼儿园教保人员工作价值观

#### 四、幼儿园教保人员的在职进修、工作价值观与教师专业发展之中介效果分析

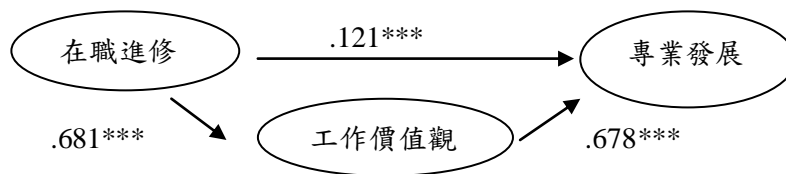


图2 中介效果模式分析

由上图2之径路图径路系数可以看出: 对幼儿园教保人员专业发展影响的路径中, 有三条显著路径, 一为幼儿园教保人员在职进修→幼儿园教保人员的专业发展; 二为幼儿园教保人员在职进修→幼儿园教保人员工作价值观→幼儿园教保人员的专业发展; 三为幼儿园教保人员工作价值观→幼儿园教保人员的专业发展。因此, 对幼儿园教保人员的专业发展的影响中, 工作价值观是一个中介变项或中介历程。

换句话说, 幼儿园教保人员在职进修与工作价值观对专业发展皆有直接效果、工作价值观对专业发展亦有直接效果。亦即, 幼儿园教保人员在职进修愈高, 幼儿园教保人员的专业发展以及幼儿园教保人员工作价值观愈高; 幼儿园教保人员工作价值观愈高, 幼儿园教保人员的专业发展愈高。此外, 幼儿园教保人员在职进修亦会透过工作价值观这个中介变项对专业发展产生间接效果的存在。亦即, 幼儿园教保人员在职进修的情况愈高时, 会使幼儿园教保人员工作价值观愈高, 进而更加提升幼儿园教保人员的专业发展。

## 伍、结论与建议

本研究依据问卷调查结果, 将研究发现归纳为结论, 并据此提出建议。

### 一、结论

#### (一)幼儿园教保人员在职进修会显著影响其专业发展

研究结果显示, 幼儿园教保人员在职进修对教师专业态度具有正向的影响。例如: 幼儿园教保人员参与在职进修会增进其专业发展能力; 亦可以充实自我、满足求知欲。

#### (二)幼儿园教保人员工作价值观会显著影响其专业发展

研究结果显示, 幼儿园教保人员工作价值观对教师专业发展具有正向影响。例如: 幼儿园教保人员认为其工作可以有充分的自主权, 并能充分的发挥自己的专业且受到别人的肯定。



### (三)幼儿园教保人员在职进修会显著影响其工作价值观

研究结果显示，幼儿园教保人员在职进修对工作价值观具有正向影响。例如：幼儿园教保人员若能增进继续学习的需求与欲望，当面临教学时所遇的问题与情境必能改善，以提升教学工作的意愿。

### (四)幼儿园教保人员工作价值观是在职进修对教师专业发展的中介变项

研究结果显示，在职进修可以间接透过工作价值观的中介作用，对教师专业发展造成正向的显著影响。也就是说，幼儿园教保人员参与在职进修能获得成就感并受到他人的肯定，进而提升其专业发展。

## 二、建议

### (一)对教育实务之建议

#### 1.应提供在职教保人员幼儿有关教学课程之研习，提升其教学专业能力

本研究发现，幼儿园教保人员在职进修是为了增进教学专业能力，建议教育行政单位可增设幼儿教学课程之相关研习活动。

#### 2.宜强化幼儿园教保人员工作价值观，来增益其工作热忱

本研究发现，工作价值观对教师专业发展具有良好的预测力。所以从事教保工作可以充分发挥自己的专业并拥有自主权，使教保人员对其工作具有热忱，而付出努力，以得到自我肯定。

#### 3.发挥工作价值观的中介机制，提升在职进修在教师专业发展之成效

本研究发现，在职进修可透过工作价值观来预测教师专业发展，因此，学校应尽量考虑有利的策略，来引导教保人员积极正向的工作价值观，促使其参与在职进修，增进教学专业知能，对教师专业发展产生极大的助力。

### (二)对未来研究之建议

#### 1.扩大样本数

扩大研究对象以强化结果的代表性。本研究仅以台湾中部地区某一技术学院就读儿童与家庭服务学系的进修部学生为研究样本，未能涵盖台湾地区所有进修幼保相关科系的学生，故在研究区域上仍未尽完全。职此，建议未来研究在进行相关议题探究时，若经济、人力等因素许可时，能扩大研究区域、范围以及抽样数，以使其结果更具代表性。

#### 2.增加不同层次的论点

本研究系采问卷调查法对中部地区某一技术学院就读儿童与家庭服务学系的进修部学生进行资料搜集与分析，而本研究之角度仅从幼儿园缴保服务人员观点出发，建议未来研究者可同时从幼儿园园长或是家长的角度进行数据搜集，以利进行交叉比对，或许可得到不同的观点。

#### 3.研究方法方面

本研究的资料搜集采用一次性问卷，因此所得之研究结果为片段，较适用于目前资料之分析，建议后续研究者设计长期纵贯性调查，分期搜集数据，并建立多次时间点，以描述或解释变项间的细微潜在变化情形和关系。

#### 4.研究变项方面

本研究主要是探讨幼儿园教保人员在职进修、工作价值观与专业发展之间的影响，其模式的建立系基于许多研究理论。因此，建议未来研究可以在这些理论基础上将其他变量也加纳入，建构出更完整的理论模式，以广泛探讨影响教师教学效能的因素。

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## 由主要照顧者觀點探究在家教育實施的現況與感受

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### 摘要

本研究透過質性研究的深度訪談方式，蒐集五位研究對象對於在家教育服務情況的看法、主觀感受與建議，彙整訪談資料後與文獻資料相對應後，完成分析與討論，提出研究結果。

本研究結果歸納出下列結論：

一、家長不清楚個別化教育計畫的內容及重要性；得知政府相關社會福利補助訊息不一致，並且對於服務內容瞭解不夠。

二、以其子女身體健康、生活快樂為主要教學期待，家長認為學童障礙程度過於嚴重，在家教育是目前最適合孩童的教育安置方式。

三、在家教育教師對於學童及家長的幫助及在教學內容、教具使用、教學方式、教學態度差異很大，多數家長與學童沒有參與過學校舉辦的活動。

四、家長建議在家教育老師要有多元化的教學方式及資源整合的能力，增加教學時數，設籍學校應主動關心在家教育學童，建議舉辦與同為在家教育家庭互動機會的活動，並配合相關的志工服務。

本研究期盼帶給關心在家教育者不同面向的省思，以增進在家教育服務品質及作為相關政策制定時的參考。

**關鍵字：**在家教育、主要照顧者、特殊需求學生

### 1.緒論

過去因傳統文化與不了解的情況下，將特殊需求學生藏在家中，沒有所謂的人權可言。在特殊教育的歷史發展在1950至1960年代隨著社會變遷，要求將特殊需求學生安置在社區附近的教養機構我們稱為「隔離式的機構教養」(張英鵬, 2001; 王文科, 2006; 高誓男, 2007; 林寶貴, 2012)。在1970年，有學者主張「反機構化」(deinstitutionalization)與「回歸主流」(mainstreaming)，就是將被安置在機構的特殊需求學生要回歸到普通班級中一起學習遊戲、有同儕互動的機會，並享有與普通學生相同的學習資源和機會(鈕文英, 2008)，但尚未規劃及設計符合特殊需求學生的課程來滿足他們個別學習需要。正常環境中生活，與他們的同儕一起在社會中享有相同的生活權利(盧明, 2011; 王文科, 2006)。

1980年代普通教育改革(Regular Education Initiative, 簡稱REI)，及最少限制環境(least restrictive environment, 簡稱LRE)的原則下，特殊需求學生的教育從注重「安置」轉變成以「服務」為導向的特殊教育型態(吳淑美, 2007)，最少限制環境的觀念包含二個部分，(一)鼓勵特殊需求學生與其他同年齡的一般生進行互動，共同接受教育，確保教育能夠取得最大的適切性；(二)具有特殊需求學生應與一般生共同學習，在這種情況下，可能會為了要融入與一般學生共同

學習，但缺乏了對特殊需求學生適性教育的課程設計(陳麗如，2011)。

自1990年迄今，強調「融合教育」(inclusive education)理念，強調尊重特殊需求學生的個別差異，給予適性的教育，期盼不同特質需求的學生皆能得到符合個別化的教育方式。融合教育已成為先進國家的特殊教育趨勢，隨著全球特殊教育趨勢發展及受到教育機會均等理念影響，融合教育是目前須多國家重視的特殊教育工作，也是我國政府極力施行的教育政策(陳明媚、黃裕惠、莊季靜(譯)，2010；陳麗如，2011；邱上真，2011；許碧勳，2008；吳淑美，2007)。

但是有一群特殊需求孩子，教育安置為「在家教育」(homebound education)，到了就學年齡卻無法到學校與同學們一同上課、遊戲與學習，僅有在家的每週一次每次60至90分鐘進行個別教學輔導，由在家教育巡迴輔導老師到家中作個別學習指導。其學生障礙類別多以重度或極重度多重障礙為主，且大多數學生在日常生活、語言、行動等方面都有困難，許多研究指出，「在家教育」教學環境侷限於家中，無法與同儕互動，使得教學方式缺乏變化且受到許多限制，也無法提供充分的多元學習環境及學習上的成就感(蕭淑芳、廖華芳，1998；朱惠美，2003；張家瑞，2010；吳武典、蔣興傑，1995；李如鵬，1999；黃志成、王麗美、王淑楨、高嘉慧，2013；Hallahan, Daniel P., Kauffman, James M.; Pullen, Paige C., 2016)。沈振旭(1997)在「去他家，做啥？—談在家教育學童課程規劃」的研究結果發現，在家教育老師課程的內容相當重要，有助於了解在家教育老師給予特殊需求學生與家長協助的程度，進而促使在家教育老師在輔導各類型特殊需求學生時，確實掌握輔導的方向及內容。

## 2. 研究動機與研究問題

教育安置為在家教育的特殊需求學生如隱形一般，隱藏在學校的體制內，卻從未到學校上過課或參與學校活動(羅丰苓，2006)，例如：運動會、園遊會...等，因此失去了與同儕互動的機會。就在家教育學生而言，如同回到早期將特殊需求學生藏在家中一樣，無法有機會踏出家門與同儕相處。吳武典、蔣興傑(1995)和吳武典、盧臺華、王振德與陳龍安(1990)在研究中提到大部分安置為「在家教育」的特殊需求學生，只能受到生活上的照顧，無法享有義務教育的實質權益；實質上與失學的狀況無異。黃己娥、王天苗(1999)研究指出特殊需求的學生安置為在家教育後，再回到學校接受教育的可能性不高。

研究者由國內外在家教育相關研究中得知，父母在照顧重度身心障礙孩子所帶來龐大的生活負擔，例如：昂貴的醫藥費、特殊食物與醫療設備的支出、一再發生狀況的危機處理、工作時間的調整、缺乏托育照顧身障孩子的資源...等，且孩子障礙的嚴重程度越重，家庭承受壓力的程度越高，連帶衝擊到所有的家庭成員，包括：祖父母、父母、手足和延伸性的家庭成員，因此，在醫療、教育、經濟及婚姻關係和家庭成員的調適與生活調整其家庭的需求及壓力大於一般家庭(利慶松，1992；王天苗，1993；許歷文，1995；Kirk, Gallagher, & Anastasiow, 2000；張英鵬，2001；Smith, Polloway, Patton, & Dowdy, 2001；Dunst, 2002；洪秀主，2002；Spiker, Hebbeler, & Mallik, 2005；程婉毓、孫淑柔，2008；Stephen R. Hooper & Warren Umansky, 2017)。家長在諸多生活照顧的壓力下，卻也被視為尚需擔負養育兒童的重要角色，而且對孩子未來的期望有一定的效力，能夠影響特殊學童的人生(Hornby, 1994)。其影響力顯見於王天苗(1995)、陳麗如(2011)之研究，即特殊學童的生活經驗、家人支持，家庭態度、家庭環境對特殊學童成長具有決定性的影響力，家庭是特殊學童重要養育主體並且是服務效益的關鍵所在。

家庭環境是特殊需求孩子接觸時間最多的地方，對於發展與學習是重要的學習場所(2014，何華國)。以家庭為中心的概念中，介入服務的專業人員需要提供情緒、物資與資訊的支持，且與主要照顧者建立友善、尊重、願意訴說及傾聽的正向關係，對家庭來說是願意接受專業人員幫助的重要影響因素(周俊良、范智敏、陳冠蘭、劉蔚萍、李昆霖、劉心霖，2015、黃靄雯，2015)。在張英鵬(2001)訪視屏東縣在家教育個案時發現，家長教養孩子的態度與觀念會直接影響特殊需

求孩子的生存權利，甚至有些違法或傷害孩子的情況。在家教育老師每週以短暫的時間到家中進行教學輔導，其餘時間皆須仰賴家長延續其教學工作。在家教育老師通常是特殊需求學生對外僅有可以互動的人，也是家長對外尋求資源的唯一對象，形成一種孤立無援的處境，這樣的情況與程婉毓、孫淑柔(2008)與李雯堯(2002)的研究發現相同。因此，在家教育要達到教學目標以及達成在家教育的教學成效，家長是絕對不可忽視的一環。

綜合上述所論，家長與在家教育的執行有直接的關係，其處境與意見對於在家教育的真實現況與改善方向極為重要。因此本研究動機有三：

一、由於安置為在家教育的學生家長必須全年無休的在家中照顧孩子，外出尋找資源的機會非常少，往往在家教育老師是他們能夠得到資源和資訊的管道，因此，想了解其家長對於接受在家教育孩子的需求與期待。

二、基於國民義務教育的執行孩子必須接受教育，安置為在家教育家長對於此教育方式的想法是接受?拒絕?沒必要?還是造成困擾?或是期待回歸學校?針對家長這部分的想法值得深入了解，以作為教育安置時的考量及執行在家教育時的改善方向。

三、研究者本身與在家教育老師接觸時發現，發現有許多經歷與，蔣興傑(1994)、黃坤謨(1995)、黃俊瑋(1998)、鄭秀真(2002)、李雯堯(2002)、張小芬(2006)、許黃博(2008)研究中所提到的相同，在家教育老師專業度參差不齊、家長缺乏諮詢管道、相關補助的資訊缺乏、在家教育老師與設籍學校老師的職責角色不清，常造成無人處理與告知學生相關訊息、缺乏督促或監督在家教育教學單位...等問題，希望以在家教育家長的觀點深入了解在家教育家長心中的想法，探討目前在家教育所處實際情況，期盼本研究結果，帶給關心在家教育者不同面向的省思。

### 3.在家教育學童學習情況

#### 3.1學習環境侷限於家中不利於學習

葉瓊華(2001)在家教育學生家庭生活素質之研究，問卷調查307位在家教育家長與深度訪談22位在家教育巡迴輔導老師，研究結果中發現在家教育學童大多長期臥床，無法抬頭及翻身，四肢萎縮僵硬，無法自理大小便，不會自己進食，並且長期侷限於家中，缺乏與同儕互動學習的機會。而家中的學習空間太小不利教學或復健服務(張嘉成，1996；張小芬，2006)。

在家教育老師羅丰苓(2002；2006)多年在家教育的教學經驗及情況，說明了在家教育為隔離式的教育方式，並且安置為在家教育的學童連踏出家門都有困難，在孩子十餘年的生命中，猶如被囚禁在家裡或醫院與外界接觸的機會少之又少，無形中剝奪了孩子學習的機會，如同學校中的隱形班級。

#### 3.2個別化教育計畫擬訂與執行不易

葉瓊華(2001)與張英鵬(2001)研究發現，部分在家教育學童終日躺在床上缺乏刺激，僅能望著天花板，並且臥床太久頭部、腿部因此變形，對於學習興趣常呈現低弱的情況，甚至有些學童障礙程度嚴重以致不知如何教學？在家教育老師每週在執行特教服務時，常因學童障礙程度多元且嚴重，教師缺乏專業知能而力不從心，僅能傾聽在家教育學生及家長的辛酸事，卻無法提供學生有效的學習輔導策略及制定個別化教育計畫(IEP)(黃秋霞，2001)。

陳明華(2002)與林麗英(2007)研究發現，制定個別化教育計畫(IEP)是在家教育學生課程學習的重要依據與學習成效的紀錄，必須確實討論與規劃，但因學生障礙程度嚴重，老師制定個別化教育計畫實在不易，目前對於這類型學童僅能提供基本的生理照護，很難有個別化教育計畫(IEP)或個別化服務計畫(ISP)的設計與執行。

#### 3.3對專業團隊的協助有迫切需求

蔣興傑(1995)身心障礙學生接受在家自行教育之現況與檢討與何華國(1995)在家教育學生

之服務需求問題研究結果皆顯示，在家教育學生均為重度或多重障礙，除了教育課程外最迫切需要的是醫療復健服務，已超出教師的專業知能，在家教育老師難以發揮教育功能，對於這方面是需要專業團隊的支援。

### 3.4 老師與學生間的互動溝通不易

葉瓊華(2001)與陳明華(2002)研究結果中發現，大多數的在家教育孩子無法言語，他們大多只能藉由表情、身體、眼睛或發出咿啊的聲音為表達。陳文彬(2007)在家教育班教師之部落格-與白血病的邂逅研究中提到，擔任在家教育老師有三年的時間，服務對象以重度或極重度障礙學生為主，並且在教學互動中無太多反應。劉秀美(2005)特殊教育的在家教育實務探討研究結果中發現，在家教育老師與養護型學生處於沒有交集的情況，其認為在家教育的實際情況仍是家長必須獨自在家教育。

### 3.5 缺乏相關的專業訓練

黃秋霞(2002)在探討重度或多重障礙在家教育學生的現況安置輔導問題中提到，過去缺乏有關在家教育相關的服務經驗與實習機會，常會造成在家教育老師不知所措的情況。在家教育學童非常需要醫療復健方面的服務，但在家教育老師普遍並無醫學、復健方面的知識，因此常在教學過程中，缺乏信心形成挫折與無力感，難以有計畫的協助在家教育學生及家長(林永成、孫佳銘，2006)。

### 3.6 家長為教學延續的重要關鍵

沈振旭(1997)與林永成、孫佳銘(2006)研究中提到，在家教育學童是特殊教育中最嚴重也是異質性較高的一群，無法固定將一種課程模式套用在不同學生身上，設計課程時需考量學童的個別差異，並且在家教育老師到家中服務的時間有限，教學成效不易提昇，因此，在家教育家長成為孩子穩定及長期延續學習的執行者，在家教育教學延續的關鍵須藉由家長的力量共同協助完成。

### 3.7 家長態度攸關學童的學習情況

蔡小萍(1996)台南市新興國小「在家教育班」教學過程與心得中提到，家長疏於持續協助學童學習及復健，使得原本有很大學習潛能的學生演變成嚴重肢體變形與構音、視覺、動作嚴重落後的學生。有些家長認為家中有這樣的孩子是一種恥辱，寧願關在家中，不願與外界接觸(林永成、孫佳銘，2006)。也有些家長認為在家教育老師的訪視只是行政上的需要，對於孩子的教育家長並不抱有期待(劉秀美，2005)。王慧豐、陸正威(2001)研究中提到在家教育由於缺乏正統教育的規範，多數時間是由家長自行照顧，若家長疏於教導則易造成棄養。有此可知，家長對於在家教育學童的態度攸關著在家教育學童的學習情況。

根據上述有關在家教育學童的學習情況的文獻發現，在家教育學童因為身心障礙程度嚴重，迫切需要的服務為醫療復健；在家教育老師普遍缺乏醫療復健方面的知識，常會出現不知如何教學的情況，也因此規劃個別化教育計畫時較為困難；由於大多學童無法生活自理與行動不便，因此學習與生活侷限於家中，缺乏社會行為能力學習機會；其次家長為在家教育學童長期照顧者對其較為了解，因此，要有學習成效必須透過家長的協助。

## 4. 研究結果分析與討論

本研究以台灣「桃園縣」為研究地域，因本縣在家教育安置人數為全國第二多，占全國在家教育人數的十分之一，其次為研究者以家長身分參與桃園縣在家教育學童的教育有六年的時間，對於桃園縣在家教育的實施情況較為了解與熟悉。採用質性研究中半結構式的「深度訪談法」(in-depth interviews)，依據研究目的與特性採立意取樣(purposeful sampling)本研究對象有五位受訪者二位為父親，三位為母親，平均年齡 38.6 歲，其中二位為 40 以下，其餘研究對象年齡均在 40 至 45 歲之間。教育程度一位為研究所，二位為高中職，二位為國中學歷；職業方面，

二位為家管，一位為勞工，一位為老師，一位為商。婚姻狀況五位皆為正常；經濟方面，一位清寒，一位小康，三位普通；孩子的主要照顧者，三位以母親主要照顧者，二位為父、母親為主要照顧者，其中三個家庭有外傭協助。受訪者子女方面，性別為三位男生，二位女生，平均年齡為 10.6 歲；家中排行有一位排行老大，三位排行老二，一位排行老六；障礙類別及程度，五位皆為多重障礙，二位為重度，三位為極重度；障礙項目一位為智障及肢障，一位為呼吸重大傷病，二位為肢障及聲語障，一位為先天水腦症。

#### 4.1 家長申請在家教育的情況

##### 4.1.1 在家教育的安置訊息來自學校

四位家長得知在家教育申請的相關訊息來源，是由設籍學校考量其學童因身障程度較為嚴重，建議家長申請在家教育，家長申請的原因以學童的障礙程度過於嚴重，不適合到學校就學，為主要的考量。

「那時候是因為他要呼吸器啦，學校那時候也不願意讓他去學校，因為他沒辦法自己獨立一定要有一個人陪，然後隨時他要抽痰會影響到其他小朋友，所以後來我們才申請在家教育，就國小學校的老師叫我們說要去幫他申請在家教育，就因為他這樣不適合去學校。就是他開學前先到家訪視的時候他來跟我們講的，不然那時候我們也不曉得甚麼是在家教育。」(PEF20140223)

「小孩子的身體狀況不穩定，然後家人比較沒辦法接受他目前這樣的身體狀況去學校，○○是小小一之後才有狀況的，因為長期請假沒辦法去學校，所以學校老師建議在家教育。」(PC20140220)

「在家教育是學校幫我們申請的，就是學校老師都知道○○的狀況，就不用去評估了，因為○○生病啦，就老師他們都知道阿，就不用刻意去問啦。」(PD20140221)

「因為自己本身就是國小老師，我上班的學校有特教班，對於特殊教育方面的安置我自己很清楚，因為孩子的身體狀況常常住院，我們就直接給他辦在家教育，真的我們自己看也不適合去學校。」(PB20140218)

但有一位家長不知道學校有在家教育的安置方式，認為孩子身障程度嚴重，而自行將學齡學童留在家中，延誤就學一、二年後由學校通報，警察協尋到家長後才知道學童要入國民小學就學。

「七歲的時候，因為他沒辦法上學，警察就來了，變成說是行政關係嘛，這是一定的。...就變成說沒辦法去學校嘛，剛開始，國小老師有過來看，阿因為就沒辦法，那時候輔具還沒那麼多啦，就變成要去上學幹嘛很麻煩，所以說就申請在家教育這樣子。應該是算二年級還是三年級時才開始，因為那時候我不曉得，因為警察也找不到我們。」(PA20140217)

##### 4.1.2 家長申請在家教育的過程都很順利

從上述訪談資料中可以看出，全數家長得知在家教育訊息是經由設籍學校向家長提出的教育安置方式，非家長主動得知在家教育的訊息後提出申請的，因設籍學校都很清楚學童的身障程度較為嚴重，不適合進入學校就學，因此，當家長申請在家教育時，過程都很順利，沒有遇到什麼困難。

「因為孩子的的身體狀況不好，常常會有緊急的情況，因此無法到學校上課，一直請假，學校老師就建議我們在家教育，所以由設籍學校幫我們申請，申請在家教育的過程喔，很順利。」(PC20140220)

「因為老師來家裏看過孩子就覺得不適合去學校，建議我們要申請在家教育阿，所以很順利呀，都沒有甚麼問題呀，我記得申請在家教育時都沒有遇到過什麼問題呀。」(PEF20140220)

「就透過○○國小，那個輔導...甚麼，(研究者：輔導室) 輔導室ㄟㄟㄟ，申請過程還好ㄟ，都還好感覺上都沒什麼。」(PA20140217)

「我覺得也是差不多ㄟ。就是學校老師都知道○○的狀況，就不用去評估了。」(PD20140221)

「就直接在自己的學校提出申請呀，因為像他常常住院阿，身體不舒服吐我們就要帶去醫院啦，



孩子的狀況真的我們自己看也不適合去學校，我們申請在家教育的過程很順利呀。」  
(PB20140218)

#### 4.2 學童的個別化教育計畫擬定情況

##### 4.2.1 家長未曾參與個別化教育計畫之相關會議

在訪談資料中發現，家長沒到學校開個別化教育計畫的會議，每位家長各有不同的因素，經資料整理後分析如下：

###### A. 家長未能正視個別化教育計畫的重要性

家長因為學童的身障程度嚴重，認為學習有限已經無法有成長進步的空間，覺得只要帶著孩子過著快樂的生活就可以了，至於個別化教育計畫則認為對孩子來說並不重要。

「個別化教育計畫...是什麼?(研究者: 就是寫○○的教育計劃, 其實○○老師他們都有寫。) 那個我不要求, 醫生說他就已經固定這樣子而已了啦, 不可能會再..., 不要期望太高了, 所以反正我就抱著“你們都不要來打擾我這樣, 我們父子倆開開心心車開了就去海邊, 要不就回來睡覺這樣, 要不就去海邊逛逛, 要不就去虎頭山看看也好(台語)”, 帶他到處走走這樣子。」(PA20140217)  
「就是之前設籍學校老師有提過阿, 就是我覺得想說喔, ○○就已經生病這樣了, 有去、沒去有差嗎?」(PD20140221)

###### B. 家長將個別化教育計畫之規劃全權由學校安排

家長認為在家教育教師每學期有規劃好孩子的個別化教育計畫就可以了，家長只要在單子上簽名就好，不用特別去開個別化教育計畫會議，因此，沒有參與個別化教育計畫會議的討論。

「IEP 會議喔?... 阿因為上國小以後就比較我們就比較偷懶啦, 因為那個巡迴老師, 在家教育的老師他們都會幫我們弄好一些資料啦, 然後給我們看這樣子, ...」(PB20140218)

「PEF: 我好像沒聽過, 沒有ㄟ, 我不知道有這個。PEM: 以前有喔, 那個在家教育老師有寫過, 會給我們簽名。」(PEF20140223)

###### C. 家長未曾接觸個別化教育計畫

家長提到學童接受在家教育三年了，從未聽過要開個別化教育計畫的會議。

「沒有。我也不知道個別化教育計畫是甚麼?(研究者: 個別化教育計畫就是針對○○, 討論可以給○○什麼樣的幫助以及設定教學目標這樣。) 接受在家教育三年了, 沒有聽在家教育老師說過耶... 沒有ㄟ」(PC20140220)

##### 4.2.2 家長皆不知道其子女的教學目標

在本研究訪談中家長對於其子女的教學目標並不清楚也沒有看過；有家長認為制定教學目標是針對學科方面，而孩子需要的是復健的部分，認為不需要；也有家長認為教學目標就只是上課時跟孩子的互動，沒有明確的教學目標。綜合前述研究訪談及研究者的訪談觀察發現，家長不知道其子女教學目標的主要原因，是因為受訪家長沒有參加個別化教育計畫的會議，沒有跟教師共同制定學童的教學目標。

「我跟老師討論的大概意思也是說, 依我個人的小孩子是注重於, 變成說是物理治療方面。... 我不會去注重學科。」(PA20140217)

「教學目標喔? 我沒有看耶, 不知道。」(PB20140218)

「我不知道○○的教學目標, 沒有方向、沒有目標、沒有目的。」(PC20140220)

「教學目標... 嗯~ 就跟平常一樣教○○的狀況教○○, 就是按按摩給她聽音樂之類的, 因為我女兒很喜歡聽人家講話, 然後又很喜歡人家摸她, ...。」(PD20140221)

「教學目標... 不知道。而且我也覺得現在這個學校, 老師都不關心也沒有來看過他阿。」(PEF20140223)

#### 4.3 家長申請教育代金、補助及輔具的情況

##### 4.3.1 教育代金皆由設籍學校協助申請

從訪談中發現，受訪家長對教育代金都很清楚，由設籍學校老師告知並協助家長申請，申請過程都很順利。

「喔~那是△△國小幫我們申請的，我不曉得ㄟ。有申請，這個有、這個有。他會打電話來跟我老婆講。」(PA20140217)

「教育代金，其實喔我自己對錢這種東西不是很敏感，因為我們的學籍是放在我們△△國小，所以通常都是我們同事他會說有要申請甚麼叫我簽個名這樣，直接匯入○○的戶頭，所以我也不知道說到底有什麼錢進去，我知道好像有交通費補助費，好像有甚麼錢這樣子，那至於是不是教育代金我搞不清楚」(PB20140218)

「教育代金有申請，是△△國小的老師幫我申請的。」(PC20140220)

「喔~有啊。學校告訴我的。就是學校老師會拿資料到家裡來給我們填嘛，然後填一填再還給他們，他們自己處理。」(PD20140221)

有一位家長則提到只是在申請資料上簽個名，學校教師並沒有關心在家教育學生情況。

「他就是只是把文件丟在我們家信箱，然後通知我一下，叫我簽個名，再送回去警衛室就好了。根本見不到面阿，他就是丟到我們家信箱阿，叫我自己去拿，然後寫一寫丟回去警衛室就好了。」(PEF20140223)

#### 4.3.2 申請其他補助的項目與申請情況

##### A.身心障礙者生活補助

在研究訪談中發現，家長對於在身心障礙者生活補助申請補助的訊息來源有醫院、學校、鄉公所，符合身心障礙並達補助標準者的在家教育家庭都有申請。

「就社會殘障津貼那個，其他的都沒有啦。...這個好早就申請了，三歲的時候一檢查出來，那個什麼腦性麻痺的時候就已經申請了。ㄟ，那時候去醫院。對，醫院幫我寄的。他沒有打電話過來跟我們講我也不曉得，只是\*\*鄉的社會局寄通知單說ㄟ有多少可以領這樣子，然後每個月多少這樣子，一個書信...，ㄟ，公文，證明說是障礙。」(PA20140217)

「身障生活補助，有。也是△△國小老師跟我說的，我們就到去鄉公所申請。」(PC20140220)

「身障生活補助，喔~有，四千七。好像誰講的？我忘記了？還是我先生去辦的，因為我先生去辦的我不太清楚，申請應該還算順利啦，因為沒聽我先生說甚麼不順利的情况。」(PD20140221)

「就只有殘障津貼而已。嗯~其他都沒有啦，因為還能夠申請什麼我不知道。...那好像是社會處當初就有跟我講。」(PEF20140223)

##### B.居家服務

在研究訪談發現，每個家長接觸居家服務的訊息差異很大，部分家長有聽在家教育教師提過，但並不是很清楚了解其服務內容，常會跟喘息服務混淆，僅有一位研究受訪家庭最近剛申請居家服務。

「研究者：有聽過居家服務嗎？PA：◎◎老師有跟我提過，沒有申請過。變成說可以幫我們有一些喘息的空間，不會說因為帶這種小孩子所造成的壓力或幹嘛，身心的疲憊或幹嘛。」(PA20120217)

有些家庭已申請外傭幫忙照顧孩子，所以不符合申請的資格。

「好像有聽過阿，可是我們沒有申請這個。我記得好像就是他會一個月來看一次，看有沒有問題需要幫忙，那我是覺得說我們自己有個看護了就不用著。」(PEF20140223)

「居服員及喘息服務在二年前◇◇醫院有聽過。但是沒有申請。目前申請 外傭快一年。」(PC20140220)

本研究受訪者中，只有一位受訪家庭有申請居家服務。

「喔，有阿，已經申請好啦。就是幫○○洗澡阿，還有痰多的時候拍背背阿，跟○○講話阿，按摩之類的換尿布。之前很早就知道了。我就不想去申請啦，然後到去年、前年的時候，我老公就

說去申請啦，你就不用這麼辛苦啊。」(PD20140221)

### C.喘息服務

家長得知喘息服務訊息，有一位是在家教育教師提過，有一位是經由醫院得知此訊息，一位是早期療育中心告知家長，有一位家長沒聽過，其中僅有一位家長申請過喘息服務，四位家長對於其服務內容都不太了解。

「◎◎老師有跟我提過，沒有申請過。...變成說可以幫我們有一些喘息的空間，不會說因為帶這種小孩子所造成的壓力或幹嘛，身心的疲憊或幹嘛。」(PA20140217)

本研究受訪家庭有申請喘息服務的不多，一方面是有外傭協助照顧，申請資格不符合。

「居服員及喘息服務在二年前○醫院有聽過。但是沒有申請。目前申請外傭快一年。」(PC20140220)

另一方面，有家長沒聽過喘息服務。

「喘息服務？好像沒有聽過？」(PD20140221)

本研究受訪者中，只有一位受訪家庭曾經申請過喘息服務，其家長提到喘息服務越來越難申請，另外，提到喘息服務政府是有補助的，目前已申請外傭幫忙照顧學童，所以沒有繼續申請喘息服務。

「因為那時候就是剛好外傭回去要再來的時候，我有申請過喘息服務，...他其實只是來幫我顧個小孩弄東西給他吃，換尿布這樣子。...像我有時候一天可能申請我上班可能九小時，或者是十小時，...因為總不能中間沒有人這樣子，...我在跟△△申請的時候，那時候幾乎都有，因為他們有固定合作的服務員，...但是最近這一次後來我就申請不到，他說他們的服務員有的沒有開車，然後我們又這麼遠，他們從市區來太危險了，那個車程太久，他沒有辦法派過來。...我們付三分之一，政府幫我們付三分之二啦，那個時數鐘點費。」(PB20140218)

### D.其他方面補助

在其他補助方面，有電費及居家護理師方面的補助，因著每個學童生病的情況不同所使用的輔助機器也不同，所以補助的部分也有些不一樣，研究受訪者中有一位學童因為長期使用呼吸器，因此，有申請電費以及居家護理師的補助。

「喔~對還有那個用電補助。...對~呼吸器，今年開始他們直接從電費那邊去扣掉，用電度去扣掉。」(PEF20140223)

「居家護理師他們是一個月來看二次，來之前會通知我，然後就會過來。...送呼吸器的管子過來，○○媽媽自己會換，他們來一次車馬費五百塊。」(PEF20140223)

#### 4.3.3 申請輔具的情況

研究訪談的在家教育學童，皆有使用輔具的需求，申請的管道有醫院、學校或家長自行到輔具資源中心申請，但因著輔具申請的管道不同，輔具補助的方式不太一樣，若是經由學校申請則是屬於借用，家長不需支付任何費用，不用時歸還學校即可。

「輔具是在家教育老師跟我說的，跟△△國小借的，就老師需要的課桌椅這樣子有沒有，所需要的輔具這樣，不要用了再還給學校就好啦。」(PA20140217)

「在家教育老師幫我申請的，就看他有需要阿，沒用到的話就還給學校，我記得是◎◎老師幫我們弄得阿，然後我都沒有做什麼事情。...所以我記得我沒有去辦這些東西。」(PEF20140223)

若是經由醫院，則需由醫師開立需用輔具證明，再由家長自行購買輔具，再到所屬的公所送申請輔具補助的相關證明文件，才能申請輔具的部分費用補助，申請過程較為麻煩。

「我們是跟...其實都有申請過，就跟醫院申請的時候那就是做矯正鞋，那跟學校那時候是跟他申請特製輪椅，其實也不是說跟學校申請，也是說我們是設籍的學校也是會給我們資訊啦，那我們就是也是要去公所送件啦，申請輔具的補助。」(PB20140218)

「是到輔具資源中心，自己申請的，我們要自己負擔一部分的費用阿，我也不知道其他地方哪

裡可以申請輔具？」(PC20140220)

「就是○○已經躺在那邊，沒辦法自己行走阿就要，那個醫生就建議我們要坐那個輪椅...，特製輪椅那張好貴喔，要三萬，政府就補助兩萬五。...就先付錢然後再去申請。很麻煩，申請東申請西還要準備一堆資料。」(PD20140221)

## 5. 結論與建議

### 5.1 結論

#### 5.1.1 家長對在家教育制度的認識

1、家長申請在家教育的相關訊息來源是設籍學校告知，家長屬於被動得知在家教育的安置方式；家長申請的原因以學童的障礙程度過於嚴重，為主要的考量。

2、研究訪談的家長都沒到學校開過個別化教育計畫的會議，其主要原因為家長不清楚個別化教育計畫的內容及重要性。

3、在家教育家長對於教育代金與身心障礙生活補助申請方面較為清楚；對於居家服務、喘息服務的補助及服務內容並不完全瞭解；家長在輔具申請與補助方式的訊息不一致，補助金額與申請手續繁簡不同，造成部分家長負面的經驗。

#### 5.1.2 家長對其子女在家教育的期待

1、多數家長以其子女身體健康、生活快樂為主要期待，有二位家長期待教師是多元化教學方式。

2、家長皆認為在家教育是目前最為合適的教育安置方式。

#### 5.1.3 家長參與在家教育的現況

1、多數家長認為在家教育的教學時數是足夠的，有家長認為不是教學時數的不足，而是教師常因外務請假與缺乏教學內容。

2、學習現況的部分，每位在家教育教師在教學內容、教具使用、教學方式、教學態度差異很大。

3、多數家長認為學校安排復健時數很有限，無法滿足學童的復健需要。

#### 5.1.4 在家教育的學習成效

1、學童身障嚴重程度無法清楚知道外界時間變化，以及教師對學童的教學態度上的明顯差異性。

2、家長認為學童在認知及說話表達確實有幫助，能提供家長輔具及學校方面的資訊、家長有舒解壓力的管道，也有家長認為在家教育沒有幫助到學童及家長。

#### 5.1.5 在家教育家長、教師及學童的互動情況

1、教師與學童的互動情況，主要以教具或玩具作為互動媒介，也有教師跟學童沒有互動的情況。

2、教師與家長互動情況良好，大多是針對學童的學習情況或跟家長聊天紓解壓力為主，互動方式有當面討論、電話聯絡或留字條。

#### 5.1.6 家長與學童參與設籍學校活動的情況

1.多數家長不會主動聯絡設籍學校，設籍學校聯絡家長的原因多為通知申請教育代金事宜。

2.多數家長與學童沒有參與過學校舉辦的活動，甚至完全沒有設籍學校活動訊息。

#### 5.1.7 家長對於在家教育的建議

1、對於在家教育教師的建議，在家教育教師要有多元化的教學方式，增加教學時數以及教師要有資源整合的能力，並且要主動提供家長。

2、設籍學校、教師與家長互動的建議，家長建議設籍學校即在家教育教師應主動關心在家教育學童，與學童互動時需要多點耐心。

3、建議舉辦與同為在家教育家庭互動機會的活動，並配合國、高中的志工服務。

## 5.2 建議

### 5.2.1 加強在家教育個別化教育計畫的制定與執行

家長是延續教學及長時間與學童相處的重要協助者，對於其子女的學習目標須明確知道，才能與教師共同合作協助在家教育學童達到最有效的學習成效，根據本研究訪談資料所得之結果，家長皆無召開過個別化教育計畫的會議，本研究建議，在家教育教師與設籍學校教師要主動告知和積極的鼓勵家長參與，讓家長充份瞭解召開此會議之意義及可享之權益，增加家長對個別化教育計畫之正確認知，共同制定適合學童的教學目標後確實執行，以提升在家教育教學品質，設籍學校相關主管單位應擔負監督與協助之責任。

### 5.2.2 成立專責的在家教育諮詢與監督單位

根據本研究訪談資料結果，家長在遇到生活教養、醫療方面或社會福利相關問題時，家長表示往往必須自行摸索，且求助無門有被孤立的感受，研究者建議各縣市教育局成立「在家教育資源中心」，負責監督設籍學校執行定期訪視與觀察在家教育學童上課情況，建立評鑑與獎勵在家教育教師制度；連結所屬縣市的區域性醫院，與設有特殊教育及社工系相關的大學或身心障礙個管中心，建立專業團隊的資訊聯合照顧網，提供在家教育家長或教師諮詢有關醫療、復健、特殊教育、生活照顧、親職教養、社會福利...等相關專業問題。

### 5.2.3 在家教育學童設籍學校應主動提供家長參與學校課程與活動相關訊息

根據本研究訪談資料結果，學童大多侷限於家中學習很少與外界接觸，缺乏同儕相互學習的機會，以及如同隱形學生不被關心的感受，研究者建議在家教育學童的設籍學校，應設計規劃每學期提供在家教育學童能夠到學校參與融合的課程，並且主動告知家長，學童能夠參與的學校所舉辦的活動，例如：園遊會、運動會、班親會、音樂會、班級的同樂會...等，不但提供在家教育學童踏出家門與外界接觸的機會，也幫助一般學童認識與學習跟特殊學童相處的機會。

### 5.2.4 定期舉辦同為在家教育家庭的聯誼活動

本研究訪談資料結果得知，在家教育學童隨著年齡增長、體重增加，外出休閒的機會也隨之減少，研究者建議在家教育教師所屬學校，與所屬縣市有在家教育學童設籍的學校，共同商議定期舉辦同為在家教育家庭的聯誼活動，協助家長能夠彼此認識在醫療、復健、教育、手足相處、生活照顧與教養、社會補助、或調適情緒等多方面的正向經驗交流，以提升在照顧嚴重身障學童時的家庭能力。建議配合國、高中的志工服務或與大學特殊教育相關學系的學生，在舉辦在家教育聯誼活動時，協助照顧特殊學童，讓一般學生可以學習到如何與特殊學童相處，讓在家教育家長因著特殊學童有志工幫忙照顧，得到真正的放鬆和休息。

### 5.2.5 充實在家教育教師的專業知能

在家教育的學習成效與學童身障程度、類型及教師的教學內容和教學態度息息相關，建議在家教育教師應充實醫療復健、特殊學童類型、多元化的教學方式與社會福利相關的專業知能，除了安排定期研習，建議成立在家教育教師工作坊，提供在家教育教師在教學上的經驗交流與問題分享，集思廣益共同增進在家教育教師的專業經驗與教學技巧。

### 5.2.6 積極推廣及運用社會資源

本研究發現目前各縣市雖有提供居家服務及喘息服務，但家長對於這方面的資訊相當缺乏，不瞭解服務申請的流程及服務內容，因此，建議在家教育教師加強宣導與推廣居家服務及喘息服務，協助家長獲得較多的休息時間，讓照顧在家教育學童的壓力得到舒緩。

### 5.2.7 善用家庭及社區資源

本研究結果發現，在家教育學童侷限於家中鮮少有外出的機會，因此，建議在家教育教師應觀察學童居家附近環境的設施、商店、牧場、公園、機場或高鐵站，或是家庭成員及學童的優勢能力與生活互動的方式，納入教學的課程中，提供學童與人、環境、物互動的機會，豐富

教師教學內容及增廣學童視野，促進快樂的學習氣氛。

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# 博仁大学中文国际学院经济数学教学课程中的问题探讨

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## 摘要

经济数学是经济管理专业课程的核心基础必修课程。相当一部分学生从中学开始就没有打好初等数学的基础，心理上惧怕数学，进而逃避学习数学，这其中有教师教学方法的原因，但更多的是学生对待经济数学态度、本人学习习惯等问题。梳理近几年国内学者关于经济数学教学过程中的问题从中发现，教学方法的改良，可提高学生的经济数学学习成果；通过与其他本科大学课程大纲的对比，发现本院经济数学学习的课时量需要增加；通过数学学习的问卷调查，发现本院学生在本门课程的学习中存在数学基础薄弱、学习习惯不佳等影响数学学习成绩等诸多因素，希望能提出相应的改进方案，以培养适应现代商业社会的应用本科型人才，为本科学生将来的工作，攻读研究生等进一步晋升提供必要的支持。

**关键词：**经济数学；教学改革；“微课”教学；翻转课堂

## 1.引言

经济数学是经济管理类（或商科类、工商管理类）等课程的核心基础课程，具有基础性和前导性（即不学习此课程，其他课程完成将出现较大的困难，或者专业课老师需要在课堂上补充很多的前导课的知识，将会减慢或制约课堂教学的进度）的特点。经济数学，通常分为高等数学（微积分）、线性代数，概率论与数理统计等三门课程，课程一般安排在1.5年至2年完成经济数学课程的学习，分别固定开设在大学本科一年级到二年级。

部分重点大学，在专业基础课和选修课上面，还会单独增设统计学原理、计量经济学、博弈论与信息经济学，运筹学等基础课程；金融及保险专业的学生，也要进一步学习金融数学，精算学等专业数学课程，目的是保证学生在进一步学习专业课时，具备有足够的数学知识，以满足经管类专业课程的学习及未来工作、考研等需要。

## 2.研究背景

笔者在多年的《生活中的数学与统计》和《经济学》课程的教学过程中，发现本院的本科学生及专升本的学生，对于数学知识的掌握程度较低，部分学生不知道对数函数，不会排列组合，不清楚导数的计算，不会灵活使用简单的基本初等函数，也不会使用统计学中的方差公式。相当一部分学生，对于数学与经济管理专业之间的紧密联系不甚了解，学习上只是在应付考试或仅仅只为拿到本校的本科毕业证书。另一方面，博仁大学中文国际学院在教学大纲的编排上面，仅设置有一门数学通识课程，这对于学生的经济数学课程学习，支撑力度不够。

在此背景之下，本人对于本院本科学生的数学课程学习状况进行一个分析探讨，并提出相应的对策建议。



### 3.研究方法

本文主要采用文献分析法、对比分析法和问卷调查法相结合的研究方法。

通过文献综合分析法,发现学者们普遍对于经济数学的重要程度持肯定意见。对于《经济数学》课程教学中发现了一些共通的问题,如学生初等数学基础较差,财经类学生文理科混合学习,《经济数学》课时较少,教学方法需要改进等等。部分学者认为《经济数学》的教学方法可以进行相应的改革,提出了“微课”教学或翻转课堂教学等方法。

通过对比分析法,发现本院教学大纲中的《经济数学》课程课时明显偏少。一门通识《数学》课程的设置,不足以满足当前我院的经济管理学生的学习需要。

通过问卷调查方式,发现本院学生数学学习基础薄弱、学习习惯不佳等问题,希望找出其中的原因,并提出有针对性的建议。

### 4.文献综述

近几年,国内学者普遍认为《经济数学》课程学习十分必要,《经济数学》的核心地位不容置疑。但是对于部分授课内容,授课教材等提出了不同的改进意见,对于《经济数学》教学方式方法,提出了诸多宝贵建议:

#### 4.1 从课程定位与课程内容设置来看

从经济数学课程定位和课程设置上来看,何婧(2018)认为,“经济数学在教学过程中存在课程定位不明确,重理论轻应用;从教学内容上来看,经济数学教学理念陈旧,教与学脱节”。

#### 4.2 从教师和学生角度来看

何婧(2018)和张晔(2016)均认为,《经济数学》课程教师数学功底较好,但是经济学背景偏弱,不能将两者进行有机的结合。

张晔(2016)认为,学生自身的问题,“如经管类学生的数学基础良莠不齐,文科生的比重较大,学习数学吃力,甚至带有恐惧排斥心理。很多学生认为经管系的数学课与专业课没有太多联系,没有太大的实际意义,所以更是放松对经济数学课的要求,学习态度懒散、消极”。

#### 4.3 从教学方法角度来看

李海霞(2017)认为教学角色方面,“教师从传统教学过程的‘主角’转变为‘导演’,而学生则从讲台下的‘观众’转变为教学活动的‘演员’。学生在课堂探究式学习中,利用充足的课堂教学时间与同伴交流,与教师交流,深入理解重难点,解析疑惑,主动将知识内化”。谢秀桔(2016)认为“教学方式应该由‘教师主导’转向‘教师指导’;教学模式由‘封闭式’转向‘开放式’;学生学习方式由‘注重结果型’转向‘注重过程型’”。

赵永芳(2016)探讨“微课”在高职数学教学改革中的应用和作用,引导学生课前预习,辅助课内学习,督促课后复习。陈艳平(2017)探讨翻转课堂设计,强调学生的主体地位,鼓励学生根据自己的实际情况,进行个性化的学习。

王红(2018)认为,在如今“互联网+”背景下,“经济数学教学应该融合经济数学与专业知识,提升学生数学应用能力;渗透数学文化,提升学生数学素养;融入数学建模思想,培养学生创新能力”。宋来敏(2016)认为“应该根据学生的数学基础不同以及学生的意愿,以专业够用为原则,分类有针对性地对学进行数学教学,提出应该进行分层教学”。

#### 4.4 从教材角度来看

贾小建(2018)从教材角度,认为“经济数学教材要改变传统的‘概念—计算—应用’编排模式,提出高职经济数学教材改革的基本思路,教材结构可以分为典型案例导入,寻找解决方案,

计算机软件求解，相关数学知识详解再到拓展应用”。

综上所述，现阶段经济数学教学中的问题主要集中在教学方法之上，突破传统的老师满堂灌，学生被动学，并引入现代多媒体信息技术，是教学改革之重点。其中“微课”教学和翻转课堂教学法，成为如今经济数学课程改革的亮点。

## 5. 本院经济数学教学过程中的现存问题分析

### 5.1 通过对比分析，本院经济数学课时量明显不足

#### 5.1.1 中国大陆大学本科培养计划中的经济数学课程内容及课时安排举例

经济数学一般有高等数学（微积分），线性代数，概率论与数理统计等三大基本内容。微积分涉及的基础内容包括：函数、导数、微分、定积分、微分方程、向量，幂级数等内容。在一些高校开设少课时量《微积分》课程中，至少要介绍到导数与积分的基础知识，即需要一个学期来学习。《线性代数》主要内容包括：矩阵，行列式，向量，线性方程组，矩阵的特征值等内容。《概率论与数理统计》的主要内容包括：随机事件与概率、随机变量及其分布、随机变量的数字特征、大数定律与中心极限定理、统计量及其抽样分布、参数估计、假设检验、回归分析等内容。

通过大陆两所高校对本科学生在经济数学课程大纲上的安排（参见附表一和附表二），可以清楚看出，其安排课程至少安排第1到第3学期。中南大学在第3学期安排了商务统计（必修），第5学期安排了计量经济学（必修）；广西大学在第3学期安排了统计学原理（必修），第4学期还安排了计量经济学（必修）和计量经济学实验（必修）。

#### 5.1.2 本学院数学（经济数学）课程安排情况介绍

现阶段，博仁大学中文国际学院数学课仅有一门基础课——《生活中的数学与统计学》，现更新为《数学和统计学在商业及日常生活中的应用》。该门课程内容涉及比较浅显，课时量仅有45个小时，对于大学普通学生而言，只能算作一门数学普及入门课程或大学预科数学课程，对于商科或经济管理学生而言，经济数学课时明显不足。

此门数学通识课程大纲涉及的内容包括商业、利息、投资计算、折旧、现值及年金的基本数学基础；保险基础；个人所得税基础；个人生活与工作统计；数据分析统计；风险与不确定性下的决策。从目前授课的情况来看，因为课时量比较少，涉及的内容比较广，在实际课堂教学过程中，偏向的重点是利息（包括单利与复利）与投资，年金数学基础，数据分析，概率与统计学基础知识，其他方面的内容限于时间的安排可能只是一带而过。其中的利息与年金方面的内容，对于金融及国际经济贸易的学生，具有专业实用意义。

### 5.2 学生中学数学基础普遍较弱

在此次问卷调查过程中（问卷调查详细结果，参见图一），约有17.3%的学生没有参加过高考，高考成绩在90分以下（满分150分）的占83.9%。在问及高中阶段就读的文理科情况来看，理科仅占三分之一，有三分之一为文科生，其他三分之一为艺考类、体育类或其他类学生。对于艺考类或体育类学生而言，其文化课程，在高中阶段普遍偏低。对于他们来说，学习数学已经较为吃力。

### 5.3 学生自身的学习习惯和学习自觉性不强

问卷中反馈，有67.2%的学生，不会在上课之前去预习，有52.1%的学生不会课后去主动复习。经济数学有非常强的连续性和逻辑性等特点：如果没有预习，当堂课的内容，消化比例将大打折扣；若不复习，有会将本次学习的知识大半丢弃，当再进行新课的学习之时，会明显感觉跟不上。经济管理类学生是文理兼收，学生的数学基础差异较大，当传授同样的知识时，有些学生感到所学内容相对容易，而另一部分学生又感觉所学内容太难，使教师在教学过程中的进度需要随时调整。

## 5.4 学生对经济数学课程的重视程度不够

在问到：“你认为数学课程对于商业或经济管理专业学习的重要程度（用分数来表示，如 5 分表示非常重要，1 分表示很不重要）”，只有 62.6% 的学生给出了 4 分和 5 分，对于部分学生而言，数学仅仅是一门必须学习的课程，至于为什么要学习本课程，以及学习本课程对专业课程及未来的发展，认识不足或者不了解。导致很多学生学习数学课程，仅仅只是拿学分，为了毕业而已。当听说数学课程为选修课程时，甚至不愿去主动选择数学课程。

## 6. 对策分析

### 6.1 增加数学课程的课时量

没有量变，就没有质变。学生的数学学习习惯的培养，需要日积月累，仅仅一门数学入门普及课程，并不能满足经济管理类学生的专业需求。部分 GPA 成绩较好的学生，普遍反映需要增加其他经济数学的课程学习。考虑到国内本科院校均安排 1.5-2 年的数学基础课程的学习，建议对国际商务及金融的学生，至少要多增加一门数学课程的学习，此门课程可以放在通识课或者专业课大纲之中。

建议国际商务及金融的学生增加一门微积分或线性代数（线性规划）课程，另外，对于有考研究生或者参加考试各类从业资格证需求的金融学生，建议增加一门金融数学的选修课程。

### 6.2 梳理学生初等数学知识

在考虑到学生普遍基础薄弱的情况下，教师上课，以重视基础为主，即先补初等数学的相关知识，再学习经济数学的高等数学的相关知识。

在普通高级中学的课本中，分为必修 5 册，对应的是高中会考（学生通过高中会考，即可拿到高中毕业证）的考试内容。参加高考的学生中，有 60% 以上的学生高考数学没有超过 60 分（中国高考满分为 150 分），数学成绩极不理想。

调查的学生中，仅有约三分之一是理科生，对于经济管理类学生而言，高中理科的学习背景，是学好高等数学（微积分）的基础。在目前的情况下，能够跟上老师节奏的学生较少，文科生需要补充比较多的数学知识，包括导数与积分、排列组合等基本知识，文科生、艺考类学生学习内容较少，程度较浅，需要老师重新授课，或者需要学生课前预习、课堂认真，学习课后及时复习。

高中理科必学的 3 册选修课本，分别为选修 2-1，2-2，2-3。其中，选修 2-2 的导数部分，可以作为微积分的预备课程；选修 2-3 的计数原理，统计案例与概率可以作为大学数学概率论与数理统计的预备课程；另外，高中选修 4-2 专题介绍矩阵与变换，可以作为大学数学线性代数的预备课程。

### 6.3 积极探索“新型”的课堂教学方法。

传统经济数学教学方法，学生主要采用的是被动学习的学习模式，学习效率低下，其对比如下表：

传统经济数学教学模式	“互联网+新型”经济数学教学方法
教材 + 黑板（白板） + PPT（电子教案）	“微课”学习，翻转课堂
学生被动学习，效率低下	学生主动学习，教师提供相应的辅导

在信息技术的充分使用条件下，积极探讨用“互联网+”的模式进行教学，“微课”教学是一个很好的教学探索方式。“微课”教学，就是将课程中的相关内容，上传的网络，学生登录相关网站，观看学习的微视频，在论坛或留言板进行教学探讨，教师在课堂上针对学生学习中的问题，进行分析解答。

利用“翻转课堂”教学方式，学生成为课堂的主体，主动探索学习的内容，利用课本及网络上查找到的知识，先进行预习和学习，对于学习困难的地方，教师拿到课堂上面来解决。

## 7.基本结论

第一，通过中国内地高校与本学院的经济数学课程结构分析，我院经济数学课程数量安排明显偏少，建议安排至少为两门《经济数学》必修课程，分为《经济数学》（一）和《经济数学》（二）。对于大三、大四的学生，增加《计量经济学》、《运筹学》或《金融数学》等选修课程，为那些打算攻读硕士研究生或参加职业资格考試的学生提供必要的经济数学支持。

第二，通过问卷调查的情况来看，学生的数学基础较薄弱，主动学习的习惯较差，因此此门课程的基本定位应该为经济数学（或高等数学）的先修课程，学生只有在初等数学基础较好，数学学习习惯端正的前提下，才能学好大学的经济数学课程。

第三，大学的学习，以学生为主体、教师为指导，在“互联网+”时代，教师和学生都将充分利用信息技术来进行“教”与“学”，充分利用“微课”教学和翻转课堂的先进教学理念进行相应的教学改革，将是未来的教学改革方向。同时，也考虑到我院学生的学习自主能力较弱，混合教学模式（即传统课堂教学与翻转课堂教学相结合），也是教师应该积极探讨的方向。

第四，成立经济数学（大学数学）教研组，探讨经济数学教学的未来发展方向，制定新的教学大纲，遴选基础必修课程与选修课程，优选教材或教材选编，推动经济数学教学改革等等，为学生专业课程的学习提供必要的支撑。

## 8.问卷调查情况及进一步之研究

本次数学学习调查主要分析大一学生在学习数学上面的问题，共回收 243 个样本数据。其中第 1 题，了解学生的基本专业信息情况；第 2、3、10 题，调查学生是否主动选择所学专业，并主动去了解数学与专业课程之间的关系；第 4 题到第 7 题，调查的是学生的数学学习基础；第 8、9、11 题调查的是学生的学习习惯；第 12 题，判断学生是否如实回答问卷信息，有 4 个学生对于第 12 题的回答填“不是”，占总样本的比例为 1.6%，不影响整体的问卷分析结果。

本次问卷调查结果中，参加高考的学生中数学成绩在 90 分以下（满分 150）共有 83.9%，其中一半人以上没有超过 60 分。在回答是否会主动去预习和复习上面，分别有 67.2%，52.1% 的学生表示“不会”。

经济数学的学习，与学生的初等数学（中学数学）基础，学习习惯以及学院课程课时量安排有很大的关系，本次调查说明从学院到学生自身，都应该重视经济数学之学习。另外，教师应该积极探索课堂教学改革，积极引导学生自主自动学习经济数学知识。

本次调查研究的数据，仅包含部分学生，再者考虑到本次调查是在开学 1 个月左右进行的，已经有不少基础较差的学生已经主动退课，若加进他们的调查数据，本次数学学习的调查结果将更不容乐观。

希望以后的分析研究中，对学生每年均做至少一次调查，以得到更为精确的数据，为今后的教学改革和课程改革提供更为准确的依据。在以后的调查问卷中，将增加教学方法改革之内容，并将研究改革前后学生的成绩变化情况。

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附表：

附表一 中南大学工商管理 2016 版培养方案（摘选）

课程类别	课程编号	课程名称	课程属性	学分	总学时	开课学期	学分要求		
学科教育课程	公共基础课	130705X10	高等数学 B1（一）	必修	4	64	1	公共基础必修 12.5 学分	
		130705X20	高等数学 B1（二）	必修	3	48	2		
		130706X20	高等数学 B2	选修	2	32	2		保研必选
		430401X10	思维与论辩	选修	2	32	2		
		130711X10	线性代数	必修	2	32	2		
		130712X10	概率论与数理统计	必修	3.5	56	3		
	学科基础课	160601X10	微观经济学 A	必修	3.5	56	1	必须修满 24 学分	
		160603X10	宏观经济学 A	必修	3.5		2		
		160101X10	管理学原理	必修	3		1		
		160301X10	基础会计学	必修	3	48	2		
		160404X10	商务统计	必修	3	48	3		
		160501Z10	金融学 B	必修	2	32	3		
		160616Z10	经济法	必修	2	32	5		
		160618Z10	计量经济学 A	必修	3	48	5		
		160001X10	新生课	必修	1		1		
	集中实践环节	160003X11	经济与社会问题调研（一）	必修	1	1 周	2	必须修满 3 学分	
		160004X11	经济与社会问题调研(二)	必修	1	1 周	4		
		160104Z11	企业经营模拟	必修	1	1 周	3		

附表二 广西大学 2012、2013 级国际经济与贸易专业培养计划简表(按学期排列)  
 (摘选, 部分选修课剔除)

第一学期					第二学期				
	课程性质	课程名称	学分	成绩		课程性质	课程名称	学分	成绩
必修 课	通识必修	大学生就业与创业指导	0	√	必修 课	通识必修	大学生就业与创业指导	0.5	√
	通识必修	大学英语(一)	4	√		通识必修	大学计算机基础	3	√
	通识必修	体育(一)	1	√		通识必修	大学英语(二)	4	√
	通识必修	形势与政策	0	√		通识必修	思想道德修养与法律基础	3	√
	通识必修	中国近现代史纲要	2	√		通识必修	体育(二)	1	√
	学科必修	高等数学(微积分)	5.5	√		通识必修	形势与政策	0	√
	学科必修	政治经济学	3	√		学科必修	财政学	3	√
							学科必修	概率论与数理统计	3
					学科必修	微观经济学	3	√	
					学科必修	线性代数	2	√	
第三学期					第四学期				
	课程性质	课程名称	学分	成绩		课程性质	课程名称	学分	成绩
必修 课	通识必修	大学英语(三)	4	√	必修 课	通识必修	大学生就业与创业指导	0.5	√
	通识必修	军事理论	2	√		通识必修	大学英语(四)	2	√
	通识必修	马克思主义基本原理	3	√		通识必修	毛泽东思想和中国特色 社会主义理论体系概论	6	√
	通识必修	体育(三)	1	√		通识必修	体育(四)	1	√
	通识必修	形势与政策	0	√		通识必修	形势与政策	2	√
	学科必修	国际经济学(一)	3	√		学科必修	国际经济学(二)	3	√
	学科必修	宏观经济学	3	√		学科必修	会计学原理	3	√
	学科必修	金融学	3	√		学科必修	计量经济学	2	√
	学科必修	统计学原理	3	√		实践环节	计量经济学实验	1.5	√
	实践环节	军训	1	√					
选修 课	通识选修	校选自然或校选人文	2	√	选修 课	通识选修	校选自然或校选人文	2	√
	学科选修	管理学	3			学科选修	博弈论	2	
	学科选修	经济法(用注会教材)	3			学科选修	金融市场学	3	
	学科选修	旅游经济学	2			学科选修	世界经济概论	3	
						学科选修	中级财务会计(国贸模 块2 必选)	2	
						专业选修	国际贸易(模1)	2	
						专业选修	国际贸易(模2)	2	
						专业选修	国际商务(模3)	2	

附表三 数学课程教学问卷调查表

本次问卷调查仅作为课程改革及研究分析使用，并不收集学生的个人隐私，请学生们如实填写即可！  
谢谢你们！

1. 你就读的专业
  - ① 金融与会计
  - ② 工商管理（国际商务）
  - ③ 旅游管理
  - ④ 艺术
2. 你是如何选择此专业的：
  - ① 根据自己的兴趣来选择的
  - ② 父母及他人推荐的
  - ③ 根据此专业的就业前景及薪资待遇来选择的
  - ④ 其他（请注明）\_\_\_\_\_
3. 你是否清楚，学习本专业课程需要学习数学？
  - ① 清楚
  - ② 不清楚
4. 在学习本门数学课程之前，本人的数学学习程度是：
  - ① 中专毕业
  - ② 普通初中毕业
  - ③ 职业高中毕业
  - ④ 普通高中毕业（参加了国内的会考）
  - ⑤ 高中程度以上
5. 你在高中阶段学习的是：
  - ① 理科
  - ② 文科
  - ③ 艺考或体育类
  - ⑤ 其他（请注明）\_\_\_\_\_
6. 你是否考过中国国内的高考
  - ① 参加过考试
  - ② 没有参加考试
7. 你参加高考数学科目的分数段在（若没有参加中国高考，此题跳过不填）：
  - ① 0-30 分
  - ② 31-60 分
  - ③ 61-90 分
  - ④ 91-120 分
  - ⑤ 121-150 分
8. 你在上数学课之前会主动去预习么？
  - ① 会
  - ② 不会
9. 你在下数学课之后会主动去复习学过的内容么？
  - ① 会
  - ② 不会
10. 你认为数学课程对于商业或经济管理专业学习的重要程度（用分数来表示，如 5



分表示非常重要，1分表示很不重要)：

- ① 非常重要 (5分)
- ② 重要 (4分)
- ③ 一般 (3分)
- ④ 不太重要 (2分)
- ⑤ 不需要 (1分)

11. 你会主动将高中以前的数学知识点重新复习或学习一遍么？

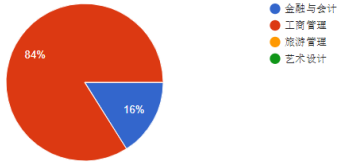
- ① 会
- ② 不会

12. 以上问题是否如实回答：

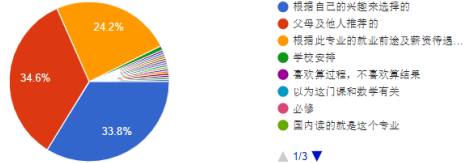
- ① 不是
- ② 是的

附图:

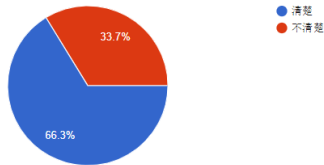
1. 你就读的专业（国贸专业直接选择工商管理）  
 (243 条回复)



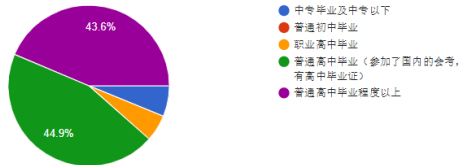
2. 你是如何选择此专业的  
 (231 条回复)



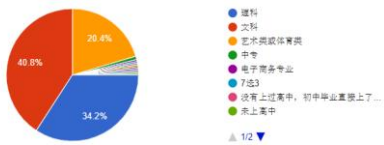
3. 你是否清楚，学习本专业课程需要学习数学  
 (243 条回复)



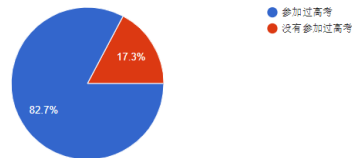
4. 在学习本门数学课程之前，本人的学历是  
 (243 条回复)



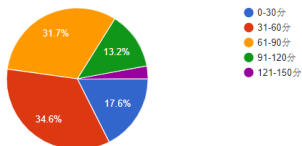
5. 你在高中阶段学习的是  
 (240 条回复)



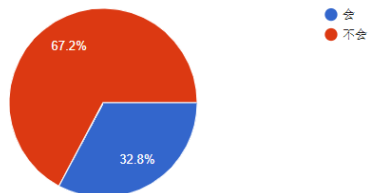
6. 你是否考过中国国内的高考  
 (243 条回复)



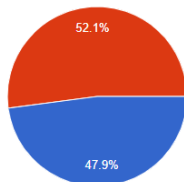
7. 你参加高考的数学科目分数段在（若没有参加过高考，此题跳过不做）  
 (205 条回复)



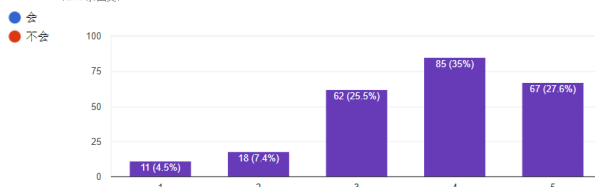
8. 你在上数学课之前会主动去预习么  
 (241 条回复)



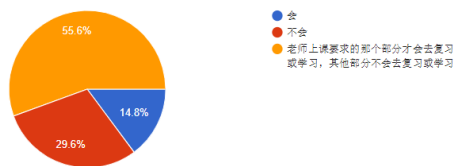
9. 你在下数学课之后会主动去复习学过的内容么  
 (240 条回复)



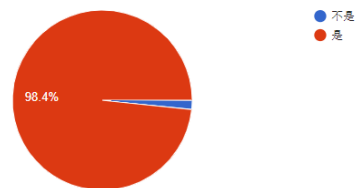
10. 你认为数学课程对于商业或经济管理专业学习的重要程度（用分数来表示，如5分表示非常重要，1分表示很不重要）  
 (243 条回复)



11. 你会主动将高中以前的数学知识点重新复习或学习一遍么  
(243 条回复)



12. 以上问题是否如实回答  
(243 条回复)



图一 数学课程教学问卷调查表调查结果分布图

## 台湾地区青少年忧郁症状之纵贯恒等性分析

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### 摘要

本研究主要的目的，系探讨青少年忧郁症状量表 SCL-90-R 在跨时间点上的纵贯恒等性分析。本研究利用了「台湾青少年成长历程研究」(Taiwan Youth Project) 的国一样本数据，合并青少年样本 2000 到 2003 共三波资料，经过遗漏值完全删除法(list-wise)，余 2317 人进行分析。并利用 Chen, Sousa, & West (2005) 的二阶段验证性因素分析的恒等性分析法，探讨青少年忧郁症状的二阶段结构恒等性。研究结果发现：虽然  $\Delta\chi^2$  指针受到样本人数较多影响而达到显著水平，但各个假设模式除观察变项之误差外， $\Delta CFI$  指标均小于 .01 之标准，显示在各时间点的模式上，SCL-90-R 量表均能满足因素负荷量恒等、截距恒等，以及潜在变项残差恒等的假定。

**关键词：**青少年忧郁症状；测量恒等性；纵贯研究

### 1. 绪论与文献探讨

在青春期前后，忧郁症状 (depressive symptoms) 是一个常见的症状 (Crockett, Randall, Shen, Russell, & Driscoll, 2005)。其中大约有 5% 的青少年患有严重的忧郁症，而有许多青少年因为还不到严重忧郁症的症状，而被忽视 (Shaffer et al., 1996)。因为青少年忧郁症状有许多外显征兆太过普遍，因此造成教师与家长很少会去注意到这种情况 (Holsen, Kraft, & Vittersø, 2000)。但是这些早期的忧郁症状却会严重的影响健康、心理发展、人际关系 (Holsen et al., 2000)，甚至会影响到成年人的健康情况 (Pine, Cohen, Cohen, & Brook, 1999)。根据近年来的研究 (Deković, Buist, & Reitz, 2004)，青少年的忧郁症状是不断变化，而不稳定的。一些研究人员甚至表明忧郁症状会随着时间而推移而产生不同的变化 (Ge, Conger, & Elder Jr, 2001; Ge et al., 2003; Ge et al., 1994)。虽然国内、外学者以忧郁症状为主轴的研究相当繁多，但在构面上却常因研究目的与样本而有差异。因此，在一个像忧郁量表这样的综合性评估指标上，在各时间点上是否能呈现出一致性的影响，这是本研究亟欲厘清的部分。

此外变化的测量一直是一个长期的和有争议的主题 (Cronbach & Furby, 1970)。忧郁症状对青少年的影响必须要长期的进行追踪。因为在相关研究中发现有中度/重度忧郁症状的青少年就必须要长期调查，并重新评估 (Rushton, Forcier, & Schectman, 2002)。许多学者也建议对忧郁症状也应该进行纵贯式的调查 (Garrison, Jackson, Marsteller, McKeown, & Addy, 1990; Ge, Lorenz, Conger, Elder, & Simons, 1994; Hankin et al., 1998; Nolen-Hoeksema, Girgus, & Seligman, 1992; Rushton et al., 2002)。但是不论是在青少年忧郁症状或是其他的心理议题上，测量恒等性的问题在纵贯研究却很少被关注 (Chan, 1998; Lance, Vandenberg, & Self, 2000)。在进行不同时间点的比

较时，一份测验工具是否具有测量恒等性是非常重要的前提。研究者的研究结果发现与推论会因为测验工具是否具有测量恒等性而受到影响。因此，Chan (1998)提出测量恒等性应该是纵贯研究的一个先决条件，因为不论是在人体的改变或是社会的变化，这些心理测验在经过一段时间后，心理特性变化可能改变测验的可靠性和预测效度(Ackerman, 1989; Alvares & Hulin, 1972; Henry & Hulin, 1987, 1989)。在过去许多的研究者常靠着两个时间点来测量心理状态的改变，但是那不足以完全解释整个心理的改变历程。而且在目前测验的信效度部分也都是藉由当前研究取得的样本建立其稳定性与内部一致性，他们甚少去讨论不同群组间的等价性(Vandenberg & Lance, 2000)。所谓不同群体间的等价性被称为测量恒等性(measurement invariance) (Meredith, 1993)，是指研究工具施测于不同对象、不同时间点(Chan, 1998; Chan & Schmitt, 2000)甚至不同的媒介(Ployhart, Weekley, Holtz, & Kemp, 2003)时，测验分数或评量结果应具有相同的结果，亦即恒等性(Vandenberg & Lance, 2000)，在 SEM 中又常被称为复核效化(cross-validation)或因素恒等性(Factorial invariance)，其检测的目的，在于探讨因素构面的结构之间必须具有稳定性。根据 Drasgow and Kanfer (1985)的定义，当一个测验或量表在不同群体下能够在潜在变项与测量变项两个层次具有一致的表现，才能称之为有测量恒等性。也就是说不管在任何时间、任何群体被测量的因素结构是要完全相同的(Schmitt & Kuljanin, 2008)。当所采用测验工具具有测量恒等性时，在进行不同样本群组比较时，便能在同一测量尺度上进行比较。所得到的结果也较正确。本研究系采用「台湾青少年成长历程研究」(Taiwan Youth Project)所施测的 SCL-90-R 短版，本研究进行横跨时间点的测量恒等性检定，检视该量表从某一个时间点上所得到的参数值是否可以类推到其他的时间点之间的关系是否具备跨群体的等同性，这是传统分析方法无法深入剖析的部分，也是测量恒等性的价值所在。本研究期望透过测量恒等性的方法，利用二阶段的验证性因素分析(CFA)来探究忧郁状况在跨时间点间的因素结构关系，并衡量此关系是否在跨时间点中是否有所差异，更能增添 SCL-90-R 量表之构念效度的证据。

## 2. 研究设计

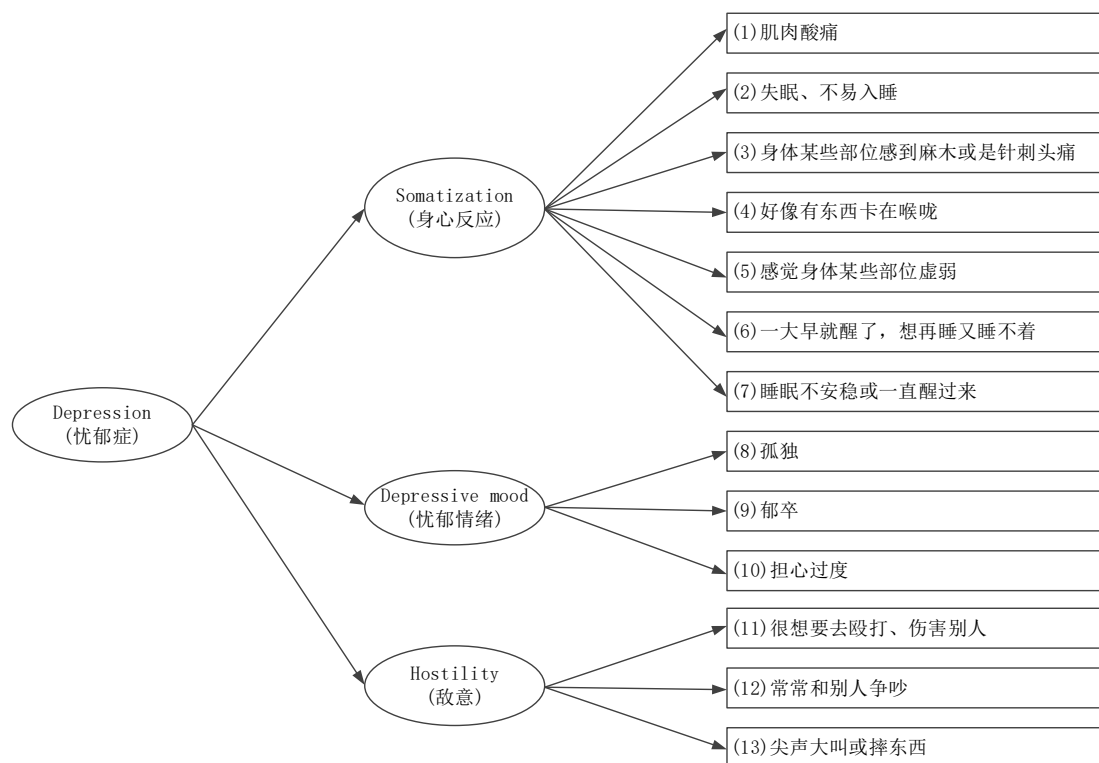
### 2.1 数据源叙述

本研究所使用青少年国中连续三年的固定样本追踪调查研究资料，主要以忧郁症状相关的资料为分析基础。资料内容来自于「台湾青少年成长历程研究」(Taiwan Youth Project, 以下简称TYP)。此研究由台湾中央研究院社会学研究中心所主导。TYP研究计划自2000年开始执行，研究对象为就读于台湾北部县市公立国民中学的学生，针对同一批样本进行长时期的追踪。资料收集方法采用问卷调查，范围包括学生本人、学生导师、以及学生家长三方面，本研究仅取学生部分资料。台湾青少年成长历程研究数据的抽样方式为「分层的多阶层丛集抽样」，以「县、市」作为第一分层，「乡、镇、市、区」发展的先后顺序作为第二分层。分层后，以丛集抽样(cluster)为主，在第二分层内分二阶段随机抽样，第一阶段以「学校」作为抽出单位，第二阶段以「班级」作为最终抽出单位。第一阶段以分层比例抽样为主。透过各乡镇市区的发展阶段与都市化程度来决定抽样的分层(stratum)。第二阶段以丛集(cluster)为主，在台湾青少年成长历程研究当中，抽样单位是「班级」，亦即在各分层当中，使所有「班级」都有相同的被抽取机率。依据各分层所需的样本数，在各分层中选取足够数量的受访学校及受访班级。

至2012年，TYP计划已公开连续7年的贯时性资料收集，但每年忧郁症状所采用题目不一，因而本研究只采用前三年样本学生仍在国中时期的资料，以求较完整之题项数。TYP受访者为2000年台北县、台北市及宜兰县当时国一学生为研究对象，第一年资料搜集方法以自填进行大样本问卷调查，共调查40所国中，共81个班级，其后以一年为间隔，采自填问卷与电访进行追踪调查。本研究合并青少年样本国一到国三共三波资料，总样本共2844人。进入分析之样本，由于经过遗漏值完全删除法(list-wise)，因此共有2317人。

## 2.2 研究工具

本研究主要在探讨青少年的心理健康状况，而我们将着重于忧郁倾向。忧郁倾向的测量采用Derogatis (1983)发展的症状检核表(The Symptom Checklist-90-Revised, 简称SCL-90-R)，根据过去的文献，SCL-90-R量表约可区分出四到五个次面向。然而本研究的焦点集中于忧郁症状的现象上，因此在TYP受试者每年受测的题目不尽相同，因此本研究只撷取其中13个项目，作为忧郁症状的一般性测量。选取原则仅去取3个面向：身心反应(Somatization) 7题、忧郁情绪(Depressive mood) 3题、敌意(Hostility) 3题。该量表经多年的测试使用，已呈现出高度之使用信度与效度。该量表为5点量表。针对每一个症状问项，受访者回答在过去一个星期中他们是否为该项症状所困扰。答项及计分方式为：没有(1分)；有，有点(2分)；有，普通(3分)；有，严重(4分)；有，很严重(5分)。



图一 研究架构图

## 2.3 测量恒等性检验统计分析与处理

在测量恒等性的分析上，Vandenberg and Lance (2000)提出评估一个验证性因素分析(confirmatory factor analysis,CFA)的测量不变性，必须经由一系列的巢套模型，首先检视结构层

级(configural level)每一个测量项目要在相同的潜在因素上,并且在矩阵层级(metric level)模型之间的因素负荷量要相等,最后在量尺层级(scalar level)不同的群体要有相同的间隔与零点。再经由不同的层级来定义测量不变性的强弱(Martinez, Black, & Starr, 2002)。而且二阶的测量不变性上,也必须要分别检视两阶层的因素负荷量、测量变项截距,以及一阶变项的残差,以及误差等等(Chen et al., 2005)。本研究依据 Chen et al.(2005)的模式进行分析,分述如下:

- 模式 1: 结构相等(configural invariance)
- 模式 2: 一阶因素负荷量相等(first-order factor loadings invariant)
- 模式 3: 二阶的因素负荷量相等(first- and second-order factor loadings invariant)
- 模式 4: 观察变项截距相等(first- and second-order factor loadings and intercepts of measured variables invariant)
- 模式 5: 一阶潜在变项截距相等(first- and second-order factor loadings, and intercepts of measured variables and first-order factors invariant)
- 模式 6: 一阶因素残差相等(first- and second-order factor loadings, intercepts, and disturbances of first-order factors invariant)
- 模式 7: 测量变项误差相等(first- and second-order factor loadings, intercepts, disturbances of first-order factors, and residual variances of measured variables invariant)

### 3. 资料分析

本研究统计分析乃采用验证式因素分析的方法,先进行3次的独立CFA分析,先验证独立模型的契合度,再进行该CFA模型的跨时间样本契合度,以证明忧郁症状因素之间在跨时间点上具有测量恒等的特性。以Mplus 6.12统计程序来处理。分析结果发现各模式与实证资料之间具有不错的适配性,多数适配指标都有达到理想标准(见表一),RMSEA也在.064至.074之间,虽未达严格标准值.05,但仍是合理适配。因此显示各时间点样本之先验模式,表示各时间点样本均拥有相同的构念,且每个构念均拥有相同的观察指标,因此可进行下个阶段跨时间点巢套模式恒等性的检定程序。

表一 不同时间段之验证性因素分析摘要表

Time	$\chi^2$	df	AIC	BIC	aBIC	RMSEA	CFI	TLI	SRMR
2000	650.228	62	61810.064	62051.481	61918.039	0.064	0.935	0.919	0.038
2001	695.376	62	61309.566	61550.983	61417.541	0.066	0.920	0.899	0.042
2002	854.600	62	67039.630	67281.047	67147.605	0.074	0.915	0.894	0.044

模式界定(Specification)上,依据理论与研究假设,来设定所要分析的因素恒等性的步骤阶段与参数限制。Vandenberg and Lance(2000)年所建议的检测测量恒等性流程便是利用卡方差异检定来进行模型间的竞争比较。从表二统计检定结果得知,6个卡方值的差异量( $\Delta\chi^2$ ),皆达到显著水平,故造成虚无假设被拒绝,但因卡方差异值和卡方值一样,很容易受到样本数大小而波动,使得两个原本没有差异量的模式变的有显著差异存在。因此,本研究为避免样本数之影响,在恒等性分析的指标上使用 $\Delta CFI(<0.01)$ 作为模式的取决依据(Cheung & Rensvold, 2002)。表二为跨时间点多群体巢套模式之比较(nested model comparisons)。此巢套模式之比较

系由基底模式来逐一加上限制「一阶因素负荷量」相同、限制「二阶因素负荷量」相同、限制「观察变项截距」相同、限制「潜在变项截距」相同、限制「潜在变项残差」相同以及限制「观察变项测量误差」共7个模式之适合度以进行比较。

由表二可知，在模式M1主要是测量跨时间点的结构不变性，在这情况下显示了在三个时间点模型中，青少年忧郁症状同样具有三个主要的潜在因素(身心症状、忧郁情绪与敌意)每个潜在因素下也负荷了相同的题目，在此模式本研究做了如下的设定(a)依据Mplus 6.12的手册之规定，将第一个题项之因素负荷量设定为1，平均数设定为0，(b)二阶潜在变项之变异设定为1，平均数设定为0，而其他因素之变异、因素负荷量、截距与误差等所有的参数皆自由估计。模式的参数显示模式M1之结构不变性具有良好的适配，显示所有题项均合理的负载在其向度下，因此可以继续继续进行恒等性的测量。

表二 纵贯测量恒等性适配指标摘要表

Model	$\chi^2$	df	AIC	BIC	aBIC	RMSEA	CFI	TLI	SRMR
M1	2200.204	186	190159.259	191021.936	190621.538	0.068	0.924	0.904	0.041
M2	2249.016	206	190168.071	190893.815	190556.972	0.065	0.923	0.912	0.043
	$\Delta\chi^2=48.812$	$\Delta df=20$	8.812	-128.121	-64.566	-0.003	$\Delta CFI=-0.001$	0.008	0.002
M3	2296.195	212	190203.250	190887.914	190570.138	0.065	0.921	0.913	0.053
	$\Delta\chi^2=47.179$	$\Delta df=6$	35.179	-5.901	13.166	0	$\Delta CFI=-0.002$	0.001	0.01
M4	2476.414	232	190343.469	190891.200	190636.979	0.065	0.915	0.914	0.054
	$\Delta\chi^2=180.219$	$\Delta df=20$	140.219	3.286	66.841	0	$\Delta CFI=-0.006$	0.001	0.001
M5	2652.949	238	190508.005	191014.656	190779.501	0.066	0.908	0.910	0.057
	$\Delta\chi^2=176.535$	$\Delta df=6$	164.536	123.456	142.522	0.001	$\Delta CFI=-0.007$	-0.004	0.003
M6	2692.828	244	190535.883	191001.455	190785.367	0.066	0.907	0.911	0.059
	$\Delta\chi^2=39.879$	$\Delta df=6$	27.878	-13.201	5.866	0	$\Delta CFI=-0.001$	0.001	0.002
M7	3266.525	270	191057.580	191345.139	191211.672	0.069	0.886	0.902	0.067
	$\Delta\chi^2=573.697$	$\Delta df=26$	521.697	343.684	426.305	0.003	$\Delta CFI=-0.021$	-0.009	0.008



表三 一阶因素负荷量限定参数比较

参数		M1			M2
		T1	T2	T3	T1~T3
F1 身心反应 (Somatization)	$\lambda_{X1}$	1.000	1.000	1.000	1.000
	$\lambda_{X2}$	1.060	1.212	1.004	1.076
	$\lambda_{X3}$	0.874	0.957	0.932	0.914
	$\lambda_{X4}$	0.628	0.565	0.585	0.594
	$\lambda_{X5}$	0.970	1.058	0.999	1.000
	$\lambda_{X6}$	0.622	0.599	0.579	0.598
	$\lambda_{X7}$	0.819	0.916	0.825	0.843
F2 忧郁情绪 (Depression mood)	$\lambda_{X8}$	1.000	1.000	1.000	1.000
	$\lambda_{X9}$	1.287	1.217	1.308	1.269
	$\lambda_{X10}$	1.090	0.984	1.142	1.070
F3 敌意 (Hostility)	$\lambda_{X11}$	1.000	1.000	1.000	1.000
	$\lambda_{X12}$	1.234	1.320	1.111	1.210
	$\lambda_{X13}$	0.804	0.844	0.851	0.834

接来的的模式M2为一阶因素负荷量相等之模型，在此模型本研究将所有一阶因素的负荷量皆限定为等同，模型二与模型1的 $\Delta\chi^2=48.812(\Delta df=20)$ 虽高于临界值，但本研究基于一个大的样本，卡方值容易受到影响。在 $\Delta CFI=-0.001$ 显示模型并没有显著的改变，且MI指标并无合理的修正路径，因此依据Cheung and Rensvold (2002)的说法，本研究以 $\Delta CFI$ 认定此模型并无显著差异。因此证明在青少年忧郁症状中，每个一阶的测量因素皆具有不变性，即代表时间点上个体在潜在变项上的每一题的得分皆相等。将所有的因素负荷量皆设为恒等，来和形貌恒等的模式作比较，其系数与表三所示。可以发现恒等后的各系数，大致上介于各时间点的系数之间，并没有太大的差异。在恒等性的限制下，在各构面的因素负荷量可以发现身心症最具有解释力的变项为 $\lambda_{X2}$ ，也就是失眠，失眠一向是忧郁症最常出现的征状。约有86.1%的人忧郁与失眠会同时出现(Chang, Ford, Mead, Cooper-Patrick, & Klag, 1997)。在忧郁情绪中，郁卒则是最大的解释变项，在忧郁征状中，情绪低落（郁卒）的经验是很常见的现象，短时间的情绪低落可能不会有太大的问题，但若是长时间的情绪低落，就有忧郁症的征状。在敌意中，与他人争吵则是较大的解释变项。

模式M3为二阶因素负荷量相等之模型，在此模型本研究将所有二阶因素的负荷量皆限定为等同，此时一阶因素负荷量与二阶因素负荷量皆限定等同， $\Delta CFI$ 为-0.002显示在模式上并没有产生很大的改变。结果显示二阶因素负荷量在各时间点上是一致的，也就是代表身心症状、忧郁情绪与敌意在青少年忧郁症状下的得分在每个时间点上是一致的。表四显示，在还没有限定恒等的状态下，到TIME3的时间点，各构面的因素负荷介于0.283~0.537之间，而在限定恒等的状态下，因素负荷量0.304~0.485也是介于各时间之间，其中忧郁征状中的忧郁情绪的因素负荷量0.485为三者之中最大。

表四 M2模式与M3模式限定参数比较

参数		M2			M3
		T1	T2	T3	T1~T3
F1 身心反应 (Somatization)	$\Gamma_{F1}$	0.467	0.400	0.504	0.455
F2 忧郁情绪 (Depression mood)	$\Gamma_{F2}$	0.460	0.460	0.537	0.485
F3 敌意 (Hostility)	$\Gamma_{F3}$	0.305	0.283	0.325	0.304

表五 M3模式与M4模式限定参数比较

参数		M3			M4
		T1	T2	T3	T1~T3
F1 身心反应 (Somatization)	$\tau_{x1}$	1.822	1.822	1.822	1.884
	$\tau_{x2}$	1.577	1.414	1.453	1.548
	$\tau_{x3}$	1.306	1.224	1.260	1.318
	$\tau_{x4}$	1.226	1.148	1.143	1.211
	$\tau_{x5}$	1.408	1.316	1.389	1.428
	$\tau_{x6}$	1.384	1.282	1.230	1.337
	$\tau_{x7}$	1.338	1.233	1.211	1.315
F2 忧郁情绪 (Depression mood)	$\tau_{x8}$	1.465	1.465	1.465	1.453
	$\tau_{x9}$	1.597	1.631	1.630	1.601
	$\tau_{x10}$	1.611	1.582	1.720	1.619
F3 敌意 (Hostility)	$\tau_{x11}$	1.238	1.238	1.238	1.256
	$\tau_{x12}$	1.334	1.363	1.201	1.323
	$\tau_{x13}$	1.150	1.129	1.117	1.149

模式M4检测不同时间点的观察变项截距 (Item Intercepts) 是否相同, 其模式是建立在M3模型下, 除一、二阶之因素负荷量外再加上个时间点的观察变项截距相同的假设, 已确定在不同时间点下各题的平均数是否有所不同。 $\Delta CFI = -0.006$ 显示在模式上并产生差异。在不同的时间点上, 各观察变项的平均数并没有很大的差异。如表五所示, 各平均数介于1.117~1.822之间, 在各时间点上并没有很明显的差异, 但是可以发现大部分的截距在国一时呈现比较高的现象, 限定后的平均数则介于各时间点之间。显示青少年各征状间, 虽然在各时间点有略有起伏的改变, 但实际上这种改变程度并不大。

模式M5限定了一二阶的因素负荷量以及观察变项与一阶潜在变项的截距在不同时间点上 是相等的。 $\Delta CFI = -0.007$ 依然显示三个时间点在一阶因素的截距是相等。一阶因素与截距的相等, 有助于未来比较二阶的潜在平均数(Chen et al., 2005)。由表六所示, 各时间点的潜在变项之截距, 在未限定前, 与观察变项截距大多在国一最高的情况不同, 各潜在变项的平均数, 在国三达到最高点, 其中在身心反应的变项在国二时有呈现约略的下降, 而到国三则又呈现微幅的上升; 忧郁情绪变项在国二有微幅的上升, 而在国三则有更大幅度的上升情况; 敌意变项则在三年之间约略呈现微幅上升的状态, 但此上升并不明显, 因此在限定恒等后, 模式并没有非常显著的改变。所以, 基本上, 忧郁征状在青少年的国中阶段大致上有着相同的幅度。

在模式M6限定了一二阶的因素负荷量、观察变项与一阶潜在变项的截距以及一阶因素的残差。模式的指针 $\Delta CFI = 0.001$ 依然显示三个时间点在一阶因素的残差是相等。如表七所示, 在未限定参数时, 各残差值介于.04-2.07之间, 限定恒等后则结余0.073与0.200之间, 其中在忧郁情绪的残差值明显较其他的潜在因素大。

模式M7「观察变项测量误差」之 $\Delta CFI = -0.021$ 已达.01之显著水平,此结果表示拒绝接受「观察变项测量误差」模式是正确的假设,显示SCL-90-R测量变项的误差上,在各时间点上有一致的情形。如表八所示,大致上来说SCL-90-R不论是在因素负荷量上或是在截距上都具有相等的测量型态,符合跨时间点的测量恒等性。

表六 M4模式与M5模式限定参数比较

参数		M4				M5
		T1	T2	T3	T1~T3	
F1 身心反应 (Somatization)	$K_{x1}$	0.000	-0.010	0.168	0.000	
F2 忧郁情绪 (Depression mood)	$K_{x2}$	0.000	0.047	0.216	0.000	
F3 敌意 (Hostility)	$K_{x3}$	0.000	0.030	0.057	0.000	

表七 M5模式与M6模式限定参数比较

参数		M5			M6
		T1	T2	T3	T1~T3
F1 身心反应 (Somatization)	$\Psi_{F1}$	0.081	0.046	0.101	0.073
F2 忧郁情绪 (Depression mood)	$\Psi_{F2}$	0.199	0.195	0.207	0.200
F3 敌意 (Hostility)	$\Psi_{F3}$	0.072	0.089	0.099	0.086

表八 M6模式与M7模式限定参数比较

参数		M6			M7
		T1	T2	T3	T1~T3
F1 身心反应 (Somatization)	$\Theta_{x1}$	0.670	0.694	0.721	0.702
	$\Theta_{x2}$	0.499	0.435	0.570	0.602
	$\Theta_{x3}$	0.277	0.264	0.434	0.567
	$\Theta_{x4}$	0.263	0.247	0.338	0.735
	$\Theta_{x5}$	0.320	0.353	0.520	0.572
	$\Theta_{x6}$	0.525	0.500	0.530	0.840
	$\Theta_{x7}$	0.400	0.369	0.420	0.662
	$\Theta_{x8}$	0.285	0.268	0.367	0.411
F2 忧郁情绪 (Depression mood)	$\Theta_{x9}$	0.249	0.231	0.233	0.249
	$\Theta_{x10}$	0.453	0.426	0.482	0.466
	$\Theta_{x11}$	0.294	0.327	0.444	0.658
F3 敌意 (Hostility)	$\Theta_{x12}$	0.231	0.296	0.224	0.496
	$\Theta_{x13}$	0.179	0.188	0.241	0.616

## 4. 结果与讨论

本研究报告了SCL-90-R量表的测量不变性。在各样本群体均适配于忧郁症状的基底模式后，本研究进行巢套模式的恒等性检定。研究结果发现：虽然 $\Delta\chi^2$ 指针受到样本人数较多影响而达到显著水平，但各个假设模式除观察变项之误差外， $\Delta CFI$ 指标，均小于.01之标准，显示在各时间点的模式上，SCL-90-R量表均能满足因素负荷量恒等、截距恒等，以及潜在变项残差恒等的假定。因此也证实了青少年忧郁症状在跨时间点上具有二阶层的形式，包含了同时受身心症状、忧郁情绪与敌意所测量，并且具有高阶的型态。这在学术上具有其价值存在，如同前面所叙述的，关于忧郁症状，应该使用二阶的CFA去探讨其因素结构，虽然二阶的模式较一阶层的模式复杂，但它会比一般的一阶相关结构更为简洁，也更能够考虑各因素的误差。

从较为实用的角度来看，此结果说明了在不同时间点上，SCL-90-R此测量工具的测量结果相当稳定，也就是SCL-90-R量表在于跨时间点的测量上拥有相同意义，且具有相当的效度与信度，构面之间的关系也是一致的，每一个构面下具有相同的题目，且测量到相同的效果。过去的心理研究在传统的心理属性（如，内部的一致性，预测效度）虽然重要，但它没办法确定心理特质在横跨各个时间点上功能是否具有同等的效果(Vandenberg & Lance, 2000)。Nunnally (1978)指出，一个测量工具要能真正测得特质 (trait)，它必须能够在一段时间内保持测量结果的稳定性。本研究的结果，显示SCL-90-R量表在跨时间点上，具有不错的稳定性，在每一波之间的数值具有相同的尺度和概念，因此可以用来进行纵贯模式的比较。后续的研究也可尝试探讨青少年忧郁症状的变化趋势，提升整个模式的理论价值与应用层面。

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## 泰国博仁大学汉语交际课研究

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### 摘要

汉语的能力可以具体划分为四种，即听、说、读、写。汉语学习者要想获得较高的语言技能，必须对这四种能力进行专项训练。这四项能力中的听与说的能力直接与日常交际相关，在教学过程中着重对学习者的听说技能进行培养，应该是整个教学过程中的重要内容。笔者的研究对象是非汉语专业的学生，从实际情况来分析，此研究对象还分为零基础的和有基础的。研究主要分支为学习情况教材使用以及课堂调查研究，以获得更全面的研究结果为研究价值。因为本研究只针对笔者任教的泰国博仁大学交际中文课，明显存在研究范围不够广，代表性不够强等问题。但笔者希望通过本研究使泰国的交际中文技能的训练得到重视，可以使泰国博仁大学的中文系教学计划更加完善，也希望可以为对泰汉语听说课有效地提高汉语学习者的交际中文技能，促进对外汉语教学事业的发展。

**关键词：**博仁大学；交际中文课；课程设置；教学方法；教材选用；课堂研究；

### 1. 交际中文课的来历及教学现状

泰国博仁大学的汉语专业至今为止已有 14 年的历史。随着年代的演变语言选修课也有了变化。目前中文除了开设为主修课和副修课，中文还将《交际中文》课程开设为选修语言课程给全校的大学一年级的学生。目前提供全校学生的语言选修课程有泰语基础课程和交际中文课程。

#### 1.1 课程设置

《ZH100 交际中文》，科目英文名为 Chinese for communication，3 学分，学习者没有汉语基础要求。可是第一次课或者第一周，学习者必须把握好汉语拼音。因为每个班都有部分学生学过汉语，为了让有学生融合和有机会交流及和老师互动，教师将关于拼音的几道题放在课程最前面，例如：什么是拼音、为什么要学拼音、学拼音从哪儿开始等。结束此活动后教师先开始教声母，再教韵母最后才教声调，教声调时主要介绍和对比泰语和汉语的声调的区别。总结来说，从笔者的课堂考察得知，零基础的学生在第一次认识到汉语声母时，他们非常惊讶，因为泰语的辅音或声母全部都带 o 音，可是汉语带的却多种多样。接下来是韵母，半部分的学生感觉跟泰语一样难，因为汉语韵母除了读音多还有那几个所省写韵母和规则，如 iou,uei,uēn 等。可是还有另外半部分的感觉汉语韵母比泰语韵母好学，因为泰语韵母复杂，除了要记读音以外，还要记文字，又要随

着声母或者辅音变调，像低辅音的声调规则，如果标第二声调要读成第三声调，如果读第三声调要读成第四声调等。可是学习声调方面大部分的学习者没有任何怀疑，教师讲完了，他们懂得怎么将韵母和声调来一起拼了，学习难点在于发音时语音出错，特别是变调。

## 1.2 教学时间

《ZH100 交际中文》每周 3 个学时，每学期共 15 周，45 个学时，3 个月左右的时间为一个学期，第 15 周结束后过一个星期开始进行考试。《ZH100 交际中文》设置在上、下和小学期。考试内容分为笔试考试和口语考试。

## 2. 教材分析

对于课堂教学参与的主体---教师和学生来说，教材都扮演着十分重要的角色。好的教材可以引发学习者跨越教材本身的学习，走入社会，与所学语言的国家建立更深层的联系；相反，不当的教材则会挫伤学生继续学习的愿望。泰国博仁大学《ZH100 交际中文》使用的课本，英文书名为《345 Spoken Chinese Expressions》，北京语言大学出版社出版。该教材以汉语普通话为教学的主要内容，内容围绕着生活，在会话和课文部分为学习者提供了更多的语境和材料。课本附带练习册和光盘，有助学习者提高汉语听说水平。除此以外，该教材在课文内容，会话技能训练，载体多样性、趣味性以及学时安排等方面。其次，该教材每一章词汇量非常丰富。为了找出教材编写是否适合学习对象为了后期设置更好的工作。

### 2.1 词汇方面分析

笔者对照词汇等级大纲，查出了教材中词汇的等级。结果如下：

表一 《ZH100 交际中文》汉语词汇等级大纲统计

词汇等级	交际中文教材
甲级词	你、您、好、再见、我、我们、你们、他、他们、这、那、是、谢谢、学生、老师、爸爸、妈妈、哥哥、姐姐、妹妹、弟弟、朋友、吗、很、忙、学、做、写、听、念、说、身体、汉语、汉字、课文、生词、作业、电视、音乐、什么、在、学校、商店、办公室、家、教室、词典、这儿、那儿、那儿（哪里）、买、书、本子、花儿（花）、画儿（画）、儿子、女儿、现在、休息、上课、下课、去、不、电影、也、学习、都、对不起、知道、男、女、同学、录音、有、个、书包、人、椅子、笔、支、几、张、纸、床、和、哪、请、问、进、坐、种、咖啡、杯、瓶、啤酒、牛奶、茶、喝、要、小姐、学生、位、食堂、叫、国、外国、早饭、午饭、午饭、吃、大、小、大学、东西、买、面包、米饭、饺子、好吃、菜、谁、医院、医生、大夫、找、楼、层、错、人、认识、少、多、工作、件、衣服、条、颜色、黑、黄、蓝、绿、橙、白、



	紫、红、好看、不错、长、短非常、比较、怎么样、合适、太、骑、容易、难 nán、些、漂亮、玩儿（玩儿）、方便、公园、累、火车、飞机、辆、照相、一起、大家、明天、带、回、近、远、时候、的、斤、苹果、多少、钱、水果、香蕉、橘子、公斤、鸡蛋、肉、附近、卖、零、毛、分、元、块、一共、
乙级词	爷爷、奶奶、书店、厕所、书包、本、两、地图、桌子、报纸、性、贵姓、名字、包子、餐厅、便宜、贵、常常、每、天、喜欢、护士、对、毛衣、上衣、裤子、裙子、大衣、大小、自行车、好玩儿、梨、西瓜、蔬菜、土豆、西红柿、白菜、黄瓜、萝卜、市场、最、人民币、角
丙级词	看、把、饮料、饭馆儿（饭馆）、电脑、西医、中医、照相机、葡萄、价钱
丁级词	长短、蘑菇
超纲词	不用谢、不谢、可乐、矿泉水、手机、公交车、出租车、草莓、桃子、菜花、洋葱、胡萝卜、蔬菜、青椒

表中可见，属于甲级词汇共 503 个词，乙级共 89 个词，丙级词共 10 个词、丁级词共 2 个词，超纲词共 14 个词。属于甲级词最多，乙级词列为第二，超纲词列为第三，丙级词列为第四，丁级词列为第五。总结来说，该教材在词汇编写方面设计非常合适零基础和初级汉语的学生。

## 2.2 练习方面分析

### 2.2.1 练习题型与练习题量设计

《ZH100 交际中文》每一章都设有会话，设计在生词后面的部分，数量为三到五个，会话围绕着主题。在学习的过程中“练习”是不可缺少的一部分。教学的过程，教师可以通过练习部分考察学生的学习，而且教师可以以练习部分来巩固学生的学习。杨惠元认为语言不是“教会”的，而是“练会”的。“教”的结果只是“懂”，“练”的结果才是“会”。要完成从“懂”到“会”的转化，关键是练习（杨惠元，1997）。教材的练习题型，分为语音练习、词汇练习、语法练习、汉字练习和交际练习，5 个方面。汉语听说教材最重要的是交际练习。下面本文将从这些语言要素练习以及交际练习两个方面来分析。

表二 语言要素练习以及交际练习的题量

课题	发音练习、替换练习、会话、语法与课文题量
第一课 您好	5
第二课 我是学生	7
第三课 我学汉语	6
第四课 教室在哪儿	6
第五课 我不看电影	7
第六课 我有一个哥哥	7
第七课 我没有弟弟	5
第八课 您贵姓	6
第九课 你喜欢吃什么	4
第十课 这是谁的书	5
第十一课 这件衣服怎么样	5
第十二课 骑自行车累不累	4
第十三课 一斤苹果多少钱	6

李晓琪曾经指出：提供足量的练习对于学生把汉语的规则知识转化为汉语的表达技能起着关键性的作用。有些教材的题型偏少，题量偏小，不能不说是一个明显的缺憾。但是练习的量也不是越多越好，超量过多，会给学生添加负担，产生为难情绪，会影响学生的学习积极性。学习读是为了懂材料，学习写是为了练习汉字、书写。表达能力对汉语听说课有非常大的关系。编者在练习题量是否合适也影响到学生练习汉语表达的积极性（李晓琪，2005）。表中可见，第一到第八课总体的练习题非常多，而从第九到第十三课减少了起来。这是因为前面八节课都设有发音练习，为了让学生多对声母、韵母和声调熟练一些。根据教案来看，学习者可以在这7周内把握好语音。

### 2.3 文化方面分析

学习者学语言的时候，必须同时了解语言背后所蕴含的文化内容。因此文化教学是语言教学中非常重要的内容，文化教学在对外汉语教学中的作用也越来越大。我认为在学语言的过程中缺乏文化内容，学习者在学习与交际中会产生文化障碍和交际障碍。而且，学生会感觉到无聊，对课文没有兴趣，影响到学生的学习积极性。李晓琪指出“教材的编写也逐渐体现出文化要素的教学，一方面，以文化为主题的教材应运而生，可称之为文化教材；另一方面，以语言为主题但以不同方式体现文化因素的教材也‘大行其道’（李晓琪，2013）。

表三 交际中文教材中所包含的文化内容

课题	主要内容
第一课	用“你好”打招呼和“再见”告辞
第二课	用“是”介绍人物、用“吗”问对方的家里人及亲戚
第三课	问候、用“什么”询问、中国有 56 个少数民族，汉语是汉族的语言，也是中国的主要语言
第四课	用“哪儿”询问地点
第五课	用“不”表示不经常，将不和不愿意
第六课	汉语的量词、“二”与“两”的同异
第七课	提问前用“请问”、拒绝或否定前用“对不起”、“有”与“没有”的用法
第八课	“贵姓”是很客气的问话，只用于第二人称。第三人称是：“他”（她）姓什么？、“你朋友姓什么”等。、中国人介绍自己时总是先介绍姓，再介绍名。介词“在”的用法
第九课	时间状语的位置“早上、上午、中午、下午、晚上”、“早饭、午饭、晚饭”的位置
第十课	用“谁、什么、哪儿、哪、几、多少”提问（找谁，指人和找什么，指东西）、结构助词“的”的用法
第十一课	形容词谓语句、“很、比较、非常”的用法、用“怎么样”提问
第十二课	“……的时候、……里”的用法、正反疑问句“是不是、有没有、动词+不+动词、形容词+不+形容词”
第十三课	“二”在钱数中的念法、一千以下的称数法、中国钱的计算、用“几和多少”提问

表中可见，文化所包含的与语法有很紧密的关系。学习者通过会话、替换练习、课文及小知识了解中国及汉语的特点。笔者按照上面所述的内容进行中泰语法进行对比。非常明显的相同点是“什么”“是”“吗”“不”“请问”“对不起”“有与没有的用法”“谁、什么、哪儿、哪、几、多少”提问、是形容词谓语句、“怎么样”正反疑问句、“几”等用法及语序。汉语有泰语也有，可是语序不一样的有“时间状语的位置”“三顿饭的称呼法”的位置“结构助词“的”“很、比较、非常”“……的时候、……里”、问价方式、“多少”等语法及语序。除了学习者更好地掌握语序，还能了解语言里面包含着的悠久文化。按照中国人的交际习惯，常常会问倒年龄、工作和家庭等私人问题，以便拉近彼此之间的距离（洪美晶，2011）。第八课“贵姓”和他”（她）姓什么？，泰国人一般都会用“你，您或者他（她）姓（姓氏）什么”一句。泰国人和中国人都有这种概念，但是为了让学生能超越各种尴尬，教师应该讲解中泰交际文化的这一相同点。

### 3. 教学方法及特点

在听说课教学中运用的主要教学方法以听录音（生词，对话）、讲解生词、课文和课堂活动为主。

表四 教学方法及特点

课时	讲解内容	讲解时间
3	语音	20
	生词	50
	对话	70
	语法	15
	练习	15
	文化	10

### 3.1 词汇方面

词汇方面是教师要讲得第一部分，因为包括了解释语音内容，所以该内容教师要用比较长的时间。教师先放录音，学生跟着录音读两遍，最后教师为了考察学生的生词理解会选出几个生词请学生造句。如果教师发现学生造的句子有错误，教师会立即纠正。但是因为上课的学生众多，课堂时间也有限，所以教师不可能挨个抽查所有学生，自然也就不能了解到是否所有学生都熟练掌握了。然而，笔者运用会话来考察学生是否能够用言语来表达以及每次上新课前进行听写考试。

### 3.2 课文方面

课文作为一种具体的语境，集中体现了教学的语言知识和信息内容。课文的信息的内容关涉到一定的话题，体现出一定的功能，还包含着一定的文化要素。听说课的特点是课文，而且，课文以话题为主，语体是口语。该内容老师用 60 分钟来进行教学，分为教师讲解 25 分钟，学生间进行和同班同学会话 35 分钟。首先，教师带学生读生词，学生跟读，学生跟着录音读。放好录音后，教师用母语解释对话内容。

### 3.3 语法方面

该部分授课时间为 15 分钟。老师讲语法的时候，是按照课文里面的语法结构讲的。主要解释语法结构、语法的意义和如何使用语法。同时，老师会在课堂上选出常用的语法结构来让学生造句。然后老师会请有意愿的学生读自己造的句子，如句子有错误会立刻纠正。课后教师让学生按照每一章的语法点造句作为作业，每一个结构造两个句子。老师解释语法的时候，一般都用母语或者说一句汉语翻译一句泰语。

### 3.4 练习方面

每一次上新课前，老师都会展示几份优秀家庭作业（课后练习）并用母语解释为何该作业做得好，学生既激动又期待下一节课，希望自己写的作业能够得到优秀。同时，老师把批改后的作业交给每位学生。该部分老师用 15 分钟。练习可分为课内练习和课后练习，具体又分为课文理解和书写练习。课文理解主要根据情景对话读、听和回答问题，这一个练习老师在课堂进行，练习学生的听力和口头表达能力。该部分以听完以下会话，回答以下问题为练习题型。书写练习，老师主要让学生用所给对话情景，完成自己的对话、答案或报告，这一练习，一般作为家庭作业。教师可以采取布置录音作业的形式

来对学生的问题专门进行课后训练。教师可以通过布置录音作业，确保学生在课后能够进行训练。教师则可以通过评优奖励的办法，前面提到的作业展示就是其中一例。

### 3.5 文化方面

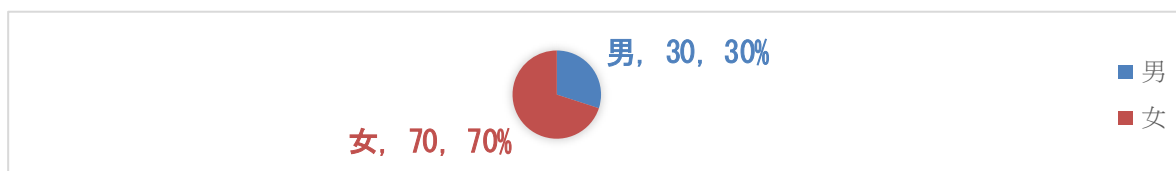
无论学习哪门外语，都应该先了解那个国家的历史及那个国家的文化背景。中国历史悠久，文化丰富，因此学习汉语应该了解中国文化和中国历史。每一课的文化点，编者编写的思路主要是让学生除了学会语言知识外，还可以通过文化点更加了解中国文化。每一个文化点围绕着课文内容。该部分由泰国籍老师授课，用时 10 分钟。

## 4. 调查对象分析

本研究的调查对象来自泰国博仁大学中文专业一年级的学生，总共 120 名学生，分为四个班级。

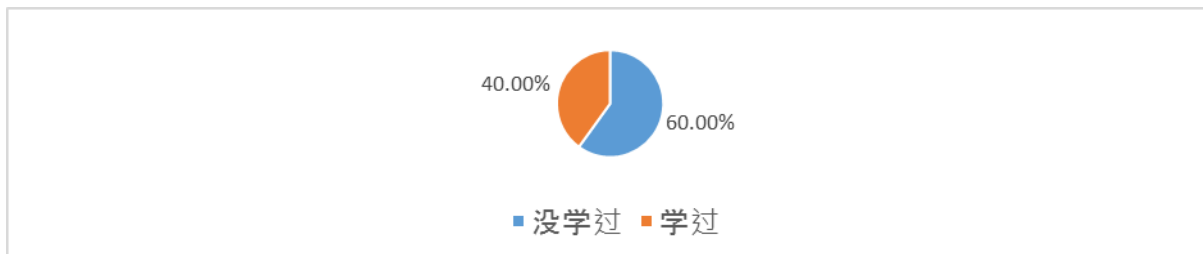
### 4.1 问卷调查对象

笔者于 2018 年 10 月期间采用问卷调查方法调查了《ZH100 交际中文》，已发出问卷共 120 份，收回共 100 份，有效问卷 98%，发放问卷调查时间为 2018 年 10 月 8 日，

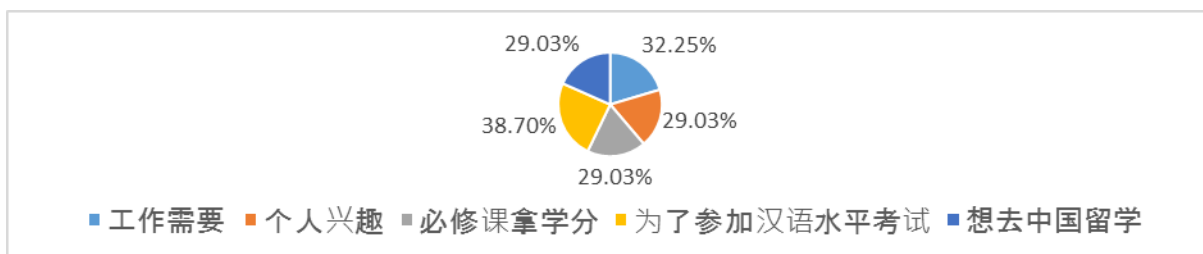


包括学生的基本信息和交际中文课需求分析，详细的研究结果如下：

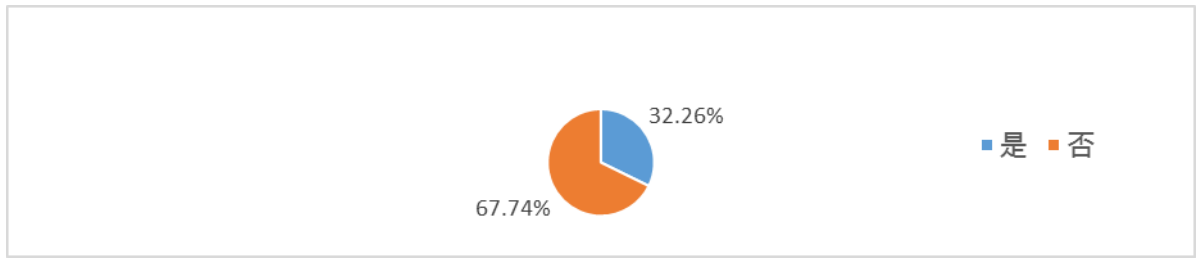
图一 《ZH100 交际中文》学生性别



图二 《ZH100 交际中文》学生的基础



图三 《ZH100 交际中文》学生的学习目的



图四 《ZH100 交际中文》学生参加新汉语水平考试

一、您认为在大学一年级设置交际中文课是否必要？

①非常必要② 必要③ 没影响 ④ 不必要

如有必要,您认为交际中文课每周几学时比较合适？

一学时 二学时 三学时 四学时

表五 本科初年级需求

本科初年级需求	非常必要	必要	没影响	不必要
	(70%)	(30%)		
	一学时	二学时	三学时	四学时
		(36.67%)	(16.67%)	(46.66%)

二、通过交际中文课程的学习，您的听说能力提高程度、对交际中文课在接受程度

①非常喜欢② 喜欢③ 不喜欢④ 很不喜欢

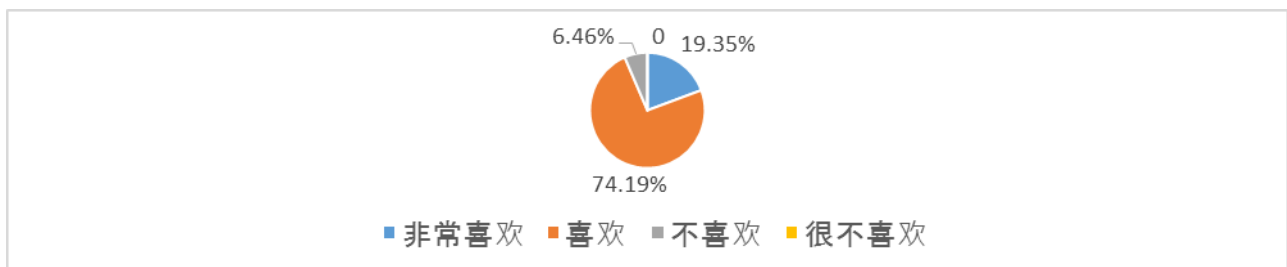
如果“不喜欢、很不喜欢”，理由是

①讲课方式

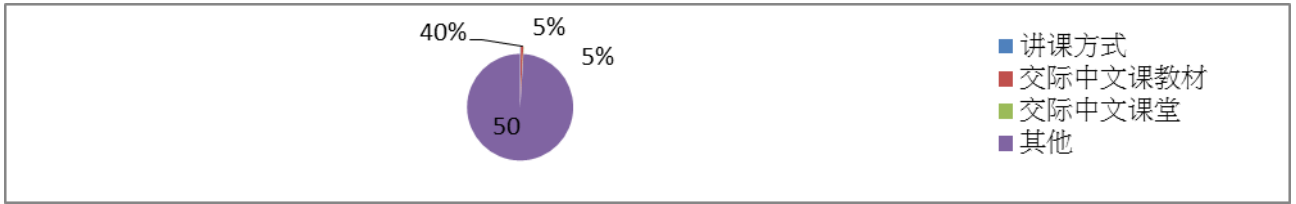
②交际中文教材

③交际中文课堂

其他



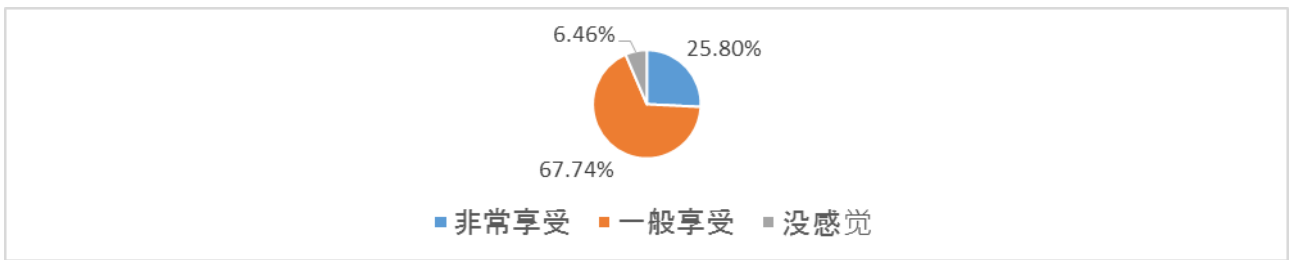
图五 对交际中文课在接受程度



图六 不喜欢的理由

三、您享受交际中文课的过程吗？

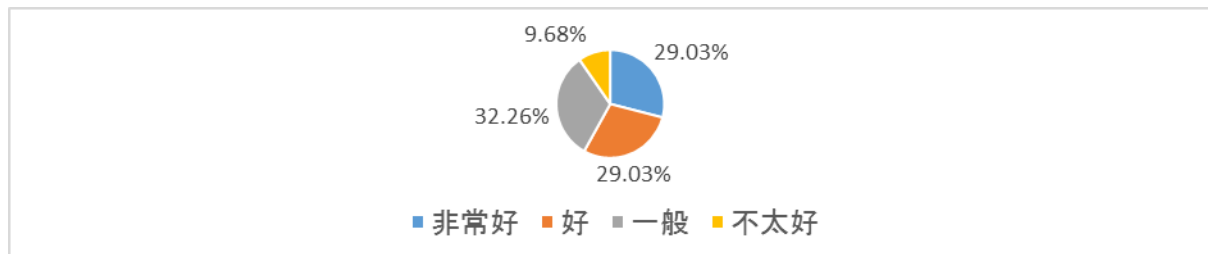
- ①非常享受 ② 一般享受 ③ 没感觉



图七 享受程度

四、您觉得交际中文课课堂情况怎么样？

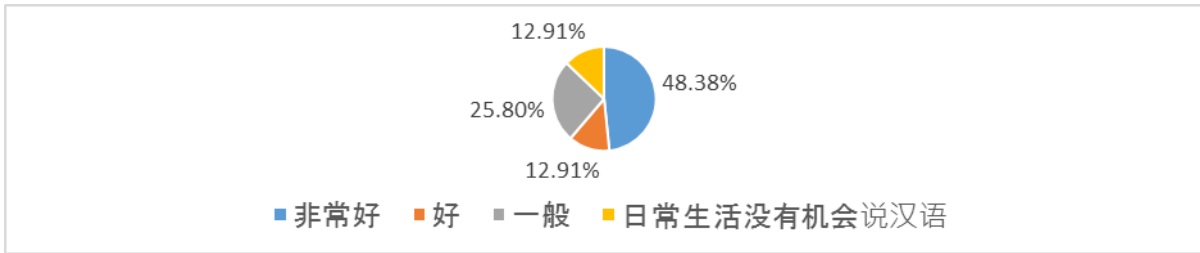
- ①非常好，老师在课堂上为学生准备多种多样的汉语听说话题练习，同学在课堂上能够得到大量的汉语口语练习  
 ②好，师生有很好的互动  
 ③一般，老师讲解生词、会话、课文，让学生做练习  
 ④不太好，基本上在课堂里面没有任何特别的教学



图八 课堂情况

五、您觉得周围的汉语语言环境如何？（在学校，课余时间，在家，在工作的地方）

- ①非常好，学习环境易于练习汉语口语  
 ②好，总有机会用汉语  
 ③一般，偶尔说汉语  
 ④基本在日常生活中不说汉语



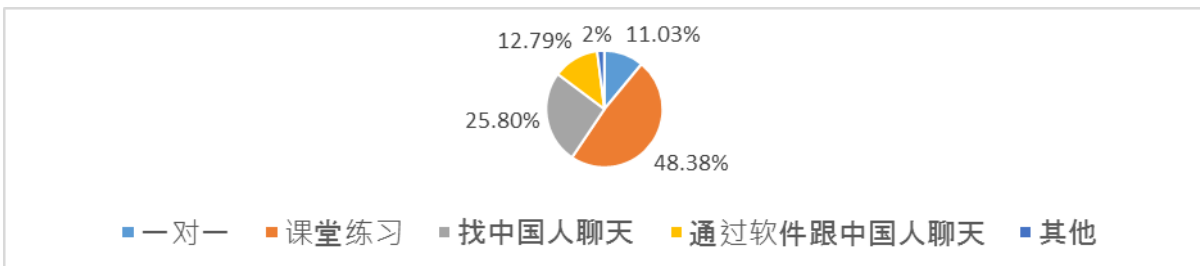
图九 学生汉语语言环境分析

六、您比较喜欢哪个交际中文练习方式？

- ①一对一的练习
- ②通过课堂形式练习
- ③找中国朋友聊天
- ④通过微信或者 QQ 跟中国朋友聊天（可多选）

4.1 语音聊天 4.2 视频聊天 4.3 拼音输入法聊天

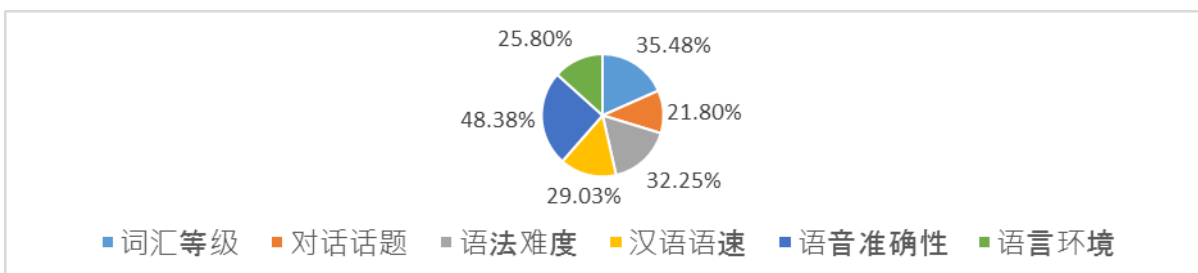
- ⑤找中国人聊天
- ⑥其他



图十 交际中文练习方式分析

七、对您来讲，影响交际中文练习的因素有哪些？（请写出 1、2、3、4、5、6 为重要程度,1 为最重要，依此类推）

- 汉语语速
- 词汇等级
- 对话话题
- 语法难度
- 语言环境
- 语音准确性



图十一 影响交际中文练习的因素分析



八、对您来说,影响您交际能力提高最大的障碍是什么?(可多选)

- ①老师比较注重教材上的语言功能(比如;生词,语法),不太重视汉语交际技能的训练
- ②老师比较注重汉语笔试,不太重视教听力和口语
- ③老师较为习惯按照书上的内容来教,不太常用用交际中文辅助的教学工具(比如;录音机、视频等其他相关教学媒体)
- ④该交际中文教材不能完全地激发您的学习兴趣
- ⑤老师较为注重发音标准,注重语音方面的练习,不太注重语言交际功能,进行口语练习。
- ⑥词汇量较大,学习负荷过重。
- ⑦超纲词汇过多,并且这些词汇跟学过的没有较为紧密的联系
- ⑧该教材的汉语语法点过难,影响了实际的交际表达,以及汉语表达的正确性。
- ⑨个人汉语语音的障碍(比如; zhi chi shi ri, zi ci si ,yü),发音的时候没有信心
- ⑩自己性格内向,不爱说话/交流,没有信心
- ⑪语言环境,周围说汉语的人太少
- ⑫没有把听、说练习当作汉语学习的重要环节

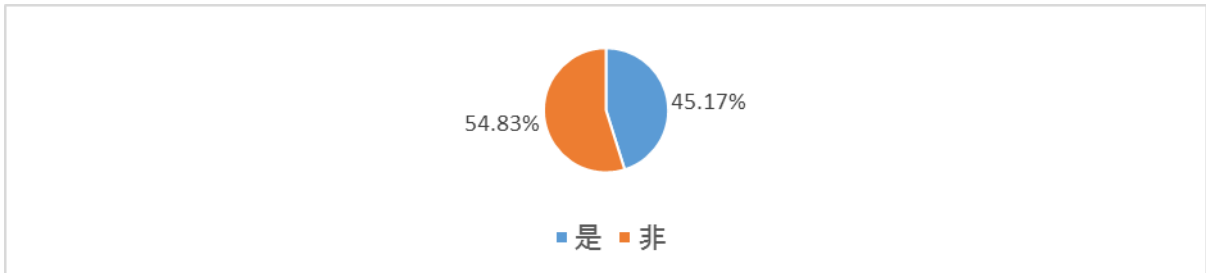
表六 影响您汉语交际能力提高最大的障碍

提高汉语听说的障碍	占总数百分比(%)
1. 词汇量较大,学习负荷过重。	(61.29%)
2. 语言环境,周围说汉语的人太少。	(29.03%)
3. 自己性格内向,不爱说话/交流,没有信心	(25.80%)
4. 该汉语听说教材不能完全地激发您的学习兴趣	(22.58%)
5. 超纲词汇过多,并且这些词汇跟学过的没有较为紧密的联系。	(19.35%)
6. 个人汉语语音的障碍(比如; zhi chi shi ri, zi ci si ,yü),发音的时候没有信心。	(16.12%)
7. 没有把听、说练习当作汉语学习的重要环节老师较为习惯按照书上的内容来教	(12.90%)
8. 该教材的汉语语法点过难,影响了实际的听说表达,以及汉语表达的正确性。	(9.67%)
9. 老师比较注重汉语笔试,不太重视教听力和口语	(9.67%)
10. 老师比较注重教材上的语言功能(比如;生词,语法),不太重视汉语听说技能的训练	(9.67%)
11. 老师较为习惯按照书上的内容来教,不太常用用汉语听说辅助的教学工具(比如;录音机、视频等其他相关教学媒体)	(3.22%)

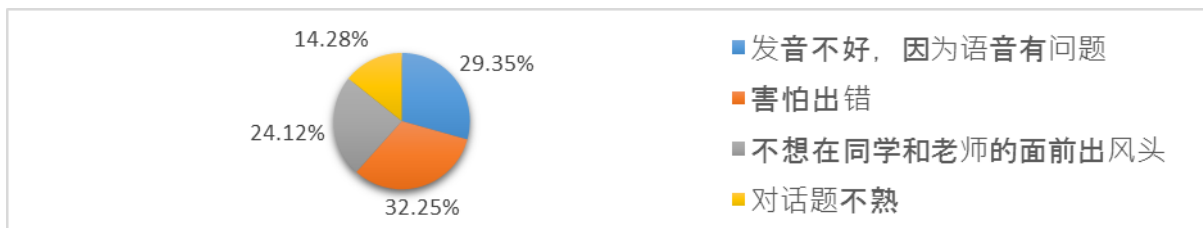
九、如果在课堂上，老师要同学主动回答问题、主动发言，您会主动回答问题吗？  
是 非

如果不是，原因是？

- ①发音不好，因为语音有问题
- ②害怕出错
- ③不想在同学和老师的面前出风头
- ④对课堂所学不感兴趣
- ⑤对话题不熟，包括词汇不足



图十二 课堂学习反应程度



图十三 在课堂不反应的原因

十、您认为以下哪些方法对提高听、说能力方面有帮助？

- ①听汉语歌曲
  - ②做听力练习
  - ③增加词汇量
  - ④背语法点
  - ⑤看汉语电影、看汉语预告片、汉语动画片、电视剧
  - ⑥多阅读，通过各种各样的方法增加中国各个方面的知识
- 其他方法，请补充

表七 对提高交际中文能力有帮助

对提高汉语听说能力有帮助	人数	比例
看汉语电影、看汉语预告片、汉语动画片、电视剧	14	45.16%
做听力练习	11	35.48%
增加词汇量	15	48.38%
背语法点	6	19%
听汉语歌曲	19	61.29%
多阅读，通过各种各样的方法增加中国各个方面的知识	10	32.25%

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# 中国文学泰译历史时期划分及命名问题探析

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## 摘要

随着中国国际影响力的提高,汉学研究逐渐成为泰国研究的显学,中国文学泰译研究也成为汉学研究中的热点,但中国文学泰译研究中,存在着中国文学泰译热潮时期划分比较混乱,顺序不一致,命名标准不统一等问题,既有按公元时间进行划分的,又有按泰国国王世代划分,亦有按文学作品类型进行划分等等。为了解决中国文学泰译热潮时期划分及命名混乱,标准不统一的问题,提出新的中国文学泰译时期划分和命名方法,使中国文学泰译热潮时期其划分及命名标准能够统一,使中国文学泰译研究能够规范化和标准统一化。本研究通过对研究中国文学泰译热潮时期划分的文献资料进行收集、分析和对比研究,提出了新的标准统一的时期划分和命名方法,以对中国文学泰译历史的研究提供一些参考和帮助。

**关键词:** 中国文学; 泰译历史; 时期划分; 命名标准

## 1. 引言

中泰两国交流交往的历史最早可以追溯到西周时期。据东晋王嘉(字子年)在其著作《拾遗记》卷二记载,周成王即政七年时,“南陲之南,有扶娄国。其人善能机巧变化,异形改服。大则兴云起雾,小则入于纤毫之中。缀金玉毛羽为衣裳。图云喷火,鼓腹则如雷霆之声,或化为群犀、象、狮子、龙、蛇、火鸟之状,或变为虎兕,口中生人。备百戏之乐,婉转屈曲于指掌间。人形或长数分,或复数寸。神圣忽,绚丽于时,乐府皆传此伎,至末代犹学焉。得粗亡精,代代不绝,故俗谓之婆猴伎,则扶娄之音,讹替至今。”据历史学家考证,这段记载中的扶娄国是位于现在泰国春武里府地区的一座古城池。史籍中对中泰交往和文化交流有明确记载是从汉唐时期开始,到明朝时期,两国交往达到顶峰。最频繁时,泰国曾一年6次派使者访问中国。中国清朝时期,曼谷王朝拉玛一世在位的27年间,曾22次派遣使者访问中国,也正是拉玛一世时期,泰国开始翻译中国的文学作品。

一世王下令让昭帕亚帕康·洪负责主持翻译了《三国演义》,《三国》泰文版本问世后,在泰国引起了轰动,从而引发了一场翻译中国古典文学的热潮。之后,大量的中国古典文学作品被翻译成泰文。由于这一时期的翻译热潮是由翻译《三国演义》引发的,所以这一翻译热潮时期,常被学者们称为“三国”时期或“中国历史演义时期”。

在中泰两国政府关系中断期间,两国民间的经济文化交流从来没有中断过。两国之间的文化艺术、教育和体育方面的交流也比过去有所增加。中国现代文学作品在二战后开始被介绍到泰国。其中以鲁迅的作品影响最大。特别是鲁迅的《阿Q正传》被翻译成泰文后,在泰国社会引起了强烈反响,因此,泰国学者将这一中国文学翻译热潮时期称作“鲁迅时期”或“渴求认识中国”时期。这一时期还有茅盾的《子夜》、巴金的《家》、曹禺的剧本《雷雨》(曾用泰语搬上舞台)等数十部作品被翻译成泰文出版。

以鲁迅为代表的中国现实主义文学泰译热潮到上个世纪八十年后便逐渐衰落。由于泰国经济的迅速发展,以及人民生活水平的提高。社会民众更注重精神上的娱乐,而武侠文学作为通俗文学的代表,消遣性和娱乐性是其主要特征。1957年金庸先生的《射雕英雄传》被翻译成泰文后,受到泰国社会各阶层读者的欢迎和喜爱,这类新派武侠小说作品风靡一时。翻译中国新派武侠小说作品的热潮席卷整个泰国社会。由于这一翻译热潮时期主要以武侠类文学作品为主,所以也被称为武侠小说时期或“功夫热”时期。

而中泰国学者在研究中国文学泰译时，也会根据自己的想法和标准对各个中国文学泰译热潮进行不同的时期划分和命名。以上提到的《三国》时期、“鲁迅”时期和武侠小说时期，是目前中泰学界在研究中国文学泰译热潮时，使用最广泛和使用最频繁的一种时期划分和命名方法。这种方法使用起来比较简洁和方便，同时也体现了中国文学泰译各个阶段的内容和特点。但这种命名方法存在着命名标准不统一的问题。第一个翻译热潮时期被称为《三国》时期，是使用当时翻译的主要文学作品《三国演义》来命名的；第二个翻译热潮时期被称为“鲁迅”时期，是以当时翻译的最主要的文学作品的作者来命名的，第三个时期被称为“武侠小说时期”，是以当时翻译的主要的文学作品类型来命名。本研究对有关中国文学泰译历史的文献资料进行梳理和研究，并针对这一问题提出自己的解决建议和方法，以使中国文学泰译各历史时期的划分和顺序统一，命名标准一致，从而为中泰文学泰译研究工作更规范化更标准同一化提供参考依据。

## 2. 文献综述

### 2.1 中国文学泰译史研究

李健（2006）在《泰国皇家文学》通过概念阐述，文献研究的方法阐述了皇家文学的概念，判定标准，并介绍了皇家文学中翻译中国文学的历史概况及作品。并于2008年在另一篇论文《论翻译在泰国文学史上的地位和作用——以近代文学为中心》中，运用文献研究的方法，介绍了泰国近代文学史上的三次文学翻译热潮，即印度文学和佛经的翻译，中国文学翻译和西方文学翻译。并指出泰国文学是在翻译文学的影响中逐步成长的。但作者并未对中国文学翻译各历史时期的划分问题进行深入论述。

饶芈子教授（1999）在《中国文学在东南亚》一书中全面介绍了中国文学在越南、老挝、马来西亚、泰国等等东南亚国家的流传情况。其中第七章专门介绍了中国文学在泰国的翻译流传及影响。其中包括首先论述了古典文学的泰译及其影响，并详细论述了《红楼梦》在泰国的流传及研究情况。其次论述了中泰文学互译和武侠小说的在泰国的翻译。最后，论述了以鲁迅为首的现实主义文学在泰国的翻译流传及影响情况。作者只对中国文学在泰国传播的各时期作品及影响进行研究，同样没有对各时期的划分标准问题予以研究。

张兴芳（1991）在《泰国文坛的中国文学》论文总对中国文学泰译历史的分期情况作了详细论述。作者将中国文学泰译历史分为六个时期，分别：古典演义小说泰译时期，改编和仿写时期，从英文翻译中国文学时期，现代文学泰译时期，武侠文学热和政治讽刺小说和旅泰华人生活小说时期。作者虽然对中国文学泰译的历史时期进行详细的划分和研究，但作者对各个时期的划分及命名标准，是参考了前人的研究成果，并结合自己的标准和想法，对中国文学泰译历史划分为六个时期，但在时期划分和顺序以及命名标准方面依然存在着标准不统一问题，作者并未对该问题进行主要提出和论述。

### 2.2 中国文学泰译专项研究

黄汉坤（2007）在《中国古代小说在泰国的传播与影响》论文中论述了古代小说在泰国的传播方式，泰译古代小说的形成发展，中国古代小说对泰国文学和演出艺术，宗教和壁画艺术的影响等内容。该作者在研究中主要论述了中国古代小说泰译时期的泰译作品及对泰国各个方面产生的影响。而在研究中，作者将该时期泰译的文学作品称之为中国古代小说，这一称呼虽然所之内容与其他研究者命名是一致的。但作者的命名是按照自己的标准对这一时期命名，并未用前人的命名或最普遍的命名“三国时期”。这也显现出了中国文学泰译的历史时期划分及命名的混乱和标准不统一。

吴琼（2004）通过《两汉故事源流研究——以明清时期的发展形态为中心》，主要论述了《西汉演义》在泰国的翻译及流传情况，同时分析了《西汉演义》对泰国泰语文学的影响。

谢玉冰（2002）在硕士论文《中国古典小说的翻译对泰国文学发展的影响》中以泰译本《三国》为个案作为研究对象，对中国古典小说在泰国的翻译概况、对泰语文学的影响、流行因素等方面进行了系统而深入的研究。两位作者以某一部文学作品为对象，研究了中国古典小说对泰国产生的影响。虽然学者谢玉冰以《三国》为研究对象，对中国小说在泰国的翻译概况对中国文学泰译历史时期进行了划分，但作者的历史时期划分和命名依旧是按照自己的标准进

行的，而且时期划分和命名与前人的划分方法和命名有很多不统一的地方

总之，对中国文学泰译历史的研究正在成为东南亚研究中的热门研究领域。但前人的研究，多是对某一文学作品的传播、影响的研究。对中国文学泰译历史的研究也是以某一作品或某一类文学作品为主。对中国泰译历史时期的划分主要是以中国文学泰译在泰国掀起的几次翻译热潮为标准。但不同的学者对中国文学泰译历史时期的划分时间、顺序和命名标准并不一致。所以本研究，将以中国文学泰译历史时期划分和命名标准为研究对象，通过分析和对比前人的研究成果，指出中国文学泰译历史时期划分和命名存在的问题，并对这一问题提出自己的解决方法，以供参考。

### 3. 研究目的

为了解决中国文学泰译热潮时期划分及命名混乱，标准不统一的问题，运用文献分析和对比的方法，探讨中国文学泰译热潮时期划分混乱及命名标准不统一的问题，并针对该问题提出标准统一且能凸显各时期特点的命名方法。使中国文学泰译热潮时期其划分及命名标准能够统一，使中国文学泰译研究能够规范化和标准统一化。

### 4. 研究方法

对研究中国文学泰译热潮文献进行梳理，通过文献分析的方法，寻找解决中国文学泰译热潮时期划分混乱及命名标准不统一等问题的方法。

#### 4.1 中国文学泰译热潮的时期划分及命名概况

对于中国文学泰译热潮的时期划分及命名，多数学者都按照自己的标准进行的。泰中两国还没有权威的学者或机构对于该问题进行专门的研究和标准提出。这使得中国文学泰译历史在时期划分及命名时处于以纷繁芜杂、众说纷纭、混乱不堪的状态。为了使研究中国文学泰译历史更加方便和规范化，有必要对中国文学泰译热潮的历史时期划分及命名标准进行统一，结束学者们“各行其是”“各自为政”的混乱局面，以有利于对中国文学泰译历史进行统一的和规范化的研究。

首先来看一下对于中国文学泰译热潮都有哪些时期划分和命名方法。

泰国学者威奈·戌柿(1993)在学术文章《从昔日至今——谈中国文学在泰国》中的第一部分讲到“中国文学开始被介绍到泰国时期”时，他将中国文学泰译的两百多年历史分成五个时期：

“第一个时期，即历史演义小说盛行的时代，自叻打纳歌盛一世皇朝时代，（大约在佛历二三四八年，公元一八〇五年前），中国历史小说“三国演义”即被翻译编撰为泰文，直至约莫在第二次世界大战期间，对历史演义小说的创作已渐趋衰落，此一时期可分为两个阶段，即第一阶段自开始翻译并写进昔时的树皮纸簿而开始由印务局印制成书，第二阶段，是中国的小说被刊登报刊时期，时大约在佛历二四六四年至第二次世界大战。

第二个时期，即自第二次世界大战后直至大约佛历二五〇〇年，此一时期是中国历史演义小说或是以历史为创作背景的小说趋于式微及缺乏吸引力的时期。而代而兴起者为新时代小说，有长篇小说、短篇小说、散文集诗歌以及政治思想、哲学，以马克思路线的文艺理论等，此一时期中国传入泰国的形式已有所改变，即由直接译自中文或英文原著，而不像第一时期用讲述或编撰的方式。

第三时期，即自二五〇一年以来，是武侠小说被介绍及泰国读者时期，第一部被翻译为泰文的武侠小说为金庸所著的‘射雕英雄传’，泰文译者针隆·披沙那卡及巴允·披沙那卡，武侠小说在泰国流行近三十年之久，直至近几年来才失去其吸引力。

第四时期，即渴求认识中国时期，此段时期有二五一六年（公元一九七三年）稍前的时间，此一时期对介绍中国文学的一个重要事件就是：佛历二五一七年六月二十三日至二十九日法政

大学学生机构假法大礼堂举办“红色中国展览会”。……此一时期至二五一九年“十月六日”事件之后而告结束，有关中国的此类书籍已成禁书。

第五时期：即多样化时期，此一时期肇起于二五一九年“十月六日”事件之后不论是已在两份大报作强烈竞争的武侠小说，或是“道的禅思”……其销途甚广，……这是中国新时代的新诗，长短篇小说及散文也被大量译成泰文，还有兵法书籍及成功的生活谋略等书。”

再来看看另一位泰国学者威哇·隆宛塔纳翁是如何给中国文学泰译历史分期和命名的。

在威奈·朋斯卞博士(1989)主编的《泰中文化艺术研究》论文集中收录有威哇·隆宛塔纳翁先生的一篇题为《对泰国泰中文学翻译的一些看法》的论文，在这篇论文中，威哇·隆宛塔纳翁先生是这样为中国文学泰译分期和命名的：

“总而言之，中国文学泰译可以按照时间进行如下简单的分期。自（曼谷王朝 笔者加）一世王至六世王这段时期是翻译中国历史演义小说的时期。自（曼谷王朝笔者加）六世王至第二次世界大战时期是翻译和模仿创作中国历史演义小说的时期。大约从佛历 2487 年（公元 1944 年笔者加）起到现在这段时期是从英文译本翻译中国文学的时期。大约从佛历 2484 年（公元 1941 年 笔者加）起是创作杂糅有关中泰之间各种故事为内容的文学时期。翻译中国武侠小说时期大概是以佛历 2500 年（公元 1957 年笔者加）为起点的。”

泰国学者谢玉冰女士(1996)在其硕士论文《〈西游记〉在泰国的研究》中曾经也谈到了对中国文学泰译的分期。谢玉冰女士在论文中对中国文学泰译的分期也是按照时间进行的，但是论文中并没有详细论述有关这一分期的具体情况，只是简单的以译本的性质与时代背景为标准，将中国文学泰译分成了如下四个阶段：

“……仅以中国文学在泰国各种译本的性质，与各时代背景结合，将中国文学流传发展过程，分为四个阶段：

一)、泰译《三国演义》与十八世纪泰国翻译的中国文学作品（阿犹塔亚末年至曼谷皇朝初期）。

二)、十九世纪之泰国的中国文学（泰皇二世时代至泰皇五世时代）。

三)、二十世纪上半叶之泰国的文学（泰皇五世末年至泰皇六世时代）。

四)、西元一九五五年后的文学风气（泰皇七世时代至今）”

此外，泰国的另外一个学者宛妮·普塔珍通(1991)在著作《曼谷王朝翻译文学的发展》中，是按照国王世道来划分时期对曼谷王朝的文学翻译进行论述的。其中自然而然地包含中国文学泰译的内容。所以也可以将宛妮·普塔珍通的这种分期方法，看作是对中国文学泰译进行分期的一种方法。

宛妮·普塔珍通在书中作者将曼谷王朝一世到五世作为第一个时期，这个时期主要是翻译了 34 部中国历史演义小说。第二个时期是曼谷王朝六世到七世，这一时期主要翻译的依然是以中国历史演义为主，并出现了泰国的模仿创作的中国历史演义小说。第三个时期就是现在主要是以翻译中国武侠小说为主的时期。宛妮·普塔珍通在书中也是通过这三个时期来阐述曼谷王朝时期中国文学泰译的情况的。

泰国另一学者吉拉答亚·素瓦提袞，在其著作《泰国当代文学》中，将中国文学泰译这两百多年的历史，只简单的划分为两个时期，即佛历 2475 年（公元 1932 年 笔者加）以前的中国文学泰译和佛历 2475 年之后的中国文学泰译。

中国学者张兴芳(1991)在《泰国文坛的中国文学》论文中将中国文学泰译历史分为如下几个阶段。

“泰国文坛的中国文学作品出现可以追溯到曼谷王朝一世王时代（1782 — 1809），根据作品内容类别和时间先后，共出现 6 次热潮。

第一次热潮，自曼谷王朝一世王时代至六世王时代（1782 — 1925）。这一时期，泰国文人大量翻译了中国史事文学，大多为古典演义小说，译作一般由翻译倡导赞助人、译者、整编者和文笔润饰者合作完成。

第二次热潮，自曼谷王朝六世王时代至二次世界大战战火蔓延至泰国时（1910 — 1941）。这一时期，泰国文人继续翻译中国史事文学作品，并开始改编和仿写。

第三次热潮,约自 1935 年开始,共延续了十多年。这一时期,泰国文人主要翻译非中文版的中国文学作品。当时,中国历史题材的文学作品在泰国已开始饱和,而西方通俗小说又开始大量传入泰国。受此影响,一些精通英语的泰国文人开始翻译西方作家创作和翻译的中国文学作品,使泰国文坛的中国文学有了新的内容。

第四次热潮,约自 194 年起,延续至 80 年代,这一时期,泰国文坛出现一批促进中泰两国人民相互理解、消除两个民族误会的作品,这些作品对促进和巩固中泰两国的传统友谊起了积极作用。此外,中国现代文学作品开始涌入泰国,还出现一些取材于中国民间传说的创作。

第五次热潮,约自 1957 年兴起,且至今不衰。这一时期,泰国文坛出现中国武侠文学热,又称“功夫”热。

第六次热潮,约自 1967 年开始,并延续至今,这一时期,泰国文坛出现一批借用中国历史题材的政治讽刺小说和描写旅泰华人生活的小说。

最后,我们再来看看在中国学者中普遍流行的一种分期方法。学者潘远洋在他的一篇题为《泰国文学史上的“中国热”》中,对中国文学泰译的历史进行时期划分。他的这种分期方法在学术界有一定的代表性,很多学者也都采用这种分期方法。

“泰国文学史上的“中国热”具体可分为三个时期。

第一个时期,又叫“《三国》”时期。始于 19 世纪初。……第二时期,也叫“鲁迅时期”。……第三个时期,是伴随着武侠文学而来的“金庸”和“高林”(音译)(笔者注 高林其实就是我们熟悉的古龙)时期。

## 4.2 中国文学泰译热潮的时期划分存在的问题

### 4.2.1 时期的划分时间及顺序不一致

威奈·戍柿先生在这篇文章中按照翻译中国文学的内容将中国文学泰译分成了五个时期并分别称为“历史演义小说盛行的时代”、“中国历史演义小说或是以历史为创作背景的小说趋于式微及缺乏吸引力的时期”、“武侠小说被介绍及泰国读者时期”、“渴求认识中国时期”“多样化时期”。这种时期划分起止时间非常清晰明了,命名也符合时代特点,但缺点是时期划分过于详细,如第一个时期与第三个时期作者又分出来了一个“历史演义小说式微,新时代小说兴起的时期”,其实这一时期是与第四个时期相联系的,是第一个时期“历史演义小说”衰落后,第四个时期“渴求认识中国时期”的萌芽阶段。所以不必将其单独列为一个时期。再者第三个时期“武侠小说时期”与第四个时期“渴求认识中国时期”顺序有些颠倒,由时间上可以看出,第三个时期出现的时间比较早,且持续的时间较长,第四个时期出现的时间晚,且持续的时间短。作者将第三个时期与第四个时期顺序颠倒,完全是按照起始时间安排的,而不是按照翻译达到热潮的时间安排的,第三个时期“武侠小说”时期的萌芽或兴起时间比第四个时期“渴求认识中国时期”出现的要早,但达到翻译热潮的时间要晚,因为第四个时期在 2519 年后就进入了衰落或进入了低潮,而第三个时期的热潮一直持续到了 2531 年之后,才开始进入衰落时期,所以将“武侠小说时期”放在“渴求认识中国时期”之后会更合适。

威哇·隆宛塔纳翁先生同样是将中国文学泰译的历史分为五个时期,其中某些时期的划分与威奈·戍柿先生的分法相同。而有些分法却是不同的。第一时期“历史演义小说时期”,在起始时间上两位学者看法基本相同,即从曼谷王朝一世王时代开始,但在结束时间上有些出入,威哇·隆宛塔纳翁先生认为是到曼谷王朝六世王(在位时间为 1880 年—1925 年)时期结束,而威奈·戍柿先生则认为是到二战(1939 年—1945 年)期间结束。第二个时期的划分上,威哇·隆宛塔纳翁先生将泰国作家模仿中国历史演义小说或以中国历史为背景创作历史演义小说的阶段,单独列为一个时期,而威奈·戍柿先生则将其归为历史演义小说翻译时期。威奈·戍柿先生划分的第二个时期,由英文翻译中国文学作品的时期,则为威哇·隆宛塔纳翁先生划分的第三个时期。威哇·隆宛塔纳翁先生的第四个时期从起始时间上看,则是威奈·戍柿先生的第二个时期。而威哇·隆宛塔纳翁先生划分的第五个时期“武侠小说时期”,与则是威奈·戍柿先生的第三个时期“武侠小说时期”在时间起点上是一直的,命名也是一样的。但从总体上看,两位学者对中国文学泰译热潮的时期划分是相左的,不一致的。特别是对中国文学泰译热潮出现的顺序上是完全不同的。这也体现出了两位学者在划分中国文学泰译热潮的时期时遵循的标准



是不一样的。

#### 4.2.2 时期的划分简单化，时间宽泛化

谢玉冰老师将中国文学泰译的历史划分为四个时期。且时期划分及命名上，与前两位学者都是不同的，谢玉冰老师的时间划分时以世纪为标准，并未具体到某年，并使用国王的世代作为辅助，这种时间划分方法对于读者来讲是难于精确理解的，首先世纪作为时间划分标准，太过宽泛，给人一种模棱两可的印象。即使用泰国国王世代作为辅助，依然没有一个清晰的概念。另外在中国文学泰译时期的命名上，分别用了“泰国翻译的中国文学作品”、“泰国的中国文学”、“泰国的文学”、“文学风气”等名称，并不能突出各个时期中国文学泰译各阶段的主要内容和特点，且划分标准也是与前两位的划分标准不同。

宛妮·普塔珍通的分期方法比较简单化，仅仅分为了三个时期，给人以简洁明了的感觉，但这一分期又过于简单化，将中国现实主义文学作品的泰译，即鲁迅等现代作家的作品翻译这时期予以忽略掉了，而是将“泰国人模仿创作中国历史演义小说”单独列为一个热潮或时期，这跟威哇·隆宛塔纳翁先生的分期方法相似。但笔者认为这种划分方法，过于看重泰国作家模仿创作中国历史演义小说的历史地位，从根本上说，其只是中国历史演义小说泰译过程中衍生出来的一个分支而已，是属于中国历史演义小说泰译这一主干中的。从另一个角度看，泰国人模仿创作的与中国有关或以中国为背景的历史演义小说并不能算作中国的文学作品。本身是由泰国作家创作的文学作品，且不是翻译自中国的作品，这些作品只是与中国有关而已，所以不能算作是中国文学泰译历史中的一个热潮。另外宛妮·普塔珍通使用的是国王世代作为时间的起止点来进行时期划分，在时间点的划分上比较宽泛，将历史分期简单化，给人一种模糊不明确的时间概念。

#### 4.2.3 将本土化创作及英文泰译活动作为中国文学泰译时期

张兴芳的这种分期方法在起止时间和命名等方面与威奈·戍柿先生的分期标准基本一致，但比威奈·戍柿的分期更为详细周全。而且与泰国学者匡迪·拉鹏的分期方法不谋而合。这有可能是张兴芳在写这篇文章时参考了匡迪·拉鹏的文章。所以张兴芳的这种分期方法具有很高的参考和借鉴价值，也更能体现中国文学泰译的历史发展过程和全貌，但这种划分和命名方法也有不足。如模仿创作中国背景的历史演义小说，其实是中国历史演义文学翻译热潮下的衍生品，是第一个翻译热潮时期的衍生分支，且从严格意义上讲，其不能单独列为翻译中国文学的就一个热潮，因为模仿创作的有关中国或以中国为背景的历史演义小说本身应该算是泰国本土文学，不是中国文学的翻译本。这在前面已说过，所以这一个热潮时期可以忽略掉。

另外第三个翻译热潮时期，是从英文翻译中国文学作品，虽然作品是中国文学作品或有关中国的文学作品，但从严格意义上将这种英文的文学作品应该算是英国翻译文学的一部分，所以不算是中国文学泰译的热潮。查明建（2004）认为“我们说翻译文学是译语文学的一个组成部分，并不仅仅是因为外国文学作品经过了翻译，在语言形态上有了改变，更主要的是，文学翻译受制于译语文化主体性的需求，无论是翻译选材、翻译过程还是译作的文学效应，都受到译语意识形态和诗学的操纵和影响。这样，译作已不是原来意义上的外国文学作品，而是融入进了译语文学系统中的具有独立文学品格的新的文学作品。”由此，这一时期的文学翻译可以归属于英语翻译文学泰译热潮或英语文学泰译热潮中更为合适。

#### 4.2.4 各历史时期命名标准不一致

学者潘远洋对中国文学泰译的历史时期划分方法，是目前研究中国文学泰译最流行和最常用的分期方法，这种分期方式简洁明了，同时也突出了各个时期的特点。但这种分期方法也存在着一个缺点，就是命名标准不统一。第一个时期是以文学作品作为命名标准的，第二和第三时期，又是以作者为命名标准。甚至在这种历史时期划分标准的影响下，衍生出了“《三国》时期”、“鲁迅时期”和“武侠小说时期”时期命名标准，而这种时期的命名标准同样存在着标准不统一的问题，《三国》时期是以作品命名，鲁迅时期是以作者命名，武侠小说时期则是以文学作品类型命名。所以这种划分方法也应该进行一些改进，将划分标准统一化。

总之，中国文学泰译是中泰文化友好交流交往史的一部分，把中国文学泰译的历史研究透彻了，对研究中泰文化交流和中泰关系的发展变化，也具有重要的意义。而目前中泰学者对中

国文学泰译历史的时期划分和命名比较混乱，各自有各自的划分方法和标准，这对中国文学泰译历史的研究会产生一些不利的影 响。所以对中国文学泰译历史的分期建立一个具有共识性的统一的标准，是非常必要的。这也是中泰学术界亟待解决的一个问题。

## 5. 研究结果

中国文学泰译历史时期划分及命名存在着各自为政，各行其是的混乱局面。特别是在历史时期的划分上，有的学者分为三个时期，有的学者分为四个时期，有的学者分为五个时期，还有的学者分为六个时期，这种不统一的时期划分，会给中国文学泰译历史研究带来一些障碍和困难。文学翻译活动不是静态存在的，文学翻译热潮的出现或形成是有一个从萌芽或产生到高潮到衰落的过程的，而且这个过程并不是孤立的，不是等一种类型的文学翻译热潮彻底的衰落，完全消失之后，另一种类型的文学翻译才出现或产生。前一种类型的文学翻译活动在产生或高潮或衰败的期间，另一种类型的文学翻译活动便已经出现，两者是杂糅在一起的。只是两种文学翻译活动所处的阶段不同而已。而且一种翻译热潮进入衰退期后，这种文学作品的翻译活动并不会完全消失不见，只是翻译的数量以及读者的关注度大幅下降而已，但翻译活动和读者还是零星存在的。

如泰国学者威奈·戎柿先生的分期就很好的说明这个问题。第一个时期是历史演义小说翻译，这是所有学者的共识，没有问题。但是泰国学者威奈·戎柿先生所说的第二个时期是模仿创作的历史演义小说式微，中国新时代小说，思想政治类作品，马克思主义作品被翻译成泰文。其实这个时期完全可以看做是第四个时期“渴求认识中国时期”文学作品泰译活动的产生时期或叫萌芽期。另外，威奈·戎柿先生将武侠小说时期，放在了第三时期，从时间上看，第三时期和第四时期时间是重合的，而第三时期的起始时间要比第四时期早，所以作者才将武侠小说翻译时期列为第三时期，“渴求认识中国”的文学作品翻译放在第四时期。这很清楚了说明了文学翻译热潮的出现是需要一个过程的，而且两种翻译活动是杂糅在一起的。

所以，综合上述学者关于中国文学泰译历史时期的划分，抛弃掉“模仿创作中国历史演义小说的时期”以及“翻译自英文的中国文学时期”后，并将威奈·戎柿先生所谓的“中国新时代小说，政治、哲学和马克思路线文艺理论翻译时期”看做是“渴求认识中国时期”的萌芽的话，同时将一个中国文学泰译的时期分为萌芽、高潮、衰退三个阶段的话，中国文学泰译的历史则可以大体上分为三个时期，这三个时期与潘远洋先生的划分方法基本一致。

第一时期从萌芽到衰退，一共经历了曼谷王朝一世王到八世王。即公元 1805 年左右到 1945 年左右。

第二个时期则是从二战后即公元 1945 年左右到 1985 年左右。

第三个时期是从公元 1957 年左右到 2008 年左右。

按照潘远洋先生对中国文学泰译历史时期的划分及命名方法，第一个时期被称为“三国时期”，第二个时期被称为“鲁迅时期”，第三个时期被称为“武侠小说时期”。这种划分及命名方法是目前学术界使用最普遍的一种。但这种命名方法也存在着问题，即命名标准不统一。第一个时期使用的是文学作品名来命名的，第二个时期使用的是作者名来命名的，第三个时期使用的是文学作品类型来命名的。虽然这种命名方式突出了各个时期的特点，但还需要考虑研究有没有既能够突出时期特点，标准有统一的命名方式呢？笔者认为，标准统一而又突出时期特点的命名是完全可以做到的。

通过分析发现，对于不同的历史时期，可以运用“代表作+文学作品类型”的模式来命名中国文学泰译的各个历史时期，这样既做到了命名标准的统一，又突出了各个时期的特点。第一个时期可以称之为“以《三国》为代表的历史演义文学泰译时期”；第二个时期为“以《阿 Q 正传》为代表的现实主义文学泰译时期”；第三个时期为“以《射雕英雄传》为代表的武侠文学泰译时期”。

## 6. 总结与讨论

中国文学泰译的历史自曼谷王朝一世王起，至今已经有两百多年的历史。但对中国文学泰译历史的研究中，时期划分比较混乱，没有一个权威的统一的时期划分方法，同时对各个时期的命名也各持观点。

目前使用最普遍的时期划分是划分为三个时期，即“三国时期”、“鲁迅时期”、“武侠小说时期”。但这种划分方法中存在着命名标准不统一的问题。

本文经过对相关文献的梳理和对比分析，参考最普遍的分期方法，并综合其他分期方法，提出了既能体现各个历史时期特点，命名标准又统一的方法，具体如下：

第一时期公元 1805 年左右到 1945 年左右是“以《三国》为代表的历史演义文学泰译期”。简称“历史演义文学泰译期”。

第二个时期则从二战后即公元 1945 年左右到 1985 年左右是“以《阿 Q 正传》为代表的现实主义文学泰译期”。简称“现实主义文学泰译期”。

第三个时期从公元 1957 年左右到 2008 年左右是“以《射雕英雄传》为代表的武侠文学泰译期”。简称“武侠文学泰译期”。

这种分期方法虽然解决了中国文学泰译各历史时期划分和命名标准不统一的问题，对各时期的起止点也进行了调整。但这只是一家之言，不具有权威性，也不能代表中国文学泰译研究领域的共识。希望日后能有更权威的，能够得到中国文学泰译领域学者公认的，标准统一的时期划分及命名方法，对中国文学泰译历史的研究定有莫大裨益。

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# 汉泰声母对比及中国学生偏误与教学对策

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## 摘要

本文旨在用语音学研究对比泰语语音和汉语语音，提出改进中国学生发音问题的建议，为中国学生学习基础泰语提供帮助。研究发现，泰语和汉语在辅音、元音和声调上有相同和相异之处。在第二语言教学中，学生对母语和第二外语的理解，将有助于提升学生学习外语的理解能力，可能会导致大多数学生产生发音问题，因为在学习的过程中难免受到母语的影响，因此，在对中国学生进行泰语教学时，教师可以采用比较两种语言发音的方法。通过语音学讲解特殊音节的发音和特点，举例讲解与汉语音节相似的部分泰语辅音、元音和声调，有助于提高学生发音的准确性。

**关键词：** 泰语音节、汉语音节、对比、发音偏误、纠正

## 1. 汉泰语音系统概述

汉语语音作为汉语学习的基础，其特点是音节结构简单，音节界限分明，声调是音节的重要组成部分。中国传统把一个音节分为声母、韵母和声调三部分，也就是辅音、元音和声调。辅音主要处于元音前面，即音节的开头，只有少数辅音可以处在元音的后面，即音节的末尾，声母指处在音节开头的辅音，音节的开头如果没有声母，就是零声母音节。现代汉语普通话中一共有 22 个辅音，其中可以做声母的有 21 个。声母根据发音部位可以分为双唇音、唇齿音、舌尖音、舌根音、舌面音、舌尖前音和舌尖后音。汉语韵根据结构特点主要由元音构成或由元音加鼻辅音构成。韵母结构共有 39 个可分为 10 个单元音韵母、13 个复元音韵母和 16 个带鼻音韵母三类，按韵母开头的元音发音口形。韵母是音节中放在声母后面的成分，可以只是一个元音，也可以是元音的组合或元音和辅音的组合。而声调是指整个音节的高低升降。汉语是有声调的语音，音节的高低升降具有辨义作用。汉语的声调分为阴平、阳平、上声和去声四种。此外，汉语语音系统还包括儿化和变调。

泰语作为表音文字，泰语中的音素数量较多，其中有些是汉语没有的。泰语语音由辅音、元音和声调三部分组成。泰语中一共有 44 个辅音（目前实际用到的辅音只有 42 个），包括中辅音 9 个、高辅音 11 个和低辅音 24 个。44 个辅音当中只有 21，有一些辅音的写法不同但发音相同。泰语的辅音包括浊音、颤音、和复合辅音等汉语中没有的音素。泰语中共有 32 个元音，包括单元音 18 个、复合元音 6 个和特殊元音 8 个。元音有长短之别，长元音和短元音会造成语义的区别。不同的元音在和辅音组合构成音节时所处的位置不同。泰语中一共有五个声调，四个声调符号，第一声调没有声调符号。中、高、低辅音和长、短元音组合后，发音规则有所不同。

泰语和汉语都属于汉藏语系，也都是带有声调的语言。可是，泰语是一个引入了多种语言的一种语言，而古汉语也是其引入的语言中的一种。由此得出汉泰语言在语音方面上具有可对比性。

## 2. 汉语辅音系统

汉语拼音系统有 22 个辅音，其中可以做声母的有 21 个，声母是指汉语音节开头的辅音，汉语普通话中有些零声母音节（尾辅音），为了音节系统的整齐和音节界限的分明，用拼音字

母 y 或 w 来表示称准声母。所以若算上零声母，普通话的声母有 22 个。汉语声母按照发音部位可以分为双唇音、唇齿音、舌尖音、舌根音、舌面音、舌尖前音和舌尖后音，按照发音方法可以分为塞音、塞擦音、擦音、鼻音和边音。见下表。（黄伯荣与廖序东，2017）

表一

发音方法		发音部位		双唇音	唇齿音	舌尖前音	舌尖中音	舌尖后音	舌面前音	舌面后音
		清	不送气	b[p]			d[t]			g[k]
塞音	浊	送气	p[pʰ]				t[tʰ]			k [kʰ]
	塞擦音	清	不送气			Z[ts]		Zh[tʂ]	j[ʧ]	
		送气			C[tʂʰ]		Ch[tʂʰ]	q[ʧʰ]		
擦音		清		f[f]	s[s]		sh[ʃ]	X[ç]	h[x]	
		浊						r[ʒ]		
鼻音		浊	m[m]				n[n]			ng[ŋ]
边音		浊					l[l]			

### 3. 泰语辅音系统

泰语中一共有 44 个辅音，实际用到的辅音只有 42 个，另外的两个辅音已经基本不在现代泰语中出现。泰语的辅音可以分为中、高、低辅音三个类别。

泰语辅音字母有高中低之分，以下泰文字母按声母组的高中低重新排列：

- (1) 中辅 (1) 中辅音声母共有 9 个，它们是 ก [k]、จ [tʃ]、ด [d]、ต [t]、บ [b]、ป [p]、อ [ʔ]。
- (2) 高辅音声母共有 10 个，它们是 ข [kʰ]、ฉ [tʃʰ]、ถ [tʰ]、ผ [pʰ]、ฝ [f]、ศ [s]、ห [h]。
- (3) 低辅音声母共有 23 个，它们是 ค [kʰ]、ข [tʃʰ]、ท [tʰ]、พ [pʰ]、ฟ [f]、ช [s]、ฮ [h]、ง [ŋ]、ณ [n]、ม [m]、ย [j]、ร [r]、ล [l]、ว [w]。

泰语的 42 个辅音只有 21 个音。这 21 个音都可以出现在音节的起首位置，其中有些辅音可以跟别的辅音组合成复辅音，可以充当复辅音前一成分的都是塞音、即双唇、舌尖、舌根塞音。（房英与杨万洁，2010）

表 2 泰语辅音音标表

发音方法		发音部位		双唇	唇齿	舌尖	舌面	舌根/后舌面	喉音/声带间
		清	不送气	ป [p]		ต [t]	จ [tʃ]	ก [k]	อ [ʔ]
		不送气							

破裂音	清	送气	พภ		ถฏทฑฒ	ฉฉฌ	ขคฅ	
	浊	不送气	บ		ดฎ			
擦音	清	不送气		ฝฟ	สศษซ			หฮ
鼻音	浊	不送气	ม		น ณ		ง	
颤音	浊	不送气			ร			
边音	浊	不送气			ลฬ			
半元音		不送气	ว				ยญ	

### 复辅音

#### 1、中复辅音 (6 个)

กร กล กว ตร ปร ปล  
 [kr] [kl] [kw] [tr] [pr] [pl]

#### 2、高复辅音 (4 个)

ขร ขล ขว ผล  
 [khr] [khl] [khw] [phl]

#### 3、低复辅音 (5 个)

คร คล คว พร พล  
 [khr] [khl] [khw] [phr] [phl]  
 (唇化音 กว[kw] ขว/คว[khw] )

## 4. 汉泰辅音系统对比分析

由于泰语和汉语属于汉藏语系，也一样带有声调的语言，所以中国学生在学习泰语语音时有一定的优势。学者能很快地掌握两种看上去相似的语言，但准确性一定不佳，因为两种语言之间细微的差别却对学者的学习产生更大的干扰。正是因为汉语和泰语在一定程度上存在相似性，所以中国学生在学习泰语时会自然而然地用汉语发音来代替泰语语音，这样的语音很可能不是标准音，这就产生了语音上的偏误。学者在学习初期都会比较依赖母语，所以母语对目的语的学习有着深刻的影响。因此了解泰语和汉语的异同是掌握和分析中国学生学习泰语声母难点的前提条件。同时由于汉语中不存在复辅音而辅音 ng 只是尾辅音，不是声母，因此泰语中的复辅音和尾辅音 ng 不在文章的讨论范围内，本文只选取泰语中的单辅音作为对比及描写对象。以下是从汉泰语音系统来看汉泰辅音系统的异同点。

表 3 汉泰相同辅音有 12 个 国际音标。

汉语辅音	泰语辅音	国际音标	汉语辅音	泰语辅音	国际音标	汉语辅音	泰语辅音	国际音标
b	ป	[p]	p	พภ,ภ,	[p <sup>h</sup> ]	m	ม	[m]
f	ฝฟ,	[f]	d	ฎต,	[t]	t	ฐฐ,ท,ถ,ฒ,ฑ,	[t <sup>h</sup> ]

n	ณน,	[n]	l	ลฬ,	[l]	s	ซส,ช,ศ,	[s]
g	ก	[k]	k	ขข,ค,ก,ฆ	[k <sup>h</sup> ]	ng	ง	[ŋ]

表 4 汉泰声母的相似性

汉语辅音	泰语辅音	国际音标	汉语辅音	泰语辅音	国际音标	汉语辅音	泰语辅音	国际音标
j		[tɕ]		จ	[tɕ]			[m]
q		[tɕ <sup>h</sup> ]		ฉฉ,ช,	[tɕ <sup>h</sup> ]			[t <sup>h</sup> ]
z		[ts]						[s]
c		[ts <sup>h</sup> ]						[k]
h		[x]		ฮฮ,	[h]			

表 5 汉泰不同辅音汉语有 8 个 国际音标，泰语有 7 个 国际音标。

汉语辅音	国际音标	汉语辅音	国际音标	汉语辅音	国际音标	汉语辅音	国际音标
sh	[ʃ]	zh	[tʃ]	ch	[tʃ <sup>h</sup> ]		
r	[ʒ]	x	[ɕ]				
泰语辅音	国际音标	泰语辅音	国际音标	泰语辅音	国际音标	泰语辅音	国际音标
ญญ,	[j]	ฎฎ,	[d]	บ	[b]	ร	[r]
ว	[w]	ฮฮ,	[h]	อ	[ʔ]		

## 5. 汉泰辅音系统的异同点

1. 从表上分析我们可以看到,汉语的辅音共有 22 个音,泰语共有 21 个音。汉语的很多声母可以在泰语中找到对应辅音,汉泰声母的同音性共有 12 个,它们是 ป [p]—b[p]、พพภ[ph]—p[ph]、ม [m]—m[m]、ฝฟ [f]—f[f]、ฏต [t]—d[t]、ฐฏฒถธ [th]—t[th]、ณณ [n]—n[n]、ลฬ [l]—l[l]、ซซศษส [s]—s[s]、ก [k]—g[k]、ขขคคฆ [kh]—k[kh]、จ [ŋ]—ng[ŋ]。

2. 汉泰声母的相似性:泰语的声母共有 3 个,它们是 จ [tʃ]、ฉ,ช,ฌ [tʃʰ]、ห,ฮ [h],汉语的声母共有 5 个,它们是 j [tʃ]、q [tʃʰ]、z [ts]、c [tsʰ]、h [x]

3. 汉泰声母的差异性:汉语有一些声母在泰语中没有对应的辅音,而泰语中没有的却在汉语声母上能找到的共有 5 个,它们是 zh [tʃʰ]、ch [tʃʰ]、sh [ʃ]、r [ʒ]、x [ç]。而泰语有的、汉语没有的共有 6 个,它们是 ฎ,ด [d]、บ [b]、ร [r]、ฉ [ʃ]、ญ,ย [j]、ว [w]。

4. 汉语的辅音类型只有一种就是单辅音,泰语的辅音分为单辅音和复辅音两种。而泰语的单辅音还分为,中辅音、高辅音和低辅音三类。

5. 泰语有颤舌音 "ร" 的辅音,但汉语没有。

## 6. 中国学生泰语声母偏误及教学对策

偏误是指学习者在使用目的语的过程中无意识地出现一些语言项目的错误,也就是在对照标准目的语时显现出来的错误或是一些不完善的错误,而这些错误是系统的、有规律地出现的。因为本文研究对象为零基础的泰语初学者,对泰语声母尚未形成清晰的认识,习惯性地用汉语拼音发音来代替甚至是取代泰语声母的发音,就是母语对学习第二语言的影响,尤其是学者还没有掌握好第二语言的发音规则导致把两个语言混乱,所以偏误原因多考虑为母语负迁移的影响,例如:

泰语辅音/b/ 发成汉语拼音/p/	如: บ้าน /bâ:n/ 发错成	บ้าน /pâ:n/
泰语辅音/d/发成汉语拼音/t/	如: ดี /di:/ 发错成	ดี /ti:/
泰语辅音/c/发成汉语拼音/ch/	如: จำ /cam/发错成	จำ /cham/
泰语辅音/k/发成汉语拼音/kh/	如: กิน /kin/发错成	กิน /khin/

在第二语言教学过程中,通过母语和第二语言的对比,将有助于学生了解两种语言的异同之处,同时也将有助于提高学生学习的理解。

因此教师可以用语音学的知识讲解发音方法,包括发音特点和发音部位,让学生用正确的发音部位发出正确的音。

在对外泰语教学中,可以根据语言学的教学方式提到泰语语音的特点和辅音发音的基础,用音位对立 (Minimal pair) 方法讲解各个辅音的区别。音位对立是指对比 2 个以上富有意义的词,在首辅音、尾辅音、元音或者声调中有一部分不同的词汇。这种方法有利于对学者更了解汉泰语语音的区别之处。(Rungrudee, 2007)

一切理论研究发挥最大价值的时候就是应用于实践的时候。以上结合前人研究和自己的实践经验对汉泰语音的对比研究,最终还是希望可以找到一些方法应用于对泰语语音教学。通过研究泰语和汉语首辅音发音的相似和相异之处可以总结为:

### 1. 发音部位和发音方法

泰语中辅音有两个浊音 ฎ,ด [d]、บ [b],是汉语普通话所没有的。若中国学者发音有困难,可以用以下的方法进行练习。

一般辅音都可以有清、浊两套,泰语的两个中辅音就有清浊两套辅音:清音 ด ฎ 和浊音 ด ฎ;清音 ป 和浊音 บ。发清音时声带不振动,发在浊音时声带振动,汉语普通话有清音 d [t] 和 b [p],却没有相对的浊音,但有与泰语 ด ฎ 的发音器官为同一部位的浊鼻音 n 和 ป บ 发音器官为同一部位的浊鼻音 m。

练习发音 ด 的时候,可以先试着发浊鼻音 n,使声音不要中断同时发清音 ด,清音会变成浊音,然后尽量不让气流从鼻腔通过,即可发出 ด 这个浊音。以同样的方法可以练习发 บ 浊音:



先试着发浊鼻音 m，同时发 ɲ 音并且不让气流从鼻腔通过，即可以发出 ɲ 音来。这些泰语中辅音的发音部位和发音方法如下：（房英与杨万洁。泰语语音教程。云南：云南人民出版社，2010，16-17）

中辅音 ด[d] 发音部位是舌尖与舌根音，发音方法是破裂音、浊音、不送气。

中辅音 บ[b] 发音部位是双唇，发音方法是破裂音、浊音、不送气。

汉语普通话 n[n] 发音部位是舌尖中音，发音方法是鼻音和浊音。

汉语普通话 m[m] 发音部位是双唇音，发音方法是鼻音和清音。

除此之外还可以运用英语词汇根据泰语中辅音 ด, บ 相比，使学者可以模仿最接近的音节。

例如：

中辅音 ด[d] 英语词汇 door, down, do, duck, date

中辅音 บ[b] 英语词汇 boy, bowl, boat, book, bird

## 2. 音位对立 (Minimal pair) 方法

泰语单辅音的音位对位根据发音部位和发音方法可以分音位对位为破裂音、擦音、鼻音、颤音、边音、半元音六类。在这举两个例子如：（Kanjana, 2013）

破裂音：	单辅音	音位对立
/p/ - /ph/	/pa:n/ ปาน	- /pha:n/ พาน
/ph/ - /b/	/pha:n/ พาน	- /ba:n/ บาน
/t/ - /th/	/ta:n/ ตาน	- /tha:n/ ทาน
/th/ - /d/	/tha:n/ ทาน	- /da:n/ ดาน
/k/ - /kn/	/ka:n/ กาน	- /kha:n/ คาน

从以上的音位对立方法教学者可以讲解 /p/-/ph/ 辅音的区别为：/p/-/ph/ 辅音的发音方法和发音部位：/p/ 是破裂音、清音、不送气和双唇音。另一个 /ph/ 是破裂音、清音、送气和双唇音。根据音位对位的方法可以看出 /p/-/ph/ 的区别之处是 /p/ 不送气但是 /ph/ 有送气，所以两个辅音的区别是不送气跟送气。

擦音：	单辅音	音位对立。
/f/ - /s/	/fa:n/ ฟาง	- /sa:n/ ซาง
/s/ - /h/	/san/ สัน	- /han/ หัน

/f/ - /s/ 辅音的发音方法和发音部位是 /f/ 和 /s/ 辅音都是擦音、清音和不送气的，但是 /f/ 是唇齿音而 /s/ 是舌尖音，所以两个辅音的区别是在发音部位上。

## 3. 谐音记忆方法

教师可以运用中文发音相同或者相似的词来代替泰语词汇，可以帮助中国学者发音生母更准确，例如：

ใต้ /tâj/ 带 /dài/	หน้า /nâ:/ 那 /nà/
ลา /la:/ 拉 /lā/	หู /hū:/ 湖 /hú/

## 7. 结语

初级阶段，对外泰语语音教学，如果通过对比母语和第二语言，从而让学生了解两种语言的相同和相异之处，将有助于学生学习的理解。学者在练习泰语辅音发音的过程中，教学者可以利用发音方法、发音部位及音位对位等方法讲解各个辅音的区别。让学者用正确的发音部位发出正确的音，掌握泰语发音的方法，同时也让他们练习准确的听音、辨音和发音。到了中、高级阶段的时候，语音教学也是应该坚持的。因为一方面，可以通过不断的纠音、正音提高学生的发音水平、表达水平；另一方面对听音、辨音和发音准确性的要求也是提高学者高层次泰语水平和表达能力的手段。

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## 对外泰语教材在对外泰语教学研究的重要性

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### 摘要

教材是知识的载体，也是教学的主要工具。近期随着贸易、投资、军事、医疗以及各方面合作的增长，世界许多国家包括泰国国内对外泰语课程的数量日益增多。就泰国国内而言，泰语课程的类型比较多样化，从专业证书到博士点的都有。目前关于对外泰语教学、课程、以及泰语专业和非专业等领域的研究陆续问世，而专门着手于对外泰语教材（TFL）的研究却比较稀罕，尤其是中文版的泰语教材，其发展的空间比较可观。本文仅谈论泰国国内对外泰语教学研究状况，再介绍泰国对外泰语教材研究领域的发展路线、特点以及不足之处，最后讨论对外泰语教材研究的重要性。

**关键词：**泰语；对外泰语教材；中文版；研究；重要性；

### 11. 泰国对外泰语教学研究路线及其现状

泰国国内对外泰语教学情况

前期的对外泰语教学是从私立语言学校开始。1955 年联合语言学校（Union Language School）开设泰语课堂，专门给新来的传教人员培训泰语。另外一所语言学校 AUA 在 1962 就已经开始出版自己的对外泰语教材。由于教学对象都是使用英文为母语者，因此这两所私立语言学校都是英文来施教。后来，随着日本投资者在泰国投资并建立工厂和公司的增长，1973 年泰日经济技术振兴协会附属语言学校（School of Language & Culture, Technology Promotion Association (Thailand-Japan)）开设日语受教的泰语课程，专门给在泰工作的日本人施教。该校还举办了日语和泰语考证（TPA Thai Language Proficiency Test），也是泰国对外泰语考级的主要机构之一。对外泰语教学的初期由于其目的是为了提供给专门的人士开设的课程，所以大部分都是集中在私立外语学校。而正是进入泰国高等院校的课程是在 90 年代开始。1990 年泰国玛希隆大学开设对外泰语课程。1991 年清迈大学也开始了泰语作为第二外语教学的课程。随后在 1996 年泰国素可泰开放大学也开设了对外泰语教学课程，专门给云南大学中国籍教师培训。（Preeya, 2002）

除了泰国国内以外，世界上的许多地方也有对外泰语课程，比如：美国、英国、澳大利亚、马来西亚、越南、日本、中国和韩国等。（Preeya, 2002）英国伦敦大学亚非学院在 1936 年期间就已经给学生开设泰语课程，在 40 年代美国泰语课程的建立是因其军队训练（和平队）的目标也开始。1960 年澳大利亚开始举办对外泰语课程，其目的也是为了军队的利益。而国外最早开设泰语课程的就是中国，可以追溯到万历七年（1579）明朝政府在四夷馆中开设的暹罗馆。在 1946 年南京东方语言专科学校的暹罗语科也开设了泰语教学，后来到了 1949 年才合并到北京大学。（薄文泽，2007）

近年来随着外籍学生在泰留学的人数不断增长，泰国高等院校，不论是公立还是私立都陆续开设对外泰语课程，分布在泰国各个城市如：朱拉隆功大学、玛希隆大学、清迈大学、孔敬大学、诗纳卡琳威洛大学、艺术大学、华侨崇圣大学、斯巴顿大学、博乐大学以及博仁大学等地。目前泰国对外泰语课程的发展从大体上来看还是比较全面，从专业证书、培训班、个人私教，到本科的主修、副修、硕士和博士文凭等的都有。而本科对外泰语教学的课程可以分为泰语专业（主修课程）和非泰语专业（副修课程）两种。因专业和非专业的教学重点以及学习效

果的差别，教材建设和编写的目的也应该根据课程目的而异。

此外，随着在泰国投资和做贸易的外籍人数，尤其是中国人人数的增长，中国人对泰语学习的需求也随着个人需求而增大，私立外语补习学校的泰语课程也跟着增加。而现在还有一些新型的泰语课程，是学者可以通过网上微课堂或者微信公众号学习泰语，这些泰语网上课堂的如“Poppy Yang”、“泰语学习联盟”、“沪江泰语”和“中泰通语言学校”等等。其中“沪江网”的泰语课程是中国国内外语微课堂比较新颖也比较有知名度的网站。这些微课堂的特点在于其“无边界”传播的形式。只要你在有网络覆盖的地方，学者就可以随时随地进入课堂，观看内容，学习和练习泰语。据笔者初步的了解，网上微课堂使用的“教学题材”一般都比较简化的、实用的和接近日常生活的话题，如：生活用语、电视剧、新闻题目、歌词解析或者生词解释等题目。这些微课程的出现正在反映着现代化的生活方式和泰语学习需求的关系，也是一项值得未来继续做研究的话题。

另外，随着泰语课程的增长，泰国几所机构已建设了泰语考证的标准，如朱拉隆功大学泰语考证（CU-TFL）、泰国基础教育部的泰语考试（TCT）和泰日经济技术振兴协会附属语言学校的泰语考试（TPA）等地。因这几所考点的考试时间不同，学者可以根据自己的时间要求报名参考。可是，目前泰语考试的等级划分、词汇和内容范围都是各自开发的，非统一性的，使得我们很难把握泰语教材的学习效果和考证的等级范围。而且，到目前为止尚未有过任何关于泰语考证的研究。这就是我们值得探讨和继续研究的问题。

## 12. 泰国对外泰语教材研究现状

### 1. 泰国对外泰语教材研究以及泰语教材情况

近年来，随着泰语教学需求的增长，泰国对外泰语教学研究的关注也日益增多。据统计信息，2002-2012年关于对外泰语研究的文章、论文和研究报告等已有61篇，分为本科毕业论文、硕博学位论文和研究报告等，主要研究范围集中在泰语教材建设和修订、对外泰语教学方法和技巧、泰语学习课程、泰语教师态度和学生兴趣以及泰语教材和教学材料等方面。（Pimpaporn, 2016）其中，关于对外泰语教学方法和技巧的研究比较多，而对泰语教材的研究却比较稀少，目前只有2篇硕士论文。在1975年 Amporn Phongsatha 出版了她的硕士论文《基础对外泰语教材研究》以语言学校 AUA 的泰语教材（The AUA Language Center Thai Course Book）作为研究对象，分析课本使用的语音、词汇、和泰国文化内容的准确性和适当性。该教材的内容范围包括泰语语音、场景对话如：数字、点菜、买东西、时间、年月日、电话和看病等。至于写作和阅读部分，是从辅音、元音、声调，到词语、短语、句子、段落和文章等。课本后面还有泰文和音标文字对应的词汇总表。（Preeya, 2002）另外一本是2008年 Prapatsorn Ketchan 出版的硕士论文，题目为《泰语中辅音拼读教学材料的建设》。本研究侧重于初级学者在学习泰语中辅音拼读的效率。（Prapatsorn, 2008）

此外，在2008年法政大学的泰语泰语系副教授 Nuanthip Permkesorn 出版了一篇教学技巧的研究报告，以8本基础泰语教材为研究对象。此篇文章介绍8本泰语教材的基本内容结果结果、语音、词汇和语法结构，看其对泰语听说读写技能的教学，同时通过教学方法研究理论来分析该教材编辑的内容是使用哪种教学方法。（Nuanthip, 2008）

以上是泰国近十年来对外泰语教材研究的成果。研究成果的数量比较稀少，研究对象大部分都是英文版的对外泰语教材，说明该研究领域还有很大的发展空间，尤其是对中文版的泰语教材。就中文版的泰语教材来说，目前，在泰国市场上能找到的对外泰语教材大部分都在中国出版的，比如：《基础泰语》、《泰语教程》、《大学综合泰语教材》、《泰语写作教程》、《泰语300句》、《泰语阅读教程》、《泰语实用基础教材》或者《别笑！我是泰语学习书》等。在中国国内出版的对外泰语教材题材丰富，内容范围也比较全面，从专业学习到自学的教材都有。上述教材编写的目的大部分是专门给本科生人才培养使用的范本，而小部分的是自学的普通语言书，其内容在难度上的差别比较大。专业人才使用的教材是比较系统性的、深层次的、各方面的技能练习比较齐全，而普通语言书是比较普遍性的、接近日常生活场景使用的、比较基础化的。而在泰国国内的泰语课程，除了大学本科主修以外，还有大学的副修课程。因这些课程的目的和学习效果各不相同，教室在选定教材的时候也需要考虑到课程目标和学习效果。教材的质量

及其难度直接影响到课程设置、课堂活动及教学效果的区别。因此，为了保证各自课程的质量，很多大学都选择自编教材的解决方法，以便符合各自的课程需求和效果。

此外，据笔者初步搜集到的材料，目前在泰国国内出版的对外泰语教材大体上可以分为在校内使用的教材，和普通的外语学习书。到目前为止，泰国国内出版最多的对外泰语教材大部分都使用英文编写的。其内容的难度高低就根据各地的要求和情况不一样。而对于中文版的泰语教材来说就比较稀少。2004年由暹罗中文出版社出版的《泰汉口语手册》是泰国诗纳卡琳威洛大学副教授姚毅（Chuan Thitiarunpong）编写的。编写目的是为了提供给在泰生活和工作的各个行业的人员可以自学的。本教材的特点是每课都会有汉语语法结构和泰语语法结构句型相互对比的。这样使得学者在使用教材的时候可以通过课文中双语对应的部分来学习和理解泰文的句型。此外，在每一篇对话中，在泰文文字字下都会使用比较简单易懂的音标作为辅助学者的阅读和发音练习。内容范围比较丰富，从基本的语音系统部分以外，基本对话、问句以及日常生活个工作生活用语的场景都有。另外在2008年《中国人学泰文》（初级）是在泰国国家研究所科研项目基金的主导下产生的。本教材编写的目的是为了给在泰国各皇家大学留学的中国学生使用。课文编写和排列顺序也跟其他教材一样，从语音系统开始，在转入到正课文。课文多以对话形式为主，同时也富有简单的音标作为阅读辅助的符号。内容范围也包括生活各个场景的用语，如家庭、时间、地点、问路、气候、银行、邮局和看病等。另外在2013年有阿玛林补办社出版的《Survivor 泰国》是自学的语言教材。其内容比较基础化、多为日常生活用语的。

据上所述，中文版的对外泰语教材的建设和编写大部分都是在中国国内出版，其目的为了本科人才的培养。另外泰国国内自编的中文版泰语教材还有待修订和发展。而值得一提的是，目前还没有那本教材是以泰语考证作为教材编写的标准，也没有任何有关泰语考证和教材使用效果的研究。泰国国内对外泰语教材研究的初步阶段，搜集、梳理和初步分析是为进一步完善修订和编写教材的前提。这就是我们作为对外泰语教师的人员值得继续挖掘、分析及研究的科研项目。

## 2. 对外泰语教材之特点

对外泰语教材的建设和编写是指定课程效果的质量。目前在泰国国内使用的教材，不论是在泰国国内的或中国出版的都各有不同的优点，基本上体现在以下方面：

- 一、大部分的教材在中国国内出版。
- 二、大部分的教材专为本科人才培养而编写。
- 三、教材内容比较丰富、多姿和详细。
- 四、普通的语言学习书版本比较多，多侧重于泰语口语和对话练习。

等四项。教材选定是取决于学者或课程需求的目的。笔者认为有些书籍可以作为辅修课程或特殊课程的参考文献。比如，泰语专业教材对语音系统的解释，可以引用来作为参考，而普通的口语练习书籍，也同时可以作为对话编写的不二之选。

### 2.3 对外泰语教材的不足之处

据笔者上述的阐释，对外泰语教材不论是在建设和编写或者研究等领域都有待发展的余地。据笔者初步的研究发现，目前对外泰语教材的不足之处体现在：

- 一、基础教材使用的国际音标非统一性。
- 二、大部分的中文版教材都是中国国内出版，很少有泰国国内出版的教材。
- 三、课文内容的难度差别比较大，主要针对于专业学习者。
- 四、没有根据泰语考证等级做出学习效果的指示。

以上皆是泰语教材比较明显的缺点。对于教材音标使用的非统一性来说，此项问题是体现在基础泰语语言教材上。每个编著和出版社都根据各自的习惯而编写。这对初级学者来说，倘若只用一本教材来学习泰语的话，其问题应该不会很大，而如果学者在同一时间内使用不同教材来学习泰语的话，该学生在练习发音的时候也难免产生发音混乱等问题。第二，在泰国国内使用的中文版教材大部分都是在中国国内出版的，而编著大部分也是中国人，很少有泰国人自己编写的中文版泰语教材。虽然外语教材的编写需要有对象语言和目的语言人才相互帮忙的检查检验，可是非母语者编著外语教材的时候也难免出现一些语言错误等问题，比如：阅读课文

的语言表达不符合对象语言的表达方式等。因泰语是门有等级区分的语言，同一个词汇和表达方式可以因其对象的区别或场景的差异使用不同等级的词语来表达同样的意思。在这样的方面上，笔者认为中泰合作编写教材的发展路线还是比较可观且有意义的。第三，课文内容难度差别。目前在市场上能考到的泰语教材基本上都是为本科生人才学习的，很少看到可以作为泰语技能训练，从初级到高级等的教材，也很好看到符合副修课程的书籍。这就是我们需要开发和继续研究的话题。第四，没有根据考证等级的标准编写教材。虽然说，目前在泰国国内的泰语考证从考生的时间安排来说还是比较，但泰国对外泰语教材虽内容比较丰富，可到目前为止，尚未有过一本教材指示说明可以对应多少等级的泰语考证。不像西方语文教材一样，大部分都会在书本内或者封皮上指定说明该教材的词汇范围和内容是可以通过 CEFR 的第几等，如 A1、A2 等。这也是一项值得做研究的问题。

### 13. 对外泰语教材研究的重要性

教材建设是课程建设关键部分。教材研究对教学效果和课程发展的关系是密不可分的。一本教材是教师和学者之间的共同“空间”，是一本可以拉近教师和学生之间在教学和施教方面上的距离。对外泰语教材尤其是中文版的发展虽然到目前来说，在中国国内的本科课程比较全面和成熟，但也有些地方需要改善和继续发展。而对于副修课程来说教材的难度和内容应该符合课程目标、课时以及学生需求等方面的元素。

因教材是学生获得知识的重要来源，所以教材的编写和建设跟课程结构、目的及结果的关系是非常紧密。泰语非专业教学和专业教学的目的是完全不同，课时也比专业学生的少。可不论是专业生和非专业生在泰语学习过程当中，都要事先把握好泰语语音系统才能够继续上后续的课程。因此，笔者认为非专业使用的教材，尤其是在语音系统的部分，应该考虑到使用国际音标作为辅助学生练习阅读和发音。这样将有助于学生在学习基本对话的同时也可以容易掌握泰语语音的发音。当然，这样的教学方法的不足之处是学者容易依赖于拼音文字，因此，在施教的过程中教师应该要把握好重点，看中在泰语辅音、元音、尾音、声调以及拼字的写作等，为了提高学生学习泰语和进步。此外，对于副修课程的泰语教材也可以考虑到使用语言学的音位对位等方法作为教材编写的一个元素。

最后只得一提的考虑点在于应该考虑把泰语考证等级作为教材建设和编写的目标。这将有助于学生学习的效果，同时对课程效果也有帮助。

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## 孔子学院志愿者的支持与泰国本地学校的影响 ——基于“一带一路”战略的背景

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### 摘要

“一带一路”的重点在于加强政策沟通、设施联通、贸易畅通、资金融通、民心相通。以共同发展、公平发展、和平发展、开放发展和可持续发展为理念，以共商、共建、共享为该战略的原则，以共同构建开放、包容、均衡、普惠的区域经济合作为“一带一路”战略的构架。民心相通是其他四通的基础，孔子学院对民心相通而言是取得胜利的轨道。尽管孔子学院在各个国家支持汉语教师、汉语教材等方面。笔者通过采访几位泰国籍汉语全职教师有关孔子学院支持汉语教师方面。结果可以总结为几个问题，志愿者的连续性、全职教师的工作量、汉语教师的经验都是泰国本土学校收到的一些影响。

**关键词：**“一带一路”、“民心相通”、“孔子学院”

### 引言

“一带一路”是近几年中国对全世界推动的政策之一。“一带一路”属于中国的大战略。“丝绸之路经济带”和“21世纪海上丝绸之路”国家发展战略的简称为“一带一路”。“一带一路”以习近平主席为代表，通过当今世界经济发展的客观要求而建立的。作新一代大国，中国以共同发展、公平发展、和平发展、开放发展和可持续发展为理念，以共商、共建、共享为该战略的原则引领世界经济社会的发展。“一带一路”重视与周边国家政策对接和组合创新，动态评估调整实施共赢政策，几年来取得推动国内外共同发展和稳定的双重积极效果。可以说，中国政府倡议并推动“一带一路”的建设，不仅有利于推动中国自身发展，还有利于亚洲、欧洲、非洲乃至世界，对提升世界经济发展繁荣与和平进一步意义深远(北京：经济日报出版社，2017)。通过“走出去”的经验中国意识到了分厂重要的问题就是跨文化问题，所以中国在推动“一带一路”的过程中非常重视“民心相通”这一块政策。孔子学院在“一带一路”中起到推广语言与文化的作用。每一年孔子学院都给全世界的国家支持汉语志愿者，一年都比一年多。泰国也收到孔子学院的汉语志愿者的支持。在政策层面看起来比较成功，孔子学院能够有效的给泰国支持汉语教师。但是在实施层面还存在一些问题需要进一步解决。

### 研究方法

本研究基于孔子学院汉语志愿者的问题出发，通过文献法和访谈本地教师进行访谈，进一步调查具体的问题。首先，通过文献法进行参考相关材料，主要是 “一带一路”、“孔

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<sup>8</sup> “走出去”战略于2000年党的十五届五中全会上，作为四大新战略之一正是成为国家级发展战略的。该战略主要推动中国企业利用国内外市场和资源施行国际化经营，实现经济可持续发展。



子学院的相关政策”、“泰国孔子学院”等相关文献进行收集相关信息。其二，通过访谈法进行调查汉语志愿者对泰国本地学校的影响。本次访谈了 20 位负责汉语志愿者的泰国本地教师。访谈问题为“每一年孔子学院都给贵校支持汉语志愿者，在孔子学院支持的过程中发现什么问题？”，这一问题是本次研究的主要问题。最后能够回答这一问题。

## 民心相通与“一带一路”的推进

“一带一路”的重点在于加强政策沟通、设施联通、贸易畅通、资金融通、民心相。共同构建开放、包容、均衡、普惠的区域经济合作为“一带一路”战略的构架（张燕玲，2017）。民心相通对五通而言是最基础、最坚持、最持久的互联互通，是其他四通的重要基础。因此，民心相通为“一带一路”建设初步奠定了良好的民意基础，使当地人民更多了解中国。2013 年 9 月，国家主席习近平对土库曼斯坦、哈萨克斯坦、乌兹别克斯坦、吉尔吉斯斯坦进行国事访问并出席上海合作组织比什凯克峰会（姜萍萍、程宏毅，2013、2018）。习近平主席在本次国事访问提出了，构建“丝绸之路经济带”要创新合作模式，加强“五通”逐步形成区域大合作格局。在执行“一带一路”，民心相通可以视为其他四通的基础，民心相通有利于其他四通的顺利实施。

回溯到“走出去”战略（十五届五中全会，2000），在实施战略的过程中有许多经验“一带一路”可以借鉴。跨文化沟通也属于“走出去”的一个重要问题。在“走出去”实施时，中国政府、组织会面对各种各样的文化背景的国家，因此，跨文化沟通是合作交流中不可缺少的一个环节（陈剑平、徐伟军，2005）。在沟通时，不同文化背景下的主体根据各自文化中的价值观念、阐释传播内容、信仰和风俗习惯生产，并通过循环往复的传播行为相互影响。因此，对于实施一个国外战略而言跨文化沟通算是难题之一。“走出去”的主要问题是沟通中的跨文化意识不足、沟通渠道不足和沟通技巧缺乏（龙永图，2017）。尽管 2016 年“一带一路”人文交流取得了比较成功的成果，可是还存在民间交流不足、中国软实力较弱、文化交流中的不平衡、文化产品的数量和质量不足、人文交流的差异等问题（郭业洲，2017）。这些问题在答题上看会影响到“一带一路”的效果。因此，在实施“一带一路”为了更顺利更方便的实施该战略，要先让本地人了解中国，民心相通就是成为该战略的主要部分。

民心相通是“一带一路”建设的社会根基。传承和弘扬丝绸之路友好合作精神，广泛开展文化交流、学术往来、人才交流合作、媒体合作、青年和妇女交往、志愿者服务等（辛闻，2017），为深化双多边合作需要奠定坚实的民意基础。习近平中国主席近年来也多次阐述民心相通对“一带一路”建设的重要意义（郭业洲，2017）。

中国国家领导人高度重视民心相通（罗兴武，2014）。“一带一路”倡议提出四年多来，习近平主席高度重视民心相通，他在多个重要场合对民心相通建设进行过深入阐述，主要是向其他国家强调民心相通是国家间关系的重要基础以及民心相通还是“一带一路”建设的重要内容以及深入阐述民心相通建设的方法路径。关于民心相通在“一带一路”建设中的定位，习近平主席指出，“民心相通是‘一带一路’建设的重要内容，也是关键基础。”“我们要建设的互联互通，不仅是修路架桥，不光是平面化和单线条的联通，而更应该是基础设施、制度规章、人员交流三位一体，应该是政策沟通、设施联通、贸易畅通、资金融通、民心相通五大领域齐头并进”。因此，民心相通有利于“一带一路”的建设及推进。

## 民心相通与孔子学院的作用

民心相通的推动有各种各样的方面来推进，建立孔子学院是其中的一个方法以及建立孔子学院是民心相通的重大工作（陈鸿燕，2017.2018）。孔子学院办学宗旨是“增进世界人民对中国语言和文化的了解，发展中国与外国的友好关系，促进世界多元文化发展，为构建和谐世界贡献力量”（孔子学院总部、国家汉办，2018）。主要职能包括：开展汉语教学；培训汉语教师，

提供汉语教学资源；开展汉语考试和汉语教师资格认证；提供中国教育、文化等信息咨询；开展中外语言文化交流活动。孔子学院采取中外大学合作办学的方式，分为孔子学院与孔子课堂两种形式。孔子学院主要在孔子学院平台上支持中外专兼职汉语教师、志愿者组成的师资队伍，配合国际汉语教学的教材、大纲、媒体库等教育资源与文化展示平台，接受汉语国际教育与培养的后备力量。

从2004年开始，中国采用中外合作的形式开办孔子学院，选择孔子作为汉语教学品牌，推介汉语文化，2004年11月21日，全球第一所孔子学院在韩国首尔挂牌，经过几十年的发展，孔子学院办学规模逐渐扩大，办学成果日益显著。其实，孔子学院是中国借鉴法国、德国等国家语言文化传播机构的经验（李宝贵、刘家宁，2017）。在孔子学院总部的指导和孔子学院国内合作院校等各方的支持下，截至2016年12月，中国已在全球140个国家建立了511所孔子学院和1073个孔子课堂，各类学员达210万人，成为中外文明交流互鉴的重要窗口（赵晓霞，2017）。民心相通是“一带一路”倡议的社会根基，语言交流则是民心相通的前提和保障（王辉，2017）。从2004年全球第一所孔子学院协议在乌兹别克斯坦签署至今，孔子学院以推广汉语和传播中华文化为己任，为促进与沿线各国人文交流，深化民心相通作出了重要贡献。

从共给的维度来看，孔子学院通过合作办学方式提供了学习汉语和了解中国文化的教育共同产品，为当地汉语国际教育体系的发展提供了一定的支持。孔子学院的组织性质、运行职能与其所掌握的教育与文化资源，决定了其他在推动文化与民心相通上的优势。相应地“一带一路”沿线国家孔子学院在增进与当地人文交流上能发挥独特作用。作为非营利教育机构的孔子学院“致力于适应世界各国及地区人民对汉语学习的需要，增进世界各国及地区人民对中国语言文化的了解，加强中国与世界各国教育文化交流合作，发展中国与外国的友好关系”（孔子学院总部、国家汉办、孔子学院章程，2018），其职能发挥主要体现在汉语国际教育、文化交流与公共外交的开展上。对推进“一带一路”的民心相通而言，孔子学院是该战略取得成功的重要工具。

## 孔子学院支持兼职汉语教师的影响

孔子学院以非营利的身份来支持各个国家的兼职汉语教师，提供汉语教学的教育资源以及接受汉语国际教育与培养的后备力量，为了使各个国家更多的深刻地了解中国。在宏观的角度来看双方都共同得利，中国能够推进“一带一路”的民心相通，当地国家也能够收到孔子学院的支持。可是，在孔子学院的支持下还存在问题，这些问题可能影响到当地学校的教学管理及质量。笔者通过采访几位泰国籍全职教师和孔子学院的汉语兼职教师或志愿者，总结出在孔子学院的支持下所存在的问题及影响。问题主要是汉语兼职教师或志愿者的连续性、学校减少全职汉语教师或停止招聘本土汉语教师、汉语教师或志愿者的资格及经验。

### 一、汉语兼职教师或志愿者的连续性问题

尽管每一年孔子学院会派送汉语兼职教师或者志愿者到各个学校。可是，一般的情况每个教师或者志愿者只是负责一年时间的汉语课或者相关课程，然后就结束，下一年就是新的志愿者。如果按照这样的情况而言则缺乏了连续性。因为，一个志愿者他们需要一定的时间来适应学校环境、师生关系等方面。

### 二、学校减少全职汉语教师使全职教师增加责任

孔子学院每一年都会支持一定的名额汉语兼职教师或者志愿者到各个学校，使学校停止或减少聘任当地全职汉语教师。原因在于学校董事会或者管理组认为每一年孔子学院会派送汉语兼职教师来学校，尽管全额汉语教师缺乏，但是学校也无须在聘任汉语教师。在泰国学校泰国籍全职教师不只是负责教学、学生活动和科研等责任，但是泰国籍教师还需要做一些行政工作或者每个学期结束时还需要给学校统计学生成绩，写报告类似的工作。这些工作主要使用泰语

来写，所以这些工作都是由泰国全职教师来负责的。

### 三、汉语教师或志愿者的资格及经验

对外汉语教师数量的缺乏，师资的数量的缺乏也就导致了教师经验不足的问题的产生。孔子学院支持汉语兼职教师的范围不只是为了小学或者中学，大学也收到孔子学院的各种各样的支持。教师不只是有知识就可以进行教学，教师应该收到培养。学生不同的年龄段也有不同的性格；不同的态度；不同的需求。教师应该了解学生的各个年龄阶段的特点。通过采访几位负责志愿者的泰国籍汉语教师，结果是一般志愿者有各种各样的本课或硕士专业，而且有些志愿者不是汉语国际教育这一专业毕业的。因此，这样的情况是否影响到学生的教育质量呢？

#### 小结

所谓的问题是否是当地学校不了解措志愿者所需要负责呢？其实，孔子学院明确支持汉语兼职教师或者志愿者，那就是孔子学院支持短期的汉语教师。因此，连续性问题、学校减少全职汉语教师使全职教师增加责任，应该是泰国学校自己管理或者处理问题。最后一个问题是孔子学院应该考虑的。尽管汉语是中国籍教师的母语，但是教学技能也不可缺少的。最后，孔子学院和当地学校应该互相了解“汉语兼职教师”和“志愿者”的定义及工作范围，为了避免以后的问题及影响。

### 结语

“一带一路”战略的重点在于加强政策沟通、设施联通、贸易畅通、资金融通、民心相通。民心相通属于“一带一路”战略的基础，在实施“一带一路”为了更顺利更方便的实施该战略，要先让本地人了解中国。孔子学院在“一带一路”各国与地区汉语国际教育、文化交流以及外交的发展有较为积极的促进作用，以及给各国或地区提供文化及中国人文交流体系社会基础的作用。短期而言，孔子学院可以作为汉语国际教育的平台，为当地提供汉语教学及教育资源。长期而言，孔子学院可以提升中国与外国的外交关系，有利于“一带一路”战略的发展。孔子学院给国外支持的汉语兼职教师或志愿者是中国的代表人物，是一个把中国语言与文化传播到世界各国。因此，兼职汉语教师也是其中重要的部分。“民心相通”是否取得胜利也要把“兼职汉语教师”或“志愿者”考虑在内。

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# 中泰人文交流现状研究

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## 摘要

中泰人文交流源远流长，民间性强，具有很强的可塑性和典型性，深刻研究中泰人文交流的历史和现状，能够为如何发展中泰人文交流指明方向，并能够增进两国教育、科技、文化、传媒、体育、卫生等领域的合作交流，美美与共、文明互鉴，让两国人民共同享受和创造文明的成果，共创更好未来。

**关键词：**中泰；人文交流；教育交流

## 1.引言

泰国，被称为“微笑的国度”，在世界舞台上，它以独特的文化融合和包容能力著称。在东南亚，作为东盟创始国，它发挥着重要的协调作用。中泰建交 40 多年来，两国关系稳步、健康发展，已建立起全面战略合作伙伴关系，“中泰一家亲”，这句话深深根植于两国人民心中，成为中泰关系的生动写照。

在“一带一路”和“人类命运共同体”的视野下，中泰关系既重要又具有典型意义。中泰人文交流源远流长，民间性强，具有很强的可塑性和典型性，深刻研究中泰人文交流的历史和现状，能够为如何发展中泰人文交流指明方向，并能够增进两国教育、科技、文化、传媒、体育、卫生等领域的合作交流，美美与共、文明互鉴，让两国人民共同享受和创造文明的成果，共创更好未来。

## 2.内容

### 2.1 人文交流成为中泰关系深化发展的动能

#### 2.1.1 中泰文化交流

人文交流的基础是不同民族和国家间文化的交流与交融，中泰之间的文化交融互鉴为展开新格局下的人文交流提供了丰厚土壤。

#### A.历史悠久

据史书记载，早在汉唐时期中泰两国就有友好交往。西汉时，中国航船已到达过泰国。东汉至隋唐时期，泰国境内的狼牙修国、堕罗钵底国、盘盘国等与中国有交往。唐代僧人义郎曾到过狼牙修国并被奉为上宾。狼牙修国，盘盘国均曾派使者前往中国。唐朝的大乘灯禅师到过堕罗钵底国。明朝时期，是阿瑜陀耶王朝（即暹罗王朝）统一泰国的时代。这是中泰关系史上往来最为频繁的时期。据记载，在整个明朝的 276 年中，阿瑜陀耶王国派遣使臣来华访问计有 112 次，明朝派遣使臣访问阿瑜陀耶王国 19 次。郑和曾两次出使暹罗国，并受到友好款待，至今，郑和下西洋的壮举仍留在泰国的民族记忆中。

#### B.华人华侨奠定“中泰一家亲”社会基础

清朝的 200 多年间，中泰贸易快速增长，大批东南沿海的中国商人开始移居泰国。据史料记载，泰国此时对外贸易的主要对象是中国。曼谷王朝拉玛二世时，泰国约 86% 的商品运往中国销售，进入泰国的中国商船也超过所有外国船舶的总量，在泰国境内从商的主要是华人。到拉玛三世时，移居泰国华人已近百万人。二十世纪九十年代，据泰国官方统计，泰国华人已达四百多万。由于泰国华侨华人特别是在泰潮人移民历史悠久、融入程度深、参政程度高，从而奠定了“中泰一家亲”坚实的社会基础，对该国政治、经济、文化产生了全面影响。

华人华侨使中国文化在泰国有着深刻而广泛的影响。语言方面，据估计，泰语中来自汉语的词汇约占 15%。文学方面，中国文学巨著《三国演义》于 1805 年被译成泰文后，揭开了中国文学在泰国流传的序幕，到现在，三国故事在民间仍脍炙人口。此后，中国文学在泰国的流传和影响经历了“三国时期”、“鲁迅时期”以及“金庸、古龙时期”。陶瓷方面，受“海丝路”中国瓷器出口的影响，早在素可泰时期（公元 1257-1436 年），中国陶瓷工匠已在宋加洛等地传授瓷器工艺，“宋加洛陶瓷”享有盛名。绘画方面，素可泰西春寺佛殿隧道内，约有 60 多块石壁刻画，其中 5 块石壁上刻有中国牡丹花卉图案。泰国专家认为，该图案是模仿中国元明以来进入泰国的陶瓷上的牡丹花卉图案绘制的。曼谷王朝拉玛三世时期（公元 1824-1851 年），春武里府莱他兰寺佛殿内的佛本生故事壁画中的山石树木运用了 中国山水画的技法。建筑方面，曼谷王朝拉玛三世时期，一度盛行中国式佛寺建筑，曼谷现存约有 15 座之多。

### C.政府和民间并进

中泰文化交流范围广，层次丰富，形式多样。目前已覆盖演出、展览、图书出版、电影电视、传媒、体育、宗教等方面，据不完全统计，每年有逾 400 个中泰文化交流项目在泰国开展。重要的是，在政府重视和推重的同时，90% 以上的项目都是民间行为。民间有动力，有能力开展文化交流是中泰关系中的最大特色之一。

中泰两国政府每 3 年签订一份文化交流执行计划，为两国文化交流与合作制定了较完整的规划。许多品牌文化项目据有影响力，例如“欢乐春节”和“中泰一家亲”音乐会等。泰国“欢乐春节”是中国文化部在海外与当地合作举办的春节文化活动中层次最高、规模最大的。诗丽吉王后和诗琳通公主都多次亲临开幕式，泰国总理和中国文化部领导每年都参加“欢乐春节”开幕式等活动。2015 年恰为中泰建交 40 周年和诗琳通公主 60 大寿的重要年份，当年的“欢乐春节”在泰国民众中影响广泛。

“中泰一家亲”音乐会是由朱拉蓬公主提出并与中国文化部合办的大型音乐会，轮流在中泰两国举办。每次演出，朱拉蓬公主都亲自登台演奏古筝，在两国人民间传为佳话。2014 年在北京、上海、杭州 3 地举办的第 6 届“中泰一家亲”音乐会，刘延东副总理出席并盛赞公主精湛的技艺。

此外，曼谷中国文化中心于 2012 年 11 月在曼谷揭牌，这是目前中国 35 个已经在海外运行的文化中心硬件方面最大最优的一处。中心自揭牌以来，在短时间内举办大量内容丰富的文化活动，成为中国文化走进泰国的引领力量。

大量民间项目积极开展，不仅中国文化得到传播，泰国文化也在积极走进中国，文化交流的双向性是中泰关系的重要特色。

出版方面，鲁迅的《野草》，巴金的《家》、《春》，茅盾的《子夜》、《秋收》等早已被译介到泰国。至于金庸的《天龙八部》、《倚天屠龙记》、《鹿鼎记》等则深受泰国读者喜爱。近年来，中国网络文学风靡泰国，显示了流行文化对泰国的影响力。《微微一笑很倾城》、《医香》、《楚王妃》，《甄嬛传》、《凤求凰》等成为热销书。

电影电视方面，中国的优秀影片、电视剧被大量译介到泰国。电视剧《三国演义》被在泰国播出的当年掀起了“三国热”。《上海滩》、《还珠格格》、《强剑江湖》、《满城尽带黄金甲》、《赤壁》、《投名状》等影视片受到泰国观众的欢迎。近年热播的网络电视剧《琅琊榜》、

《三生三世十里桃花》等古装剧也受到泰国年轻人的追捧。互联网让中国的流行文化向泰国的传播呈现出同步性。

中国先后引进过多部泰国影视剧，如《晚娘》、《寻找狗托邦》、《王后秘史》、《拳霸》、《天才枪手》等，增进了中国民众对泰国的了解。近年来，继韩剧热之后，中国多元化的收视市场又迎来了“泰剧热”。自 2009 年泰国肥皂剧《天使之争》在安徽电视台首播，收视率获得成功之后，泰剧开始拥有稳定而逐年上升的受众群。一些视频网站开始播出最新泰剧。泰国政府也出台了相关政策推广泰剧。泰国驻上海领事馆文化领事蓬威帕·纳邦昌曾表示，泰剧是向世界推介泰国的最有效途径。“泰剧反映了泰国人的信仰、价值观，生动展现了泰国人的生活和泰国美景。我们也希望借助泰剧，促进泰国旅游业的发展”。

除此而外，泰国加快了在中国推广其世界范围内知名度高、影响力大的泰餐、泰拳、泰式健身等文化品牌。例如泰餐在官方民间并举的推动下，近年来在中国获得快速发展，泰式餐厅随处可见。作为将“世界厨房”作为发展战略的泰国，其食品学会对中国消费者的饮食习惯进行调查研究，并为泰国餐饮经营商制定了开拓中国市场的相关策略。

#### **D.王室外交的推动力**

基于泰国的政治体制，王室对于高层政治和世俗都有着重要的影响力。泰国也把王室外交作为其重要的外交手段之一。

中泰建交以来，社会文化方面的交流获得了普密蓬国王和诗琳通公主的大力支持，产生重大影响。尤其是诗琳通公主酷爱中国五千年灿烂文明。她勤学中文，能说一口流利的汉语，擅长中国书画。她积极从事泰中友好事业，成为中泰之间的友好使者。

被泰国称为“国之瑰宝”的诗琳通公主自 1981 年首次踏访中国以来，就被中国的秀美河山和历史悠久、余韵飘香的中华文化所深深吸引。至 2017 年，公主已来华访问交流了 41 次，成为到访次数最多，访问密度最高的海外王室友人。她曾这样描述自己的感受：“当我第一次踏访龙的国土时，就被她博大精深的文化所吸引，被她的美丽山川所感动，我想知道她的过去与未来，我要了解她的全部风貌。就是那个时候，我决心要走遍中国。”

她将所到之处的感受都记录下来，整理成书出版，向泰国人民介绍中国。至今已出版多部著作，如《了踏访龙的国土》、《平沙万里行》、《云南白云下》、《江南好》等。这些著作图文并茂，为增进两国人民的相互了解和友谊作出了卓越的贡献。

#### **2.1.2 中泰教育交流**

##### **A.教育交流成效显著**

教育交流是人文交流的重要方向，是实现“一带一路”民心相通的基础工程，教育交流具有覆盖面广、影响深远的特点，绵绵用力，久久为功，面向未来，能够长远地为“一带一路”建设增强民意基础，并持续培养人才。泰国作为“一带一路”朋友圈中的重要合作伙伴，中泰教育交流经过四十多年的努力，取得卓越成效，在整个东南亚和东盟国家中具有示范效应。

从留学教育来看，中国已成为泰国留学的最大生源国，数据显示，中国大约有 3 万人在泰国留学，比 2001 年增长近十倍，分布在泰国 44 所高校，与此同时，泰国已成为中国的第二大留学生来源国，在华留学生超过 2 万人。

赴泰留学人数最多的前 5 位国家为中国、缅甸、越南、美国、老挝。中国留学生攻读人数最多的前 5 位专业是工商管理、泰语、市场管理、国际工商管理和泰语教育。泰国驻昆明总领事陈维钦介绍说，泰国教育的优势在于具有国际社会承认的国际化教学水平和多种教学课程，例如与世界各地著名大学有合作的联合学位课程，赴泰留学还可以申请美国、欧洲等外国奖学金。随着中泰两国经贸往来不断增多，通晓两国语言的人才需求随之扩大，这也成为中国学生选择留学泰国的重要原因。此外，泰国生活费用相对低廉、教育签证更容易获得，这些也是中国学生留学泰国的考量因素。在 2016 年举行的中国东盟教育部长圆桌会议上，中泰两国签署了

有关两国教育部之间互认高等教育学位的协议，以促进双方学位资格认证、交换学生等。

从汉语国际教育来看，随着“一带一路”的持续推进，泰国“汉语热”持续升温。来自孔子学院总部/国家汉办的数据显示，截至 2017 年底，泰国 3000 多所中小学开设汉语课程，学生超过 100 万人。汉语已成为泰国的第二外语。迄今为止，泰国已经成立 16 所孔子学院和 18 家孔子课堂。

从教育项目合作来看，中泰教育合作项目官民并举，覆盖高等教育、基础教育和职业教育方方面面，近年来，随着“一带一路”建设的带动，围绕高铁等项目的职业教育合作蓬勃开展，成为教育交流的最活跃的领域。例如，2018 年 4 月 19 日，由泰国教育部、国家汉办指导，重庆市教委牵头，重庆工程职业技术学院、泰国孔敬大学孔子学院共同发起了中泰职业教育联盟，得到了来自中泰双方众多优质高职院校的积极响应和参与。这将进一步推动合作项目的开展并制定两国职业教育交流的标准和规范。

2015 年是中国-东盟“教育交流年”，曾任泰国驻中国大使醍乐堃·倪勇先生接受中国主流媒体专访，认为中泰之间教育交流与合作取得丰硕成果，泰国作为东盟的创始国，可以作为中国通往东盟的门户，更有效地促进教育和各领域的实质性合作；中泰教育交流的合作模式影响着整个中国与东盟的教育交流。

## B.孔子学院

在亚洲，泰国是孔子学院数量最多的国家之一，也是首个将汉语教学纳入国民教育体系的国家。据泰国教育部的不完全统计，目前泰国共有 3000 多所学校开设了汉语课程，学习汉语的人数达到了 100 多万。2006 年 8 月，中国在泰国的第一家孔子学院在泰国孔敬大学成立；同年 11 月，全球首家孔子课堂在曼谷唐人街的贷密中学成立。截至 2017 年底，中泰合作共建 16 所孔子学院，18 所中小学孔子课堂。泰国成为亚洲拥有孔子学院最多的国家之一。

目前，中国汉语教师志愿者在泰国执教的人数累计已超过 1 万人次，中国派往泰国的汉语教师志愿者人数成为世界之最，极大地缓解了泰国对汉语教师的需求，推动了泰国的汉语教学和中泰文化交流。

泰国“汉语热”的原因可以归纳为：随着中泰经济往来频繁，汉语人才奇缺；“一带一路”建设使一些专业人才需求凸显，到中国或中国公司就业成为泰国年轻人的较优选择；中泰友好使者——诗琳通公主大力推动整个泰国的汉语教学；泰国华人华侨支持的数量众多的华文学校坚持汉语教学和中国文化推广。

### 2.1.3 中泰旅游

创造票房奇迹的中国电影《泰囧》也许最能直观地体现中国人到泰国旅游的热情和便利。中国已成为泰国旅游最大客源国，据泰国旅游和体育部数据显示，2017 年，中国游客赴泰国人数超过 980 万，同比增长 12%，为泰国带来 5290 亿泰铢的收入。2018 年更超过了 1000 万，2018 最受中国游客欢迎的 20 大目的地国家，泰国蝉联第一。早在 2012 年，中国已超过马来西亚成为泰国最大的旅游客源国。

泰国旅游业是对泰国经济贡献最大的产业，多年来，泰国旅游业一直保持着创汇第一的地位。泰国旅游局 2016 年提出了“促进和提高中国旅游市场品质”计划，积极推动蜜月旅游、高尔夫旅游、医疗旅游等高端服务，并将旅游路线从传统的曼谷-帕塔雅-普吉-清迈等地延伸到更多的外府地区，旨在以旅游为杠杆促进外府地区的社会经济发展。依托“一带一路”建设宣传泰国魅力文化，引导中国游客赴泰深度游，正在成为泰国政府进一步激发旅游业发展活力的重要国策。

泰国是全世界医疗旅游的首要目的地，素有“亚洲健康中心”和“第三世界价格，第一世界享受的美誉”。2017 年，泰国私立医院接受外国病患 330 万人，创造了约 4900 亿泰铢的收入，也逐渐成为中国人医疗旅游的最佳选择地之一。泰国有着悠久的传统医学历史，其草药产品、SPA



养生、抗衰老医疗保健等服务颇具特色。

#### 2.1.4 中泰其他领域合作

两国在科技、卫生、司法、军事等领域的交流与合作稳步发展。双方签署了《科技合作协定》（1978年）、《引渡条约》（1993年）、《民商事司法协助和仲裁合作协定》（1994年）、《刑事司法协助条约》（2003年）等。2001年，两国国防部建立年度防务安全磋商机制。

中国企业将为泰国泰空公司设计建造一颗宽带通信卫星，计划于2019年发射升空。中国科学院将在泰国启动东盟（曼谷）创新中心，为两国科技合作搭建新平台。中泰务实合作正进入以新技术、新经济为代表的新轨道。

### 2.2 “一带一路”背景下中泰人文交流呈现新格局

泰国是最早响应“一带一路”倡议的东盟国家，成为中国“一带一路”建设的重要伙伴，因其中南半岛的优越位置和东盟国家中的地位将在中国与东盟关系中承担重要的桥梁和纽带作用。“一带一路”倡议因其共建共享、共同繁荣的理念与泰国的国家发展战略高度契合，基础设施“互联互通”正是泰国经济社会发展的需要，在新技术、新经济领域两国亦有合作的无限空间，这些都成为“一带一路”构想中人文交流需要发挥“软环境、软联通、软实力”的领域，可以说，只有人文交流并行，甚至先行，才能让“一带一路”的思想和理念得以传播和形成共识，造福于沿线人民的美好愿景才能得以顺利实现。

#### 2.2.1 “一带一路”倡议与泰国的发展战略高度契合

对中国而言，推动“一带一路”建设，深化中泰关系具有重要意义；而对泰国而言，“一带一路”倡议与泰国当前的发展战略契合，“政策沟通”全面对接。近年来，泰国政府相继推出泰国4.0、数字泰国、东部经济走廊等发展战略，聚焦转变经济发展方式，构建以创新驱动为主的新的经济发展模式，这同“一带一路”目标高度契合。泰国总理巴育表示，泰国欢迎并愿积极参与“一带一路”等重大合作倡议，推进铁路、农业、旅游等各领域合作，促进人员往来，增进传统友谊。2016年12月，中泰经贸联委会第五次会议在北京举行，双方一致同意在“一带一路”倡议和泰国4.0战略基础上，将基础设施、产业集群、电子信息通信技术、数字经济、科技和能源列为未来5年双方经贸合作五大重点领域，双方在发展战略和政策理念上实现全面对接。

#### 2.2.2 基础设施互联互通提升合作格局

《共建愿景与行动》中提出“一带一路”将致力于亚欧非大陆及附近海洋的互联互通，建立和加强沿线各国互联互通的伙伴关系。中国与泰国的“设施联通”稳中有进。昆曼公路北起云南昆明，经老挝连接曼谷，全长1880公里。自2008年正式通车以来，为便利沿线国家人员往来和物流发挥了重要作用，成为纵贯中南半岛的陆路大通道。

中泰铁路合作更具有重大意义。对中国来说，中泰铁路是中国铁路这一优质产能出口的又一重要实践，也是推进中国“一带一路”倡议在湄公河国家实现突破的重点工程和旗舰项目。中泰铁路有利于连接中国西南部与东南亚各国的国际通道建设，作为从昆明到新加坡的泛亚铁路中线的核心部分，中泰铁路充当着承上启下的重要角色。对泰国来说，有利于推动泰国陈旧的铁路运输系统更新换代，极大地方便人们出行，带动泰国经济的发展，同时也有助于强化泰国在中南半岛及东南亚地区的交通枢纽地位、提升其区域影响力，与泰国国家利益高度契合。

泰国领导人多次表达推进项目的坚定决心。有关合作循序渐进，双方已举行17次铁路合作联委会会议，就设计、施工、融资等具体细节深入商谈。未来项目建成后，中泰之间将形成“陆铁并行”两大通道，对地区互联互通发展发挥重要的示范效应。

根据2014年的中泰铁路合作谅解备忘录草案，中国将参加建设泰国境内全长867公里的双轨标准轨铁路，纵贯泰国首都曼谷以北的国土。其中，一期工程已于2017年12月在泰国举行了开工仪式，该工程全长253公里，设计最高时速250公里，预计于2021年年底建成通车。建成后，这条铁路是泰国第一条标准轨高速铁路。

此外，除两大通道之外，中泰在网络、电力互联互通等领域合作不断深化，便利物流通关和推动人员往来的“软联通”合作也取得积极进展。



图一 中国研究建设的跨境高铁线



图二 中泰铁路示意图



图三 昆曼公路示意图  
资料来源：百度词条

### 2.2.3 新兴领域带来无限合作空间

“新技术”、“新经济”领域成为未来中泰合作的重点，这些领域则期待着人文交流创新合作机制。“新经济”无论是电子商务、社交商务还是新科技的应用，都带着互联网时代“以人为本”、“去中心化”的“人文特质”，在这些领域人与人之间的交流与沟通本来就是本质和内涵。

中泰合作未来将着力于这样几个方面：

电子商务有望成为新的增长极。互联网带动中国电子商务飞速发展，泰国政府倡导发展创新型经济，希望借鉴中国电子商务经验，促进中小企业发展。阿里巴巴等中国电商企业提出通过电商平台带动泰国中小企业发展，泰国政府和企业界反响热烈，双方将在电商发展、电商人才培养、物流等领域开展合作。今后中泰两国商家不仅可通过传统渠道做生意，还可利用互联网接触更广的消费群体。

高新技术产业合作前景广阔。泰国正在实施《国家科技与创新规划 2012—2021》，推出一系列促进创新举措，鼓励企业加大研发投入，加快科技成果商业孵化，提升国民经济附加值。泰国政府重视同中国加强科技合作，积极推动中国高新产业落户泰国，支持中国在泰设立中国—东盟科技创新中心。未来双方可进一步拓展在航空航天、电子工业、智能机器人、生物医药等高新领域的合作。农产品深加工合作潜力巨大。

农业是泰国基础产业，泰国农产品主要包括稻米、橡胶、木薯、玉米、甘蔗、热带水果等，在农产品加工方面经验丰富，优质农产品畅销全球，致力于打造“全球厨房”。泰方期待借鉴中方在发展高科技农业及农产品深加工领域的经验，进一步提升自身农产品附加值。双方企业应充分发挥互补优势，深入挖掘合作潜力，实现在农业科技和农产品深加工领域的互利共赢。

替代能源有望成为合作新高地。石油等传统能源泰国长期依赖进口，现有替代能源产能难以满足需求，能源缺口不断拉大，对经济可持续发展形成挑战。近年来，泰国政府积极调整优化能源结构，大力推进替代能源开发。根据《国家能源发展规划 2015—2036》，计划 20 年内将天然气发电量从目前 65% 降至 40%，替代能源比重由 8% 提升至 15%~20%。泰国对外合作需求巨大，认可中国新能源领域技术，未来两国企业在替代能源领域的合作有望成为新的合作高地。

### 2.3 推动中泰人文交流事业面临的问题

推动人文交流事业需要对一个国家的政治、经济、社会、历史和文化进行深入研究，站在一个民族对另一个民族人文关怀的高度上寻找共同价值和当下关切共同点，如果不能达成文明体之间的“价值共振”、“心灵相通”，就不可能在人文交流上形成一种从顶层设计开始的整体构架，以致使各个点上的用力不能聚合为一种久久为功的整体力量。

对泰人文交流有着传统友谊的良好基础，但现实中正在萌发的的问题已成为人文交流的面临的挑战和亟待着力的方向。

#### 2.3.1 泰国政局走势的不确定性

泰国政局成为“一带一路”推进的主要影响因素之一，也考验着人文交流对泰国主流社会中上层的影响能力。人文交流虽致力于民间发起、民间举办、民间创新和民间共享，力图从教育、科学、文化、艺术、卫生、传媒、体育等多个领域促进与对象国的沟通与交往，增进理解、文明互鉴，共同分享并创造人类文明的果实。人文交流虽具有去政治化和意识形态化的特点，但受一国政局的影响仍然是明显的，因为人文交流项目具有持续性的特点，需要经年协作，共同经营，稳定的外部因素才曾保障民间交流与沟通顺畅和可持续。

自 2014 年军事政变以来，泰国以军人集团与王室——保皇派为核心的保守阵营就一直在努力重组政治权力结构。泰国颁布的 2017 年宪法有利于保守阵营，一方面恢复了参议员任命制，使得保守阵营能全面掌控参议院；另一方面恢复了允许非民选人士出任政府总理，从而使

得巴育有可能不经过民选继续担任总理。但是，泰国他信派系的政治力量并未瓦解，革新阵营与保守阵营的“红黄分野”也并未从根本上得到弥合。因此，如果军人集团在 2018 年兑现承诺，“还政于民”举行大选，那就很可能再次迎来政治上的权力分化。尽管现任的巴育总理在稳定局势、推行改革方面做了大量的工作，但缓和泰国错综复杂的政治和社会矛盾尚需时日。

### 2.3.2 对“一带一路”倡议的理解误区

“一带一路”虽明确提出了共商共建共享原则，但是并不能改变泰国部分人士对“一带一路”的误读误解和现实担忧。

这方面的原因很大程度上源自国内自身，很长时间以来，中国媒体对“一带一路”的传播都存在过度解读的问题。实际上，在今天的传播格局下，对内与对外传播早已没有界限，而中国媒体普遍缺乏对国际传播的认识，记者和编辑对国际传播的理论和实践缺乏系统研究、话语转换和实际有效操作的能力，造成“一带一路”在传播战略上的失误。2015 年 3 月 28 日，中国政府发布的《推动共建丝绸之路经济带和 21 世纪海上丝绸之路的愿景与行动》中，明确表示“一带一路”是“重大倡议”。但在中国媒体宣传中，却在早期时经常说成是“对外战略”，虽然国内也在对对外传播的若干失误进行总结并纠正偏差，但传播的前期效应却然会发生影响。这些严重误区，也同时出现在大量学术文章中。这使得一些国家开始对“一带一路”产生一定不确定情绪，东南亚本是大国外交的角逐地带，西方和美国等国家的言论十分容易对泰国主流媒体发生影响，在一些言论“故意误读”的煽动下，泰国部分人士产生疑虑也并不奇怪。

另外，“一带一路”建设具有范围广、层次丰富的特点，在中国各级政府官员和工商业人士向外方宣介“一带一路”倡议并推动各类项目实施的时候，“中国本位主义”和一厢情愿十分严重，你认为对人家有好处的事，人家不一定这样看。向别人强加幸福也是一种“强加于人”，其效果可能适得其反。还有一种情况则是当然地认为中国是主导，并不真正考虑对方的需求和关切，对参与“一带一路”建设的工商业人士进行必要的人文交流培训已成为一种共识和现实需要，在以互联网和科技为基础和先导的现代商业中，共建共赢共享，共同创造价值是先进的价值观，这正与“一带一路”的“共商共建共享”完全一致。

这些，都可归结为人文素养的缺失。中国人长期以来缺乏客观看待自己和他人的能力，也缺乏基于平等和互相欣赏的沟通交流能力。中国人富起来了，强起来了，也走向了世界，但与世界对话，共建美好世界的心理还并不成熟。

## 3. 结论

“一带一路”倡议只有在经济、社会、人文领域去综合构建一种相互价值认同和和谐共生的“生态发展”，才能深入人心并获得持久的生命力。而人文交流已成为这种“生态发展”必须的“土壤”，人文交流不同于文化交流，它更重视“价值认同”和“共同创造价值”，只有不断思考人文交流的核心命题，不断实验交流形式，基于实践的基础上创新机制，才能让人文交流成为一种持续不断的动力和生命力，为“一带一路”和“人类命运共同体”构建不可或缺的“生态基础”。

### 3.1 人文素养教育应纳入国民教育体系

对一国开展人文交流，离不开共同价值的寻求。参考美国的软实力战略，或许可对我们有一些启示。美国凭借在二战中树立的国际形象，通过对大众传播的垄断（传媒、电影、动漫、商业广告、品牌营销）等形式，成功向全世界输出了美国价值观和文化，这种软实力的构建一方面基于美国制度、经济和军事的优势，另一方面也构建于当时世界在先进价值观方面的稀缺，同时，大众传播时代的传播规律也成就了美国。但美国的软实力战略却在今天必然受到挑战：美国在文化和价值观方面的自大，导致他实际上并不平等地对待世界上每一个文明体和文化体，互联网催生的新的文明和新的世界生态却是以平等、共享和去中心化为特质的，每一个民族和国家的主张都有望得到彰显并获得自信，在这样的时代特色中，所谓“优越的价值观与文化”不

再是“稀缺品”，新的传播格局也不再为“世界霸主”服务。

中国适应世界大势，适时提出“文明互鉴”、“美美与共”和“人类命运共同体”等理念，创造了代表人类文明发展方向的一种多元互融的价值体系，势必在“一带一路”和世界范围内不断扩大“朋友圈”，不断增强“价值共振”。

但有几方面问题亟待改变，一是对于“一带一路”和周边国家的研究，明显滞后于我们当前的需要；二是国内偏重成就报道的传播特点和国人的日渐富足使一种“自大”的情绪正在蔓延，部分官员和企业在与外方接触时，不能平等关切对方的诉求，也无心关注和尊重对方文化，一般民众却也把民族自信变成了自大；三是公众普遍缺乏尊重其他民族文化历史的人文素养，人文交流的主体经常是个人，如官员、企业人士和公民，每一个个体都代表着国家形象，因此，人文素养的培育是一项久久为功、绵绵用力的巨大工程，应纳入国民教育体系，走进基础教育和高等教育的课堂，对官员、企业、出国留学人员和旅游者等也可开展形式多样的人文素养教育，创新教育的模式、方式（如对旅游者等特定群体的教育，可让人文素养教育融入旅游服务中等）。

### 3.2 加强人文交流国别研究与应用

“一带一路”沿线国家民族众多，民族文化异彩纷呈，国家形态各个不同，政治经济社会发展极不平衡。十分需要在过去国别研究的基础上，加强基于国别的人文交流研究。

例如以泰国而言，历史、文化和现实的最大特色莫过于全民信仰佛教对社会结构、社会心理的影响。虽然泰国早在拉玛五世朱拉隆功（1868-1910）时就引进西方思想和制度，1932年建立君主立宪制，但宗教与王室对于政治与民众还保持着巨大的影响力。

在“一带一路”与泰国的合作中，最根本的问题是我们对发展、效益和效率的认识与泰国相差较大。泰国百分之九十以上的民众信奉佛教、性情平和、乐天知命，具有很强的文化包容性，因此中泰两国在长期交流过程中，很少出现文化方面的摩擦与隔阂。虽然双方都推崇发展概念，但作为佛教徒的泰国民众，通常满足现世，寄望来世，很少会有人像中国民众那样产生时不我待，舍我其谁的现世感。他们倾向于认同拉玛九世普密蓬国王倡导的“充足经济”理念，认为发展“差不多就好”，“慢慢来，不用急”。这使得泰国民众其实很难理解中国在全球化背景下倡导“一带一路”的核心价值观、重要性和必要性，并且很容易受国内外反全球化思潮的负面影响。

只有加强人文交流的国别研究，我们才能有针对性地对“一带一路”国家展开基于价值认同、价值共振的人文交流，才能有质量和长远地为一带一路实现“软联通”。

### 3.3 服务重大项目，创新交流机制

“一带一路”重大项目的实施急需人文交流活动展开以创造好的软环境。因此人文交流研究应围绕重大项目以设计和创新符合项目特点的人文交流机制。

如澜湄合作机制中，中老缅泰的“湄公河联合巡逻执法”举世瞩目，到目前为止已开展了71次联合巡逻，共同维护了湄公河“黄金河道”的公共环境和河道畅通，受到过往船只和沿岸人民的赞誉。联合巡逻队在沿岸国家开展大量人文交流活动，如缉毒禁毒宣传、文体活动等。云南省公安边防总队医院工作人员还参与到巡逻队中，为各国边防战士和百姓看病，并前往当地学校，送医送药，得到沿岸国家人民的欢迎。根据四方主管部门的共识，2018年将在缅甸万崩展开大型文体交流活动。“共引一江水”的和谐文化在流域渐进传播，作为澜沧江（湄公河）发源地的青海省玉树藏族自治州每年都邀请流域下游澜湄机制国家参与其赛马节等活动，让下游人民感受中国政府保护水源的努力。这些都是澜湄合作机制的人文创新。

再如中泰铁路，当前，围绕着中泰铁路项目的职业培训已在进展之中，已有广西柳州铁道职业技术学院与泰国大臣府商业技术学院签订校企合作协议，共同培养为高铁服务的留学生。此类项目除技术培训之外，应更多包含人文交流的内涵，让高铁所蕴含的中国精神真正传递到外方学员那里，让中泰铁路走进泰国人的职业和生活，随着更多泰国人成为高铁项目的一部分，

中泰铁路民意支持范围也会逐渐扩大。

再如泰中罗勇工业园区，是中国首批境外经济贸易合作区之一，也是首家在泰国开发建设的中国境外工业园区。作为“一带一路”建设的重要载体，它是中泰两国产能合作互补的一个重要平台，契合泰国政府正在推进的“东部经济走廊”建设。

罗勇工业园区位于泰国东海岸罗勇府，距离曼谷素万那普国际机场 100 公里，离泰国最大深水港廉差邦码头仅 27 公里，总体规划面积 12 平方公里，已开发 4 平方公里。凭借优越的区位与交通优势、完善的基础设施、免缴 8 年企业所得税的优惠政策，罗勇工业园区成为中企赴泰国投资兴业的第一平台。自 2005 年设立以来，已有汽配、摩托车、新能源、新材料、电子机械等多个行业的超过 80 多家企业进驻。带动中国对泰国投资超过 25 亿美元，累积实现工业总值 80 亿美元，解决当地就业 2 万余人。园区三期开发完成后，预计可容纳 300 多家企业，为泰国创造 10 万个就业岗位。

据了解，园区的目标是实现百分之七十左右使用泰国工人，实现本地化则面临着让泰国雇员了解中国和中国企业文化，企业在泰兴业也需要了解泰国国情与员工诉求。因此，在园区为企业提供的服务当中，人文交流作为软环境建设的重要部分目前尚不能完全贴合企业的需要，这是分布于“一带一路”沿线的约 13 个境外经济贸易合作区都面临的问题，只有继续创新人文交流机制，才让企业和园区更好地融入当地。

### 3.4 文化交流应贴合新生代需求

通过对泰国大众媒体的研究，日本、韩国、印度等国家与泰国的媒体合作多于我国，日本、印度等媒体更重视与泰国媒体的资本合作、栏目共建（比如娱乐节目）、影视进出口、合拍、艺人交流等，可直接交互影响，深入民间。但我国更注重影视资源置换、纪录片国际合拍制作等，将推介我国带有一定宣传色彩的纪录片、影视作品、舞台演出等作为工作重点，如《指尖上的传承》、《丝路时间》在泰国的推广播出等。

如果从人文交流的角度去思考和衡量，文化交流应向这几方面着力：

一是研究中国流行和时尚文化对泰国的影响，从青年群体着力。虽然中国从未像日韩那样倾心打造具有世界影响力的流行文化和时尚元素，且不遗余力地推动文化贸易。但不期然间，中国的网络小说、网剧等还是因其魅力和品质赢得泰国青年的喜爱（其他东南亚国家亦不例外）。对青年的影响力会延续到未来，因此，我们可以研究如何打造对东南亚国家（包括日韩、台湾等）文化折扣更少的流行文化产品，如影视剧、动漫、游戏等，使文化影响力通过这些作品去传播。

二是研究泰国传媒市场，打造符合泰国和中国共同需求的例如教育、汉语、旅游、美食、购物、健康等的频道、栏目、节目等，实现泰国和中国的两地播出。这将有助于教育、旅游等已形成相当交流规模的领域或产业融合创新，走向深化。

三是大力开掘新媒体的合作空间。随着中国手机、电子商务、支付宝、微信等在泰国的市场拓展，新媒体有更多丰富的载体。事实上，只要能实现交互性的传播信息，就能成为新媒体的载体。我们应开发更多本地化的社交媒体，服务应用等，让传播融入当地人的生活。

### 3.5 职业教育和汉语教育交流应更加多元化

目前，随着泰国工业 4.0、数字泰国、东部经济走廊等国家战略的推进，其职业教育毕业生的技能、数量和质量无法满足经济发展对人才的需求。同时，随着“一带一路”建设的推进，中资企业对泰国专业技术人员的需求大幅增加，而人才缺口较大，中泰职业教育合作前景广阔。

据联合国教科文组织 2011 年文献显示，2010 年，泰国近 200 万名学生接受普通高等教育，近 70 万名学生在泰国教育部主管的机构中接受职业技术教育，约 40 万名学生在私立教育机构中接受职业技术教育。泰国教育质量基金会称，泰国计划在未来十年内，将中等教育中职业教育和普通教育的学生比例从 40: 60 转变至 60: 40，以补充职业技能人才空缺。目前，泰国

十分缺乏计算机、通信、电子商务、机械、自动化、人工智能等领域的职业人才。

据对罗勇工业园的调研，已经入驻的 80 多家中资企业需要持续减少中方外派工作人员，逐步加大泰国本土技术及管理人才的比例，中资企业的人才需求与泰国当地人才供应存在较大差距。表现在：

技术人才数量不足。泰国投资政策委员会公布的面向中国招商的 10 个目标行业为：高附加值天然橡胶产品；机械设备；汽车及其零部件；电子产品及配件；医疗器械及零部件；火车、电车及轨道交通设备；飞机、航空设备及部件的生产及维修；电信设备及其配件生产；生物技术；软件。这些工业企业的生产及运营需要大量当地高素质技术技能型、管理型人才，但企业往往招不到足够的对口人才，面临人才荒。

语言不通，文化观念差异大。招聘的泰国员工除了少数汉语专业毕业生外，多数员工不懂汉语，对中国的文化及管理理念、管理方法缺乏了解和理解。中国企业实施的先进管理制度和管理方法无法落地，一定程度上降低企业生产运营和管理的效率和效益。

基于以上两种原因，中国职业教育“走出去”将大有可为。中国职业院校应积极顺应“一带一路”倡议“走出去”，加强与泰国大学、职业院校和中资企业的联系与合作，共同研究合作办学的方向和机制。如设立访问工程师、访问学者等多种交流项目，促进双方教师短期、长期互访；设立学生留学交流或暑期交流项目，相互了解两国的人文传统、管理理念，加深文化的融合和认同。

汉语教育交流除前文所述及的应加强与泰国当地华文学校的师资、教材、教程等的交流外，则需要拓展到为“一带一路”服务的领域中来，比如融入职业教育合作项目，也可尝试从商业化运营的角度，针对旅游、商贸等领域开展短期培训班、远程教育、电视教育等。基于孔子学院在美国的受挫，国际汉语教育应该更多选择按市场和需求供给的角度去拓展，而减少作为一种准公共品供给的方式，并注意减轻其作为文化输出载体的功能。（完）

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# 曼谷的大学商圈商店汉语使用与中国顾客购买意愿调查研究 ——以泰国博仁大学和泰国商会大学为例

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## 摘要

本研究主要在探讨曼谷大学商圈商店汉语水平及中国顾客汉语商店涉入对购买意愿之影响,故提出以下研究目的,研究泰国博仁大学和泰国商会大学商圈附近商家使用汉语水平的现状,了解中国顾客的性别对汉语服务商店涉入与购买意愿的差异,分析中国顾客汉语服务商店涉入,对购买意愿的影响,本研究样本为两百位商家和两百位中国顾客,研究结果发现商家的汉语使用率与能力总体为一般;不同性别的顾客在汉语服务商店涉入有差异,而且顾客的汉语商店涉入对顾客购买意愿有正向影响。在改进措施方面,商家应该加强汉语水平或招来会汉语的员工以提高汉语服务为了符合中国顾客增加的要求,提升顾客购买的意愿。

**关键词:** 商家; 汉语商店涉入; 汉语使用; 购买意愿; 中国顾客

## 1. 前言

当今社会中,人类的联系与交流已经没有地域、国界之分。科学与科技的飞速发展能够帮助人们快速又广泛的达到经济与人文交流。在教育方面,如今中国有相当一部分学生正渴望着能够摆脱中国大学的本土教育体制。中国国内大学的数量已经不足以接纳成千上万的考生进入大学学习。以至于中国每年都有无数的学子需要踏上远赴他乡学习的道路且数量成逐年递增的趋势。对于中国留学生来说,留学目的地首选归美国莫属。除此之外,中国留学生也开始对东盟国家的留学感兴趣。例如新加坡、马来西亚和泰国。(China Radio International,2012),从《在泰国的私立大学中国学生教育行为研究》发现,中国学生选择泰国的理由是与其它国家相比要更接近中国,出行要更加方便,想要申请进入泰国也并不困难(จิตรภณ ภูมิฉัตรมงคล,2016)。

至于泰国方面的情况,根据泰国国家统计局报告泰国的人口数量一直都在增长,但是发现增长率却越来越减少,在2007年童年人口数量占21.6%,可是在将来2037年泰国的童年人口数量会只有17.2%,而且出生率的趋势也越来越少(泰国国家统计局期刊,2007)。由于泰国出生率的问题,影响着泰国许多的教育单位,尤其是高初中学校和私立大学的学生数量率越来越少。因此,泰国私立大学纷纷调整政策,比如,给自己建出与其他学校不同的特点或有特殊的课程,包括转为面向中国市场招生(ศ. ดร. เกรียงศักดิ์ เจริญวงศ์ศักดิ์,2007)。另一方面,数量逐年递增的中国学生与数量逐年递减的泰国学生的问题,使得曼谷的大学周边附近变成中国人的小社区,也同样影响着泰国大学社区的商圈周围的商家们。许多店家也开始适时调整新的经营方式,比如发展与外国人员的沟通方面,发展服务方面,增加会说中文的员工,增加中文字样的价格牌和产品类别介绍或是添加中文说明的促销活动。目的是为了迎合消费者以及吸引新的客户群体和转变新的营销方式。

提高员工的汉语水平可以提高服务的品质,让中国顾客更了解商品,同时让顾客提升他们购买的意愿,商店提供汉语服务在产品促销上有一定的优势用中文向中国顾客促销产品提供中文说明解释产品性能,能吸引更多中国顾客购买产品,激发顾客购买的欲望,让顾客购买他们的产品,为商店带来的可观的商业利益(王玉洁,2016)。



因此，笔者想探讨曼谷市内的博仁大学和商会大学商圈附近商家对使用汉语以及汉语服务的现状，并且了解顾客对汉语服务商店涉入程度对购买意愿的影响。

## 2.研究目的

本研究主要在探讨曼谷大学商圈商店汉语水平及中国顾客汉语商店涉入对购买意愿之影响，故提出以下研究目的。

- 1) 研究泰国博仁大学和泰国商会大学商圈附近商家使用汉语水平的现状。
- 2) 了解中国顾客的性别对汉语服务商店涉入与购买意愿的差异。
- 3) 分析中国顾客汉语服务商店涉入，对购买意愿的影响。

## 3.研究定义与相关文献综述

### 1) 语言水平定义与汉语服务的相关研究

语言水平的定义，Longman Dictionary of Language Teaching and Applied Linguistics (2000:254)指出：语言水平指一个人使用语言以达到某种目的的熟练程度。Bachman (1990)将语言水平定义为“任何情况下，运用语言时具有的知识 and 能力”，即：语言使用者在听、说、读、写方面的不同水平。所以说，汉语水平定义指一个人能够使用汉语的各个技能以达到某种目的的熟练程度。

**听力**，是学习技能的开端而且还是开始学习语言的重点 (Morley, 2001)。

**说话**，指用语言表述信息，是一种信息与通讯交流的方式，包括听者和说者之间的角色交换，并让听者能够理解到说者所表达的信息 (Tsitsopoulou, 1992)。

**阅读**，指从篇章中提取意义的过程，为了能够正确的理解写者表达的意义，进行阅读者需要使用自己的思维过程将原有知识与经验和所看到的篇章合起来 (Conley, 1995)。

**写作**，是需要有知识的技能，而且需要从语言技能其他方面信息合起来，比如：听力、思维、说话 (Arapoff, 1967)。

**翻译**，是从某种语言到某种语言的表达意义的方式，并意义要和原稿语言相似 (Newmark, 1981)。

艾成浩 (2015) 在《泰国亚洲航空空服人员汉语服务情况的调查研究》发现大部分空服人员没学习过汉语，所以在工作中空服人员都遇上汉语使用的问题。最需提高汉语口语与听力的技能。而且认为如果有汉语技能工作会更有效率。

林风 (2015) 《分析泰国医疗旅游业汉语服务的应用》汉语服务上还存在着人才短缺和汉语水平不高，医疗专业词汇不足等问题。医院有翻译家为提供汉语服务的主要渠道。汉语沟通通过其他渠道还有限的。医院提供汉语服务是中国患者在选择医院是主要原因。他们建议应该增加人员数量，也提高医疗汉语能力。

张玉华 (2015) 在《普吉府四星级酒店工作人员的汉语水平情况的分析》发现酒店人员汉语能力较少，大部分不会中文，最需要学习交际汉语课程及旅游、酒店服务用语的汉语课程。

王玉洁 (2016) 《曼谷旅游夜市汉语服务研究》发现夜市商家销售人员汉语水平各个技能成果是一般，大部分商家最常用技能的就是听和说方面，从研究发现在夜市里的商家们汉语能力还不足，需要加强汉语水平能力。

### 2) 汉语服务商店涉入与购买意愿定义和相关研究

Zaichkowsky (1985) 将涉入定义为消费者基于本身固有的需求、价值观和兴趣，对某事物所认知的攸关程度。Varki and Wong (2003) 指出涉入是受到产品、情境、个人或其他因素刺激的影响，知觉到某项事物对个人的关系与重要性，而对该事物所产生的关注程度，是一种个人心理状态。方世荣 (2002) 认为涉入为消费者的主动参与程度、重视程度、投入程度等，涉入的类别与程度皆会影响了消费者在选择购买产品之行为意愿。萧至惠、蔡进发、赵元群 (2017) 消费者给予产品的主观意识或是重视程度即为涉入。而 Zaichowsky (1985) 以涉入观念来观察消费者行为，依涉入对象不同将涉入分为广告涉入、产品涉入与购买涉入三大类，广告涉入为消费者对于广告讯息关心程度及接触广告时的心理状态；产品涉入为消费者对于产品的重视程度；购买涉入为消费者在面临购买选择时对于产品的关注程度 (林隆仪与秦嘉志, 2006)，此分类在强调个人处理涉入对象时之行为的表现。

购买意愿方面, Dodds, Monroe and Grewal (1991) 认为购买意愿是指消费者愿意去购买该产品的可能性, 而这种可能性会受到认知价值的影响。Spears and Singh (2004) 指出购买意愿是个人有意识进行规划购买某品牌商品的一种努力, 而且消费者对于某产品或品牌具有好的印象与态度时, 就可能形成购买意愿。而 Varki and Wong (2003) 发现, 高服务涉入的顾客对服务重视程度高, 会透过一些互动方式来满足所重视的相关服务需求, 因此会增加其满意度与购买意愿。而且方世荣(2002)、魏文钦与侯耀庭(2008)、萧至惠等人(2017)在研究中也发现消费者的涉入程度会影响其购买行为意愿。由过去研究结果可知, 若消费者对某一事物具有高涉入程度, 其购买意愿会提高, 因此消费者对于汉语商店服务涉入程度可能会影响消费者之购买意愿。

## 4.研究方法

### 1)研究架构

本研究旨在探讨曼谷大学商圈消费者的汉语商店涉入对其购买意愿之影响, 经由前述研究动机与文献探讨提出本研究之概念模式, 如图 1。

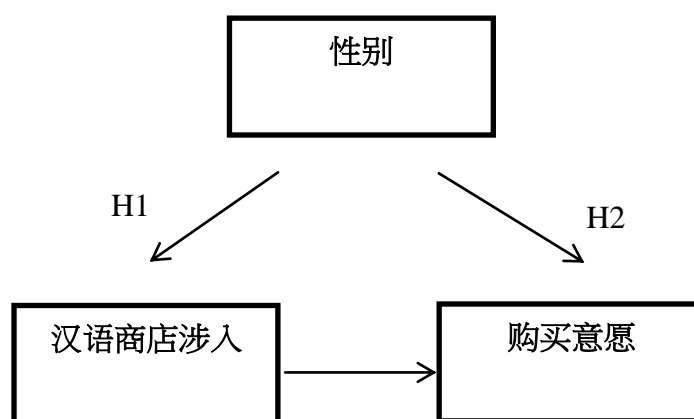


图 1 研究架构

### 2)研究假设

- A. H1 不同性别对汉语服务商店涉入有显著差异。
- B. H2 不同性别对汉语商店购买意愿有显著差异。
- C. H3 消费者汉语服务商店涉入对汉语商店购买意愿有正向影响。

### 3)研究对象与抽样方式

本研究目的是探讨关于曼谷的大学商圈商店汉语使用, 目前曼谷有很多大学招收中国学生的, 因此笔者选出两所较多中国人的大学周边社区来进行研究, 第一是泰国博仁大学, 第二泰国商会大学。

本次调查研究的样本是泰国博仁大学和泰国商会大学商圈附近的商家与顾客, 采用方便抽样两所学校各抽 50 个商店每个商店两个人, 人数总共 200 人, 在顾客方面每所学校抽 100 人共抽 200 人。然后进行派发调查问卷及观察。

### 4)变数之衡量的工具

#### 4.1 调查问卷内容与方式

调查问卷分成两份, 一份为商家的问卷, 另一份为中国顾客的问卷, 商家问卷分成三个部分, 如下:

第一部分: 个人信息, 如性别、年龄、收入、学历。

第二部分: 商店类型与运用到汉语的媒介。

第三部分: 商家和员工使用汉语水平, 分成汉语使用率和使用汉语的能力水平。

至于针对中国顾客的问卷也一样分为三个部分, 如下:

第一部分: 中国顾客个人信息, 如性别、年龄、教育程度、月收入 and 泰语能力。

第二部分：汉语商店服务涉入。

第三部分：汉语商店购买意愿。

#### 4.2 汉语商店涉入量表

汉语商店涉入量表是以颜福佑和王崇昱(2011)服务涉入量表加以修改，其定义为一种内心状态，为消费者对汉语服务的重视程度，亦为消费者对服务的主观意义。经由信度分析Cronbach's  $\alpha$ 为0.913，各题删除后之Cronbach's  $\alpha$ 为0.875-0.910，更正后项目总数相关皆大于0.6，故此量表具有良好的信度(Gay, 1992)。再进行验证性因素分析，因素负荷介于0.76-0.91，组成信度(Composite Reliability, CR)为0.913，平均变异数萃取量(Average Variance Extracted, AVE)为0.726。模式适配指标 $\chi^2/df$ 为4.458，GFI、AGFI、NFI、CFI、IFI、RFI依序为0.973、0.864、0.981、0.984、0.984、0.943，皆大于.80的标准，RMR=0.22 (Fornell and Larcker,1981; Hair, Anderson, Tatham & Black, 1998)。

#### 4.3 购买意愿量表

购买意愿量表以颜福佑和王崇昱(2011)购买意愿量表，为衡量消费者购买产品之可能性。信度分析Cronbach's  $\alpha$ 为0.902，各题删除后之Cronbach's  $\alpha$ 为0.859-0.997，更正后项目总数相关皆大于0.6，故此量表具有良好的信度。再进行验证性因素分析，因素负荷介于0.69-0.87，组成信度(CR)为0.904，平均变异数萃取量(AVE)为0.654。模式适配指标 $\chi^2/df$ 为4.044，GFI、AGFI、NFI、CFI、IFI、RFI依序为0.965、0.894、0.968、0.975、0.975、0.935，皆大于.90的标准，RMR=0.30 (Hair et al. 1998)。

## 5. 研究结果

### 1) 样本背景的分析

商家样本一共 200 人，女性人数多于男性。其中女性人数 122 人，占 61%；男性人数 78 人，占 39%。年龄层在 20-30 岁之间的共 102 人，占 51.0%。其次是年龄层在 31-39 岁之间的共 42 人，占 21.0%。接着是 40-49 岁之间的共 24 人，占 12.0%。接下来是年龄在 20 岁以下的共 20 人，占 10.0%。人数最少的是 50 岁以上人士，共 12 人，占 6.0%。学历最高的为中学毕业，总共 69 人，占 34.5%。其次是大学本科毕业共 55 人，占 27.5%。接着是大专学历 50 人，占 25.0%。接下来是拥有硕士文凭的共 10 人，占 5.0%。小学文凭 8 人，占 4.0%。其他学历共 8 人，占 4.0%。样本中月收入在 10,000-20,000 泰铢的人数最多，共有 80 人，占 40.0%。其次是收入为 5,001-10,000 泰铢的共有 55 人，占 27.5%。接着是收入在 20,001-30,000 泰铢的共有 26 人，占 13.0%。人数最少的是收入低于 5,000 泰铢的共有 3 人，占 1.5%。

顾客的样本共 200 人，女性人数多于男性。其中女性人数，117 人，占 58.5%；男性人数 83 人，占 41.5%。年龄层在 21-22 岁之间的共 119 人，占 59.5%。其次是年龄在 20 岁以下共 41 人，占 20.5%。接着是 23-24 岁之间的共 26 人，占 13.0%。接下来是年龄在 25 岁以上的共 14 人，占 7.0%。在教育程度人数最高是本科，总共 174 人，占 87.0%。其次是硕士共 25 人，占 12.5%。最少程度是博士的，1 人，占 0.5%。样本中月收入在 2,001-4,000 元的人数最多，共有 85 人，占 42.5%。其次是收入为 4,001-6,000 元的共有 50 人，占 25.0%。接着是收入 2,000 元以下有 37 人，占 18.5%。然后是月收入在 6,001-8,000 元的人数共有 20 人，占 10.0%。人数最少的是收入 80,001 元以上的，共有 8 人，占 4.0%。在泰语能力方面大部分人数 128 人会一点泰语，占 64.0%。其次是不会泰语人数为 63 人，占 31.5%。最少人数是能用泰语对话共 9 人，占 4.5%。

### 2) 商店类型与运用到汉语的媒介

样本当中绝大多数从事餐饮行业，共 105 人，占 52.5%。其次是从事宾馆和宿舍楼出租行业，共 35 人，占 17.5%。接着是便利店行业，共 29 人，占 14.5%。接下来是诊所和医疗门诊行业，共 11 人，占 5.5%。手机、电子产品销售店行业共 6 人，占 3.0%。培训班和美容店行业总共 5 人，占 2.5%。修理店行业 4 人，占 2.0%。大部分店内尚无中文标注指示牌的占 57.0%，店内有中文标注指示牌的占 43.0%。

### 3) 商家和员工使用汉语水平

样本人数总共 200 人，会说汉语的有 78 人，占 39.0%。至于不会说汉语的共有 122 人，占 61.0%。如若不能使用汉语，就得选择其它各种各样的沟通方式。肢体语言是最多的一种沟通方

式，占 28.8%。其次是使用英语沟通，占 28.4%。接下来是使用泰语交流，占 27.1%。还有使用翻译软件的占到 14.7%。使用其它沟通方式的占到 1.0%。

至于会说汉语的人中，大部分是靠着记下平常与中国顾客交流用的词汇的占 23.8%。自学者与报读培训班或从学校学过者人数持平，各占 21.1%。有过在中国生活的人占到 14.3%。本就可以使用汉语的人 12.9%。从身边的朋友中学习汉语的占 6.8%。

表 1 商业工作人员的汉语使用率

汉语使用率	MEAN	S.D	结果
听	4.22	1.077	最多
说	3.97	1.151	多
读	2.83	1.498	一般
写	2.64	1.450	一般
翻译	2.59	1.507	少
总体	3.25	1.060	一般

从表 1 可以看出，商家和员工们在使用汉语的过程中使用到的各个方面的技巧当中，使用率最高的是听，达到 4.22。其次是说，达到 3.97。至于翻译是运用得最少的，仅为 2.59，并所有技能的平均数为 3.25 等于一般。

表 2 商业工作人员使用汉语能力情况

汉语使用能力	MEAN	S.D	成果
听	3.85	1.106	好
说	3.68	1.122	好
读	2.90	1.491	一般
写	2.68	1.455	一般
翻译	2.63	1.424	一般
总结	3.15	1.176	一般

从表 2 可以看出商业人员们在使用汉语时运用到的技巧水平在一般程度，水平等级同等与 3.15。通过逐条分析后，得知最高分数为运用听力技巧，分数为 3.85。其次是运用说的技巧，分数为 3.68。分数最低的是翻译技巧，分数为 2.63。

#### 4) 中国顾客对汉语服务商店的涉入与购买意愿

表 3 中国顾客对汉语服务商店的涉入

入	汉语服务商店涉	EAN	S.D	成果
的	汉语服务商店对我而言是重要	3.84	.985	同意
关	汉语服务商店对我而言很有相	3.85	.937	同意
处	汉语服务商店对我而言很有用	3.97	.966	同意
店	我会选择及评估汉语服务的商	3.97	.961	同意
	总结	3.91	.857	意

从表 3 可以看出在中国顾客对汉语服务商店涉入方面，平均数为 3.91 等于同意。表格里面在汉语服务商店对我而言很有用处和我会选择及评估汉语服务的商店的项目，是分数最高的为 3.97，最少的是汉语服务商店对我而言是重要的，分数得到 3.84。

表 4 中国顾客汉语服务购买意愿

汉语服务商店涉入	EAN	S.D.	成果	
我会购买汉语商店的商品	3.86	.932	同意	
选择	汉语商店是我购买商品的第一	3.46	1.107	同意
店购买商品	我愿意推荐亲朋好友到汉语商	3.62	.911	同意
买商品	我以后还会继续到汉语商店购	3.65	.854	同意
语商店购买	就算价格高一点我还是会到汉	3.13	1.203	确定
	总结	3.54	.846	意

从表 4 可得知在中国顾客汉语服务购买意愿方面，平均数为 3.54 等于同意。表格里面在我会购买汉语商店的商品项目，是分数最高的为 3.86，最少的是就算价格高一点我还是会到汉语商店购买，分数得到 3.13。

## 6.研究发现的汉语使用的问题

从上述商家的汉语水平与使用率发现以下的问题

### 1) 一些企业单位仍然没有转换观念，接受新的顾客群体

来泰国私立大学念书的中国学生与日俱增，对泰国私立大学商圈附近商贩卖生意的影响也越来越大，商家可以做出如下调整。例如，需加强学习以便能用汉语与中国顾客进行沟通。在店面增加中文广告牌或者中文指示牌或是增加中文菜单亦或者是在店内增加广受中国顾客喜欢的

产品将更能吸引中国顾客。抽查中除了见到一些店面及时调整在语言上加强竞争力外，也还能遇见一些未能就接收新的客户群体方面做出调整的商家。由于中国顾客在买卖中对商品的性能和服务不够明确，包括沟通不了的问题以致于错失了机会。

## 2) 沟通方式的不同

沟通是一个在商家和顾客之间传输信息或是表达需求和相互理解的重要工具。商家和顾客常常在买卖过程中出现迟缓和差错，就是因为双方在语言上沟通不当所致。比如，双方都不是英语母语者或者是双方的英语水平都不够好，再或者是双方都各自使用母语进行沟通，又或者是一方使用简单的肢体语言来表达需求。如果幸运的话，沟通就没有问题，一切顺利。但如果哪天沟通出现了问题，就需要花费很多时间去寻找一个懂得语言的人来进行沟通。其实如果双方都懂得彼此的语言和文化的话，该问题就迎刃而解。

## 3) 汉语服务不足

笔者从研究得知，两所大学商圈附近的商家提供的中文服务仍不足够。详情如下：

3.1 **能说汉语的店家服务仍然不够**。有的店内可能同时进来很多中国顾客，但只有一名员工能说汉语，其他员工也没法跟顾客交流。由于中国顾客不会说泰语或者英语，导致交易缓慢或是影响了服务质量。

3.2 **广告牌提供的汉语信息不足或是意思不正确**。调查中发现有的汉语指示牌仅能告知消费者这是何种类型的产品，而并没有提示其它具体事项。如价格、促销产品、菜单。如此中国顾客将会有疑问，但店家又无法解答或是解答的不全面。除此之外，还发现某些店家直接用软件将翻译好的汉语指示牌和广告牌向顾客展示，然而有的词和语法又是翻译错误的，这将导致顾客产生误解。

3.3 **汉语的水平还不达标**。从分析得知，尽管商家们都认为汉语在买卖中很重要，也认为汉语对他们的创收有帮助，但商贩和福谏人员们的中汉语平还不足以与中国顾客进行细致沟通或者是提供周全的服务。这个笔者从商业人员在汉语的运用和知识水平在“一般”等级的抽查结果就得知。曼谷的私立大学商圈附近商贩们大部分是从事餐饮行业的一些小店。商业人员们大部分是处于中年期，加上大部分学历最高为中学毕业。如果根据手上的资料，回过头再看 30-35 年前，那时的泰国还没有将汉语列入到基础教育当中，才有一部分原因导致他们的汉语水平不高。好多商贩仅仅依靠从与中国顾客的交流当中记录下一些简单的词汇和短句学习，会汉语的大多数人员也未进行过汉语水平测试，并不像宾馆和宿舍楼出租行业或诊所直接招聘一些学习过汉语的员工在店里面提供汉语服务和帮助。

## 7. 假设检验结果

### 1) 不同性别消费者对于汉语商店涉入与购买意愿之差异

不同性别消费者在汉语商店涉入 ( $t=2.120, p=0.035<0.05$ ) 具有显著差异，且由平均数来看，女生平均数 (4.054) 大于男生 (3.805)，因此可知女性消费者对于汉语商店涉入会高于男性消费者，表示女性消费者比男性消费者更重视商店的汉语服务。而不同性别消费者在购买意愿 ( $t=0.813, p=0.424>0.05$ ) 没有显著差异，表示女性与男性消费者在购买意愿上没有太大的不同。因此假设 1 成立，假设 2 不成立。

### 2) 消费者汉语商店涉入对购买意愿之影响

从表 5 回归结果发现，消费者汉语商店涉入对购买意愿具正向显著影响 (标准化  $\beta=0.700, t=-13.807, p<0.001$ )，表示消费者的汉语商店涉入越高，购买意愿也会越高。汉语商店涉入对购买意愿之解释变异量为 49.1%，亦为消费者汉语商店涉入能预测其购买意愿之预测能力达 49.1%，亦表示消费者越重视与汉语商店的汉语服务时，消费者的购买意愿会越高，研究结果与 Varki and Wong (2003)、方世荣(2002)、魏文钦与侯耀庭(2008)相符，故研究假设 3 成立。

表 5 汉语商店涉入对购买意愿之线性回归表

变项	$\beta$	SE	标准化 $\beta$	t
(常数)	0.838	0.201		4.177***
汉语商店涉入	0.692	0.050	0.700	13.807***
R2	0.491			
Adj R2	0.488			
F	190.624***			

注: \*\*\*表示  $p < 0.001$

## 结语

本研究着重于展开关于在曼谷的大学商圈商店汉语使用与中国顾客购买意愿调查研究。研究目的: 1. 研究泰国博仁大学和商会大学商圈附近商家使用汉语水平的现状; 2. 了解中国顾客的性别对汉语服务商店涉入与购买意愿的差异; 3. 分析中国顾客汉语服务商店涉入, 对购买意愿的影响, 并研究成果如下:

在商家使用汉语水平的现状, 发现商家汉语水平在使用率和语言能力的方面在于一般的程度, 并听力使用率和能力是最强的, 商业人员们大部分是处于中年期, 加上大部分学历最高只是中学毕业。如果根据手上的资料, 回过头再看 30-35 年前, 那时的泰国刚开始有将汉语列入到基础教育当中, 而且之前曼谷的各个大学招来的中国学生数量是非常少的, 后面几年中国学生人数才有明显的增长与变化, 加上大部分商家使用学习汉语的方式都是与中国顾客的交谈中记录下一些词汇和短语的方法, 使得商家他们使用汉语的经验与时间很少, 这才是一部分原因导致他们的汉语水平不高。

而本研究的假设检验结果方面, 发现女性顾客比男性顾客多, 并不同性别的中国消费者在汉语商店涉入具有显著差异, 可能是因为女生对商店产品服务的重要性比男生高。而不同性别消费者在购买意愿没有显著差异, 表示女性与男性消费者在购买意愿上没有太大的不同。在消费者汉语商店涉入对购买意愿之影响方面, 发现消费者汉语商店涉入对购买意愿具正向显著影响, 表示消费者的汉语商店涉入越高, 其购买意愿也会越高。

综合上述研究结果, 本研究提出问题解决和改善的措施如下:

**1. 调整经营方式增加一些针对于新型顾客群体的服务或商品。**当传统顾客逐渐减少, 而新的中国顾客来取代之际, 商贩们就应该及时做出调整, 以便接受新出现的机遇。例如, 有能说汉的员工招待顾客, 店内有用于引导促销的汉语指示牌和便于让顾客明确产品类别信息和服务的中文价格标注。这些除了能给经商制造机遇外, 还能让中国顾客感到暖心。也让顾客在此享受服务后能够感到对产品有信心以及能够减少因沟通不顺畅而产生的问题。

**2. 增强自身汉语水平,**从研究分析得知, 泰国博仁大学和商会大学商圈附近有许许多多各式各样大小不一的店铺。大的包括酒店、宿舍或者医院, 应该认认真真的加强中文服务水平。由于商业运行当中会遇到一些认知方面, 风险方面的问题, 需要从法律方面创造条件, 因此商贩方面应该加强一些汉语方面的服务。比如安排一些会说汉语的全职员工。至于一些小的商铺, 有一部分没有办法聘请会说汉语的员工, 才有必要自学汉语或者是从与顾客的交谈中记录下一些词汇和短语来运用。有效率的提高汉语水平的方式是, 通过大量的与中国顾客交流来不断积累经验或多向懂汉语的人去学习, 亦或者是报读短期汉语培训班, 再或者是参与大学或是语言学习单位组织安排的活动。例如孔子学院、专业语言协会等等。

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# 浅析中国电影市场发展问题 ——以 2012-2017 年中国电影市场为例

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## 摘要

中国电影市场目前发展态势良好，影片产量与票房都呈现上升趋势。巨额的票房仍然掩盖不了一些问题，包括电影产品质量参差不齐，服务渠道中电影排片量悬殊，以及进口片在中国电影市场中占有的不合理比重。研究从 2012 年至 2017 年的中国电影市场产品与票房入手，分析市场发展失衡的原因，找寻合适的改善措施，以促进中国电影生态平衡。

**关键词：**中国电影；票房；电影排片；进口电影

## 1.引言

近年来，中国的社会经济水平不断提高，中国电影市场迎来了繁荣的景象。电影既是一种媒介文化，又是一种娱乐形式，电影的兴盛与发展是文化产业中必不可少的组成部分。

一个国家的文化发展水平可以从电影的制作水平中体现，电影这一媒介文化产品在国际文化的贸易中也可以侧面反映出一个国家在国际竞争中的地位。在 2017 年，中国电影市场首次突破 500 亿元票房大关，全国银幕块数达到 44489 块，成为全球银幕数量最多的国家。在总体上中国电影的发展仍然体现出迅猛、积极的态势，但从某些问题来看，中国电影产业仍旧处于初级阶段，在光鲜的外表下潜藏着很多问题。

对于电影产业的相关研究，世界上均获得丰硕的研究成果。本文的研究目的在于初探中国电影市场的发展现状，故而对文献的梳理集中在电影票房影响因素这一角度。票房影响因素分析研究诞生在西方：20 世纪 80 年代，美国电影经济学家巴瑞·李特曼对电影票房的影响因子展开探索，将票房影响因子分为影片类型、MPAA 评级、故事熟悉程度、出品国、明星与导演等，与影片票房建立回归模型，研究发现导演、明星和票房之间的存在正向关系，为后人的研究奠定了重要基础；90 年代，斯格特苏凯在李特曼的基础上细化影响因素，进一步量化了电影市场竞争中的差异。时间进入到 21 世纪，美国的拉姆什等人利用神经网络模型预测票房，对电影票房取得了良好的预测结果。视角转到东方，中国的学者大多也通过建立回归模型和神经网络等方法对电影票房影响因素展开实证研究。谭明月分析了城市人均可支配收入、国家对文化产业投资、影院数量等六个因素对电影票房的影响，发现了影院数目、人均城市道路面积与院线票房数量有正向关系。郭欣茹关注电影产业中的明星效应，以放映场次、电影类型、制作成本等指标作为控制变量，对电影票房展开定量研究，发现明星对票房有着明显的促进作用。

本文通过对前人研究成果的梳理，决定从电影产品、发行渠道以及票房市场三个角度对中国电影市场展开描述分析，在客观地认识中国电影市场取得的成绩之基础上，对其存在的问题梳理分析，以期发现对中国电影事业未来发展的启示与建议。

## 2. 电影产品：质量参差不齐

电影作品是电影市场的主体，电影作品类型的分布情况是电影生态环境发展是否协调的重要指标。从2012年至2017年中国排名前二十的电影之类别来看，最受欢迎的电影类别为科幻、喜剧、剧情和动作。其中，科幻类电影在中国一直是最受欢迎的类型，喜剧片的发展呈上升态势，剧情片与动作片的受众喜好程度稍有下跌。相应，惊悚与犯罪类型的电影数量开始缓增。但从总体上看，类型电影的电影票房悬殊较大，换言之，在中国电影类型的发展水平高低不一，电影产品市场出现了两极分化的现象，这也说明了在产品这一角度存在发展失衡的现象。

表一：2012-2017年中国电影市场总票房前20的电影类型一览

	2012	2013	2014	2015	2016	2017	total	PCT%
爱情	0	1	3	1	2	1	8	6.67
喜剧	2	2	5	6	5	4	24	20
动作	5	3	1	1	1	2	13	10.83
剧情	4	4	2	3	0	3	16	13.33
科幻	6	8	8	4	7	5	38	31.67
恐怖	1	0	0	0	0	1	2	1.67
动画	1	1	0	1	2	1	6	5
惊悚	1	0	1	3	1	1	7	5.83
犯罪	0	1	0	1	2	2	6	5

（数据来源：艺恩电影中国票房网站）

究其原因，可以从供求双方进行讨论。

中国的电影市场实行市场经济体制，以市场调配资源，生产环节决定消费活动。但基于达拉斯斯麦兹的受众商品论，在媒介文化领域受众的决定性因素更强。在受众商品论中提到，媒介集团生产媒介文化产品是以打包受众的收视率或关注度出售给广告商，继而获得利润。如何去获得受众的关注和收视，则是通过制作受众喜爱的媒介文化产品而实现的。通过对类别电影的统计数据可以看出，受众更喜欢科幻、喜剧、剧情和动作类电影：科幻片、动作片场面宏大、情节紧张、冲突鲜明，与受众的生活方式反差性较大，提供了具有“差异性”体验的文化产品，引起受众观影的兴趣；电影节奏较快，与当下社会的快节奏生活方式匹配，受众更喜欢以简单的方式获得愉悦，获得观影的刺激感。剧情片和喜剧片通常借助于生活场景，与受众的生活有很大的交叉之处，在大众文化的“相关性”中体现出戏剧的冲突，舒缓压力和娱乐的作用凸显。在上述四类电影发展态势良好的情况下，惊悚、犯罪、恐怖类型的电影的票房较低。电影的题材和类型影响票房收入，在受众观影喜好与选择下，电影票房出现两极分化的情况。

消费同样也对生产起到重要的反作用。在当下，大众文化开始出现“奇观化”现象。奇观理论由居伊·德波提出，道格拉斯·凯尔纳等人对其进行延伸发展，“奇观”是现代技术媒体遵循商品逻辑制造出的影像，以及在这背后潜藏的复杂社会关系。这些复杂的社会关系包括人们对媒介的屈从、商品逻辑、本体颠倒、物化意识形态等等。在这一文化背景下，消费者愿意消费快餐式的文化产品，它们碎片化、快节奏，可以通过提供感官刺激来使受众获得愉悦感。在赛里格曼的观点里，满足感需要通过努力及天赋相配合才能获得，而愉悦——简单的愉悦，仅通过感官刺激即可拥有。在当下的中国社会，人们普遍承受着较大的压力，所以他们喜欢通过观影的形式来获得跳出式的满足。

观察每年票房排名前二十的电影，受众往往因为渴望获得愉悦去选择以上类型的电影进行参观，在排行榜之外，也有许多优秀的影视艺术作品——故事片，或者纪录片（如《百鸟朝凤》），

2016年；《冈仁波齐》，2017年）登陆院线，然而受众关注度和选择度均不高，慢节奏的文艺作品发展空间受到限制，甚至有些举步维艰。

### 3.发行渠道：排片量差异

2016年5月12日，电影《百鸟朝凤》的制片人方励在直播视频中下跪，呼吁中国院线支持这部电影，为其增加排片量。

排片率的高低影响着影片在市场中的占有率。排片是否合理影响着电影市场的生态平衡。从理想的状态来看，不同类别的电影会在排片量上存在差异，但在电影市场中，无论是商业片还是文艺片，都应有一个相对合理的安排。但在当下的中国电影市场中，“叫座不叫好”和“叫好不叫座”的情况依旧此起彼伏。

表二：《美国队长3》与《百鸟朝凤》排片率、票房情况对比

片名	日均场次	首日排片率(%)	票房(万元)	口碑
美国队长3：英雄内战	18521.56	53.72%	124635	7.8
百鸟朝凤	1292.01	1%	8694	8.4

（数据来源于艺恩电影中国票房网站、豆瓣网）

从表二可以看出，进口商业片《美国队长3：英雄内战》（以下简称为《美国队长3》）的日平均场次达到18521.56场，总票房达到12.4亿；文艺片《百鸟朝凤》的日均场次仅为1292.01场，日票房收入仅为280.45万元。两个影片的排片情况和票房收入差异悬殊。但从豆瓣网及其他的网票渠道评分来看，《百鸟朝凤》的口碑评分要优于《美国队长3》，这种观影感受的差距在文字评论里表现更为明显：89%的观众看完《百鸟朝凤》之后觉得这是一支不错的片子，而《美国队长3》56%的观众在剧情和人物设定上表现出不满。

电影的排片场次与票房相关，电影的排片场次越多，票房也就越高。虽然文艺片与商业片有不同的排片策略，但如此的反差会导致中国电影市场服务的失衡。

现下，中国电影排片模式为院线统一下发排片指导意见，旗下影院根据预售情况进行调整，电影排片由影院经理负责。在这一排片模式下，影片带来的利益是院线考虑的主要因素。譬如在《美国队长3》上线某影院时，排片率超过40%，院线即可获得1个点的利润；排片率超过45%影片的利润分成将提高到2个点。进口科幻片的商业利益十分可观，所以排片率高于国产电影。而对于文艺片，院线一般采用保守策略，继而导致排片量被压缩。

另外，影片的投资规模和宣传力度也对排片率造成影响。

### 4.票房市场：进口片占比不合理

近年来，中国电影票房每年都创下新高。2010年，中国电影票房首次突破100亿元，此后电影产业发展势头迅猛，电影事业愈发红火。2012年，中国电影票房超过日本，成为紧随美国的全球第二大电影市场。2017年，中国电影市场票房达到559.11亿元，首次突破500亿，进一步缩短了与美国电影市场的差距。虽然发展态势良好，但在产品结构，也就是国产-进口电影票房之间存在发展不合理的现象。

长期以来，中国电影市场的产品以国产电影为主，美国、韩国、日本、香港、台湾等引进电影为辅，共同构成。进口电影为中国票房市场注入活力的同时也带来了巨大的冲击，据每年电影上线的比例来看，应是本国电影票房收入占较大比重，进口电影票房收入相对较少。但具体的情况却是进口电影票房占据了本土电影票房市场中相当可观的比重，喧宾夺主的意味

十分明显。

表三：2012-2017年中国国产电影票房与进口电影票房对比

年度	中国总票房	国产电影票房 (亿元)	占比 (%)	进口电影票房 (亿元)	占比 (%)
2012	170.73	82.73	48.46	88	52.54
2013	217.69	127.67	58.64	90.02	41.36
2014	296.39	161.55	54.51	134.84	45.49
2015	440.69	271.36	61.58	169.33	39.42
2016	457.10	266.6	58.32	190.4	41.65
2017	559.11	301.53	53.93	257.58	46.06

(数据来源：国家新闻出版广电总局)

从表三中可以看出，进口片对于中国电影票房贡献巨大，2015年占比最少为39.42%，接近总票房的四成；2012年进口片占比52.54%，超过总票房的半数。

再来看中国的进口片相关政策：1995年，中国每年从好莱坞引进10部大片；2001年，引进影片的数量增加为20部每年，2004年，规定20部进口片中有6部为非美国电影；2012年，中美签订协议，进口分账片数量增长到34部；2013年，中国院线对进口分账片票房分成比例由13%增长至25%。自1994年第一部进口片引进中国之后，2010年阿凡达以13.39亿在中国突破了十亿票房，2011年，《变形金刚3》也创下了突破十亿的好成绩。虽然有中国国产片也在票房榜上崭露头角，如2012年《泰囧》、《心花路放》、《西游降魔篇》也突破十亿大关，2015年《捉妖记》24亿票房、2016年《美人鱼》34亿票房，2017年《战狼2》斩获56.81亿票房，但在票房超过十亿的大片中，好莱坞影片依旧占据半壁江山，中国国产影片难以与之抗衡。进口片仍是中国院线创造收入的重要阵地。

## 5.建议及结语

中国电影市场存在发展不平衡的现象，但对于电影市场的平衡，并非一朝一夕即可实现，需要的是电影产品、电影服务和票房市场三方相互协调、配合，才能促进中国电影事业良好发展。

首先，中国电影市场要促进各类型影片的市场平衡，避免视觉化、狂欢化的影片一家独大的局面。多类型的电影生产与传播不仅可以促进电影产品的多样性，还可以提升电影市场应对风险的能力。此外，制作优良的故事片、剧情片、文艺片在电影市场的舞台上角色愈发重要，受众的媒介习惯与观影素养将得以提升。

其次，对于电影的排片策略而言，中国电影市场需注重市场调配与文化政策相结合，以改变院线为了追求经济利益而大规模排片商业片的情况。中国电影市场可以借鉴美国的经验，建立不同类型的院线，通过清晰的服务定位给不同类型的影片提供排片上映的机会，也为观众提供更多的选择，譬如法国政府为了促进电影服务市场的平衡，通过政策强制保证各类型电影的排片量。目前在中国仍旧缺乏一系列的措施以保证“小众”影片的排片。在电影《百鸟朝凤》63岁的出品人下跪恳求院线增加排片时，许多中国导演包括徐峥、韩寒等都纷纷发声，呼吁建设艺术电影院线。然而这样的专门化院线依旧在襁褓之中，尚未孕育出来。

此外，针对中国国产电影票房与进口电影票房悬殊过大的问题，根本性原因在于中国国产电影对于受众的影响力不够强大——无论是“他山之石，可以攻玉”的求异性观影心理，还是国

产片的质量与进口片大手笔制作之间的差距，都致使了进口电影在中国票房可以“以一敌百”的局面。中国国产电影若想寻求进一步的肯定，需要提升影片的质量，无论在剧情还是特技上，都应该形成自己独特的风格，而不是一味模仿欧美大片——这样不仅仅降低了自身的文化品格，还引导受众的观影喜好朝着愈发扭曲的境况转变。

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# 贵州万山国家矿山公园的旅游吸引力提升途径

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## 摘要

贵州万山国家矿山公园是在万山矿产资源枯竭、发展矿业举步维艰的背景下发展起来的,正处于发展的起步阶段,在归纳旅游景区吸引力概念、影响因素以及重要意义的基础上,深入分析了其自然资源、历史文化、区位与交通、节日活动、配套设施、对景区的向往和景区整体形象等影响其旅游吸引力的因素,进而提出了提升其吸引力的途径。

**关键词:** 矿山公园; 旅游吸引力; 影响因素; 提升途径

## 1.绪论

旅游吸引力的形成是一个繁琐而系统的过程,不但取决于旅游地自由的资源魅力(如自然景观和独特资源),还同景区的服务水平及综合环境息息相关,从此基础上形成的综合吸引力(实质上是一种结构性的吸引力),关系着景区的长远发展。而万山国家矿山公园作为一部关于汞工业文明的宏大历史画卷,一处蕴涵厚重悠久历史的记忆之地,是贵州省唯一一座国家级矿山公园。但与同类别景区相比较,总体来说仍面临旅游吸引力不足的困境,因此对矿山公园的旅游吸引力的影响因素进行研究进而得出提升途径很有必要。

### 1.1 旅游吸引力的概念

旅游吸引力是指能促使旅游者产生旅游动机,形成旅游需求,最终将潜在的旅游者变为现实的旅游者的一系列吸引要素的有机融合。它是由旅游资源的丰富程度所决定的,它对旅游者决定或选择景区、旅游方式和类型发挥着及其重要的影响。在其他条件一定的情况下,旅游资源越丰富,旅游吸引力越大,引发的旅游动机就越强烈,带来旅游经济的规模也就越大。

### 1.2 旅游吸引力的影响因素

旅游资源被认定为旅游产业竞争力的根基,核心旅游资源是目的地吸引游客的最主要拉动力,结合辽宁师范大学罗光华教授和西安文理学院张蓉珍教授的研究,认为影响一个旅游景区的吸引力主要有以下几个因素:

1.自然资源吸引力。主要指地表景观、动植物资源、自然风光和气候等等。实际上,这些因素主要为旅游者提供有关自然景色的视觉和感官享受,同时这些因素构成了旅游活动中自然审美的绝大部分。

2.历史文化吸引力，主要为旅游者提供知识层面的满足。如果，一个景区有着浓郁的历史文化，不仅能将其文化传播给游客，更能将传统、优秀的历史文化遗产、弘扬下去，亦是对中华优秀传统文化的一种延续。

3.区位与交通吸引力，对景区的发展有着直接的影响。优质的区位和便捷的交通，能够直接带动一个景区的发展与繁荣，相反，一个景区就算有多好多丰富的资源和景观，如果交通不便利，景区也照样发展不起来，更别提繁荣了。

4.节日活动吸引力。一个有特色的节日活动，能给景区增添动感和独特性，亦能给景区打造一个特别而又靓丽名片，也能增添旅游者对景区的难忘体验和情怀，增加“回头客”的容量和概率。

5.配套设施吸引力，比如高山之间的索道可以给游客带来刺激的感官感受和独特的体验，狩猎活动可以满足男游客们的追求刺激的欲望，温泉胜地能带给游客舒适、放松的生活等。

6.向往吸引力，主要指人们对景区心理层面的追求或渴望，比如对爱情的追求，对平安、健康的祈求，对美好生活的向往等。

7.整体形象吸引力，这主要是指景区的整体形象带给游客的感官感受和冲击力。优质的景区整体形象吸引力，除了能吸引五洲四海的游客外，更能满足游客的多样性需求。

一个旅游景区的吸引力的大小不仅取决于其特有的自然和人文景观的奇特、优美等特性，还同该景区的区位优势与交通、通讯发达程度、生活条件、医疗发展水平、保险等相关设施是否健全，服务经营管理是否合理，价格是否公道并为旅游者所能接受等有着密切的关系。景区的吸引力越大，吸引前来观光游览的旅游者也就越多，反之就越少。

### 1.3 提升旅游吸引力的重要意义

旅游吸引力是衡量一个景点是否具有参观性和可进入性的唯一标准，同时也是发展旅游产业的核心和精髓所在。只有将旅游资源的吸引力提升起来，才能让旅游向产业化模式转变，才能实现的旅游产业的可持续发展。然而，万山国家矿山公园作为国家最大汞矿原产址，拥有得天独厚的自然条件和有力的政策支持，还拥有“大数据”落户贵州的技术支持和流量导入，对提升万山国家矿山公园的旅游吸引力创造的得天独厚的条件。所以提升它的旅游吸引力被提上日程，主要有如下作用：

#### 1.以吸引力促旅游进而促经济发展

强吸引力的旅游景点将会聚集大量的游客前来参观游玩，对带动铜仁万山的“食、住、行、游、购、娱”相关产业的大力发展起到至关重要的作用。

#### 2.以吸引力促“旅游形象”进而铸“政府名片”

有吸引力的旅游景点一定是拥有良好的信誉和形象的景点。优质景点形象将会为一座城树立一张生动的名片，更是为积极开创铜仁“全国十佳旅游度假城市”称号添砖加瓦。

#### 3.以吸引力促就业进而促进民生事业发展

优质的服务队伍才能造就一流的服务，只有拥有一支完备且优质的服务队伍，才能带给游客一流的服务体验，才能造就强有力的吸引力。所以，在一定程度上带动了铜仁地区的就业问题，为日益激烈的就业压力减压，然而解决就业问题更是为民生事业做了不可磨灭的贡献。



## 2. 贵州万山矿山公园概况

### 2.1 历史概况

万山的朱砂开采始于秦汉时期，距今已有 2000 多年的历史。据《史记·货殖列传》记载：巴·寡妇清向秦始皇献上用朱砂炼制的丹药，得到“礼抗万乘”的礼遇。而她炼制丹药所用的朱砂，正是质量上乘的万山朱砂。唐垂拱二年，万山即以“光明砂”上贡朝廷。600 多年前的明洪武年间，万山就开始官办朱砂场局。清朝末年，英法水银公司在万山采冶朱砂水银 700 多吨。

### 2.2 工业文化

建国以后的 50 年间，国内最大的汞工业生产基地—贵州汞矿在万山累计生产汞和朱砂 3.2 万吨，创造利税 15 亿元，万山为国家建设作出了巨大贡献。周恩来总理把万山的汞亲切的成为“爱国汞”。由于资源枯竭，2001 年 10 月，国家对贵州汞矿实施政策性关闭破产，卧牛山 2000 多年的汞矿开采历史从此落下帷幕。

为保护和利用好其留下的珍贵汞工业文化遗存，经国土资源部批准，万山矿山公园在 2005 年成为首批 28 家国家矿山公园之一，“中国汞都·万山国家矿山公园”就此诞生。开发建设中的万山国家矿山公园主要以万山老城区的汞矿业遗迹为核心景区。建设的重点项目主要有汞都博物馆、苏联专家楼景区、黑硐子景区、仙人洞采矿遗址景区和冷风洞、大坪坑等景点景区。为进一步提升其旅游魅力，万山区政府在后期又着力打造了玻璃栈道、时光隧道和万丈深渊等结合了现代科学技术的景点景区。

### 2.3 景区规划

公园总规划面积 105 平方公里，其中以万山老城区的汞矿业遗迹为核心而建成的核心景区的面积约 5 平方公里，主要包括修建在半岩坎悬崖峭壁的长 1055 米的悬崖栈道（其中 65 米为玻璃栈道）、长 970 公里的“地下长城”、运用现代声光电子技术模拟的时光隧道、炼丹圣地威灵寺、岩鹰窝、仙人洞、黑洞子及地下迷宫、冲脚地质生态恢复示范点等景区景点。因矿山公园的发展与朱砂的开采是紧密结合在一起的，万山国家矿山公园被评定为国家 4A 级景区，贵州省科普示范和教育基地、铜仁市爱国主义教育基地。

矿山公园的主要产品是丹砂产品，比如丹砂吊坠，手镯等。传说，丹砂有辟邪免灾之用，因而深受人们喜爱，为满足游客在这方面的需求，因而景区内专门设立了丹砂产品销售中心，各式各样的丹砂产品供游客挑选。

而在配套设施方面，矿山公园尚不完善，目前只有一家俄罗斯期主题餐馆，一家酒店—悬崖酒店，且客房有限，停车位也不能够满足日益增长的游客需要，还有游客服务中心尚未建立等，所以，急需建立完善的配套设施。而当地政府也在不断的完善相关的配套设施，比如修建游客服务和接待中心，不断延伸相关服务业的宽度和广度，同时也将游览索道提上了建设日程等。

### 2.4 景区现状

尽管矿山公园发展不足，但势劲很足，千年丹都朱砂古镇万山国家矿山公园更新旅游产品修建栈道增加游客体验，栈道全长 1213 米，其中玻璃栈道长 65 米。玻璃栈道相当透明，往下可看到悬崖绝壁下的万丈深渊，现场有的游客靠着右侧山体紧张慢步。从 2016 年 5 月 4 日开园到 2017 年 4 月底，共接待游客 171.3 万人次，实现年旅游营业收入 6.94 亿元（其中，接待海内外游客 4330 人次，入境旅游收入 5.90 万元），且游客容量和旅游收入都朝着直线上升趋势在发

展着，这都充分说明了矿山公园的旅游吸引力在不断增强，未来的发展态势是光明的。

### 3.万山矿山公园旅游吸引力的优劣势分析

为进一步提升万山国家矿山公园的旅游吸引力，不光要更深入的挖掘历史文化内涵，还要打造能感官到旅游者的体验，整个场景让旅游者有一个心里的共鸣等方面的吸引力才能让旅游者产生有旅游的动机，才能形成旅游需求。基于罗教授和张教授的成果，本文结合万山矿山公园的资源特性，选取自然资源、历史文化、区位与交通、节日活动、配套设施、向往吸引力和整体形象吸引力等要素进行其现状和优劣势分析，下面对各要素及其发展现状的分析逐一展开。

#### 3.1 优势

##### 3.1.1 丰富的自然资源吸引力

自然资源是观光游览、休闲度假的基本载体，自然资源吸引力是一个旅游景区的重心,影响着该景区的知名度。

万山（中国汞都）坐落在湘黔两省的交界处，贵州省最东端的群山之巅。万山即是因山得名，这里沟壑纵横，万山耸立；这里山高谷幽，峰奇洞异。万山国家矿山公园是万山旅游的标志性品牌，而奇峰异石等自然景观造就了矿上公园丰富的自然资源。此外，万山的大地构造，位于雪峰台隆背斜的西缘，地层属于海相沉积，从东到西，依次出露有板溪群、震旦系、寒武系，独特的地质构造及岩性条件，形成了丰富的矿山资源，在寒武系中、下统的碳酸盐岩中，蕴藏着总计探明储量在三万四千吨以上的汞矿资源。自然景观和汞矿资源的丰富，让矿山公园的自然环境和旅游资源吸引力成为整个景区最靓丽名片。

##### 3.1.2 浓郁的历史文化吸引力

景区的历史文化特征和文化设施在一定程度上决定了该景区的旅游特色，而其历史文化不仅蕴含在景观之中，还包含在服务文化和环境文化中，毕竟，游客希望感知到的不仅仅只是物化实体，非物化的情调和氛围才是广大游客最渴望感触到的。

万山是中国最大的汞矿产品生产基地，汞矿资源和汞产品的产量规模荣居中国之首，亚洲之冠，被誉为中国的“汞都”。而汞都博物馆就是汞都发展的最好见证者。由贵州汞矿矿部遗址改造而成，建于20世纪80年代，共5层，有着4000多平方米的建筑面积。博物馆里陈设了展示厅、陈列厅等：展示厅从地质构造、勘探，汞矿开采、冶炼等不同角度展示了汞工业文明的历史进程和人文精神，史料是汞都漫漫历程的印证，体现了汞都的浓郁文化底蕴和丰富的文化内涵；陈列厅主要展示与汞都有关的历史资料、文件资料和各时期的产矿工具及模型、矿石和地质遗迹标本、人类文化遗迹等实物标本；演示厅注重视觉效果，展示了汞都的发展历程与辉煌成就。

汞都博物馆是历代矿工用生命和鲜血凝结而成的精神家园，其传递出的经历史沉淀出的浓郁汞都文化，让其成为万山的现代科普和教育基地，给矿山公园形成了深厚的历史文化吸引力。

#### 3.2 劣势

##### 3.2.1 交通不便

区位和交通因素对一个景区的发展发挥着至关重要的重要。便利的交通和便捷的区位位置能够直接推动该景区的发展，带来该景区的繁荣，反之，一个景区具有再好的自然资源吸引力

和文化吸引力，也无法提升旅游人次，更无法促进该景区旅游业的发展。

矿山公园位于万山区朱砂古镇,处于万山区的核心发展区，与九丰农业科技园、高楼坪夜郎谷毗邻，三大景区交相辉映，融为一体。此外，玉铜和沪昆公路穿境而过，同湖南芷江机场、铜仁大兴机场和玉屏火车站、铜仁火车站、铜仁高铁站的车程都在 1.5 小时左右，交通十分便利。因此，总体来说，矿山公园的区位与交通吸引力较强。

但，不可否认，矿山公园的交通吸引力仍需不断提升。对于外来游客来说，因没有直达景区客车，一趟旅游需辗转多次才能到达景区，此外，万山镇本地通往景区的车也没有统一规划和管理，这间接影响了景区的进一步发展。

### 3.2.2 节事活动频次较少

一个有特色的节事活动对景区的旅游吸引力的提升有重要影响。但因矿山公园处于刚起步阶段，目前节事活动吸引力还欠缺，频次较少，没有形成一个具有万山特色、汞都特色和民族特色的节日活动。

### 3.2.3 配套设施欠缺

一个景区如果拥有着健全的配套设施，就能够与景区的整体发展形成交相辉映的效果，能形成较强的配套设施吸引力。而较强的配套设施吸引力在吸引游客、促进景区的发展产生积极的积极的作用。而目前，万山矿山公园处于发展起步阶段，配套设施尚不完善，更别提拥有配套设施吸引力了。

### 3.2.4 向往吸引力不足

向往吸引力主要是对游客心灵层面的满足，比如爱情、健康和心灵的洗涤和对情操的陶冶等方面。在这方面，仙女石的传说倒是满足了游客对心灵上的向往。民间传说祭拜仙女石很是灵验，无论是求财求平安，还是求大业，还是求天长地久。只要心存诚意，都可以得到心灵上的满足和向往。

### 3.2.5 景区整体形象欠佳

景区整体的旅游形象是广大游客在选择旅游景区时的重要参考因素。形象而生动的旅游整体形象对于吸引游客、有效地宣传旅游风景区，促进风景区规划、设计和发展，都具有十分重要的意义。

矿山公园以“中国汞都”遗址为载体，将中国丹砂文化作为主题，打造集汞工业文化旅游、科普旅游、休闲度假为一体作为旅游形象定位。此外，针对不同的客源市场又提出不同的宣传口号，从而最大可能地吸引游客。2015 年，矿山公园就被国务院批准成为“全国汞文化名城”，据此提出“走进矿山公园，投入绿色的怀抱”等口号。由此来看，矿山公园的整体形象吸引力还是可观的。

但，不可否认，目前矿山公园提出的口号仍处于不断建设之中，尚未建成一个集文化旅游、科普旅游、休闲度假旅游为一体的旅游景区，尚未完全能满足广大游客“食、宿、玩、游”的需求。在食的方面，景区附近有的只是小摊贩卖的小食品，也没有具有万山特色的食品，不能满足游客多样的吃食需求；在宿的方面，目前，景区附近只有一个悬崖宾馆，且游客容纳量不高；在游的方面，矿山公园尚未同九丰科技馆形成旅游一体，没有充分发挥出其旅游功能。

## 4. 矿山公园旅游吸引力的提升策略

对矿山公园旅游吸引力的提升途径分析，将依据以上优劣势分析来逐一展开。

### 4.1 挖掘丰富资源以提升自然资源吸引力

万山因山而出名，崇山峻岭、奇峰异石便石万山最真实的写照，而矿山公园便是万山山的典型。因矿山公园的主要景观主要建设在悬崖边上，四周的山（如骆驼峰）用俊美这次来形容都不为过，但价值并没有得到应有的重视，开发者忽视了公园四周那些俊美的青峰。因此，我觉得应该进一步挖掘出周围山峰的价值，以及山上含有的丰富的动植物资源都应该都挖掘出来。

另外，矿山公园还有着丰富的震旦系和寒武系等独特的地质构造及岩性条件，而且在寒武系中、下统的碳酸盐岩中，蕴藏着总计探明储量在三万四千吨以上的汞矿资源，但这些资源都没有被开采出来，只是被搁置在地底层。对于进一步提升矿山公园的自然资源吸引力，将这些尚未开采的资源挖掘出来很有必要。

### 4.2 通过积极传播丹砂文化来提升历史文化吸引力

在文化产业大发展、大繁荣的潮流趋势下，它的发展将成为未来市场的一个重要领域。大多游客都希望在旅行过程中得到足精神文化的熏陶和满足，但景区文化需要对其进行深入的了解，文化熏陶也不仅仅是简单的教育所能达到的。来自海内外的游客希望能够增进两国文化之间的交流，通过感受两国的文化成果来开阔他的视野，所以，发掘文化产业这个创新点成为一种趋势和必然。因此，在此背景下，矿山公园旅游要充分运用其拥有的独特历史文化资源，将开发重点集中在以丹砂文化为核心的历史文化游。据此，可以根据丹砂的开采、冶炼等资源特色，将汞都遗迹开发完善，构建一个有独特魅力的丹砂文化体系，进而提升矿山公园的历史文化吸引力。

### 4.3 完善交通网络建设以提升区位与交通吸引力

结合万山区的如今发展实际来看，可以在交通设施建设方面制定交通“微循环”规划，规划万山—茶店—谢桥旅游交通中轴，推动连接高速公路的城乡交通干线“毛细血管”提档升级和景区内交通建设。可以加密谢桥新区至万山古镇、铜仁老城区公交线路，构建以谢桥微中心的快速旅游交通网，可直接促进国家矿山公园和九丰山地高效农业综合体等景区的内部交通。同时，也要加强完善全区旅游主要景区的旅游交通标识工作。此外，还要加强旅游景区与外界的交通建设来达到进一步强化与外界的可通达性的目标，同时也要注意景区内部不同景点间的道路建设，该硬化的要硬化，宜“野径通幽”的要保留“野径”特色，总之，要做到具体问题具体分析。

### 4.4 策划节事活动

万山国家矿山公园应该在评价万山的旅游资源、历史文化资源特色、产品与服务质量和分析目标市场的构成及兴趣的基础上，找出并制定一个具有丹砂特色、侗族特色和地域特色的节庆主题，要切实做到符合当地形象定位。在选择节庆主题时，要考虑融入宽泛的文化背景。此外，还应确定一个有鲜明性和包容性的节庆名称，使广大游客一目了然，并使他们能够产生身临其境的共鸣。主题和名称确定之后，还应注重地方文化的挖掘，要注重在形式上注入新的文化元素，内容也应更富有时代特色和创新点，以提升旅游吸引力。

### 4.5 完善配套基础设施建设

一个优质景区的发展与完善的配套设施是息息相关、紧密联系的,在一定程度上相关系数能达到 35%,所以,完善相关的配套设施,对整个矿山公园的发展来说迫在眉睫。而加强这方面的完善,可以采取修建集接待、服务为一体的游客服务中心,修建游览索道,拓宽相关服务业的服务渠道和途径(如增添餐馆个数和住宿点),增加景区标识标牌,修建大型停车场以满足日益增长的游客容纳量和修建自驾车营地等措施,来达到提升矿上公园的配套设施吸引力。

#### 4.6 挖掘仙女石传说提升向往吸引力

众所周知,一个有着神话色彩的传说能给景区的发展带来锦上添花的效果。然而,矿山公园就没有充分发挥仙女石的传说的积极作用,所以其向往吸引力发展动力不足。仙女石主要讲述的是七仙女与董郎相爱相守、不离不弃的爱情故事:七仙女甘于为董郎守护宝砂,董郎甘于在山的那头守护七仙女。他们的故事不仅仅只是简单的爱情故事,更是对真爱的执着与追求、甘愿为所爱之人牺牲自己的爱情精神。他们的爱情故事和对爱情的执着追求精神对于引起游客情感上的共鸣、增添游客对爱情的向往有着重要的意义。此后,仙女石不仅是爱情的象征,更是平安、健康和幸福的象征,引发了游客对其的向往和追求。因此,矿山公园应积极传播和扩展仙女石的传说,进而提升景区的向往吸引力。

#### 4.7 明确形象定位提升整体形象

以“山水秀美是丹都,魅力和谐新矿山公园”作为矿山公园的形象定位,充分考虑了矿山公园现有的形象基础,可以显示出独特的景区特色。整体形象确定后,要加强景区景观的管理来达到促进景区形象的建设的目标,可采取开展系列旅游活动等途径来突出其旅游形象,采用有针对性的宣传来强化旅游形象。矿山公园的旅游形象塑造与推广是一个动态循环发展的过程,需要凭借信息传播媒介不断地反馈游客感受和认知到的信息,来进行分析和总结,用鲜明和稳固的旅游形象来塑造和传播矿山公园,进而达到提升万山国家矿山公园的吸引力这一目的。同时,也要重视旅游形象,把景区的形象宣传作为一项工作目标,要积极利用报刊杂志、电视、电台等媒体来广泛宣传景区,还可以选取有代表性和市场号召力的旅游形象大使、组织矿山公园主题旅游摄影比赛等,让更多的人知道和了解矿山公园。当然,导游等景区工作人员要注重仪表、举止、言谈规范,要努力为广大游客留下良好的印象,恪守承诺,搞好服务,使旅游市场淡季不淡,旺季更旺。

此外,还要重点解决游客食、宿、玩、游问题。要加强修缮朱砂古镇一条街,古镇除了要具有丹砂和侗族特色外,要集食、宿、玩为一体。在食方面,不仅要修建各具特色的饭馆,还要对其进行严格控制和管理,在饮食方面要做到突出地方特色,力争向多样化发展;住宿方面,要多建立几家住宿点,以加大游客容量,尽可能以、中低档为主,但也要做到层次齐全、服务周到,能具有少数民族特色最好;在玩的方面,可以在景区附近建立几个娱乐点;欲满足游客多样化的游需求,可以采取以下措施:加强矿山公园与梵净山、九龙洞、思南石林和石阡温泉等地的旅游合作,形成一片欣欣向荣的旅游新局面;开发具有地方特色的丹砂纪念品等旅游产品。还可进一步开发新的旅游产品,如石竹大溪沟这尚未开垦的旅游资源处女地。

## 5. 结论

当然,上述途径也只是广泛而粗略的探讨了提升万山国家矿山公园的旅游吸引力,矿山公园的具体发展和提升旅游吸引力途径除了上面所述 7 个途径外,还应根据其现阶段的发展实际

和未来的发展规划具体问题具体分析，比如可采取引入旅游网络营销和数字旅游等途径来提升矿山公园整个景区的吸引力，来跟上旅游新潮流，以达到促进万山国家矿山公园的全面发展。

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## 高职生社会支持对学习倦怠的影响：心理韧性的中介效应

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### 摘要

本研究目的透过社会支持、心理韧性了解高职生学习倦怠状况并试图探讨高职生的心理韧性在社会支持与学习倦怠关系中的中介作用。本研究运用领悟社会支持量表(PSSS)、心理韧性量表(RS-25)和学生学习倦怠量表(MBI-SS)进行问卷调查,对中国江西省3所高职院校403名大学高职生进行施测,采用结构方程模型及Bootstrap法探究心理韧性在社会支持与学习倦怠关系之间起的中介作用。本研究发现:(1)高职生整体学习倦怠水平处于中等水平;(2)高职生的社会支持、心理韧性分别与学习倦怠呈显著负相关;高职生的社会支持与心理韧性呈显著正相关;(3)高职生的社会支持显著正向影响心理韧性;高职生的心理韧性显著负向影响学习倦怠;(4)高职生的社会支持完全透过心理韧性负向显著学习倦怠,亦即心理韧性在社会支持与学习倦怠关系中起到完全中介作用。因此,本研究建议今后高职生学习倦怠问题应得到更多关注,建议家庭、教师等周围重要人员提供高职生更多的精神或物质支持,有助于高职生的自信心、对自我的肯定等积极心理,从而预防和降低高职生学习倦怠行为。

**关键词:** 高职生; 社会支持; 心理韧性; 学习倦怠; 中介效应

### 1. 绪论

近年来,中国高等职业教育得到大力发展,而为社会培养高素质劳动者和技术技能,又是高等职业教育的根本任务(教育部,2014)。作为正在接受高等职业教育的高职生群体,其学习状态越来越受到重视,而学习倦怠是当前中国高职学生群体中普遍存在的一种负面现象,是影响学生学习动力,学业发展和身心健康成长的重要因素(高丙成,2013;于格、任文静、李海君、卢晓灵,2016;Brown, May, Sanchez-Gonzalez, Koutnik, & Fincham, 2013)。已成为当前教育界关注的焦点(潘春胜,2014;山平,2015)。学习倦怠是从职业倦怠的研究中发展过来的,不同学者依其不同的角度,对于学习倦怠所下的定义也不同。Malakh-Pines (1981)从学生的学习态度角度,将学习倦怠定义为学生因为较长时间承受课业压力,从而对学习内容和学校活动逐渐失去了积极性,对周边的人(如教师、同学、朋友)态度冷漠和逐渐疏远,对学业出现消极的态度。Schaufeli (2002)从学生的学习状况角度,认为学习倦怠是指学生在学习的过程中,可能会因为对未来生涯发展感到彷徨、对所学科目缺乏兴趣与成就感,但仍需要面对成绩的检核,而出现学习倦怠的状况,Tuominen-Soini and Salmela-Aro(2014)则从学生的学习心态上给出学习倦怠的解释:学习倦怠是指学生对于学习要求感到精力耗竭,对学业任务漠不关心、丧失兴趣、持消极态度,并且体会不到成就感的一种持续性的、消极的心理状态。杨丽娟与连榕(2005)结合中国文化背景下高校大学生学习表现行为,提出了关于学习倦怠的定义:由于学习压力或者对学习没有兴趣却不得不为之时,就会产生沮丧、疲乏、不满意、焦虑、抑郁、冷漠、迷惑、无力、低自尊等消极的心理表现。综合大部分学者的观点,本研究将学习倦怠定义为当前高职生由于缺乏

学习兴趣或被支持学习的动力却不得不面对学习困境时,就会产生沮丧、疲乏、焦虑、冷漠、无力、低成就等消极的心理表现,最终出现逃课、上课开小差、打瞌睡、逃避学习相关活动等不适当的学习消极表现行为。

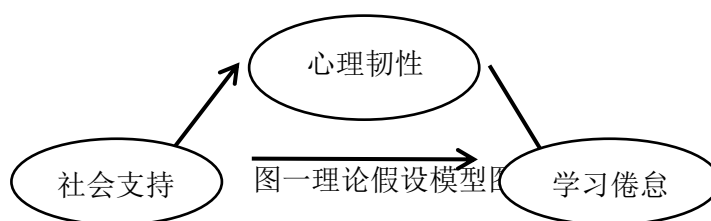
根据 Bandura(1986)的社会认知理论,个体所处的外在环境,内在因素与能力、个体的行为有相当的影响关联。个体外部环境因素作为社会认知理论中的三要素之一,可以透过个体特质的推力,进而反应出个体行为的转变(李海垒、张文新、张金宝,2008;Reeve, 2012)。在外部环境因素中,由于高职生的学习与生活密切接触的人有家长、教师、同学或朋友等,他们的支持对个体的行为及心理成长有着密不可分的关系(郭英、周文静,2008)。Zimet (1988)指出社会支持包含父母、亲戚、朋友等与之有接触的个人或群体给予物质、精神上的支持。Karimi ,Bashirpur,Khabbaz and Hedayati(2014)在以伊朗大学生为研究对象时发现,低倦怠程度的学生比高倦怠程度的学生拥有更高的社会支持水平,换言之,个体获取社会支持的资源越多,其学习倦怠程度越低。叶宝娟等人(2017)研究发现当重要他人(如教师、同学)对个体的行为持关怀和鼓励的态度的时候,个体能够充分挖掘自己内在的潜能,积极主动地改善自己,在学业上有积极的表现。而在学习上的自信、主动表现可以有效降低学生的学业倦怠感(石雷山、高峰强、王鹏、陈英敏, 2012)。多项研究证实社会支持的获取数量或获取社会支持的满意度能够影响到个体的学习倦怠程度(陈维、赵守盈、韩会芳、韦唯、张进辅,2016; 廖红, 2013; Jacobs, & Dodd, 2003)。综上所述,社会支持是降低学习倦怠最重要的外部因素,对学习倦怠有预测作用。因此,提出本研究假设 H1: 高职生社会支持对学习倦怠有显著负向影响。

心理韧性作为个体内部因素之一(郭英、周文静, 2008),同时处于积极心理学领域(Richardson, 2002),而内部因素作为社会认知理论中的三要素之一,同时也影响这个体的行为。Wagnild and Young(1993)认为心理韧性定义是一种随着个体的成长而缓慢形成的内在特质与能力。Mourlane(2013)认为心理韧性是一种可以培养的自我资源,每个人身上都蕴藏着不同程度的心理韧性,只是未被发掘启发,透过教导、培养或训练,可以激发个人本身的潜能,增强个人的心理韧性。由此,可知高职生可以通过家长、教师的培养或教导等支持行为提升个体的心理韧性。王莹、蒋兆楠、李杰与姜峰(2014)研究发现个体从父母、朋友等来源获得的支持,越有利于提高其心理韧性水平。社会支持对于个体心理韧性发展也极其重要(Pinkerton & Dolan, 2007)。因此,提出本研究假设H2: 高职生社会支持对心理韧性有显著正向影响。

心理韧性作为高职生的心理特质,同样对其不同学习行为有着不同的影响。如心理韧性可以促进个体的学习动机、学习投入等积极学习行为(董泽松、魏昌武、兰兴妞、莫璐熙, 2017; 赵竞、陈世盛, 2018),缓解个体学习过程中的学习倦怠(陈家胜, 2016; 侯永梅, 2017)。因此,社会支持作为影响个体学习发展的一个重要因素,也是个体学习成长的外在环境因素(Reeve, 2012),可以透过随着个体的成长而缓慢形成的内在特质与能力(如心理韧性)(Wagnild & Young, 1993),进而对个体在学习过程中出现的消极学习行为(如学习倦怠)产生转变。本研究以社会认知理论为基础,在环境构面中探讨个体感受到的社会支持,在个人构面中探讨个体的心理韧性特质,最后影响行为层面的学习倦怠行为,因此,提出本研究假设H3: 高职生的心理韧性在社会支持对学习倦怠的影响中起中介作用。

综上, 本研究在前述研究基础上提出本研究架构模型(见图1), 主要考察三个问题:

(1) 高职生的社会支持是否对其学习倦怠有正向显著影响;(2) 高职生的社会支持是否对其心理韧性有负向显著影响;(3) 高职生的心理韧性是否在社会支持和学习倦怠之间起中介作用,其中介作用如何。



图一理论假设模型

## 2. 研究设计



## 2.1 研究对象

本研究以中国江西省 A、B、C 三所高职院校为母群体，其中 A 院校为国家建设类技能型紧缺人才培养试点高职院校，多年被评为“全国职业技术教育先进单位”、“江西省高校人才培养工作水平评估优秀院校”等荣誉称号；B 院校是国内首家培养新能源应用型人才的普通高等职业技术学院，多次被评为“全国教育系统先进集体”荣誉称号；C 院校也是被评为全国职业教育先进单位、国家示范学校、现代学徒制试点院校的职业类院校，该校每年在全国技能大赛及江西省技能竞赛中屡获殊荣，故本研究抽取的三所高职院校具有样本代表性。通过便利抽样的方式从 3 所院校中抽取 410 人，向其发放问卷，问卷答完后，排除无效问卷 7 份，回收有效问卷 403 份，有效回收率为 98%。具体分布情况如下：男生（305 人）占 75.7%，女生（98 人）占 24.3%；来自农村（317 人）占 78.7%，来自城镇（86 人）占 21.3%；文科类（177 人）占 43.9%，理工科（226 人）占 56.1%；大一（239 人）占 59.3%，大二（118 人）占 29.3%，大三（46 人）占 11.4%。

## 2.2 研究工具

本研究使用《领悟社会支持量表 (PSSS)》、《心理韧性量表 (RS-25)》和《学生学习倦怠量表 (MBI-SS)》对高职生的社会支持、心理韧性和学习倦怠进行测量。

采用 Zimet, Dahlem and Farley (1988) 编制的《领悟社会支持量表》(the Perceived Social Support Scale, 简称 PSSS) 进行社会支持的测量，该量表具有较高的信度和效度，被研究者广泛应用于学生社会支持的测量研究，研究者依据高职生的实际现况对进行稍微的改动。主要改动是将“家庭、朋友、其他”改为“家庭、同学、其他（朋友、亲戚）”。根据以往的研究发现，教师支持在学生学习过程中也同样起到关键作用（乔娜、张景焕、刘桂荣、林崇德，2013；Mercer, Nellis, Martínez, & Kirk, 2011）。因此在本量表中研究者在原有量表维度上增加了“教师支持”维度。故该量表共四个维度，分别为：家庭支持、教师支持、同学支持、其他（朋友、亲戚），该量表共 16 个题项。为符合本研究的量表整体性，将原量表的 7 点计分修改成 Likert 5 点计分，分别为 1 分“非常不同意”、2 分“不同意”、3 分“不确定”、4 分“同意”、5 分“非常同意”。本研究中，总量表的内部一致性信度系数 (Cronbach's  $\alpha$  系数) 为 0.902，各维度的 Cronbach's  $\alpha$  系数在 0.798-0.863 之间。这表明该量表具有良好的信度 (Nunnally, 1978)。采用验证性因素分析 (confirmatory factor analysis, CFA) 的方法检验社会支持量表的效度，结果显示， $\chi^2/df = 3.783$ ，CFI = 0.914，SRMR = 0.059，RMR = 0.042，IFI = 0.914。四个维度的组合信度 CR 值介于 0.800-0.864 之间，平均变异萃取量 AVE 值介于 0.500-0.615 之间，这表明，该量表具有良好的效度 (Fornell & Larcker, 1981；Lomax & Schumacker and, 2004；Ullman, 2006)。

采用 Wagnild and Young (1993) 编制的心理韧性量表 (The Resilience Scale-25, 简称 RS-25) 进行翻译及修订。该量表具有较高的信度和效度，被研究者广泛应用于成年人或未成年人心理韧性的测量研究，该量表共 25 个题项，分为个人能力、对自我和生活的接纳两个维度。本量表采用 5 点计分，分别从 1 分代表“非常不符合”到 5 分代表“非常符合”。本研究中，总量表的内部一致性信度系数 (Cronbach's  $\alpha$  系数) 为 0.930，两维度的 Cronbach's  $\alpha$  系数分别是 0.917，0.808。这表明该量表具有良好的信度 (Nunnally, 1978)。采用验证性因素分析 (confirmatory factor analysis, CFA) 的方法检验心理韧性量表的效度，结果显示， $\chi^2/df = 3.164$ ，CFI = 0.892，SRMR = 0.054，RMR = 0.042，IFI = 0.900。两个维度的组合信度 CR 值分别为 0.918、0.818，平均变异萃取量 AVE 值分别为 0.400、0.396。这表明，该量表达达到标准效度指标 (Bagozzi & Yi, 1988；Fornell & Larcker, 1981；Lomax & Schumacker and, 2004；Ullman, 2006)。

采用 Schaufeli et al. (2002) 编制的学习倦怠量表 (Maslach Burnout Inventory - Student Survey, 简称 MBI-SS) 进行学习倦怠的测量。该量表具有较高的信度和效度，被研究者广泛应用于学生学习倦怠的测量研究。该量表共 15 个项目，包括三个维度：情绪耗竭、讥诮态度、低成就感。本量表采用 5 点计分（1 分表示“极少”；2 分表示“偶尔”；3 分表示“经常”；4 分表示“频繁”；5 分表示“非常频繁”）。本研究中，总量表的内部一致性信度系数 (Cronbach's  $\alpha$  系数) 为 0.946，各维度的 Cronbach's  $\alpha$  系数从 0.870 到 0.912，这表明该量表具有良好的信度 (Nunnally, 1978)。采用验证性因素分析 (confirmatory factor analysis, CFA) 的方法检验心理韧性量表的效度，结果显示， $\chi^2/df = 4.848$ ，CFI = 0.921，SRMR = 0.046，RMR = 0.053，IFI = 0.921。三个维度的组合信度 CR 值介于

0.869-0.912之间,平均变异萃取量AVE值介于0.572-0.634之间,这表明,该量表具有良好的效度(Fornell & Larcker, 1981; Lomax & Schumacker and, 2004; Ullman, 2006)。

### 2.3 施测过程与统计分析

本研究以班级为单位进行团体施测,每班由两名主试负责,主试均为有施测经验的班级辅导员老师。在施测前,研究者对主试进行针对问卷施测的专门培训,培训内容主要包括问卷指导语、问卷内容以及施测过程的注意事项。施测中,在辅导员老师的帮助下,由研究者通过微信、QQ等形式向选取的学生手机发放网络问卷,主试在施测过程中巡视被试的答题情况,及时纠正被试出现的误解,主试当场检查被试者填完的问卷是否有遗漏情况,确认后提交。统计分析中,本研究使用SPSS 24.0对数据进行信度分析、相关分析及用Harman单因素检验法进行共同方法偏差(common method variance, CMV)检定。使用AMOS 22.0对本研究结构模型检验和非参数Bootstrap法分析中介效应。

## 3. 结果分析

### 3.1 共同方法偏差检验

本研究采用问卷调查法收集数据,所有数据都是通过被试自己填答问卷填答,因此测量中可能存在共同方法偏差。在数据收集过程中强调匿名、保密以及调查仅限于学术研究等说明以便对调查进行程序控制,即便如此,也需要对该研究进行统计控制。为确认共同方法偏差对本研究的影响大小,本研究采用Harman单因素检验,将社会支持、心理韧性和学习倦怠所有题项放入一个探索性因子分析中,检验未旋转的因子分析结果。结果发现,共分析出了11个特征值大于1的因子且第一个公共因子方差解释率仅27.275为%,不超过40%,因此共同方法偏差对本研究结果影响不大(Podsakoff, MacKenzie, Lee, & Podsakoff, 2003)。

为谨慎起见,在事后统计检验方面,本研究还同时加以验证性因子分析(CFA)进行检测,即利用九因子模型CFA与单因子模型CFA比较两者之间的适配情况。首先将所有的潜变量设定为一个因素的结构,即单因子模型(模型1),其次设定理论上的CFA完全有相关的结构,即九因子模型(模型2),然后比较两个模型相差的自由度与卡方值是否达到显著。结果见表二显示( $\Delta\chi^2=5110.684.887$ ,  $\Delta df = 36$ ,  $p < 0.001$ )。单因子模型的拟合较九因子模型差,并且达到了显著性水平,表示九因子模型显著优于单因子模型(Gerbing & Anderson, 1988),因此推论本研究无严重共同方法偏差问题。

表一 Amos 单因子与九因子模型比较

模式	$\chi^2 / df$	IFI	NNFI	RMR	RMSEA	$\Delta\chi^2 (\Delta df)$	P
单因子模型	5.638	0.453	0.430	0.121	0.107		
九因子模型	2.249	0.857	0.846	0.044	0.056	5110.684(36)	0.000

### 3.2 高职生的社会支持、心理韧性和学习倦怠相关分析

对高职生的社会支持、心理韧性和学习倦怠进行简单的描述统计和Pearson相关分析,结果如表二所示,高职生的社会支持和心理韧性处于中等偏上的水平,高职生的学习倦怠水平处于中等水平。在三者相关中,高职生的社会支持与心理韧性呈显著正相关;高职生的社会支持、心理韧性分别与学习倦怠呈显著负相关。

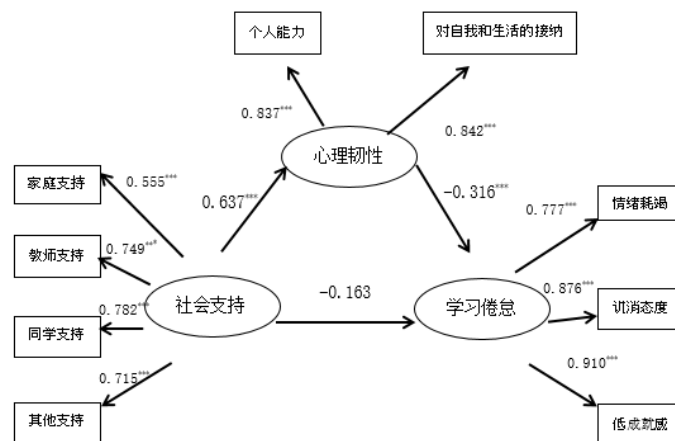
表二 高职生社会支持、心理韧性与学习倦怠之描述统计及 Pearson 相关分析 (n=403)

构面或变项	平均数 (标准差)	1	2	3
1.社会支持	3.832 (.530)	1		
2.心理韧性	3.803(.538)	.542***	1	
3.学习倦怠	2.201(.816)	-.309***	-.353***	1

注: \* $p < 0.05$  \*\* $p < 0.01$  \*\*\* $p < 0.001$

### 3.3 模型检验及心理韧性的中介作用分析

基于以往相关研究的支持和结构方程模型，构建社会支持和心理韧性影响学习倦怠的路径图，研究结果如图二所示，各路径系数均达到显著水准。表三是采用极大似然法估计的模型拟合指标。结果显示，各项模型的拟合指标良好(Hu & Bentler, 1999; Lomax & Schumacker, 2004)，表明高职生的社会支持透过心理韧性影响学习倦怠。表四是采用非参数百分位Bootstrap法计算的社会支持影响学习倦怠的效应值。结果显示，社会支持影响学习倦怠的总效应、直接效应和中介效应的点估计值分别为-0.364、-0.163 和-0.201，Z值分别为5.967、1.772 和 3.190，总效应和中介效应均达到了显著性水准，直接效应未达显著水准，亦即三者之间存在总效应和中介效应，但不存在直接效应。偏差校正的非参数百分位的总效应和中介效应的置信区间均不包括0，表明社会支持对学习倦怠具有显著的总效应且心理韧性的中介效应显著，而且总效应大小在-0.238-0.479 之间，中介效应大小在-0.085-0.337 之间；而直接效应的置信区间均包括0，直接



图二 高职生的社会支持、心理韧性与学习倦怠的结构方程模型

注：模型中的数值为标准化系数，\* $p < 0.05$  \*\* $p < 0.01$  \*\*\* $p < 0.001$  效应大小在0.017-0.338 之间，说明社会支持对学习倦怠没有直接效应。综上所述，心理韧性在社会支持对学习倦怠影响中存在中介效应，并起到完全中介作用。

表三 模型的拟合指标

拟合指标	$\chi^2/df$	GFI	AGFI	CFI	IFI	NNFI	SRMR
理想标准	<5	>0.9	>0.9	>0.9	>0.9	>0.9	<0.08
模型指标	3.696	0.954	0.913	0.962	0.963	0.944	0.0449

表四 社会支持影响学习倦怠的效应Bootstrap分析表

社会支持 →学习倦怠	点估计值	标准误	Z	偏差校正的 95%CI	
				上限	下限
总效应	-0.364	0.061	5.967***	-0.238	-0.479
直接效应	-0.163	0.092	1.772	0.017	-0.338
中介效应	-0.201	0.063	3.190**	-0.085	-0.337

注：\* $p < 0.05$  \*\* $p < 0.01$  \*\*\* $p < 0.001$

## 4. 结论与建议

### 4.1 高职生的学习倦怠水平状况

高职生的学习倦怠水平状况处于中等水平（理论均值是2.5）。表明高职生总体上学习倦怠不是很严重，但仍然存在一定程度的学习倦怠。高职生随着大学生活的深入，一部分学生慢慢失去学习积极性，表现出较逃课、不爱听课、不努力、迟到、早退等不良的学习行为，慢慢对有关学习活动漠不关心，由此引起低成就感，反映在情绪上为烦躁郁闷，对学习失去兴趣如此反复的恶性循环。引起这些行为的初始原因可能为高职生本身的学习基础相对不好，容易出现学习困难、对开设的课程不满意、不喜欢所学专业等等。因此，本研究建议学校应积极进行教学改革，对学生加强专业思想教育，以激发学生的学习动力，将会减弱高职生的学习倦怠心理。

### 4.2 高职生的社会支持对心理韧性、学习倦怠的预测作用

本研究发现，社会支持显著正向影响高职生的心理韧性，也就是高职大学生从家人，教师或亲戚朋友的支持越多，更有助于其个人能力及自信心的成长。这个结果在其他研究中也得到证实(孙仕秀、关影红、覃滢云、张露、范方,2013;吴佳, 2016); 社会支持显著负向影响学习倦怠，这也符合一般的认知结果，高职生所接受到来自周围重要人（如家人，教师，同学或朋友）的关怀或学习上的支持越多，解决学习上的困难，从而就会增强对学习的兴趣，参与各种学习等活动等积极行为，自然就减少出现逃课、厌学等有关学习不良行为，最终减少了学习倦怠；心理韧性显著负向影响学习倦怠，个人能力强、自信心强的高职大学生，其在学习上所获得成就感越高，越积极投入学习活动中。因此，本研究建议家人、教师或亲戚朋友应给予高职生生活及学习上更多的关怀与帮助，使得高职生即使学习上有不同的困难，都能有足够的信心及能力面对并最终克服，塑造良好的学习心理素质，最终预防及降低学习上的倦怠行为。

### 4.3 心理韧性在社会支持和学习倦怠之间发挥中介作用

一方面，社会支持影响学习倦怠的总效应和间接效应显著，而直接效应无显著。首先说明心理韧性在社会支持对学习倦怠中起到中介作用，而且是完全中介作用。研究结果强调心理韧性对高职大学生的重要性，是影响其学习行为的重要因素。因此，高职大学生的教育应注重其心理韧性的提升。心理韧性是个体维持和谐的心理状态的基础，是健康发展与自我实现的前提条件。心理韧性能使人减少焦虑、抑郁等消极情绪，发展起面对生活、学习以及工作挑战的信心与乐观性。大学生的心理韧性是大学生健康发展的一个重要组成成分，并且在生活与学习过程中可以得到不断发展(韦慧,2010)。并且心理韧性强的个体，当其面对学习困难(困境)时，他们更能忍受烦恼而坚持学习(侯永梅,2017)。因此，建议无论对家庭还是学校，在今后针对高职大学生生活和学习教育中，应该加强培养其自信、乐观等积极的心理健康素质，从而对于提升其个人能力素质打下良好的基础。

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## Fey 的容纳他人量表在高职生应用研究

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### 摘要

本研究目的为探讨 Fey 容纳他人量表用于测量高职大学生容纳他人程度的可行性。以期提供一个用于评价高职大学生容纳他人行为的工具。研究方法是先对 101 名高职生进行预试,经过项目分析和探索性因素分析确定正式问卷,再抽取 239 名高职大学生进行正试施测。结果表明:(1)量表信度良好,各维度及量表总体 Cronbach's  $\alpha$  值为 0.725、0.742 和 0.810;(2)量表测量模式与实际测量适配度良好,指数 RMESA 小于 0.08,TLI、CFI 和 GFI 都达到 0.90 以上;(3)量表内部两个维度之间具有区别效度;(4)不同性别、年级、学科在两个维度之间不存在显著差异。

**关键词:** 容纳他人; 量表; 高职生;

### 1. 引言

人际关系是当前大学生心理健康问题关注重点之一,它主要反映了人的个性,价值观,观念、行为准则等。大学生人际关系把握能力、技巧影响其心理健康水平等心理状况,而人际关系中最重要因素是容纳自己和容纳他人。容纳(Accommodate),可以理解为接纳、接受、认可。是每一个人的心理上的接纳与认可(汪向东、王希林、马弘,1999)。而容纳他人的定义基本为在人际交往或接触过程中,对人的行为、态度、情绪情感、思维方式方法等心理活动接受、认可的一种态度体验和表现(王美芳、陈会昌,2000)。

王巍与石国兴(2005)指出人际容纳是人际交往中所必须的一种能力与修养,是一种重要的心理素质,同时良好的人际容纳对身心健康又有一定的预测作用。近年来随着社会的进步与发展、文化变迁、教育观改变,特别是国家大力推行职业教育,各职业院校的学生人数快速的的增长,高职大学生群体受到越来越多的关注(范寅莹、张灏、陈国典,2011;陈志鹏、薛应翠、杨阳、李治丽、潘运,2016)。高职院校学生与普通高校大学生相比在学生层次,社会认知度,自我目标定位等各方面都有其自身的特点。因此,选用适合中国高职大学生容纳他人量表,及时地了解高职生的容他行为并对其进行适当的改善,对于高职大学生顺利地完学业具有重要的意义。

容纳他人量表是 1995 年美国心理学家 Fey 根据 Phillips 的一个量表编制了《容纳他人量表》,用来测查三个独立变量之间的相互关系,这三个变量为:接纳自我、接纳他人以及对他人接纳自己之程度的感受(Fey, 1955)。属于自评量表,适用于 18 岁以上的成人。此表用来测查自我容纳,容纳他人以及对他人容纳自己之程度的感受三个独立变量之间的相互关系。有 25 个题目,每个题目都是 5 级记分,量表总分在 25 分至 125 分之间,得分越低容纳他人程度越低;得分越高,越容易与他人和睦相处。该量表的劈半信度为 0.89—0.90。近年来,《容纳他人量表》多用评估大学生容纳他人行为。本研究目的旨在检验该问卷在中国高职大学生中的适用性。

## 2. 研究对象与方法

### 2.1 研究对象与抽样

本研究以江西省三所高职院校在校生为研究对象,三所高职院校分别为国家紧缺技术人才培养重点院校、江西省优秀高职院校和江西省服务地方经济重点院校。采用便利抽样法,在心理健康教育课上由老师统一发放收回,先在江西优秀高职院校抽取三个班共 101 人进行预试,然后在三所院校共发放正式问卷 260 份,回收 241 份,回收率 92.69%。经检查删除无效问卷 3 份,有效问卷 239 份。其中男生 159 人(66.5%),女生 80 人(33.5%);大一 113 人(47.3%),大二 126 人(52.7%),文科 87 人(36.4%),理科 152 人(63.6%)。

### 2.2 研究工具

美国心理学家 Fey 编制量表《容纳他人量表》第一部分,采用该量表对被试者的人际接纳态度进行评定。分为两个维度分别是接纳自我、接纳他人。接纳自我为高职生个体采用积极态度接纳、认可自己的一切;接纳他人为高职生个体采用包容、理解的态度去接纳他人行为(汪向东、王希林、马弘,1999)。量表采用 5 点计分,1 表示“几乎总是”,5 表示“几乎没有”。计算所有题项的平均分,得分越高,表示高职生的容纳他人程度越高。其具体内容如表一。

表一 容纳他人量表问项

题项	题项
1、人们太容易被指挥了。	11.有许多人令人无法容忍。
*2.我喜欢我所了解的人们。	12.如果你按自己的意愿做某件事就有可能伤害一些人。
3.当今人们的道德水准太低了。	13.人们确实需要一个强硬的、聪明的领袖。
4.多数人相当自命不凡,从不正视自己的缺点。	14.当我独自一人、远离人群时,我最欣赏我自己。
*5.我几乎能与所有类型的人愉快相处。	15.我真希望人们对你更诚实一些。
6. 当今人们所谈论的似乎都是电影、电视这一类事情。	*16.我喜欢和很多人在一起。
7.人们取得成功靠的是门路而不是知识。	17. 根据我的经验,人是相当顽固和缺乏理智的动物
8.一旦你开始帮助某人,他就会轻视你。	*18.跟价值观与自己不同的人在一起时我能够感到愉快
9.人们太自我中心了。	*19.人人都想做好人
10.人们总是不满足并不断地寻找新鲜事。	20.一般人对自己并非十分满意。

资料来源:汪向东、王希林、马弘(1999)。心理卫生评定量表手册(增订版)。北京:中国心理卫生杂志社,189-190.

\*表示反向题



## 2.3 资料分析

本研究问卷所得数据采用 SPSS22.0 和 Amos21.0 进行处理分析, 预试问卷采用项目分析和探索性因素分析, 删除相关不适当的题项后确定正试问卷; 正式问卷采用验证性因素分析、区别效度分析对问卷进行验证, 最后进行相关人口变量差异性检定。

## 3、结果分析与讨论

### 3.1 预试量表分析

本研究采用项目分析、探索性因素分析、Cronbach's  $\alpha$  值分析对预试问卷进行分析, 删除不适合高职生容纳他人的相关题项, 以期确定正试问卷。

#### 3.1.1 项目分析

项目分析是量表发展最基本的工作, 其主要目的是在针对预试题项进行适合性的评估(邱皓政, 2000), 项目分析为就量表内的每一个题目为对象, 逐题分析其可鉴别程度, 而问项质量可经过项目分析而提升。本研究资料采用吴明隆(2010)的项目分析规准, 将项目分析分为三大类, 6 个判断标准, 作为项目分析的删题判断依据。分别为极端组检验法(CR 值)、相关性检验法(题项与总分相关、校正后题项与总分相关)、同质性检验法(题项删除后的  $\alpha$  值、共同性、因素负荷量)。

(1) 极端组检核法是多数行为科学研究者最常使用的方法。此方法是将预试问卷得分总和依高低排序, 从最高分到 73% 作为高分组, 最低分至 27% 作为低分组。再比较高分组与低分组的平均数做差异性检定(t 检定), 如果决断值越大且达到统计显着水平表示量表题项鉴别度越高, 依据经验法则, 决断值小于 3 的值可考虑删除(邱皓政, 2006)。本次检测中, 题 2、5、16、18、19 决断值小于 3, 如表二所示。

(2) 相关性检验法(题项与总分相关、校正后题项与总分相关), 是求出各题项与量表总分之积差相关系数, 以及校正后项目总相关系数。相关系数最好在 0.3 以上, 如果可以达到中度或高度相关性更好(邱皓政, 2006)。本次检测中, 题 2, 5、16、18、19 与总分相关未未达到 0.3, 项目校正后, 题 2, 5、16、18、19 与总分相关未达到 0.3, 如表二所示。

(3) 同质性检验法(题项删除后的  $\alpha$  值、共同性、因素负荷量)。是评估整份问卷的可靠程度及稳定程度及将多个变项依其相关的程度, 缩减主要的因素。其中, 依据题项删除后的 Cronbach  $\alpha$  值会提高问卷内部一致为判断标准。本次检测中, 题 2, 5、16、18 删除后的  $\alpha$  值会提高。而共同性和因素负荷量。是将题项目抽取出共同基本因素主要的目的在于将多个变项依其相关的程度, 缩减主要的因素, 以简化变项之间的复杂性, 尽可能建构对原变项的最大可能解释量。利用主成份分析法, 在抽取最大成分下, 其共同性未达.2 之试题, 建议删除。本次检测中, 题 1、2、5、6、14、16、17、18、19 未达到 0.2。因素负荷量应达到 0.4 的标准进行删题的判断(邱皓政, 2006)。本次检测中, 题 2、5、6、16、18、19 未达到 0.4。如表二所示。

经过项目分析后, 依据删除题项建议, 决定删除 5 题项, 分别为 2、5、16、18、19 共 5 题。如表二所示。

表二 容他量表项目分析表

题项	CR 值	题项与总分相关	校正后题项与总分相关	题项删除后的 $\alpha$ .790	共 同 性	因素 负荷量	备注
1	-3.564***	.318**	.370	.776	<b>.167</b>	.408	保留
2	<b>-.974</b>	<b>.075</b>	<b>.033</b>	<b>.794</b>	<b>.016</b>	<b>.125</b>	删除
3	-5.297***	.603***	.499	.769	.334	.578	保留
4	-5.374***	.623***	.476	.769	.414	.643	保留
5	<b>.877</b>	<b>-.188</b>	<b>-.155</b>	<b>.808</b>	<b>.047</b>	<b>-.217</b>	删除
6	-6.106***	.357***	.339	.778	<b>.158</b>	<b>.398</b>	保留
7	-5.174***	.608***	.512	.767	.381	.618	保留
8	-4.804***	.588***	.498	.768	.367	.606	保留
9	-6.852***	.610***	.573	.763	.469	.685	保留
10	-6.099***	.487***	.360	.777	.230	.480	保留
11	-6.360***	.706***	.534	.765	.485	.697	保留
12	-6.281***	.716***	.583	.763	.508	.713	保留
13	-6.646***	.548***	.379	.775	.262	.511	保留
14	-3.220***	.373***	.327	.779	<b>.167</b>	.408	保留
15	-5.263***	.542***	.435	.772	.261	.511	保留
16	<b>-1.775</b>	<b>.059</b>	<b>.086</b>	<b>.794</b>	<b>.003</b>	<b>.059</b>	删除
17	-3.062**	.461***	.371	.776	<b>.175</b>	.419	保留
18	<b>-.751</b>	<b>.091</b>	<b>.134</b>	<b>.792</b>	<b>.018</b>	<b>.136</b>	删除
19	<b>-1.823</b>	<b>.272**</b>	<b>.299</b>	.781	<b>.128</b>	<b>.358</b>	删除
22	-4.771***	.563***	.452	.771	.290	.539	保留

资料来源：本研究整理 注：\* $p < 0.05$ ; \*\* $p < 0.01$ ; \*\*\* $p < 0.001$

### 3.12 探索性因素分析

根据项目分析，在删除不合适题项后进行探索性因素分析，主要目的在于求得量表的建构效度，本研究采用主成份及斜交转轴法中的最大方差法，使用量表已有明确的因素构念，可以使用之前量表问卷的因素结构，限定抽取共同因素的数目（吴明隆，2010），根据学者(邱皓政, 2013)观点，当KMO值越大，表示变项间的共同因素越多，越适合进行因素分析，如果KMO值小于0.5时，较不宜进行因素分析。本研究经过项目分析删除题项后，将保留下来15题项进行第一次探索性因素分析，此处的KMO值0.813，表示适合进行因素分析。此外，从Bartlett 的球形检定卡方415.394（自由度为105）达显著，代表母群体相关矩阵间有共同因素存在，适合进行因素分析。转轴后的成份矩阵，依据各共同因素中题项之因素负荷量的大小排序，所以很容易检视各共同因素所包含的层面题项，其中题项14没有因素负荷量，因此，删除题14。再进行第

二次探索性因素分析。如表三所示。

将保留下来14题进行第二次探索性因素分析，此处的KMO值0.810，表示适合进行因素分析。此外，从Bartlett 的球形检定卡方389.042（自由度为91）达显著，代表母群体相关矩阵间有共同因素存在，适合进行因素分析。转轴后的成份矩阵，依据各共同因素中题项之因素负荷量的大小排序，所以很容易检视各共同因素所包含的层面题项，第二次因素分析时，所有因素收敛在两个维度中，如表三所示。

表三 量表探索性因素分析表

第一次因素分析			第二次因素分析		
题项	组件 1	组件 2	题项	组件 1	组件 2
4	.663		4	.664	
8	.653		17	.645	
17	.637		1	.634	
7	.637		8	.631	
1	.625		7	.631	
3	.532		3	.538	
6	.444		6	.477	
14			13		.788
13		.791	10		.682
10		.683	11		.637
11		.626	15		.612
15		.612	9		.602
9		.593	12		.538
12		.525	20		.461
20		.451			

资料来源：本研究整理

### 3.13 信度分析

本研究采用Cronbach's  $\alpha$ 进行信度测量，在预试问卷信度中，各维度及量表整体Cronbach's  $\alpha$ 值分别为：接纳自我0.784，接纳他人0.752，及量表整体为0.834。

综上所述，预试问卷经过项目分析、验证性因素分析和信度分析，删除预试样本中不适合的题项2、5、14、16、18、19，保留其它题项，编制成正式问卷。

### 3.2 正式问卷分析

本研究采用Cronbach's  $\alpha$ 值，测量模型适配度、区别效度、差异分析检验正式问卷在高职生应用情况。

#### 3.21 信度分析

本研究采用Cronbach's  $\alpha$ 进行信度测量，在正式问卷信度中，各维度及量表整体Cronbach's  $\alpha$ 值，分别为接纳自我0.725，接纳他人0.742，及量表整体为0.810。

#### 3.22 验证性因素分析

为进一步考察本研究容纳他人量表的结构效度，即考察构想模型与实际模型的拟合度，以及项目与各因素之间的关系，本研究运用 A-MOS，采用极大似然估计对模型对 239 名被试进行了验证性因素分析。全部项目与各维度的拟合指数，结果显示： $\chi^2/df$  为 1.731 小于 3，GFI 为 0.924 大于 0.9，AGFI 为 0.895 接近 0.9，RMR 值为 0.053 小于标准值 0.08，RMSEA 值为 0.055 小于 0.08，NFI 值为 0.814 接近 0.9，CFI 值为 0.910 大于 0.9，IFI 值为 0.912 大于 0.9。各项指标值均符合标准(Hair, Black, Babin, Anderson, Tatham, 2006)，表明该模型的适配度良好。如表四所示。

表四 验证性因素分析的模型适配度

量表	指标	适配指标标准	鉴定结果数据	模型适配判断
容纳他人	$\chi^2/df$	<5.000	1.731	适配
	SRMR	<.080	.053	适配
	GFI	>.900	.924	适配
	AGFI	>.900	.895	接近
	NFI	>.900	.814	接近
	IFI	>.900	.912	适配
	CFI	>.900	.910	适配
	RMSEA	<.080	.055	适配

资料来源：本研究整理

### 3.23 区别效度

区别效度分析是利用两个不同的维度相关在统计上是否有差异，在不同维度的题目应该不具有高度相关，如有高度相关(>0.85 以上)，就表示这些题目是衡量同意一件事，通常发生在构面的定义过度重迭时。因此本研究采用信赖区间法(bootstrap)，此方法是建立维度之间的皮尔森相关系数的信来区间，如果不包含 1，即不包含完全相关，则表示构面之间具有区别效度(Torkzadeh, Koufteros and Pflughoeft, 2003)。本研究 bootstrap 重复估计 1000 次，在 95% 的信心水平下，采用 Bias-corrected percentile method 信赖区间估计方式；结果发现两个维度之间都没有发生信赖区间包含 1 的情况，表明量表内部两个维度之间具有区别效度。如下表五所示。

表五 维度之间相关系数信赖区间估计

Parameter	Point Estimate	Bias-corrected		P
		Lower	Upper	
接纳自我 <--- 接纳他人	.740	.555	.858	.002

资料来源：本研究自行整理 注：\* $p < 0.05$ ；\*\* $p < 0.01$ ；\*\*\* $p < 0.001$

### 3.24 差异分析

本研究采用 t 检定分析不同性别、年级、学科在容他量表两个维度是否存在显著差异。由于在施测中年级只有大一和大二学生在校，故本研究将年级作为二分变量处理。

经过 t 检定，结果发现，在性别方面，不同性别的高职生在接纳自我上没有显著差异(( $t = -0.743$   $p > 0.05$ ),说明高职生男生与女生在接纳自我上没有明显区别。不同性别的高职生在

接纳他人上没有显著差异 ( $t=-0.320 p>0.05$ ),说明高职生男生与女生在接纳他人上没有明显区别。这与以前研究一致(杨珍、王燕, 2008)。在年级方面, 不同年级的高职生在接纳自我上没有显著差异 ( $t=0.772 p>0.05$ ),说明高职生男生与女生在接纳自我上没有明显区别。不同年级的高职生在接纳自我上没有显著差异 ( $t=0.385 p>0.05$ ),说明高职生男生与女生在接纳自我上没有明显区别。这与前人研究一致(范寅莹、张灏、陈国典, 2011)。在学科方面, 不同学科的高职生在接纳自我上没有显著差异 ( $t=0.637 p>0.05$ ),说明高职生男生与女生在接纳自我上没有明显区别。这与前人研究一致。不同学科的高职生在接纳自我上没有显著差异 ( $t=-0.258 p>0.05$ ),说明高职生男生与女生在接纳自我上没有明显区别。这与前人研究一致(范寅莹等人, 2011; 朱卫红、顾永清, 2004)。如表六所示。

表六 不同人口变量的高职生 t 值表

	性别	学科	年级
接纳自我	-0.743	0.673	0.772
接纳他人	-0.320	0.258	0.385

资料来源: 本研究自行整理 注: \* $p<0.05$ ; \*\* $p<0.01$ ; \*\*\* $p<0.001$

## 4. 结果

结果表明 : (1) 量表信度良好, 各维度及量表总体 Cronbach's  $\alpha$  值为 0.725、0.742 和 0.810; (2) 问卷测量模式与实际测量适配度良好。经常报告的指数 RMESA 小于 0.08, TLI、CFI 和 GFI 都达到 0.90 以上; (3) 两个维度之间具有区别效度; (4) 不同性别、年级、学科在两个维度之间不存在显著差异。

## 5. 研究局限和建议

### 5.1 研究局限

本研究由于人力、物力的原因, 以便利抽样对高职生进行问卷调查, 存在样本较为单一, 抽样方式不够严谨, 因此在样本代表性、抽样方式方面存在一定局限性; 建议后续研究可以考虑在更多地区, 以更科学严谨的抽样方法, 对样本来源扩大, 从而使样本的代表性更好。

### 5.2 研究建议

一方面高职院校加强学生心理健康教育, 特别是学生的容纳他人方面引导, 如人际交往中要学会接纳身边的朋友不足地方, 改善容纳他人不合理观点和信念等。另一方面高职生要加强自身心理素质建设, 敞开心扉, 积极与他人进行交往, 多学习他人长处, 接纳成长过程中自己与他人优缺点。

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# 大学生创业自我效能对创业意向的影响： 以中国海南省某高校为例

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## 摘要

本研究以大学生创业为观点，探讨大学生创业自我效能与创业意向之关系，主要以海南省一所公立大学 870 名大学生进行调查研究，通过问卷调查法作为主要研究方法，分析大学生创业自我效能对创业意向的影响。研究结果显示：大学生创业自我效能对创业意向有显著正向预测力。

**关键词：**大学生创业；创业自我效能；创业意向

## 1. 引言

创业(Entrepreneurship)指为追求利润和经济增长而开设并管理一家公司或创办新事业的过程(Carland, Hoy, Boulton & Carland, 1984)。创业可以促进国家改进和经济增长，加速经济结构调整，缩减地区之间的贫富差异，解决就业、民族和贫困问题，促使企业得以持续良好发展(Bosma, Acs, Autio, Coduras & Levie, 2009)。现今，中国高等教育阶段慢慢进入到了“大众化教育”，大学毕业生的基数已经对就业岗位供过于求，大学生就业问题越来越严峻(沈雪萍、胡滢, 2015; 张云龙、叶宝娟、罗照盛、孙超、刘栋, 2015)。大学生创业不但有利于提供就业机会、增加就业岗位、减少就业压力以及缓解大学生毕业群体严峻的就业形势，还能有提升经济增长、促进技术革新和科技成果转变(彭正霞、陆根书、康卉, 2012; Gielnik et al., 2015; Katz, Hanke, Maidment, Weaver, & Alpi, 2016)。在此时代背景以及高校毕业生严峻的就业形势下，做好创业的研究工作来鼓励大学生创新创业，对缓解大学生的就业压力，增进社会的和谐发展具有重要意义(方杰、翟苑琳, 2018)。

在进行创业之前一定要先拥有创业意向(Entrepreneurial Intention, EI)，只有具备相当潜在创业意向的创业者才可能真正从事创业行为(Krueger & Brazeal, 1994)。创业意向是指“引导创业者追求某一目的，而投入大量集中力、精神力和行动的一种心理状态”并认为个体或社会因素都必须通过形成创业意向来影响创业活动(Bird, 1988)。而 Thompson(2009)对创业意向做出的定义是，创业意向是一种创业决心，在个人拥有创业意向之后，就等同于拥有了进行创业活动的知觉，这是跟具有创业特质的个人区别开来的。同时拥有创业意向的个人，会在将来特定的时段或节点进行创业活动。

Krueger(1993)指出创业意向的一个重要影响因素就是创业自我效能。创业自我效能是指自我效能感在创业领域的衍生概念，1994年，首次由 Boyd 和 Vozikis 把创业领域理论和 Bandura(1977)的自我效能感相结合，将创业自我效能定义为个人能够成为创业者，完成创业行为所具备的信心和判别能力，同时这种能力还具有强弱的区别(Boyd & Vozikis, 1994)。Chen,

Greene and Crick(1998)将创业自我效能界定为创业者确信自己能够担任创业角色、完成创业任务的信念，在确定是否进行创业行为中起着至关重要的作用。过往有研究显示，创业自我效能能够正向预测创业意向。Zhao, Seibert and Hills(2005)的研究发现，如果个体创业自我效能越强，对自身创立公司的信心就越高，在未来进行创业活动的概率就越大；Urban(2006)针对南非各区域民族多样性的情况，以本地住户作为研究样本，研究的结果也证明创业自我效能能够显著影响创业意向。此外 Kickul, Gundry, Barbosa and Whitcanack(2009)还强调，学生的自信程度和对于创业的观念虽然不能完全保证最后能成功创业，可是能够提高学生对于创业的思考以及可行性。从实质上来说，学生如果具备较高自我效能，他们就越能够坚信自身可以成功创业。

就创业意向这一焦点来看，近年研究侧重指向对个人所拥有的内外部资源来对创业意向的作用和影响来进行讨论，同时还重点从政府的相关政策，国家的社会环境和经济情况等宏观角度来探究（Barral, Ribeiro & Canever, 2018; Passaro, Quinto & Thomas, 2018; Lee, Lee & Gim, 2018; Oftedal, Iakovleva & Foss, 2018）。但涉及到个人的心理特质和情绪反应，以及从微观的角度来探究创业自我效能对创业意向是否有影响或是预测作用时却鲜有此类的相关研究。

因此，根据上述的文献探讨本研究推论并提出研究假设：大学生创业自我效能对创业意向有显著正向预测力。并根据研究假设给出了相应的研究架构，如图一所示。

## 2. 研究方法

### 2.1 研究框架

根据研究假设给出了相应的研究架构，如图一所示。



图一 研究框架

### 2.2 研究对象

研究对象为海南省某海洋类高校大学生，并采用立意抽样法进行样本抽取。该校学生的创业项目主要面向地方产业和经济基层，更多直接对接地方经济发展，带动了当地青年及农民参与创业，推动了地方经济发展、社会转型升级及农民增收，起到了创业示范作用。因此在该校进行抽取样本较具有代表性。本研究调查问卷共发放 900 份，收回问卷 900 份，其中有效问卷 870 份，有效回收率为 96.6%。其中性别：男生人数为 209（37%），女生人数为 548（63%）；年级：大一 177 人（20.3%），大二 277 人（31.8%），大三 277 人（31.8%），大四 139 人（16%）；是否独生子女：独生子女 233 人（26.8%），非独生子女占 637（73.2%）；父亲教育程度：小学及以下 167 人（19.2%），初中 356 人（40.9%），高中或中专 249 人（28.6%），大学及以上 98 人（11.3%）；母亲教育程度：小学及以下 334 人（38.4%），初中 313 人（36%），高中或中专 151 人（17.4%），大学及以上 72 人（8.3%）；专业：人文类 218 人（25.1%），理工类 103 人（11.8%），



艺术类 60 人 (6.9%), 体育类 155 人 (17.8%), 旅馆类 148 人 (17%), 商学类 86 人 (9.9%), 外语类 100 人 (11.5%)。

## 2.3 研究工具

本研究将对样本进行分析的量表工具有：创业自我效能量表 (ESE, Entrepreneurial Self-Efficacy); 创业意向 (EI, Entrepreneurial Intention)。以下将分别介绍：

### 2.3.1 创业自我效能量表

创业自我效能量表采用牛雪梅(2017)编制的创业自我效能量表,此量表主要借鉴 Chen(1998)与韩力争(2009)的创业自我效能测量维度,目的是能够更针对区别创业者和非创业者以及大学生创业群体的实际情况为代表。该量表由 16 个条目组成,包含自创新效能感、机会识别效能感、关系协调效能感和风险承担效能感 4 个维度,每个维度各 4 个条目。每个条目采用 5 级评分,从“1 完全不同意”到“5 完全同意”。

本研究对该问卷进行了信度和效度分析检验,创业自我效能量表信度分析结果显示,因素 1 的 Cronbach's  $\alpha$  值为 0.77,因素 2 的 Cronbach's  $\alpha$  值为 0.85,因素 3 的 Cronbach's  $\alpha$  值为 0.82,因素 4 的 Cronbach's  $\alpha$  值为 0.84,量表的整体信度为 0.92,表示本研究创业自我效能量表内部具有良好的稳定性与一致性。创业自我效能量表共 16 题,因素分析的 KMO 值为 0.947, Bartlett 的球形检定显著性为.000,各项因素的特征值都大于 1,因素负荷量也都超过 0.4。同时因素 1 的解释变异量为 13.74%,因素 2 的解释变异量为 20.30%,因素 3 的解释变异量为 17.80%,因素 4 的解释变异量为 15.60%,其中累计解释变异量 67.54%,超过 40%以上,表示本研究创业自我效能量表具有良好的效度。

### 2.3.2 创业意向量表

本研究创业意向量表将使用师晓慧(2018)修订的创业意向量表。该量表参考了 Liñán and Chen(2009)设计开发的创业意向量表 (EIQ),之后季丹(2010)与木志荣(2016)在进行大学生的创业意向测量时都应用到该量表并且表现良好。进而本研究可根据此量表题项进行测量并调查大学生是否愿意为创业付出,是否有成为企业家并创立企业等愿景以及是否为创业做相关准备等方面。本量表采用五点计分法,每个条目采用 5 级评分,从“1 完全不同意”到“5 完全同意”。分值越高,表示创业意向越强。

本研究对该问卷进行了信度和效度分析检验,创业意向量表为单一构面,共 6 题,量表的 Cronbach's  $\alpha$  值为 0.91,具有良好的稳定性与一致性。同时在因素分析中,KMO 值为 0.897, Bartlett 的球形检定显著性为.000,创业意向因素的特征值都大于 1,因素负荷量也都超过 0.4。解释变异量 71.38%,超过 40%以上,表示本研究创业意向量表具有良好的效度。

## 2.4 资料统计分析方法

本研究采用 IBM SPSS Statistics 22 统计软件对所收集资料进行分析处理,同时根据各变量的特质,使用 Person 积差相关分析以及回归分析等统计方法分别施行统计和验证。

# 3. 结果分析

## 3.1 变量描述统计与相关分析

从表一中可得知研究中各变量的平均数、标准差及变量间相关分析的结果,大学生创业自我效能与创业意向达到显著的正相关 ( $r=0.632, p<0.01$ )。

表一 变量描述性统计与相关分析摘要表

变量	M	SD	创业自我效能	创业意向
创业自我效能	3.43	0.55	1	
创业意向	3.14	0.81	0.632**	1

注： \* $p < 0.05$  \*\* $p < 0.01$  \*\*\* $p < 0.001$

### 3.2 大学生创业自我效能对创业意向之预测分析

本研究将人口学变量投入回归分析中进行控制。性别（男）；是否独生（是）；年级（大二）、年级（大三）、年级（大四）；专业（理工）、专业（艺术）、专业（体育）、专业（旅管）、专业（商学）、专业（外语）作为实验组。

由表二的结果显示，在回归分析中整体考验的 F 值为 57.333 ( $p < 0.001$ )，标准化回归系数  $\beta$  值为 0.587,  $p < 0.001$ ，解释变异量为 44.5% (Adj  $R^2 = 43.8\%$ )，显示大学生创业自我效能可以正向预测创业意向，表明大学生创业自我效能越高，创业意向的程度就越高。验证了研究假设「大学生创业自我效能对创业意向有显著正向预测力」。

表二 创业自我效能对创业意向的影响之回归分析摘要表

变量	Beta
控制变项	
性别（男）	0.81**
是否独生（是）	-0.68**
年级（大二）	0.101*
年级（大三）	0.48
年级（大四）	0.000
专业（理工）	0.069*
专业（艺术）	0.133***
专业（体育）	0.184***
专业（旅管）	0.080**
专业（商学）	0.058*
专业（外语）	0.022
自变量	
创业自我效能	0.587***
$R^2$	44.5%
Adj $R^2$	43.8%
F	57.333***

注： 1、\* $p < 0.05$  \*\* $p < 0.01$  \*\*\* $p < 0.001$ ； 2、参照组：性别（女）、是否独生（否）、年级（大一）、专业（人文）

## 4. 结论

本研究结果显示,在创业自我效能对创业意向的回归分析中,整体考验的 F 值为 57.333 ( $p < 0.001$ ), 标准化回归系数  $\beta$  值为 0.587,  $p < 0.001$ , 解释变异量为 44.5% ( $\text{Adj } R^2 = 43.8\%$ ), 显示大学生创业自我效能可以正向预测创业意向。表明大学生创业自我效能越高, 创业意向的程度就越高, 与 Urban(2006)研究结果一致。因为创业自我效能是归于期待类要素的, 所以创业意向能够被创业自我效能直接或者间接地影响。同时 Zhao, Seibert and Hills(2005)也表示, 如果个体创业自我效能越强, 对自身创立公司的信心就越高, 在未来进行创业活动的概率就越大。本研究发现大学生若具有高程度的创业自我效能, 他对成功创业的信念也就越强烈, 创业意向也会明显增强, 因此创业自我效能高的大学生拥有较高的创业倾向。

因此本研究得出以下结论: 大学生创业自我效能对创业意向有显著正向预测力。

## 5. 建议

根据上述研究结论, 本研究将给出以下建议:

学校应多开展各类创业竞赛活动以及增加创业实训课程, 在此过程中让大学生们能够找到和发现自己的创业特长和方向, 而并非让学生只局限于创业的概念或理论的理解。学生通过参与更多的“实战”训练, 可以更好地培养学生的创新思维, 独立思考以及应对问题的能力;

政府、学校、企业要加强合作, 提供更多的创业实践机会和条件给大学生, 建立创业基金来支持大学生的创业项目, 在创业讯息、培训和资金方面给予大学生更好的保障和服务。大学生直面地接触到市场, 发现更多的创业选择, 可以让大学生的创业阅历能够更加丰富, 提升大学生今后创业的识别能力和把握能力。

学校应积极邀请校友与社会上的创业成功人士到校交流互动, 通过座谈会分享其创业心得以及创业团队的管理经验。同时学校应把人际交往和情感沟通纳入大学生的日常教育中, 并开设社交类的课程或专题讲座来传授交际常识, 提升大学生的人际沟通能力。创办多种创业型的学生社团, 让大学生能够在此类平台培养和发挥自身的管理和协调能力。

高校可多开展创业大学生心理辅导, 加强大学生的心理健康以及应激能力, 以此来提升大学生的创业抗压能力和面对风险时的反应能力。大学生也要强化自身的心理素质, 提高主动性与积极性, 培养观察力和分析力, 在创业过程中洞悉事务和环境所发生的变化, 克服创业过程中所遭遇的障碍、挫折以及自我怀疑等困难因素, 为创业做更充分的准备。

## 6. 研究限制与展望

本研究存在着样本局限以及问卷发放等研究限制, 在今后的研究中, 研究对象的样本范围可以进行扩大, 覆盖更多地区的高校。同时可采用质性研究方法, 对研究对象进行观察、访谈和实物分析, 以此获取更丰富的研究结果来探索和比较。在未来的研究中更加注重其它变量能否对创业自我效能与创业意向之间起到调节或中介作用, 以此来延伸更多的研究结果和探讨。

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# 中国广西师范类大学生手机依赖与学业拖延的关系： 社会支持的调节作用

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## 摘要

为明确广西师范类大学生学业拖延行为的形成及影响因素，本研究探讨了个人因素（手机依赖）、环境因素（社会支持）对学业拖延的作用机制，重点考察了社会支持在手机依赖与学业拖延之间的调节作用。以立意抽样选取 763 名广西师范类大学生，使用一般拖延量表、手机依赖指数量表、大学生社会支持评定量表进行问卷调查。结果显示：（1）在控制性别、是否独生子女后，手机依赖对学业拖延具有显著的正向预测作用；（2）在控制性别、是否独生子女后，社会支持对学业拖延具有显著的负向预测作用；（3）在控制性别、是否独生子女后，社会支持在手机依赖与学业拖延的关系中起调节作用。

**关键词：**学业拖延；手机依赖；社会支持；师范生；交互决定论

## 1. 绪论

对于众多的大学生来说，学业拖延已然成为一个普遍存在的问题行为（Zhang et al., 2018）。在早前的研究中，有显著学业拖延行为的中国大学生多达 39.7%（庞维国、韩贵宁，2009）。截至 2015 年，严重拖延的中国大学生比例已高达 73.4%（李青青、王芬芬、杨世昌，2015）。学业拖延的行为呈现增长的趋势，并给大学生带来了诸多的负面影响，不仅会导致大学生学业成绩的降低（Kennedy & Tuckman, 2013），还能引发大学生学习倦怠（谢威士、盛婷雯，2014）、抽烟与喝酒（雍挺俊，2017）等不良行为的产生。此外，学业拖延会降低大学生的学习效率和主观幸福感，进而产生焦虑、抑郁、内疚等消极的负面情绪，极不利于大学生的成长与发展（吴晓鸣、龚戩芳、郁佳欣、郑舟军，2018）。因此，对于学业拖延的相关研究刻不容缓。作为孕育未来教师的师范院校，肩负着为教育事业培养大批人才的重任。师范类大学生作为未来教师队伍的中坚力量，其专业能力与素质直接影响教师队伍水平和教育教学质量（李楠、崔建伟，2018）。但是，徐学、王晶晶、舒晓丽与李浩辉（2017）研究发现，将近 70% 的师范类大学生存在不同程度的学业拖延行为。所以，研究学业拖延的相关影响因素，从而制定有效的措施缓解师范类大学生的学业拖延行为，降低其带来的不良影响，对于师范类院校的教育、师范类大学生的学习生活以及今后的人生发展尤为关键。

学业拖延（Academic Procrastination）是指不必要地将学习任务推迟，致使心理产生不适感的行为，是一种学习习惯的欠缺（Solomon & Rothblu, 1984）。在此前的研究中，Academic Procrastination 的中文译名较多，诸如学业拖沓（张斌、蔡太生，2010）、学习拖延（庞维国、韩贵宁，2009）、学业拖延（刘雨昕，2018）等，本研究统称为学业拖延，且为单一维度。从过去关于学业拖延影响因素的研究来看，手机依赖（李宗波、梁音、王婷婷，2017）、时间管理（崔玉玲、倪守建、白月菡，2017）、心理控制源（吴蓉、王金仙、武江涛、李玉洁、龚英，2018）、学业自我效能感（林忠永、杨新国，2018）等因素对大学生的学业拖延有所影响。其中，手机

依赖与学业拖延的研究较少（张潮、翟琳、王畅，2017），关于二者关系的研究近几年来逐渐兴起。手机依赖在中国大学生群体中所占的比例为 27.4%-32.75%（Leung, 2008；王相英，2012）。手机依赖已成为影响大学生学业拖延的因素之一，不仅导致大学生拖延行为的产生，甚至会加深大学生的学业拖延行为（冀嘉嘉、吴燕、田学红，2014；张潮等，2017）。由此可见，手机依赖会对大学生的学业拖延带来负面的影响。

然而，现有研究大部分集中在对学业拖延内在因素的研究，对于父母、学校、社会以及同伴群体等外在因素的研究较少，应当重视研究外在因素（刘雨昕，2018）。父母、学校、社会以及同伴等群体的影响或许是指社会支持。虽然目前中国社会支持对学业拖延的研究甚少，但由过去的研究可知，社会支持对心理健康起保护作用，有效的社会支持可以提高大学生的心理健康水平，使大学生的心理健康维持一个良好的状态（欧阳丹，2003），对降低攻击（刘晓秋、陈亚萍，2014）、自杀（陈立芳等，2008）、学业倦怠（吴胜红、睦国荣、高军，2018）等不良行为有着积极的影响。而社会支持匮乏不利于大学生的身心健康发展（李慧民，2004），容易导致不良行为的形成。因此，本研究将一并探讨社会支持对师范类大学生学业拖延的影响，有助于揭示环境因素对师范类大学生学业拖延行为的作用机制。

综上所述，为进一步考察师范类大学生学业拖延行为的形成及影响因素，有必要从不同角度出发，同时考量个人因素（手机依赖）、环境因素（社会支持）对学业拖延行为的影响机制。据徐明津、杨新国、吴柑澜与黄雪雯（2015）的研究显示，约有 31%的广西大学生存在学业拖延的情况。因此，本研究以广西师范类大学生为研究对象，考量手机依赖与学业拖延之间的关系，重点探讨获得社会支持多寡在手机依赖与学业拖延之间产生的作用机制，以期减轻广西师范类大学生的学业拖延行为提供有效的实证依据，从而促进广西师范类大学生的培养与发展。

## 2. 文献探讨

### 2.1 手机依赖与学业拖延的关系

手机依赖（Mobile Phone Addiction）是一种过度地滥用手机，从而导致手机使用者发生身心受损的病症（韩登亮、齐志斐，2005），又称手机成瘾、手机焦虑症或者手机使用综合征，共包括戒断性、逃避性、低效性、失控性四个维度（孙玮玮、胡瑜，2018），本研究统称为手机依赖。存在手机依赖的大学生通常具有逃避的心理。当大学生面临学习枯燥或学业压力等问题时，容易选择用手机频繁上网、聊天、看视频、玩游戏等方式来逃避学习，进而忘却烦恼（杜刚、徐莹、赵馨、刁绵君，2014）。而学业拖延是一种逃避行为。Paden and Stell（1997）指出，学习任务的重要程度、吸引程度及难易程度等均会对学生的拖延行为产生影响。当学习任务过难或是学生不喜欢该任务时，常常会用逃避的方式来拖延学习任务的完成（李晓东、关雪菁、薛玲玲，2007；甘良梅、余嘉元，2009）。郭双与常若松（2017）也认为拖延行为是个体暂时避免由任务带来的焦虑体验所产生的逃避反应。所以，具有逃避性质的手机依赖与学业拖延，两者之间或许具有一定的内在联系。实证研究证明，大学生手机依赖和学业拖延行为呈显著正相关，也就是说大学生对手机依赖的程度越高，其学业拖延的程度也就越高（冀嘉嘉等，2014；Liu, Min, Yue & Cheng, 2018）。在 Rozgonjuk, Kattago and Täht（2018）的研究中也得到了相同结果。同时，大学生手机依赖对学业拖延行为具有显著的正向预测作用（李宗波等，2017）。此外，过去对拖延的研究以性别、是否独生子女作为控制变项（赵洪、赵茜茜、苑杰，2016）。因此，本研究假

设在控制性别与是否独生子女后，广西师范类大学生手机依赖对学业拖延有正向预测作用。

## 2.2 社会支持与学业拖延的关系

社会支持（Social Support）是包括家庭、朋友、他人等社会各方面所给予个体的物质和精神上的援助（王玉，2014），具体由主观支持、客观支持和支持利用度3个维度组成（叶悦妹、戴晓阳，2008）。其中，客观支持为现实可见的支持，包括物质上的援助和直接服务，即实际社会支持；主观支持则是个体感到在社会中被尊重、被支持、被理解的情绪体验和满意程度，即领悟社会支持（全宏艳，2008）。社会支持对身心健康有显著影响，良好的社会支持有利于健康，而不良社会关系的存在则损害身心健康（程虹娟、方晓义、蔺秀云，2005）。学业拖延的大学生时常会伴有焦虑、不安、抑郁等不良情绪，影响其心理健康水平（张斌、蔡太生，2010）。而社会支持对缓解负面情绪、提升个体应对消极问题等具有重要的作用，如良好的社会支持能减轻大学生的学业倦怠水平（吴胜红等，2018）。可见，社会支持在一定程度上可以缓解、降低不良情绪与消极的学业行为，或许对同属学业不良行为的学业拖延有积极的影响。已有研究支持了大学生领悟社会支持与学业拖延显著负相关，且显著负向预测拖延行为，可以有效减少拖延行为（张潮、王畅、翟琳，2016）。而赖运成与林文倩（2018）以农村留守儿童为研究对象，也发现领悟社会支持与学业拖延呈显著负相关，并能显著负向预测学业拖延。因此，本研究假设在控制性别与是否独生子女后，广西师范类大学生社会支持可以负向预测学业拖延行为。

## 2.3 手机依赖、社会支持与学业拖延的关系

步入大学是广大学生踏进社会的一个转折点，大多数学生离开了父母，开始独立生活与学习，同学、朋友以及老师等逐渐成为大学生生活中接触较多的社会关系。当大学生在现实社会中缺乏来自父母、同学、老师等社会关系的支持和帮助时，更容易转投手机的虚拟世界里寻求支持补偿（葛续华、祝卓宏，2014）。根据交互决定论，个体因素与环境因素可以以交互的方式相互联结（Bandura, 1978）。因而，手机依赖和社会支持之间或能产生交互作用，并与学业拖延行为形成一个系统，进而影响学业拖延行为。本研究推测大学生的手机依赖、学业拖延行为，以及作为环境因素的社会支持三者之间或许具备一定的内在联系。社会支持是影响个体心理健康问题的重要调节变项，对维护和提高大学心理健康水平有积极作用（林初锐、李永鑫、胡瑜，2004）。在过去的研究中，社会支持对学习压力与学习倦怠的关系存在显著调节作用（刘在花、毛向军，2013），也就是说高社会支持可以通过缓解学习压力进而降低学习倦怠的程度，低社会支持会增加学习压力并加深学习倦怠的程度。学业拖延与学业倦怠同属学业不良行为，社会支持或能在手机依赖与学业拖延之间起调节作用。即在调节作用下，获得高社会支持的大学生，也就是得到较多来自父母的关心与支持，以及老师、同学和朋友的辅导与帮助的大学生，在遭受因手机依赖带来的学业拖延困扰时，或许不易沉迷于手机虚拟世界，学业拖延行为得到一定的缓解。相反，具有较低社会支持的大学生，即缺乏来自父母、老师、同学以及朋友等社会关系支持的大学生，一定程度上会增加手机依赖引发其学业拖延的可能性。实证研究表明，大学生领悟社会支持在学业延迟满足与学业拖延的关系之间起调节效应，学业延迟满足对学业拖延的影响随着领悟社会支持的增多而加强（张潮等，2016）。因此，本研究假设在控制性别与是否独生子女后，广西师范类大学生社会支持在手机依赖与学业拖延之间产生一定的调节作用。



### 3. 研究方法

#### 3.1 研究对象

本研究以广西壮族自治区的一所公办师范类本科院校与一所民办师范类本科院校的 763 名在校大学生为研究对象，其中男生 162 人，女生 601 人；大一学生 298 人，大二学生 245 人，大三学生 220 人；独生子女 127 人，非独生子女 636 人。

#### 3.2 抽样方式

本研究假设母群广西师范类大学生为常态分布，抽样误差  $e \leq 0.05$ ，信赖度为 95% 的条件下，由公式  $n = Z^2 pq / e^2$  得知样本参考大小 384 人。再以立意抽样的特殊性选取 2 所广西师范类本科院校为典型样本，每所高校以立意抽样的最大变异抽取大一至大三的文科、理科班级作为被试，共发放 763 份问卷，回收率 100%，不低于样本参考大小。在征得任课老师以及被试同意后，以班级为单位，当堂发布问卷星链接，进行团体施测。施测时，先向被试说明研究的目的以及问卷填写的注意事项，并使用统一的指导语。为保护学生隐私，问卷采用匿名填写的方式。

#### 3.3 研究工具

##### 3.3.1 一般拖延量表 (General Procrastination Scale, GPS)

该量表由 Lay 于 1986 年编制，用于研究大学生的拖延行为。量表为单一维度，在 Lay 的研究中，Cronbach's  $\alpha$  为 0.82，并具有较好的内容效度。量表共 20 题，其中 10 题为反向计分题，采用 5 点计分（1 表示非常不符合，5 表示非常符合），总分越高，拖延行为越严重。在陈明、金一波、张壮壮与余意（2018）关于大学生时间管理倾向与拖延行为的关系的研究中，该量表的结构效度较高（ $X^2/df=3.04$ ，CFI=0.95，NFI=0.94，RMSEA=0.04，GFI=0.93），内部一致性系数为 0.82，可以适用于中国大学生群体。在本研究中，通过项目分析与 CFA 删除 9 题，保留 11 题，无反向计分题目，Cronbach's  $\alpha$  为 0.89。

##### 3.3.2 手机依赖指数量表 (Mobile Phone Addiction Index, MPAI)

该量表由 Leung 于 2008 年根据 Mobile Phone Problem Use Scale (MPPUS) 所简化与修订，并在其研究中应用于测量 14-20 岁青少年的手机依赖情况。量表包括戒断性、逃避性、低效性、失控性等 4 个维度。在 Leung 的研究中，该量表 Cronbach's  $\alpha$  为 0.90，累计总解释变异量为 57.73%。量表共 17 题，无反向计分的题目。采用 5 点计分（1 表示从不，5 表示总是），得分越高，手机依赖的水平越高。在刘红与王洪礼（2011）关于大学生手机成瘾与孤独感、手机使用动机的关系的研究中，该量表具有较高的结构效度（ $X^2/df=2.67$ ，CFI=0.89，GFI=0.91，IFI=0.90，RMSEA=0.04），Cronbach's  $\alpha$  为 0.87，可以适用于中国大学生群体。在本研究中，通过项目分析与 CFA 删除 4 题，Cronbach's  $\alpha$  为 0.88。

##### 3.3.3 大学生社会支持评定量表

该量表由叶悦妹与戴晓阳于 2008 年编制，用于中国大学生社会支持的测量。量表包括主观支持、客观支持和支持利用度这 3 个维度。在叶悦妹与戴晓阳（2008）的研究中，量表结构效度较好（ $X^2/df=1.23$ ，RMSEA=0.03，NFI=0.91，NFI=0.98，CFI=0.98，GFI=0.93，AGFI=0.90），Cronbach's  $\alpha$  为 0.91。量表共 17 题，无反向计分的题目。采用 5 点评分方法（1 表示不符合，5 表示符合），得分越高，获得的社会支持越多。在吴胜红等（2018）关于大学生社会支持对学业倦怠的作用机制的研究中，该量表效度良好（ $X^2/df=11.38$ ，RMSEA=0.08，CFI=0.92，NNFI=0.93，

TLI =0.91), Cronbach's  $\alpha$  为 0.84。在本研究中, Cronbach's  $\alpha$  为 0.94。

### 3.4 分析方法

对广西师范类大学生的学业拖延、手机依赖与社会支持进行描述统计,采用阶层回归分析检验广西师范类大学生手机依赖、社会支持对学业拖延之影响,进一步用阶层回归分析检验广西师范类大学生社会支持在手机依赖与学业拖延之间所起的调节作用。

## 4. 研究结果

### 4.1 描述统计

描述统计结果表明,广西师范类大学生学业拖延、手机依赖与社会支持的平均数和标准差分别是:  $2.819 \pm .701$ 、 $2.791 \pm .732$ 、 $3.658 \pm .820$ 。将学业拖延得分在 3 以上(3 表示“中性的”)的广西师范类大学生界定为有学业拖延行为,得分越高说明学业拖延越严重,结果显示有 42.73% 的广西师范类大学生存在不同程度的学业拖延现象。

### 4.2 手机依赖对学业拖延的回归分析

以阶层回归检验手机依赖对学业拖延之影响,并以性别与是否独生子女作为控制变项。结果如表一所示。分析结果显示,背景变项可以解释学业拖延变异中的 1.2%,  $F=4.633$ ,  $p<.05$ 。而在控制背景变项之后,模型 2 投入手机依赖可以增加 35.7% 对学业拖延的解释变异量,  $F=147.680$ ,  $p<0.001$ 。因此,在控制背景变项之下,手机依赖对学业拖延有着显著的正向影响( $\beta=.601$ ,  $p<0.001$ )。

表一 手机依赖对学业拖延的影响之阶层回归分析摘要表

变项	模型 1	模型 2
控制变项		
性别	.110**	.045
是否独生子女	-.030	-.032
自变项		
手机依赖		.601***
$R^2$	.012	.369
$\Delta R^2$	-	.357
F	4.633*	147.680***

资料来源:本研究整理;注: \*  $p<.05$  \*\*  $p<.01$  \*\*\*  $p<.001$

### 4.3 社会支持对学业拖延的回归分析

以阶层回归检验社会支持对学业拖延之影响,并以性别与是否独生子女作为控制变项。结果如表二所示。分析结果显示,背景变项可以解释学业拖延变异中的 1.2%,  $F=4.633$ ,  $p<.05$ 。而在控制背景变项之后,模型 2 投入社会支持可以增加 1.8% 对学业拖延的解释变异量,  $F=7.813$ ,  $p<0.001$ 。因此,在控制背景变项之下,社会支持对学业拖延有着显著的负向影响( $\beta=-.135$ ,  $p<0.001$ )。

表二 社会支持对学业拖延的影响之阶层回归分析摘要表

变项	模型 1	模型 2
控制变项		
性别	.110**	.127***
是否独生子女	-.030	-.029
自变项		
社会支持		-.135***
R <sup>2</sup>	.012	.030
ΔR <sup>2</sup>	-	.018
F	4.633*	7.813***

资料来源：本研究整理；注：\*p<.05 \*\*p<.01 \*\*\*p<.001

#### 4.4 社会支持对手机依赖与学业拖延关系的调节作用

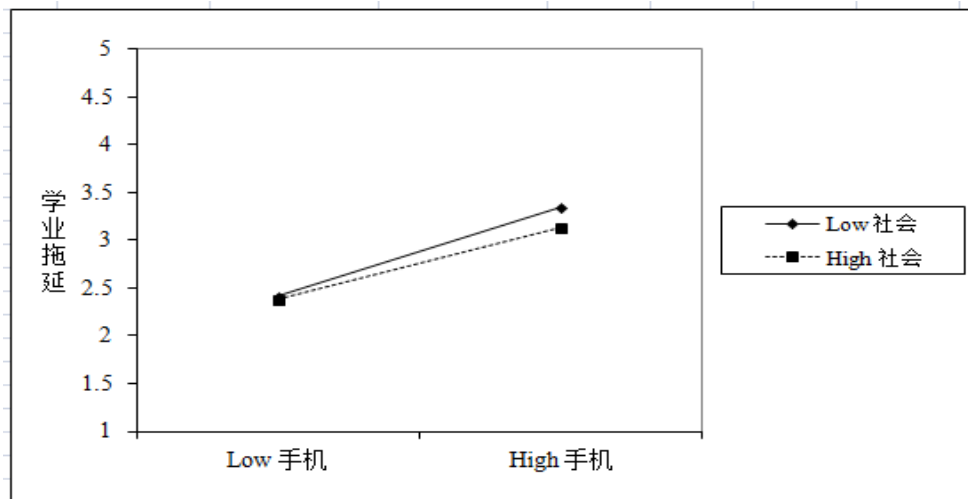
进一步采用阶层回归检验社会支持对手机依赖与学业拖延关系的调节作用。首先，加入性别、是否独生子女两个控制变项，作为模型 1，接着先后将标准化的自变项手机依赖、调节变项社会支持加入，作为模型 2 和模型 3。最后将标准化之后的手机依赖与社会支持的交互作用项加入，作为模型 4，对四个模型进行阶层回归分析，分析结果如表三所示。由表三可知，手机依赖与社会支持的交互作用项对模型解释率的增加作用显著(ΔR<sup>2</sup>=0.006, F=93.18, p<0.001)，手机依赖与社会支持的交互作用项的回归系数显著(β=-.077, p<0.01)，说明社会支持对于手机依赖与学业拖延关系具有显著的调节作用。

表三 社会支持在手机依赖对学业拖延的影响之阶层回归分析摘要表

变项	模型一	模型二	模型三	模型四
控制变项				
性别	.110**	.045	.057	.055
是否独生子女	-.030	-.032	-.032	-.031
自变项				
手机依赖		.601***	.593***	.593***
调节变项				
社会支持			-.083**	-.093**
交互作用项				
手机依赖*社会支持				-.077**
R <sup>2</sup>	.012	.369	.375	.381
ΔR <sup>2</sup>	-	.357	0.006	0.006
F	4.633*	147.680***	113.806***	93.181***

资料来源：本研究整理；注：\*p<.05 \*\*p<.01 \*\*\*p<.001

为更加清晰地揭示社会支持对手机依赖与学业拖延关系的调节作用，绘制交互作用图，来进一步分析社会支持所起的调节作用，结果见图一。从图一可见，社会支持在手机依赖与学业拖延之间起着抑制的作用。具体来说，对于手机依赖程度较低的师范类大学生而言，其获得社会支持的高低对于学业拖延的影响无差异。但是，随着手机依赖程度的加深，获得高社会支持的师范类大学生，学业拖延的情况有所减轻，而低社会支持的大学生，学业拖延程度则会加深。



图一 社会支持对手机依赖与学业拖延关系的调节作用

## 5. 讨论

### 5.1 广西师范类大学生学业拖延的情况

在本研究中，有学业拖延行为的广西师范类大学生，相较于有学业拖延行为的广东省师范类大学生（徐学等，2017），人数减少了三成，可能是由于地域差异、立意抽样产生的抽样误差、研究采用的拖延量表不一致等原因造成。但是相比徐明津等（2015）以广西大学生为对象的研究，本研究的拖延人数则有所增加，说明学业拖延呈日益增长的趋势，这与以往研究一致（Steel, 2007；潘婷婷、苏菲，2016）。因此，学业拖延行为要引起社会、学校以及家长的足够重视。

### 5.2 手机依赖与学业拖延的关系

本研究考察了广西师范类大学生手机依赖与学业拖延的关系，结果表明手机依赖显著正向预测学业拖延，也就是说广西师范类大学生对手机的依赖，容易产生学业拖延或者加深学业拖延行为。这与以普通大学生为研究对象的结果相一致（张潮等，2017）。当前大学生手机的使用率将近 100%，手机已经融入了大学生的生活（韦莺、余石金，2017）。加之时代的发展，科技的进步，手机功能的完善，手机娱乐性能的增加以及无线网络的普遍性，师范类大学生消耗大量的时间在手机的使用与娱乐上，加剧对手机的依赖，占用了原本的学习时间与课余时间，进而产生或者加深了学业拖延行为。

### 5.3 社会支持与学业拖延关系的关系

本研究同时考察了广西师范类大学生社会支持与学业拖延的关系，结果表明社会支持显著负向预测学业拖延，也就是说缺乏社会支持的广西师范类大学生，容易产生学业拖延或者加深学业拖延的行为。这与赖运成与林文倩（2018）以农村留守儿童为研究对象的结论相一致，师范类大学生社会支持同样可以负向影响学业拖延，其拥有的社会支持越多，学业拖延行为越少。学业拖延容易引发大学生焦虑、不安、抑郁等不良情绪（张斌、蔡太生，2010）。而社会支持能在一定程度上减少不良情绪（李伟、陶沙，2003）。具体而言，当师范类大学生面临焦虑、不安、抑郁等不良情绪时，家人的关爱、同学朋友的关心、老师的关怀往往能让大学生感受到温暖与支持，从而提升其信心，缓解不良情绪，降低其学业拖延的程度。且家庭、学校与社会对师范类大学生的期望较高，学生的责任感通常会因此加强，从而减少学业拖延的行为。

### 5.4 社会支持对手机依赖与学业拖延关系的调节作用

本研究基于交互决定论，重点考察了广西师范类大学生个人因素（手机依赖）与环境因素

（社会支持）产生的交互作用项对学业拖延行为造成的影响。结果表明手机依赖对学业拖延的影响机制会受到环境因素的干扰，即社会支持对于手机依赖与学业拖延关系具有显著的负向调节作用，得到较高社会支持的广西师范类大学生可以减轻手机依赖造成的学业拖延行为。这与张潮等（2016）以普通大学生为研究对象考察领悟社会支持对学业延迟满足与学业拖延之间的关系具有调节作用的研究结论相一致。手机依赖的学生常常出现负面情绪（汪婷、许颖，2011），而负面情绪会导致拖延行为（彭芳、张静平、杨冰香、谢丽琴、焦娜娜，2010）。高社会支持者往往拥有积极的情绪状态，能有效减轻抑郁、焦虑情绪（李伟、陶沙，2003）。因此，高社会支持可以降低由手机依赖产生的负面情绪，进而减少引发学业拖延的可能性。

## 6. 结论

潘利若、赵俊峰、姚梅林与王耀军（2012）提出其在学业拖延与环境因素的研究局限在于没有同时考虑内部因素对学业拖延的影响。而本研究则在此基础上，将大学生个人因素、行为与环境因素纳入同一框架内进行考察。不仅拓展了交互决定论的使用范围，同时为缓解师范类大学生的学业拖延提供一定的依据。如学校可以通过组织活动丰富学生的课余时间，教师可经常开展班会，正确引导学生对手机的使用与合理规划时间，培养师范类大学生将来成为教师的责任感，从而缓解其学业拖延行为。同时，家长要加强对学生的关心、鼓励。此外，同学、朋友可以通过小组学习，去图书馆等形式带动学业拖延的师范类大学生，帮助他们克服学业拖延。

但是，本研究中社会支持在手机依赖与学业拖延之间的影响作用有限，不排除还有其他内外部的影响因素存在。且本研究也存在一定的局限性。采用自我报告的方式，可能会存在共同方法变异。此外，仅以广西师范类大学生为研究对象开展调查，普适性方面具有一定的局限性。因此，未来可以对不同类型以及地区的大学生进行研究，进一步验证本研究所取得的结论。

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# 中国江苏省大学生班级气氛对主观幸福感的影响： 以教师支持和同学支持为中介

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## 摘要

本研究基于生态系统理论考察了班级气氛对大学生主观幸福感的作用机制。采用班级气氛量表、社会支持量表、同学支持量表和主观幸福感量表对 444 名中国江苏省大学生进行研究。研究发现：（1）江苏省三所大学的学生感知班级气氛、教师支持、同学支持和主观幸福感的现况总体属于中上程度；（2）大学生班级气氛对主观幸福感具有显著的正向影响；（3）大学生班级气氛对教师支持具有显著的正向影响；（4）大学生班级气氛对同学支持具有显著的正向影响；（5）大学生教师支持对主观幸福感具有显著的正向影响；（6）大学生同学支持对主观幸福感具有显著的正向影响；（7）大学生教师支持在班级气氛和主观幸福感的关系中起到中介作用；（8）大学生同学支持在班级气氛和主观幸福感的关系中起到中介作用。

**关键词：**班级气氛；教师支持；同学支持；主观幸福感；中介

## 1. 引言

近几十年来，主观幸福感已经成为研究人员越来越感兴趣的领域，因为它被认为是促进人们心理健康的先决条件（Diener, Lucas, & Oishi, 2002 ; Hatzichristou, Lykitsakou, Lampropoulou, & Dimitropoulou, 2010 ; Karademas, 2006）。联合国可持续发展方案联盟发布的《2018 年全球幸福度报告》数据显示，中国大陆从第 79 名下降到第 86 名。主观幸福感 (subjective well-being) 是指“个人如何评价她们的生活满意度”（吴明霞, 2000; Cummins, 1997; Diener, 2009; Rees, Bradshaw, Goswami, & Keung, 2010）。大学生涯是人一生中最关键的时期，此一阶段的学习成果、生活态度、人际关系与身心健康，将是未来拥有美好生活的基础（蔡维华, 2011）。因此，研究大学生的主观幸福感是十分有价值和有意义的。

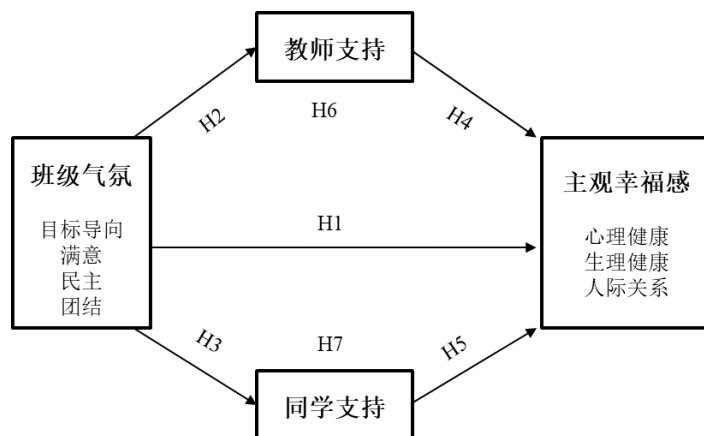
影响大学生主观幸福感的因素有很多，既有班级气氛、师生关系、同学关系、家庭关系等外部因素（Suldo, Friedrich, White, Farmer, Minch, & Michalowski, 2009; Lampropoulou, 2018），又有自尊、自我效能感、人格等内部因素（Jang, Bucy, & Cho, 2018; Tamannaefar & Motaghedifard, 2014; 郑雪、王玲、邱林、严标宾, 2003）。本研究企图从外部因素来探讨与主观幸福感的关系。已有研究表明，班级气氛是一个与主观幸福感相关的重要因素（林淑惠、黄毓臻, 2008; Chen, Fan, & Jury, 2017）。班级气氛 (classroom climate) 指教师、学生互相影响而形成专属该班之风气，是一种班级成员间的共识与默契（陈奎慧, 1990）。Fraser(1982) 将班级气氛分为四个维度：目标导向、满意、民主和团结。好的班级气氛具有温暖、友善及接纳等特色，能鼓舞学习并促进师生的喜悦及成就感；相反地，不好的班级气氛表现出没有秩序、缺乏团结及不友善（徐绮穗, 1997）。在良好的班级气氛中，学生一般对自我和班级环境都较满

意，更关注集体，也能获得周围同学的认可和赞赏，其主观幸福感水平会较高（郝翌钧，2014）。因此，班级气氛在促进学生主观幸福感中发挥着积极作用。

虽然研究表明班级气氛会影响主观幸福感，然而班级气氛影响大学生主观幸福感的尚不明确，因此，有必要考察班级气氛对大学生主观幸福感影响的中介机制，中介机制可以更进一步了解班级气氛是“如何”影响大学生主观幸福感（温忠麟、叶宝娟，2014）。已有研究证明教师支持和同学支持可以作为中介影响大学生的主观幸福感（王玉，2014）。而且，Dehghani(2018)在D型人格与生活满意度：社会支持的中介作用研究中，社会支持也是指家庭、朋友、他人所给予个体的物质和精神上的援助。由此本研究认为教师支持（teacher support）、同学支持（classmate support）是值得考虑的中介变量。教师支持是教师在对大学生做出的肯定性行为，既有客观实际的支持，包括提供学习资源、方法等，又有主观体验的支持，比如，尊重学生、赋予学生自主权等（Gilman, Ashby, Sverko, Florell, & Varjas, 2005）。同学是青少年成长过程中的重要他人，青少年知觉到的同学关系对其健康成长影响巨大（Pianta & Walsh, 1998）。首先，生态系统理论 Bronfenbrenner (1994)将人际关系分成了四套依次层叠的环境系统，这些系统彼此之间又相互影响。因此，班级环境这个系统中的教师、学生与班级气氛之间是相互影响的关系。实证研究也表明，班级气氛可以正向预测大学生的教师支持和同学支持（Šakić & Raboteg-Šarić, 2011；郝翌钧，2014）。其次，Ryan & Patrick（2001）研究发现，班级气氛、教师支持、同学支持会影响学生的积极性，积极参与活动的人会感到幸福。综上，大学生的班级气氛可能会通过教师支持、同学支持提高大学生的主观幸福感。本研究将探讨大学生班级气氛对主观幸福感的直接影响，也将验证大学生教师支持、同学支持在班级气氛和主观幸福感之关系的中介作用。如图1所示，本研究假设：（1）大学生班级气氛对主观幸福感具有显著的正向影响；（2）大学生班级气氛对教师支持具有显著的正向影响；（3）大学生班级气氛对同学支持具有显著的正向影响；（4）大学生教师支持对主观幸福感具有显著的正向影响；（5）大学生同学支持对主观幸福感具有显著的正向影响；（6）大学生教师支持在班级气氛和主观幸福感的关系中起到中介作用；（7）大学生同学支持在班级气氛和主观幸福感的关系中起到中介作用。

## 2. 研究方法

### 2.1 研究框架



图一 班级气氛影响主观幸福感的假设模型

## 2.2 被试

采用便利抽样方法选取江苏省 3 所本科高校 444 名大学生作为调查对象, 收回问卷 444 份, 问卷回收率为 100%。被试男生 86 人, 女生 358 人; 大一 141 名, 大二 177 人, 大三 77 人, 大四 49 名。专业分为文科类和理工科类, 文科类共有 368 人, 理工科类共有 76 人。父亲的教育程度分为 4 类, 小学(含)以下程度共有 55 人, 初中程度共有 170 人, 高中或中专程度共有 162 人, 大学及以上共有 57 人。母亲的教育程度分为 4 类, 小学(含)以下程度共 95 人, 初中程度共有 185 人, 高中或中专程度共有 124 人, 大学及以上共有 40 人。

## 2.3 研究工具

### 2.3.1 班级气氛量表

采用蔡蕙如(2012)参考 Fraser, Anderson, & Wallberg(1982)所编制之 Learning Environment Inventory (LEI) 自编《班级气氛量表》, 该量表共 20 个题项, 由目标导向、满意、民主和团结四个因子组成。采用“1=完全不符合”到“5=完全符合”的 Likert-5 点计分, 将各个项目得分相加即为班级气氛总分, 得分越高说明班级氛围的状况越好。SPSS 因素分析之因素负荷量除第 6、7、8 题外均在.6 以上, 且第 6、7、8 题在解释构面的因素负荷量时, 没有能解释第二个构面。因此, 本研究为使班级气氛问卷更具效度, 则将第 6、7、8 题「班上同学都喜欢班级内的各项学习活动」、「我们班是个很好的班级」、「我觉得待在我们班是幸运的」删除。删除后的因素负荷量均在.7 以上, 特征值大于 1, 累积解释变异量为 79.529%, 量表整体信度为.960。

### 2.3.2 教师支持量表

采用 Zimit (1988) 等人开发的感知社会支持量表 (MSPSS) 进行翻译及修改。首先将量表翻译成中文并进行回译修正, 然后根据本研究所需, 选择 MSPSS 量表中的其中一个维度: 教师支持。该量表共 4 个题项, 采用“1=完全不符合”到“5=完全符合”的 Likert-5 点评分, 将各个项目得分相加即为教师支持总分, 得分越高说明教师支持越多。SPSS 因素分析之因素负荷量均在 0.7 以上, 特征值大于 1, 累积解释变异量为 79.514%, 量表整体信度为.914。

### 2.3.3 同学支持量表

采用 Zimit (1988) 等人开发的感知社会支持量表 (MSPSS) 进行翻译及修改。首先将量表翻译成中文并进行回译修正, 然后根据本研究所需, 选择 MSPSS 量表中的一个维度: 同学支持。本量表共 4 个题项, 采用“1=完全不符合”到“5=完全符合”的 Likert-5 点评分, 将各个项目得分相加即为同学支持总分, 得分越高说明同学支持越多。SPSS 因素分析之因素负荷量均在 0.7 以上, 特征值大于 1, 累积解释变异量为 82.155%, 量表整体信度为.927。

### 2.3.4 主观幸福感量表

采用 Eleanor Pontin (2013) 等人所编制的主观幸福感量表, 该量表共有 24 个题项, 由心理健康、生理健康和人际关系三个因子组成。采用“1=完全不同意”到“5=完全同意”的 Likert-5 点评分, 将各个项目得分相加即为主观幸福感总分, 得分越高说明主观幸福感越强。SPSS 因素分析之因素负荷量除第 1、6、7、12、20 五题外均在.6 以上。因此, 本研究为使主观幸福感量表更具信效度, 则将第 1、6、7、12、20 五题「我不会感到沮丧或焦虑」、「我对自己感到满意」、「我对自己容貌和外表感到满意」、「我对自己以及个人的成就感到满意」、「我

对学校生活满意」删除。删除后的因素负荷量均在.7 以上，特征值大于 1，累积解释变异量为 70.609%，量表整体信度为.962。

### 3. 数据分析与结果

#### 3.1 各变量之间的描述统计与相关

各变量描述统计如表一所示，相关分析表明，班级气氛与主观幸福感呈显著的正相关大学生班级气氛对主观幸福感具有显著的正相关 ( $r=.607, p<.001$ )；大学生班级气氛对教师支持具有显著的正相关 ( $r=.623, p<.001$ )；大学生班级气氛对同学支持具有显著的正相关 ( $r=.624, p<.001$ )；大学生教师支持对主观幸福感具有显著的正相关 ( $r=.616, p<.001$ )；大学生同学支持对主观幸福感具有显著的正相关 ( $r=.656, p<.001$ )。

表一 研究变量的平均值、标准差和相关系数

	M	S.D.	班级气氛	教师支持	同学支持
班级气氛	3.733	.803			
教师支持	3.434	.995	.623***		
同学支持	3.666	.927	.624***	.643***	
主观幸福感	3.778	.742	.607***	.616***	.656***

注：\* $p<.05$  \*\* $p<.01$  \*\*\* $p<.001$

#### 3.2 假设检验

采用阶层回归方法分别对各研究假设进行检验，变量间 VIF 值在 1.067-1.711 之间，说明不存在共线性问题。由于研究变量在专业、年级、不同的父亲教育程度、不同的母亲教育程度上存在差异，因此，本研究将控制专业、年级、不同的父亲教育程度、不同的母亲教育程度，在回归分析中对班级气氛、教师支持与主观幸福感的影响，结果如表二所示。首先将班级气氛、控制变量和主观幸福感一并带入回归方程建立模型 1，班级气氛 ( $\beta =0.591, p<0.001$ )对主观幸福感有正向影响，研究假设 1 得到支持；其次，将班级气氛、控制变项与教师支持一并带入回归方程建立模型 2，班级气氛 ( $\beta =.618, p<0.001$ )对教师支持有显著的正向影响，研究假设 2 得到证明；最后，将班级气氛、教师支持、控制变量与主观幸福感一并带入回归方程建立模型 3，班级气氛 ( $\beta =0.337, p<0.001$ )、教师支持 ( $\beta =0.274, p<0.001$ ) 都与主观幸福感有显著的正向影响。结合模型 1、模型 2、模型 3 的回归结果可知，教师支持在班级气氛与主观幸福感之间的关系起到部分中介作用，研究假设 4 与假设 6 得到支持。

表二 班级气氛透过教师支持对主观幸福感的影响

	模式1	模式2	模式3
变项	主观幸福感	教师支持	主观幸福感
	Beta	Beta	Beta
控制变项			
年级	.006	-.022	.011
父亲教育程度	.075	.017	.058
母亲教育程度	.102*	.096*	.056
自变项			
班级气氛	.591***	.618 ***	.337 ***
中介变项			
教师支持			.274***
F值	77.203 ***	71.341 ***	78.454***
△R2	-	-	7.9%
R2	39.3%	41.3%	47.2%

注: \* $p < .05$  \*\* $p < .01$  \*\*\* $p < .001$

本研究的第二个中介变项是同学支持,同样采用阶层回归方法分别对各研究假设进行检验,变量间 VIF 值在 1.067 -1.711 之间,说明不存在较严重的共线性问题。由于研究变量在专业、年级、不同的父亲教育程度、不同的母亲教育程度上存在差异,因此,在回归分析中控制它们对班级气氛、同学支持与主观幸福感的影响,结果如表三所示。首先将班级气氛、控制变量和主观幸福感一并带入回归方程建立模型 1,班级气氛( $\beta = 0.591$ ,  $p < 0.001$ )对主观幸福感有正向影响,研究假设 1 得到支持;其次,将班级气氛、控制变项与同学支持一并带入回归方程建立模型 2,班级气氛( $\beta = .621$ ,  $p < 0.001$ )对同学支持有显著的正向影响,研究假设 3 得到证明;最后,将班级气氛、同学支持、控制变量与主观幸福感一并带入回归方程建立模型 3,班级气氛( $\beta = 0.321$ ,  $p < 0.001$ )、同学支持( $\beta = 0.435$ ,  $p < 0.001$ )都与主观幸福感有显著的正向影响。结合模型 1、模型 2、模型 3 的回归结果可知,同学支持在班级气氛与主观幸福感之间的关系起到部分中介作用,研究假设 5 与假设 7 得到支持。

表三 班级气氛透过同学支持对主观幸福感的影响

	模式1	模式2	模式3
变项	主观幸福感	同学支持	主观幸福感
	Beta	Beta	Beta
控制变项			
年级	.006	.052	-.017
父亲教育程度	.075	.057	.050
母亲教育程度	.102*	.083	.066
自变项			
班级气氛	.591 ***	.621 ***	.321***
中介变项			
同学支持			.435 ***
F值	71.203***	75.293***	89.586 ***
△R2			11.3%
R2	39.3%	40.7%	50.6%

注： \*p<.05 \*\*p<.01 \*\*\*p<.001

## 4. 结果讨论与建议

### 4.1 结果讨论

#### 4.1.1 班级气氛对主观幸福感有直接影响

根据本研究结果，班级气氛显著影响大学生主观幸福感，此研究结果与研究者林淑惠与黄酝臻（2008）的研究相符。尽管在良好的班级气氛中，学生一般对自我和班级环境都较满意，更关注集体，也能获得周围同学的认可和赞赏，同学关系好的学生的主观幸福感水平会较高，但是以往研究主要是验证班级气氛与主观幸福感之间的相关，忽略了班级气氛在其中的作用，这可能与大学生社交状况有关。大学生面临较严重的社交焦虑问题，与他人交往时感觉紧张或不安，较少主动寻求教师或同学的意见；同时也普遍存在师生关系异化或者同学关系疏离的现象，导致不容易形成一个良好的班级气氛。

#### 4.1.2 班级气氛对教师支持、同学支持有直接影响

根据本研究结果，班级气氛显著影响大学生的教师支持和同学支持，这与 Bidarian and Jafari（2012）的研究相符。班级是一个组织，班级气氛会影响教师、学生对这个班级的热情和投入，从而影响到教师支持、同学支持。反之，一个不齐心协力、不团结、对班级不满意也不民主的班级难以凝聚老师和学生，久而久之老师也会感受不到工作热情，反馈给班级的只有消极的对待方式。总之，在班级组织中，教师与学生之间的互动影响了这个班级的氛围，这是一个良性循环的过程。

#### 4.1.3 教师支持、同学支持扮演了中介变量角色

根据本研究结果，教师支持、同学支持中介了班级气氛与大学生主观幸福感之间的关系，中介效应占总效应的比例分别为为 7.9%、11.3%，表明其在班级气氛对大学生主观幸福感产生间接影响。在教师支持、同学支持的作用下，目标一致、满意、民主和团结的班级气氛让大学生感受到主观幸福感，进而有效改变应对逆境或困难的方式，使其感受生活幸福。除了班级气氛还有其他方面会影响大学生的主观幸福感，未来研究还可以尝试主动性人格、学习成绩、父母教养方式等方面。

### 4.2 建议

#### 4.2.1 对教师的建议

根据本研究结果，班级气氛对主观幸福感具有显著的正向影响，优化班级气氛有助于提升大学生的主观幸福感。一个好的班级气氛表现在班级的学生有共同的目标、学生对这个班级的一切满意、班级足够民主与团结。这离不开教师和学生的共同努力，例如：教师应有正确的班级气氛经营理念与技巧，让班上同学都知道自己该负责的工作、会尽力做好自己份内的工作、知道每一科目的学习目标、会关心本班所参与学校的各项比赛、有共同想要实现的目标，让同学皆有决定班上事务的权利，班级决议班上事务时，所有讨论、表决过程是公开的，以多数票决定班上事务让大家觉得公平与正义，班上同学可以表达正反两方面看法，班上遇到困难时，会透过民主讨论找到解决方法，参加校内比赛时，同学都会为自己班上同学加油，班上同学比赛获奖，多数同学都会为他高兴，班上同学困难时，多数都会热心相助，参加活动时，多数同学都很认真配合，让学生们觉得自己很荣幸成为本班的一份子，对这个班级感到满意、骄傲和自豪。营造班级温馨与学习的气氛，以激发班级的凝聚力与归属感，并使学生了解营造良好班级气氛的重要性。

根据本研究结果，班级气氛显著影响大学生的教师支持，教师支持中介了班级气氛与大学生主观幸福感之间的关系，教师应把握定位好自己在大学生学习与生活中所扮演的角色。教师与学生之间应该是平等的关系。教师一方面不要经常以上级的身份命令学生严格按照要求完成规定任务，而要赋予学生充分的自由和自主决定权，让学生处于班级的中心地位，允许学生按照个人想法独立完成作业，这也有助于其创造性思维的发展；另一方面，要关怀学生，当学生在学习或生活中遇到难题，教师要以朋友身份积极介入，既提供实质性的客观支持，又予以理解、包容和关爱，使学生始终保持乐观向上的积极态度，及时和老师分享喜怒哀乐，老师对于学生来说是心灵的港湾、是会帮助自己的亲人。

#### 4.2.2 对学生的建议

根据本研究结果，班级气氛显著影响大学生的同学支持，同学支持中介了班级气氛与大学生主观幸福感之间的关系，班干部发挥带头作用，活跃气氛，让 QQ、微信、微博等班级群内不再零交流，拉近同班同学的心理距离，以增加同学在学习上的思想碰撞、生活上的关怀与帮助。同宿舍同学要彼此关照，在室友遇到困难时，予以支持和鼓励，使其快速走出困境。同专业不同班级同学要共享资源，分享从各个渠道获得的学习资源，降低时间成本，增加彼此合作交流，从热烈的讨论中衍生友谊的火花。通过同学互帮互助，培育出“集体意识”，增强集体凝聚力，建立团结友爱的同学关系。

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# 将积极心理学运用于中国民航飞行员在职教育：一个整合工作压力、工作倦怠及心理资本的调节效果分析

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## 摘要

本研究基于扩展与建构理论考察了工作压力对民航飞行员工作倦怠的作用机制。采用工作压力量表、工作倦怠量表、心理资本量表对 350 名中国民航在职飞行员进行研究。研究发现：（1）中国民航飞行员工作压力、工作倦怠现况为中等程度。（2）中国民航飞行员心理资本现况为中高程度。（3）民航飞行员工作压力对工作倦怠具有显著的正向影响；（4）民航飞行员心理资本在工作压力与工作倦怠的关系中起到调节作用；

**关键词：**工作压力；工作倦怠；心理资本；民航飞行员；在职教育

## 1. 引言

中国改革开放四十年来，民航运输业已经保持了三十多年的高速增长（新华社，2012）。保证航空安全一直是民航业的首要目标，但近期民航业接连出现几起飞机冲出跑道、机长误操作损坏起落架、飞行员因工作疲倦在飞行中吸烟导致飞机紧急下降等，均由飞行员人为因素导致的“不安全事件”，使民众对航空安全的关注度持续上升（BBC，2018；中国民航资源网，2018）。Brezonakova（2017）研究认为，飞行员身体及心理状态是影响航空安全的主要原因之一。因此，了解中国民航飞行员工作现况及心理状态，并将其运用于飞行员在职教育，将能够更好的保障航空安全（孟豫、李海燕、罗渝川，2015）。

在中国民航飞行员工作现况方面，随着中国航空业的飞速发展，空中交通量不断增加，飞行员连续值勤时间长，工作疲倦已经成为影响飞行安全不可避免的话题（周卫东，2015）。实证研究发现，飞行员工作疲劳及倦怠会对航空安全产生较大影响，飞行员的状态和行为是航空安全重要的决定因素（Brezonakova，2017；Wiener & Nagel,1988;李嘉，2012）。工作倦怠是指工作者经常在较高压力的环境下，所形成的生理疲惫、心理疲倦及情绪耗竭的状态（Freudenberger,1974;Maslach,Schaufeli, & Leiter, 2001;林澍，2016）。根据 Maslach and Leiter(1997)的观点，工作倦怠由情绪耗竭、成就感低落及玩世不恭三个主要因素组成。具体表现为注意力不集中、失眠、焦虑、慢性疲劳，以及感到无助、希望远离工作任务、缺乏生产力等消极表现。而在航空业这种安全敏感的环境中，倦怠症状可能会导致飞行员工作效能下降和反应时间延长，导致飞行安全风险增加，更关系到公共安全和大众利益（Brezonakova,2017;Lee& Kim,2018）。因此，有必要探究飞行员工作倦怠的影响因素以及作用机制，以期减少飞行员工作倦怠提供实证依据，进而保障航空安全。

工作压力是指工作者在与工作有关因素的交互作用下, 改变工作者正常生理和心理反应的结果(Beehr & Newman,1978)。相关研究证实, 适当的工作压力可以提高工作者的创造力和工作绩效(余成尧, 2015; 谢瑞鸿, 2018)。但过多的压力不仅会引起焦虑、抑郁等消极情绪, 还可能导致工作疲劳及倦怠(Maslach, Schaufeli, & Leiter, 2001; 张阔、卢广新、王敬欣, 2014)。据此, 本研究提出假设 1: 工作压力对民航飞行员工作倦怠有显著正向影响。

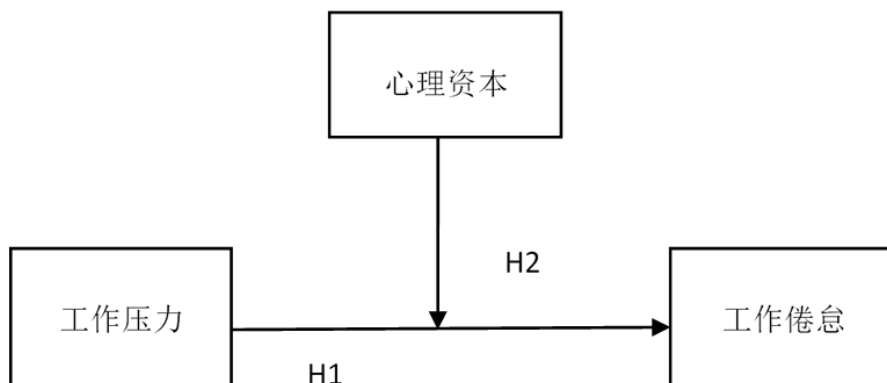
虽然已有实证研究表明, 工作压力是影响飞行员工作倦怠的重要原因之一(Brezonakova, 2017; Finney, Stergiopoulos, Hensel, Bonato, and Dewa,2013;杨键、赵璧、吴思英、林少炜, 2014), 但工作压力对民航飞行员工作倦怠的影响可能受到其他因素的调节, 而调节效应可以较好的回答工作压力对飞行员工作倦怠产生影响的“条件”。在文献回顾的基础上, 本研究认为积极心理学中的心理资本是值得考虑的调节变量。Luthans and Youssef (2004) 提出了心理资本的概念, 这一概念是在积极心理学(Positive Psychology)的驱动下发展而来的, 并将心理资本定义为个人在成长和发展过程中表现出来的积极心理状态, 是一种内在的积极心理资源。心理资本包括希望、乐观、自我效能及恢复力四个维度。Fredrickson(2001)的“扩展与建构理论”认为积极的情绪可以拓宽情感和认知过程, 强化个人积极行为。而拓展、建构的关系是相互影响和引发的, 积极的情绪(如: 心理资本)有利于个人对困难及压力的应对和资源的建构, 而良好的应对方式又预示着以后积极情绪的产生。Avey,Luthans, and Jensen (2009)的研究发现, 员工良好的心理资本可以很好的缓解员工压力, 与其工作压力症状呈显著负相关。心理资本这种积极的心理资源, 可以有效转变员工消极情绪, 促进积极工作动力(Bakker & Schaufeli, 2008; 李力、廖晓明, 2011; 陈维政、徐兰、胡冬梅, 2012)。个人心理资本程度越高, 证明其内在积极资源越充沛, 容易克服工作上种种压力所致的负向事件, 缓解工作倦怠(张乔惠, 2014)。据此, 本研究提出假设 2: 心理资本在民航飞行员工作压力对工作倦怠的影响中起到调节作用。

民航飞行员在职教育方面, 飞行员在职教育是指民航飞行员在执行航班之余, 所属航空公司通过一系列的专业培训提升其飞行技术, 使飞行员更好的保障飞行安全(张飞桥、赖良友, 2009)。实证研究表明, 目前中国民航较缺乏对于在职飞行员心理状态方面的关注, 故加强对民航飞行员心理保健及心理资源方面的教育及培训很有必要(孟豫等, 2015)。

综上所述, 本研究探讨民航飞行员工作压力对工作倦怠的影响, 从积极心理学的角度来探讨心理资本在飞行员工作压力对工作倦怠影响中的调节作用。且通过本研究的实证分析, 可为积极心理学应用于民航飞行员在职教育的可行性提出证据, 并对飞行员工作压力及工作倦怠的相关研究做出贡献。

## 2. 研究方法

## 2.1 研究框架



图一 研究框架

## 2.2 被试

采用便利抽样方法选取中国民航华中、华北、东北地区三家公司 356 名在职飞行员作为调查对象，收回问卷 350 份，问卷回收率为 98%。其中男性 334 人，女性 16 人。未婚 123 人，已婚 227 人。按年龄段分为五类，30 岁及以下 156 人，31 岁-35 岁共 123 人，36-40 岁共 45 人，41 岁以上共 19 人。按飞行级别分为四类，飞行学员 31 人，副驾驶 278 人，机长及教员 41 人。按学历程度分为三类，大专程度 21 人，本科程度 318 人，研究生（含）以上程度 11 人。按飞行小时数分为五类，1000 小时及以下 46 人，1001-3000 小时 226 人，3001-5000 小时 50 人，5000 小时以上 28 人。

## 2.3 研究工具

### 2.3.1 工作压力量表

本研究的工作压力量表是采用郑永安、任维廉（2000）编制的《民航飞行员工作压力量表》。该量表共 34 个题项，采用“1=完全不符合”到“5=完全符合”的 Likert-5 点计分，将各个项目得分相加即为工作压力总分，得分越高说明工作压力的状况越高。部分题目在进行 SPSS 因素分析之因素负荷量时没有能解释各自构面。因此，本研究为使工作压力问卷更具效度，则将题目删除，删除后的题目因素负荷量均在.7 以上，特征值大于 1，采取主成分分析法和方差最大旋转法进行分析的结果显示可以提取 5 个因子，分别为 1.飞行任务之物理环境感受 2.飞行任务之心理环境感受 3.飞行任务之工作负荷 4.飞行任务之外的工作活动 5.公司的要求与政策。累积解释变异量为 68.939%，本量表效度良好，整体信度 Cronbach'  $\alpha$  值为.867。

### 2.3.2 工作倦怠量表

本研究的工作倦怠量表是采用李超平、时勤（2003）经原作者授权并翻译的 MBI - GS 工作倦怠量表国际通用版 Maslach&Leiter（1997）。该量表共 15 个题项，采用“1=完全不符合”到“5=完全符合”的 Likert-5 点计分，将各个项目得分相加即为工作倦怠总分，得分越高说明工作倦怠的状况越高。部分题目在进行 SPSS 因素分析之因素负荷量时没有能够解释各自构面。因此，本研究为使工作倦怠问卷更具效度则将题目删除，删除后的题目因素负荷量均在.7 以上，特征值大于 1，采取主成分分析法和方差最大旋转法进行分析的结果显示可以提取 3 个因子，分别为 1.情绪耗竭 2.玩世不恭 3.成就感低落。累积解释变异量为 73.199%，本量表效度良好，整体信度 Cronbach'  $\alpha$  值为.902。

### 2.3.3 心理资本量表

本研究的心理资本量表是采用 Luthans and Youssef (2007) 所编制的心理资本量表 (Psy Cap Questionnaire, PCQ)。该量表共 12 个题项, 采用“1=完全不符合”到“5=完全符合”的 Likert-5 点计分, 将各个项目得分相加即为心理资本总分, 得分越高说明心理资本的状态越高。部分题目在进行 SPSS 因素分析之因素负荷量时没有能够解释各自构面。因此, 本研究为使心理资本问卷更具效度则将题目删除, 删除后的题目因素负荷量均在 .7 以上, 特征值大于 1, 采取主成分分析法和方差最大旋转法进行分析的结果显示可以提取 2 个因子, 分别为 1. 希望与乐观 2. 自我效能与恢复力。累积解释变异量为 72.895%, 本量表效度良好, 整体信度 Cronbach'  $\alpha$  值为 .809。

## 3. 数据分析与结果

### 3.1 各变量之间的相关

各变量描述统计如表一所示, 相关分析表明, 工作压力与工作倦怠呈显著的正相关 ( $r=.685, p<.01$ ); 心理资本对工作具有显著的负相关 ( $r=-.177, p<.01$ ); 心理资本对工作倦怠具有显著的负相关 ( $r=-.447, p<.01$ )。

表一 研究变量的平均值、标准差和相关系数

	M	S.D.	工作压力	心理资本
工作压力	2.756	.541		
心理资本	4.157	.439	-.177**	
工作倦怠	2.111	.676	.685**	-.447**

注: \* $p<.05$  \*\* $p<.01$  \*\*\* $p<.001$

### 3.2 工作压力对工作倦怠的回归分析及调节效应

根据 Baron and Kenny (1986) 对调节变项的定义与构成条件, 在回归分析中, 当自变项与调节变项的交乘项与依变项的路径系数达显著水平时, 则该调节变项对于自变项与依变项之间的关系具有调节效果。对于假设一及假设二, 采用 Baron and Kenny (1986)、Aiken and West (1991) 介绍的回归分析程序, 检验工作压力对工作倦怠的主要效果, 及心理资本在工作压力与工作倦怠之间关系的调节效果。首先, 为避免多元共线性 (multicollinearity) 的问题, 本研究对于自变项 (工作压力) 与调节变项 (心理资本) 进行标准化, 再进行变项的交乘与后续回归分析。依据文献探讨的结果及相关分析, 心理资本与工作压力及工作倦怠皆有减缓的关系。首先, 变量间 VIF 值在 1.049-1.081 之间, 说明不存在多重共线性问题。模型一结果显示, 工作压力对工作倦怠的预测效果达显著 ( $F=308.130, p < .001$ ), 解释量为 47%, 工作压力对工作倦怠具有正向预测力 ( $\beta = .685, p < .001$ ), 换言之, 当民航飞行员感知的工作压力越大, 则具有越高的工作倦怠, 故研究假设 1 得到支持。模型二结果显示, 心理资本对工作倦怠的预测效果达显著 ( $F=239.133, p < .001$ ), 解释量为 58%。心理资本对工作倦怠具有负向预测力 ( $\beta = -.337, p < .001$ ) 换言之, 民航飞行员的心理资本能力越高, 则越不容易产生工作倦怠的感受。模型三结果显示, 交互作用项「工作压力 x 心理资本」对于工作倦怠的预测力达显著水平 ( $F=162.580, p < .001$ ),

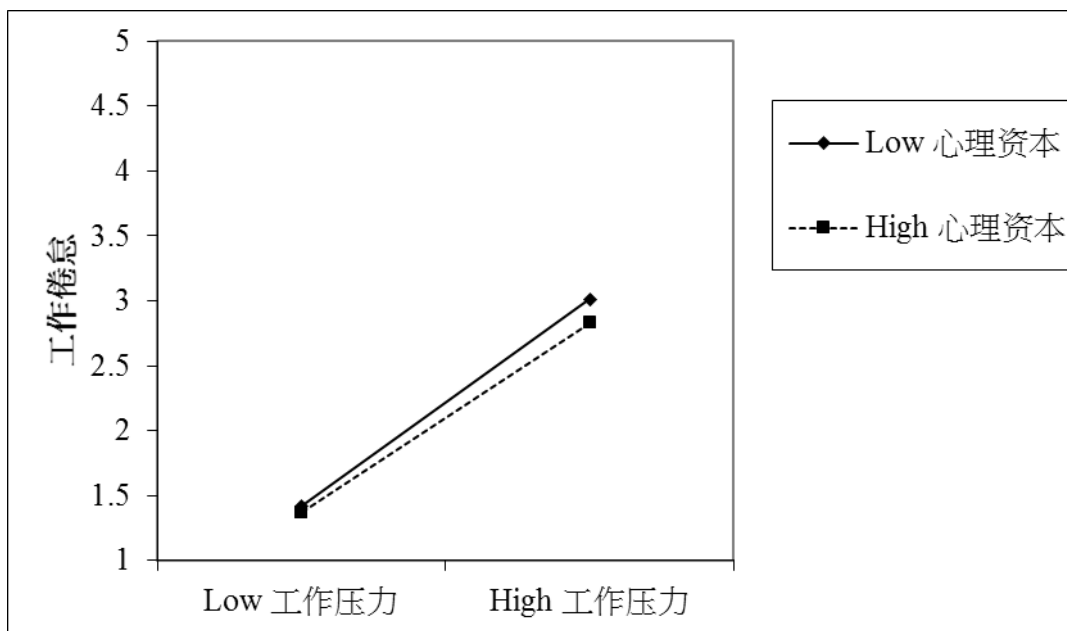
解释量为 58.5%。交互作用项「工作压力 x 心理资本」对工作倦怠具有负向预测力 ( $\beta = -.076$ ,  $p < .05$ )，故研究假设 2 得到支持。由上述分析结果可知，在主要效果方面，工作压力会正向影响工作倦怠，即民航飞行员所感知的工作压力程度越高，则其工作倦怠程度越高。此外，心理资本直接负向影响（抑制）工作倦怠，即民航飞行员的心理资本程度越高，则其工作倦怠程度越低。在调节作用方面，心理资本在工作压力对工作倦怠的影响中为负向调节效果。

表二 心理资本在工作压力对工作倦怠的影响之阶层回归分析摘要表

变项	模型一	模型二	模型三	VIF
自变项 工作压力	.685***	.626***	.609***	1.081
调节变项 心理资本		-.337***	-.337***	1.032
交互作用项 工作压力 x 心理资本			-.076*	1.049
R <sup>2</sup>	.470	.580	.585	
△R <sup>2</sup>	-	.110	.005	
F	308.130***	239.133***	162.580***	

注：\* $p < .05$  \*\* $p < .01$  \*\*\* $p < .001$

为更加清晰地揭示心理资本对工作压力与工作倦怠之间的调节作用，采用简单斜率检验来进一步分析心理资本的调节作用。以平均数加减一个标准差作为划分标准，对心理资本进行分组，平均数加一个标准差以上的为高心理资本特质组，平均数减一个标准差以下的为低心理资本特质组，根据回归方程计算，在高心理资本分组和低心理资本分组时，工作压力对工作倦怠的预测情况。结果见图二。



图二 心理资本对工作压力与工作倦怠的调节作用

从图二中可见，心理资本在工作压力与工作倦怠间起到了抑制作用。心理资本越高，工作压力对工作倦怠的影响越低。而心理资本较低时，工作压力对工作倦怠的影响越高。具体来说，在低度工作压力的环境下，高心理资本的飞行员所感知的工作倦怠程度微低于低心理资本的飞行员；在高度工作压力的环境下，高心理资本的飞行员所感知的工作倦怠程度则低于低心理资本的飞行员。

## 4. 结果讨论与建议

### 4.1 结果讨论

#### 4.1.1 工作压力对飞行员工作倦怠有直接影响

通过本研究相关分析与回归分析得出，工作压力与工作倦怠呈正相关，工作压力对工作倦怠具有显著的正向预测作用，工作压力越高，工作倦怠越大。这与以往研究一致（Finney et al.,2013;杨键等，2014；李永占,2014）。因此，需要民航局、各航空公司管理部门与飞行员自身共同努力，调节自身的工作压力，从而提高工作效率。飞行任务之物理环境感受、飞行任务之心理环境感受、飞行任务之工作负荷、飞行任务之外的工作活动和公司的要求与政策，这些都是容易引起飞行员工作压力的原因。压力越小，工作倦怠也越少。

#### 4.1.2 心理资本在工作压力与工作倦怠之间的调节作用

通过本研究线性回归分析结果表明，心理资本在工作压力与工作倦怠之间具有负向的调节作用，随着心理资本的增强，工作压力对工作倦怠的消极影响会随之减弱，这与以往研究结果相符（Bakker & Schaufeli, 2008；李力、廖晓明，2011）。因此可以通过提升飞行员的心理资本，也就是希望与乐观、自我效能与恢复力，缓解工作压力及工作倦怠的影响，从而达到减少飞行员工作倦怠的目的。

### 4.2 建议

#### 4.2.1 将积极心理学运用于民航飞行员在职教育

通过本研究结果，心理资本在工作压力与工作倦怠之间的调节作用，各航空公司应该切实关注飞行员的心理资本建设，借鉴积极心理学中有关心理资本构建的理论，提供多方面的情绪以及工作交流渠道，将其加入民航飞行员在职教育。帮助民航飞行员提升心理资本，促使他们以更积极的方式应对工作中遇到的压力及倦怠，达到提升飞行员身心健康及工作绩效的目的。

#### 4.2.2 缓解民航飞行员的工作压力、工作倦怠

通过本研究结果，工作压力对飞行员工作倦怠有直接影响，民航业和航空公司管理部门应进一步倡导关爱飞行员的身心健康，合理安排执勤期及休息期，并定期组织安排飞行员心理咨询，才能更好的保障飞行安全。民航飞行员要不断地提升自身的心理健康意识，培养乐观、自信、坚韧、希望的积极心理资本，通过自身不断努力去追求职业的幸福感和成就感。

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# 中国货币政策对国债收益率影响的研究

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## 摘要

国债收益率通常被解释为投资国债每年所得收益占资本的比例，能为投资者进行资产定价、投资决策等提供重要依据。国债收益率曲线也是风险管理、金融资产定价、套期保值等方面的参照标准，以此构建的国债利率期限结构更能作为“晴雨表”反映宏观经济情况。对国债收益率的研究多涉及到国债利率期限结构的构建及估计方面，对此国内外已经做了相当程度的探索，而针对宏观经济因素对国债收益率的影响分析国内的研究则相对较少。随着人民币在离岸市场及在岸市场的快速发展，银行间、交易所债券市场的日渐融合，债券一级市场及二级市场的日益成熟，SDR 利率篮子纳入了 3 个月国债收益率曲线利率等，探究宏观经济因素与国债收益率之间的相关关系具有十分深远的理论和现实意义。不仅有助于研究宏观经济政策在国债市场传导性机制是否成熟、有效，有助于投资者合理地进行投资决策，还有助于政策制定当局理性调节国债发行制度、规模、频率等，从而有利于中国在深化经济体制改革的重要阶段建立起更加完善、稳健、高流动性的国债市场。本文应用回归分析等方法展开分析，实证剖析了货币政策对国债收益率的影响。

**关键词：**国债收益率；货币政策；事件分析法

## 1. 绪论

### 1.1 研究背景

国债，又称公债，由国家发行并为中央政府筹集资金。因国债的信誉度较好，流动性较强，收益率相对稳定也被称为“金边债券”。另一方面，国债对中国宏观经济具有重要作用，其有弥补财政赤字、调节财政预算、筹集建设资金、公开市场操作、宏观调控国民经济、推动经济金融改革及人民币国际化等作用。国债本身是一种金融产品，货币供应量、财政收支状况、经济发展态势、经济政策及外币流动性等都会影响国债价格及收益。因此，国债的宏观调控作用及其金融产品性质决定了国债研究的特殊性及其重要性。国内外对国债收益率与宏观经济政策的动态关联性十分关注，既基于国债收益率曲线特征受货币政策影响方面进行研究，探讨国债收益率曲线的货币机制传导作用不足与否，又基于国债收益率与货币政策之间的相关关系进行剖析。由于，国内外关于国债收益率曲线对宏观经济政策的传导作用是否真正不足，国债收益率的本质特征、未来走势能否由货币政策变量进行较好地诠释等问题并未有较为一致的答案。因此，结合中国国债国情对上述两种存在一定争议的问题展开实证分析及研究，所得结论，将对中国国债市场的进一步发展及投资导向具有一定的参考价值。

## 1.2 研究动机与目的

国内外针对货币政策因素对国债收益率影响的研究主要有两大方向：一方面，基于利率期限结构理论研究国债利率期限结构受具体货币政策因素的影响。另一方面，直接针对国债收益率及经济变量的时间序列展开分析研究。

- (1) 衡量降准政策对国债收益率走势的短期冲击是否显著。
- (2) 考察降准政策对国债利率期限结构的短期影响，基于参数的变动情况给出显著性评价。
- (3) 解释国债收益率曲线的动态特征，并分析国债收益率序列受哪些货币政策变量的短期及长期影响。

国债收益率通常被解释为投资国债每年所得收益占资本的比例，能为投资者进行资产定阶、套期保值等方面参照标准，以此构建的国债利率期限结构的构建及估计方面，对此国内外已经做了相当程度的探索，而针对宏观经济因素对国债收益率的影响分析方面国内的研究则相对较少。

## 1.3 研究流程

本文为了系统的研究中国货币政策对国债收益率影响，把论文分为五个章节。具体结构安排如下：

第一章为绪论，对此次论文的研究背景进行了初步介绍，同时简单陈述了此次论文的创作动机，尤其列举了此次的研究创新点。

第二章为文献综述，首先会简单介绍过去的国债收益率到现代的具体发展进程，同时会简单阐述国内外关于这一论题的文献资料。

第三章为研究设计，本章主要说明本文的数据选取来源，变量的选择，假设以及对问题进行实证研究的模型。

第四章为实证研究与分析，利用选取的变量数据和模型更深入的分析中国货币政策对国债收益率影响，并进一步解释实证分析结果。

第五章为结论与建议，在面板数据分析得出的结论基础上对结果进行比较分析，总结过去学者的研究和本文实证分析的结果提出更进一步的结论。

以下是本文的研究流程图：

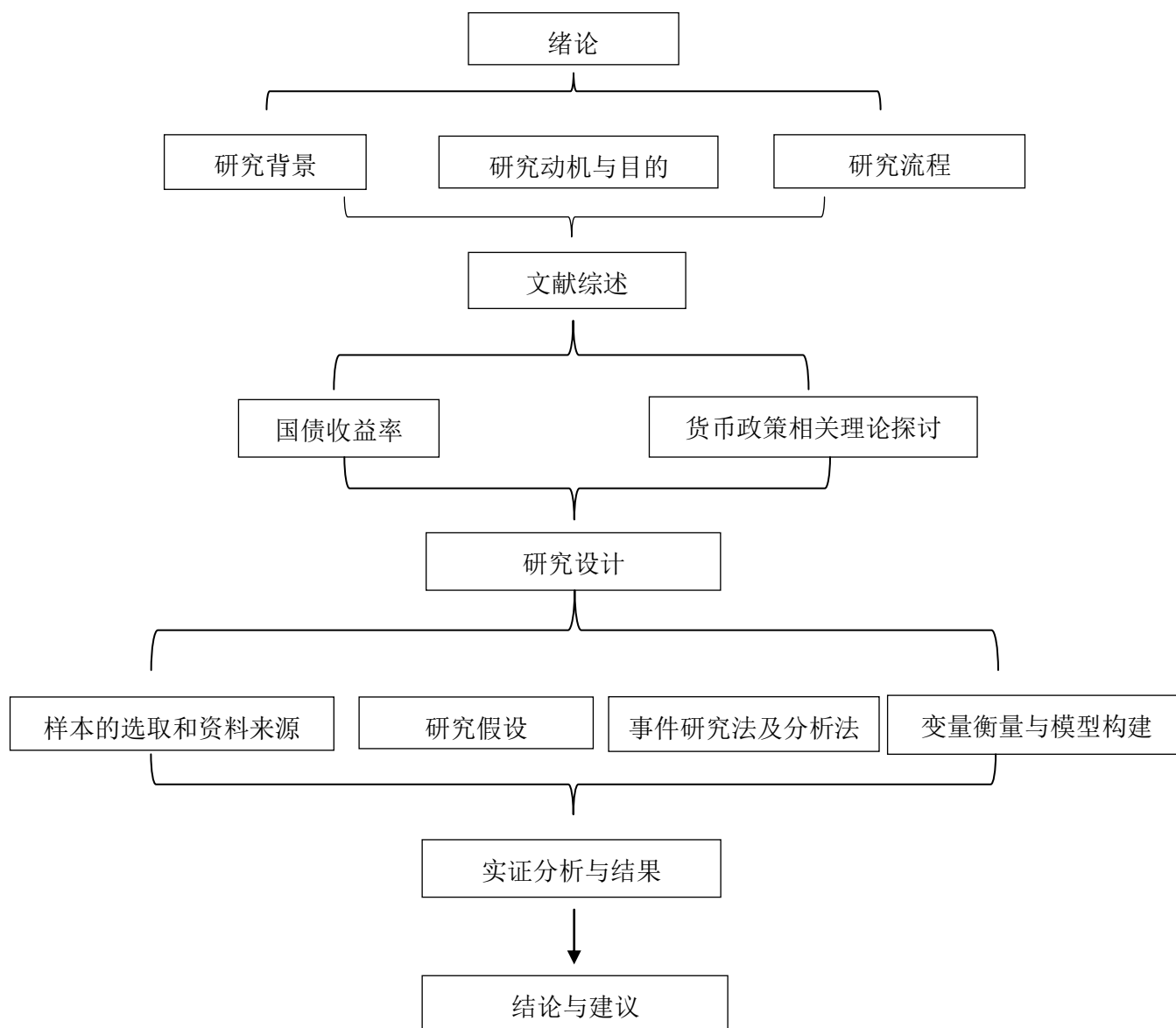


图 1.1 研究流程图

## 2. 文献综述

### 2.1 国债收益率指标(含计算)

#### 2.1.1 国债收益率根据计算方式

##### 1. 到期收益率

在衡量债券收益率的所有指标中，到期收益率是使用最为广泛的一个指标。到期收益率是能使债券未来现金流的现值正好等于债券当前的市场价格（初始投资）的贴现率，用 YTM 表示。它是按复利计算的收益率，考虑了货币的时间价值，能够较好地反应债券的实际收益。它的计算方式如下：

$$(1) P = \sum_{i=1}^N \frac{C}{(1+YTM)^i} + \dots + \frac{F}{(1+YTM)^N}$$

其中，P 表示债券当前的市场价格；C 表示债券票面利息；F 表示债券面值；N 表示债券距离到期日的期数；YTM 表示每期的到期收益率。

到期收益率假设债券不存在违约风险和利率风险，投资者将债券持有至到期日，并且每次得到的利息按照计算出来的到期收益率进行再次投资一直到到期日。到期收益率不仅反映了利息收入，更考虑了债券购买价格和到期价格之间的资本利得。所以，到期收益率一般被看作是投资者从购买债券直到债券到期所获得的平均收益率。到期收益率是衡量债券预期收益率较为准确的指标。

## 2. 当期收益率

当期收益是年利息与债券市场当时市场价格的比值，它仅仅用来衡量利息收入的

$$(1) CY=C/P$$

其中：CY 表示当期收益率；C 表示年利息；P 表示债券当时的市场价格。

若债券平价出售，则票面利率=当期收益率=到期收益率

若债券折价出售，则票面利率<当期收益率<到期收益率

若债券溢价出售，则票面利率>当期收益率>到期收益率

## 3. 赎回收益率

到期收益率假设债券持有直到到期日，如果债券可以在到期日之前被发行人赎回，债券的收益率就需要用赎回收益率（yieldtocall，简称 YTC）来衡量。赎回收益率是使债券在赎回日以前的现金流现值与当前的市场价格相等的贴现率。赎回收益率的计算与到期收益率类似，差异在与需要以赎回日代替到期日，用赎回价格替代面值。它的计算方式如下：

$$(1) P = \sum_{i=1}^{N^*} \frac{C}{(1+YTC)^i} + \dots + \frac{F^*}{(1+YTC)^{N^*}}$$

其中，P 表示债券当前的市场价格；C 表示债券票面利息；F\*表示赎回价格；N\*表示债券距离赎回日的期数；YTM 表示每期的赎回收益率。

## 4. 持有期回报率

虽然将债券持有至到期，投资者得到的实际收益率与事先计算出来的到期收益率也可能不相等。在投资期限到达之后，为了准确计算债券的事后收益率，通常人们会计算债券的持有期回报率（holdingperiodreturn，简称 HPR）。

持有期回报率是债券在一定持有期限内的收益（包括利息收入和资本利得）相对于债券期初价格的比率，它是衡量债券事后实际收益率的准确指标。因此，当投资者持有债券一期时，持有期回报率的计算方式为：

$$(1) HPR = [C + (P_1 - P_0)]/P_0$$

其中，HPR 表示一期的持有期回报率，C 表示票面利息；P1 表示第一期期末的价格；P0 表示期初价格。

# 3. 研究设计

## 3.1 研究假设

肖新员(2012)存款基准利率作为法定利率,是国家实现宏观调控的工具;而国债作为最基础的债券品种,其收益率水平具有市场基准利率的作用。存款基准利率的调整,通过货币政策传导机制,对国债收益率会产生一定的影响。因此,对于政策制定者而言,明确利率市场化进程中,存款基准利率对国债收益率的影响,有利于明确宏观货币政策的实际效果;而对于投资者来说,估计不同到期期限国债收益率对存款基准利率变动的反应程度,是进行合理的资产配置和有效的利率风险管理的前提。基于此,本文将结合理论分析和实证分析,探究存款基准利率调整对国债到期收益率的影响。

**H1:** 存款基准利率对国债收益率有正向影响。

朱世武(2006)在不同情形下对各种模型的拟合精度进行了比较分析,在有异常点和数据不平滑的情况下,指数样条模型更易受异常点的影响(出现多重转折)。但在中长期国债收益率出现异常时,只有 Nelson Siegel Svensson 模型才能够保证收益率曲线在长端趋于平缓。

随着中国国债上市品种的增加,国债的利率期限结构中短期和长期国债比重的合理化,国债持有者结构的进一步调整以及与国债市场相适应的机构与制度安排的不断建立,中国的国债市场也逐渐趋于有效和完善。到目前为止,国债市场上所形成的国债收益率曲线的相关性及国债收益率曲线变动情况的研究,而且研究结果也不一致。再者,中央银行传统货币政策工具中力度最大的存款准备金率,通常情况下,很少被使用。

**H2:** 存款准备金率对国债收益率有正向影响。

张一昆(2014)银行间同业拆借市场是货币市场的重要组成部分之一,以银行为主的各类金融机构通过同业拆借市场融通资金来调节资金头寸,解决短期资金的需求。而同业拆借利率是社会金融体系运行重要指标,可以直接反映出银行间的流动性余缺程度并间接反映出全社会金融体系内的资金价格。通过对中国银行间市场同业拆借利率的研究,有助于中央银行有效地制定经济金融政策,保障金融市场的平稳运行;有助于各商业银行提高利率风险管理水平,优化金融资产配置;同时也有助于推进中国利率市场化改革,促进中国银行间同业拆借市场发展。

**H3:** 银行间同业拆借加权平均利率对国债收益率有正向影响。

曹志鹏(2008)在银行间债券回购市场利率基本特征分析基础上,利用中国银行间债券回购开始日1997年6月15日至2008年4月20日全部质押式回购每周加权平均利率进行实证研究,建立了基于 ARMA-GARCH 模型族的利率风险 CVaR 测度模型。结果表明中国银行间债券回购市场中存在杠杆效应;回购利率分布对 CVaR 计算结果影响较大,GED 分布较正态分布和 t 分布能更好刻画中国银行间回购利率序列的分布状况。EGARCH 模型计算得到的 CVaR 值要优于 GARCH 和 TARARCH 模型得到的结果。

为提高中国银行间债券回购市场利率风险测定的准确性和实用性,本文针对中国银行间债券回购市场隔夜回购利率进行了基本特征分析,探讨了如何利用混合正态分布对利率数据进行拟合并据此计算 VaR;作为对比组,本文同时采用 GARCH 模型族对利率数据进行处理。实证结果表明:与 GARCH 模型族相比,混合正态分布拟合方法计算 VaR 在准确性和实用性方面均有所提高。

**H4:** 银行间债券抵押式回购交易加权平均利率对国债收益率有正向影响。

### 3.2 研究方法: 事件分析法

为了探讨国债到期收益率的发展过程与规律性,并进行引申外推,我们采用事件分析法。

是剖析某事件能否真正对社会经济生活存在冲击效应。事件分析法是为了从定量分析的角度研究降准政策是否确实会对国债到期收益率产生冲击作用，本章采取事件分析法来检验及分析在降准政策前后中债国债到期收益率的变动情况。应用事件分析法，首先必须界定事件产生冲击效应的时间区间，即事件窗口，接着在事件窗口内通过计算超额收益来衡量事件冲击效应的大小。

表 3.1 变量衡量表

变量类型	变量名称	文献来源
因变量	国债收益率	王淑梅(2015)
自变量	存款基准利率	史晓丹(2013)
	存款准备金率	郭涛(2008)
	银行间同业拆借加权平均利率	惠恩才(2007)
	银行间债券抵押式回购交易加权平均利率	刘英(2011)
控制变量	人民币实际有效汇率指标	阮健弘(2013)

### 3.3 模型构建与变量说明

本节主要采用向量自回归模型进行实证分析，用来研究货币政策对国债收益率长短的影响并建立以下模型：

$$M_1 = \beta_i + \alpha_1 BDR + a_2 DRR + \alpha_3 SHIBOR + a_4 CRR + a_5 REERI + \varepsilon_t$$

$$M_3 = \beta_i + \alpha_1 BDR + a_2 DRR + \alpha_3 SHIBOR + a_4 CRR + a_5 REERI + \varepsilon_t$$

$$Y_1 = \beta_i + \alpha_1 BDR + a_2 DRR + \alpha_3 SHIBOR + a_4 CRR + a_5 REERI + \varepsilon_t$$

$$Y_5 = \beta_i + \alpha_1 BDR + a_2 DRR + \alpha_3 SHIBOR + a_4 CRR + a_5 REERI + \varepsilon_t$$

$$Y_{10} = \beta_i + \alpha_1 BDR + a_2 DRR + \alpha_3 SHIBOR + a_4 CRR + a_5 REERI + \varepsilon_t$$

$$Y_{20} = \beta_i + \alpha_1 BDR + a_2 DRR + \alpha_3 SHIBOR + a_4 CRR + a_5 REERI + \varepsilon_t$$

上述方程中， $\beta_t$ 为截距项， $\alpha_{1,2,3\dots}$ 为各变量系数；M为国债月期数；Y为国债年期数 BDR为存款基准利率，DRR为存款准备金率，SHUBOR为银行间同业拆借加权平均利率，CRR为

银行间债券抵押式回购交易加权平均利率，REERI 为人民币实际有效汇率指标。

基于上述分析，可以看出：

货币战略执行架构的完善中国央行目标政策的多重性使其很难照搬其他现代央行的执行架构。尤其是，中国央行必须考虑维持国有企业盈利能力的目标，以及创造有利环境、发展市场化的存贷款定价机制、及由此对银行利润的维护。因此，中国央行缺乏明确的执行目标。央行还要考虑优化资金的配置，因此通过窗口指导以改善银行贷款组合的结构，尤其是要求银行对不同行业有不同的信贷政策、以及改善对中小企业的信贷服务。最后，在日常货币政策执行中，中国央行当前面临着银行系统结构性的流动性过剩问题。

## 4. 实证分析与结果

### 4.1 描述性统计

在对中国货币政策对国债收益率的影响进行实证分析之前，首先对其进行描述性统计分析。分别描述了国债收益率的极小值、极大值、中值、均值和标准差，存款基准利率 BDR，存款准备金率 DRR，银行间债券抵押式回购交易加权平均利率 CRR，人民币有效汇率指标 REERI、银行间同行业拆借加权平均利率 SHIBOR 的极小值、极大值、中值、均值和标准差，如表 4.1.1 所示。

表4.1.1国债收益率描述统计量

	3月	6月	1年	2年	5年	Y年	10年	30年
均值	2.4545	2.5317	2.6186	2.9737	3.2357	3.4454	3.6280	4.1635
中值	2.4250	2.5600	2.6900	3.0500	3.2500	3.4800	3.5200	4.1100
标准差	58000	58121	59428	55405	51215	48744	47100	35315
极小值	95	97	1.06	1.30	1.77	2.12	2.70	3.52
极大值	3.54	3.58	3.69	4.11	4.31	4.40	4.55	4.93

表 4.1.2 中国货币政策对三十年期国债收益率的影响

	回归系数	标准误差	T-value	Sig	VIF
(常量)	6.045	0.913	6.619	0.000	
BDR	0.348	0.052	6.698	0.000	5.091
DRR	-0.119	0.024	-4.983	0.000	10.775
CRR	0.066	0.019	3.497	0.001	2.576
REERI	-0.002	0.001	-2.112	0.035	13.792
SHIBOR	0.040	0.021	1.906	0.058	3.342



R <sup>2</sup>	0.428	F-statistic	47.227
AdjustedR <sup>2</sup>	0.419	Prob(F-statistic)	0.000
Kolmogorov-Smirnov	1.218	Durbin-Watson	0.098

本研究通过多元线性回归，探究中国货币政策对三十年期国债收益率的影响，校正 R<sup>2</sup> 作为判断多元线性回归方程拟合优度的指标，该回归模型的校正 R<sup>2</sup> 为 0.419，代表自变量变异可以解释因变量变异的 41.9%，拟合程度良好，且残差无存在非常态性与异质变异的问题。通过 F 检验进行回归方程的显著性检验，F=42.227，p<0.001，说明自变量与因变量共线是显著的，可以建立线性方程。

通过 t 检验来检验每个回归系数的有效性，从表 4.1.2 可看出，应剔 SHIBOR 这个自变量。建立的回归模型：

$Y_{10}=6.045+0.348*BDR-0.119*DRR+0.066*CRR-0.002*REERI$  (其中，Y 为国债年期数，BDR 为存款基准利率，DRR 为存款准备金率，CRR 为银行间债券抵押式回购交易加权平均利率，REERI 为人民币有效汇率指标。)可以看出，存款基准利率、存款准备金率、银行间债券抵押式回购交易加权平均利率、人民币有效汇率指标都对三十年期国债收益率产生积极影响，而银行间同行业拆借加权平均利率对三十年期国债收益率不产生影响。

## 5. 结论与建议

### 5.1 研究结论

本文选取了 3 月期、6 月期、1 年期、2 年期、5 年期、7 年期、10 年期、30 年期的国债收益率与存款基准利率、存款准备金率、银行间债券抵押式回购交易加权平均利率、人民币有效汇率指标、银行间同行业拆借加权平均利率等变量，通过相关系数、构建多元回归模型研究不同期国债收益率与存款基准利率、存款准备金率、银行间债券抵押式回购交易加权平均利率、人民币有效汇率指标、银行间同行业拆借加权平均利率之间的相关关系以及影响程度。本文的创新之处在于，从短、中、长期国债收益率的变化出发，探索出一些影响国债收益率的宏观经济变量，采用定性与定量相结合的方式对它们之间的相互影响进行分析。通过相关分析研究它们之间的显著相关性，通过回归分析研究对不同期国债收益率影响显著的宏观经济变量。首先进行相关分析，研究发现：存款基准利率与不同期的国债收益率均呈现正相关关系，提高基准利率，国债收益率会随之提高；存款准备金率与三月期国债收益率、六月期国债收益率、一年期国债收益率呈现显著正相关，而与七年国债收益率、十年国债收益率以及三十年国债收益率呈现显著负相关。提高存款准备金率，短期国债收益率会相应提高，而中长期国债收益率会有所降低；银行间债券抵押式回购交易加权平均利率与国债收益率呈现显著的正相关关系，提高银行间债券抵押式回购交易加权平均利率，国债收益率会随之提高；人民币有效汇率指标与二年期国债收益率及以上年期国债收益率呈显著正相关。有效汇率提高，二年期国债收益率及以上年期国债收益率随之提高；银行间同行业拆借加权平均利率与不同期国债收益率呈现显著的

正相关。银行间同行业拆借加权平均利率的提高，国债收益率会随之提高。

合文章的结论，对中国国债市场的投资者提出以下几点建议：

## 5.2 研究建议

(1) 对于市场风险的认知要更具全面性和准确性。在进行国债投资时，投资者往往关注的风险仅仅是利率。但是，从本文的研究中可以知道，除了关注存款基准利率、银行间债券抵押式回购交易加权平均利率和银行间同行业拆借加权平均利率，更要对存款准备金率和人民币有效汇率有全面的认知。在进行不同期国债投资时，需要对市场风险的准确度有一个全面的认识，通过前面的分析：在货币政策层面上，存款基准利率对国债收益率有显著的正向影响，存款准备金率对国债收益率有显著的负向影响，银行间债券抵押式回购交易加权平均利率对国债收益率有显著的正向影响，人民币有效汇率对国债收益率有显著的负向影响，银行间同行业拆借加权平均利率对国债收益率有显著的正向影响。因此，投资者唯有对市场风险有准确的把握和认识，才能更为精准得预判国债收益率的未来趋势，进而达到获利的目的。

(2) 针对宏观经济变量对不同期国债收益率的影响方式和方向，运用差异化的投资组合。对于三个月至一年国债收益率，存款基准利率、银行间债券抵押式回购交易加权平均利率、银行间同行业拆借加权平均利率对其均有显著影响，且影响方向一致，从影响绝对值来看，存款基准利率的影响最大。对于两年国债收益率，存款基准利率、存款准备金率、银行间债券抵押式回购交易加权平均利率、银行间同行业拆借加权平均利率对国债收益率有显著性影响。对于十年国债收益率，存款基准利率、存款准备金率、银行间债券抵押式回购交易加权平均利率、银行间同行业拆借加权平均利率对国债收益率有显著性影响。对于五年、七年以及三十年国债收益率，存款基准利率、存款准备金率、银行间债券抵押式回购交易加权平均利率、人民币有效汇率、银行间同行业拆借加权平均利率对国债收益率有显著性影响，均为存款基准利率的绝对影响最大。因此，投资者在准确认识到宏观经济趋势和预判各宏观经济变量对不同期国债收益率影响的基础之上，采用差异化的投资组合。比如，在宏观经济基本面向好，货币政策稳定时，可以适当增加对中长期国债的投资额度，进而获得稳定的投资收益。

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# 消费者环保认知对品牌忠诚度之影响： 品牌个性的调节效果

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## 摘要

中国对环境问题的重视，使得环保观念日渐深入人心，消费者越来越关注品牌的体验，以及品牌的相关特质是否与其内在绿色环保价值相匹配。本研究以消费者-品牌关系理论为基础，结合相关文献，建立了研究框架，发展了调查问卷，以探究相关变量间的关系。预期成果为：消费者的环保认知会在品牌个性的调节作用下，对品牌体验、品牌认同与品牌依恋产生显著正向影响，并据此形成消费者-品牌关系，进而显著正向影响消费者对品牌的忠诚度。

**关键词：**品牌个性；品牌认同；品牌体验；品牌依恋；品牌忠诚

## 1. 绪论

### 1.1 研究背景

随着中国经济持续高速发展和人民生活水平不断提高，家用电器迅速普及，其能源消耗随之迅速增长，由此产生的能源浪费和环保问题也日益严峻（路甬祥，2010）。根据中国国家统计局2012年对城镇居民家庭目前的环保节能意识和环保节能状况的调查中可以看出：城镇居民家庭普遍已经具备节能意识，已经基本养成了节能生活习惯，且2012年节能家电产品生产占比已超过50%，这表明绿色环保的意识和购买节能家电的环保行为在居民中有了一定普遍性。如今，中国消费者不再仅仅满足于产品或服务的质量，他们越来越关注对品牌的体验，以及品牌的相关特质是否与其内在价值观相匹配（傅云霞，2016）。在此背景下，对家电产业来说，将会是一次新的机遇和挑战。

本文研究目的分为以下五点：

一、探究消费者与品牌的关系（包含品牌体验、品牌依恋、品牌认同三个构面）是否会提升消费者对绿色品牌忠诚度。二、研究消费者环保认知如何影响消费者与品牌的关系。三、研究品牌个性会对消费者环保认知和消费者-品牌关系有什么影响。四、丰富研究绿色领域消费者-品牌关系的文献资料。五、为绿色品牌管理者在绿色品牌营销过程中提供参考。

在同质化现象严重的家电市场，如何赢得消费者与品牌关系是企业获得持续竞争优势、形成强势品牌资产的关键。本研究主要动机是在消费者-品牌关系理论的基础上，结合当今环境问题日益严峻，人们对绿色环保产品产生青睐的背景下，探究在家电行业内，消费者的环保认知对相关绿色家电品牌之忠诚度的影响机制究竟如何等一系列问题，并希望以此为相关企业在未来一段时间的营销工作给出一定建议，以及进一步充实相关领域的研究资料，以期为后续相关领域的发展建立坚实基础。

## 2. 文献探讨与假设发展

### 2.1 消费者环保认知对品牌忠诚度的影响

Blackston(1992)把品牌关系与人之间的关系类比,指出品牌关系具有双向互动的性质,消费者对品牌也会和对待人一样,影响其态度和行为。同样的, Fournier(1998)对品牌关系进行了进一步的研究,提出了多种消费者——品牌关系类型,并把依恋划分为一种高层次的营销概念,确立了消费者与品牌关系的新形态。

刘礼(2006)的研究在第二章和第三章对品牌忠诚度的定义及品牌忠诚度的影响因素等进行了定性与定量的研究,并通过对消费者认知结构的研究确定了其对于品牌忠诚有一定影响。丁夏齐、马谋超、王咏与樊春雷(2004)消费者认知、态度和行为方面的一些变量,和品牌忠诚相互作用。

由此提出 H1: 消费者环保认知对绿色品牌忠诚度有正向显著影响。

## 2.2 环保认知对消费者-品牌关系的影响

苏彦捷(2016)在《环境心理学》一书中指出环境关心这一概念出现在 20 世纪 70 年代,在大量研究中都涉及环境关心,但对其定义并未达到一致,并且在使用环境关心、环境信念、环境态度等术语时并未做出清楚的区分,中国研究者常用环保认知,这一概念代替环境关心,也就是说西方的所说的环境关系和中国大陆所谓的环保认知是相同概念。Eaton and Franson(2005)把环保认知定义为:对那些影响环境的事实、自己和他人行为的评价和态度。Bamberg and Möser(2007)把环保认知定义为:有关环境的知觉、情绪、知识、价值,态度和行为。接受最广的定义是 Van and Dunlap(1981)提出的,将环保认知定义为人们意识到环境问题,并支持解决这些问题的程度,或者是指人们为解决这些问题而做出个人努力的意愿程度。

Servaes and Tamayo (2013)指出消费者认知是近年来较为流行的顾客消费行为理论,其核心思想是把顾客的购买行为看成一个信息处理的过程。顾客从接收商品信息开始,直到最后实施购买行为,始终与对信息的加工和处理直接有关。顾客对商品信息的加工、处理过程,就是接收、编码、储存、提取和使用商品信息的过程,它包括注意、知觉、记忆、思维、学习、期望、经验等范围十分广泛的内容。也就是说,顾客内在对某类商品的认知,对其产生相关需求与衡量需求是否得以满足有关。

顾客在购买商品前必须对商品有一个认知过程,然后才会决定是否采取行动,什么时间采取什么行动(顾文钧,2002)。Smith (1998)提出的品牌关系阶段论认为消费者首先要对品牌有所体验和认知,并且基于自身的价值观与企业的所谓“人格特质”来进行匹配,如果能够良好匹配,则会进而形成对品牌的认同,最后建立起消费者与品牌的良好关系。Park, Macinnis and Priester(2006)认为,消费者与某一品牌的关系是在购买、使用品牌的产品、服务等一系列品牌体验的过程中所建立的,会经历一个长期的、受到外界影响的、变化的过程,而这种变化是指关系强度的不断变化,在这个变化过程中消费者与品牌的关系会影响其对品牌的忠诚和购买行为。

综上所述,提出假设 H2,其包含子假设 H2a~H2f。

H2: 消费者环保认知通过消费者-品牌关系的中介效果影响品牌的忠诚度。

王大海、段坤、张驰与邱琪(2018)认为高水平环保认知者可以对绿色产品进行清晰的认识和客观评价,与其形成一种纽带关系,即品牌依恋。Bergami and Bagozzi(2000)认为社会认同的认知与情感构成在概念上和实证上是不同的,而认知层面的认同对情感依恋具有非常明显的影响。Ross(2002)认为品牌体验的过程需要消费者与品牌之间沟通与互动,并且作为一个整体的品牌体验会产生心理上的共鸣。Diehm and Armatas(2004)也提出类似的观点,他们基于实证研究认为品牌体验产生于消费者与品牌的互动,是消费者对于品牌的个别化内在感受。范元纲与许巨秉(2010)认为品牌绿色价值如果能与消费者自身绿色价值相匹配,满足消费者构建自我的目的,可以促进消费者消费意愿和对绿色品牌的认同。

由此提出假设 H2a~H2c:

H2a: 消费者环保认知对其家电品牌依恋有显著正向影响。

H2b: 消费者环保认知对其家电品牌体验有显著正向影响。

H2c: 消费者环保认知对其家电品牌认同有显著正向影响。

### 2.3 品牌依恋与品牌忠诚度的关系

Thomson, Macinnis and Park(2005)研究认为消费者与品牌之间的依恋情感与人际交往之中的依恋情感相类似, 并定义品牌依恋为消费者个体与品牌之间的富有情感的纽带关系, 通过实证研究指出品牌依恋是一个多维度的概念。

Park, MacInnis, Priester, Eisingerich and Iacobucci(2010)对品牌依恋进行了深一步的理论研究, 在之前的基础上提出了品牌依恋理论的综合模型, 该模型不仅指出了品牌依恋的前因变量, 还提出了受品牌依恋所影响的变量。他们认为影响品牌依恋的前因变量包括消费者自我层面的内容, 有消费者满足自我、实现自我、丰富自我和品牌资源, 并指出这一切的前提都是消费者对品牌相关行业内容的认知, Park *et al.*(2010)认为品牌依恋所影响的变量包括四点, 即: 品牌承诺、品牌忠诚、品牌至爱、溢价购买。

由此提出假设 H2d:

H2d: 品牌依恋对消费者品牌忠诚度有正向显著正向影响。

### 2.4 品牌体验与品牌忠诚度的关系

Schmitt(1999)对于体验的定义在学术界得到学者们广泛的认可和应用, 是最具权威性和影响力的定义。根据 Schmitt(1999)的定义, 本文对研究对象绿色家电品牌体验的定义为绿色家电品牌相关的刺激引起的消费者在知觉、感觉、认知上的反应以及其他行为反应。

Sirgy (1982) 认为消费者自身的认知与品牌体验中所得到的品牌特征若能够匹配, 则对消费者对品牌之后续购买意愿或者忠诚度有重要影响。品牌忠诚是通过重购品牌的体验来建立的 (Sheth, 1968), 先前的体验越频繁, 态度忠诚就越强烈 (Smith & Swinyard, 1983)。品牌体验会导致品牌忠诚、积极推荐和盈利率的提高 (Morrison & Crane, 2007)。Brakus, Schmitt and Zarantonello(2009)认为品牌体验能够产生行为影响, 直接影响品牌忠诚。

薛海波与王新新 (2009) 通过对单车车友会的实证研究证明, 消费体验对社群成员的品牌忠诚度具有正向影响作用; 田阳、王海忠与王静一 (2010) 也发现, 品牌体验不同维度对品牌忠诚度的作用程度不同, 情感体验对品牌忠诚度存在显著的直接影响。郭国庆、牛海鹏、刘婷婷与姚亚男 (2012) 的研究中认为良好的品牌体验对消费者的品牌忠诚具有驱动效用。

最新的研究成果中, 王玲玲、马潇、崔婷婷、邢丽丽、高倩与王萌 (2017) 认为消费者产生购买行为的重要影响因素之一就是消费者购买意愿的加强, 所以在营销领域中, 对影响消费者购买意愿因素的探究变得极为重要, 而品牌体验对于提升消费者的购买意愿和品牌忠诚有重要影响。季娜 (2017) 认为体验经济时代的到来为企业带来更大的挑战, 能否为消费者提供优质的消费体验直接关系到企业的生死存亡。优质的消费体验能够更好地满足客户需求, 提高顾客满意度和品牌忠诚度。

由此提出假设 H2e:

H2e: 品牌体验对消费者家电品牌忠诚度有正向显著影响。

### 2.5 品牌认同与品牌忠诚度的关系

Bagozzi(2006)认为消费者把自我概念与品牌所传达的概念和内涵进行匹配, 匹配的程度就是消费者对品牌的认同感。Bagozzi(2006)对品牌认同的定义得到了诸如 Kuenzel and Halliday(2010)等后来学者的认同, 他们也认为品牌认同就是消费者自我个性形象与品牌所表现的个性形象所吻合的一种程度。

Stokburger,Ratneshwar and Sen(2012)在对德国家庭主妇的大样本实证分析中证实,消费者品牌认同对品牌忠诚具有显著的直接作用。Aaker(1996)研究认为消费者对品牌的认同感与消费者的自我概念有关, 他们往往对可以体现自我个性和形象的品牌有购买倾向。Underwood,Bond and Baer(2001)认为消费者会基于自身个性特征来定义个体自我, 基于自身所属的社会群体来定义社

会自我。消费者对自我的定义会影响其对品牌的消费态度和行为，若品牌能够帮助消费者传递个人形象，提升个体社会地位，品牌就会更容易得到消费者更高层次的认同感，并最终形成对品牌的忠诚。王晨曦（2017）在他的研究中发现消费者品牌认同感对品牌资产中的“品牌知名度、品牌感知质量、品牌联想、品牌忠诚度”四个维度均有重要影响。

由此提出 H2f:

H2f: 品牌认同对消费者家电品牌忠诚度有正向显著影响。

## 2.6 品牌个性与消费者品牌关系及忠诚度的关系

Aaker(1997)将品牌个性定义为“与品牌相关的一系列人类性格特征”，并运用心理学中的“大五”人格理论模型对品牌个性维度进行探索性研究。陆雄文（2013）在他的研究中认为品牌个性是消费者认知中品牌所具有的人格特质，品牌个性与消费者个性或期望越吻合，消费者就越会对该品牌产生偏好。

根据 Smith (1998)提出的品牌关系阶段论：首先是消费者基于自身知识与个人价值，透过符合其自身价值的品牌个性的影响，形成对品牌认同，最后消费者才能建立起与品牌的关系。

张春晖与白凯（2011）在他们的实证研究中发现品牌个性中的某些维度能够对消费者忠诚具有显著正向预测作用。金立印（2006）的研究构建了一个基于品牌个性和品牌认同感的品牌资产驱动结构模型，通过实证分析发现：品牌个性五个维度中的“仁、智、勇”对消费者个体品牌认同感和社会品牌认同感均有显著影响效应，而“乐、雅”虽对个体品牌认同感具有显著影响效应，但其对社会品牌认同感的效应在统计上并不显著。个体品牌认同和社会品牌认同对态度和行为忠诚都具有明显的影响效应。

Belk(1988)认为品牌依恋的形成高度依赖于品牌与自我的关系。消费者常常建立与品牌的情感联系，这种联系对消费者情感安全程度的影响会影响品牌依恋强度(Thomson,2006)。姜岩与董大海（2008）认为当消费者感到品牌提供了他们需要的功能性价值时，就会认为品牌对他们具有个性化的意义和作用，其研究结果表面品牌个性化会对品牌依恋产生显著影响。

Fournier(2001)在其品牌关系动态模型中认为消费者对品牌的体验了解是影响消费者品牌关系的重要因素。Brakus *et al.*(2009)合作的研究中提出，品牌体验是由与品牌相关的特征所激发的消费者主观的、内部的反应。

Lastovicka and Gardner(1979)认为消费者对品牌在心理上或情感上产生的眷恋程度就是对品牌个性的认同度，可以通过消费者是否愿意选择购买品牌的强烈程度来进行衡量，这种购买绿色品牌的强烈程度来自于消费者的环保认知背景。Graeff(1996)认为品牌形象与消费者自我概念相吻合的品牌产品会得到消费者更高的评价，且当吻合程度越高，消费者产生的认同感就越高。Underwood,Bond and Baer(2001)若品牌能够帮助消费者彰显个性与地位，会得到消费者更高层次的认同感。Park *et al.*(2006)则认为品牌个性是企业展现给消费者的一种重要外在信息。

基于以上研究可以发现消费者的内在价值认知，会影响其与品牌之间的关系，而本文所研究品牌关系的三个方面：品牌依恋、品牌体验与品牌认同都受到品牌个性特征的影响。因此可以认为环保认知、品牌个性、与品牌关系之间是紧密联系的。

由此，提出调节变量品牌个性之相关假设 H3-H6:

H3: 消费者环保认知透过品牌个性的调节作用来正向影响家电品牌忠诚度。

H4: 消费者环保认知透过品牌个性的调节作用来正向影响家电品牌依恋。

H5: 消费者环保认知透过品牌个性的调节作用来正向影响家电品牌体验。

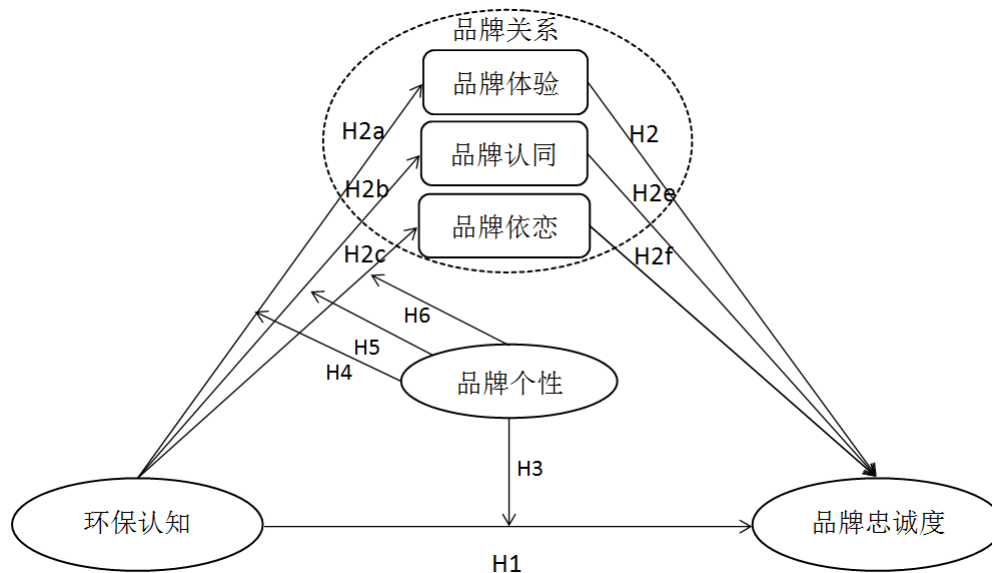
H6: 消费者环保认知透过品牌个性的调节作用来正向影响家电品牌认同。

## 3. 研究方法与设计

### 3.1 研究框架

本研究以消费者-品牌关系相关理论为基础，为研究消费者环保认知与家电品牌忠诚度之间的关系，以家电行业之消费者与绿色家电品牌关系为中介变量，以品牌个性为调节变量，构建了本研究之基本框架。

如图一所示：



图一 本研究之研究框架

资料来源：Berry(1983), Smith (1998), Fournier(2001), Park *et al.*(2006)

### 3.2 变量的衡量

关于环保认知的测量，Dunlap and Liere (1978)提出的新环境范式量表，简称 NEP 量表，应用最为广泛。洪大用在获得了 Dunlap 的建议和授权后基于他 2003 年在中国的调研数据，翻译和修改了 NEP 量表，本研究采用洪大用（2006）所修改之量表衡量环保认知，包括三个构面和 12 个项目。

Aaker (1997) 在品牌个性的衡量中作出了卓越的贡献，创造性地开发了品牌个性五维度量体系。中国学者向忠宏（2010）对 20 个行业领域 1000 多个品牌的持续监测与品牌个性的分析，提取出一些中国本土化的品牌个性词汇，其中绿色品牌个性关键词为绿色、环保、低碳。李胜兵与卢泰宏（2003）在他们的研究中把品牌个性结合中国本土环境归结为“仁、智、勇、乐、雅”。

品牌依恋的测量，Park *et al.*(2010)是对品牌依恋进行连续研究的学者，他们在总结前人研究成果基础上，开发了品牌依恋的测量量表，该量表在许多学者的研究中得到应用，具有较高的信度与效度。本研究关于品牌依恋的测量将参考 Park 所开发的量表和中国学者杨春（2009）提出的品牌依恋量表，分为两个维度与七个题项。

对于品牌体验的测量，本文借鉴 Brakus *et al.*(2009)合作开发的品牌体验量表以及张振兴与边雅静（2011）的研究，并结合绿色品牌实际情况对测量量表进行筛选和改进，形成了四个维度：感官体验、情感体验、行动体验、思考体验，和十二个题项。

品牌认同的测量参考金立印（2006）和 Ríó *et al.*(2001)关于品牌认同的量表，共两个维度：个人绿色品牌认同与社会绿色品牌认同，以及六个题项。

本研究将顾客品牌忠诚行为划分为重购意愿、溢价支付和口碑传颂共三个维度对品牌忠诚进行测量。其中，重购意愿维度量表的设计主要基于 Zaltman(1995)的研究，溢价支付的量表主要根据 Oliver(1999)的研究，口碑传颂的量表主要根据 Zeithaml, Berry and Parasuraman(1996)的研究。对此三个维度共计设计了 9 个题项。

### 3.3 研究对象

本研究研究对象是中国山东省青岛市的家电消费者。由于此类家电消费者是一个数量较不



明确的母体，并非所有研究对象都有办法被公平、相等的几率抽样到，所以本研究根据实际情况，本着务实的态度，采用非随机抽样中的便利抽样方法来进行调查。问卷发放的方式为本人及协助者到家电品牌之门店对消费者进行现场发放。

本研究采用 Likert(1932)之 5 级评分法，该量表由一组陈述组成，每一陈述有“非常同意”、“同意”、“不一定”、“不同意”、“非常不同意”五种回答，分别记为 5、4、3、2、1，每个被调查者的态度总分就是他对各道题的回答所得分数的加总，这一总分可说明他的态度强弱或他在这一量表上的不同状态。根据 Dillman(2000)推导之样本计算公式，在 95%信心水准下，抽样误差不超过 5%，母体范围在极大值的情况下，有效样本数须达到 384 人。为了获得更加精准的数据，本研究有效样本量应大于 384 份，所以拟定发放问卷 500 份。

问卷调查的具体地点选择于中国山东省青岛市，青岛作为二线城市中较为发达的城市，未来发展潜力巨大，拥有众多著名家电企业，具有较好的代表性。本研究将会对青岛市各大家电卖场的消费者进行调查，选取最近一年内已购买或正准备购买某家电品牌之绿色产品的消费者，进行实地电子问卷发放，现场请家电消费者进行填写、回收，并以红包作为回馈，以提高受测者填写认真程度。

## 4. 预期研究成果

### 4.1 预期成果

在问卷回收以后，本研究会对所得问卷进行甄选，找出其中无效问卷，防止无效问卷干扰研究数据。在 500 份问卷当中，会有若干份问卷因为填写完整度不足，或全部选择相同的答案而被归类为无效问卷。在剔除无效问卷后，共得到若干份有效问卷。之后开始对数据进行编码并将其输入 Excel 建立档案，以利于后期分析。本研究将会使用 SPSS 与 AMOS 统计软件，来对各项数据进行检验分析。

在得出数据分析结果后，根据数据对每一个变量与假设进行讨论，得出研究成果。预计所获数据足以支撑研究假设：消费者环保认知对绿色家电品牌忠诚度有正向显著影响、消费者环保认知通过消费者-品牌关系影响对品牌的忠诚度、消费者环保认知透过品牌个性的调节作用来正向影响消费者与家电品牌的关系的三个构面（品牌体验、品牌认同、品牌依恋），以及消费者环保认知透过品牌个性的调节作用来正向影响消费者对家电品牌的忠诚度，各个主假设与子假设得以证实。

在预计研究结果的基础上，本研究会结合本研究背景，给出相关建议：通过本研究结果表明，在中国市场上消费者的环保意识日渐增强的背景下，在家电行业的营销工作中，除做好家电本身的质量、创新、技术等传统要素的宣传之外，家电企业营销人员更应注意家电品牌个性的塑造。研究表明，透过符合消费者自身价值的品牌个性，会对消费者与品牌的关系形成良性影响，并对提升消费者的品牌忠诚度有帮助。品牌个性的塑造，将会成为今后一段时期的家电企业营销人员的重点努力方向。

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## 中国游客对曼谷辉煌区夜市的满意度研究

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### 摘要

本论文研究目的是研究中国游客对曼谷辉煌区夜市的满意度和探讨不同中国游客的人口统计特征对曼谷辉煌区夜市满意度的影响,中国游客的人口统计特征包括:性别、年龄、教育水平、月平均收入和来自的地区。本论文研究中使用的样本组是前往曼谷辉煌区夜市的中国游客。在此数据中收集使用了 400 人。分析中使用的统计数据是百分比,平均值,标准差。验证假设使用的统计数据是 T-test、单因素方差分析(One way ANOVA)和 LSD 方法分析双重差异。研究结果显示,中国游客对曼谷辉煌区夜市的满意度在整体情况处于较高水平。从 4 个方面,按降序排列如下,便利设施方面、安全方面、商店和餐饮方面以及宣传和公共关系方面。从验证假设的结果发现,中国游客的人口统计特征不同,对曼谷辉煌区夜市的满意度不同,通过确定 0.05 的统计学显著性水平。

**关键词:** 满意度; 中国游客; 曼谷辉煌区夜市

## Chinese Tourists Satisfaction towards Night Market in Huai Khwang District Bangkok

RUINA DING

### Abstract

This study aims to explore Chinese tourists' satisfaction towards night market in Huai Khwang District Bangkok, and discuss how Chinese tourists' demographic variables including gender, age, education, income and domicile influence the satisfaction of night market in HuaiKhwang District Bangkok. The samples used in this study were 400 Chinese tourists who traveled the night market in Huai Khwang District Bangkok. Research tools used in the study was questionnaires survey. Data were analyzed through descriptive statistics including percentage, mean, and standard deviation as well as inferential statistics including T-test, one-way analysis of variance (One-way Anova), and least significant difference pairwise analysis. The results showed that Chinese tourists have high level of satisfaction towards the night market in Huai Khwang District Bangkok and the mean satisfaction from 4 aspects which were descending from facilities, Safety, shops & food and beverage and advertising & public relation. Regarding the comparison of differences in satisfaction of Chinese tourists towards the night market in Huai Khwang District Bangkok, the hypothesis were supported and showed that different personal factors including gender, age, education, domicile significantly affect satisfaction.

**Keywords:** satisfaction, Chinese tourists, the night market in Huai Khwang District Bangkok

## 1. 引言

旅游业对泰国的经济，社会和政治都很重要。泰国每年来自外国游客和泰国游客的收入有超过10亿泰铢。目前，随着越来越多的中国游客来到泰国，中国游客已成为泰国旅游业的重要组成部分。2016年，来泰国的中国游客有8,757,646人，2017年，来泰国的中国游客9,805,753人。(泰国旅游局，2018)

曼谷是泰国的首都和泰国人口最多的城市，以“天使之城”的美名享誉全球。这是一座散发着独特文化与民族韵味的城市。曼谷位于热带地区，夜市成为了泰国主要的旅游景点，吸引大量的游客前来购物。夜市大大增加了泰国的消费量，增添了消费者的消费选择，同时夜市也是泰国人民文化的表现，可以让游客更好的体验、感受并了解到泰国的文化。比如位于曼谷辉煌区的火车夜市，于2015年1月8日开始营业，营业时间为：每星期二到星期天，下午17:00——凌晨1:00，交通便利，可搭乘地铁，公共汽车等多种交通方式到达，包含了各种餐饮、购物等多种类的服务。集商场、市场于一身，满足了游客多方面的需求。夜市还会适时配合季节的举行相应的活动，比如啤酒节、美食节等等。不仅吸引了大量的游客，同时也吸引着当地的泰国居民。丰富了生活也增添了乐趣。

曼谷夜市的发展促进了泰国旅游业，吸引了大批外国游客前来购物。特别是近几年来中国游客日益增多，成为曼谷夜市购物的一个主要购买源，促进了曼谷夜市的发展。夜市的服务情况如何，中国游客对曼谷夜市的满意度如何，为了改善旅游服务，满足中国游客的需求和愿望，向有关部门提供建议，是本论文研究的课题和意义。

## 2. 研究目的

- 1) 研究中国游客对于曼谷辉煌区夜市的满意度。
- 2) 探讨不同中国游客的人口统计特征对曼谷辉煌区夜市满意度的影响。

## 3. 研究框架

表一 研究框架

自变量	因变量
中国游客的人口统计特征	中国游客对于曼谷辉煌区夜市的满意度
1. 性别	1. 安全方面
2. 年龄	2. 便利设施方面
3. 教育水平	3. 商店和餐饮方面
4. 月平均收入	4. 宣传和公共关系方面
5. 来自的地区	

## 4. 研究假设

- 1) 中国游客人口统计特征的性别不同，使得中国游客对于曼谷辉煌区夜市的满意度不同。
- 2) 中国游客人口统计特征的年龄不同，使得中国游客对于曼谷辉煌区夜市的满意度不同。
- 3) 中国游客人口统计特征的教育水平不同，使得中国游客对于曼谷辉煌区夜市的满意度不同。

4) 中国游客人口统计特征的月平均收入不同, 使得中国游客对于曼谷辉煌区夜市的满意度不同。

5) 中国游客人口统计特征来自的地区不同, 使得中国游客对于曼谷辉煌区夜市的满意度不同。

## 5. 与论题关于的理论综述

### 1) 关于人口统计特征的理论

Siriwan Serirat (2007) 提到了人口统计特征, 即年龄、性别、规模、家庭状况、收入、职业和教育, 这些都是市场细分的一般标准。人口统计特征是用统计的数据来确定目标市场的重要的特征, 并且在心理和社会文化方面能帮助理解目标群体的想法和感受。人口统计特征可以准确且有效的确定目标市场, 甚至比其他变量更容易测量。主要的人口统计特征如下:

a. 年龄, 由于产品要满足不同年龄段消费者的需求。因此, 营销人员将年龄作为衡量细分市场差异的变量之一。营销人员发现利基市场的需求, 所以重点关注各个年龄段。

b. 性别也是细分市场的一个重要变量。营销人员必须仔细研究这个变量, 因为目前, 性别变量导致消费行为的变化, 这种变化可能是由于职业女性的增加。

c. 家庭特征 是营销中的重要目标, 尤其是对消费者而言, 营销人员会对使用特定产品的家庭成员的数量和特征感兴趣, 这有助于制定适当的营销策略。

d. 收入、教育、职业、来自的地区和婚姻状况是决定细分市场的重要变量。一般而言, 营销人员对富裕的消费者感兴趣。然而, 中等收入和低收入家庭也是较大的市场。

中国地理区划可以认为是国家地理区域划分的简称。地理区域划分首先是把全国国土作为一个整体。就是把一个国家的全部国土区域按照其特点划分成几个大块, 以便进行地理、气候、经济和行政管理等方面的研究和管理。中国一般分为七大地理地区: 东北、华东、华北、华中、华南、西南、西北 (中国地理区划, 2019)



图一 中国七大地理地区

基于上述人口统计的概念和理论, 人口统计因素会影响消费者特征的不同。由于每个因素根据个体特征具有不同的特征, 因此, 有不同的决策模式和不同的目标想法, 被视为确定不同的旅游行为的基础。

## 2) 与旅游有关的各种因素 (Suwannas Sophonsiri, 2011)

a. 旅游资源是指对旅行者产生具有吸引力的自然发生的事情 或者由人创造的东西, 包括节日和当地的年度活动, 可分为 3 类, 即自然风景旅游资源、人文景观旅游资源和文化艺术旅游资源。

b. 安全是决定旅游目的地的主要因素, 旅行者必须重视生命安全和财产安全, 并且在每个旅游目的地都要有相应的安全措施。

c. 基础设施是由道路、桥梁、机场、火车站等主要设施组成。通常, 国家将投资建设基础设施, 以方便当地人民, 或者如果有投资是为了促进旅游业, 以为了给当地人民受益。

d. 便利设施大多数是私人以商业形式为游客提供服务的地方或服务, 但是也有一些是政府提供的服务, 比如: 交通必须方便、快捷和安全; 住宿有各种级别的酒店可供选择, 并根据干净的质量规定合适的价格和提供标准化的服务; 导游服务, 有各种旅游景点的导游, 导游要有相关的专业知识和职业道德等等。

e. 纪念品必须把控质量、定价, 以及发展当地的特色产品, 而且包装精美。

f. 宣传和公共关系是旅游业扩张的重要因素, 是一个使我们的旅游景点知名和让来自国内外的游客感兴趣的一个过程。

## 3) 关于满意度的理论

### a. 满意度的含义

Kotler (1997) 认为满意度是通过产品或服务获得的感知价值与个人使用前的预期值之间的比较, 所引起的人的感受程度。

Siriwan Serirat and Faculty (1998) 表示满意度意味着消费者在达到预期目标时获得需求满足的良好感觉, 和满意度在于个人偏好, 每个人的满意度水平不同, 可能是由于教育基础、经济和环境因素不同。

基于上述满意度的概念和理论, 满意度是一个人对某事某物的感觉或态度, 这感觉或态度可能是积极或是消极的, 积极的感受或态度是快乐时发生的感受, 需求获得了满足或达到一定程度的目标, 因此表现出满意的态度。相反需求没有获得了满足或者没有达到一定程度的目标, 会有负面的感觉或态度, 表现出不满的态度, 满意度可能会随着时间和环境的不同而改变。

### b. 对服务方面的满意度

Chavalit Laorungkarn (1995年, 第24-25页) 谈到了消费者对提供服务的满意度是衡量服务效率的标准, 并且测量服务的满意度可以以下在7个方面进行测量, 即

- 快速、准确、热情且用心的提供服务给消费者;
- 提供足够的服务, 包括足够的服务人员、设备器材和场地, 为了不让消费者等待太久;
- 提供平等服务, 尊重每位消费者, 不嫌贫爱富, 不分三六九等;
- 提供先进的服务, 在性能和服务方面与现代技术和流行趋势相结合, 培养服务人员掌握相关的知识;
- 提供礼貌和谦逊的服务, 与消费者建立友好的人际关系;
- 连续性的服务, 是一种在同一点提供所有形式的服务;
- 不同的环境, 比如在保障生命和财产安全的地方, 有停车场, 有卫生间等。

### c. 满意度的重要性



Vithan Chanapak (2012, 第7-8页) 表示满意度是有助于成功完成一项工作的重要因素之一, 特别是与服务相关的工作。此外, 管理层也要使服务人员对自己的工作满意, 同时最重要的是使消费者满意。由于服务水平提升的一个重要指标是, 来使用服务的消费者增加。因此, 明智的管理人员应该深入研究, 运营商和消费者满意的因素和要素, 让消费者对产品和服务感觉良好, 也扩展到对公司的良好感受, 消费者会留下深刻印象。所以, 每个公司都要关注消费者的满意度, 以便更好的管理组织以提高效率和获得者最大的收益。

Panasaya Sirarungrojkanok (2016) 表示, 消费者满意度被认为对营销策划非常重要。因为满意度对消费者选择产品和服务有影响, 其中包括将来再次购买产品和使用该服务, 在旅游方面同样也会影响, 特别是能否再次选择旅游目的地或服务。

#### 4) 与论题有关的研究课题

Rattanakorn Chutamani and Faculty (2003) 对于研究 Nakhon Pathom 府 Lam Phaya 寺庙水上市场的研究结果显示, 游客对 Lam Phaya 寺庙水上市场的旅游感到满意。因为 Lam Phaya 寺庙水上市场仍然保持着古老水上市场的风格, 并且拥有自然的生态环境, 新鲜的空气, 还有很多特色产品可供选择。Lam Phaya 寺庙水上市场还组织了各种活动来欢迎游客, 并鼓励游客和当地居民参加。Lam Phaya 寺庙水上市场不断发展管理模式, 为了迎接大量的游客, 通过组织当地居民和服务员的从业人员的培训来提升知识, 以便更好的为游客提供服务。还组织了编篮筐等手工艺示范活动, 为了让游客更多的了解泰国文化和为了延续和保护泰国祖先的智慧。

Wanthika Hiranet (2011) 研究了外国游客对曼谷考山路旅游警察服务的满意度, 研究结果表明, 外国游客对曼谷考山路旅游警察服务的满意度整个处于中等水平, 在分析每个方面后, 有三个方面处于中等水平, 服务方面平均值最高、便利设施方面和安全方面平均值最低, 通过外国游客的性别、年龄、来自的地区和居住的天数来比较外国游客对曼谷考山路旅游警察服务的满意度, 通过确定 0.05 的统计学显著性水平。

## 6. 研究方法

此次研究的模型是一项定量研究(Quantitative Research), 以调查研究的形式(Survey Research), 并使用问卷调查作为调查数据的工具, 由于该研究不知道确切的人口数量, 所以使用便捷抽样方法(Convenience Sampling), 研究人员因此获得了385个的样本数量, 并将样本储备增加了4%, 即15个样本, 所以总计400个样本。

此次研究将使用问卷调查作为测量工具, 给专家, 包括导师和专家, 验证内容的有效性和研究目的。以试用(Try out)非样本组进行了一项调查, 通过检验具有与30个真实实验样本相似特征的样本组, 与受访者沟通, 无论是语言还是问卷形式, 以确定问卷调查是否根据研究目的一致。之后, 将改进使其更完善, 在用于存储真实数据之前, 要进行可信度性的检查, 使用基于Cronbach的 $\alpha$ 系数方法的Alpha值, 水平为0.806, 这被认为是一个可靠的问卷。

### 使用统计数据分析

#### 1) 描述性统计(Descriptive Statistics)

使用统计数据频率(Frequency)和百分百(Percentage), 来分析人口统计因素中的性别、年龄、教育水平、月平均收入和来自的地区。

#### 2) 推论统计(Inferential Statistics)

a. 通过从性别来分析中国游客满意度的四个方面的差异，对两组人口样本的平均值的差异进行T检验(T-Test)，再分析因变量的平均值在所有自变量组中是否不同。

b. (Chu Siwong Ratana, 2001, 第238页) 两个或两个以上群体的平均差异检验，使用单因素方差分析(One way ANOVA) 和 LSD方法分析双重差异，使用该分析检验两组或更多组的平均值之间的差异。通过从年龄、教育程度、月平均收入和来自的地区使用F-Test进行检验，来分析中国游客对曼谷辉煌区夜市满意度的不同，从分析的结果得知每个组的平均值是否不同。在分析结果有区别的情况下，来成对的比较最不显著的差异。

## 7. 总结和分析研究结果

### 1) 使用统计数据频率(Frequency)和百分百(Percentage)，来分析中国游客人口统计因素。

表二 中国游客人口统计特征

中国游客的人口统计特征		数量	百分比
性别	男	170	42.5
	女	230	57.5
年龄	小于等于 20 岁	122	30.5
	21-30 岁	97	24.3
	31-40 岁	116	29
	41-50 岁	25	6.3
	大于 51 岁	40	10
教育水平	低于本科	129	32.3
	本科	180	45
	高于本科	91	22.8
月均收入	低于等于 15000 泰铢	126	31.5
	15001-25000 泰铢	67	16.8
	25001-35000 泰铢	44	11
	35001-45000 泰铢	52	13
	高于 45001 泰铢	111	27.8
来自的地区	东北	48	12
	华北	46	11.5
	西北	51	12.8
	华东	81	20.3
	华中	51	12.8
	华南	64	16
	西南	59	14.8
整体		400	100

根据对中国游客人口特征的研究，发现大多数是女性有230人，占57.5%；年龄低于等于20岁的有122人，占30.5%；教育水平为本科的有180人，占45.0%；月平均收入小于等于15,000

泰铢的有126人，占31.5%；来自华东地区的有81人，占20.3%。

## 2) 使用统计数据平均值 ( $\bar{x}$ ) 和标准差 (SD)，来分析中国游客对曼谷辉煌区夜市的满意度。

表三 中国游客对曼谷辉煌区夜市的满意度

中国游客对于曼谷辉煌区夜市的满意度	$\bar{x}$	S. D.	满意度
1. 安全方面	3.85	0.76	满意
2. 便利设施方面	4.43	0.51	非常满意
3. 商店和餐饮方面	3.82	0.8	满意
4. 宣传和公共关系方面	3.6	0.81	满意
整体	3.93	0.12	满意

根据中国游客对曼谷辉煌区夜市满意度的研究，总体来说，满意度达到了较高的水平。在分析每个方面时，发现了中国游客满意度位于满意的水平，按降序排列如下，便利设施方面、安全方面、商店和餐饮方面以及宣传和公共关系方面。

## 3) 验证假设

### a. 中国游客人口统计特征的性别不同，使得中国游客对于曼谷辉煌区夜市的满意度不同。

表四 中国游客人口统计特征的性别和对曼谷辉煌区夜市的满意度对比

中国游客对于曼谷辉煌区夜市的满意度	性别				t	Sig.	df
	男		女				
	$\bar{x}$	S.D.	$\bar{x}$	S.D.			
1. 安全方面	3.89	0.71	3.82	0.8	0.85	0.19	398
2. 便利设施方面	4.4	0.47	4.45	0.54	-0.73	0.02*	398
3. 商店和餐饮方面	3.82	0.82	3.81	0.79	0.16	0.87	398
4. 宣传和公共关系方面	3.67	0.83	3.56	0.8	1.42	0.34	398

验证发现，不同性别的中国游客对于曼谷辉煌区夜市在便利设施方面的满意度不同，统计显著性水平为0.05。所以，本研究认为，女性和男性在生理、心理、情感和品味等方面是不同的，因此要满足于不同性别不同形式旅游的满意度。例如，女性的消费成本意识通常比男性高，购买商品时，女性能对各种服装的手感、穿着场合等进行多方面的考察，并记忆和比较，从而导致性别不同对旅游的满意度不同。

这符合Siriwan Serirat (2007) 的概念，该概念指出性别是市场细分的重要变量。营销人员必须仔细研究这个变量，因为目前，性别变量导致消费行为的变化，从而导致满意度的变化，这种变化可能是由于职业女性的增加。

### b. 中国游客人口统计特征的年龄不同，使得中国游客对于曼谷辉煌区夜市的满意度不同。

表五 中国游客人口统计特征的年龄和对曼谷辉煌区夜市的满意度对比 (ANOVA分析)

中国游客对于曼谷辉煌区夜市的满意度		SS	Df	MS	f	Sig.
1. 安全方面	两组间	1.74	4	0.4	0.8	0.56
	群组内	230.1	395	0.6		
	整体	231.9	399			
2. 便利设施方面	两组间	9.01	4	2.3	9.4	0.00*
	群组内	95.01	395	0.2		
	整体	104	399			
3. 商店和餐饮方面	两组间	20.45	4	5.1	8.5	0.00*
	群组内	237.3	395	0.6		
	整体	257.8	399			
4. 宣传和公共关系方面	两组间	19.38	4	4.9	7.8	0.00*
	群组内	244.9	395	0.6		
	整体	264.3	399			

表六 中国游客人口统计特征的年龄和对曼谷辉煌区夜市的满意度对比 (LSD分析)

年龄	$\bar{x}$	1	2	3	4	5
		4.23	4.39	4.57	4.63	4.57
1. 小于等于 20 岁	4.23	-	0.16*	-0.18*	-0.24*	-0.17
2. 21-30 岁	4.39		-	0.18*	-0.06	0.01
3. 31-40 岁	4.57			-	0.06	0.07
4. 41-50 岁	4.63				-	-0.07
5. 大于 51 岁	4.57					-

验证发现, 在整体情况下, 不同年龄段的中国游客对于曼谷辉煌区夜市的满意度不同, 统计显著性水平为0.05。在分析每个方面时, 不同年龄段的中国游客对于曼谷辉煌区夜市在便利设施方面、商店和餐饮方面、宣传和公共关系方面的满意度不同, 统计显著性水平为0.05。所以, 本研究认为, 根据年龄段而变化, 不同的年龄段往往有不同的需求。例如年轻的游客经常需要使用手机和各种软件, 因为他们经常用手机或相关的软件获得信息。至于年长的游客, 通常需要基本的便利设施, 例如, 靠近过道的座位, 或者是斜坡而不是楼梯的路径。

这符合Siriwan Serirat (2007) 的概念, 其中指出年龄, 由于产品要满足不同年龄段消费者的需求。因此, 营销人员将年龄作为衡量细分市场差异的变量之一。营销人员发现利基市场的需求, 所以重点关注各个年龄段。

**c. 中国游客人口统计特征的教育水平不同, 使得中国游客对于曼谷辉煌区夜市的满意度不同。**

验证发现, 在整体情况下, 不同教育水平的中国游客对于曼谷辉煌区夜市的满意度不同, 统计显着性水平为0.05。在分析每个方面时, 不同教育水平的中国游客对于曼谷辉煌区夜市在便利设施方面、商店和餐饮方面、宣传和公共关系方面的满意度不同, 统计显着性水平为0.05。所以, 本研究认为, 教育水平决定了与旅游相关想法、态度或需求。例如, 具有高教育水平的游客会对有完整的基础设施, 已经发展较完善的城市或有文化背景的纪念品感兴趣, 所以教育水平的不同对旅游的满意度不同。

这符合Supaporn Phonikorn (2005) 的概念, 该概念指出教育是消费者购买行为的一个非常重要的变量, 教育水平的不同影响着消费者的意愿、态度, 产生的需求不同, 也会影响购买不同的产品, 从而导致满意度的不同。

**d. 中国游客人口统计特征的月平均收入不同, 使得中国游客对于曼谷辉煌区夜市的满意度不同。**

表七 中国游客人口统计特征的月平均收入和对曼谷辉煌区夜市的满意度对比 (ANOVA分析)

中国游客对于曼谷辉煌区夜市的满意度		SS	Df	MS	f	Sig.
1. 安全方面	两组间	2.53	4	0.63	1.09	0.36
	群组内	229.34	395	0.58		
	整体	231.87	399			
2. 便利设施方面	两组间	1.53	4	0.38	1.47	0.21
	群组内	102.49	395	0.26		
	整体	104.02	399			
3. 商店和餐饮方面	两组间	2.94	4	0.73	1.14	0.34
	群组内	254.81	395	0.65		
	整体	257.75	399			
4. 宣传和公共关系方面	两组间	1.98	4	0.5	0.75	0.56
	群组内	262.28	395	0.66		
	整体	264.26	399			

验证发现, 在分析了每个方面和整体的情况下, 不同月平均收入的中国游客对于曼谷辉煌区夜市的满意度相同, 统计显着性水平为0.05。所以, 本研究认为, 在曼谷辉煌区夜市内的商品价格区间不大, 因此月平均收入这个变量不太影响中国游客对曼谷辉煌区夜市的满意度。

这与Siriwan Serirat (2007) 的概念不一致, 平均月收入是决定细分市场的重要参数之一。一般而言, 营销人员对月平均收入高的消费者感兴趣, 然而, 月平均中等收入和低收入家庭也是巨大的市场。

**e. 中国游客人口统计特征来自的地区不同, 使得中国游客对于曼谷辉煌区夜市的满意度不同。**

验证发现, 在整体情况下, 来自不同地区的中国游客对于曼谷辉煌区夜市的满意度不同, 统计显着性水平为0.05。在分析每个方面时, 来自不同地区的中国游客对于曼谷辉煌区夜市在便利设施方面、商店和餐饮方面、宣传和公共关系方面的满意度不同, 统计显着性水平为0.05。

所以,本研究认为,来自不同的地区影响了游客不同的想法和态度,产生了不同的需求或偏好。例如,来自西南地区的游客喜欢吃酸辣的食物,这与泰国食物相似,而来自华东地区的游客喜欢吃清淡或者原汁原味的食物。因此来自不同的地区从而造成对旅游满意度的不同。

这与Siriwan Serirat (2007)的概念一致,该概念表明来自的地区是决定市场细分的重要变量。来自的地区会影响着游客对旅游的想法和态度,甚至会带有地方性的偏好和需求,从而影响着满意度。

## 8. 建议

1) 本研究发现不同性别、年龄、教育水平和来自不同地区的中国游客对曼谷辉煌区夜市的满意度会有显著不同,因此,本研究建议夜市经营者需要针对不同性别、不同年龄段、不同教育水平和来自不同地区的中国游客做差异化的产品开发,以进一步改善和发展曼谷辉煌区的夜市。

2) 研究发现不同月平均收入的中国游客对曼谷辉煌区夜市的满意度没有显著不同,因此,本研究建议夜市经营者需要有各种形式的活动和各种层次的价格水平,来满足不同收入水平的游客。

3) 下一次研究的建议,应该从更多样化的样本中进行研究。例如职业和宗教信仰,以更了解各国游客的需求。

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# 基于中国手机品牌社群认同对品牌延伸评价的影响研究

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## 摘要

本文基于中国手机品牌社群认同的视角，研究品牌社群认同对品牌延伸评价的影响，以及检验感知契合度在二者之间的中介影响，同时加入品牌信任检验感知契合度与品牌延伸评价两者之间的调节影响。实证研究结果显示，品牌社群认同对品牌延伸评价起具有积极作用，企业要培养社群成员的认同度，注重消费者对延伸产品的契合度，从而提高用户通过母产品联想到延伸产品上，进而提高延伸产品评价。同时，增强消费者品牌信任度，降低消费者在未来购买产品的风险性，使其较多了解企业推出的新产品，提高消费者对品牌延伸的接受和使用的可能性。

**关键词：**品牌社群认同；品牌延伸评价；感知契合度；品牌信任

## 14. 绪论

随着如今网络发展如此迅速，给消费者带来更多便利和对企业越来越来多的发展机遇，但企业也面临着日趋严峻的任务和挑战，成功的品牌延伸可以为企业节约成本，而品牌延伸评价则是衡量一个品牌是否延伸成功的标准之一，更是一个企业的长期发展和扩展市场的新问题，同时也是管理者们时常关注的焦点。虚拟社群概念定义是由 Rheingold (1993) 首次提出，他将虚拟社群界定为以计算机网络为媒介进行信息分享，形成投入情感、相互关怀的关系群体。后续的研究中，学者将主题等其他特征引入其中，虚拟社群是建立在互联网的背景下，因某一主题的共同兴趣爱好将个体聚集在一起，通过网络互动来实现成员的兴趣、人际关系等需求。Turkle (1998) 将虚拟社群界定为并非面对面而是匿名的网络互动，成员关系是建立在主题上的短暂关系。

Porter (2004) 总结认为虚拟社群具有 5Ps 特性，即目标、空间、平台、成员和盈利模式五个关键属性。近年的研究主要是继承和拓展前人的研究。Ren (2012) 认为虚拟社群以互联网为沟通媒介，向一般公众提供信息和感情的支持，是政治与社会讨论的场所，也是维系社会网络与拓展社交的一种途径。本研究在虚拟社群背景下，把感知契合度和品牌信任这两个变量纳入到品牌社群认同对品牌延伸评价的影响机制中，扩大了传统品牌延伸理论的适用范围，同时扩展了品牌社群认同结合品牌延伸评价的理论研究范畴。其次，通过理论梳理以及实证分析品牌社群是基于消费者对某个品牌爱好、需求建立的社交关系链，是连接企业和消费者的桥梁，为企业品牌的口碑传播、收集需求、提高忠诚度提供了便利，企业通过社群对品牌延伸满意度调查分析，为企业更好地进行品牌延伸提供建议。本研究为企业提供一个互联网情境的新视角，加强企业与品牌社群成员的沟通，促进企业有效发挥在虚拟社群中的优势进行品牌延伸战略。

## 2. 文献综述

### 2.1 社会认同理论

社会认同是指特定群体成员个体对自己所在的群体的一种认知，这种认知伴随着个体作为群体成员身份而显现出来的价值或情感 (Tajfel, 1978)。社会认同理论的内容涵盖了社会认同的主要成分，即特定群体成员对属于特定社会群体类别的某一特征的知觉与个体自我定义产生了相互连结 (Hogg & Tery, 2000)。也就是说，社会认同是个体进行自我定义为特定群体成员的过程，在这一过程中将自我定义与所在群体的特征进行连接，并把个体自身特质与其他群体成员进行区别与联系，通过认知个体自身与该群体其他成员共同特征的识别而形成社会认同 (Knippenberg & Schie, 2000)。Turner (1979) 认为个体所归属的社会群体类别 (政党、团体等) 和个体对所在群体的归属感有助于强化个体根据自己所在的社会群体特性进行自我定义。也就是说，社会认同是指特定社会群体的个体成员对其所归属的社会群体特性的认知和个体对自己的社会群体成员身份所持有的特定价值观与情感评价与感知 (Taifl, 1972)。

Taifl (1972) 认为社会认同是一个动态的认知过程，它包括两层含义，其一是社会群体成员对社会群体及自己所归属的群体的认知，其二是社会群体成员将群体与自我定义相融合，把对社会群体的认知转变为个人自我定义的一部分，即社会群体成员的自我定义中存在社会认同的成分。在个体进行自我定义的过程中，每一个社会群体成员都会给予自己所归属的某一类别的社会群体而形成特定的社会认同内涵，而这过程影响社会群体成员进行自我定义的思考、感知和个体的行为方式。由此可见，社会认同成为社会群体成员进行自我约束和自我发展的心理依据，每一个社会群体成员的认知和行为需要符合所在群体的规范。Ellemers, Kortekaas and Quwerkerk (1999) 指出社会认同包含三个层次：(1) 认知对自己在一个社会性群体中成员资格的认知意识，即自我分类；(2) 情感：对于此群体情感联系的感知即情感承诺；(3) 评价：对成员身份价值意义的正向或负向的评价，即基于群体的自尊。

基于社会认同理论下, Bagozzi & Dholakia (2006) 将品牌社群认同分为认知、情感、评价三个维度。认知是指社群成员对品牌社群自我认知，情感是指社群成员对社群的情感倾向，评价指的是社群成员对群体角色的正负评价。Algesheimer et al., (2005) 也证实了品牌社群认同对与消费者的产品购后意愿有正向的影响。所以这对企业而言不仅有助于促进销售，还能提升消费者对该品牌的忠诚度，有利于品牌延伸评价的提升。消费者还能更深入感受延伸商品和原有商品的同质化和差异化，提高契合度，从而提升延伸品牌的好感。

品牌信任作为在消费者做出购买决策的过程中，被认为是最重要的因素之一，并被认为是产品或服务的信心 (D'Alessandro, Girardi & Tiangsoongnern, 2012)。也就是说获得信任的品牌在市场上能够得到更好的评价获取更多的市场份额和溢价 (Ruparelia, White, & Hughes, 2010)。另外，当消费面对消费环境出现风险和有代价的时候，品牌信任就变得更加重要 (Hawass, 2013)。在这种环境下品牌信任就变成了一种思维机制，即消费者在品牌选择时如何降低风险和不确定性 (Matzler, Bailom, Von Den Eichen, & Kohler, 2013)。综上所述，首先通过对社会认同理论的分析得出，品牌社群认同是由社会认同发展而来，以及延续了社会认同理论的三个维度 (认知、评价、情感)。其次在社会认同理论背景下，探讨并确定了品牌社群认同与感知契合、品牌延伸评价的关系。

## 2.2 品牌社群认同

品牌社群认同是指社群成员将自身视为该社群一员的认知程度，同时社群成员同意社群里的规范、传统、习惯、目标及推广品牌社群的意愿 (Algesheimer et al., 2005)。而 Bagozzi &



Dholakia (2006) 将品牌社群认同定义为个体认识到自身属于某个特定的群体组织，并意识到自身群体成员的身份所带来的情感和价值意义。

### **2.2.1 品牌社群认同与品牌忠诚度**

Hickman (2005) 的研究认为若社会对消费者形象认同高，则消费者对社群认同度就越高，进而增强社群成员对该品牌喜爱，这种情感会引发消费者排斥其他品牌，结果促使该品牌的品牌忠诚度的提高。Algesheimer et al., (2005) 认为品牌社群认同能够增强消费者与社群的联系，品牌社群认同度的提升会积极影响成员参与社群活动的情感态度以及行为倾向。

### **2.2.2 品牌社群认同与品牌社群参与**

Algesheimer et al., (2005) 认为品牌社群认同能够增强消费者与社群的联系，品牌社群认同度的提升会积极影响成员参与社群活动的情感态度以及行为倾向。Bagozzi & Dholakia (2006) 明构建了品牌社群的模型，该模型由消费者行为方案、消费者参与品牌社群目的与消费者被社群认同的程度三个部分组成，经实证研究表明消费者被社群认同度与参与社群目的正相关。

## **2.3 品牌延伸评价**

品牌延伸评价是指顾客对公司推出的延伸产品的态度和行为意向 (Aaker & Keller, 1990)。对于顾客对品牌延伸的态度，Boush and Loken (1991) 做了进一步的解释，他们认这种态度包括顾客感知到新产品是否具有吸引力以及对延伸方式是否满意。之后学者 Park, Milberg, and Lawson (1991) 认为，品牌延伸评价是指对于该品牌延伸的缘由和方式，消费者产生的积极或消极情感倾向。

### **2.3.1 品牌延伸评价的相关理论与研究**

Aaker and Keller (1990) 首次进行品牌延伸的定量研究，构建了品牌延伸评价研究模型，简称 A&K 模型。在 A&K 模型中，采用消费者对原品牌感知品质、感知契合度、延伸产品的制造难度三个因素影响品牌延伸评价。Czellar (2003) 认为在品牌延伸评价过程中包含消费者认知和情感，他指出契合度、对延伸产品的态度、引发的行为、之间的关系共四个方面影响品牌延伸，与此同时延伸产品评价对原品牌、延伸产品种类态度具有反馈作用。Volckner and Sattler (2013) 认为影响品牌延伸成功的因素包括四种因素：原品牌特征、延伸产品市场背景、原品牌与延伸产品的关系、延伸产品的产品种类特征。Yang (2009) 提出消费者对品牌态度、感知契合度、顾客忠诚共三种因素影响消费者对品牌延伸产品或服务的评价。

## **2.4 感知契合度**

Tauber (1988) 率先对契合度这个概念作出解释，他的观点认为契合度是原品牌与延伸品牌在某些方面（形象、功能、类别）的拟合度。Aaker et al., (1990) 扩展契合度研究领域，基于消费者视角提出感知契合度，将其概念界定为指的是消费者自身感知原产品与延伸产品之间一些特征的匹配度。Park et al., (1991) 进一步强化感知契合度的概念，认为感知契合度是指同一品牌的产品与母产品具有属性相似性。Broniarczyk and Alba (1994) 认为感知契合度包含感知产品类别拟合度、感知品牌特征联想拟合度。产品类别拟合度是指消费者感知到的延伸产品和原品牌的产品分类的一致程度。品牌特征一致性则是指消费者对延伸产品的特征联想和对原品牌的特征联想一致程度。Bhat and Reddy (2001) 与前者观念相同，从产品类别和品牌联想两个方面解释感知契合度。

### **2.4.1 感知契合度的相关理论与研究**

Korner (2008) 认为消费者的感知契合度来评价品牌延伸有重要意义。Boush and Loken (1991) 将品牌延伸分成典型品牌延伸与一般性延伸, 以此检验延伸方式对消费者评估品牌延伸的影响。Maoz and Tybout (2002) 认为相较于相似度极高和相似度为零的延伸产品, 相识度始终的延伸产品将会积极作用与品牌延伸评价。

## 2.5 品牌信任

品牌信任是指在风险条件下, 消费者对特定品牌会带来积极期望而信赖该品牌的意愿 (Lau & Hanlee, 1999)。Chaudhuri and Holbrook (2001) 则认为品牌信任是消费者相信品牌实现承诺的意愿。而 Elena Delgado Ballester (2003) 将品牌信任定义为在给消费者带来风险的情况下, 相信期望品牌的可靠性的一种行为意识。(Becerra and Korgaonkar, 2011) 通过实证研究, 将其定义为消费者在风险情境下, 对品牌可靠性和意愿的积极预期。

### 2.5.1 品牌信任的相关理论与研究

在消费者做出购买决策的过程中, 品牌信任被认为是最重要的因素之一, 并被认为是产品或服务的“信心”(D'Alessandro & Girardi, 2012)。获得信任的品牌在市场上能够得到更好的评价、获取更多的市场份额和溢价 (Ruparelia et al., 2010)。在消费环境包括风险和有代价的选择的时候, 品牌信任就变得更加重要 (Hawass, 2013)。在这种环境下品牌信任就变成了一种思维机制, 即消费者在品牌选择时如何降低风险和不确定性 (Matzler, Bailom, Friedrich, & Kohler, 2013)。

Ballester and Aleman (2005) 认为总体满意度是影响品牌信任的决定因素, 也有其他研究者认为品牌个性 (Sung & Kim, 2010) 或感知伦理 (Singh & Iglesias, 2012) 是品牌信任的决定性影响因素。Rampal and Kenning (2014) 通过研究品牌信任和组织个性把品牌信任的研究范围拓展到了雇主品牌。Gordon (2016) 表示对于银行和健康体检行业的品牌, 品牌的负责和活跃与消费者的态度有着极大的关联。Gue Tremont and Grohmann (2013) 研究表明, 个真诚的品牌对消费者恭维或讨好反而会降低消费者对该品牌的态度, 并且更加失望。大多数关于品牌信任的研究都是关于类似于书籍、香水、手表、洗发水等低固有风险的产品上 (Sung and Kim, 2010), 而购买者并非使用者的产品, 即属于高固有风险产品的品牌信任方面则研究较少。Srivastava, Bhushan and Dash (2016) 研究者基于纸尿裤这一产品研究了品牌信任的决定性因素, 认为由于风险和不确定性, 以及购买者本身使用经验的缺乏, 品牌除可信外, 还要做到创新和亲密, 才能取得消费者的信任, 同时家庭影响力的影响也得以证实。

## 3. 研究方法与设计

Bagozzi and Dholakia (2006) 在社会认同理论上将品牌社群认同分为认知、情感、评价三个维度。本文认为品牌社群认同可以直接正向影响品牌延伸评价。与此同时感知契合度作为中介变量, 对品牌社群认同与品牌延伸评价具有中介效果, 即品牌社群认同可以通过感知契合度间接影响品牌延伸评价。从品牌延伸的目标角度看, 品牌延伸评价是消费者能够感知到的关于延伸最直观的因素, 也是影响品牌延伸能否成功的关键因素。本文构建品牌社群认同对品牌延伸评价的影响关系模型, 如图 3.1 所示:

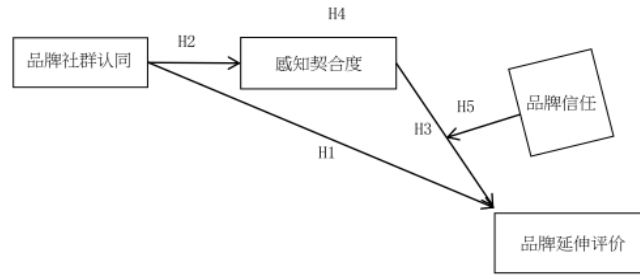


图 3.1 研究框架图

### 3.1 研究假设

#### 3.1.1 品牌社群认同对品牌延伸评价影响的的影响

在虚拟社群背景下的品牌社群中，消费者对品牌社群的认同度越高，对延伸产品的质量感知越高以及越可能尝试进行购买，即对品牌延伸评价更高。基于 Bagozzi and Dholakia (2006) 根据社会认同理论，提出品牌社群认同的维度分为以下三个方面：认知是指社群成员对品牌社群自我认知，情感是指社群成员对社群的情感倾向，评价指的是社群成员对群体角色的正负评价。所以，本文提出如下假设：

H1: 品牌社群认同对品牌延伸评价产生正向的影响。

#### 3.1.2 品牌社群认同对感知契合度的影响

如果消费者对品牌社群认同度高，则消费者具有较高对品牌社群的认知程度、情感涉入度、评价正面性。通过感知契合度，消费者感知延伸产品与原产品产品类别相似、品牌特征形似性以及转移很高，即感知契合度高。基于高契合度的品牌社群成员将认为母品牌所属公司具有提供和推广新产品的能力，其结果是用户的感知契合度更高；与之相反，若消费者的品牌社群认同度低，消费者将会怀疑公司延伸产品的设计目的以及技术操作的可行性，其结果是用户的感知契合度相应降低。综上所述，提出以下假设：

H2: 品牌社群认同对感知契合度产生正向的影响；

#### 3.1.3 感知契合度对品牌延伸评价的影响

感知契合度是消费者能够感知到的关于延伸最直观的因素，也是影响品牌延伸能否成功的关键因素 (Tauber, 1988)。Aaker and Keller (1990) 发现母品牌和品牌延伸间的感知契合度低，不但会妨碍正面联想的转移，而且会刺激负面信念或负面联想的转移，因此延伸后消费者的接受度降低。在品牌延伸的情境下，消费者会对母品牌的情感转移到延伸品牌的程度取决于延伸品牌与母品牌的契合程度。此后的众多学者在重复 A&K 的实验时均证实了感知契合度对延伸评价的直接正面影响。Boush and Loken (1991) 的研究也发现，如果品牌延伸为原品牌的可以感知的典型，则消费者对品牌延伸的评价速度越快，喜爱程度也越高。Loken and John (1993) 的研究则发现如果品牌延伸的产品属性与原始品牌不一致时，会破坏消费者对原始品牌的评价。如果延伸品牌与原品牌的契合度高，则可以降低消费者的知觉风险，消费者对母品牌的好感会直接通过刺激泛化的方式迁移到延伸产品上，他们就会比较愿意尝试延伸品牌的产品 (Broniarczyk & Alba, 1994)。Gronhang, Hem, and Lines (2002) 也指出，感知契合度会影响消费者对品牌延伸的评估，契合度越高，消费者越容易产生积极的评价。

根据以上分析得出，消费者感知原产品与延伸产品的契合度较高时，对原品牌喜爱、积极情感将传递到后者，消费者会预测公司由能力达到其对延伸产品价值许诺，继而对延伸产品的评价具有正向影响；相反，当感知契合度很低时，消费者质疑公司延伸产品设计满足消费者需

求的能力，消费者认为新产品的可信度低，对其延伸产品的态度和接受意愿也会相应下降。基于综上所述，提出本研究的假设：

H3：感知契合度对品牌延伸评价产生正向的影响。

### 3.1.4 感知契合度的中介作用

品牌延伸的相关研究模型都表明母品牌特性会影响消费者感知契合度 (Czellar, 2003)。同时在母品牌特性与延伸评价间感知契合度具有中介效应 (Volckner & Sattler, 2013)。本文认为若品牌社群认同度高，消费者感知原品牌与延伸品牌的产品形象、功能相似度更高，预期公司实现其对延伸产品价值的承诺可靠性更高，因而对延伸品牌评价更积极。相反，若社群成员对品牌社群认同度低，消费者可能会感知感知到新产品与延伸产品相似性低，进而对公司进行延伸产品的制造目的、可行性以及保障消费者需求提出疑问，结果是品牌延伸评价的下降。基于综上所述，提出本研究的假设：

H4：感知契合度对品牌社群认同与品牌延伸评价的影响。

### 3.1.5 品牌信任的调节作用

Reast (2005) 发现品牌信任与品牌延伸的接受度之间有显著关联。Tseng & Wang (2006) 研究发现品牌信任与知觉契合度显著影响消费者对延伸产品的信任与购买意愿。总体信任度对品牌延伸评价的调节作用综合已有研究，从品牌延伸的目标角度看，品牌延伸契合度是消费者能够感知到的关于延伸最直观的因素，也是影响品牌延伸能否成功的关键因素 Tauber (1988)。

Delvecchio (2000) 认为品牌延伸与母品牌的种类契合度高，可以减少消费者的不确定性，从而降低消费者的知觉风险，促进其尝试延伸产品；随着感知的种类契合度水平的降低，感知风险会增加，这就会对延伸的评估产生负面影响。与感知风险相关的另一概念是品牌信任，当消费者面对感知风险时，会倾向于选择可以信任的品牌。同时，消费者对母品牌的认知和情感会影响品牌延伸评价。因此，鉴于以上分析，本文提出以下假设：

H5：品牌信任对感知契合度与品牌延伸评价的影响。

## 4. 结论

在手机社群迅速发展的背景下，企业借助手机品牌社群开展营销活动是获得竞争优势的重要途径之一，本文从虚拟社群的视角研究了在手机品牌社群认同对品牌延伸评价的影响机制。结果表明，首先，手机品牌社群当中，品牌社群认同的三个维度对品牌延伸评价具有正向作用。这表明品牌社群中成员认识到自身属于某个特定的群体组织，并意识到自身群体成员的身份所带来的情感和价值意义，以及良好的社交规范也会促进社群成员产生对品牌社群的认同。其次，成员对品牌社群产生认同之后，经过进一步的社群认知、情感交流、评价，其对品牌社群的认同会迁移至对品牌延伸的产品上，从而对品牌或企业进行评价。最后本文中介与调节作用检验表明，在品牌社群中感知契合度在品牌社群认同和品牌延伸评价之间起到了部分中介的作用。这说明社群成员对品牌社群的认同通过感知契合度越高并不一定等同于对品牌延伸具有高的评价。另外，品牌信任在品牌社群认同与品牌延伸评价之间具有完全调节效应。即在延伸产品与母品牌契合度较高的条件下，消费者对母品牌的信任度会转移到其延伸产品上，减少体验新产品的感知风险，从而对其也具有较高的信任度并有较强的购买倾向，延伸评价高。反之，若消费者对母品牌表现出较低信任度或者不信任，则对其延伸产品的评价就相应较低。

本研究结论首先有助于企业加深对品牌社群的理解,对品牌社群的价值有更深认知,所以

针对以上本研究的理论结论，提出几点营销建议：

第一、企业应该组建或者支持品牌社群的发展。实证发现品牌社群能够提升消费者与品牌的关系，当消费者对品牌社群认同的程度提高后，会进一步改善对品牌的态度，这为企业塑造品牌延伸产品，建立品牌形象，提供了一个非常好的途径。

第二、培养成员的品牌社群认同度。社群认同可以分为认知性、情感性和评价性社群认同三个层面，对于认知性社群认同，应该加强成员对社群的归属感，需要从社群的定位上来进行规划，增强成员对社群身份资格的认知意识。对于评价性社群认同，可以采取激励机制，鼓励大家对社群做出自己的贡献，让成员感觉到自己是社群的重要成员。

第三、消费者感知契合度的影响不容忽视。感知契合度是基于母产品与延伸产品的认知、情感、评价的转移。所以品牌社群的建立，不能忽视消费者感知契合度对品牌延伸的影响。首先，应该注重建立延伸品牌与母产品核心功能价值之间的关联，引导消费者的正面联想，从而避免负面的延伸评价，其次，引导消费者感知的可转移性，在消费者可接受的范围内进行延伸和创新。

第四、企业应减少顾客在未来购买过程中的不安全感。对于手机品牌，不能仅从某一方面树立消费者信任，应从企业形象到产品性能全面努力。

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# 中国上市公司送转比与累计超额收益率之关联性研究

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## 摘要

随着中国创业板市场的开辟,越来越多的中小企业为让投资者享受企业成长的喜悦、传递经营业绩利多的消息,且有助于保持市常良好形象以进行市值管理等目的。上市公司往往倾向于选择制定股票股利分配政策来代替现金分红,特别是采用高比例送转股票的股利分配政策,而投资者也热衷于投资此类股票。然而,高比例送转股票的股利政策放大了盲目跟从、内幕交易以及虚假信息对股票市场风险的影响,及增大股票市场的不确定性。基于此,本文收集 CSMAR、Wind 数据库,从 2014-2017 年中国创业板上市公司数据。运用事件研究法分析创业板上市公司高送转公告对股票收益率的影响,及联立方程组模型,结果发现送转股票股利预案公告对创业板上市公司收益率有显著正向的影响,且创业板上市公司每股累计金额与送转比成正相关关系,以及创业板上市公司送转比与累计超额收益率成正相关关系。

**关键词:** 创业板; 送转比; 累计超额收益率; 联立方程模型

## 1. 研究背景与动机

由于上市公司的股利分配政策在中国和欧美国家有很大的差异,故其对企业收益也有显著差异;而现金分红会使企业以及可用资金的减少,因此,越来越多的企业倾向于制定股票股利分配政策来代替现金分红,即使国家对股利分配的现金比例做出了规定,但整个股利分配体系还是有漏可寻。在利益的驱使下,企业逐渐发现一种能够节省现金同时又可以做大市值的股票股利分配方式,即高比例的送红股和资本公积转增股本。通过对政策合理制定,企业不但可以扩大股本、增加股票流动性、传递经营绩效利多的消息以及进行市值管理,投资者更可以通过股价的波动获取短期价差。然而看似一举两得的政策实则各为己利。徐慧玲和吕硕夫(2012)研究指出,2010年的上海和深圳的两个交易所送转的方案为平均每十股送高于五股的具体标准。送转股票本质上不会改变盈利能力,反而通过扩大股本稀释每股净资产和每股收益,使得投资者出现了价格幻觉,热衷于追捧名义价格升高而实际价值降低的股票,但其最终情况却是企业和投资者博弈的结果。

2002年对于中国股市来说意义非凡,正是从这一年起上市企业开始了分红政策,直到2008年的次贷危机才因上市企业绩效集体滑落而终结此状况。因这一特殊情境以及监管机构提出分红要求的宏观背景影响下,各企业转而通过提高比例送股和转增股票的方式进行分红。前者指的是依照政策要求在分配时提高股利比例,后者则在分配时进行高送转股,这两者之间的差异体现在为经过分配的利润转增股本和资本公积转增股本进行转股的行为不会导致企业资产流失,但是却会对间接影响到企业的整体资本架构。其实对于企业的投资群体来说,只有真金白银的现金分红才是最实际的回报,但是中国在最近一段时间投资市场的高比例送转股现象不



仅未得到及时有效地控制，反而愈演愈烈，实施高送转的企业数量持续扩大，送转比例随之提升。只要深入分析这一阶段的股利动向就能够发现，股票市场非常关注那些支持送转方案的企业，因为一旦方案对外披露，这些企业都会形成很明显的附加效果。所以本文将集中以上市企业目前正在实行的高比例送转股利政策以及上市企业股价变化之后市场的具体动向进行分析研究，进一步了解这一政策对股价形成的具体影响，以减少市场投机风气与给盲目跟从的投资大众正确的信息是本文的研究动机。

此外，中国创业板在股票股利实施上相对落后于欧美国家。因此本文才选取创业板作为研究依据，并以企业送转比例及超额收益深入研究，希望在股票股利的送转比例和超额收益率之间的相互影响的文献上作出补充，另外，希望借由高送转的研究，来帮助投资者在进行最佳投资决策，且帮助中国股市更健全的发展。

## 2. 文献探讨

### 一、股利政策相关理论

#### (一)MM 理论

长期以来学术界对股利政策对股市的影响有着差异的看法。Modigliani and Miller (1958) 在其 MM 理论中提出，假设市场是有效的，投资者是理性的，无税且不考虑市场交易成本，公司价值和股票价格与和股利分配行为无关。之后，Mcnichols and Dravid(1993)研究了 1976-1983 年间上市公司发放股票股利的情况，结果发现上市公司股票股利的发放规模与分析师预测误差存在相关关系，展现了公司管理层通过股利进一步提升公司在公开市场的价值，同时产生管理层利用股票的分拆以及股票的股利传递公司相对积极的消息。之后，Raaballe(2017)对上市公司的成长性与支付股票股利的能力之间的关系进行研究发现上市公司成长性与股利支付能力呈现出正相关关系，且通过股票股利来向外界传递公司未来的发展信息。

#### (二)股利迎合理论

股利迎合理论认为，公司的股利政策取决于投资者的偏好。易颜新等（2008）2006 年 5 月和 8 月对 82 家上市公司以及 60 家上市公司财务总监进行问卷调查，以收回的 123 份有效问卷调查上市公司股利支付水平的影响因素。研究发现：股票股利迎合了流通股股东需求，除权后的填权效应可以帮助流通股股东快速实现超额收益。龚慧云（2010）把沪深市场中 2001 至 2007 年的上市企业为样本，再将上市企业划分为转送股以及纯派现这两类之后展开研究，得到上市企业管理者投资主体所好实行高送转股利策略的情况确有其事，上市企业采用高送转的概率、比例受到投资主体需求的制约，在股市中，很多上市企业为了投投资主体所好，而实行高送转股的政策促使本公司在短时间内达到最大化的股价。

### 二、研究假说

#### (一) 超额收益与送转比关系

吴苗苗（2011）认为创业板企业制定高送转政策往往是因为近期有股本扩张的计划。通过高送转来摊薄高增长下的每股收益，以实现股本扩张，从而为企业项目带来更多资金支持。李礼等（2006）等通过调查问卷的方式，对非国有上市公司的股利政策选择动因进行了模拟分析，研究结论是，再融资能力是非国有上市公司制定股利政策时最重要考虑因素，未来投资机会、公司偿债能力及公司股票价格是它们考虑的次要因素，因为它们面临融资难的现状，所以非常重

视再融资能力。

Devos and Warr(2015)发现管理层增持或者减持股票的时机受到送转行为的影响,说明“高送转”和控制人减持之间存在着非常密切的关系。Gharghori (2016)研究 1975-2011 年股票分割宣告产生的长期收益情况,研究结果显示首次进行股票分割的公司会产生超额收益且一年内进行二次拆分可以获得比首次拆分更大的超额收益,而没有进行二次拆分的样本超额收益甚至会变成负的 11%。

根据熊义明等(2012)对送股、转增股的市场反应的研究,资本公积和未分配利润是股本扩张的重要指数。资本公积和未分配利润数量的多少,直接决定了送转股本能力的强弱。拥有较高的资本公积和未分配利润水平,就可以在现在或者未来大比例增加股本。而在企业的资本公积和未分配利润水平较低时,就无法实施股本的扩张。且认为股票股利中有显着为正的超额报酬率,有强烈的市场反应。因此,本文提出以下假设:

研究假说一(H1):创业板上市公司每股累计金额越多,送转比越高。

## (二) 高送转对累计超额收益率的影响

Fama.atel(1969)通过研究股票分割对股价的影响,发现上市公司的股票分割政策一方面向市场传递了对企业发展前景的信心,另一方面推动了股价的上涨。Grinblatt.atel(1984)用实证研究的方式证明了股票拆分的宣告日、除权日和除息日前后股价大幅度上升,带动超额收益率的同向变动。陈珠明和史余深(2010)通过实证分析,研究了上市公司高送转后的财富效应和重要日期前后股价的变动趋势。文章认为显着正向超额收益率在高送转预案宣告前 5 天出现,但是股东大会公告日前后的超额收益几乎不存在,除权、除息日的超额收益情况受股市类型的影响。

在中国证券市场,高送转股利政策被市场普遍当做利好消息,市场往往围绕高送转事件进行持续炒作,股价往往大幅波动,本文认为,可能存在如下两种高送转对股价的传导机制。

一种机制是传统股利政策角度下,市场通过对上市公司的盈利能力、成长能力、现金流分析、资产状况等财务指标进行分析,得出公司基本面的情况,从而做出对公司的投资决策,高送转政策向市场传达了公司强烈的成长能力和预期,同时,由于我国证券市场参与者以散户为主,高送转对股价的“打折”效应加强了股票的流动性,同时更低的股价对投资者具有更强的吸引力。

另一种机制从行为金融学的角度出发,由于对高送转的炒作长期存在,经过大量的财富效应演绎、投资的统计,高送转后股价大幅上涨的预期根植与投资者的投资理念中,同时短期不易改变。尤其在证券市场熊市中,投资者亏损严重,而市场上投资机会较少,受已形成的预期影响,激进的投资者往往竞相追逐高送转概念股,每当这种偏好受到市场追捧,投资者往往形成明显的羊群效应来对其进行追逐。加上上市公司的市值管理也不断配合市场偏好进行高送转市值运作,使得之前预期不断强化。因此,本文提出以下假设:

研究假说二(H2):创业板上市公司送转比越高,累计超额收益率越佳。

## 3. 研究设计

### 一、研究对象与和资料搜集

本文选取深圳证券交易所创业板 2014-2017 年上市交易的发生送转比例为 10 送转 5 股及以上的股票并从中剔除以下条件的股票样本:剔除了上市公司中途变更股利政策的样本、.剔除在

样本期间内被特殊处理的公司(ST, PT 公司)、. 依照中国证监会提出的具体行业分类标准, 将金融类上市公司进行剔除。通过上述条件筛选后, 最终得到 232 个样本。数据来源 CSMAR, Wind 数据库。

## 二、研究方法

第一部分是在样本及数据选取确定之后基于事件研究法进行回归统计分析。对样本进行处理后, 对总样本所考察的指标(累计超额收益率)计算均值后对各指标进行 t 检验检查显着性, 最后进行分析、比较。第二部分是基于第一部分所选出显着的正超额收益的条件下, 采用联立方程模型进行实证检验, 选择恰当的变量数据, 用于观察各个变量在不同窗口阶段累计的收益率情况由此确定造成的影响。

表 3.2 变量选取表

资料来源: 本研究自行整理

变量性质	变量名称	符号	期望	文献来源
内生变量	送转比	SZB	+	魏林盛 (2016)
	累计异常收益率	CAR	+	李填境 (2016)
	每股积累	MGL	+	熊义明 (2016)
	大股东持股比例	GD	-	崔宸瑜 (2017)
	机构持股比例	JG	-	彭运香 (2017)
外生变量	流通股本	FOE	+	李填境 (2014)
	每股收益	EPS	-	刘春华 (2010)
	公司规模	MV	+	刘悉承 (2013)
	资产收益率	DAR	-	林川 (2012)
	换手率	TR	+	李振浩 (2016)

通过上文中所列举的相关理论内容和研究, 再参照创业板上市企业的具体数据, 并且综合参考了上市企业送转行为与累计超额收益率之间相辅相成的“内生性”关系。本文通过建立联立方程模型的方式来解决变量之间产生的内生性问题, 对创业板上市公司送转行为的结构方程与与累计超额收益率的结构方程进行联立分析。因此, 本文构建了如下的联立方程模型:

$$SZB_{it} = \alpha_0 + \beta_1 \ln MGL_{it} + \beta_2 EPS_{it} + \beta_3 GD_{it} + \beta_4 \ln FOE_{it} + \varepsilon_{it} \quad (3-1)$$

$$CAR_{it} = \alpha_0 + \beta_1 SZB_{it} + \beta_2 TR_{it} + \beta_3 DAR_{it} + \beta_4 \ln MV_{it} + \beta_5 JG_{it} + \varepsilon_{it} \quad (3-2)$$

上述方程中,  $\alpha_0$ 为截距项,  $\beta_{1,2,3,\dots}$ 为各变量的系数; i 为股票; t 为时间年度;  $CAR_{it}$ 累计超额收益率;  $SZB_{it}$ 为送转比;  $\ln MGL_{it}$ 为每股积累;  $GD_{it}$ 为大股东持股比例;  $\ln FOE_{it}$ 为流通股本;  $DAR_{it}$ 为资产负债率;  $EPS_{it}$ 为每股收益;  $\ln MV_{it}$ 为公司规模;  $TR_{it}$ 为换手率;  $JG_{it}$ 为机构持股比例;  $\varepsilon_{it}$ 为随机干扰项。本文将使用 STATA 进行联立方程模型的一系列检验和回归结果的输出。

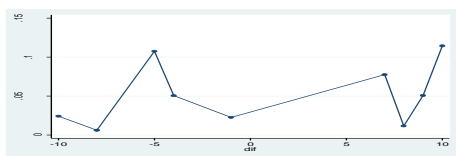
本文将对公司规模, 流通股本, 每股积累进行数据转换, 取其对数值。

## 4. 研究结果

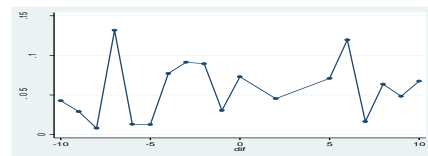
在本部分将对所提出的两个假设进行检验。在实证过程中，将综合运用描述统计分析、相关性分析、事件研究法、联立方程模型等统计分析工具，下面将详细汇报整个实证研究结果。

### 一、累计超额收益率与 T 检定

本文以上市公司分配预案公布日作为事件日，引用陈浪南与姚正春(2010)的窗口期，以事件日当日为第 0 日，前后各取 10 天作为事件窗口期，即以  $[-10, +10]$  天作为事件窗口，而以  $[-10, +10]$  作为事件的估计窗口。通过 STATA 软件，计算得到 2014-2017 年事件窗口期的累计异常收益率变化如下所示。



2014 年 CAR 变化图



2015 年 CAR 变化图

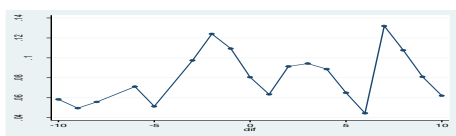


图 4-4 2016 年 CAR 变化图

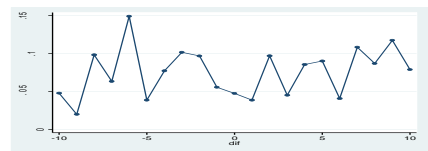


图 4-4 2017 年 CAR 变化图

上图为 2017 年所有在创业板上市的上市公司股票在分配预案公布日前后十个交易日（共计 21 个交易日）的累计异常收益率的变化情况。由上图可知，在 21 个工作日内，累计异常收益率同样都为正，与 2015 年的情况类似，大概在分配预案公告日的前第八天以及后第八天，累计异常收益率有一个很大的提升，其后有所下降，在公告日前后达到低点，其后又开始稳步提升。

接着运用 T 检验对 CAR 的显著性进行了检验，得到如下结果：

表 4-12 T 检验结果

Variable	Mean	Std. Err.	Std. Dev.	[95% Conf.Interval]	T	P
2014 CAR_date	0.0458	0.0129	0.0446	0.0174 0.0741	3.5550	0.0023
2015 CAR_date	0.0576	0.0075	0.0454	0.0424 0.0727	7.7170	0.0000
2016 CAR_date	0.0861	0.0073	0.0671	0.0716 0.1005	11.8255	0.0000
2017 CAR_date	0.0768	0.0059	0.0753	0.0652 0.0884	13.1011	0.0000

上表 4-12 为 2014-2017 年累计异常收益率的 T 检验检验结果，该检验的原假设为“ $CAR \leq 0$ ”，由检验 T 值和 P 值可知，在各年间都拒绝原假设，即在 2014-2017 年，分配预案日其后各 10 个交易日的累计异常收益率都显著大于 0。

### 二、相关性分析及多重共线性检验

在进行回归分析前，首先进行相关性检验。下表为模型一各变量间的 Pearson 相关系数。

表 4-3 Pearson 相关系数表 1

	SZB	lnmgjl	eps	gd	lnfoe
szb	1				
lnmgjl	0.049**	1			
eps	0.049**	0.055*	1		
gd	0.013**	0.074*	0.014**	1	
lnfoe	-0.301***	-0.425***	-0.351***	-0.433***	1

由上表 4-3 可知，因变量和自变量以及控制变量间都存在显着的相关性，而自变量与控制变量的相关系数都小于 0.6，因此存在共线性的可能性比较小，进一步计算方差膨胀因子（VIF）得到如下的结果：

表 4-4 方差膨胀因子表 1

Variable	VIF	1/VIF
lnmgjl	2.3600	0.4241
eps	2.1300	0.4694
lnfoe	1.5700	0.6379
gd	1.2900	0.7740
Mean VIF	1.8400	

由上表 4-4 可知，平均方差膨胀因子为 1.84，一般来说方差膨胀因子大于 10 才可能存在较为严重的多重共线性，因此，因变量和各控制变量间不存在多重共线性。

接着，对模型二进行相关性分析，下表为各变量间的 Pearson 相关系数。

表 4-5 Pearson 相关系数表 2

	car	szb	tr	dar	lnmv	jg
car	1					
szb	0.018**	1				
tr	0.034**	0.0210**	1			
dar	0.014**	-0.067***	-0.085***	1		
lnmv	0.025**	0.0138**	0.092*	-0.041***	1	
jg	-0.003***	-0.033***	-0.110**	0.140***	0.355***	1

由上表 4-5 可知，因变量和自变量以及控制变量间都存在显着的相关性，而自变量与控制变量的相关系数都小于 0.4，因此存在共线性的可能性比较小，进一步计算方差膨胀因子（VIF）得到如下的结果：

表 4-6 方差膨胀因子表 2

Variable	VIF	1/VIF
lnmv	1.1900	0.8381
jpg	1.1800	0.8449
tr	1.0800	0.9223
szb	1.0700	0.9383
dar	1.0200	0.9758
Mean VIF	1.1100	

由上表 4-6 可知，平均方差膨胀因子为 1.11，一般来说方差膨胀因子大于 10 才可能存在较为严重的多重共线性，因此，因变量和各控制变量间不存在多重共线性。

### 三、联立方程回归估计

为了验证创业板上市公司每股累计金额与送转比成正相关关系、创业板上市公司送转比与累计超额收益率成正相关关系等两个假设，建立了如下的回归方程：

$$ZSB_{it} = \alpha_1 + \beta_1 LNMGLJ_{it} + \beta_2 EPS_{it} + \beta_3 GD_{it} + \beta_4 LNFOE_{it} + \varepsilon_{1it}$$

$$CAR_{it} = \alpha_2 + \beta_5 ZSB_{it} + \beta_6 TR_{it} + \beta_7 DAR_{it} + \beta_8 LNMV_{it} + \beta_9 JG_{it} + \varepsilon_{2it}$$

上述方程中， $\alpha_1$ 、 $\alpha_2$  为截距项， $\beta_i(i=1,2,\dots,9)$  为各变量的系数； $i$  为公司； $t$  为时间年度； $CAR$  累计超额收益率； $SZB$  为送转比； $LNMGL$  为每股积累； $GD$  为大股东持股比例； $LNFOE$  为流通股本； $DAR$  为资产负债率； $EPS$  为每股收益； $LNMV$  为公司规模； $TR$  为换手率； $JG$  为机构持股比例； $\varepsilon_1, \varepsilon_2$  为随机干扰项。

其中， $SZB$  为内生变量，而  $LNMGL$ 、 $EPS$ 、 $GD$ 、 $LNFOE$ 、 $CAR$ 、 $TR$ 、 $DAR$ 、 $LNMV$  以及  $JG$  都为前定变量。即  $M=1$ ， $K=9$ ，对于第一个模型，内生变量  $m_1$  的个数为 1 个，前定变量的个数  $k_1$  的个数为 4 个，即  $9-4 > 1-1$ ，即第一个模型为过度识别；对于第二个模型，内生变量  $m_2$  的个数为 1 个，前定变量的个数  $k_2$  的个数为 5 个，即  $9-5 > 1-1$ ，即第二个模型为过度识别。即，两个模型都为过度识别的。在前面的分析过程中论证了该联立方程组是可以识别的，并且各个前定变量都不存在多重共线性，而且本文的数据容量也足够大，能够使用二阶段最小二乘法进行估计。此外，藉由 *EViews7.0* 软件进行两阶段最小二乘回归估计得到联立方程模型中两个回归模型的结果。下表 4-7 为第一个回归模型的结果：

表 4-7 联立方程组一

Variable	Coefficient	Std. Error	t-Statistic	Prob.
C	0.3021	0.4546	0.6645	0.5070
R-squared	0.3200	Mean dependent var		0.5860
Adjusted R-squared	0.3095	S.D. dependent var		0.6080
S.E. of regression	0.5052	Sum squared resid		66.3503
F-statistic	30.5896	Durbin-Watson stat		2.0393
Prob(F-statistic)	0.0000	Second-Stage SSR		66.3503

J-statistic	14.1351	Instrument rank	10.0000
Prob(J-statistic)	0.0148		

由模型一的回归结果可知，在 1% 的显著性水平下，每股累计金额(LNMGJL) 显著正向影响创业板上市公司送转比水平(SZB)，因此，假设一得到验证。此外，整个模型的拟合优度  $R^2$  为 0.32，调整后  $R^2$  为 0.3095，F 统计量为 30.5896，相应的 P 值为  $0.0000 < 0.001$ ，说明整个模型显著性较好。DW 统计量为 2.0393，说明模型不存在自相关性。接着运用同样的估计方法，得到第二个方程的回归结果如表 4-8 所示：

表 4-8 联立方程组二

Variable	Coefficient	Std. Error	t-Statistic	Prob.
C	0.0172	0.1401	0.1229	0.9023
R-squared	0.2014	Mean dependent var		0.0783
Adjusted R-squared	0.1778	S.D. dependent var		0.0871
S.E. of regression	0.0879	Sum squared resid		1.9992
F-statistic	10.0988	Durbin-Watson stat		2.0127
Prob(F-statistic)	0.0000	Second-Stage SSR		1.9983
J-statistic	258.8816	Instrument rank		10.0000
Prob(J-statistic)	0.0000			

由模型二的回归结果可知，在 5% 的显著性水平下，创业板上市公司送转比水平(SZB) 显著正向影响创业板上市公司每股累计异常收益(CAR)。因此，假设二得到验证。此外，整个模型的拟合优度  $R^2$  为 0.2014，调整后  $R^2$  为 0.1778，F 统计量为 10.0988，相应的 P 值为  $0.0000 < 0.001$ ，说明整个模型显著性较好。DW 统计量为 2.0127，说明模型不存在自相关性。

接下来将运用 Hausman 检验进行联立性检验。首先，通过如下回归的得到回归方程的残差，回归结果如表 4-9 所示：

$$CAR_{it} = \alpha + \beta_1 LNMGJL_{it} + \beta_2 EPS_{it} + \beta_3 GD_{it} + \beta_4 LNFOE_{it} + \beta_5 ZSB_{it} + \beta_6 TR_{it} + \beta_7 DAR_{it} + \beta_8 LNMV_{it} + \beta_9 JG_{it} + \varepsilon_{it}$$

表 4-9 联立性检验一

Variable	Coefficient	Std. Error	t-Statistic	Prob.
C	0.0792	0.1237	0.6399	0.5226
R-squared	0.0289	Mean dependent var		0.0807
Adjusted R-squared	0.0073	S.D. dependent var		0.0927
S.E. of regression	0.0924	Akaike info criterion		-1.9018
Sum squared resid	3.0809	Schwarz criterion		-1.8066
Log likelihood	360.8251	Hannan-Quinn criter.		-1.8639
F-statistic	1.3409	Durbin-Watson stat		2.1176
Prob(F-statistic)	0.2218			

接着将残差代入如下模型再进行模型估计，得到如下表 4-10 的回归结果：

$$ZSB_{it} = \alpha_1 + \beta_1 LNMGLJ_{it} + \beta_2 EPS_{it} + \beta_3 GD_{it} + \beta_4 LNFOE_{it} + \beta_5 R_{it} + \varepsilon_{it}$$

表 4-10 联立性检验二

Variable	Coefficient	Std. Error	t-Statistic	Prob.
C	0.3034	0.4555	0.6661	0.5059
R	0.4806	0.1162	4.1371	0.0000
R-squared	0.3202	Mean dependent var		0.5860
Adjusted R-squared	0.3070	S.D. dependent var		0.6080
S.E. of regression	0.5061	Akaike info criterion		1.4982
Sum squared resid	66.3362	Schwarz criterion		1.5792
Log likelihood	-192.5069	Hannan-Quinn criter.		1.5307
F-statistic	24.3938	Durbin-Watson stat		2.0314
Prob(F-statistic)	0.0000			

由回归结果可知，残差项 R 的回归系数为 0.4806，相应的 P 值为 0.0000 < 0.05，因此强烈拒绝无联立性的原假设，因此本系统具有联立性。

#### 四、稳健性检验

为了增强本文所得结论的稳健性，进一步运用面板估计回归方法进行回归估计。下表为针对假设一“创业板上市公司每股累计金额与送转比成正相关关系”的回归分析，列(1)为混合回归模型回归结果，列(2)为固定效应模型回归结果，以及列(3)为随机效应回归结果。括号里为标准误差，\*\*\*、\*\*、\*分别表示在 1%、5%和 10%的显著水平下显著。

表 4-10 假设一稳健性检验

VARIABLES	(1)	(2)	(3)
	ols	fe	re
	szb	szb	szb
lnmgjl	0.0690*	0.0956*	0.0718*
eps	0.0439**	0.0015***	0.0449**
gd	0.0459	-0.405***	0.0216
lnfoe	-0.0545***	-0.206***	0.0405**
Constant	0.378	0.842	0.419
Observations	450	450	450
R-squared	0.296	0.711	0.646
F(WALD)	46.89***	131.79***	248.18***
Number of id	232	232	232

Standard errors in parentheses

\*\*\* p<0.01, \*\* p<0.05, \* p<0.1

通过 Hausman 检验、F 检验以及似然比检验，最终选择使用固定效应模型的估计结果，由上表 4-10 可知，固定效应模型分估计结果为：从解释变量的回归系数来看，每股累计金额 (LNMGL) 的系数为正，并且通过了 1% 的显著性检验，说明每股累计金额显著正向影响创业板



上市公司送转比水平，即假设一得到验证。

因此，假设一所得结论具有一定的稳健性。

针对第二个假设——“创业板上市公司送转比与累计超额收益率成正相关关系”，同样分别运用混合回归模型、固定效应模型和随机效应模型对数据进行回归，得到如表 4-11 所示的结果。列(1)为混合回归模型回归结果，列(2)为固定效应模型回归结果，以及列(3)为随机效应回归结果。

表 4-11 假设二稳健性检验

	(1)	(2)	(3)
	ols	fe	re
VARIABLES	car	car	car
szb	0.091	0.0270*	-0.0207***
tr	0.0015***	-0.0313***	-0.0014***
dar	0.000***	-0.001***	0.000***
lnmv	0.0107**	0.0299**	0.0143**
jg	0.0351**	0.0683**	0.0342**
Constant	0.0136	0.397	0.135
Observations	265	265	265
R-squared	0.102	0.164	0.21
F	22.09***	22.45***	120.52***
Number of id	154	154	154

Standard errors in parentheses

\*\*\* p<0.01, \*\* p<0.05, \* p<0.1

从解释变量的回归系数来看，创业板上市公司送转比(SZB)的系数为正，并且通过了 10% 的显著性检验，说明每股累计金额显著正向影响创业板上市公司送转比水平，即假设二得到验证。因此，假设二所得结论同样具有稳健性。

## 5. 结论与建议

本研究之主要目的在探讨创业板上市公司每股累计与送转比之间的关系以及送转比与累计超额收益率之间的联系。主要的研究结论如下：第一，证明了送转股票股利预案公告对创业板上市公司收益率有显著正向的影响。上市公司通过送转股票股利预案公告，传达出上市公司发展前景的积极信号，引起投资者的看涨情绪，从而抬高了上市公司股票的收益率。第二，通过联立方程模型对假设一进行了验证，结果显示，假设一得到验证，每股累计金额越高，说明上市公司的发展前景越好，对投资者具有较强的吸引力，从而影响力上市公司的送转比水平。第三，通过联立方程模型对假设二进行了验证，结果显示，假设二得到验证。送转比例越高，表示公司有更强烈的想法来表达其内部消息。并且经营者对公司未来的发展有较强的企图心，当这种信息被投资者获得后，股价在一段时间内会被抬高，异常收益率会有所有提升。第四，为了

验证联立方程模型的有效性和科学性，本文从三个角度进行了论证。首先，各个模型的 F 统计量都通过了 1% 的显著性检验，说明模型整体显著好，并且 DW 值在 2 左右，不存在自相关性。其次，对联立方程模型的联立性进行了检验，通过 Hausman 检验发现残差项 R 的回归系数为 0.4806，相应的 P 值为  $0.0000 < 0.05$ ，因此强烈拒绝无联立性的原假设，因此本系统具有联立性。最后，运用面板模型估计方法对两个假设进行了检验，结果发现，在不同的估计方法下，两个假设同样成立，从而验证了结论的可靠性。

本文的研究贡献在于：

首先，本文是以创业上市公司的数据为研究样本，有研究表明创业板股票一直是高送转的主力。因此单独研究创业板上市公司的情况更利于探巧高比例送转背后的动机，为监管层制定更加合理股利政策指导提供建议，为上市公司拓宽了研究的广度。

其次，本文在研究的角度方面有一定的创新，从送转比对上市公司股票收益率的角度进行研究。国内外学者关于高送转影响因素所做的研究，基本上从信号传递或迎合假说的角度出发，讨论这些学说是否与中国现状相符，并得出了不同结论，但从股票异常收益率、累计超额收益率角度出发的研究相对较少。而由于实际情况中，高送转往往后造成上市公司股票收益率的变化，而异常收益率、超额收益率也反映出投资者的情绪变化，以及高比例送转股票对投资者的影响。

最后，本文在研究方法上也有所创新，本文首先采用事件研究法计算出上市公司股票的超额收益率，然后再进行关联性分析。尽管事件研究法与联立方程模型都是相关研究领域比较常用的方法，但是将两者结合起来运用的研究还是相对较少，而两者的综合运用能够更加科学有效地进行研究，也为本文的研究提供了技术支撑。

最后，本研究对后续研究提出下列建议：

综上所述，本文通过联立方程模型估计得出，在中国创业板市场中，上市公司送转股票股利预案公告日这一事件会对股票收益率带来显著的积极影响。并且，创业板上市公司送转比水平显著正向影响创业板上市公司每股累计异常收益，且每股累计金额显著正向影响创业板上市公司送转比水平。基于此，目前，国内外学者已经从不同的角度对股票股利和股票拆分进行了研究，但并没有达成统一的结论，一部分学者认为送转股可传递公司良好盈利的信息，此外还有学者认为管理层进行送转股并非是为了向外界传递公司内部盈利情况。另有一部分学者认为公司进行送转是为了稳定公司股票价格，为了提高股票的流动性，相关的研究主要集中在上市公司高送转的目的和方式上，而从宏观层面上，高送转会对股票市场稳定性造成比较大的干扰，因此未来的研究应该更多的往这方面进行。

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# 知觉风险、知觉价值与再购意愿的影响研究

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## 摘要

电子商务与网络购物不仅是我国发展重点产业,也越来越受学者与业者关注。然而,多数消费者在网络购物时会对网络购物的风险与价值考虑再三后才会进行购买;因此,为了解消费者网络购物时的知觉风险、知觉价值与再购意愿间的关系,及消费者性别差异的调节效果。本研究藉由结构方程模型分析以测验研究架构中的因果效应。研究结果发现:(1)消费者网络购物时的知觉财务风险与知觉时间风险显着负向影响其知觉功利性价值与知觉享乐性价值,知觉产品风险却无;(2)消费者网络购物时的知觉功利性价值与知觉享乐性价值皆显着正向影响其再购意愿。最后,本研究亦依照研究结果相关之管理意涵,以提供网络购物业者平台营运之参考。

**关键词:** 网络购物; 知觉风险; 知觉价值; 再购意愿

## 1. 绪论

### 1.1 背景与动机

随着信息时代到来和互联网技术不断发展,网络购物的优势被体现,日益取代线下实体店购物成为消费者购物平台的主要选择。我国 2016 年网络购物市场交易规模已达 4.7 万亿元人民币,相较 2015 年巨幅成长 23.9%,且 2017 年突破 5 万亿元人民币大关;此外,依据中国互联网信息中心(China Internet Network Information Center, CNNIC)所提出的中国互联网络发展状况统计报告也提到,截止 2017 年 6 月,我国网络购物用户规模达到 5.14 亿人,网络购物人口已占 37.25%,可见我国网络购物已达到相当发达的程度并已深入民众生活中的方方面面(CNNIC, 2017)。再者,我国经常上网的网民规模达到 7.51 亿人,但网络购物用户规模却仅有 5.14 亿人,其中差距 2.37 亿人,这些人即是网络购物业者眼中重要的潜在用户;若操作得当,这些潜在用户可瞬间变为网络购物的高速增长提供强劲的动力(CNNIC, 2017)。

### 1.2 研究问题与目的

Wood and Scheer (1996) 表示,消费者会根据其知觉利益、成本和风险对交易作综合性评估,进行购买时的决定。网络购物的知觉风险,在过去研究中都被明显的指为是消费者网络购物的负面影响因子;也是网络购物业者急需降低、减少的环节。然而,若从消费者的观点来看,消费者更在意的是网络购物的效用、利益与更进一步的价值,网络购物价值代表着消费者网络购物的整个过程中付出与获得的关系,藉由这种关系消费者可以衡量网络购物为其所带来的价值;在知觉牺牲与利益之间的评估下,当消费者认为网络购物为其带来的利益大于牺牲时,则该次网络购物就能称得上是一次有价值的网络购物体验。

综上所述,本研究认为消费者在进行网络购物时所知觉到的风险将影响其知觉网络购物所提供的价值;而知觉价值将影响消费者进一步再次网络购物的意愿。此外,由于消费者性别差异将

会对其网络购物行为产生显著的影响差异；因此，本研究亦针对消费者性别差异的调节效果进行验证，藉此了解性别差异在网络购物行为中的影响。因此，本研究目的旨在探讨：

- (1) 了解消费者网络购物时知觉风险对其知觉价值的影响。
- (2) 了解消费者网络购物时知觉价值对其再购意愿的影响。

## 2.文献回顾

### 2.1 直觉风险

网络购物流程中潜藏着种种不确定性，往往因网络环境而被放大；因此，即使消费者认为网络购物将带来不少好处，但仍对于网络购物有所畏惧。知觉风险是消费者对所买产品或服务不确定性的知觉（Dowling & Staelin, 1994）；也是影响顾客知觉价值的一个重要变量。

#### (1) 知觉财务风险

财务风险方面，财务风险指的是消费者财务上的净亏损；包括若使用可能会收不到所购买的产品；或是意外买到不是所要的产品；甚至是金融事务数据与个人资料遭盗用等问题。调查也发现，许多消费者认为于网络上使用信用卡消费，很容易有被盗刷等问题（Caswell, 2000）。而此种种的财务风险已逐渐成为消费者于网络进行购物行为时的主要障碍（Maignan & Lukas, 1997）。

#### (2) 知觉产品风险

产品风险，旨是当一个品牌或产品的绩效不如预期所致使的；由于网络购物无法准确评估产品质量，也使消费者网络购物时更为重视产品风险。网络购物时，消费者因不能如实体店面一样检查实体产品或试用产品以及无法触摸到实体产品；因此，所购买的产品可能大小不符或质量不符合预期，因此而产生消费者对于透过网络购买产品有所质疑，而有产品风险的产生。

#### (3) 知觉时间风险

时间风险则是指消费者在网络购物时所产生的时间上的损失，及搜寻与浏览网页时所产生的不便带来的困扰，甚至因而延误收到产品都可以算是消费者所受到的时间风险；造成这些时间风险的原因，可能是网络购物网站订单程序或于复杂或是网站架构设计不佳使消费者难以搜寻到所需要的产品信息，以及购物网站的网络下载速度太慢使消费者等待产品信息的时间受到拖延等等。

### 2.2 直觉价值

Oliver and DeSarbo（1988）指出顾客知觉价值是源自公平理论（Equity theory）的基础概念，当顾客产出及投入比例（Outcome to input ratio）高于供货商，顾客自然感到物超所值，所感受到的价值也较高。从顾客面的观点来看，顾客知觉价值是顾客在消费过程中根据自身对产品的付出与接收到产品效用评估，代表着付出和获得的一种抵换关系（Trade-off）。

#### (1) 知觉功利性价值。

Overby and Lee（2006）将功利性价值被定义为功能效益与牺牲的总体评估（判断）；其认为，功利性价值与网络购物的任务是有特殊相关性的（例如：购买产品前审慎考虑产品的内容、服务与价格等）。基于上述对知觉风险与知觉功利性价值的文献探讨可知，消费者在网络购物时会根据网络购物时所提供给其的知觉利益、成本和风险对整体在线交易进行综合性评价后再决

定是否购买（Wood & Scheer, 1996）。

综上所述，本研究提出假设 H1 至 H3 如下：

H1：知觉财务风险显着负向影响消费者网络购物时的知觉功利性价值。

H2：知觉产品风险显着负向影响消费者网络购物时的知觉功利性价值。

H3：知觉时间风险显着负向影响消费者网络购物时的知觉功利性价值。

## （2）知觉享乐性价值

Overby and Lee（2006）将享乐性价值被定义为体验效益和牺牲（娱乐和逃避现实）的整体评价（判断）；其认为，消费者在购物时会透过先前的购物经验来提升、评价当次的购买体验，而非只是执行简单的购物任务。相关研究则认为，享乐性主义价值较偏向个人情感。（Hirschman & Holbrook, 1982）。综上所述，本研究提出假设 H4 至 H6 如下：

H4：知觉财务风险显着负向影响消费者网络购物时的知觉享乐性价值。

H5：知觉产品风险显着负向影响消费者网络购物时的知觉享乐性价值。

H6：知觉时间风险显着负向影响消费者网络购物时的知觉享乐性价值。

## 2.3 再购意愿

Holloway et al.（2005）认为再购意愿为消费者再次购买某项商品或服务的可能性，当消费者于购后实际认知价值符合预期或高于事前预期时，即会产生顾客满意度，进而产生再购意愿或是向他人介绍或口碑推荐之行为。基于上述推论，本研究提出研究假设 H7 与 H8：

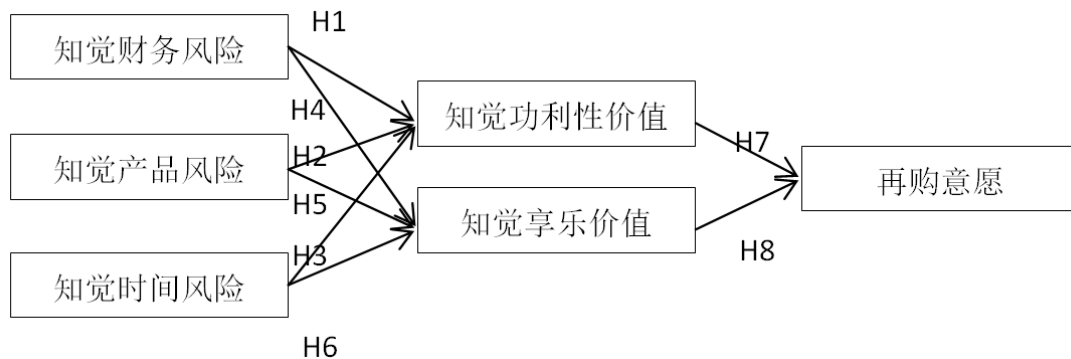
H7：网络购物的知觉功利性价值显着正向影响消费者再购意愿。

H8：网络购物的知觉享乐性价值显着正向影响消费者再购意愿。

# 3. 文献回顾

## 3.1 研究框架

基于假设推论，本研究提出以下研究架构。其中，自变量为知觉风险（财务风险、时间风险与产品风险）；依变量为知觉价值（知觉功利性价值与知觉享乐性价值）与再购意愿；调节变量为消费者性别。详细如下图一。



图一 研究架构图

### 3.2 变量操作性定义与问卷设计

本研究以国内外学者所建议之操作性定义与衡量为基础，并加以改编成为本研究问卷，藉以量测研究架构中各潜在变量。研究问卷共有五个部分，其中第一部份是用以审核受测者资格，第二至第四部份则是研究架构中各潜在变量衡量，第五部分则是受测者基本数据。

### 3.3 数据分析方式与工具

本研究采用 Smart PLS 2.0 结构方程分析软件进行以下各项分析：首先透过验证性因素分析以了解本研究问卷之信度与效度；此后再进一步采用结构模型分析，以分析本研究架构中假设 H1 至 H8 是否受实验数据支持；最后则透过多群组分析，验证性别差异是否会造成知觉功利性与知觉享乐性价值对再购意愿之影响是否有显著调节效果。

## 4. 文献回顾

本研究以统计分析软件进行结构方程模式分析，主要分为以下几点进行分析（1）首先藉由以量测模型进行验证性因素分析确认各潜在变量信度与效度；（2）接续以结构方程模型验证整体结构模型适配度与研究假设验证；（3）最后藉由多群组分析检定确认调节变量之效果（Moderating effect）。

### 4.1 样本搜集与基本数据

本研究受测者的为具备网络购物经验之消费者。以在线问卷调查搜集受测者响应，经由一个月回收期，共回收 400 份问卷，再藉由问卷中受测者条件确认与两题侦错题判别无效问卷；扣除无效问卷后共得 325 份有效问卷，有效率为 81.25%。Bentler and Chou (1987) 建议，样本数量至少应达到估计参数 5 倍，若可达到估计参数 10 倍则更符合要求，单一结构方程模型至少应有 100 个样本数，若能达到 200 个样本数则更合于结构方程模型分析。基于上述，本研究之有效样本数为 325 份，符合学者所提出之建议。

### 4.2 结构模型与假设验证

由结构方程模型（SEM）估计各个变量之间的路径关系，其路径值采用标准化路径系数，由 Smart PLS 2.0 分析软件之统计报表得知，本研究之结构模型路径分析系数分别为知觉财务风险→知觉功利性价值（-0.178）；知觉产品风险→知觉功利性价值（0.129）；知觉时间风险→知觉功利性价值（-0.262）；知觉财务风险→知觉享乐性价值（-0.241）；知觉产品风险→知觉享乐性价值（0.036）；知觉时间风险→知觉享乐性价值（-0.163）；知觉功利性价值→再购意愿（0.505）；知觉享乐性价值→再购意愿（0.215）。基于此可知，本研究假设 H1 至 H8 除假设 H2 与假设 H5 之外，其他六个假设皆受到支持。

表 3 结构方程模式评估与假设验证

Path	Coefficient (S.E.r)	t-value	Sig.	Cohen's f <sup>2</sup>
知觉财务风险→知觉功利性价值 (H1)	-0.178	-2.289	*	0.024
知觉产品风险→知觉功利性价值 (H2)	0.129	1.768	---	0.013
知觉时间风险→知觉功利性价值 (H3)	-0.262	-3.463	***	0.054
知觉财务风险→知觉享乐性价值 (H4)	-0.241	-3.353	***	0.044
知觉产品风险→知觉享乐性价值 (H5)	0.036	0.549	---	0.001
知觉时间风险→知觉享乐性价值 (H6)	-0.163	-2.190	*	0.021
知觉功利性价值→再购意愿 (H7)	0.505	9.834	***	0.281
知觉享乐性价值→再购意愿 (H8)	0.215	3.930	***	0.051
$R^2$	0.435			
Adjusted $R^2$	0.432			

\*  $p < 0.05$ , \*\*  $p < 0.01$ , \*\*\*  $p < 0.001$



## 5. 结论

首先，在知觉风险与知觉价值的负向影响方面，本研究发现仅知觉财务风险、知觉时间风险对消费者知觉价值有显著负向影响；也就是说，越高的知觉财务风险与知觉时间风险将会显著造成消费者网络购物知觉价值的降低。基于此，本研究提议网络购物者可透过营销技巧来降低消费者网购时的知觉财务风险与知觉时间风险，以增加消费者网络购物的知觉价值。例如，在降低知觉财务风险方面，可提供消费者更为安全的付款机制（如：第三方支付）、网站页面上说明个人资料保护政策与提供商品险等方式，以期有效降低消费者在网络购物时的知觉财务风险；此外，在降低时间风险方面也可以透过提供更简洁的网站页面、更快搜寻到所需商品的搜索引擎与简化订单流程等方式，减少消费者在整个网络购物时所损失的时间。

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# 大学生社会责任意识、绿色生活方式对主观幸福感的影响： 兼论反思道德关注的调节效果

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## 摘要

全球化成为时代主题的当下，地球村理念已经深入人心，经济快速发展，环境问题随之而来。建设绿色城市，培育公众的绿色消费观念，倡导绿色生活方式。当代大学生身为我国最年轻的一批高素质人才，有义务去保护我们的生态环境。本研究立足中国社会背景，以中国大学生为观察入口，从大学生视角出发，试图在社会责任意识与其主观幸福感之间探索一种合理的关联，同时以绿色生活方式作为其中介变量，以反思道德关注为调节变量进行研究。通过实证分析得出研究结果：社会责任意识对主观幸福感具有显著正向影响；绿色生活方式对主观幸福感具有显著正向影响；反思道德关注在社会责任意识与主观幸福感之间具有显著的正向调节作用。

**关键词：**社会责任意识、绿色生活方式、主观幸福感、反思道德关注

## 1. 引言

高校作为实施高等教育的组织机构，加强对大学生的资源环境国情和生态价值观教育，培养大学生的环境意识，推动大学生形成绿色生活方式和消费模式，进而推动大学生形成绿色发展理念，确保大学生在生活中及工作后对我国生态文明建设做出应有贡献，是高校肩负的神圣使命，也是高校义不容辞的责任和义务（贺玮，2016）。而要高质量完成这项任务，首先需要准确了解大学生绿色生活方式的现实状况。

同时，资本主义的入侵和各种文化思潮的影响也在不断地冲击着大学生的思想道德，那些倡导物质至上、财富决定论的价值观给大学生的心灵抹上了一层腐蚀剂，这对于处在校园环境里的大学生而言，经济水平的匮乏、物质攀比的严重倾向、思想成熟度低下等现象难以满足其内心的需求，因而主观幸福观严重低下（何强，2011）。大学生是国家的栋梁，若大学生的主观幸福感长期持续偏低，势必会影响其对未来梦想的追求，也必将无法担任起建设美丽“中国梦”的责任。

社会公众和学术界认为大学生的道德越来越重要，人们对大学生的评价也存在着太多个人主观性，就势必造成对大学生道德的评价的泛滥和不公正，势必影响大学生的道德向健康的方向发展。反思对大学生的道德评价，重构大学生道德评价迫在眉睫（李敏，2016）。本文将反思道德关注作为调节变量加入到整体架构中，反思道德关注是一个新兴的理论，仍在起步阶段，

同时国内对该理论的研究更是缺乏系统性。因此本研究从大学生自身的绿色生活、社会责任与道德观念角度出发,研究社会责任意识对主观幸福感的影响作用,以期填补反思道德关注理论上的空白。

## 2. 相关理论与假设提出

### 2.1 社会责任意识的概念与测量

陆军恒(2011)在人民日报上曾发表《培养社会责任意识》一文中提到对社会责任意识的认识,认为社会责任意识是个人的自觉意识,这种意识是社会个体对于自身角色承担的社会职责、义务和使命等的自觉认知,是个人正确处理自己与他人、与社会关系的行动指南,也是对他人的、对社会负责的基本思想观念。孟炎与汪瑄琪(2010)则认为社会责任意识除了是一种自律意识外,还是一种人格特征,是社会个体或群体为了创造美好生活而主动承担职责的自觉意识。

本文认为社会责任意识的概念有广义和狭义之分,不能泛化。从广义上讲,包含个人对家庭、对他人、对集体、对社会、对国家、对自然等的责任,从狭义上讲,是对国家、对人民、对自然的义务。而笔者的论文是从狭义角度理解和阐述社会责任意识的,认为社会责任意识即个人对国家、对人民、对自然所应担当的的责任的认识、情感及行为意向,具有他律性与自律性相统一的特点,是健康人格的重要指标,也是个体社会化的必要前提。

在社会责任意识的测量方面,采用(王准,2017)针对大学生社会责任量表,同时本文结合研究样本的实际情况,在该量表的基础上增加1个题项:“我会倡导更多的同学或同事参加公益活动”。每个题项均采用李克特(Likert)五点计量尺度。

### 2.2 主观幸福感的概念与测量

中国传统文化中关于幸福的思想非常丰富,其最大的一个特点是主张道德即幸福。所谓道德即幸福,大体包含两层意思:一层意思是指道德等于幸福,如果一个人行为有德他就得到了幸福,而行为无德则无幸福可言;另一层意思则是指道德高于幸福(赵军政,2003)。人生的最高目的是道德,而幸福,只不过是达到这种最高目的的一个附属品而已。资本主义社会的开始,人们冲破了中世纪的思想禁锢,坦诚地承认了人的自然欲望就是人的本性,利益的满足和享乐的实现就是幸福(鞠星,2012)。

Diener(1984)所谓主观幸福感是指个体依据自己设定的标准对其生活质量所作的整体评价,是衡量个人生活总体质量的重要综合性心理指标。Singer and Ryff(1999)幸福不仅是获得快乐,而且包括了通过充分发挥自身潜能而达到完美的体验。Andrews and Withey(1976)提出主观幸福感具体表现在以下三个方面:认知评价(生活满意度)、正向情感、负向情感。

综合以上国内外具有代表性的学者对主观幸福感概念的界定与研究结果,本文决定采用Diener(1984)的观点:主观幸福感是评价者依据自身设定的标准对其生活水平和生活质量的综合性评估。

在主观幸福感的测量方面,本文采用段建华(1996)修订的美国国立卫生统计中心制订的总体幸福感量表(Fazio,1977),修订后量表的内部一致性系数为0.85,分量表与总量表的相关在0.56~0.88之间,此量表在近年来被广泛的使用。同时本文结合研究样本的实际情况,在该量表的基础上,在满足与兴趣的维度中增加1个题项:您是否觉得学业或事业比较顺利?每个题

项均采用李克特 (Likert) 五点计量尺度。

### 2.3 绿色生活方式的概念与测量

绿色生活方式是指尽量少地排放温室气体、低能量、低消耗的一种生活方式，代表着更健康、更自然、更安全的生活，同时也是一种低成本、低代价的生活方式 (晓洛, 2010)。低碳生活对于我们普通人来说是一种态度、一种行动，而不是能力、口号。我们应该积极提倡并去实践低碳生活，注意一言一行，从小事做起，从点滴做起。哥本哈根气候变化峰会被人评价为“有史以来最重要的会议”、“改变地球命运的会议”等。这个会议让我们开始对当前的生活方式进行反思。我们要倡导全体人民主动约束自己，改善自己的生活习惯，为社会、为子孙后代做出贡献。当然，低碳生活并不是让我们回到原始社会，而是要更合理地利用资源、节约能源，从生活中的小事做起，尽到自己的一份力 (李玲, 2010)。

在绿色生活方式的测量上，本文借鉴苏白莉与苏楠 (2011) 根据绿色生活方式的特征，所设计的量表，将问卷的 16 道题目大致分为了四类，即简单 (simply)、节约 (reduce)、环保 (ecological)、健康 (healthful)，本文结合本文研究样本的实际情况，在该量表的基础上，在简单维度中，添加 1 个题项：“我会将我的生活环境布置的较为简单”，在节约维度中，添加 1 个题项：“在没有必要的情况下，我不会买太多新衣服”，在环保维度中，添加 1 个题项：“我会积极做到垃圾分类，并鼓励身边的人这样做”，以便测量调查者的真实情况。每个题项均采用李克特 (Likert) 五点计量尺度。

### 2.4 反思道德关注的概念与测量

个体对道德或道德问题的关注程度存在着差异，这种差异由三个因素所决定：显著性、生动性、可及性。其中，一个认知框架的可及性是指这个框架能从记忆中被提取、用来识别外部刺激的迅速程度 (Higgins & King, 1981)。相较于暂时可得的来源，长期的、习惯性的可获得来源所形成的认知框架更易在认知中处于支配地位，会对外来刺激自动地进行道德评估和解读，也更易使用道德框架来反思日常经历 (Reynolds, Leavitt, & DeCelles, 2010)。Reynolds (2008) 认为应从长期的、易接近的来源所形成的认知框架或范畴这个角度对道德相关的概念进行界定，并提出了道德关注 (Moral Attentiveness) 这个概念，并将其定义为：个体长期地感知和思考日常经历中的道德或道德因素的程度。道德关注包含两个维度：感知道德关注 (Perceptual Moral Attentiveness)——个体自动地、无意识地识别和感知日常经历中道德方面信息的程度；反思道德关注 (Reflective Moral Attentiveness)——个体有意地、经常性地使用道德来反思日常经历的程度。两者的关注核心存在根本的区别：感知道德关注主要涉及信息的获取和编码；反思道德关注主要涉及内省和行动。本研究将采用 Reynolds (2008) 对反思道德关注的定义：个体有意地、经常性地使用道德来反思日常经历的程度。

在道德关注的测量上，本文借鉴 Reynolds (2008) 所开发的量表，截取其中的反思道德关注模块，反思道德关注包含 5 个项目，如“我几乎每天都会思考我的行为是否道德”、“我常常反思我的决策是否符合道德标准”等。

### 2.5 研究假设

随着大学生社会责任意识的不断增强，社会责任意识对于大学生自身的影响也越来越大，而主观幸福感是当代带学生追求的重要价值目标 (高婷婷等, 2016)，因此对于大学生社会责任意识对主观幸福感的影响具有强烈意义。刘海涛等 (2011) 在探究社会责任感对主观幸福感时以

817 名广州市大学生为研究对象，研究结果表明社会责任意识对总体主观幸福感起正向预测作用。基于此，本文提出假设 H1：

H1：社会责任意识对主观幸福感具有正向影响。

自 20 世纪 80 年代以来，随着经济的发展，“高碳”已经让地球不堪重负，环境问题日益突出。如温室效应、臭氧层破坏、酸雨、土壤侵蚀等等，严重威胁全人类的生存和发展。施依依与朱美芬（2012）在探究绿色生活与幸福感时指出，盲目的发展经济可能会带来环境污染、民众舒适度下降等现实问题，导致民众幸福指数下滑，而绿色生活是提高幸福感的有效选择。汤艳梅与耿柳娜（2017）在探究环保生活与主观幸福感的研究中表明：在消费主义思潮的影响下，虽然一部分大学生仍然推崇金钱与物质主义、强调感官享乐，但是参与环保，如节约能源、少吃外卖等能够有效提升大学生的总体幸福感体验。基于此，本文提出假设 H2：

H2：绿色生活方式对主观幸福感具有正向影响。

Reynolds (2008) 在研究中表明反思道德关注是指个体有意地、经常性地使用道德来反思日常经历的程度。Gils, Quaquebeke, Knippenberg, Dijke and Cremer (2015) 指出员工的道德关注在上级行为与员工行为之间起到调节作用。Schwartz (1977) 将道德关注描述为一种强烈的应从事亲社会行为的道德义务感，即应该从事利他、利社会的、正面积积极的行为，如亲环境行为。因此可以认为绿色生活方式与反思道德关注的交互肯能会对主观幸福感产生影响作用，从而在绿色生活方式与主观幸福感之间起到调节作用。基于此，本文提出假设 H3：

H3：反思道德关注在社会责任意识与主观幸福感之间具有显著的调节效应。

### 3. 研究方法

#### 3.1 研究对象与数据收集

1977 年恢复高考以来，中国大学生的数量不断攀升，大学生群体成为了为社会发展输送新鲜血液的主要群体，也是推动社会发展不可或缺的一部分（朱小楠，2015），大学生是社会的未来，其能否肩负起一定的社会责任直接关系到国家的发展（邵忍丽，2000），因此本研究以中国在校大学生为研究对象。北京是中国高校数量最多的城市，截至目前共 87 所（马楠，2009），对于大学生的研究具有很强的代表性，因此本次研究区域主要集中在北京市的大学进行调研，采用抽样调查。

为了验证问卷的信度与效度，在做正式问卷之前，发放并收集 30 份前测问卷，以网络问卷形式发放。对于区域性调研，受试人数在 300-500 人较为适宜（吴明隆，2003），因此在正式问卷时，为了降低研究产生误差的概率，同时提高研究的广泛性与代表性，本文拟发放 300 份调研问卷。如今网络问卷非常便捷高效，为了提高调研效率，发放的问卷中，250 份为网络问卷，50 份为纸质问卷。回收数据后通过 SPSS 与 AMOS 软件进行数据分析。

#### 3.2 数据分析方法

描述性统计分析。通过对各个变量下所收集数据的极大值、极小值、均值、标准差等指标，了解各变量数据的分布情况与波动性，从而对变量进行初步的分析。

信度分析。本文采用 Cronbach's  $\alpha$  系数检验问卷的信度。当 Cronbach's  $\alpha$  系数 $< 0.5$  时，表明量表信度非常不理想，舍弃不用；当  $0.6 < \text{Cronbach's } \alpha < 0.7$  时，勉强接受，最好增列题项或修改语句；当  $0.7 < \text{Cronbach's } \alpha < 0.8$  时，可以接受；当  $0.8 < \text{Cronbach's } \alpha < 0.9$  时，表

明量表信度高；当  $0.9 < \text{Cronbach}'a$  系数时，表明量表信度非常理想。

效度分析。本在在效度分析中采用验证性因子分析法，检验量表的聚合效度和区分效度。区分效度是指同一方法测量不同的内容应当有较高的区分度。区分效度的常用检验方法是用不同潜变量的平方根(AVE)与它们之间的相关系数进行比较来判断。如果两个潜变量的 AVE 平方根均大于它们之间的相关系数，则说明这两个潜变量有较好的区分效度。

回归分析。回归分析的目的是通过对大量的样本数据进行分析，以寻找变量之间的相互作用关系，并确定变量之间的数学关系式。同时对所确定的数学关系式的可信程序进行各种统计检验，以区分出对某一特定变量影响较为显著的变量和影响不显著的变量；利用所确定的数学关系式，根据一个或几个变量的值来预测另一个特定变量的取值，并给出这种预测或控制的精确度。

## 4. 实证分析

### 4.1 个人基本信息统计表

由表一可知，在有效问卷的 301 份中，有 142 位受访者为男性，占总体的 47.2%，159 位受访者为女性，占总体的 52.8%，因此本次调研中受访者男女比例接近 1:1，同时也反映出受访学校男女比例均衡。

从年级方面看，由于大四许多学生在校外实习，发放与回收问卷难度较大，因此仅针对大一至大三进行调研，从调研结果可以看出，三个年级的受访者数量均在百分之三十以上，各年级受访人数接近。

从受访专业看，电气类、经管类、艺术类、师范类的受访者比例均在 25%左右，表明受访者中各专业比例相当。

从参加社团的数量来看，受访者中参加 1 个及以下社团的由 171 人，占总人数的 56.8%，而参加 3 个以上社团的学生由 40 人，占总体的 13.3%表明多数学生仅参加一个社团。

从每年参加环保活动的次数上看，参加 1-2 次的学生由 140 人，占总体的 46.5%，接近一半，而参加 5 次以上的则仅有 51 人，占总体的 16.9。表明多数大学生具有环保意识，且部分大学生环保意识较强。

表一 个人基本信息统计表

变量	选项	样本数量	百分比	累计百分比
性别	男	142	47.2	47.2
	女	159	52.8	100.0
年级	大一	99	32.9	32.9
	大二	111	36.9	69.8
	大三	91	30.2	100.0
专业	电气类	71	23.6	23.6
	经管类	82	27.2	50.8
	艺术类	78	25.9	76.7
	师范类	70	23.3	100.0
参加社团的数量	1个及以下	171	56.8	56.8
	1-3个	90	29.9	86.7
	3个以上	40	13.3	100.0
每年参加环保活动的次数	1-2次	140	46.5	46.5
	3-4次	110	36.5	83.1
	5次及以上	51	16.9	100.0

#### 4.2 描述性统计分析

由表二可知，社会责任感的极小值为 1.7，极大值为 5，均值为 4.06，表明多数受访者较为认同该问卷题项，从侧面反映出大学生普遍具备社会责任感。绿色生活方式的极小值为 2.4，极大值为 5，均值为 3.92，表明绿色生活方式普遍在大学生群体中被认同，反思道德关注与主观幸福感的均值同样大于中位数 3，表明受访者对两变量中的题项较为认同。

表二 描述性统计表

变量	极小值	极大值	均值	标准差
社会责任感	1.7000	5.0000	4.060133	.5848122
绿色生活方式	2.4737	5.0000	3.928309	.4613955
反思道德关注	2.0000	5.0000	3.861794	.6224967
主观幸福感	1.8421	5.0000	3.865361	.5887545

#### 4.3 信度与效度检验

由表三可知，社会责任感的 Cronbach's  $\alpha$  系数为 0.861；绿色生活方式的 Cronbach's  $\alpha$  系数为 0.871；反思道德关注的 Cronbach's  $\alpha$  系数为 0.798；主观幸福感的 Cronbach's  $\alpha$  系数为 0.938。虽然反思道德关注的 Cronbach's  $\alpha$  系数为 0.798，略低于 0.8，但其变量仅有 5 个维度，且数据量较少，仅有 30 笔数据，因此可以认为反思道德关注量表具有良好的一致性。其他三个变量的 Cronbach's  $\alpha$  系数均大于 0.8，表明通过前测可知，本文所采用的研究量表具有良好的信度。

表三 信度分析

变量	Cronbach's $\alpha$	项数
社会责任感	0.861	10
绿色生活方式	0.871	19
反思道德关注	0.798	5
主观幸福感	0.938	19

由表四可知,  $\chi^2$  与自由度的比值为 2.814, SRMR 的值为 0.032, GFI 的值为 0.853, AGFI 的值为 0.832, NFI 的值为 0.882, IFI 的值为 0.889, RMSEA 的值为 0.062, 因此模型拟合度满足适配标准值。

表四 模型拟合度

验鉴指标	$\chi^2/df$	SRMR	GFI	AGFI	NFI	IFI	RMSEA
适配标准值	<3.00	<0.08	>0.8	>0.8	>0.8	>0.8	<0.1
拟合度指标数值	2.814	0.032	0.853	0.832	0.882	0.889	0.062

由表五可知, 社会责任感的 AVE 值为 0.504, CR 值为 0.863; 绿色生活方式的 AVE 值为 0.507, CR 值为 0.875; 反思道德关注的 AVE 值为 0.610, CR 值为 0.803; 主观幸福感的 AVE 值为 0.601, CR 值为 0.937, 由此可知, 四个变量的 AVE 值均大于 0.5, 且 CR 值均大于 0.7, 表明本文研究量表通过聚合效度检验。

表五 聚合效度检验表

	AVE	CR
社会责任感	0.504	0.863
绿色生活方式	0.507	0.875
反思道德关注	0.610	0.803
主观幸福感	0.601	0.937

由表六可知, 社会责任感的 AVE 值的平方根为 0.710; 绿色生活方式的 AVE 值的平方根为 0.712; 反思道德关注的 AVE 值的平方根为 0.781; 主观幸福感的 AVE 值的平方根为 0.776, 均大于其所有的相关系数, 因此可表明该调研量表的变量两两之间具有良好的区别效度。

表六 区别效度检验

	社会责任感	绿色生活方式	反思道德关注	主观幸福感
社会责任感	0.710			
绿色生活方式	0.614	0.712		
反思道德关注	0.210	0.658	0.781	
主观幸福感	0.431	0.555	0.350	0.776

#### 4.4 多元线性回归分析

通过表七模型 3 可知, F 值为 15.116,  $P < 0.001$ , 表明具有统计学意义, 调整后 R 方为 0.248, 表明模型中自变量对因变量具有一定的解释能力, 且对比模型 2 解释能力显著增强。从自变量角度看, 社会责任意识对主观幸福感仍具有显著正向影响, 同时社会责任意识与反思道德关注的交互项系数为 0.058,  $P < 0.001$ , 表明反思道德关注在社会责任意识与主观幸福感之间具有显著的正向调节作用。



表七 回归分析 (1)

	因变量：主观幸福感		
	模型 1	模型 2	模型 3
(常量)	3.828***	2.200***	2.384***
性别	-.028	-.072	-.074
年级	.098	.093	.088
专业	-.010	-.034	-.025
参加社团数量	-.091	-.053	-.039
每年参加绿色活动次数	.031	-.001	-.016
社会责任意识		.434***	.164*
社会责任意识*反思道德关注			.058***
$R^2$	.023	.204	.265
Adj. $R^2$	.006	.188	.248
$F$	1.372	12.567***	15.116***

注：\* = P<0.05; \*\* = P<0.01; \*\*\* = P<0.001

由表八可知，模型 2 中 F 值为 22.908, P<0.001, 表明具有统计学意义，调整后 R 方为 0.305, 表明模型中自变量对因变量具有较强的解释能力，从自变量角度看，绿色生活方式的系数为 0.702, P<0.001, 表明绿色生活方式对主观幸福感具有显著的正向影响。

表八 回归分析 (2)

	因变量：主观幸福感	
	模型 1	模型 2
(常量)	3.828***	1.122***
性别	-.028	-.035
年级	.098	.078
专业	-.010	-.021
参加社团数量	-.091	-.027
每年参加绿色活动次数	.031	-.012
绿色生活方式		.702***
$R^2$	.023	.319
Adj. $R^2$	.006	.305
$F$	1.372	22.908***

通过对收集的问卷数据采用描述性统计分析以及线性回归分析进行实证探究，由上述分析结果可知，社会责任意识对主观幸福感具有显著正向影响，因此假设 H1 成立；绿色生活方式对主观幸福感具有显著正向影响，因此假设 H2 成立；反思道德关注在社会责任意识与主观幸福感之间具有显著的正向调节作用，因此假设 H3 成立。

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## 探讨游客旅游动机、休闲涉入对重游意愿之影响

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### 摘要

近年来,随着旅游产业的不断推进,泰国曼谷旅游的大力宣传与推广,让泰国旅游业得到了迅猛的发展。面对泰国旅游地日益激烈的竞争的发展环境,研究游客旅游动机、休闲涉入与其重游意愿之间的关系,能提高泰国旅游的核心竞争力。在此基础上探讨了游客重游意愿和感知价值的关系。结果表明,泰国曼谷游客重游意愿与感知价值的精神价值关系密切。因此泰国今后发展的重点应放在提高游客精神方面的享受并增加娱乐性强、游客参与度高的旅游设施和项目方面。

**关键词:** 旅游动机、休闲涉入、感知价值、重游意愿

### 6. 绪论

目前旅游业对泰国经济的发展越来越重要,因为这是泰国巨大的国民收入来源。旅游业的发展不但给泰国人民创造了工作的机会,同时还带动了其他相关的产业。因此,把握旅游规划和加快国家旅游业的发展,增加入境旅游和游客的消费,是泰国政府对旅游业发展近几年来非常重视的问题。据泰国中华日报 2018 年 7 月报道 2018 年上半年旅游统计资料显示,入境游客总人数突破 1948 万,同比增长为 12.46%。其中中国仍是泰国最大的客源国,游客总人数达到 593 万。而在 2019 年 2 月份,泰国中华日报与泰国旅游商会在 TCT 发布 2019 年春节长假中国游客出境游预估报告指出,中国春节期间来泰中国游客人数相比 2018 年同期增长了 10%,达到 120 万。首都曼谷及几个热点旅游城市酒店入住率高达 90%,除了人数以外,旅游支出也将呈现高增长的状态。

根据《东方财富网》中泰国国家旅游局 2018 年报到,赴泰国际游客达到 3800 万人次,同比增长了 7.20%。其中,中国游客排名第一,达到 1050 万人次,同比增长了 7%,创下新高。2017 年赴泰旅游的外国游客总人数达到 3500 万人次,其中中国游客约占 980 万人次,与 2016 年同期相比增加了 8.77%,旅游业创收超过 1.82 亿泰铢(折合人民币为 3660 亿元人民币),增长 11.66%。

根据《世界》杂志的(“泰国国家旅游局 2019 年将持续推出“有品有质游泰国”)中国游客旅游的情况来看,最受中国游客欢迎的泰国目的地是曼谷、普吉岛、甲米、苏梅岛和清迈。泰国曼谷这个城市是中国游客旅游目的地的首要选择,它是泰国最大的城市,泰国的首都,也是泰国政治、经济、贸易、文化、社交、科技、教育等各方面比较发达的中心,每年曼谷作为国际组织活动的中心之一,举行多种国际会议。曼谷美丽的风景,众多的名胜古迹,发达的交通,繁荣的商业,先进的旅游配套设施,鲜明的民族特色以及浓烈的佛教文化艺术,使它成为著名的旅游城市。由此,继 2008 年和 2010 年后,2011 年泰国曼谷第三次被美国知名旅游杂志《Travel & Leisure》评为世界最佳旅游城市。由于同一客源地的旅游者去不同目的地旅游的动

机差异和在同一目的地旅游的来自不同客源地的旅游者的动机差异 (Paris, Teye, Correia, & Kozak, 2010)。本研究是针对泰国曼谷旅游的中国游客, 探究旅游动机、休闲涉入、感知价值对重游意愿的影响。

在旅游规划与管理中为了创建策略、提升质量和可持续性, Inskeep (2014) 提出旅游业需要考虑两个因素, 供给因素 (Supply Factors) 和需求因素 (Demand Factors)。供给因素就是接待游客的旅游设施、产品和服务; 需求因素就是游客。因此, 了解游客是一项重要的任务, 根据 Ross and Glenn (2010) 提出要了解游客, 最重要的因素是要了解游客的旅游动机与旅游感知。

旅游动机是旅游行为的触发器, 旅游者在旅游体验后的感知直接受到旅游者是以怎样的动机到达旅游目的地进行旅游的, 需要基于对旅游者心理需求和自身优势的了解, 这就要求我们收集一手数据去细致了解旅游者的出游动机, 其次, 根据中国国家的《旅游景区质量等级的划分与评定》(修 XGB/T17775-2003), 游客感知作为旅游景区(点)质量等级划分与评定的重要参考依据, 景区管理者才逐渐认识到提高游客感知的重要性。最后, 重游意愿又直接影响到旅游景区能否顺利发展的问题, 游客休闲涉入是否决定重游, 是否决定向别人推荐该旅游目的地。从 Baker and Crompton (2000) 的研究指出顾客或者游客的口口相传或口碑营销 (Word of Mouth) 是最好的广告方式, 尤其导致优秀的旅游形象和带来重游机会。

综合以上的论述, 本研究认为探讨游客的旅游动机、休闲涉入、感知价值对重游意愿的影响之间的关系研究具有重要意义, 并对于制定该旅游目的地的营销策略至关重要。

## 2. 文献综述

不断增强的背景下, 企业追求相对竞争优势的结果, 它的形成和发展, 主要建立在产品属性比较单一的基础上, 研究对象多是实物或工业产品, 20 世纪 90 年代以后, 随着学者们孜孜不倦的探索和实践活动的推进, 感知价值理论开始被引入到越来越多的领域, 如服务业、金融业、咨询业以及信息产业等领域。旅游学科顾客感知价值理论的引入大致起始于 20 世纪 90 年代中期, 饭店服务的研究开展得最早 (黄颖华、黄福才, 2007)。刘俊、成升魁、陈远生、蒋依依与李佳 (2008) 简略地回顾了大多数学者对顾客价值理论在旅游中的应用研究进展, 认为主要的研究内容集中在以下几个方面: 1. 应用的必要性, 竞争的不断加剧使得感知价值理论的应用成为获得竞争优势的唯一来源; 2. 旅游领域顾客价值的构成与测量; 3. 旅游领域顾客价值前向驱动与后续影响的关系; 4. 旅游领域顾客价值的创造与提升。

从上述的研究成果来看, 值得指出的是, 由于旅游活动或旅游产品形式的多样化, 导致了旅游者感知价值测量的一些内容既有相同的部分, 同时也存在一些差别, 这是由于研究者关注面的不同而产生的, 为了结合本研究的具体情况, 详细探寻旅游者的感知价值内容, 我们先对旅游者感知价值的基本内容进行分析。

(1) 旅游资源: 旅游资源是设计旅游产品的基础, 也是构成对旅游者吸引力的核心来源之一。中国的旅游规划初期, 主要的特点是以旅游资源为开发导向, 足以表明旅游资源是旅游者感知价值的核心内容之一。

(2) 旅游活动: 随着人们旅游经验的不断丰富, 已经不再满足于单纯的观赏, 体验的需求进一步对重游意愿需要加强, 一些参与性强、体验色彩浓厚的旅游活动能够极大地丰富旅游地的内容, 提升旅游地的竞争力。同时, 刘俊 (2003) 的研究成果表明, 创新的旅游活动能够吸

引旅游者再次前往某个旅游地游玩。由此可见，旅游活动也是旅游者所看重的内容之一。

(3) 感知成本：在旅游活动过程中，旅游者为了获得旅游商品和服务，需要支付一定数量的货币，这些货币支出就是旅游者主要的感知成本，不少研究成果表明，感知成本对旅游者的感知价值具有直接的、负向的影响，感知成本越高，感知价值越低(Zeithaml, 1988)。Bojanic(2011)指出的是，感知成本在较多实证类研究成果中，都是用“物有所值”的程度来表述的，因而也可以用“成本价值”进行表述。

(4) 情感价值：情感价值是旅游者从一次完整的旅游活动中所获得的愉悦和情感满足。Petrick (2004) 最先将旅游者的愉悦及情感满足与感知价值直接联系起来。另一些研究成果 Duman and Mattila (2005), Sanchez, Carrera, Brida, and Risso (2007) 表明愉悦感和旅游经历中所获得的乐趣，对感知价值具有显著的正向影响。Accinelli, Brida and Sanchez Carrera (2006) 指出情感的愉悦和满足是大多数享乐型消费的主要目的，随着旅游者的日趋成熟，已经从单纯的物质需要转向更高层次的精神需求，对旅游活动所能提供的情感价值也愈加重视起来。

(5) 旅游接待服务：在通常意义上旅游产品是由有形设施和无形的服务两个部分构成的，旅游接待服务质量的高低，直接影响旅游者的主观感受。Lee, Park, Park, Lee, and Kwon (2005) 通过实证发现旅游接待服务质量对旅游感知服务价值有重要的影响。Lin, Beldona, and Yoo (2012) 将旅游接待服务列为旅游者感知价值的重要内容之一。

综上所述，本研究将游客的感知价值定义为旅游过程中对产品或服务所提供效用价值的感受。

#### 重游意愿

意愿或意图，是指一个人主观判断其未来可能采取行动的倾向，一般认为行为意向受两个因素的影响，一个是主观态度，另一个是周边的环境因素。Ajzen (1988) 认为，个体每次在将想法变为行为前，都会经历一个选择的过程，而这个选择过程便是行为意向，代表了人们想进行某种行为的可能性。何占洲 (2012) 将行为意向划为三类，即：重复购买倾向、口碑和溢价购买倾向，他认为行为意向能很好的预测将来的购买行为。目前，对旅游者重游意向的研究比较少，冯强与程兴火 (2009) 对重游意向进行了定义，认为游客重游意愿是指游客到旅游地旅游后对于是否愿意再次到此游玩，并且乐意向身边的人推荐，进行积极的正面宣传的可能性。曾武灵、汪克夷与李珊珊 (2011) 在研究中也对游后重游意向作了界定，她的界定主要借鉴了陈海波 (2010) 对购后再购意向的定义，认为消费者在体验的相关产品、服务或企业后，可能采取的再购行为、推荐意愿及交易意愿。以上两个定义都侧重于旅游者的重游意愿倾向。

综合过去学者的研究，本研究将重游意愿定义为主要通过推荐亲朋好友意愿和自己重游意愿。活动参与次数、参加项目与是否使用过与购买过运动穿戴式装置之参与者在涉入程度、知觉价值与购买意愿有明显差异。李纯雯 (2007) 以台北市民生小区发展协会休闲运动学员为对象探讨休闲涉入与休闲效益之关系，结果显示休闲涉入的程度会影响休闲效益，而休闲效益也会影响参与者再次投入的程度。

庄如倩 (2010) 探讨游客涉入程度、知觉价值、活动体验对行为意图之关系，并以涉入程度量表、知觉价值量表、活动体验量表与行为意图量表做为研究工具，以立意抽样法进行取样，发现涉入程度、知觉价值、活动体验与行为意图四者间具有显著正向的影响。

### 3. 结论

本研究主要探讨游客旅游动机、休闲涉入、感知价值与重游意愿之文献探讨。

#### 3.1 休闲涉入与重游意愿之相关研究

范启敏（2007）休闲农场游客活动涉入及场所依恋与再游意愿研究结果为游客对休闲农场之活动涉入会正向影响其对休闲农场之场所依恋；游客对休闲农场之场所依恋会正向影响其对休闲农场之再游意愿；游客对休闲农场之活动涉入会正向影响其对休闲农场之再游意愿。

林怡君（2008）游客涉入程度、服务质量与行为意图之相关研究结果发现，游客涉入程度会正向影响服务质量；游客涉入程度会正向影响行为意图。

黄于庭（2008）以台中市大坑登山步道的登山健行者以问卷调查休闲涉入与心理承诺关系之研究，发现登山健行者休闲涉入对心理承诺具有显著正向的影响存在，且登山健行者的休闲涉入越多，则会反映在心理承诺会越趋向正向的表现。

许龙池与郑峰茂（2008）探讨参与 97 年高雄市龙舟竞赛活动游客休闲涉入与参与满意度关系之研究，指出活动游客的休闲涉入显著的直接影响参与满意度，显著的间接影响游客的游后行为。

综上所述，在休闲涉入的研究中，研究结果显示休闲涉入与各研究变项大都呈现正相关影响，由此可知涉入程度的高低，已成为影响重游意愿的重要因素。

#### 3.2 感知价值与重游意愿之相关研究假设

刘辉与宋福丽（2009）在对经济型酒店进行研究时发现，顾客感知价值是对重复购买意愿影响最大的因素，不仅对重复购买意愿产生较大的直接影响，也通过顾客满意和转移成本产生间接的正向影响。

陈海波（2010）综合大多学者对顾客感知价值和重游现象的研究成果，最早将感知价值和重游意愿结合在一起研究，以凤凰古城的游客为研究对象，将旅游者感知价值分为四个维度：旅游资源与服务、旅游活动、成本价值和情感价值，并细致分析了各个细分人群在感知价值维度上的差异情况，在此基础上，通过回归分析、交叉分析、方差分析等分析手段，得出游客感知价值对旅游者重游意愿最为显著。

李明儒、郭家瑜与林菁真（2013）在澎湖渔村观光其游客意向之研究中，游客的知觉价值是影响满意度与再游意愿的关键因素，当游客感受到其付出与得到之间有所平衡，而认知到旅游有其价值并感到满意，如此便提高再游的意愿。

陶敏（2014）对黄山风景区的游客感知价值进行了测量，经分析后发现，货币成本感知价值、资源价值、效用价值对游客总体感知的影响最为显著，游客总体感知价值对游客重游意愿影响最大，游客满意对游客推荐意愿影响最大。

#### 3.3 旅游动机、感知价值与重游意愿之相关研究

宋永坤与宋源烽（2011）以外国观光客为对象，探讨知觉价值及忠诚度间的关系时，以会建议给亲朋好友等 6 个题项构成忠诚度，结果发现知觉价值能影响观光客之忠诚度。

谢金燕（2003）探讨宗教观光吸引力、满意度与忠诚度关系之研究中发现，旅游动机对吸引力无显著正向影响；认知价值对吸引力有显著的正向影响；吸引力对满意度有显著的正向影响；吸引力对忠诚度有显著的正向影响；行前期望对满意度无显著影响；实际体验对满意度有

显著的正向影响；满意度对忠诚度有显著的正向影响。

吴宝秀（2011）于宗教之旅的旅游动机、旅游意象与旅游效益间关系之研究—以泰国曼谷9间寺院礼佛活动研究中发现，不同的旅游动机对不同的旅游意象有不同的感受；不同的旅游意象对不同的旅游效益有不同的感受；不同的旅游动机对不同的旅游效益有不同的感受。

潘韵文（2012）于大陆来台旅客旅游动机、服务质量、知觉价值与行为意图关系之研究中发现，旅游动机对知觉价值无显著正向的影响；服务质量对知觉价值有正向影响；服务质量对行为意图有正向影响；知觉价值对行为意图有正向影响；旅游动机对行为意图无显著正向影响。

### 3.4 休闲涉入、感知价值与重游意愿之相关研究

张家铭、林丽娟与张良汉（2007）针对高雄市与屏东市小学四和六年级学童，以问卷调查休闲涉入与休闲体验关系之研究，发现小学学童对休闲涉入与休闲体验上是属于高度正面倾向，休闲涉入与休闲体验成高度正相关。

朱美连（2007）台南市四个一级古迹景点的游客涉入、体验、满意度与忠诚度关系之研究显示，1. 游客怀旧倾向正向影响涉入、涉入正向影响体验、体验正向影响满意度及忠诚度、满意度正向影响忠诚度；2. 怀旧倾向间接影响体验、涉入间接影响满意度及忠诚度；3. 涉入在怀旧倾向和体验间有中介效果、体验在涉入和满意度间有中介效果、体验及满意度在涉入与忠诚度间有中介效果。

江明桦（2005）从旅行社从业人员对相关业务及旅游网站的涉入程度，来探讨其对旅游网站满意度与再购意愿间的影响关系，其结果显示涉入程度与满意度间呈现正向关系。

吴妍仪（2011）当消费者对于产品有高度关心时，会主动收集相关信息，消费者若加强对产品的关注、涉入程度，则对知觉价值正向提高，并使得购买意愿提升。

钟政伟（2008）旅客涉入程度、知觉价值、满意度与购后行为意图关系之研究—以台湾观光列车为例，客的涉入程度将可正向影响商品的知觉价值与购后行为意图，但对于满意度则为负向；而且知觉价值无法直接影响购后行为但可透过满意度产生中介的效果。

本研究主要针对游客到泰国旅游作为本次调查的母群体，主要在探讨游客旅游动机、休闲涉入、感知价值与重游意愿之影响。在对游客的调查统计数据整理分析得知，游客来到泰国旅游对当地的文化资源、地方特色、旅游导览、当地接待、交通服务、当地特产及可享用当地的各种美食等。对本次的研究结果显示，来到泰国旅游的游客对于当地的文化及环境部分感受程度最高。

根据本次的研究结果可以看出，来泰国旅游的女性占比为 59.57%，男性占比为 40.43%。文化水平趋于本科学历较多，他们旅游的方式选择自助游的游客达到 87.23%，而选择跟团旅游的游客达到 12.77%。

根据实证研究可知，在对旅游动机中“我想可与别人分享此次旅游经验”与“我想让身心放松纾解压力和紧张”两项进行分析得出，去泰国曼谷旅游的游客更主要的目的是缓减自己的精神压力和工作带来的紧张感。所以更多的女性选择来泰国旅游。整体而言游客旅游动机与重游意愿存在显著相关，针对子构面的部分进行 Pearson 积差相关分析，其中以心理动机最高，其他依序为知识动机、社会动机显示出来到泰国旅游之游客对于心理状况因素感受越深或到泰国消费经济动机有所感受，其重游意愿则越高。

泰国旅游游客对于休闲涉入的认知程度由高至低变项的顺序为：吸引力>中心性>自我表

现。由此结果可知，在吸引力此变项中对于游客而言是最重要的。而在变项中最低为自我表现题项最低以“看到别人参与休闲我可以侃侃而谈”，而此题项亦为休闲涉入量表中数值最低分。本研究以休闲涉入之“吸引力”、“中心性”、“自我表达”三各变项做为预测变项，观察对地方依附、重游意愿之间的影响力，研究发现「休闲涉入」对「地方依附」具有正向显著影响，其中休闲涉入各变项对地方认同以「吸引力」影响最大；而在休闲涉入各变项对地方依赖中以「中心性」影响最大。「休闲涉入」对「重游意愿」则具有正向显著影响，其中休闲涉入各变项对重游意愿以「自我表达」影响最大。

游客对泰国旅游感知程度较高，本次研究主要针对泰国的旅游作为典型案例进行分析，由于每个游客的感知价值是复杂不一的，其旅游需求中也存在多样性，不同类型不同发展重点的乡村旅游地游客的感知也会有区别，因此研究有一些不足和需要改进的地方，对于游客泰国旅游社会价值的评价，是否在其他地方也表现一致？是否还有重游意愿。

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# 体验营销对顾客公民行为及品牌忠诚影响之研究：以主观幸福感与品牌认同为中介变项，自我一致性与主动性人格为调节变项

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## 摘要

面如市场竞争如此激烈状况下，品牌忠诚以及消费者参与企业价值链循环的程度更显得重要。目前学者们对顾客公民行为这种角色外行为以及品牌忠诚的研究仍相对有限，故本研究将以主观幸福感和品牌认同为中介变项，以自我一致性与主动性人格为调节变项，探讨体验营销对顾客公民行为以及品牌忠诚之间的关系，并建构一研究框架，以作为后续实证研究的基础。

**关键词：**体验营销；顾客公民行为；主观幸福感；自我一致性；主动性人格

## 1. 绪论

何临青(2018)认为新零售业务的企业需要从线上线下整合、数字解决方案、提升客户亲密度、产品创新升级等四个方面来打造可持续的商业模式。新零售的一个特点就是生活化、体验化，消费者参与企业价值链循环的程度越来越高，并表现出越发重要的作用。顾客公民行为已经成为衡量企业成功与否的重要标准(张浩，2018)。企业把顾客当做兼职员工，无形中让顾客起到了推广的作用，不但有利于企业降低成本、吸纳新客户，而且通过培养顾客认同和顾客承诺，促使顾客产生公民行为，是帮助企业获得独特竞争优势的有效手段(刘倩，2016)。就现有研究而言，大部分学者仍普遍关注对顾客参与的研究，然而，目前学者们对顾客公民行为这种角色外行为的研究仍相对有限，故本研究将以主观幸福感和品牌认同为中介变项，以自我一致性与主动性人格为调节变项来研究顾客在体验营销模式下是否会更容易促使其顾客公民行为以及品牌忠诚的产生，并且是否会受到自我一致性及主动性人格的调节作用。依据上述研究背景，本研究提出下列研究问题：(1)探讨体验营销是否会对主观幸福感产生影响？(2)探讨体验营销是否会对品牌认同产生影响？(3)探讨自我一致性在体验营销对主观幸福感的关系中，是否会具有调节效果？(4)探讨外倾性人格特质在体验营销对品牌认同的关系中，是否具有调节效果？(5)探讨主观幸福感是否会对顾客公民行为产生影响？(6)探讨主观幸福感是否会对品牌忠诚产生影响？(7)探讨在主观幸福感对顾客公民行为的关系中，主动性人格是否具有调节效果？(8)探讨在主观幸福感对品牌忠诚的关系中，主动性人格是否具有调节效果？(9)探讨品牌认同是否会对顾客公民行为产生影响？(10)探讨品牌认同是否会对品牌忠诚产生影响？

## 2. 文献综述

### 2.1 体验营销

#### 2.1.1 体验营销之定义

Schmitt(1999)认为体验营销是个别顾客经由观察或参与事件后，感受到某些刺激，并诱发出

动机而产生思维认同或购买行为。Maghnati, Ling and Nasermoadeli (2012)认为体验营销就是通过创造给消费者带来新的体验,它能够激发消费者感官和思想上的兴奋,思想和思想的激动,并为消费者的心目中留下难忘的快乐记忆。王昱钧(2014)将体验营销定义为企业以产品为载体,以服务为舞台,站在消费者的感觉、情感、思维、行动和关系的角度以为顾客营造难忘的、值得回忆的体验作为工作重点,以满足消费者的体验需求为目的而开展的一系列营销活动。因此本研究采用王昱钧(2014)的定义作为本研究体验营销定义。

### 2.1.2 体验营销之衡量

Schmitt (1999)从心理学的角度提出了一个构建体验营销框架的模型(Strategic Experiential Modules; SEMs),他认为消费者的感官、情感、思维、行动、关系5个模块共同构成了体验营销的主体框架。Liu (2016)认为体验营销可以分为五个构面来衡量分别是:感官体验主要关注消费者的感官如视觉、听觉、嗅觉、味觉和触觉,以此来触发顾客的购买动机;情感体验是要触动消费者的情感,创造情感体验,引导消费者从对某品牌略有好感到强烈的偏爱;思维体验是一个新的思维方向它允许消费者重新评估和重新考虑新产品和服务的好处。行动体验注重强调消费者在改变其身体,习惯和生活方式后会经历改变的结果。关系体验需要考虑的事情不仅仅是顾客的私人感受,因此需要将消费者个人之外的事情联系起来(Schmitt, 1999; Liu, 2016; 闫承恂, 2017)。

## 2.2 主观幸福感

### 2.2.1 主观幸福感之定义

目前学术界比较认可的是 Diener (1984)对主观幸福感的界定,即主观幸福感是指人们以自己主观而非客观上的标准为依据对其生活各领域满意度的界定,是对自己生活质量满意程度和情感体验方面的评价包含情感成分与认知成分。Lucas, Oishi and Diener (2016)将主观幸福感定义为人们对他们生活和情感体验的总体评价。Fitzgerald, Bias and Gurley-Calvez (2017)认为消费者幸福是一个有关健康、快乐与繁荣的蓬勃发展的状态。因此本研究采用 Lucas *et al.* (2016)的定义,将主观幸福感定义为人们对他们生活和情感体验的总体评价。

### 2.2.2 主观幸福感之衡量

目前来看最早的测量主观幸福感的量表是 Neugarten and Havighurst & Tobin (1961)发表的生活满意感量表(LSI),这个表的测量维度包括心理、身体、社会关系、目标与期望的一致性等维度。Kozma and Stones (1980)认为仅依靠短期内情感状况不一定能完全反映主观幸福感,因此他们编订了纽芬兰纪念大学幸福度量表(MUNSH)从短期和长期两个方面评价被测者幸福感。Diener, Emmons, Larsen and Griffin (1985)发表的生活满意感量表(SWLS)这个量表是一种多项目总体满意感量表,对于总体的生活质量满意感的把握要比以前的量表更好,因此在国外成为了测量主观幸福感常用的量表(Steel, Taras, Uggerslev & Bosco, 2018)。

## 2.3 品牌认同

### 2.3.1 品牌认同之定义

Bhattacharya and Sen(2003)将品牌认同定义为一种积极的选择性和意志的行为,出于满足一个或多个自我定义的需要。品牌认同时指消费者对一个品牌的确定(Bergami & Bagozzi 2000)。蒋郭彦(2015)将品牌认同定义为消费者认为此特定品牌的形象与自身个性符合且因为此品牌的关系其消费者愿意去购买该品牌之产品服务并将个人风格有效展现。因此本研究采用蒋郭彦(2015)定义,将品牌认同定义为消费者认为品牌的形象与自身个性符合且因为该品牌的关系消费

者愿意去购买该品牌的产品以及服务从而将个人风格有效展现。

### 2.3.2 品牌认同之衡量

朱培宏与欧淑琦(2014)的将品牌认同视为单一构面。Aaker (1996)指出品牌管理人最重要的一项任务,就是要建立一个参考架构,让消费者可以根据这个架构来评估和判断该品牌。一位品牌负责人如果想要让该品牌的认同具有深度和广度,必须将品牌化分为四种不同概念,就是产品、企业、人、符号(林伽珊, 2014)。因此本研究将产品、企业、人及符号整合放入问项当中。

## 2.4 自我一致性

### 2.4.1 自我概念之定义

由于自我一致性指的是自我概念与产品或地点或人印象的一致性程度(黄金碧, 2014),因此先定义自我概念(Self-Concept)再探讨自我一致性与消费者行为之间的相关文献。黄金碧(2014)定义自我概念是以本身自己对自己个人的看法与形容自己本身的方式。钟沛桦(2014)将自我概念定义为个体对自己本身所拥有的特质,以及自己如何评价这些特质所持有的信念。因此本研究采用黄金碧(2014)定义,将自我概念定义为对自己个人的看法与形容自己的方式,将自我一致性定义为消费者本身自己对自己个人的看法与形容自己本身的方式与华为手机的形象或华为品牌形象之间的一致性程度。

### 2.4.2 自我一致性之衡量

自我概念在于消费者行为领域,在不同学者研究所认定中,衍生出多种分类,而学者 Sirgy (1982)整理多项研究自我概念与消费者行为两者关系的相关文献里,将自我概念归纳为完整的架构,主张将自我概念分为四个面向,真实自我、理想自我、社会自我、理想社会自我。Malär, Krohmer, Hoyer and Nyffenegger (2011)将自我一致性分为真实的自我一致性与理想的自我一致性,真实自我指个人对自己主观的认知,也就是个体觉得自己是怎样的人;理想自我指个人所希望达成理想的形象,也就是个体希望自己成为怎样的人。

## 2.5 主动性人格

### 2.5.1 主动性人格之定义

Bateman and Crant (1993)首次提出了主动性格人(proactive personality)这一个概念,主动性人格是指个人具有较不受情境力量所局限,而表现出以积极的行动,以影响及改变其环境的性格倾向。主动性人格描述的是一个自我启动和前瞻性思维的人,并且积极参与旨在改善整体终身成果的行为(Parker, Williams, & Turner, 2006)。Maurer and Chapman (2018)认为主动性人格反映了自我启动和前瞻性的行为,积极地旨在改善成果,并与追求目标和适应环境,并应对可能涉及重大生活转型的挑战。因此本研究采用 Maurer and Chapman (2018)定义作为本研究主动性人格定义。

### 2.5.2 主动性人格之衡量

Bateman *et al.* (1993)提出了以单一维度对主动性人格进行测量的自陈式主动性人格量表。在 Bateman *et al.* (1993)的主动性人格量表发表后,许多学者开始在此基础上开发了简化版,并且与原完整版量表有很高的相关性。其中 10 项目简缩版和 6 项目简缩版与完整版之间的相关系数分别为 0.96 和 0.90,在后续的许多研究中 10 项目的简化版本的使用频率最高(袁梅玲, 2018)。

## 2.6 品牌忠诚

### 2.6.1 品牌忠诚之定义

Oliver (1999)将品牌忠诚度定义为消费者会愿意重复购买其偏好的品牌产品或服务,并且无论任何外在的影响或是任何可能会使消费者产生转移行为的因素,皆不会使其消费者之购买意愿产生动摇,并且会持续选择该品牌。蒋郭彦(2015)认为品牌忠诚是指消费者对一特定品牌持有正面的态度,且其承诺有意愿在未来持续购买此品牌之产品或服务。因此本研究采用 Oliver (1999)的定义作为本研究品牌忠诚定义。

### 2.6.2 品牌忠诚之衡量

Farr and Hollis (1997)认为品牌忠诚度包括了行为忠诚和态度的忠诚,行为忠诚系指消费者忠于一个品牌的购买行为;态度忠诚系指消费者对于某一个品牌的偏好、喜爱,但没有实际购买行为的产生。Martínez *et al.* (2009)探讨广告对品牌延伸的影响,将品牌忠诚度视为单一构面。林伽珊(2014)将品牌忠诚分为两方面,即是利用行为和态度两个指标,又将品牌忠诚者分为真品牌忠诚者和假品牌忠诚者,假品牌忠诚者可能是因为所购买的商品是商店中唯一选择,才会重复购买。本研究根据需要依上述将品牌忠诚度视为单一构面做为评量受访者对品牌忠诚度的问题项目进行评量。

## 2.7 顾客公民行为

### 2.7.1 顾客公民行为之定义

Gruen (1995)首次将公民行为的概念用于企业进行关系营销所引发的顾客行为,其将此种行为定义为顾客自愿做出对企业有利的行为,这些行为并非企业所要求而必须做的。范钧与孔静伟(2009)将顾客公民行为定义为非服务生产传递过程本身所要求的,发生在顾客购买或者消费行为之外的,对企业、员工或者其他顾客有利且是顾客自愿的行为。因此本研究采用 Gruen (1995)的定义,将顾客公民行为定义为顾客自愿做出对企业有利的行为,这些行为并非企业所要求而必须做的。

### 2.7.2 顾客公民行为之衡量

Groth (2005)提出的顾客公民行为三维度模型是目前学术界比较通用的一种维度划分模型,其中(1)推荐构面,指顾客向他人推荐企业的服务,(2)帮助其他顾客构面,指顾客帮助其他顾客购买、使用企业的服务,(3)提供回馈构面,指顾客向企业提供反馈。

## 2.8 变量之间的相互关系及研究假设

### 2.8.1 体验营销与主观幸福感与自我一致性之关系

SOR 模型解释了环境是如何营销个体的内部以及其行为状态的,SOR 模型是探讨物理环境与行为之关系的代表性成果,它认为环境(产品特点、品牌声誉、价格、促销、陈列、音乐、服务等)是包含许多线索的刺激物,这些线索共同影响机体内部的感知与认知状态,从而形成接纳或是规避的行为反馈(Donovan & Rossiter,1982)。El Hedhli, Chebat and Sirgy (2013)进行了商场气氛影响购物者的幸福感的研究,并发现商场的装饰和氛围是影响顾客幸福感的最重要因素。主观幸福感的需求满足理论(Need Satisfaction Theory)认为消费者能够借由主动参与健康、有意义的社会活动而产生幸福感(朱宏杰,2013)。银霞(2018)在基于手机消费的实证分析中指出手机消费领域的消费者自我一致性对消费者幸福感有正向影响,即较高的消费者自我一致性导致较高的消费者幸福感,反之具有较低的消费幸福感。由此经前述相关研究结果可知,体验营销做的越好会使顾客的主观幸福感越强;自我一致性越强,体验营销与主观幸福感之间的关系会增强;自我一致性越低,体验营销与主观幸福感之间的关系会减弱。综合上述分析,本研究

拟建立以下假说:

H1: 体验营销会对主观幸福感产生正向影响

H2: 自我一致性在体验营销与主观幸福感之间具有调节作用。

### 2.8.2 体验营销与品牌认同与自我一致性之关系

Mukiira, Musau and Munyao (2017)研究发现体验营销对提升品牌认同有积极的作用。Mousavi and Naam (2018)在研究品牌认同在银行广告和品牌忠诚中的中介作用中发现品牌认同对提高品牌忠诚度具有的积极作用,并且认为自我一致性实际上就是消费者的个人价值与对品牌的感知价值的契合性,这种契合性是消费者通过对自我概念、品牌个性等进行心理比较得出的,当契合度高时,品牌认同度就高,反之就低。由此经前述相关研究结果可知,体验营销做的越好会使顾客的品牌认同感越强;自我一致性越强,体验营销与品牌认同之间的关系会增强;自我一致性越低,体验营销与品牌认同之间的关系会减弱。综合上述分析,本研究拟建立以下假说:

H3: 体验营销会对品牌认同产生正向影响。

H4: 自我一致性在体验营销与品牌认同之间具有调节作用。

### 2.8.3 主观幸福感与顾客公民行为与主动性人格之关系

Bateman and Crant (1993)将主动性人格原型(the prototypic proactive personality)定义为,这种类型的人拥有不受情境力量所局限,主动把握机会启动行动,坚定地持续改变周围环境的行为倾向,直到达成有意义的改变为止。此种人格特质内涵中的把握机会、启动行动以及对周围环境进行有意义的改变等,如放置在消费者场景做思考,将和顾客公民行为有相当程度的相似之处;因为根据社会交换理论顾客在消费后所产生的愉悦心理以及对特定商家的心理认同和关系维系意愿,会驱动顾客通过口碑推荐、宣传反馈等有益行为(孙乃娟、郭国庆,2016)。由此经前述相关研究结果可知,顾客感受到的主观幸福感越高会使顾客公民行为越强;主动性人格高,主观幸福感与顾客公民行为之间关系会增强;主动性人格低,主观幸福感与顾客公民行为之间关系会减弱。综合上述分析,因此本研究拟建立以下假说:

H5: 主观幸福感会对顾客公民行为产生正向影响。

H6: 主动性人格在主观幸福感与顾客公民行为之间具有调节作用。

### 2.8.4 主观幸福感与品牌忠诚之关系

根据社会交换理论,当客户从他人中受益时,他们会觉得有义务回报并承诺建立关系(Xie, Poon, & Zhang, 2017),并且当社交交换成功发生时个体倾向于参与公民行为,因为感知高质量关系经验的个人可能会互相回报并合作行动(Bettencourt, 1997)。当顾客对服务满意或者顾客感觉受到超越他们期望水平的特殊待遇,而回报的种类和时间又不确定时,这种简单的交易行为就演变为有利于组织的公民行为,此时的顾客公民行为可以被看作是一种社会交换(Xie et al., 2017)。李振威(2015)探讨生态教育农园消费者之顾客关系品质、幸福感对顾客忠诚度之影响的研究中发现幸福感对顾客忠诚度有显著正向的影响。由此经前述相关研究结果可知,顾客感受到的主观幸福感越高会使顾客公民行为越强。综合上述分析,本研究拟建立以下假说:

H7: 主观幸福感会对顾客公民行为产生正向影响。

### 2.8.5 品牌认同与顾客公民行为与主动性人格之关系

刘倩(2016)基于顾客公民行为的视角,探讨顾客认同对顾客公民行为的影响及其机制发现顾

客公民行为由推荐行为、助人行为和反馈行为构成,并且顾客认同与顾客公民行为的三个维度均有正相关关系。张浩(2018)引入品牌形象与顾客认同来研究顾客公民行为作用机制,发现顾客认同与顾客公民行为呈正相关。就主动行为的相关研究,个人因素方面,主动人格是影响采取主动行为的重要因素(Parker *et al.* , 2006)。Seibert, Kraimer and Liden (2001)发现,高主动人格的人会展现出较多超乎角色期待或者工作要求的行为。由此经前述相关研究结果可知,顾客的品牌认同感越高会使顾客公民行为越强;主动性人格高,品牌认同与顾客公民行为之间关系会增强;主动性人格低,品牌认同与顾客公民行为之间关系会减弱。综合上述分析,本研究拟建立以下假说:

H8:品牌认同会对顾客公民行为产生正向影响。

H9:主动性人格在品牌认同与顾客公民行为之间具有调节作用。

### 2.8.6 品牌认同与品牌忠诚之关系

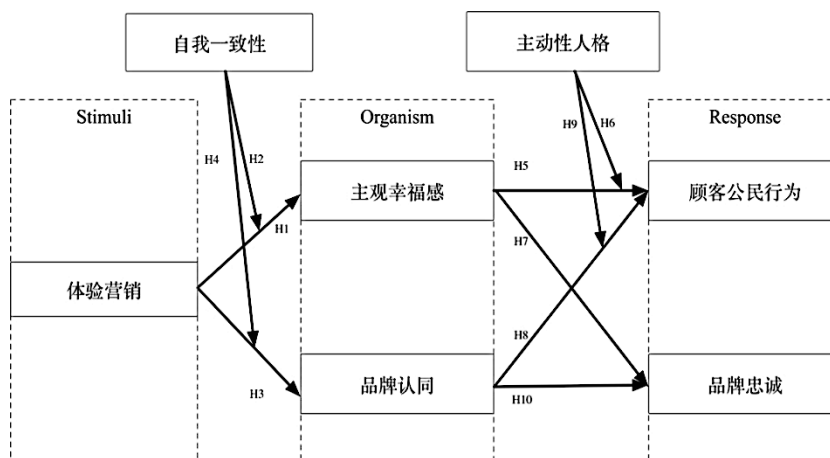
张初兵与侯如靖(2013)对网商品牌忠诚的形成过程进行了实证分析,研究表明品牌认同对品牌忠诚有积极的正向作用。蒋郭彦(2015)指出若消费者对特定品牌有着高度的认同感的时候就会持续地选择此品牌之产品或服务,进而产生品牌忠诚度。由此经前述相关研究结果可知,顾客的品牌认同感越高会使顾客品牌忠诚度越强。综合上述分析,本研究拟建立以下假说:

H10:品牌认同会对顾客品牌忠诚度产生正向影响。

## 3.研究方法与设计

### 3.1 研究架构

经过文献之搜集与整理探讨,本研究的研究架构由七个变数所组成,分别为体验营销、主观幸福感、品牌认同、顾客公民行为、品牌忠诚、自我一致性以及主动性人格。Mehrabian and Russell(1974)由环境心理学中发展出“刺激-生理-反应模型”SOR(Stimulus-Organism-Response),该理论内容说明外部(external)环境的不同层面所造成的刺激(Stimuli, S),会影响到人们的内在的(internal)状态、生理(Organism, O),进而影响到人们的行为反应(Response, R),本研究依据SOR理论基础建立研究架构如图一所示。



图一 研究架构

### 3.2 变量操作型定义及衡量

#### 3.2.1 体验营销



本研究体验营销操作型定义参考王昱钧(2014)定义,各维度操作型定义如下,感官体验:消费者经由视觉、听觉与触觉等感受到华为传达的讯息。情感体验:消费者接收华为传达的讯息,触动消费者内在情感与情绪,使消费者产生正面的情绪。思维体验:消费者经由涉入华为手机参与华为手机之体验、引起兴趣,进而引导其思考。行动体验:消费者感受并认同华为之体验并付诸身体行动。关系体验:使华为的消费者与理想自我、他人或社会文化产生关联,以及对潜在社群或成员产生影响。依据 Schmitt (1999)体验营销问卷设计出 16 题问项并使用五点李克特尺度衡量作为本研究体验营销问题项。

### 3.2.2 主观幸福感

本研究操作型定义参考 Lucas *et al.* (2016)定义将主观幸福感定义为华为的消费者对他们生活和情感体验的总体评价。本研究参考 Diener *et al.* (1985)发表的生活满意感量表(SWLS)设计出 5 题问项,这个量表是一种多项目总体满意感量表,对于总体的生活质量满意感的把握要比以前的量表更好,因此在国外成为了测量主观幸福感常用的量表(Steel *et al.*, 2018)。

### 3.2.3 品牌认同

本研究操作型定义参考蒋郭彦(2015)定义将品牌认同定义为华为的消费者认为华为品牌的形象与自身个性符合,且因为华为品牌的关系,消费者愿意去购买华为的产品以及服务,从而将个人风格有效展现。本研究依据朱培宏与欧淑琦(2014)的将品牌认同视为单一构面之题项进行修改设计出 4 道题项,采用五点李克特尺度衡量顾客的品牌认同感。

### 3.2.4 自我一致性

本研究操作型参考钟沛桦(2014)定义,将真实自我一致性定义为华为的消费者觉得自己是怎样的人;将理想自我一致性定义为华为的消费者希望自己成为怎样的人。根据 Malar *et al.* (2011)的自我一致性量表问项加以改编设计出六题问项采用五点李克特尺度衡量顾客的自我一致性。

### 3.2.5 主动性人格

本研究操作型定义参考 Maurer and Chapman (2018)定义,将主动性人格定义为主动性人格的华为消费者具有自我启动和前瞻性的行为,他们会积极追求目标和适应环境,并应对挑战。根据 Seibert *et al.*(1999)的主动性人格量表设计出十题问项,并使用五点李克特尺度衡量。

### 3.2.6 顾客公民行为

本研究操作型定义参考 Groth (2005)定义,将推荐定义为华为的顾客向他人推荐华为的产品及服务;帮助其他顾客定义为华为的顾客帮助其他顾客购买或使用华为的产品及服务;提供回馈定义为华为的顾客向华为公司提供反馈。根据 Groth (2005)的主动性人格量表设计出 11 题问项,并使用五点李克特尺度衡量顾客公民行为。

### 3.2.7 品牌忠诚

本研究操作型定义参考 Oliver (1999)定义,将品牌忠诚定义为华为的消费者会愿意重复购买华为的品牌产品或服务,并且无论任何外在的影响或是任何可能会使消费者产生转移行为的因素,皆不会使其消费者之购买意愿产生动摇,并且会持续选择购买华为手机。据谢碧霜(2012)的品牌忠诚量表设计出五题,并使用五点李克特尺度衡量品牌忠诚度。

## 3.3 问卷设计及数据分析方法

### 3.3.1 研究对象与数据收集

本研究在母体的选择上以中国大陆地区购买过华为手机的消费者做为研究对象,但考虑时间、成本与便利性等因素,本研究使用便利抽样法(convenience sampling)。本研究采用线上问卷与纸本问卷并用的调查方式搜集研究样本。本研究纸本问卷的发放主要以武汉市的武汉天地店、武汉广场店、光谷广场店等 24 家华为体验店的消费者发放对象。线上问卷拟于 2019 年 3 月中建构于问卷星,并将问卷置于华为线上品牌社群的花粉俱乐部内,填答者采自愿方式以完成问卷填答。

### 3.3.2 数据分析方法

在各变数之关系之前,先检验量表的信效度。并针对各变量之题项分别进行因素分析,并使用 Cronbach's  $\alpha$  系数来检定信度。针对品牌认同与主观幸福感的中介效果上,根据 Baron and Kenny (1986)之建议,利用 SPSS 软件以层级回归分析验证中介效果。针对自我一致性以及主动性人格的调节效果上,本研究利用 SPSS 软件采用层级干扰回归分析来验证。

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## 探讨互联网知识付费之“得到”品牌的个性、品牌至爱和口碑的影响：以消费者性格和品牌体验分享为调节

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### 摘要

21 世纪，在商业世界里，品牌战略是企业发展的不二法门；而随着在互联网的发展以及人们对知识的不断渴求，中国互联网出现了知识付费行业。在竞争逐渐加大的知识付费领域内，“名品牌”的效应无疑是巨大的；既提高产品价值，又增加了消费者粘性。在此基础上探讨品牌至爱（Brand love）和口碑（WOM）的关系。结果表明，互联网品牌有鲜明的品牌个性，消费者面对时自身性格和其品牌个性保持一致时，便能产生良好的品牌至爱，进而促使电子口碑（eWOM）的形成。另外，消费者把对于品牌的体验分享出去，能有效的增强电子口碑的形成和传播。

**关键词:** 品牌个性；品牌至爱；电子口碑；消费者个性；知识付费

### 1. 绪论

随着中国人民的收入不断提高，消费需求也不断变化，特别是移动互联网的到来和移动支付普及成为常态以及自 2016 年以来对内容付费的需求不断增加，从而衍生出另外一种需求——知识付费，即 Knowledge payment。

知识付费是一种把“知识”产品化或服务化，用来市场交易的商业模式。针对中国市场现有的互联网知识付费类产品，本文归纳给分出四个类别：第一是以 PGC（Professional Generated Content）为主的知识专栏订阅平台，以音频加阅读形式呈现，其主要代表为“得到 APP”；第二类是提供音频课程或知识节目的音频订阅平台，典型代表产品为“喜马拉雅 FM”；第三类为视频订阅平台，以制作视频的方式传播付费知识，而这一类的平台大多数是在线教育的知识订阅平台，如“网易精品课”、“宝宝树”等；第四类为知识问答平台，用知识问答的形式来变现知识产品，代表产品分别是一对一语音问答平台“分答”，和一对多实时问答平台“知乎 live”。

本文要研究的对象正是行业的佼佼者“得到 App”。“得到 App”于 2015 年 12 月上线，是《罗辑思维》旗下的主打“知识服务”的智能手机应用软件，主要通过付费订阅专栏、电子书、干货听书以及书店商城四大模块为用户提供知识服务。据 2018 年 9 月 18 日《罗辑思维》CEO 脱不花在“得到”例会中公布的数据，截至 2018 年 9 月 11 日，“得到”的总用户数为 2,322 万。

“得到”是一个集媒体、内容出版、教育三个领域为一体的“知识付费平台”（宋美杰，2017），且平台内部按照课程属性分为科学学院、人文学院、视野学院、社科学院、能力学院和商学院六大学院共计 103 门订阅课程。它正是靠着其本身的精品内容实现用户的高粘性，甚至连带对其他用户产生非常高的转化率，才造就现在知识付费行业的四大名牌之一。本文正是基于此本文才选定这么一家互联网企业作品牌研究，该企业概况如下：

表 1 “得到”产品及价格分类表

模块 \ 价格	价格		
	干货听书	4.99 元/本	48 元/月
订阅专栏	19.9 元/8-13 讲	99 元/50 讲	199 元/年
电子书店	9.9-59 元/本		
纸质书店	58-19980 元/册		

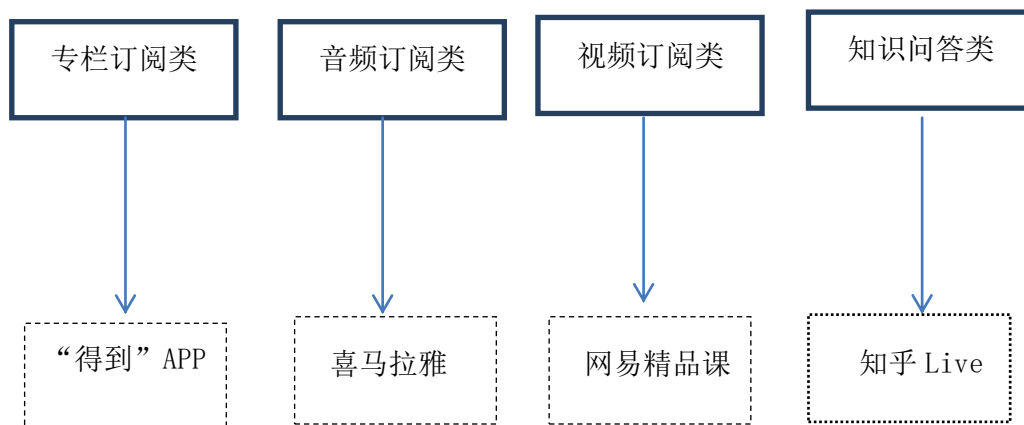


图 1 知识付费领域产品分类代表

本研究的目的在于，以品牌个性角度切入探究品牌至爱对品牌口碑的影响；因为品牌个性依托于消费者个性的分类，而它要产生品牌至爱情绪少不了消费者个性的影响，所以不同性格的消费者在不同个性的品牌和品牌至爱之间起到什么样的作用是本研究的议题之一；又因为本文选题的背景在于互联网的知识付费领域，它涉及到知识内容的分享和传播，所以品牌体验的分享行为对品牌至爱和品牌口碑传播之间有什么作用也是本文欲探讨的。

## 2. 文献综述

品牌 (Brand) 这一名词最早出现在 1870 年以前，那时人们对于品牌的认识是浅层次的，品牌的概念主要出现广告行业（李静，王其荣与陈朝晖，2012）。而且，目前品牌的研究主要还是集中于传统的产品品牌，少有人以互联网品牌为目标去研究品牌元素的作用。

过去，Aaker(1997)在美国消费环境中提出“真诚、刺激、胜任、教养、粗狂”五个品牌个

性的维度。可是，包启挺（2007）以中国的家电品牌为对象，刘勇（2008）以卷烟品牌为研究对象，陈可、王媛与江明华（2008）以数码相机为研究对象，将品牌个性划分成有别于 Aaker（1997）提出的西方世界兼具中国文化特色的四个或八个维度，这样说明品牌个性有不同的使用场景。不过即使这样，他们还是属于超出传统商品。另外，Hathairat and Anon（2016）用丝绸品牌为研究对象验证品牌至爱对积极品牌口碑的正向影响易没有超过传统商品的范畴。

基于此本文本文试图在互联网品牌上找出其品牌个性、品牌至爱和电子口碑的关系。并且本文认为消费者之所以会喜欢互联网的知识付费品牌，是因为其能满足消费者一些如求知、追求进步、积累社交谈资等的内在需求，即消费者的个性特征对所选品牌的至爱形成会产生干扰。又因为本文选题的背景在于互联网的知识付费领域，它涉及到知识内容的分享和传播，所以品牌体验的分享对品牌至爱和电子口碑之间有什么作用也是本文欲探讨。而我们先研究中涉及到的品牌元素的内涵进行分析。

### a. 品牌个性

品牌个性(brand personality)一词最早在 1959 年，由学者 Gardner 和 Levy 提出，他们认为品牌个性包含了消费者个性的各个方面，例如消费者的性别、年龄以及消费者所处的经济社会阶级地位，这些个性特征直接地从品牌使用者的形象特征或者间接地从别的产品形象中推理而来。但是只有 Aaker (1997)提出了明确的可衡量的品牌个性定义，他指出“品牌个性时有关品牌的人格特质的组合”，并提出了至今还在沿用的五个测量维度（真诚、刺激、胜任、教养及粗犷）。而后，赵艳辉（2004）则认为品牌个性就是品牌具有一种人情味的特质，是“品牌人”的个性特征，在不同类型的营销活动中，品牌表达出与人相符的气质，而这恰恰是和消费者建立链接的前提，而且它是企业经营和营销的归宿点和出发点（蔡清毅，2006）。

“得到 APP”平台经过四年的发展，在中国知识付费的领域不再默默无闻，它是一个行业的名牌，通过该平台产出的知识产品无一不是精品，在市场上它有较强的竞争力——名师资源、先占优势、制作精良；在消费者手上其知识产品所输出的知识在易学性和有用性上都是顶尖的，更不要说其知识门类的多样及知识的高密度；这些都是其品牌走向成功之路的基石；这就是它所散发的品牌魅力，也是它独特的个性。

“得到”吸引过来的用户都是一群求知、追求成就、时尚的“终身学习者”，平台的用户自身就带着和品牌相似的优良特质。故本文归纳扩展出品牌个性的定义为：品牌所具有的独特竞争力内涵，能引起消费者情感共鸣，能被用人格化词语描述的特征就是品牌个性。

### b. 消费者个性

中国学者安应民（1995）研究总结“个性”是消费者最本质的心理特征，其影响着消费者的需求动机和决策；而消费者个性（Consumer Personality）在心理学中定义成“消费者的精神面貌和心理品质的总和”（李志楨，2017），即是消费者在消费的过程中表现的稳定的情绪、稳定的心理特质的总和。消费者个性的心理特征在消费者的性格、能力、气质等各个方面均有表现。白纯菁（2008）把人格特质的定义为：个人通过环境和学习等因素的影响而发展出个人独特的心理模式。

据此廖述贤、钟钰钧与邱雅婷（2011）把消费者个性，定义为：在选购物品时，消费者会因为家庭教育、成长背景及学习环境等后天因素而影响其购买决策的心理特征。品牌若要是顺应当代的消费习惯，就必须重视全方位的购物体验（Danziger, 2006），而消费者个性代表他们的

心理特征，是进行消费决策、重复购买及传播分享的基础依据，产品品牌只有契合消费者的心理属性，才能获得他们的青睐甚至留住他们。

综上，本研究据表认为对消费者个性的定义可以是：“消费者在真实消费场景中所表现出的符合它精神面貌和心理特质的特征总和”。而研究同样采用著名的人格大五模型(Big Five Model)测量消费者个性（神经质、外向性、开放性、和悦性及谨慎性）。

### c. 品牌至爱

Carroll and Ahuvia (2006) 首次正式的提出了品牌至爱 (Brand love) 一词，而且对其内涵进行了界定和量化测量。他们将品牌至爱界定为“满意的消费者对特定品牌强烈的情感依恋”，其内涵囊括对品牌的热情、依恋、正面情感、正面评价以及爱。而根据这些原理也恰好说明品牌至爱是一种消费者对品牌的正面情绪，和品牌的负评价消费者是无关系的。学者 Keh, Pang and peng (2007) 从 Sternberg 的爱的三元理论的基础之上，将品牌至爱定义为“消费者与品牌间的亲密的、激情的和承诺之间双向、动态、复杂和有目的的关系”。

Ortiz and Harrison (2011) 则认为品牌至爱是消费者与品牌之间紧密的情感联系，此定义很简洁但无法表现出消费者对品牌的强烈情感；而 Batra, Ahuvia, and Bagozzi (2012)指出品牌至爱是消费者对品牌关系的一种高阶(High-order)状态，同时对比品牌至爱、品牌依恋 (Brand attachment)、自我品牌联结 (Self-brand connection) 的内涵，认为品牌至爱是消费者在思想上的认知、情感和行为。中国学者虽然也对品牌至爱的内涵进行了研究，如朱振中、李晓丹与程钧谟（2014）认为品牌至爱是消费者对品牌充满信任、激情和依恋的积极情感，但是依然是对国外学者的定义沿用加以扩展。

综上，本研究采用 Ortiz *et al.* (2011)对品牌至爱的定义，即“消费者和品牌之间紧密的情感联系”。对于研究对象“得到”App 来说，它在知识付费行业已经是“得到”牌或者“罗辑思维”牌（罗辑思维科技有限公司）了，而它们的运营模式就是不断的吸收转化用户为平台上的知识产品(Knowledge of products)付费，那么若是消费者对该品牌有了品牌至爱必然传播其品牌口碑，这样才推动了越来越多的消费者加入品牌学习和消费。

### d. 电子口碑

互联网(internet)的出现，Buttle (1998) 提出，在电子时代也需要口碑，虚拟口碑通过电子公告板等形式应用在商业竞争中，并且形成一种可追溯的信息，并将口碑戏称为“免费广告”。而社交媒体拓展了传统的口碑理论，他认为消费者是网络社会的角色扮演者，社交媒体的口碑传播不仅受消费者个性因素影响，也受到社交媒体公共参与的影响(Kozinets, Valck & Wojnicki, 2010)。

Henning-Thurau, Walsh, and Gremler (2004) 认为电子口碑是消费者透过网络媒体平台同其他消费者分享自己对产品和服务的意见与经验。基于互联网技术，电子口碑是消费者对特定服务或商品的相关信息的全部的非正式传播途径；其跨越了地域的限制，使得人们对于购物之后的交流更加容易；而且，电子口碑传播具有传播规模大、传播匿名与瞬时传播等特点 (Litvin, Goldsmith, & Pan, 2008)。

在中国的互联网中将文字、音频、视频、图片等内容发布到网络社交媒体平台，从而实现在线交流和沟通，就是电子口碑（毕继东、胡正明，2010）。消费者以不同形式在网络平台上分享传播的用户体验或产品评价等信息就是所谓的电子口碑（程秀芳，2011），这些对于互联网企



业来说就是它自我价值的体现，通过一种流转于网络的虚拟信息为企业带来不断的用户。

Milaković, Mihić, and Ivasečko (2017) 验证得出消费者创新、归属需求以及信息源可信度均对传统口碑传播和电子口碑传播有正向积极的作用。Torres, Moro, and Irurita (2018) 发现信息的质量、信息可信度、信息需求和信息态度都对电子口碑的有用性有影响，接着再对电子口碑的接受度产生影响。

综上，归纳出电子口碑的特征：1) 电子口碑相对于传统口碑能以文字、图片等的形式保留在网络中，能被随时检索；2) 电子口碑因为在网络上传播所以传播的范围更广，突破朋友圈子的限制，其能涌现信息贡献者和信息使用者 (Cheung, Luo, Sia, & Chen, 2009)；3) 电子口碑打破了时间和空间的限制，能被不同节奏的用户阅读口碑和评论 (Novak & Hoffman, 1997)；4) 部分精明的网络用户能给通过权威的平台发布讯息来影响其他用户的想法 (Litvin, Goldsmith, & Pan, 2008)。因此，基于口碑和互联网的特性，对电子口碑定义为：消费者通过线上网络的各种渠道，分享给其他消费者自己对某种的产品或服务的使用心得和看法。

#### e. 品牌体验分享

Brakus, Schmitt and Zarantonello (2009) 提出品牌体验是由与品牌相关的刺激物引发的消费者主观、内部的行为反应，它们包括品牌设计、品牌识别、包装、沟通和环境等。而吴水龙 (2009) 却将品牌体验看成一个个印象和经历，由消费者和品牌接触带来；张振兴与边雅静 (2010) 站在企业角度观察品牌体验，认为品牌相关刺激激发的顾客在感知、态度、情感和认知上的反应就是品牌体验。以上都是对 Brakus *et al.*, (2009) 的品牌体验概念的局部调整及拓展。

Hardin and Higgins (1996) 提出了分享现实理论 (shared reality theory)。“分享”意指“双方通过互动使内心状态达到统一，从而对社会的某些方面持有共同的想法和认知”。这个论调放在品牌身上同样适用，即把自己了解对品牌信息和他人互换交流，从而达到一种认同。而体验分享是消费者本人将自己消费某一产品或品牌的体验告诉给他人 (杨德锋、赵平、张梦远, 2014)。

综上，研究根据品牌体验和体验分享的定义总结归纳出品牌体验分享含义，即把来自互联网知识付费的产品或服务的刺激所引发的反应和感受分享出去的行为或意愿。

### 3. 结论

#### 3.1 品牌个性和品牌至爱的相关研究

消费者愿意为相似品牌和自己的关系发展投资 (Keller, 1998)，也是在激烈的市场竞争中，品牌个性是品牌的灵魂 (Bhargava, 2008)，是品牌独特的竞争力。品牌性格的塑造不但唤起了消费者的情感 (Keller, 1993)，而且它还能帮助消费者区分产品与品牌，进行差异化的选择 (Farquhar, 1990)。李攀与宋永高 (2012) 的研究结果也表明品牌个性可以对品牌关系产生直接影响

Albert and Merunka (2013) 研究也发现品牌个性会对品牌至爱产生显著正向影响；台湾的谢孟格 (2017) 则证明品牌个性里的真诚、刺激、教养、胜任维度对生成品牌至爱有促进作用，而粗犷的影响效果不显著。

### 3.2 品牌个性, 和品牌至爱相关研究消费者个性

对于企业经营者或品牌管理者来说, 只有了解到目标客群的消费性格, 才更容易通过品牌的标识、品牌信息、品牌形象等属性与消费者建立强感情连接, 也就相当于爱的生成(Ball & Tasaki, 1992; Belk, 1988; Csikszentmihalyi & Rochberg-Halton, 1981)。

Lunardo, Gergaud and Livat (2015) 则通过对 3000 名美国消费者的研究发现, 除了品牌个性中的粗犷外, 其他四个维度和消费者人格均存在积极的影响。Aaker (2001) 曾经有指出品牌个性中的真诚、刺激、胜任和消费者的和悦性、开放性、谨慎性是一一对应的关系。

谢孟格 (2017) 以台湾 ME 时代人群使用 Facebook 的情况为研究对象指出品牌个性的真诚、刺激、胜任和教养四类型的产品对品牌至爱有很大影响; 还特别说明消费者的和悦性强化胜任类型品牌和品牌至爱的关系, 消费者神经质则强化了真诚型品牌; 但是可能因为研究对象受限, 他并没有在实体商店环境享乐性的环境下求得品牌至爱并不能影响正面电子口碑传播的意愿, 这与 Chitturi, Raghunathan, and Mahajan (2008) 证实的品牌若带给消费者快乐感会影响消费者对品牌的正向口碑传播, 以及 Jones, Reynolds and Arnold (2006) 提出的享乐性是借由非产品相关的因素主导消费者的重复购买行为与正向口碑建立的结果相违背的。

### 3.3 品牌至爱和电子口碑相关研究

朱鸿与张新艳 (2012) 在品牌至爱的结果变量研究中得出: 1) 大学生品牌消费时, 品牌至爱情感会正向影响积极口碑传播; 2) 与自我象征相同的品牌对品牌至爱和积极口碑传播共同具有正向影响。Wallace, Buil and de Chernatony (2014) 证明品牌至爱对积极的口碑传播和品牌接纳产生正向的影响。Karjaluoto, Munnukka, and Kiuru (2016) 通过网上社群的研究表明, 品牌至爱对消费者关于品牌线上和线下的口碑营销均有很强正向影响。

Hathairat *et al.*, (2016) 通过某个丝绸品牌社区 400 名客户的问卷数调查, 得出品牌社区通过品牌至爱对口碑传播有直接和间接的影响效果; Suthasinee and Anon (2015) 在泰国孔敬府同样以 400 分问卷调查亚洲航空的品牌至爱和口碑的关系。研究结果表明, 品牌至爱通过品牌忠诚对口碑传播产生直接和间接的影响。Kiuru (2014) 的研究也证明品牌至爱对电子品牌口碑 (eWOM) 及传统品牌口碑 (WMO) 都有正影响。

### 3.5 品牌至爱、电子口碑和品牌体验分享相关研究

体验具有社会性 (盛峰、徐菁, 2013), 在分享体验中, 他人观点不仅仅是信息性质, 而且还“包含人际关系的健康性和一个人关于他的判断的信心程度”。另外, 杨德锋等人 (2014) 通过双盲对照实验 (Double-blind trials) 验证了体验分享行为对品牌至爱的强化作用。

另外, “得到”品牌价值的提高在于它的电子口碑被越来越多的人看到并接受, 而互联网生意的网络效应 (Network Effects) 即使用的人越多越有价值, 使得消费用户和“得到”App 之间形成了一个良性的循环。而要传播“得到”的品牌属性, 只能是消费者们通过亲身体验并将其分享出去才更加有说服力和吸引力。而且, 根据分享现实理论 (shared reality theory), 客观世界的复杂性 (例如一个品牌是否真的值得购买), 人们要形成自我对某个事物或事件 (如品牌体验) 的稳定看法和认知, 需要与他人分享自我对事物的最初感受, 从而知道他人对该事物的认识, 最终获得对事实认知的确认与社会关系归属的确认 (Echterhoff *et al.*, 2009)。如果通过分享行为能够改变其他人的情感和意图, 无疑能提高消费者的自我成就感, 这会侧面提高消费者对于

把自身的品牌体验分享出去的动机需求。

### 3.6 研究结果和不足

根据研究的实证结果可知,对于“得到”品牌来说,虽然它是互联网品牌,但是因为其平台强大的明星老师阵容,使其具有“刺激”、“胜任”、“真诚”、“教养”的品牌个性;来该平台消费的用户都居有着饱满求知欲、强烈好奇心、高认知和乐于分享的品质。很明显的,“得到”的产品和服务都有个性化并和其用户的个性保持着高度的一致,使得用户在情感上和“得到”建立了强烈的连接,以至于产生了浓厚的品牌至爱情绪。当“得到”的知识打动消费者的某个点是,消费者们会把自己的感受和评论在网络上分享出去,这无形当中形成了针对“得到”的电子化口碑。同样的,因为有着用户的信任背书和正面的口碑流传,不仅“得到”的用户规模越来越大,而且对于消费者自身也因为“得到”系知识的熏陶下不管在知识面还是生活交际上都有提升(如经济学、金融学、心理学等)。这些可以说是达到了双赢的局面,也是“逻辑思维”一贯使用“用户口碑营销法”成功的结果。

当然,研究也存在局限。因为是以中国的互联网知识付费为背景,所以可能对其他国家的知识付费可能借鉴效果不大,如美国的亚马逊 Kindle、知识社区 Quora 等。中国的国情和国外有别,对于“知识产权”的看法和管理不同才会在中国衍生出这个独特的互联网领域。出于对知识的好奇,对 KOL 的信任,对信息的渴求人们愿意为知识买单。知识付费解决的是对于某个时长下、以某种形态呈现、为用户带来正向自我期许的内容的获取及实践的效率问题。

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## 美容业顾客间互动与服务接触对顾客满意度之影响研究：以顾客积极情绪与体验价值为中介变量，另以顾客兼容性为调节变量

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### 摘要

近年来，美容产业成为中国大陆的一个热门产业，随着美容消费者要求的日益提高，顾客满意度成为衡量美容院服务优劣的标准之一。前人学者对顾客满意度的前因进行了广泛研究，发现影响顾客满意度的因素主要存在于两个方面：(1)“物”的方面，例如：产品的品质、商店形象等；(2)“人”的方面，例如：服务接触（服务人员与顾客之间的接触）、顾客间互动（顾客与顾客之间的接触）等。其中，对于“物”方面的改良是企业很容易做到的，但针对“人”方面的改善：企业如何察觉问题，如何改善问题是难以捉摸的。因此，本研究通过整理过往的文献，以典型的服务业——美容业顾客为研究对象，对顾客间互动、服务接触与顾客满意度间的关系进行研究，同时引入顾客积极情绪和体验价值作为中介变量，顾客兼容性作为调节变量，并建构研究框架，拟进行后续实证研究，期能对理论及实务提供建议。

**关键词：**顾客兼容性；顾客间互动；服务接触；顾客积极情绪；顾客满意度

### 1.绪论

2008年中国美容市场实现工业总产值近3200亿元，据业内人士分析，2015年中国美容行业年总产值为六千亿至八千亿元，保持着异常飞速的年增长速度。黄睿（2017）表示随着我国经济的发展进步，个体消费者可支配收入增加，释放了潜在的美容消费需求。而不断拓展和细化的美容领域，体现出了美容行业巨大的市场前景和不可限量的发展空间。当今美容业这个“朝阳行业”也正在逐渐成长、成熟，它将会成长为一个新的消费热点，蕴藏着巨大的市场商机。

美容院中的消费者与员工之间接触、与其他消费者交流经验几乎是美容院必不可少的环节。Sundaram & Webster (2000) 经过研究证明了服务接触过程中的肢体动作、语音语调、两者身体间的距离以及面部情绪都会对顾客满意程度产生或大或小的影响。田婷（2017）表示顾客间互动对顾客满意有重要影响。张正梁（2011）以主题乐园为研究对象对顾客兼容性和顾客满意度进行研究，发现顾客兼容性的两个维度“容忍度”和“舒适度”中，“容忍度”与顾客满意度呈正向关系。

美容院的消费者虽然在爱美方面存在许多共性，但由于生活环境、教育程度等的不同，存在着顾客兼容性的问题。但是，针对“顾客兼容性”作为“顾客间互动”对“顾客满意度”影响的调节作用，还未有学者进行过研究。并且，大多数美容院不具备顾客兼容性的专业研究判断，导致顾客面对与自己差异较大的顾客时，接受度很低，可能对美容院的满意度产生不利影

响。

因此, 本研究的目的是深入探讨顾客在服务接触过程、以及在与其它顾客互动过程的状况, 了解其透过体验价值、顾客积极情绪对顾客满意度的影响。本研究也将深入探讨顾客兼容性在顾客间互动与顾客满意度关系是否具有调节作用。

## 2. 文献综述

目前国内外学者对于顾客满意度的研究分为以下 5 类:

- (1) 探讨硬件设备、产品对满意度的影响。
- (2) 探讨员工服务质量的提升对满意度的影响。
- (3) 探讨不利状况下员工的应急反应与事后处理能力对满意度的影响。
- (4) 探讨品牌及口碑对满意度的影响。
- (5) 探讨接触与互动对顾客满意度的影响。

其中, 第 5 类服务接触和顾客间互动对顾客满意度的影响研究较少, 之前的大部分服务研究集中在理解服务提供者与客户之间的交互, 或者客户与服务环境之间的交互, 因为这种交互可能由公司控制。然而, 研究人员较少关注客户对客户的交互, 尤其是经验上的 (Rosenbaum, 2008)。而且“互动”类研究大多都是研究“顾客与员工互动”对顾客满意度的影响, 少有“顾客与顾客间的互动”对顾客满意度的影响。在美容业的研究中, 顾客间的互动可能非常重要, 几乎是美容院中不可避免的环节, 因此, 是个值得研究的课题。

在许多其他服务中, 客户兼容性问题服务管理的重要考虑因素。目前还未有学者把“顾客兼容性”作为研究顾客满意度关系的调节变量, 与其他客户的一次正面 / 负面交互可能会决定是否再次光顾 (Parker & Ward, 2000)。因此, 本研究欲探讨美容业中顾客兼容性是否对顾客间互动、服务接触与顾客满意度有正向调节作用。因此, 本研究对研究中使用的变量进行如下梳理:

### 2.1 顾客间互动

Georgi and Mink (2013) 认为顾客在产品消费或服务获取过程中相遇, 并产生各种类型的个体互动行为或群体互动行为。本研究参考蒋婷 (2012) 的主张, 顾客间互动的操作性定义是: 在美容院, 一个顾客 (一组顾客) 主动或被动地与另一个顾客 (一组顾客) 之间产生的语言或非语言的各种形式的直接的或间接的交流和信息传递的过程。

### 2.2 服务接触

周逸衡与凌仪玲 (2005) 认为服务接触的重点是要让顾客借由人际间的接触、互动与交流获取整个消费经验, 并对所涉及的传递接触有透彻了解。服务人员是客户在服务中最重要的信息来源。拥有高水平专业知识的服务提供者会影响客户对角色的清晰性、能力和实现预期所需的动机的获取 (Dellande, Gilly & Graham, 2004)。本研究参考陈立昕 (2014) 的主张, 服务接触的操作性定义是: 顾客与美容院员工之间双方的互动质量, 且不包括人员互动以外的因素。

表 1 服务接触的三维度划分

维度	定义
相互揭露	服务人员与顾客以面对面沟通的方式，互相透露自己的想法、经验或感觉。
礼仪	服务人员与服务接触过程中所表现的谈吐、行为给顾客的感受。
专业能力与顾客知晓	服务人员的专业知识、训练、经验、资历以及技能等，以及对顾客的需求或特殊要求所做的努力以及了解。

资料来源：陈立昕 (2014)

### 2.3 体验价值

张凤超与尤树洋 (2009) 认为体验价值是顾客亲身经历消费过程，与企业共同创造并维系的一系列微妙、多样的价值感觉或知觉状态。并非用户单方面拥有，而是用户与其他用户、与企业 / 组织共同创造的价值，互动是共创体验价值的基本特征 (王新新, 潘洪涛, 2011)。本文参考龚翔 (2014) 的定义，体验价值是顾客在美容院消费过程中，在与其他顾客和员工互动的基础上产生的对服务的整体价值感受和评价。

表 2 体验价值三维度划分

维度	定义
功能体验价值	顾客在消费服务与互动的过程中，对服务产品或整体服务在功能特性上的主观认知和评价。
情感体验价值	顾客在消费服务与互动过程中被引发的情感、情绪或心情。
社会体验价值	顾客在消费服务于互动的过程中，对满足社会归属感和认同感等社会性需求的整体感知和评价。

资料来源：龚翔 (2014)

### 2.4 顾客积极情绪

在服务经济中，客户是组织最重要的资产。如果组织想要增加客户，就必须重视客户的真实感受，提供定制化的服务来满足客户的需求，这就是所谓的真正拥有客户 (Wu & Shen, 2013)。本研究参考景奉杰、赵建彬与余樱 (2013) 的定义，顾客积极情绪是顾客个体在美容院中感到热情、活跃、警觉的程度，积极情绪意味着个体处于一种高度能量激活、全神贯注、愉快、投入等状态。

### 2.5 顾客满意度

廖阡雅 (2015) 将顾客满意度定义为消费者对美容 SPA 所涉及到的多重服务项目之表现与理想中美容 SPA 顾客满意度之整体评价。顾客满意度是受到顾客“预期水平”与“实际感受水平”两者间之差距的影响，是种顾客在接受服务后情绪的变化，其反应会受到地点、时间与情境因素的改变而有所变化 (孙志敏, 2017)。本研究参考陈芝嫒 (2016) 的定义，顾客满意度是美容院顾客的相对判断，即指个人对于服务后所感觉的程度高低，指消费者在购买期望下对产品品质的购后评价。

### 2.6 顾客兼容性

Martin & Pranter (1989) 认为服务的环境由许多不同的顾客所组成，而每一位顾客会选择与



自己最兼容的环境，但是当顾客感受到环境与自己不兼容时，则很有可能会选择到别家消费，例如在餐厅吃饭时，有小孩子在餐厅里四处奔跑。刘晶晶 (2014) 将顾客兼容性界定为身处同一服务现场或场景中的顾客所感知的其他顾客与自身之间相互匹配的程度，顾客与有利于自身服务经理的其他顾客 (群) 之间是兼容的，与有损于自身服务经历的其他顾客 (群) 之间是不兼容的。本研究参考 Martin (1996) 的定义，认为顾客兼容性是指顾客互动中顾客可接受的行为，也就是他们对另一个人的存在会觉得舒适，且能容忍其他人的口头与肢体的行为，简单的说就是测量对负面行为的容忍度与心理舒适度。

表 3 顾客兼容性二维度划分

维度	定义
容忍度	顾客是否会因陌生顾客的存在而感到心烦。
心理舒适度	顾客与其他顾客相处的舒适度。

参考资料：Martin (1996)

### 3.研究假设

#### 3.1 顾客间互动与体验价值之相关研究

Kim and Choi (2016) 研究发现：“朋友互动”和“观众互动”质量感知对顾客体验质量有显著影响，而临近的“顾客互动”质量感知只对较低的沟通质量有显著影响。Lemke, Clark and Wilson (2011) 指出，顾客对顾客的交互质量 (即点对点质量) 是顾客相互交互优势的感知判断，是传递优质顾客体验的关键因素。王涛涛 (2015) 通过实证研究发现，顾客间的网络互动对于顾客体验价值有显著的正向影响。李志兰 (2015) 在对顾客间互动的研究指出顾客间互动的水平也能够给顾客带来顾客价值，包括功能性价值、社会性价值和体验性价值。顾客互动同顾客价值之间存在内在联系：良好顾客互动中的赞美、帮助可以提升顾客体验价值，但是批评、争吵则会降低顾客体验价值。

#### 3.2 顾客间互动与顾客积极情绪之相关研究

Csikszentmihalyi (1997) 基于对个体的自发性活动 (如艺术创作、攀岩或舞蹈) 的心理学研究，将心流概念化一种 (积极的) “完整”状态、完全参与和完全沉浸 / 吸收状态。Csikszentmihalyi (1997) 注意到，当个体相互作用时，心流发生。(社会) 流动通常被描述为一种“理想状态”，通过这种状态，互动的游客会以积极的情感结果的形式实现价值 (Arnould & Price, 1993)。Lin & Liang (2011) 认为顾客间互动在传递信息方面起着非常重要的作用，因为顾客间互动能让他们产生愉悦的情绪反应。

#### 3.3 顾客间互动与顾客满意度之相关研究

Parker and Ward (2000) 认为若没有服务者的协助，顾客间的互动变得很重要，且借由不同角色的扮演及互动，能提升满意度。Imankhan, Fakharyan & Feyzabadi (2012) 对伊朗航空公司的 384 名客户进行了调查发现，通过提高顾客间互动来提升顾客对公司的满意度以及口碑行为是有效途径。顾客间互动对顾客的行为态度产生的影响主要有顾客认同、顾客满意、购买意愿、口碑传播、顾客忠诚 (田婷, 2017)。陈怡如 (2013) 以情境因素探讨问题游客失误对满意度之影响时，发现当拥挤知觉越高时，消费者会感受到压力，除了影响到消费者的信息处理能力、降低愉悦感及正向情绪，亦会影响至消费者情绪及满意度。

### 3.4 服务接触与体验价值之相关研究

Guiry (1992) 认为体验的核心大部分是来自服务传送中的各种互动事件。最近一次的服务接触所衍生的顾客认知经验, 是影响顾客服务体验及服务质量感受的重要因素(Glushko & Tabas, 2008)。Baker, Parasuraman, Grewal and Voss (2002) 以周遭因素、设计因素与社会因素做为环境构面, 研究结果环境构面会对于体验价值产生正相关, 此结果代表环境会影响消费者观感, 进而进行主观性判断。李蓉 (2016) 通过对旅游目的地服务接触的研究, 发现服务接触的五个维度中只有语言沟通、服务态度、服务行为和服务技能等四个维度对游客体验价值有显着正向影响, 仪表仪态对游客体验价值无显着影响。

### 3.5 服务接触与顾客积极情绪之相关研究

Price, Arnould, and Tierney (1995) 在服务过程中, 发现积极的情绪反应会受到服务提供者是否满足礼貌的最低标准、是否给予顾客额外的关注和相互理解、是否被认为是真实的、是否表现出色等因素的影响。金立印 (2008) 对银行业中的服务接触行为进行了研究, 主要分析服务人员的沟通行为对顾客情感状态和行为反应的影响, 结果表明服务人员的不当沟通行为会负向影响顾客的情感反应, 而服务人员的体型外貌、着装打扮等对顾客的情感影响作用并不明显, 但顾客的情感状态会直接影响其行为意向。在服务接触中, 与员工的互动会令顾客经历如高兴和喜悦、温暖、满足、愤怒和挫折、失望和后悔等一系列的情感反应。

### 3.6 服务接触与顾客满意度之相关研究

Martin (1996) 表示在大多数服务环境中, 近距离的接触、口语交谈等都会影响顾客的满意度。Huang (2008) 研究发现人际关系 (包括员工和其他客户) 是决定客户满意度的关键因素。直接接触顾客对员工的行为对顾客对服务的评价至关重要 (Guenzi and Pelioni, 2004; Reynolds and Beatty, 1999)。Sundaram & Webster (2000) 经过研究证明了服务接触过程中的肢体动作、语音语调、两者身体间的距离以及面部情绪都会对顾客满意程度产生或大或小的影响。周志谦 (2005) 以饭店业为其中一例, 探讨服务接触要素对顾客满意度的影响, 实证研究发现顾客若与服务人员以及其他顾客互动之间良好的话, 可以增加顾客对该饭店的满意度。

### 3.7 体验价值与顾客满意度之相关研究

黄飞雪 (2014) 对国立传统艺术中心游客进行研究, 发现体验质量感受会直接影响参观满意度。苏珊 (2014) 对台北市运动主题餐厅的消费者为研究对象, 发现消费者体验质量直接影响满意度。于锦华与张建涛 (2015) 在对温泉旅游者的满意度研究中, 发现功能性体验价值、象征性体验价值、享乐性体验价值对温泉旅游者满意度均有显着的正向影响。

### 3.8 顾客积极情绪与顾客满意度之相关研究

Dube, Belange and Trudeau (1996) 进行了一项专门针对医疗服务的研究表明正面情绪越大, 医疗服务的满意程度就越高, 但是负面情绪对不满意的影响却不是固定的, 有时这种情绪并不能导致不满意。顾客的情绪往往与最近的服务体验和服务前的情绪密切相关 (Holbrook & Gardner, 2000)。

### 3.9 顾客兼容度与顾客满意度之相关研究

夏扩富 (2007) 对游客的顾客兼容性和顾客满意度进行研究, 发现顾客兼容性可以影响顾客满意度的高低, 其中顾客兼容性分为舒适度和容忍度两个维度, 舒适度高于容忍度的影响力。

谢如奕 (2006) 通过对国外旅行团顾客兼容性前因后果的研究,发现顾客兼容性越高,则顾客满意度越高,无论在台湾、日本,大陆皆成立。张正梁 (2011) 以主题乐园为研究对象对顾客兼容性和顾客满意度进行研究,发现顾客兼容性的两个维度“容忍度”和“舒适度”中,“容忍度”与顾客满意度呈正向关系。

### 3.10 研究假设

依据上述变量间关系的推论,本研究提出下列假设:

- H1: 顾客间互动对顾客积极情绪有正向影响。
- H2: 顾客间互动对体验价值有正向影响。
- H3: 服务接触对顾客积极情绪有正向影响。
- H4: 服务接触对体验价值有正向影响。
- H5: 顾客积极情绪对顾客满意度有正向影响。
- H6: 体验价值对顾客满意度有正向影响。
- H7: 顾客间互动对顾客满意度有正向影响。
- H8: 服务接触对顾客满意度有正向影响。
- H9: 顾客积极情绪在顾客间互动对顾客满意度的影响中有中介作用。
- H10: 顾客积极情绪在服务接触对顾客满意度的影响中有中介作用。
- H11: 体验价值在顾客间互动对顾客满意度的影响中有中介作用。
- H12: 体验价值在服务接触对顾客满意度的影响中有中介作用。
- H13: 顾客兼容性对顾客间互动对顾客满意度的影响有正向调节作用。
- H14: 顾客兼容性对顾客积极情绪对顾客满意度的影响有正向调节作用。
- H15: 顾客兼容性对体验价值对顾客满意度的影响有正向调节作用。
- H16: 顾客兼容性对服务接触对顾客满意度的影响有正向调节作用。

### 3.11 研究框架

依据上述变量间关系的推论及研究假设,本研究提出下列研究框架:

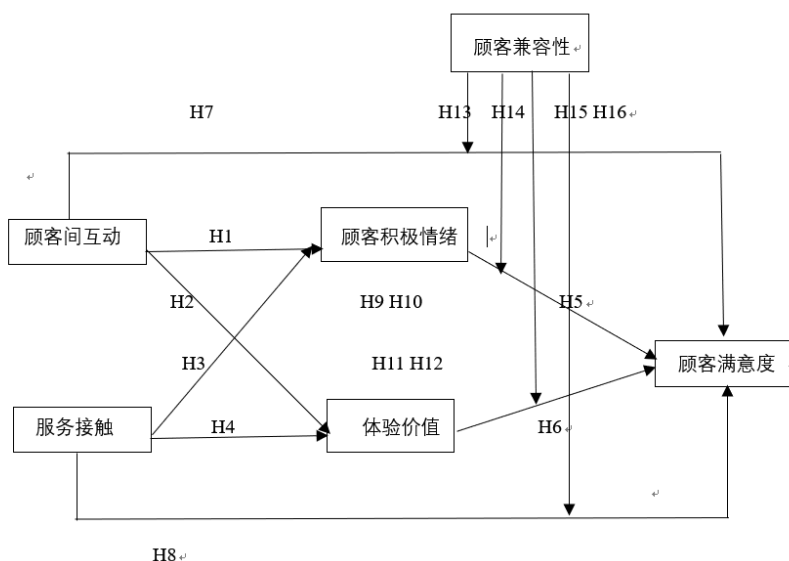


图 3.1 研究框架

## 4.研究对象与数据收集

### 4.1 研究对象

由于研究限制，针对美容业的研究无法对全国样本进行简单随机抽样。因为河南省郑州市位于中原地区，存在大量的美容消费者，所以本研究采取便利抽样法，针对河南省郑州地区的美容消费人群进行调查。同时，为了扩大样本的普遍性和针对性，提高样本回收速率，节约调查成本，本次调查拟通过问卷星发放网络电子问卷的方法采集数据。通过郑州的贴吧、郑州的美容交流论坛以及女性较多的郑州模特微信群、郑州主持人微信群、郑州的美容交流微信群等，发放电子问卷。

基于本研究的研究问题与动机，结合本次研究中对量表的综合分析与整理，确定了本次研究中涵盖 41 个问项。Tinsley and Tinsley (1987)建议，每个题项数与样本数的比例大约为 1:5 至 1:10 之间，为保证调查样本的稳定性，选取量表问项数量的 10 倍为调查的样本量，即确定为  $41 \times 10 = 410$  份，故本次调查预期发放问卷 410 份。

### 4.2 数据分析方法

#### 4.2.1 描述性统计

描述性统计是样本基本资料特性的描述，是对统计数据进行整理和描述的方法，本研究采用次数分配法，百分比等统计资料了解受测者在基本资料的分配情形。

#### 4.2.2 信度分析

信度分析是用来衡量结果的稳定性及可靠性，也就是测量的一致性程度，一般以 Cronbach's  $\alpha$  值来检定各个衡量变数的内部一致性程度，一般来说，Cronbach's  $\alpha$  值是介于 0-1 之间，若分析结果的信度越高，则  $\alpha$  值就越高，各量表整体信度 Cronbach's  $\alpha$  值介于 0.35-0.7 之间，表示各项目间的内部一致性很高；若  $\alpha$  值介于 0.35-0.7 之间，则在首次发展量表的探索性研究中仍属可接受水准；而  $\alpha$  值小于 0.35 表示信度很低，则应予以拒绝。

#### 4.2.3 效度分析

效度分析是指用来衡量的工具是否能真正衡量到研究者想要衡量的问题，若衡量量表的效度越高，表示其结果越能代表衡量的目的。在同一因素构面中，若各题目的因素负荷量越大（一般以大于 0.5）为准，则越具有收敛效度。若问卷题目在非所属因素构面中，其因素负荷量越小（一般以低于 0.5 为准），则越具备区别效度。

#### 4.2.4 差异分析

为了了解各独立样本在各构面因素的差异，本研究采用单因子变异数分析和多重比较（雪菲法，Scheffe Method）。单因子变异数分析师用来分析由一个或多个以上的变量所形成的不同群体在某一计量准则变数上的差异。经单因子变异数分析后，若发现两组以上呈显著水平时，则进行雪菲法事后多重比较，以判别组别间的差异。

#### 4.2.5 相关分析

一般来讲假设检验首先应该对研究模型中的假设进行初步检验，也就是对研究假设涉及到的各变量之间进行相关分析。本研究拟运用 SPSS Statistic 23.0 统计软件对变量进行相关分析，以检验假设中各个变量之间的相关系数及显著性。

#### 4.2.6 回归分析

本研究采用复杂回归，由此分析可以了解理论框架中自变量对依变量的预测能力，以及影响强度和变数之间的关系。再采用简单回归分析感知价值对冲动性购买的影响，验证所提出的假设是否成立。

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## 品牌认知对购买意图的影响： 品牌情感与品牌态度的中介作用及品牌促销的调节作用

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### 摘要

消费者在使用社交平台，开始进行购买行为时，对品牌可能有了初步认知，但消费者认知的涉入度高低却不同、或消费者不一定是具有固定目标的搜寻，但是否会因为基于这样的平台而产生或加强购买意图呢？消费者对品牌的情感态度是否会影响其意图呢？同时，如若电商或品牌正在进行促销活动时，是否会影响消费者购买意图的行为呢？本研究经由文献探讨消费者品牌认知如何影响其购买意图，并研究品牌情感与品牌态度是否具有中介效果以及品牌促销是否具有调节作用，因此形成相关假设，建构一研究框架，拟以小红书搜索口红品牌（YSL 圣罗兰）信息的用户人群为抽样调查对象，进行后续实证研究，期能在理论上或实务上提供建议。

**关键词：**社交电商；品牌认知；品牌情感；品牌态度；品牌促销

### 1. 绪论

网络时代，网购成为最为快捷便利的购物消费方式之一。而网络购物为了越来越能适应迎合消费者亦在不断改变，以小红书为代表社交电商的快速发展就体现了这样一种趋势。本文旨在研究社交电商中，社交 UGC 对消费者购买意图影响的目的动机。

中国互联网络信息中心（CNNIC）2018 年最新发布的第 42 次《中国互联网络发展状况统计报告》（以下简称报告）中显示，社交电商作为一种基于社会化移动社交而迅速发展的新兴电子商务模式，自 2013 年出现后，连续五年高速发展。2018 年，中国社交电商市场规模预计达到 11397.78 亿元，较 2017 年增长了 66.73%。社交电商简单来说，就是社交+电商的模式，社区是建立让用户相互交流的社区，电商是同时进行商品买卖。比如，小红书、贝店、有赞、拼多多、蘑菇街等。

传统网络购物存在的一大弊端就是，消费者对自己所要购买的产品的的基本信息、价格、使用体验了解程度不高，商品品质如何、正品与否、有无售后等问题亦不清楚（魏茜，2018；庞京川，2018；杭丽芳，2016）。因此，消费者需要在网络上获取更多、更具体的商品信息，更大程度的依赖于用户的反馈和推荐，再做出自己的购买行为决策（魏茜，2018；庞京川 2018；曾文晔，2017）。正是基于这样的用户需求，2013 年，小红书创建了一个 UGC 的社区平台，供用

户在该社区平台软件上进行相互交流，也提供电商购买，而迅速发展成为电商新模式的代表。曾文晔（2017）和庞京川（2018）表示，通过这样的平台，越来越多的消费者愿意主动分享自己的购买体验和心得，也越来越倾向于在消费之前通过搜索其他消费者分享的购物体验，通过参与互动，很容易做出也很容易影响消费者的购买意图。小红书用户价值的释放，给消费者带来极大便利，为购买提供很多帮助，影响了获取信息和做决策的方式。

### 1.1 研究动机

在过去的研究中，多是将社交电商视为口碑营销的一种探讨消费者购买意图或是意象的研究；或是社交电商中UGC用户体验的构成要素对购买意愿的影响、或是社交电商中社会化分享对消费者的影响等方面的研究内容。而在网络购物的消费者购买行为中，这一行为是在认知和情感态度的基础之上建立的。只有消费者对品牌有充分的认知并产生积极情感态度，消费者才会发生购买行为（李心仪，2018；裴佳，2014）。而消费者在使用社交平台，开始进行购买行为产生时，已经品牌有了认知，但消费者认知的涉入度高低却不同、或是消费者不一定有目标的搜寻，但是否会因为基于这样的平台而产生或加强购买意图呢？消费者对品牌的情感态度是否会影响其意图呢？同时，如若电商商家或品牌正在进行促销活动时，是否会加强消费者购买意图的行为呢？如若能够厘清上述问题，则会对社交电商中，UGC内容如何展示对消费者购买意图影响更深有所了解。

### 1.2 研究目的

本研究主要探讨的是社交电商小红书中的UGC社区用户体验内容对消费者购买意图的影响，研究的目的如下：

1. 探讨基于社交电商小红书为例的UGC用户体验内容中，消费者不同搜集方式与购买意图之间的关系。
2. 探讨品牌认知与品牌情感相互作用之间，消费者的品牌态度对消费者购买意图的影响。
3. 探讨基于网络购物模式下，促销活动在该关系中是否会加强消费者的购买意图。

### 1.3 研究问题

基于本研究的动机与研究的目的，归纳研究问题如下：

1. 品牌认知对消费者购买意图是否有正向影响关系？
2. 品牌认知对购前搜集是否有正向影响关系？
3. 品牌认知对经常性搜集是否有正向影响关系？
4. 品牌认知与品牌情感之间是否具有交互关系？
5. 品牌情感对品牌态度之间是否有正向影响关系？
6. 品牌情感对购买意图是否有正向影响关系？
7. 购前搜集对品牌态度是否有正向影响关系？
8. 经常性搜集对品牌态度是否有正向影响关系？
9. 品牌态度对购买意图是否有正向影响关系？
10. 品牌促销对品牌认知与购买意图关系之间是否有调节作用？
11. 品牌促销对品牌态度与购买意图关系之间是否有调节作用？
12. 品牌促销对品牌情感与购买意图关系之间是否有调节作用？



## 2. 文献综述

### 2.1 理论基础

#### 2.1.1 理性行为理论

理性行为理论(Theory of Reasoned Action, TRA)被视为消费者购买意愿对消费者行为影响研究领域的基础理论,基本观点认为,消费者的行为是由其所采取行为的购买意愿所决定的,而消费者的购买意愿是由消费者的态度和主观规范决定的。(刘屏屏,2012)。

#### 2.1.2 非理性行为理论

Simon (2004)提出,消费者购买过程中的诸多限制条件导致非理性行为的产生。消费者购买意图难以实现完全理性,而带有非理性成分。

### 2.2 品牌认知

#### 2.2.1 定义

马述忠与徐陆颖(2010)认为,品牌认知是消费者识别和记忆某品牌是某一产品类别的能力,从而在观念中建立起品牌与产品类别间的联系。

#### 2.2.2 衡量

刘屏屏(2012)对品牌认知衡量结果整理结果有: Martin and Brown (1990)从消费者认知的角度出发来对品牌进行衡量,分别为感知质量(Perceived Quality);感知价值(Perceived Value);品牌形象(Brand image);信任感(Trustworthiness);品牌承诺(Brand Commitment)。本研究因此则采用刘屏屏(2012)整理的品牌认知衡量量表进行衡量。

#### 2.2.3 品牌认知与购买意图关系

庄爱玲与余伟萍(2010)认为品牌认知在消费者购买行为中起到了非常重要的作用,影响决策行为。李心仪(2018)研究认为品牌认知会对消费者产生刺激,而促使消费者产生购买。

#### 2.2.4 品牌认知与消费者信息收集关系

Guo, Huang and Lin (2016)认为,购前搜集经常性搜集的消费者对产品信息感兴趣,并推测由于他们对产品类的热情,这些拥有丰富信息的消费者会继续进行搜集信息。而购前搜集的消费者他们不一定会对某些产品品牌感兴趣而经常收集信息。只有当他们明确购买目标,才会积极搜集信息。他们注意到认知行为与信息搜集相互影响。庄爱玲与余伟萍(2010)表示信息是认知形成的基础,掌握其与消费者认知的相互作用关系很强意义。

#### 2.2.5 品牌认知与情感关系

消费者的认知和情感态度共同影响作用下,消费者会发生购买行为(何建平与王洋,2014;李心仪,2018)。庄爱玲与余伟萍(2010)品牌认知与消费者情感之间具有双向互倚的关系,二者均对品牌态度和购买意愿产生影响,而最终决定消费者购买行为。

### 2.3 品牌情感

#### 2.3.1 定义

Chaudhuri and Holbrook (2001)将品牌情感定义为,一个品牌在消费者的使用过程中引发积极情感性反应的潜力。

### 2.3.2 衡量

谢毅（2012）和陈立彬（2012）参考了 Chaudhuri and Holbrook 的量表。本研究则采用谢毅（2012）整理的积极情感的题项进行衡量。

### 2.3.3 品牌情感与态度关系

越来越多的研究成果揭示非认知因素（如，情感）对态度的形成和改变具有重要的影响作用。Bodur, Brinberg, and Coupey（2000）通过实验直接验证了情感作为态度的决定性因素，对态度具有直接的、独立的认知结构的影响。

### 2.3.4 品牌情感与购买意图关系

李心仪（2018）研究结果也表示，品牌选择和品牌购买都是建立在品牌认知和情感态度基础之上的。庄爱玲与余伟萍（2010）对于品牌认知或是情感，两者相互作用的关系有助于企业更好地掌握顾客行为特征，促使其产生购买行为。

## 2.4 购前搜集、经常性搜集

### 2.4.1 定义

在外部搜索中，根据使用购买意愿和购买准备区分为两种类型：购前搜集(Pre-purchase Search)和持续性搜集(Ongoing Search)。符国群（2001）认为，购前搜集系消费者为解决某一特定购买的问题而开展的信息搜寻活动；经常性搜集系不针对特定购买需要或购买意图而进行的信息搜集活动。

### 2.4.2 衡量

国内对于信息收集的衡量角度，鲜有从购前搜集、经常性搜集这两个方面进行研究的。影响前期搜索水平的其他因素包括市场环境、情景因素和产品熟悉度(Moore and Lehmann, 1980)。经常性搜索的水平是涉入度(Bloch, 1981; Bloch and Richins, 1983; Tigert, Ring and King, 1976)。在这种情况下，这种涉入是持久的，反映了持续的兴趣，而不是由于购买需求引起暂时的兴趣。与购前搜集一样，经常性搜集的水平也收到了市场因素的影响，如产品信息和时间可用性或其他情况限制(Bloch *et al.*, 1986)

### 2.4.3 购前搜集与决策关系

搜索活动会导致各种结果，对于购前搜集，文献中提及的结果包括更好的选择决策、更高的产品和更专业的市场专业知识，以及对做得好的采购工作更高的满意度(Punj and Stadlin, 1983)。

## 2.5 品牌态度

### 2.5.1 定义

华冉冉（2013）认为，品牌态度系消费者对一个特定品牌做出持续的偏好或厌恶倾向，是品牌认知、品牌情感以及品牌选择倾向三者相结合的一种心理倾向。

### 2.5.2 衡量

华冉冉（2013）指出，目前理论研究中主要存在一维、二维和三维划分方式。一维即其只包含了情感成分(Osgood, 1957)。而后，一些学者开始把品牌态度的构成定义为，消费者对于品牌满足自身需求和目标能鼓励的总体评价，并将品牌态度划分为认知因素和情感因素这两个维度(Percy & Rossier, 1992)。

### 2.5.3 品牌态度与购买意图关系

品牌态度作为消费者通过对信息搜集处理到对品牌的情感，而形成的正面或负面的评价，进而造成消费者是否购买的状态行为。

## 2.6 购买意图

### 2.6.1 定义

Howard(1988)指出，购买意图则是在特定时间内，消费者购买某产品的几率高低的评估标准。

### 2.6.2 衡量

Dodds *et al.* (1991)从购买可能性、购买此品项的可能性、以此价格购买、购买的几率、购买的意愿等构面，一共 5 个题项作为衡量购买意图的量表。本研究采用 Dodds *et al.* (1991)的题项进行衡量。

### 2.6.3 品牌态度与购买意图关系

多数学者研究认为品牌态度是影响购买意图的重要因素之一（花千惠与胡凯杰，2014）。

## 2.7 品牌促销

### 2.7.1 定义

许娟（2015）认为，促销是企业为了向消费者传递产品的设计理念、展示产品的使用功能等信息，达到引起消费者购买性行为的营销活动。

### 2.7.2 衡量

本研究采用 Campbell and Diamond (1990)的观点，以“非金钱促销”与“金钱促销”作为衡量促销的活动的衡量变项，其中非金钱促销指的是赠品等。金钱促销指的是折价券、降价等。

### 2.7.3 品牌促销与购买意图关系

品牌的促销活动确实与购买意图之间存在影响关系，且能影响意图的不同。刘艳红等人（2012）研究结果表明不同的促销方式对消费者的购买行为上存在差异。许娟（2015）研究表明赠品促销对消费者购买意图行为上有影响关系。庄胜雄等人（2017）研究表明网络购物中，价格促销对消费者购买行为意图上有影响。

## 2.8 研究假设

根据前述变量间关系,提出研究假设如下:

- H1 品牌认知正面影响购买意图。
- H2 品牌认识正面影响购前搜集。
- H3 品牌认知正面影响经常性收集。
- H4a 品牌认知正面影响品牌情感。
- H4b 品牌情感正面影响品牌认知。
- H5 品牌情感正面影响品牌态度。
- H6 品牌情感正面影响购买意图。
- H7 购前收集正面影响品牌态度。
- H7a 购前搜集在品牌认知与品牌态度之间具有中介作用
- H8 经常性搜集正面且显着影响品牌态度。

H8a 经常性搜集在品牌认知与品牌态度之间具有中介作用

H9 品牌态度正面且显著影响购买意图。

H10 促销对品牌认知对购买意图的影响有正向调节作用。

H11 促销对品牌态度对购买意图的影响有正向调节作用。

H12 促销对情绪对购买意图的影响有正向调节作用。

## 2.9 研究框架图

根据已有文献分析七个变量之间的关系，建立研究框架如下图所示：

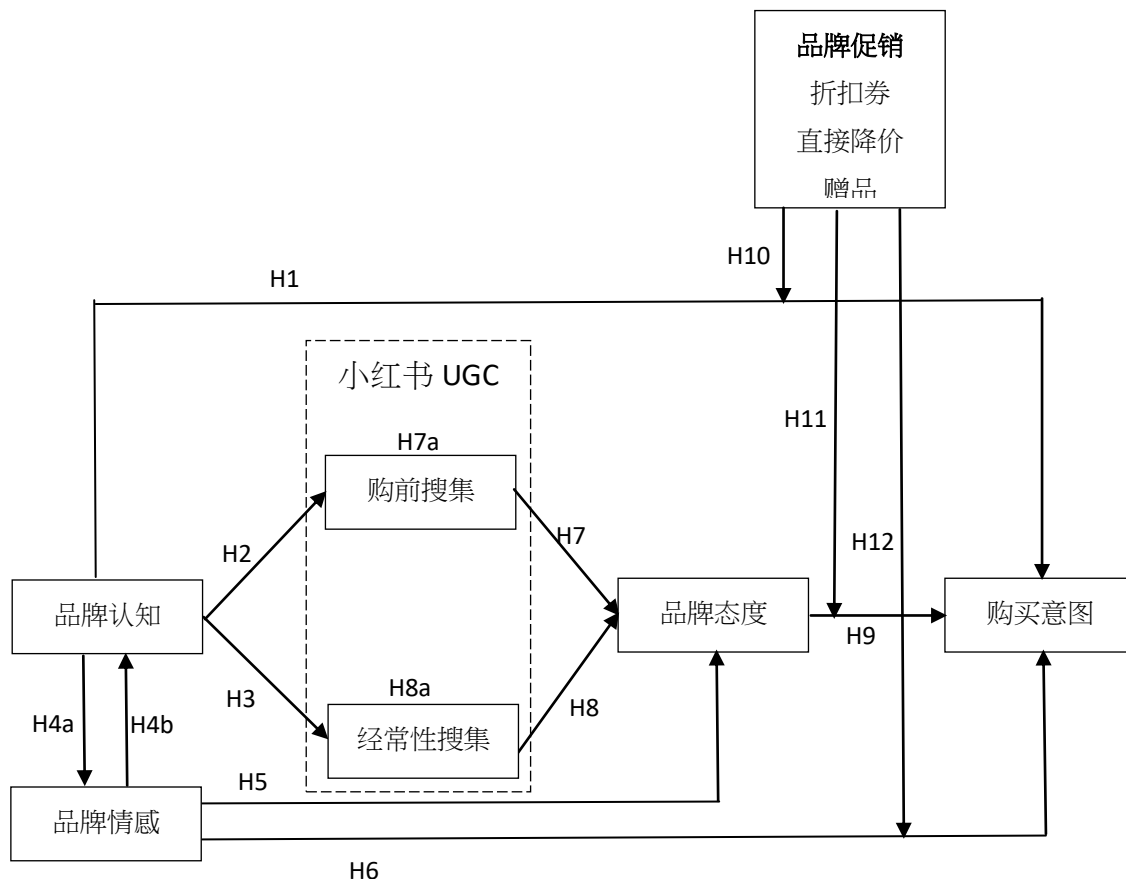


图 2.1 研究框架图

## 3 研究方法与设计

### 3.1 变量定义与衡量

本研究有七个主要的研究变量，“品牌认知”“情感”“购前搜集”“经常性搜集”“品牌态度”“购买意图”“促销”。根据本文的研究框架以及研究目的、文献探讨，分别对这七个变量的定义及衡量做出阐述。

#### 3.1.1 品牌认知定义与衡量

##### (a) 操作性定义

本研究参考刘屏屏（2012）对品牌认知的定义，品牌认知是消费者对品牌各种形式的认知作用的总和，既包括品牌形象认知，又包括品牌价值认知。品牌形象认知是消费者对品牌特点、市场地位、大众评价等可被识别的外部特征的整体判断；品牌价值认知是消费者通过品牌产品体验或预期，针对其感知利益及品牌情感，对品牌内在价值做出的判断。

#### **(b) 衡量**

本研究依据刘屏屏（2012）整理出的品牌认知题项，其中包括品牌知名度、品牌联想、社会形象、感知质量、感知价值、品牌信任及品牌忠诚度等品牌认知构面。

### **3.1.2 品牌情感定义与衡量**

#### **(a) 操作性定义**

情感的操作性定义则参考谢毅（2012），消费者无论有多少该品牌的认知，无论使用过小红书搜集信息与否，消费者在对该品牌、以及在使用该品牌产品时都能产生丰富的情感，并引发消费者积极情感性反应潜力。

#### **(b) 衡量**

情感的衡量量表主要参考的是谢毅（2012）整理的积极情感的题项内容，积极情感主要是消费者因品牌而产生的正面情绪。

### **3.1.3 购前搜集定义与衡量**

#### **(a) 操作性定义**

参考 McLelland and Turner (1983)对购前搜集的操作性定义：消费者在既有一定认知下，使用小红书对某一品牌进行购买前的信息收集的行为。

#### **(b) 衡量**

购前收集衡量研究多是观察研究进行调研。McLelland and Turner (1983)则是两项观察性研究，同时还进行了四项调查测量。本研究采用四项调查测量进行衡量，并根据本文研究性质进行了修改。

### **3.1.4 经常性搜集定义与衡量**

#### **(a) 操作性定义**

参考 Bloch *et al.* (1986)经常性搜集的操作性定义：消费者在既有一定认知下，并未有明确的购买行为意图下，使用小红书进行品牌的信息搜集的行为，是属于例行性、无特定性的目标搜寻。

#### **(b) 衡量**

经常性搜集衡量采用学者 Bloch *et al.* (1986)设立的题项。因为基于社交电商而不是线下商店，因此对题项作出符合背景的修改。信息收集措施范围从“完全没有信息”到“非常有信息”；享乐范围从“一点也不愉快”到“嫉妒愉快”。

### **3.1.5 品牌态度定义与衡量**

#### **(a) 操作性定义**

品牌态度的操作性定义参考符国群（2001）：消费者在使用小红书收集信息后，都会影响对该品牌的认知上的评价、情感上的感受和行为上的倾向。

#### **(b) 衡量**

品牌态度的测量，采用谢毅（2012）整理的语义差异与确定性两个维度的量表进行衡量。

### 3.1.6 购买意图定义与衡量

#### (a) 操作性定义

根据 Lardinoit and Derbaix (2001)的定义, 购买意图的操作性定义为, 消费者有特定需求, 或并未有特定的需求, 但都使用小红书收集品牌相关讯息, 并对这些讯息进行决策性评估, 在最后都会作出购买某一特定产品推出的产品与服务。

#### (b) 衡量

购买意图将参考 Dodds *et al.* (1991) 整理的衡量量表。以购买可能性、购买此品项的可能性、以此价格购买、购买的几率、购买的意愿这几个构面来作为衡量购买意图的量表。

### 3.1.7 品牌促销定义与衡量

#### (a) 操作性定义

参考林杨助、李宜致、林吉祥与林婉婷 (2009) 定义, 将促销方式分为价格促销及赠品促销。价格促销分别为, 折价券: 消费者凭此优惠券才能获取此购物的折价优惠; 直接降价: 每位消费者都可于店里享受此折价优惠。陈念骐等人 (2008) 赠品: 消费者购买某项产品即附赠一项赠品, 甚至更多项的赠品。

#### (b) 衡量

促销方式的衡量题项根据林杨助等人 (2009) 和陈念骐等人 (2008) 整理得出, 分为三个维度: 折扣券、直接降价、赠品。

### 3.2 研究对象与数据收集

本研究将以在小红书搜索口红品牌 (YSL 圣罗兰) 信息的用户人群为调查对象, 且采用问卷非概率抽样的方法, 有针对性地发放问卷。考虑到小红书用户的多样性, 在问卷中加入控制变量 (年龄, 性别, 学历水平, 职业, 收入水平), 以便研究结果的准确性有效性。

问卷将采用 Likert 的 5 点量尺方式, 作为问卷的填答尺度。考虑到样本数量的有效性, 因此回顾相关文献, 发现学者发放数量为 300-400。同时为了问卷题项的准确性通过预测发放 20-50 份小样进行信效度分析 (曾文晔, 2017; 庞京川, 2018; 孙珊珊, 2017; 魏茜, 2018)。因此, 为保证本研究的问卷数量有效性, 因此综上述文献参考后, 决定为期一个星期的时间, 在线上先进行发放 30 份小样的预调查, 再发放数量为 350 份调查问卷的形式。

### 3.3 数据分析方法

问卷回收以后, 对采集回收的有效问卷编码并将其整理输入至 Excel 文件中, 以利于后续研究的分析。运用 IBM SPSS Amos 21.0.0 与 IBM SPSS Statistics 20 版本的统计软件进行数据分析。依据研究目的与研究假设的需要, 采取的资料分析包含叙述性统计分析, 信度效度分析, 相关分析, 复回归分析, 中介检验, 调节检验等。

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# 中国知网近十年初中数学教学方法研究之后设分析

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## 摘要

随着我国教育改革的持续推进，对数学教学方法的讨论也一直没有停歇，对于数学教学方法的研究也是日新月异，因此，找到一种最适合初中数学教学的教学方法是十分重要的。本研究将数学教学方法分为“直观性教学”、“情境教学”、“其它”三类，并使用统合研究方法中的后设分析法，对不同的教学方法对于初中学生的数学成绩的影响是否一致进行研究。为了保证本研究的结论足够准确，本研究的样本是从中国知网上搜集的44篇相关论文，“直观性教学”类13篇，“情境教学”类13篇，“其它”类18篇。本研究的结论有以下两点，分别为：（1）不同的教学方法对于初中学生的数学成绩的影响是一致的。（2）新型学习方法对初中生的数学成绩的影响的效果量为正。

**关键词：**后设分析；中学数学

## 1. 绪论

### 1.1 研究背景

随着我国教育改革的持续推进，对数学教学方法的讨论也一直没有停歇，对于数学教学方法的研究也是日新月异。种类繁多的数学教学方法被研究者们提出，例如利用互动式白板等多媒体设备进行的“多媒体教学”，或是近年来十分流行的“翻转课堂教学”等等。然而，虽然人们也已经意识到通过改革数学教学方法可以提高数学教学质量，提升学生的数学成绩，但是却很少有研究对不同的方法进行比较，进而指出最适合数学教学的教学方法。

毫不夸张的说，初中数学是学习数学最重要的阶段。初中数学正式从小学的“一个苹果加一个苹果等于两个苹果”这种“具体数学”走出，进入了“抽象数学”的世界。在初中数学的学习中，学生将系统的学习“整式”、“函数”等概念，为将来更深入的学习数学或相关知识——例如统计学——打下基础。同时初中阶段的数学学习能帮助学生建立起逻辑思维的框架，在他们日后的学习生活中起到至关重要的作用。因此，找到一种最适合初中数学教学的教学方法是十分重要的。

### 1.2 研究目的

本研究主要是使用后设分析的方法，对已有的关于初中数学教学方法的文献进行分析，从中发现不同的教学方法对于初中学生的数学成绩的影响是否一致且具体效果量为多少，并从中找出对初中学生的数学成绩提升最多的教学方法或变量。

### 1.3 研究问题

本研究主要是对不同的初中数学教学方法进行分析，因此研究问题主要有以下三个：

- （1）不同的教学方法对于初中学生的数学成绩的影响是否一致。
- （2）不同的教学方法对于初中学生的数学成绩的影响的具体效果量为多少。
- （3）对初中学生的数学成绩提升最多的教学方法是什么方法。

## 1.4 研究贡献

本研究的主要贡献有几个方面:

- (1) 首次使用后设分析的方法对教学方法进行研究, 弥补了我国教学方法研究在此方面的空白。
- (2) 利用后设分析的方法寻找最适合初中数学教学的教学方法, 准确度高。
- (3) 为以后研究初中数学教学方法的研究者提供了合理的参考意见。

## 2. 文献综述

### 2.1 数学教学方法分类

本研究按照新型教学方法相比传统教学方法的改进之处, 将教学方法分为“直观性教学”、“情境教学”与“其他”三类。

#### 2.1.1 直观性教学

直观性教学最初由夸美纽斯(Comenius, Johann Amos)在 17 世纪提出, 夸美纽斯(Comenius, Johann Amos)的《世界图解》也就此成为举世公认的直观教学标准范式, 而直观教学的真正流行却直到 19 世纪初叶才真正开始, 并由欧洲大陆传衍至美洲大陆, 再由欧洲宏传至全球。直观性教学从此才真正成为广为教育工作者所重视并有意为之的教学行为。

所谓实物直观性教学即为以实物具象的一种教学形式, 比如, 实物剖析、实物标本、实物模型、实景演示、实地观察、实践调查等都属于实物直观性教学的范畴。实物直观的最突出的优势就在于能够为受教育者提供更加真实的观感、更加如临其境的沉浸式体验, 从而在感性认知的驱动下形成对于理论的在实际事物间的联系的深度理解。

在初中数学的直观性教学中, 一般会使用多媒体设备(例如“几何画板”软件)来辅助教学, 让学生可以直观地观察到“数”与“形”、“数”与“数”的变化与关系。王艳喜在 2017 年的论文《基于超级画板的初中“统计与概率”直观性教学实践研究》中, 利用“超级画板”软件在初中进行了直观性教学的教学实验, 发现直观性教学不仅让学生在课堂表现上更加积极主动活跃, 而且, 对于数学的新知识也存在着一定的期待性, 这与接受传统教学的学生不太喜欢数学课程的情况大相径庭。同时, 接受直观性教学的学生其数学期末考试成绩也显著高于接受传统教学的学生。

#### 2.1.2 情境教学

建构主义理论在教学中的运用开始于皮亚杰, 它的核心是强调学习是学生主动建构知识的过程, 先前学习的知识、情境和合作学习是影响主动建构的重要因素。皮亚杰认为, 促使学生学习的是实际生活中的一些认知冲突和疑惑, 让他们在学习的过程中建构自己的知识。“学习者头脑中的先前经验很多, 它主要是依据情境选择相关的先前经验”。(李俊红, 2005)

因为知识与经验并不完全取决于符号, 而是存在一定的语境中的, 每个学生都是在特定的情境下建构知识, 特定的情境也使知识在学生头脑中的意义具体化, 与其它知识的相协调。每个学生之前的学习经验都是独特的, 对同一个事物有不同的理解, 不同人之间的交流就可以影响学生的建构, 建构主义从认知发展角度出发, 认为学生之间应该进行合作学习。

在初中数学的情境教学中, 情境的构建与学生的合作是重中之重, 要让学生在情境与合作中理解数学的抽象概念与逻辑思维。孙海霞在 2011 年的论文《基于问题学习的初中数学情境教

学模式探究》中，利用教学实验的方法对情境教学进行了研究，发现在数学教学中创设良好教学情境能在一定程度上提高学生的数学知识的掌握及数学能力的提高，且能显著提升学生的数学成绩。

### 2.1.3 其他

很多研究者对于初中数学教学方法的研究都充满了热情，他们从不同的角度对传统的教学方法进行了改良，从而产生了多种多样的新型教学方法。但这些方法却难以归纳为以上两种之中。例如周钰在 2015 年的论文《初中数学“六何互动”命题教学模式的研究》中使用了一种“六何互动”命题教学模式，这是一种基于 1979 年的美国教育家麦卡锡博士提出的 4MAT（也叫自然学习设计）模式的教学方法。由于类似的难以界定的教学方法还有很多，一次将其统一归类为“其它”。

## 2.2 后设分析

科学是累积的，因此，几乎每一个研究者在探讨某一个具体问题之前，都会先做一番文献探讨；尤其在一个领域已经发展到某种程度时，这种探讨更形重要。在社会科学研究中，由于研究者、样本、时间、地点、研究程序等的不同，研究结果往往不一致，使人常有“众说纷纭，莫衷一是”的感觉。因此，对于可以将研究进行统合的可靠方法的需求也在日益增加（張明玲，2013）。

Glass (1976) 首先使用后设分析这一名词，并使它流行起来。他说，后设分析就是将数据分析的态度应用到个别研究的统合与量化上面。他说，后设分析统合很多研究，以探讨新的问题。所谓后设分析就是使用定量的方法将研究统合到一起，它适用于统合其它的定量研究，且这些研究的研究样本应是从同一母群体中抽取的。

## 3. 研究设计

### 3.1 研究假设

为了提升教学质量，提高课堂效率，各式各样的新型教学方法因运而生。一般来说，每一种新型教学方法诞生的初衷皆是正向的，但实施后的成果却未必与初衷一致。且新型教学方法多种多样，相关研究也相对独立，难以判别不同方法的实际成效孰优孰劣。因此，本研究提出以下假设：

假设一：不同的教学方法对于初中学生的数学成绩的影响不一致。

假设二：新型教学方法对初中生的数学成绩的影响的效果量为正。

### 3.2 研究对象

中国知网作为学术论文汇总网站在中国具有较高的知名度与学术权威，其收录的文章也十分完整全面。由于本研究是以其它论文作为研究对象，因此选择从中国知网的资料库中选取样本。本研究的样本为从中国知网上搜集的 44 篇相关论文，“直观性教学”类 13 篇，“情境教学”类 13 篇，“其它”类 18 篇。其中，2007 年到 2011 年的文章有 6 篇，“情境教学”类 5 篇，“其它”类 1 篇；2012 年到 2016 年的文章有 18 篇，“直观性教学”类 7 篇，“情境教学”类 2 篇，“其它”类 9 篇；2017 年到 2018 年的文章有 20 篇，“直观性教学”类 6 篇，“情境教学”类 6 篇，“其它”类 8 篇。

### 3.3 研究方法

由于现有的关于教学方法的研究皆为针对某一种教学方法的独立研究，不同的研究之间难以直接作比较，因此需要一种能够统合不同研究的方法。而针对教学方法的研究一般都会使用实验设计的方法来比较新型教学方法与传统教学方法的差异，并以考试成绩作为前后侧标准，是一种定量研究。而后设分析是专门用来对定量研究进行统合的研究方法，因此本研究使用后设分析的方法进行研究。数据使用 Excel 进行处理。

### 3.4 研究结果

#### 3.4.1 样本编码

表一为本研究所抽取的样本的编码表，其中，效果量  $d$  是指标准化的效果量，是根据以下公式计算的：

$$d = \left(1 - \frac{3}{4N - 9}\right)g \quad (1)$$

其中， $N$  是指实验组与对照组的人数和， $g$  是通过公式：

$$g = \frac{M^E - M^c}{S^p} \quad (2)$$

计算的来。其中， $M^E$  与  $M^c$  指实验组和对照组的平均数， $S^p$  是指两组合并的标准偏差，合并的方式如下：

$$S^p = \sqrt{\frac{(N^E - 1)(S^E)^2 + (N^c - 1)(S^c)^2}{N^E + N^c - 2}} \quad (3)$$

其中， $N^E$  = 实验组人数， $N^c$  = 对照组人数， $S^E$  = 实验组标准偏差， $S^c$  = 对照组标准偏差。表一中  $V^2$  指  $d$  的变异量，是由以下公式计算得来：

$$V^2 = \frac{N^E + N^c}{N^E N^c} + \frac{d^2}{2(N^E + N^c)} \quad (4)$$

其中， $N^E$  与  $N^c$  为实验组与对照组的人数， $d$  由公式 (1) 得来。

以接受新型教学方法的分组为实验组，接受传统教学方法的分组为对照组，通过试验后侧的数学考试成绩作为鉴定对象。当  $d > 0$  时，说明实验组成绩高于对照组成绩，当  $d < 0$  时，说明实验组成绩低于对照组成绩，当  $d = 0$  时，说明实验组成绩等于对照组成绩。

表一 样本编码表

作者	年代	教学方法	样本大小		效果量		单尾 $p$	$Z$	$V^2$
			实验组	对照组	$d$	$p$			
常家洁	2015	直观性教学	40	40	0.587	0.998	2.820	0.052	
王艳萍	2016	直观性教学	52	52	0.408	0.981	2.064	0.039	
陶芬	2016	直观性教学	53	53	0.386	0.976	1.977	0.038	
刘志华	2012	直观性教学	44	43	0.475	0.994	2.506	0.047	
聂国丽	2017	直观性教学	38	38	0.470	0.979	2.034	0.054	
喻雪莉	2014	直观性教学	36	36	0.290	0.891	1.232	0.056	
邓珍珍	2018	直观性教学	50	50	0.610	0.999	2.968	0.042	
王艳喜	2017	直观性教学	44	44	0.573	0.996	2.652	0.047	

贺小军	2017	直观性教学	53	53	0.342	0.961	1.758	0.038
戚丽君	2017	直观性教学	30	29	1.138	1.000	4.089	0.079
任娜	2015	直观性教学	46	45	0.444	0.985	2.170	0.045
孙丽梅	2014	直观性教学	48	46	0.444	0.985	2.170	0.044
李昊	2018	直观性教学	54	54	0.201	0.852	1.045	0.037
陆峻华	2015	情境教学	45	45	0.421	0.953	1.675	0.045
孟从彪	2007	情境教学	65	63	0.376	0.983	2.115	0.032
郭明明	2011	情境教学	52	52	0.461	0.990	2.330	0.039
张婧	2017	情境教学	74	74	0.340	0.980	2.060	0.027
赵立忠	2015	情境教学	54	54	0.382	0.976	1.977	0.038
孙海霞	2011	情境教学	67	68	0.324	0.939	1.546	0.030
王宏伟	2018	情境教学	30	30	0.565	0.984	2.132	0.069
高育梅	2009	情境教学	25	25	0.574	0.978	2.007	0.083
陈家宁	2017	情境教学	54	54	0.483	1.000	3.463	0.038
金苑琦	2017	情境教学	48	49	0.202	0.841	0.997	0.041
王新	2017	情境教学	34	35	0.572	0.955	1.690	0.060
张力琼	2007	情境教学	50	50	0.609	0.999	3.000	0.042
张玲	2017	情境教学	48	49	0.474	0.990	2.308	0.042
周钰	2015	其它	44	50	0.513	0.993	2.457	0.044
陈亚菲	2017	其它	39	38	-0.316	0.082	-1.389	0.053
张惠添	2012	其它	46	44	0.566	0.998	2.903	0.046
柴璇	2018	其它	46	46	0.057	0.609	0.276	0.043
甄颖	2007	其它	52	52	0.656	0.999	3.275	0.041
吴小兵	2013	其它	165	165	0.331	0.999	3.090	0.012
张宇佳	2018	其它	50	50	0.241	0.886	1.207	0.040
江小燕	2013	其它	51	51	0.517	0.994	2.512	0.041
于清	2018	其它	42	44	0.440	0.979	2.028	0.048
朱儒进	2018	其它	44	44	0.423	0.983	2.120	0.046
邹光	2017	其它	48	46	0.356	0.959	1.734	0.043
王璐	2014	其它	88	88	0.157	0.852	1.043	0.023
刘振梅	2018	其它	33	31	0.537	0.983	2.120	0.065
徐林林	2017	其它	54	56	0.128	0.749	0.672	0.036
姜昊	2012	其它	28	28	0.464	0.949	1.633	0.073
周大众	2013	其它	35	36	0.140	0.724	0.595	0.056
倪湘丽	2014	其它	102	104	0.298	0.983	2.120	0.020
庄宇勤	2012	其它	55	55	-0.173	0.048	-1.661	0.037

### 3.4.2 同构型检验

为了检验不同的教学方法产生的影响是否有显著差异，要对样本进行同构型检验。用以下

公式进行同构型检验：

$$\chi^2 = \sum_{i=1}^k (Z_i - M_x)^2, df = k - 1 \quad (5)$$

其中  $k$  指样本容量， $M_x$  为样本  $Z$  值的平均数。计算得到

$$\chi^2 = 50.107, df = 43, p > 0.05$$

### 3.4.3 效果量分析

为了估计不同种类的教学方法的标准化效果量，需要使用以下公式进行计算：

$$D = \frac{\sum_{i=1}^k \frac{d_i}{V_i^2}}{\sum_{i=1}^k \frac{1}{V_i^2}} \quad (6)$$

其中， $d_i$  由公式 (1) 得来， $k$  指样本容量， $V_i^2$  由公式 (4) 得来。

经计算，“直观性教学”分组的标准化效果量为

$$D = 0.462$$

“情境教学”分组的标准化效果量为

$$D = 0.424$$

“其它”分组的标准化效果量为

$$D = 0.289$$

由于标准化效果量为实际上是一个  $Z$  分数，所以对照常态分配表之后，可以得出对应的  $p$  值，分别为：

$$D = 0.462, p = 0.678$$

$$D = 0.424, p = 0.664$$

$$D = 0.289, p = 0.614$$

## 4. 结论与建议

### 4.1 结论

#### 4.1.1 不同的教学方法对于初中学生的数学成绩的影响是一致的

通过同构型检验，本研究发现其检定结果是不显著的 ( $p > 0.05$ )，说明没有足够的证据支持本研究反对虚无假设，因此可以认为不同的教学方法对于初中学生的数学成绩的影响是一致的。产生此种结果的原因可能有以下两种：

- (1) 对初中学生的数学成绩产生影响的主要原因其实是教师对待教学的态度。因为在进行教学实验时，教师往往会在实验班的备课、教学上花费更多的时间与精力，对待学生时也会比以往更有耐心。且在使用新型教学方法时，除了学生，教师也会产生新鲜感，并因此产生更高的教学热情，从而更认真的对待工作。
- (2) 由于本研究的样本均为硕士论文，其提供的数据可能存在一定的质疑空间，进而影响到了本研究的结果。

#### 4.1.2 新型学习方法对初中生的数学成绩的影响的效果量为正

从效果量分析的结果来看，每一种教学方法的标准化效果量均为正。此结果说明不管使用

何种教学方法，都能提高初中生的数学成绩。由于不同的教学方法对于初中学生的数学成绩的影响是一致的，因此不再探讨不同教学方法的差异。

## 4.2 建议

### 4.2.1 建议

初中数学教师在进行教学时，不应该只专注于教学方法的使用，而是应将精力与时间更多的投入到学生身上。对于初中学生来说，初中数学显然是一门困难与无聊的课程，但更是一门对未来的学习十分重要的课程。因此对教师来说，除了教学方法外，更应该充分挖掘初中数学的内核，毕竟只有自己理解透彻的知识，才能透彻的教授给学生。

### 4.2.1 未来的方向

基于本研究的结论，本研究建议未来研究教学方法时，应将教师的教学热情与教学动机纳入到研究范围之内。

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# 陕西省音乐类大学生美感素养与人格特质的关系

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## 摘要

近年来,陕西省深入贯彻国务院关于学校美育工作的意见精神,取得一定的成效。本研究通过对大学生美感素养与人格特质进行问卷调查,以陕西省音乐学专业大学生为对象,采用方便抽样的方式,发放问卷450份,收到有效问卷418份,有效回收率为92.8%。结果发现:音乐类大学生美感素养与人格特质之间具有显著的正相关,回归结果表明,音乐类大学生的美感素养对人格特质有显著的影响作用。

**关键词:** 音乐; 大学生; 美感素养; 人格特质

## 1. 绪论

美感一词源自于美学(Aesthetics),美学是由18世纪著名德国哲学家、美学家鲍姆嘉通在其著作《Aesthetica》中首次提出,从而确定美学这一学科,美学是研究美的哲学。早在古希腊时期,柏拉图把美定义为,“美就是视觉和听觉产生的快感”,这种快感其实就涉及一般美学家所说的“美感”(朱光潜,2002)。“美感”是经由审美所引起的心理感受(吴冠娴,2017)。一般而言,素养是指个人经过训练和实践而形成的修养,也泛指各方面的能力或水平。因此,美感素养是有关于美感的修养,是审视客体的技术与能力,也可以是检视审美对象的读写能力(陈琼花、林世华,2004)。美感素养可以被理解作为一种认知模式或一种认知方式(Rachael,2011)。

人格一词在现代汉语词典中解释为“人的性格、气质、能力等特征的总和;人的道德品质,人作为权利义务主体的资格”。人格是个体在先天的基础上,由社会环境作用而形成的一种相对稳定和独特的心理行为模式,它反映的是个体的独特性,能有效地解释和预测个体的行为(田园、明桦、黄四林、孙铃,2017)。在心理学上,人格指个人之特质,人格特质是在不同的时间与不同的情境中保持相对一致的行为方式的一种倾向。已有研究中人格模型包含五种特质,包括神经质、外倾性、开放性、宜人性和尽责性,这五种人格特质是相互独立的稳定行为模式或倾向(McCrae & Costa, 1997)。

马克思主义美学关于“自然人化”以及美的本质规律、美感等揭示中曾谈到,“从主体来看,正如只有音乐才唤醒人的音乐感觉”(修海林、罗小平,1999),这是马克思对主体的自然人化与美感的形成而做出的解释。也就是说,音乐是能引起人的美感的听觉艺术。美感教育是提升个体美感素养的教育(阎瑞珍,2015)。美感素养教育必须通过感知能力实训,提供学生具体开发视听觉、味嗅觉、感知觉等技能的实务操作(聂德民、宋守华,2014)。

音乐类大学生是接受美感教育的专业大学生。已有研究表明,音乐类大学生在情绪、情感、自我意识等方面都有着不一样的个性(戚晔,2014)。音乐专业大学生的乐群性、敢为性、敏感性、世故性、自律性、内向与外向得分显著高于非音乐专业大学生(潘轶群,2008)。音乐专业大学生的人格特征更倾向于外向,具有明显的社会掩饰性倾向,善于掩饰自己的心理行为,能与人友好相处,态度温和,不粗暴,善解人意,善于自我控制、管理自己的情绪(何军,2009)。

艺术教育正是通过充满形式感、意象性的美育途径和方法还原“基本生活经验”，达到本质的自由直观，实现人的全面发展和“现实的审美沟通（美感共通）”（王刚，2017）。因此，音乐类大学生的外向型人格更有利于接受专业音乐教育，也能通过专业音乐教育的培养，提升其美感素养，从而实现人的全面发展。

## 2. 文献综述

### 2.1 美感素养的相关研究

近年来，中国学者对美学的研究多以审美经验、审美情感等为主。关于美感的论述，朱光潜曾在其著作《谈美》中曾谈到，美感是起于形相的直觉，其包含目前意象和实际人生的距离、“物我两忘”的境界。李泽厚认为美感是心理学范畴，外在自然的人化使客体成为美的现实，内在自然的人化使主体获得美感（章辉，2003）。美感素养的研究主要集中在美感即经验、美感素养的提升、学校美感素养教育等方面（胡燕，2015；葛新云，2014；聂德民、宋守华，2014）。有关美感素养的测量，研究中多采用2004年陈琼花与林世华主持进行的《台湾民众美感素养发展与艺术教育改进之研究》中的问卷工具。由此可知，美感素养的内容包括内在知能与外显表现，是可以测量的项目（吴冠娴，2017）。

### 2.2 人格特质的相关研究

人格是心理学研究的重要内容。早期研究多采用“艾森克人格问卷”，后逐渐采用“大五人格因素测量量表”（赵宇晗、余林，2014）。以往研究中，中国大学生人格特质多与主观幸福感、人际关系、手机成瘾等相关（张瑞平、李庆安，2017；开治中、傅文芳、戚振兴、宁乙静，2017；张斌，2017），也有不同地区、不同专业、民族的大学生人格特质的探讨（于德娥、符元证、李晓珍，2018；孙若凯，2018）。已有研究表明：中国大学生人格上变得更加外向、开放、严谨和宜人的同时，其情绪也变得更加不稳定、波动较大（田园、明桦、黄四林、孙铃，2017）。

### 2.3 美感素养与人格特质相关研究

国务院办公厅于2015年颁布的《关于全面加强和改进学校美育工作的意见》中指出“美育不仅能提升人的审美素养，还能潜移默化地影响人的情感、趣味、气质、胸襟，激励人的精神，温润人的心灵”。以往研究中发现，美感是影响人类积极人格的因素之一（Seligman & Csikszentmihalyi，2014）。同时，利用表演艺术（音乐、舞蹈）培养经验，获得感性与理性的统合，建立健全的人格（康才媛，2011）。对多种形式音乐美感的体验，可滋养学生的情感能力和强化人格优势，进而塑造人格（陈丽君、文琪，2017）。基于前人研究，本研究认为，陕西省音乐类大学生的美感素养对其人格特质有着显著的影响。

综上所述，本研究通过对中国陕西省音乐类大学生进行问卷调查，旨在探讨音乐类大学生美感素养与人格特质的关系。

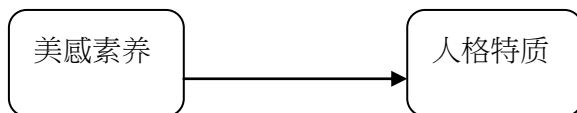
## 3. 研究方法

### 3.1 参与者

近年来，陕西省深入贯彻国务院关于学校美育工作的意见精神，通过建立和完善学校美育课程体系，增加地方特色的美育课程，创新美育教学，创设美育氛围，加强美育师资和整合美

育资源等方式，取得一定的成效。本研究以陕西省音乐学专业大学生为对象，采用方便抽样的方式，发放问卷 450 份，收到有效问卷 418 份，有效回收率为 92.8%。

### 3.2 研究框架



图一：本研究整理

### 3.3 研究工具

#### 3.3.1 人格五大特质简式版（BFI—19）

是由李仁豪（2013）根据 BFI—44 中文版修订而成，分为外向性、友善性、严谨性、神经质和外向性五个维度，修订后简化为 19 题，验证性因素分析结果显示，问卷（BFI—19）各维度组成信度在.71— .87 之间，模型适配结果  $p < .001$ , CFI= 0.96, GFI=0.94, SRMR=0.051, RMSEA=0.056，该问卷具有良好的信效度。

#### 3.3.2 美感素养问卷

由陈琼花、林世华（2004）主持进行《台湾民众美感素养发展与艺术教育改进之研究》形成的问卷，该问卷题项繁多，后经吴冠娴（2017）增加生活美感经验问题，删减复选性试题，最终精简成 25 题，李克特五点计分，共有艺术知识、艺术表现与技能（视觉艺术与音乐表演）、艺术态度和艺术习惯等四个维度。问卷 Cronbach' s  $\alpha$  值为.94, KMO 值为.89, Bartlett 球形检定显著，表明该问卷具有良好的信效度。

## 4. 结果分析

本研究目的探讨陕西省音乐类大学生美感素养与人格特质之间的关系，为达此目的，采用问卷调查，并运用统计分析处理回收数据，数据分析结果如下。

### 4.1 共同方法偏差检验

本研究变量的测量全部采用被试的自我报告，由此可能带来共同方法偏差。为了降低这种偏差，采用 Harman 单因子检验法对所有变量进行未经旋转的探索性因子分析，结果表明，特征根大于 1 的因子共有 7 个，第一个因子解释的变异量为 37.91%，小于 40%的临界值。因此，本研究不存在明显的共同方法偏差问题。

### 4.2 描述性统计

本研究共计收回 418 份有效问卷，其中，女生 319 人，占比 76.3%，男生 99 人，占比 23.7%。这主要归结于音乐类院校的女大学生较多，男生较少。陕西省音乐类大学生美感素养描述性统计结果表明，各维度分值介于 3.44—4.24 之间，陕西音乐类大学生美感素养整体表现较为良好（ $M=3.79$ ,  $SD=.550$ ）。

### 4.3 相关分析

为了解美感素养与人格特质之间的关系，本研究采用 Pearson 积差相关分析各变量之间的相关程度，相关分析结果如表一（见下页）所示。结果表明，美感素养各纬度与人格特质之间存在着正相关，这也说明，陕西音乐类大学生美感素养与人格特质之间存在着相关关系。

表一 各变量相关系数

变量	1	2	3	4	5
1. 艺术知识	—				
2. 表现技能	.761 <sup>***</sup>	—			
3. 艺术态度	.323 <sup>***</sup>	.542 <sup>***</sup>	—		
4. 艺术习惯	.525 <sup>***</sup>	.698 <sup>***</sup>	.618 <sup>***</sup>	—	
5. 人格特质	.424 <sup>***</sup>	.580 <sup>***</sup>	.452 <sup>***</sup>	.603 <sup>***</sup>	—

注：\* $p < 0.05$ ，\*\* $p < 0.01$ ，\*\*\* $p < 0.001$ 。

#### 4.4 回归分析

本研究对美感素养与人格特质进行简单线性回归分析，以美感素养各维度为自变量，人格特质为因变量，结果见表二。结果表明，艺术知识、艺术态度对人格特质没有显著影响，表现技能、艺术习惯对人格特质有显著影响，由此得出，美感素养对人格特质具有显著的影响关系。

表二 回归分析

变量	人格特质	
	$\beta$	t
艺术知识	-.337	.736
表现技能	.309	4.338 <sup>***</sup>
艺术态度	.072	1.450
艺术习惯	.354	6.168 <sup>***</sup>
F	73.705 <sup>***</sup>	
R <sup>2</sup>	.411	

注：\* $p < 0.05$ ，\*\* $p < 0.01$ ，\*\*\* $p < 0.001$ 。

## 5. 讨论

本研究采用问卷调查法发现陕西音乐类大学生美感素养处于正向积极状态，这一结果与我国当代大学生审美情感处于正向积极的结论一致（贺雯、卢家楣，2016）。美感素养与人格特质具有显著的正相关，结果发现，陕西音乐类大学生美感素养对人格特质具有明显的影响。这一结果与以往研究中认为音乐具有塑造其完美人格的功能结论一致（何军，2009；陈丽君、文琪，2017）。同时结果发现，表现技能对人格特质具有显著影响，这一结果也说明音乐具有情感渲染的功能，哺育人的情感，滋养人格的发展（陈丽君、文琪，2017）。艺术习惯对人格特质具有显著影响，也就是说，通过对音乐类大学生建立良好的艺术习惯，不断积累自身的美感经验，培养良好的审美意识，能使音乐类大学生的人格特质塑造更为健全。

## 6. 结论

总而言之，本研究主要探讨陕西省音乐类大学生美感素养与人格特质的关系，通过问卷调查发现，陕西省音乐类大学生美感素养与人格特质之间具有显著的相关关系，美感素养对音乐

类大学生的人格特质有显著的影响作用，尤其是表现技能与艺术习惯对于音乐类大学生的人格特质有着显著的影响。因此，建议学校对音乐类大学生的培养，应加强对音乐类大学生舞台表现与技能的培养和提升，通过对其表演艺术习惯的建立，从而塑造音乐类大学生的完美人格。

本研究局限在于，只针对陕西省的音乐类大学生，未能考虑到其他地区的艺术类专业大学生，存在一定的局限性。此外，本研究只探讨音乐类大学生美感素养与人格特质的关系，二者之间是否存在着其他影响的因素，尚需未来研究进行探讨。

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# 中国大学生情绪智力对心理健康的影响： 以社会支持为调节变量

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## 摘要

本研究目的在于探讨大学生情绪智力对心理健康是否有影响，社会支持在情绪智力和心理健康之间是否有调节作用。本研究以中国北方地区普通高等大学 844 名学生为研究对象，使用《Wong-Law 情绪智力量表》、《成人心理健康量表》、《社会支持行为问卷》并用回归模型来分析情绪智力、社会支持和心理健康三个变量的关系。研究结果如下：（1）大学生的情绪智力、社会支持、心理健康三者之间有显著的正相关；（2）情绪智力对心理健康有显著的预测作用；（3）社会支持在大学生情绪智力对心理健康的影响中没有显著的调节作用。

**关键词：**大学生；情绪智力；社会支持；心理健康

## 1. 研究背景

面对当下经济全球化、政治多极化、文化多元化的国际形势，当代大学生如果不能妥善调节适应社会节奏的变化所带来的压力，不能正确利用社会关系来缓解精神紧张的状态，便可能出现各种心理健康问题（梁宝勇，2012）。

情绪智力(简称 EI)是指个体能够正确评价自己和他人的情感情绪，并将这些情感情绪信息予以加工处理，从而引导个体的思维和行动（Salovey & Mayer, 1990）。Ruiz-Aranda, CastilloA and Salguero（2012）研究发现，健全的情绪智力有助于提升良好心理健康水平。心理健康不但受到个体内在的情绪调节能力影响，还与个体与外部的紧密关系有关，这一重要的外部因素便是社会支持（沈德立、马慧霞，2004）。社会支持作为一种情境变量，和其他因素一起，共同对人们心理健康产生影响（孔凤、王庭照、李彩娜，2012）。

因此，本研究目的在于：（1）探讨大学生情绪智力对心理健康有显著的正向预测作用；（2）探讨社会支持在大学生情绪智力与心理健康之间有调节作用。

## 2. 文献综述

世界卫生组织（WHO）公布，心理健康是一种舒适的心理状态，在此状态下个体可以展现出自身所拥有的能力，从而应对生活压力，有效率的工作学习，且对社群作出贡献（WHO, 2014）。积极心理学家指出，心理健康不应该被认为只是没有心理的疾病而已，而是必须同时拥有心理的健康之一种完整状态（Keyes, 2002; George & Vaillant, 2003）。本研究心理健康采用的理论基础是 Keyes（2002/2003/2005a）的“完整的心理健康模型（complete mental health state model）”，它是指混合了心理健康和没有心理疾病的一种状态，也就是说，没有心理疾病并不能完全解释个体的心理就是健康的，还会受到真身情绪、外界压力、社会等其他因素的影响。

Ruiz-Aranda, CastilloA and Salguero（2012）研究发现，健全的情绪智力，有助于人们良好心理健康水平的提升。情绪智力(简称 EI)是指个体能够正确评价自己和他人的情感情绪，并



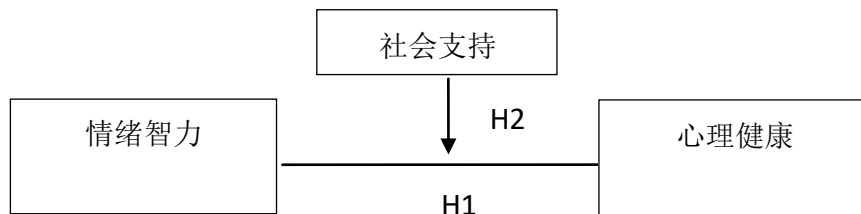
将这些情感情绪信息予以加工处理，从而引导个体的思维和行动（Salovey & Mayer, 1990）。Goleman（1995）在《EQ》中指出，学业层面的聪明并不会受到情绪控制过多的影响。即便非常聪明的群体，也可以存在情绪失控的问题。如果人们的情绪智力水平比较高，将会采用积极的方式进行解决，有效规避出现一种消极心理状态的出现；如果人们的情绪智力比较低时，一旦感受到压力的存在，则将会很容易出现抑郁等消极心理状态（罗榛、金灿灿，2016）。拥有高情绪智力可以帮助个体在生活的困境中解决冲突，学会如何自处、如何面对压力、如何与人相处、如何保持良好的心理健康。因此本研究目的之一在于探讨大学生情绪智力对心理健康的影响。

心理健康不但受到个体内在的情绪调节能力影响，还与个体与外部的紧密关系有关，这以重要的外部因素便是社会支持（沈德立、马慧霞，2004）。在良好社会支持背景下，有助于个体提升生活满意度、增强生活幸福感，有效发挥积极情绪的推动效果（张云齐、毛呷呷、邹盛奇，2012；张澜，2011），能够降低心理应激反应的影响，最大程度的对精神紧张情绪起到缓解效果（欧阳丹，2003），并且对心理健康起着增进和维护的作用（汪向东、王希林、马弘，1999）。社会支持作为一种情境变量，将和其他其他因素一起，共同对人们心理健康产生影响（孔凤、王庭照、李彩娜，2012）。因此，内在个体特质变量因素为情绪智力，外在情境变量因素为社会支持，通过个体内外因素的交互作用来影响心理健康，此本研究推测，因此探讨社会支持在情绪智力对大学生心理健康的影响中是否有调节作用是本研究的目的之二。

### 3. 研究方法

#### 3.1 研究架构

依据研究目的及文献综述提出本研究架构如下：



图一 社会支持在情绪智力与心理健康的调节作用

#### 3.2 研究对象

本研究采取方便抽样法，以中国北方普通高等大学生为研究对象，从华北地区、东北地区、西北地区每个地区排名前10的学校中选取2-3所不同类型的大学，每所学校发放问卷150份。委托高校教师及工作人员对在校大学生进行问卷发放，由大学生采取自愿填答，共发放7所大学，每个学校发放150份，正式发放问卷共1050份，收回问卷917份。

#### 3.3 研究工具

本研究采用问卷调查法进行资料收集，分别使用Wong and Law（2002）编制的《Wong—Law情绪智力量表》测量大学生的情绪智力、陆洛（1998）修订的《社会支持行为问卷(ISSB)》以及黄财尉、李美远、曾柔鸣（2011）编制的《成人心理健康量表》测量大学生的社会支持程度与心理健康水平，并加入性别、年级、专业、是否独生子女以及学校所在地区为人口统计变量

研究探讨。通过预试问卷的数据分析,情绪智力量表的 Cronbach's  $\alpha$  系数为 0.897,社会支持行为问卷 Cronbach's  $\alpha$  系数为 0.931,成人心理健康量表的 Cronbach's  $\alpha$  系数为 0.908,各量表信度良好,可以进行正式施测。

## 4. 研究结果

### 4.1 描述性统计分析

本研究实际回收问卷 917 份,有效问卷 844 份,有效问卷样本达 92.03%。本节主要分析人口统计变量的分布情况,以次数分配了解性别、年级、专业、是否为独生子女、所在学校分布地区等概况。通过数据可看出样本以女性居多,占 78.8%;在年级上,大一样本数较多,达 48.9%,大二的样本数较少,占 6.2%;在专业上,文科样本比理科多,占 67.3%,理科占 32.7%;在是否为独生子女上,非独生子女样本数较多,占 58.3%;在学校所在地区分布上,东北地区样本数最多,占 34.88%,次之为华北地区,占 33.5%。

对可能影响大学生情绪智力、社会支持、心理健康的人口变量进行分析,结果发现不同性别对情绪智力、社会支持、心理健康的影响,不同性别在情绪智力上有显著差异 ( $t=4.097, p<0.001$ ),且表现出男生显著高于女生,但在社会支持与心理健康上并无显著差异;不同年级在情绪智力 ( $F=4.673, p<0.01$ ) 和心理健康 ( $F=4.480, p<0.01$ ) 有显著差异,但在社会支持上没有显著差异。且大二学生的情绪智力和心理健康水平都相对较好,大四学生的情绪智力水平相对较低,大三学生的心理健康处于较低水平;不同专业在大学生的社会支持有显著差异 ( $t=2.342, p<0.05$ ),并且文科生的社会支持略高于理科生,但在情绪智力与心理健康上都无显著差异;是否为独生子女以及学校所在地区对大学生情绪智力、社会支持、心理健康均无显著差异。

### 4.2 验证性因素分析

本研究运用模型的拟合指数判断标准有:卡方值与自由度比小于 3,表示模型较好;拟合优度指数  $GFI\geq 0.850$ 、调整拟合优度指数  $AGFI\geq 0.800$ ,表示模型可以接受;规范拟合指数 NFI、非规范拟合指数 TLI (NNFI)、增值拟合指数 IFI、比较拟合指数 CFI,这些数值范围在 0 至 1 间,越接近 1 表示拟合越好,当数值  $\geq 0.900$  时表示适配度较好;近似误差均方根 RMSEA,在 0.050-0.080 之间表示模型基本可以接受 (Chin & Newsted, 1999)。

通过对情绪智力量表进行验证性因素分析 (表一),由分析结果得知,情绪智力量表各题项的因素负荷量介于 0.516-0.883 之间,测量误差均为正值,组合信度 CR 值达接受水准 0.7 以上,他人情绪评价、情绪管理和情绪运用的 AVE 大于 0.5,自我情绪评价的 AVE 也大于 0.4 的可接受水平 (Magner, Welker & Campbell, 1996),说明情绪智力量表具有良好的收敛效度。拟合指数中各数值都能达可接受水准,说明假设理论模型与实际观测数据适配良好,模型结构有较好的稳定性。

表一 情绪智力量表模型拟合指数表 (N=844)

模型	$\chi^2$ 值 ( $p$ )	$\chi^2/df$	RMSEA	GFI	AGFI	NFI	IFI	CFI
情绪智力	324.318***	3.309	0.052	0.954	0.936	0.952	0.966	0.966

资料来源:本研究整理

对心理健康量表进行验证性因素分析，分析摘要详见表二所示。由分析结果得知，心理健康量表各题项的因素负荷量介于 0.536-0.863 之间，组合信度 CR 值达接受水准 0.7 以上，AVE 在 0.405-0.591，虽略低于可接受水准 0.5，但若组合信度高于 0.6 以上，仍表示具有收敛效率 (Fornell & Larcker, 1981)。拟合指数中各数值都能达可接受水准，因此代表该量表模型具有良好的建构效度。

表二 心理健康量表模型拟合指数表 (N=844)

模型	$\chi^2$ 值 (p)	$\chi^2/df$	RMSEA	GFI	AGFI	NFI	IFI	CFI
心理健康	1448.816***	4.261	0.062	0.887	0.865	0.881	0.906	0.906

资料来源：本研究整理

对社会支持量表进行验证性因素分析，分析摘要详见表三所示。由分析结果得知，情绪智力量表各题项的因素负荷量介于 0.633-0.856 之间，组合信度 CR 值都大于 0.8，AVE 值大于 0.5。拟合指数中，卡方值 8.723 大于 3，考虑该值易受样本容量大小的影响，当样本量较大时，卡值容易拒绝模型，可参考其他拟合指标来对模型进行评定 (Chin, 1999)。其他拟合指数较好，代表该量表模型具有良好的建构效度。

表三 社会支持量表模型拟合指数表 (N=844)

模型	$\chi^2$ 值 (p)	$\chi^2/df$	RMSEA	GFI	AGFI	NFI	IFI	CFI
社会支持	758.919***	8.723	0.096	0.887	0.844	0.908	0.918	0.918

资料来源：本研究整理

### 4.3 相关分析

本节主要探讨中国大学生情绪智力、心理健康与社会支持三个变量之相关程度，由 Pearson 相关系数分析，如表四所示：

表四 情绪智力、心理健康与社会支持相关分析 (N=844)

变量	平均数	标准差	情绪智力	社会支持	心理健康
情绪智力	4.980	0.801	1.000		
社会支持	2.591	0.621	0.334***	1.000	
心理健康	3.506	0.580	0.496***	0.417***	1.000

资料来源：本研究整理；注：\*\*\*表示  $p < 0.001$ ，\*\*表示  $p < 0.01$ ，\*表示  $p < 0.05$ 。

通过 Pearson 相关系数分析发现，情绪智力、社会支持及心理健康之间均存在显著正相关，相关系数在 0.334-0.496 之间，属于中低相关，不存在共线性问题。

### 4.4 回归分析

本研究采用回归分析，以验证情绪智力、社会支持、心理健康之各变量间的关系。依据邱浩政 (2010) 的建议，运用回归分析检验变量之间的影响，采用  $R^2$  值对回归模型的解释能力进

行判断，以 F 值的显著性检验  $R^2$  是否具有解释能力，回归系数  $\beta$  值用 t 值来检验显著性。本节首先检验情绪智力与心理健康之间的关系；其次检验社会支持的调节效果。

#### 4.4.1 情绪智力与心理健康之间的关系

相关分析显示情绪智力与心理健康呈中度相关，再以回归分析探讨情绪智力对心理健康是否有显著影响。以情绪智力为预测变量，心理健康为因变量进行逐步多元回归，结果如表五：

表五 情绪智力对心理健康的多元回归分析

预测变量	$\beta$	t	$R^2$	$\Delta R^2$	VIF	F
情绪智力	0.496	16.587***	0.246	0.246	1.000	275.133***

注：\*\*\* $p < 0.001$

分析结果显示， $VIF=1.000$  得知情绪智力对心理健康无共线性问题存在，且表五显示情绪智力的标准化回归系数  $\beta$  值为 0.496，显著性检定的 t 值为 16.587 ( $p < 0.001$ )，表明情绪智力对心理健康具有显著正向预测作用，可以解释预测力为 24.6%，因此本研究假设 1 成立。

#### 4.4.2 社会支持在情绪智力对心理健康的调节作用分析

温忠麟（2004）在研究分析中，提出了调节作用检验方式，本研究在分析中，首先对情绪智力、心理健康以及社会支持三个因素予以标准化处理，并以此为基础，判断社会支持以及情绪智力之间的交互作用项；其次，分别将社会支持、情绪智力以及二者的交互作用项作为自变量，以心理健康为因变量，开展分层回归分析。由此能够判断，当情绪智力、社会支持以及交互作用项预测回归系数显著时，社会支持的调节效果明显；若情绪智力、社会支持以及交互作用项预测回归系数未达显著时，说明社会支持在其中没有调节作用，如表六：

表六 社会支持对情绪智力和心理健康的调节作用分析

变项	模型一			模型二			模型三		
	$\beta$	t	VIF	$\beta$	t	VIF	$\beta$	t	VIF
情绪智力	0.506	17.031***	1.000	0.409	13.513***	1.140	0.408	13.393***	1.153
社会支持				0.277	9.143***	1.140	0.278	9.123***	1.154
社会支持* 情绪智力							-0.009	-0.365	1.017
$R^2$	0.256			0.323			0.324		
$\Delta R^2$	0.256			0.067			0.001		
F	290.071***			201.056***			133.944***		

注：\*\*\* $p < 0.001$

分析结果显示，三个模型的 VIF 值均小于 10，因此得知情绪智力对心理健康、社会支持对心理健康、以及情绪智力和社会支持的交互项对心理健康都无共线性问题存在。

表六显示模型一以情绪智力去预测心理健康，情绪智力对心理健康的标准化回归系数  $\beta$  值

为 0.496, 显著性检定的  $t$  值为 16.587 ( $p < 0.001$ ), 说明在心理健康方面, 情绪智力对此具有正向预测效果, 其预测力为 24.6%; 在模型二中, 以情绪智力和社会支持预测心理健康, 情绪智力和社会支持对心理健康标准化回归系数  $\beta$  值分别为 0.402 和 0.283, 显著性检定的  $t$  值分别为 13.293、9.361 ( $p < 0.001$ ), 表明情绪智力和社会支持对心理健康也有显著的正向预测力, 解释力为 31.7%; 模型三以情绪智力、情绪智力与社会支持的交互作用去预测心理健康时的标准化回归系数  $\beta$  为 -0.014, 且  $t$  值未达显著, 说明情绪智力与整体的社会支持的交互作用对心理健康的预测作用没有显著效果。因此本研究假设 2 不成立。

## 5. 结论

本研究以中国北方地区大学生为研究对象, 经文献探讨及问卷调查的方式搜集相关资料, 依据资料分析结果提出结论与建议, 本章节共三部分, 第一部分是大学生情绪智力、心理健康、社会支持在人口统计学上的差异分析, 第二部分主要分析三个变量之间的关系, 第三部分是研究建议和研究不足。

### 5.1 人口统计差异总结

#### 5.1.1 大学生情绪智力在人口统计学变量上的差异分析

通过研究结果, 我们能够得到, 大学生情绪智力在不同性别以及不同年级会有显著差异。首先, 从性别因素上看, 大学生情绪智力水平男生普遍比女生要高, 该结论与卢家楣 (2016) 研究结果具有一致性。从现实大学生活中我们也能得男生普遍比女生表现要好, 无论是从学习层面, 还是其他表现。之所以这样, 受到男生特殊社会角色的影响。不过, Schutte (1998)、竺培梁 (2001) 等人的研究分析中, 却得到了相反的结论这可能与他们的研究对象是青少年群体有着很大联系。首先, 在青春期之后, 男生以及女生在情绪智力方面存在较大差异; 其次, 由于男生、女生社会角色的差异等方面, 使得男女之间的情绪智力水平上呈现出不同的状态。同时, 也有学者指出, 性别不会对情绪智力产生明显的影响 (靳净, 2014)。由此我们能够得出, 在对于大学生群体情绪智力能力培养时, 应该注意到性别差异因素。

从年级上分析结果表明, 大四年级学生的情绪智力处于最低的水平, 这种现象在以前有关大学生的研究中也出现。可能与大四年级学生正处于过渡期有关, 面临着离开学校、踏入社会, 开始思考自己的人生和未来的道路。在这个时候他们低未知的前途汇聚的比较迷茫, 也会对自己产生怀疑, 往往不自信, 对生活不积极, 不愿意表达自己, 而且经不起挫折。这也提醒高校更应该重视对大四学生的情绪智力的培养, 帮助他们在日益增大的压力面前学会调节自己的情绪, 保持身心健康和愉悦。

#### 5.1.2 大学生心理健康在人口统计学变量上的差异分析

研究结果表明, 大三年级学生的心理健康得分比其他三个年级的学生要低。结合日常生活, 我们可以理解这种差别存在的原因。大一、大二学生刚进入大学, 将大多数精力集中于新环境的适应等问题上, 他们可能更多停留于对学习、人际等诸多实际问题的关注上, 没有对情绪问题引起足够的重视。大四则是大学生努力调整 and 完善的时期, 他们可能通过学习和摸索掌握了一些技巧来应对情绪上的问题, 因此情绪智力对得到较大的提升。而大学三年级是重要的转型期, 学生开始关注个人各方面的发展, 相关的情绪方面能力却没有完善, 因此会出现更多的情绪问题。通过以上分析, 在大学生心理健康教育中应更关注转型期的大三学生, 他们正在学业、实习、就业、人际等各方面逐渐完善发展, 可能会面临很多的困惑, 因此需要给予适当的

引导。这种指导不仅可以帮助大学生自身得到发展，对于心理健康维护也将大有裨益。

### 5.1.3 大学生社会支持在人口统计学变量上的差异分析

在本文研究分析中，从专业层面来看社会支持存在显著差异  $t=2.342$ ,  $p<0.01$ 。同时，文科生得分情况普遍要比理科生要高。这一结论与程红娟（2004）研究结论相似。之所以出现这样的结论，可能受到文科生较为敏捷的思维水平的影响，同时，文科生中大多为女生，当他们遇到挫折时能够在第一时间内相处解决方式。相比较来讲，理科生思维比较缜密，遇到困难时反应速度不是很快。理科生偏向于通过以自我思考的方式来解决眼前的困难。由此我们应该得到，全面提升对理科生的社会支持水平，应该帮助理科生转变思维观念，扩大他们的交往范围等等。

## 5.2 变量关系结论

### 5.2.1 情绪智力与心理健康的关系

通过相关分析和回归分析可以发现，心理健康与情绪智力联系非常紧密，即大学生情绪智力水平越高，其心理健康程度也就越好。该观点与陈虹（2003）和 Anderson（2004）的研究结论一致，情绪是保持心理健康、缓解压力的重要因素，对心理健康起到很好的预测效果。因此，对自身以及他人情绪的调节处理，会严重影响到个人的心理健康。

### 5.2.2 情绪智力、社会支持、心理健康三个变量之间的关系

从数据来看，情绪智力对心理健康的回归系数以及情绪智力和社会支持同时对心理健康的回归系数均为正值，加入情绪智力和社会支持的交互作用后的回归系数为负值，且在统计学上没有显著影响，即社会支持整体及其三个维度在情绪智力和心理健康中均没有显著的调节作用。这与以往有研究发现社会支持作为情境变量，对个体内在特质与心理健康产生调节作用的结果不一致（孔凤、王庭照、李彩娜，2012；杨清，2016）。

首先，这可能与大学生对社会支持的利用度有关。卢谢峰和韩立敏（2011）认为社会支持的利用度是社会支持发挥作用的关键因素，个体只有在学会积极寻求社会支持的基础上，充分利用自身所具备的人际关系资源，才能避免遭受抑郁、焦虑等消极情绪的不利影响，有效地维护自己的心理健康。李伟等（2003）也强调个体的主动性在社会支持中的作用，他认为无论是主观的还是客观的人际资源，其本身对个体身心健康的调控作用是有限的，甚至是无能的。按照这种观点，本研究中的社会支持属于个体主观的社会支持，并不能给予个体实际的支持，因此它在调节压力和消极情绪的关系时可能是有限的或无能的。

其次，根据 Lazarus and Folkman (1984) 的个体对环境的认知评价理论，经过了初级评价和次级评价，当个体认为自己已经拥有足够的资源去应对压力时，同时感觉到的压力相对较小时，他们就没有必要启动外部的保护资源（如社会支持）去应对，而是会调动内部的保护因子（如情绪智力），通过对评价、管理和运用个体的情绪来应对所知觉到的压力。

再次，人类发展的保护因子模型 (protective-protective model) 认为，在预测个体身心发展的结果时，不同的保护因子之间可能存在一定的交互作用，即一个保护因子（如社会支持）对结果变量（如心理健康）的预测作用可能会随着另一个保护因子（如情绪智力）水平的不同而发生变化。该模型包含两种假说，一是促进假说，指的是一种保护因子可能会增强另一种保护因子对结果变量的预测作用；二是排除假说，指的是一种保护因子可能会削弱另一种保护因子对结果变量的预测作用（鲍振宙，张卫，李董平，李丹黎，王艳辉，2013；Cohen, Cohen, West,

& Aiken, 2013)。本研究的结果与排除假说相符，也就是说社会支持、情绪智力这两种保护因子在预测心理健康时存在着交互作用，通过在模型中的竞争，情绪智力削弱了社会支持的影响，从而没有显著的调节作用，同时本研究中的这个结果也在一定程度上说明了与来自外界的保护性因素（如社会支持）相比，来自个体自身的保护性因素（如情绪智力）可能对个体的心理健康影响更大。这启示在个体面临压力时，依靠自身良好的素质和品质，努力培养个体的情绪智力具有十分重要的意义。

另外本研究从社会支持的平均分  $M=2.59$  来看，大学生社会支持水平处于中等水平，研究者据此推论，这可能与我国北方地区大学生独立意识较强有关，他们在遇到问题时，首先想到自己解决问题，依赖性降低，从而感知到的社会支持水平和对社会支持的利用度都比较低。

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# 中国在泰留学生自我效能感、跨文化适应和学习行为关系之研究

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## 摘要

本研究是探讨在泰中国留学生自我效能感、跨文化适应以及学习行为之关系研究，跨文化适应对自我效能感与学生学习行为的影响中介效果。以 Bandura 的三元交互论为理论基础。通过对泰国三所大学的中国留学生为研究对象进行问卷调查，分别是泰国博仁大学、泰国商会大学、泰国易三仓大学，共计发 750 份问卷，回收问卷 683 份，回收率为 91.06%。其中有效问卷为 616 份，无效问卷 67 份。有效问卷回收率为 90.19%。运用以 SPSS22.0 统计软件及 AMOS 21.0 软件进行资料分析，并针对其分析结果进行解释及验证。研究结果发现：自我效能感、跨文化适应对学习行为皆有正向影响；自我效能感对学习行为有正向影响；跨文化适应对学习行为有正向影响；跨文化适应对自我效能感和学习行为有部分中介效果；并找出了自我效能感、跨文化适应是影响学习行为的因素。最后，针对研究结果进行讨论，并提出相关的建议与未来的研究方向。

**关键词：**中国留学生；自我效能感；跨文化适应

## 1. 研究背景

论随着中国—东盟自贸区的建立以及“一带一路”战略的提出，中泰两国不管是在贸易、旅游、教育、文化等各行业，都将进一步增加交流，这必将为大学生提供更多的就业机会，随着“一带一路”设施进程的加快，未来我国大学生就业和创业的机会将会不断扩大(郑玉云, 2004)。在“一带一路”政策的影响下，东南亚留学越来越受追捧，泰国地处东南亚重要位置，加上两国政策的支持使得众多留学目的地中，泰国成为“新宠”(孟蕾, 2017)。自我效能感(Self-efficacy)这一概念是美国著名心理学家 Bandura(1977)首次提出的，凭借着他对人性及其因果决定模式三元交互决定论一个体、环境与行动三者之间的交互决定论在认知心理学的影响下，提出了自我效能感的概念(周文霞、郭桂萍, 2006)。留学生在学生群体中有着特殊性，由于他们深处陌生环境，容易受到来自文化、语言，以及学业本身的压力。在这一群体中，自我效能感体现除了其独特的作用，因为其强调了个体、环境和行动之间的关系，而这三者都影响着留学生群体的身心健康和学习水平。本研究中的自我效能感即相当于 Bandura 三元交互决定论中的个体，跨文化适应及对应环境。跨文化适应对学习行为也有相应的影响，而这种影响与自我效能感也息息相关，留学生的跨文化适应水平与自我效能感呈正相关(王相蓉, 2013)。自我效能感水平越高，越积极主动，更倾向于入东道国，所以跨文化适应水平越高。李雪平(2012)研究表明大学生自我效能感对学习行为的影响以及自我效能感对跨文化适应的影响，而其研究的主题是在泰的中国留学生自我效能感对学习行为的影响以跨文化适应为中介通过调查在泰留学的中国学生学习行为的实况研究。据此，本研究目的为探讨留学生的学习行为受自我效能感与跨文化适应能力两个主要因素的影响。



## 2. 文献综述

### 2.1 自我效能感

“自我效能感”（self-efficacy）最早是由美国著名心理学家 Bandura 于 1977 年在其作品“Self-efficacy: Toward a unifying theory of behavioral change”中提出的，这篇文章具有开创性意义，指出心理过程（psychological procedure）对自我效能程度和强度的有很强相关性。

Bandura (1986)在《思想和行动的社会基础—社会认知论》一书中，对自我效能感增加了进一步阐述。他将其定义为“个体在执行某一行为操作之前对自己能够在什么水平上完成该行为活动所具有的信念、判断或主体自我把握与感受。”

梁宇颂（2000）自我效能感，指个体对自身完成任务所具有判断与自信。他将自我效能感分为两部分，包括能力自我效能感与行为效能感。能力自我效能感是指个体对自己是否能顺利完成学业的能力判断和自信。行为能力效能感是指自己能否采取一定学习方法达到学习目标判断自信。因此本研究将自我效能感定义为个体对能否顺利完成学业任务所具有的信心和判断。

王凯荣（1999）通过路径分析技术发现成功归因通过自我效能感对学习行为产生影响，失败归因通过自我效能感对学习行为产生影响，自我效能感对学习行为有直接影响。

一些学者认为，自我效能感虽在经验上与成就动机相联系，但两者有着清晰的区别。他们认为，自我效能关于成就动机一起作为成就目标的前因，间接地成就行为产生影响。比如朱晓斌、张莉渺与吴亮亮（2011）在研究中将成就目标分为三种定向：掌握目标（Masterygoal）、成就趋近目标（Performance—approach）与成就回避目标（Perform—ance—avoidancegoal）。结果发现，自我效能感与前二者之间存在显著正相关关系，与成就回避目标之间存在显著负相关关系。所以，自我效能感与学习行为之间的关系尚需进一步研究。

### 2.2 跨文化适应

跨文化适应研究始于 20 世纪的美国。从现有文献资料来看，跨文化适应(Cross Culture Adaptation)的概念最早由人类学家雷德菲尔德等人于 1936 年提出，他们从人类学的视角，指出跨文化适应是“具有不同文化的个体组成的群体之间，发生连续的、直接的接触，导致一方或双方原有文化模式随之发生文化的现象”。

近年来，关于跨文化适应的文献也对这一概念有所补充；无论是关注在华留学生还是海外中国留学生，研究数量都有所增长。例如王祖嫒（2016）将研究对象设为在北京的留学生人群，从心理、文化、语言、学习四个维度来分析学生的适应程度；该研究发现北京留学生的跨文化程度属于中高水平，尽管呈现了阶段性和区域性的差异。例如，孙康，殷惠和朱耀顺（2018）的研究探讨了在云南的东南亚留学生的跨文化适应状况，从语言和文化、环境、学业、心理健康这几个方面开展讨论，得出结论，即文化与社会差异是影响其研究对象的最显著因素，决定了在华留学生能否顺利融入中国的环境。相应的中国在外留学生的研究也并不缺乏。如毛学勤（2015）讨论了在德中国留学生的跨文化适应状况，对 154 名中国留学生发放了问卷；这一研究的结果显示，中国留学生的跨文化适应情况属于中等水平，其中人际交往能力在各维度中最低。针对跨文化适应能力的教育方法也在今年有所提出。例如，刘芳（2014）提出了针对跨文化适应训练的雅思听力教学方法，使学生在提高雅思考试成绩的同时，也能够提高自己跨文化适应水平。

### 2.3 自我效能感及跨文化适应

在跨文化情境中，新的个体会面临着各种各样的挑战，而在跨文化适应的过程中自我主观因素所起的作用存在着很大的差异，自我效能感在学生对新环境适应过程发挥着重要的影响。Kruger(1997)指出，在跨文化适应的过程中自我效能感起着重要的作用，与跨文化适应二者相互关联、相互影响。即自我效应感强的人更容易适应跨文化环境，而容易适应跨文化环境的人也会更好的发挥自我效能感。本研究通过调查问卷研究这两个变量之间的关系，旨在更进一步讨论二者之间的关系，尤其是体现在在泰中国留学生身上的体现。

### 2.3 自我效能感及学习行为

学习行为是自我效能感在学习领域中的具体表现。学习行为是指个体的学习能力的展现，学业中的自我效能感是个体对于能否控制自己学习行为和学习能力的一种主观判断（边玉芳，2006）。自我效能感有着多重作用，包括个人情绪、态度和行为的管理，压力调节作用（顾佳旋、孟慧、范津砚，2014）。自我效能感强的学生，对自己的能力更有信心，适应环境的能力也就随之增强，从而更能够改善学习行为（彭文辉，2012）。

### 2.4 跨文化适应及学习行为

学习是各国留学生的主要任务，顺利完成学业任务是他们留学的终极使命，因此在分析在泰中国留学生跨文化适应中自主学习行为是必不可少的。Frenzel (2007)研究指出，在学生学习过程中，学习的环境因素可以反应出学生的焦虑、生气等情绪，会对学习行为因素造成影响。张梅(2010)研究看来，在东南亚，语言水平、文化身份的认同对留学生的文化适应起到了非常重要的作用从而对学生的行为有显著的影响。

### 2.5 自我效能感、跨文化适应及学习行为三者之间的关系研究

杜文军和康阳阳（2015）研究了新疆双语学生的跨文化适应能力，该研究通过评价这一群体的跨文化适应能力，得出了跨文化适应能力与学生的学习行为之间有紧密联系的结论，并认为跨文化适应能力是学生发展的一大关键。王电建（2016）探讨了实验性质的中美联合培养课程，这一课程包括了帮助学生体验美国的文化环境的内容；他的研究发现，有更好心理适应能力的学生也会有更为主动的学习行为，设置更为有效的学习计划。上述文献体现出学习行为受着跨文化适应能力的影响，有更好适应能力的学生也往往表现出更为理智的学习行为。在沈姝涵、陈奕桦（2017）关于在泰中国留学生的跨文化适应关系发现，学生的跨文化适应程度越好，其学习积极性越高；跨文化适应与学习行为呈显著正相关，即在泰中国留学生的跨文化适应程度越好，学生的学习主动性越强，与此同时，该研究成果给予教育工作者一定的启示，可以通过提高学生跨文化适应从而改善学生的学习行为。社会文化适应与自足学习行为存在正相关的关系，提升学生社会文化适应性有利于学生更好地掌控环境，发展更加积极的人际关系从而避免在国外与他人之间的摩擦，有助于学生去接纳自我，变得更加有自信从而更好地规划自己的自主学习生活。

## 3. 研究方法

### 3.1 研究假设

依据研究目的、文献探讨本研究的假设如下：

假设 1： 性别在自我效能感、跨文化适应、学习行为有显著差异；

假设 1.1： 性别对自我效能感有显著差异；

假设 1.2： 性别对跨文化适应有显著差异；

- 假设 1.3: 性别对学习行为有显著差异;  
假设 2: 院校在自我效能感、跨文化适应、学习行为有显著差异;  
假设 2.1 院校对自我效能感有显著差异;  
假设 2.2 院校对跨文化适应有显著差异;  
假设 2.3: 院校对学习行为有显著差异;  
假设 3: 自我效能感对自主学习行为存在正向显著影响;  
假设 4: 自我效能感对跨文化适应存在正向显著影响;  
假设 5: 跨文化适应对自主学习行为存在正向显著影响;  
假设 6: 自我效能感透过跨文化适应对自主学习行为存在正向显著影响;

### 3.2 研究对象与工具

本研究的对象是泰国三所大学, 分别是泰国博仁大学、泰国商会大学、泰国易三仓大学, 采用立意抽样, 母体为这三所大学里面的中国留学生为群体。

《大学生学业自我效能感问卷》是梁宇颂(2000)编制的, 问卷由 2 个维度构成, 包括学业能力自我效能感与学业行为自我效能感, 每个维度 11 道题目, 共 22 道题目。该问卷在本研究中的两个维度以及总分的  $\alpha$  系数分别为 0.897、0.670、0.885, 问卷的信度和效度均较好。社会文化适应量表(SCAS)由 Searle & Ward(1990)编制, 用来检测在跨文化情境中个体独自完成任务的自信心其中一共包含 41 个项目, 本研究中使用的是包含 29 个项目的版本。其中 29 个项目考察个体在社会文化的各个方面的适应情况。量表来用的 5 点评分, 1 代表困难, 5 代表非常困难。Ward & Kennedy(1990)对社会文化适应量表的研究中认为, 该量表中包含 2 个因子, 分别为认知和交流、人际交往和难情境的处理, 该研究以新西兰和新加坡的大学生为被试, 测试结果显示, 量表的总信度 0.97, 信度较高; 用因素分析法测试结构效度, 发现量表分为行为和认知两个维度。本研究学习行为的测量主要包括互动交流和学习态度。依据王昭君的《影响网络学习效果关键因素探究》和蔡和佳的《教育技术学学习信念与学习行为关系的调查研究》中有关学习行为的阐述和建议, 从课堂目标规划性能更为、课堂表现行为、自主学习行为和合作交流行为等四个方面进行调查。该量表 Cronbach's  $\alpha=0.876$ , 表明信度较高, 该量表的结构效果合理。

## 4. 研究结果

### 4.1 基本信息

本研究共回收有效问卷 683 份, 回收率为 91.06%。其中有效问卷为 616 份, 无效问卷 67 份。有效问卷回收率为 90.19%。性别为男性的为 344 人, 所占比例为 55.8%, 女性为 272 人, 所占百分比为 44.2%; 从学校方面来看, 泰国博仁大学 345 人, 占 56%; 泰国商会大学 140 人, 占 22.7%; 泰国易三仓大学 131 人, 占 21.3%。

### 4.2 独立样本 T 检定

本研究平均数差异检定的独立样本 T 检定来了解三所学校不同性别的学生, 对自我效能感、跨文化适应和学习行为的变项是否具有差异。

检验结果显示, 由表一可知, 在性别方面, 不同性别在跨文化适应方面具有显著差异( $t=3.309, p<0.05$ ), 而自我效能和学习行为方面并没有显著差异( $p>0.05$ )。具体如下表所示:

表一 各构面独立样本 t 检定 (性别)

变项	性别	人数	平均数	标准差	t 值
自我效能	男	343	3.806	0.819	3.309*
	女	272	3.803	0.786	
跨文化适应	男	343	3.778	0.876	3.490*
	女	272	3.671	0.901	
学习行为	男	343	3.792	0.808	3.572
	女	272	3.710	0.744	

资料来源：本研究整理；样本=312；\* $P < 0.5$

#### 4.3 单因素方差分析

对于不同学校对自我效能感、跨文化适应和学习行为的变项是否具有差异，结果可知，不同学校在跨文化适应方面具有显著差异 ( $F=3.439$ ,  $p < 0.05$ )。根据结果显示，泰国博仁大学的学生在跨文化适应方面高于泰国易三仓大学的学生，另外在自我效能与学习行为方面不具有显著差异。如表二所示：

表二 学校变异数分析摘要表

层面	学校	人数	平均数	F 值	事后比较
自我效能	1.泰国博仁大学	345	3.942	2.465	
	2.泰国商会大学	140	3.885		
	3.泰国易三仓大学	131	3.836		
跨文化适应	1.泰国博仁大学	345	3.847	3.439*	1>3
	2.泰国商会大学	140	3.832		
	3.泰国易三仓大学	131	3.718		
学习行为	1.泰国博仁大学	345	3.858	0.147	
	2.泰国商会大学	140	3.782		
	3.泰国易三仓大学	131	3.732		

\* $p < 0.05$

#### 4.4 相关分析

在对假设进行验证前需分析各个因素（变量）间的相关性，以便了解这些因素（变量）之关系。本研究以 Pearson 相关系数检定各维度的相关程度，相关系数数值在-1 到 1 之间，系数值的绝对值越大说明其两者相关性越强。本研究设计各变量间的相关分析，具体详情如下表三所示：

表三 相关系数矩阵

	自我效能	跨文化适应	学习行为
自我效能	1		
跨文化适应	0.674**	1	
学习行为	0.617**	0.548**	1
平均数	3.951	4.042	3.859
标准差	0.575	0.523	0.596

\*\* $p < 0.01$

从表三可以看出，自我效能与跨文化适应、学习行为呈正相关，跨文化适应与学习行为呈

正相关。

#### 4.5 回归分析

表四 跨文化适应在自我效能对学习行为的中介效应分析表

	因变量					
	跨文化适应		学习行为			
	模型 1		模型 2		模型 3	
	$\beta$ 值	t 值	$\beta$ 值	t 值	$\beta$ 值	t 值
自我效能	.674	21.591***	.617	18.535***	.469	10.320***
跨文化适应	-	-	-	-	.276	5.534***
F 值	466.165		343.549		240.518	
调整后 R <sup>2</sup>	.453		.379		.299	

\*\*\* $p < 0.001$

在表四中自变量自我效能的回归系数为 0.453 ( $t=5.236$ ,  $p < 0.001$ ), 说明自我效能有跨文化适应的介入时, 仍对学习行为有显著的作用, 并且跨文化适应的回归系数为 0.243 ( $t=5.534$ ,  $p < 0.001$ ), 说明自我效能对学习行为有正向作用。由于介入跨文化适应之后自我效能对学习行为的直接影响仍然显著, 同时回归系数的绝对值由 0.617 变为 0.453, 因此可以认为中介变量跨文化适应具有部分中介作用, 跨文化适应会透过自我效能对学习行为产生正向的影响。

#### 4.6 研究结果汇总

SPSS 数据分析, 上述结果如下表所示:

表五 研究结果汇总

假设	假设内容	结果
H1	性别在自我效能感、跨文化适应、学习行为有显著差异。	部分成立
H1.1	性别在自我效能感有显著差异	不成立
H1.2	性别在跨文化适应有显著差异	成立
H1.3	性别在学习行为有显著差异	不成立
H2	院校在自我效能感、跨文化适应、学习行为有显著差异。	部分成立
H2.1	院校在自我效能感有显著差异	不成立
H2.2	院校在跨文化适应有显著差异	成立
H2.3	院校在学习行为有显著差异	不成立
H3	自我效能感对跨文化适应存在正向显著影响。	成立
H4	跨文化适应对学习行为存在正向显著影响。	成立
H5	跨文化适应透过自我效能感对学习行为存在中介作用。	成立

## 5. 结论

### 5.1 研究结论

#### 5.1.1 不同性别在自跨文化适应方面具有显著差异

通过独立样本 T 检定, 发现不同性别在跨文化适应方面具有显著差异, 因此假设 H1.2 成立。因此与之前的研究有相似的情况, 例如卢炜 (2015) 认为性别是跨文化适应的一个重要影响因素, 以往研究认为女性较男性在跨文化适应方面会遇到更多压力, 带来不良的适应结果。张向葵、田录梅、暴占光与闻明晶 (2006) 在研究中发现, 相比与男性, 女性在适应东道国文化时会通

常会遇到更多的困难，而且女性的心理健康水平比男性更糟糕；在肖三蓉（2009）对美国华人移民的研究中显示，女性的身心健康水平要低于男性。这是由于男性和女性在应对环境和生活事件方式上的不同，以及由此造成的心理体验的不同而导致的，主流社会以及少数种族社会对于男女的态度也会导致性别在适应结果上的差异。

### 5.1.2 不同院校在跨文化适应方面具有显著差异

根据单因素方差分析的结果发现，不同院校的中国留学生在跨文化适应方面具有显著差异，泰国博仁大学的中国留学生跨文化适应度最高，并高于易三仓大学具有显著差异。首先由于泰国博仁大学的中国留学生居多，整体氛围趋近于中国的环境，而其他两所高校的中国留学生较少。杨光（2018）的研究与本结论像类似，杨光认为国家文化的差异与冲击是造成留学生对于跨文化适应的一个主要因素，而泰国博仁大学的教学模式以中文为主，所以在此方面，中国留学生所收到的影响较少。

### 5.1.3 自我效能感对跨文化适应存在正向显著影响

通过相关性分析和回归分析的研究可以发现，在泰中国留学生的自我效能感与跨文化适应之间呈现显著的正向相关，且具有影响，因此假设 H3 成立。

根据自我效能感的作用机制，留学生自我效能感水平会影响个体在社交中的选择。马大卫（2016）指出，社交自我效能感水平越高，社交中越积极主动，更倾向于融入东道国，所以跨文化适应水平越高。因此，留学生的跨文化适应水平与社交自我效能感呈正相关。通过回归分析进一步表明适应东道国教育对留学生跨文化适应有显著的预测作用。首先，适应东道国教育对留学生的跨文化适应水平有正向预测作用，与留学生的身份密切相关。中国留学生的主要目的之一就是学习，在课堂沟通中有较高自我效能感，并且有信心适应泰国的教育体系，对留学生成功的适应跨文化的留学生活有重要意义。

### 5.1.4 跨文化适应对学习行为存在正向显著影响

通过相关性分析和回归分析的研究可以发现，在泰中国留学生的跨文化适应与学习行为之间呈现显著的正向相关，且具有影响，因此假设 H4 成立。

学习是绝大部分留学生来到中国的目的，目前对留学生的学习生活的研究很多，研究者们大多都是探讨：留学生对课堂教学方法的适应，留学生对课程内容、教材满意度，师生关系、考核考试方式的看法等。例如朴丁美（2009）《在华韩国留学生的跨文化适应问题研究》一文中提到，多数来华韩国留学生对教学方法比较适应，但是对于学习内容和教材留学生们有着不同的看法。一部分学生认为学习的内容难度不大，一部分学生认为学习很难，进行专业学习时感到压力较大，这是由他们的专业学习态度和学习能力决定的。Nilsson(2008)以在美国的亚洲留学生为研究对象，结果发现，跨文化适应对学生的自主学习行为有显著的正向预测作用。

### 5.1.5 跨文化适应透过自我效能感对学习行为存在中介作用

通过相关性分析和回归分析的研究可以发现，在泰中国留学生的跨文化适应透过自我效能对学习行为的影响产生中介作用，因此假设 H5 成立。

赴泰留学的中国学生作为一个特殊的群体，不仅面临着学业的压力，而且存在适应新的社会文化环境的压力。除了自我效能对于自身学习的影响外，跨文化适应在两者之间具有中介作用。此结论与 Ceuterick（2008）的研究结果相似，通过调查在荷兰的其他国家留学生，对于东道主国家的社会和文化适应，发现跨文化适应的程度较高给予这些留学生迅速融入其中，

并能较容易的适应学习环境。

## 5.2 研究限制

首先,本研究只针对了泰国三所大学的中国留学生进行调查,有一定的局限性。研究内容只进行了片面性的了解,还不够整体全面。因此,未来研究者若能将研究范围扩大,对更多的高校进行调查研究,则更能深入提供建议,以期强化学校的教学能力、人才的培养力度与提升学校竞争力。以后的研究者也可以通过其它方法进一步的研究。

其次,本研究运用的是问卷调查法对学生进行调查,未来的研究者可以通过实验法或者访谈法,对学生和老师进行实验和近距离的访谈,更加贴近的去了解老师和学生的想法,进行更深入的调查。对此课题的研究结果也会有一些新的发现。

在研究工具上采用的问卷的形式进行调查,参与调查的人是否认真配合调查也会直接影响到这次的调查结果,因此有关的建议和推论只针对于本研究。

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# 中国 2-3 岁幼儿智能发展之感统游戏课程设计

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## 摘要

本研究基于幼儿智能与感统游戏理论，从幼儿集体教学视角，系统构建了感统游戏课程设计思路、要素及课程实施流程的课程框架，据此并结合教学实务具体设计适宜中国 2-3 岁幼儿智能发展的 16 个主题式情景化感统游戏教案，经专家评审，具有良好的评分者信度和内容效度，对于中国 0-3 岁托幼集体教养机构与家长的早期教养有一定的实践指导意义。

**关键词：**2-3 岁幼儿；智能发展；感统游戏；课程设计

## 1. 研究背景

心理学与脑科学的相关研究说明，新生儿出生之后的三年当中，大脑具有最出色的可塑性，在这一阶段大脑发育最快，因此这一阶段也是婴幼儿智能发展与学习能力培养的重要阶段（张民生，2007）。因此各国政府与联合国儿童基金会共同成立儿童“早期关心和发展项目”（Early Childhood Care and Development, ECCD）（何慧华，2013），主要关注的就是婴幼儿智能发展（华爱华，2004）。

婴幼儿智能发展都以大脑的生理机制为依据（Gardner，1983），依赖于神经系统的发育和成熟，这早已被科学实验研究所证实（彭先桃等，2018）。Ayres(1972)感统理论认为，感觉统合功能是语言、认知能力、社会性、身体和情感发展的基础，是每个儿童成长过程中必有的学习过程，没有感觉统合，大脑和身体都无法发展（李旭东、黄悦勤，2001）。而感统失调则会影响到儿童生活自理、学习能力、社交关系及思考创造能力等（高丽芷，2008）。Ayres（1981）研究发现，感统训练治疗，能够使儿童阅读能力、语言能力、注意力得到改善。其后也有许多中国研究者（李旭东，2003；李惠和，2005；袁红，2006；何志珊，2009）在研究中提出，通过身体、心理、大脑等三方面感统训练后能够使儿童的学习成绩、肢体协调性、情绪稳定性、注意力等得到提高。而感统游戏就是以感觉统合理论为依据，以特定的感统玩教具为媒介的一种有目的、有意识的教育性游戏活动（刘德儒、陈琦，2007）。通过感统游戏，将感觉输入与动作练习相结合，使婴幼儿在轻松愉快的游戏活动中接受针对性和计划性的感觉刺激，以增强其运动技能和提高各机能组织的协调性，促进大脑的发育，从而促进智能的发展（彭先桃等，2017）。

在当今城市化进程加快的社会上，现代生活压力的加大，先天后天环境等因素，造成了发育迟缓、感统失调的儿童人数日渐增多，严重影响了儿童智能发展和健康生活。《世界儿童状况》表明，世界范围内发育迟缓的儿童高达 2.26 亿，发育迟缓问题会直接对儿童的智力发育产生显著的负面影响（张力玮、邓明茜，2011）。Ahn 等（2004）在经过深入研究后发现美国幼儿当中大概有 5%到 13%的具有感觉统合失调问题。有关研究表明，中国 0-6 岁的儿童中存在感统失调者比例高达 10%-30%，这个比例几乎是世界平均水平的 3 倍（肖晓鸿，2018）。

幼儿在 2-3 岁期间处于前运算时期，这一时期对于幼儿形成概念性智力非常重要，思维具

有自我中心化的特性，感觉发展基本完善并进入感觉统合期，动作技能会从粗大动作向精细动作转变，因此这一阶段的孩子在社会情感、言语、认知发展等智能方面均较为敏感(Piaget, 1952)。“麻烦的两岁”、“恐怖的两岁”现象就是对 2-3 岁幼儿的独特特点的生动描述（高丽芷，2017）。因此，在这阶段加强充分的感觉统合训练和游戏活动，对于更好发展婴幼儿感觉统合能力及有效预防感统失调问题，进而促进婴幼儿智能发展有着重要的现实意义。

而从婴幼儿集体教学的视角，游戏化教学是以游戏作为主导的教学活动，更关注儿童学习与发展的能力和水平，正确看待游戏与教学、课程之间的关系是研究的一大突破点（曾彬、姜晨，2014）。而目前中国教育界对 2-3 岁集体早期教养的课程理论和实践层面的研究相对缺乏（文姬，2012）。因此，本研究基于中国 2-3 岁幼儿智能发展里程碑，以及感统理论的教学实践，参考美国、台湾、上海、北京 0-3 岁婴幼儿教养方案等实务性课程纲要，根据游戏课程化的教学原则与模式设计的感统游戏课程，既是感统课程的游戏化，又是感统游戏的课程化，丰富了感统、游戏与课程教学的融合理论。对于中国 2-3 岁托幼集体教养机构与家长的早期教养有一定的理论及实践指导意义。

## 2. 文献综述

### 2.1 幼儿智能发展

#### 2.1.1 幼儿智能发展的特点与规律

在针对婴幼儿智能发展进行相关研究后，鲍秀兰（2013）认为，到目前为止并未产生一个能够被学界广泛认同的智能定义，不过学界均认为智能属于一种综合心理功能。随着认知神经科学的研究成果，人类个体的不同仅仅在于其各项智能的开发程度以及智能组合的不同，单一观的智能理论正逐渐地被多元观的智能理论所取代（沈政、方方、杨炯炯，2010）。目前，多元智能理论是世界范围内最具影响力的智能理论，该理论创立者 Gardner(1983)认为，人体大脑当中具有多个区域，每个区域具有不同的功能，但是相关区域的功能会不断变化，因此智能并不单一，它具有多元性。智能主要有自我认知智能、人际认知智能、身体动觉智能、音乐智能、空间智能、数学逻辑智能、语言智能等。上述不同智能在个体当中的表现均有所差异，智能可以通过多种方式进行组合。多元智能理论对全球教育界的影响极大，其应用的主要教育方法是个性化教育（张会哲，2012）。婴幼儿日常行为会直接影响到其神经心理发育，在这一时期，根据 ECCD(2001-2005)中儿童全面发展的内涵，多元智能主要体现在四个方面，分别是社会性、语言、认知与动作。它是婴幼儿健康成长的一个极为重要的方面。综合文姬（2012）及相关学者研究，对幼儿四方面智能发展的定义、趋势及核心能力等规律整理如下表一。

表一 婴幼儿智能发展规律

领域	定义	发展趋势	核心能力
认知智能	认知是认识世界的活动, 认知能力的发展主要表现为感知、表象、概念这三个认知过程的动力变化 (刘范、张增杰, 1987)	认知发展符合时空上由近及远的发展、由自我中心到去自我中心的发展、认识事物由表象到本质的发展、水平上由浅入深的发展 (方富熹、方格, 2003)	两大方面九个项目: 感知觉 (外感受器感觉、本体感觉), 表象和思维 (表征、序列、类概念、因果理解、空间概念、时间概念、数概念等)
动作智能	机体在心理系统、神经系统、运动器官协调配合后进行的运动就是动作, 可分为精细动作与粗大动作 (董奇、陶沙, 2004)	身体动作发展符合首尾发展趋势、近远发展趋势、先粗大动作后精细动作发展趋势、无意识到有意识动作发展趋势、泛化集中趋势	两类七个项目: 粗大动作 (头部动作、胸部动作、腰部动作、下肢动作), 精细动作 (单手动作、双手动作、使用工具动作)
语言智能	语言是一个交流过程, 主要有听、说、读、写这四种形式。可分为表达性语言与接受性语言	先发展语言理解能力、后发展语言表达能力, 从语言表达形式经历了非语言交际、口语交际、书面语言, 从口语表达能力上经历了从情景性语言到连贯性语言的发展过程。	三个种类: 语言感知、语言理解、语言表达
社会性智能	为了满足社会需要而体现的行为和心理特征就是社会性 (孙瑜, 2006), 包括社会认知、社会情感和社会行为	社会性发展是一个逐步区分人类与非人类、自我与非我的过程, 表现出从不能调控自己的情绪, 到在指令下控制自己的情绪, 再到主动控制自己的情绪, 最后发展到能安慰他人的情绪与影响他人行为的过程	三个方面九个项目: 社会认知 (自我认知、对他人的认知、对社会规则的认知), 社会情感 (对自己情绪的意识、对他人情绪的反应、移情), 社会行为 (自我控制、生活自理、亲社会行为)

资料来源: 本研究整理

### 2.1.2 2-3 岁幼儿智能发展里程碑

本研究根据中国 0-3 岁婴幼儿各月龄段心理发展能力指标 (文姬, 2012)、上海市 0-3 岁婴幼儿教养方案、北京市 0-3 岁儿童教养大纲, 参考美国 0-3 岁婴幼儿成长里程碑 (李颖妮译, 2014), 整理出中国 2-3 岁幼儿智能发展里程碑, 详见下表二。

表二 中国 2-3 岁幼儿智能发展里程碑

发展领域	智能发展指标
动作	<ul style="list-style-type: none"> <li>•能走直线, 会主动避开或跨越障碍物。</li> <li>•能平稳奔跑, 动作接近成人, 膝盖微屈, 双臂朝相反方向摆动。</li> <li>•能原地向前、向上跳, 会从高处向下跳。。</li> <li>•能单脚站 2-10 秒。</li> <li>•能独自双脚交替灵活上下楼梯。</li> <li>•会骑三轮车。</li> <li>•能随意滚球, 向前抛球, 会举起手臂投掷东西。</li> <li>•能两手配合做事, 会穿珠、会叠放 8-10 块积木。。</li> <li>•能模仿画圆圈、水平线、垂直线、十字线等。</li> <li>•会一页页翻书、会拼简单拼图。</li> <li>•会按口令做操 (4-8 节)。</li> <li>•会转动把手开门、旋开瓶盖取物。</li> <li>•会自己洗手、擦手、擦脸。</li> </ul>

	<ul style="list-style-type: none"> <li>•会自己吃饭、会穿鞋袜、会解扣衣扣、拉拉链。</li> <li>•学会使用筷子。</li> </ul>
语言	<ul style="list-style-type: none"> <li>•能运用 300-500 个单词。</li> <li>•能认识或说出 50-100 个日用品或图片名称。</li> <li>•能说出至少 6 个身体部位的名称。</li> <li>•能说出自己的姓名、性别、年龄。</li> <li>•会使用一些动词、形容词、数量词、连续词（如“和”“跟”“如果”“但是”）及位置介词。</li> <li>•能准确的表述运用“你（们）”“我（们）”“他（们）”。</li> <li>•会使用日常礼貌用语（如“请”“对不起”“谢谢”）</li> <li>•会问一些关于“什么”“何时”“哪儿”“为什么”的问题。</li> <li>•会说 3-8 个字词的句子。</li> <li>•会背儿歌 8-10 首。</li> <li>•能简单叙述或谈论眼前发生或经历的事情。</li> <li>•能用动作和语言表达眼前没有的东西。</li> <li>•能进行 2-3 个句子的对话。</li> </ul>
认知	<ul style="list-style-type: none"> <li>•能数 1 到 10，会点数 3-5，有初步的数字概念。</li> <li>•能感知辨别物体颜色（红、黄、绿）、形状（圆、方、三角形）、大小、长短，对发现不同物体的不同特点感兴趣。</li> <li>•能分辨不同人的声音和一个人的不同声调，能听懂并理解故事主要情节。</li> <li>•能判断物体的远近、前后、上下、里外。</li> <li>•能理解白天与黑夜的差别。</li> <li>•开始认知时间概念（如今天、明天、昨天）</li> <li>•会简单的根据大小、形状归类和排序，对不同物体进行配对。</li> <li>•能理解并执行成年人发出的 2-3 个指令。</li> <li>•有目的性的使用物品。</li> </ul>
社会性	<ul style="list-style-type: none"> <li>•观察他人如何做事。</li> <li>•重视自己的东西，以自我为中心、想独立完成一件事，会用“不”来表明自己的独立。</li> <li>•禁止做的事情知道不去做，有一定的控制能力。</li> <li>•独自玩耍或与他人平行游戏。</li> <li>•开始与其他孩子合作玩耍，有时候会分享玩具。</li> <li>•参与社会角色扮演游戏，可玩集体游戏。</li> <li>•会怕羞、害怕、发脾气，显示共鸣与关心、自尊心。</li> <li>•可有自己喜欢的小朋友，喜欢和好朋友玩，但容易发生冲突。</li> <li>•开始意识到他人情感，会沟通表达情感。</li> <li>•知道等待轮流，但常常不耐烦。</li> <li>•愿意帮忙收拾玩具、拿杂物袋等。</li> <li>•会提示大小便，会自己上床睡觉。</li> </ul>
<p>备注：智能发展里程碑所列发展指标仅是一般常规状况，每个幼儿发育都有差异性，这些指标特征的出现会有早晚。</p>	

资料来源：本研究整理

## 2.2 感统与游戏

Ayres (1972) 通过将脑神经学与发展心理学相结合，根据对脑功能研究、职业治疗及实验研究结果指出，感觉统合是指人的大脑将从各种感觉器官传来的感觉信息进行多次分析、综合处理，并作出适当的反应，使个体在外界环境的刺激中和谐有效地运作。该理论系统地提出了涉及脑功能及其发展、学习及学习障碍和治疗三个方面的感觉统合理论。Ayres(1979)认为感觉统合发展过程，包括感觉(sensory canal)通路的建立、发展感觉动作(sensory motor)、形成知觉动作(perceptual motor)、认知学习(cognitive learning)的产生四个层次。感觉统合功能是认识能力、社会性、身体和情感发展的基础，是每个儿童成长过程中必有的学习过程，没有感觉统合，大

脑和身体都无法发展（李旭东、黄悦勤，2001）。个体的语言、逻辑能力等高级认知活动必须要通过感觉综合系统的整合后才能形成。若感觉统合发展不顺利，则导致感觉统合失调。Bundy等（2002）将大脑的神经感觉分为七个层面，包括姿势眼球动作、两侧整合、感觉区辨、感觉调适、动作计划、活动力与活动量、情绪行为与人际关系，并表示一个层面功能产生问题，都会造成外显行为表现异常，即所谓感觉统合障碍或失调。大量的研究结果显示感觉统合训练能显著改善大脑的结构和功能。而 Ayres（1972）认为只有感觉统合训练或游戏才能治疗感统失调。

感觉统合训练是指基于儿童神经系统发展的需要，引导对外界各种感官刺激做出相应反应的训练。囊括了心理、大脑和躯体这三者的协调与配合训练（何博、吕琦欣，2018）。关键是借助训练器材，通过儿童与器材的接触和对器材的操控练习，对儿童的前庭平衡、本体运动（肌肉与关节）、触觉、视、听、嗅、味等进行多种感觉综合刺激，进而提升儿童的感觉统合能力。综合相关文献（何博、吕琦欣，2018；肖晓鸿，2018）就感统训练总述如下。

训练原则，(a) 将教具器材作为发展载体，整体都需要依赖游戏这一方式来进行，从而将幼儿对感统的兴趣培养出来。(b) 儿童之间存在差异性，课程需要综合儿童能力、智力水平等情况来展开。(c) 将游戏互动、情景模拟等形式融合到一起，从而再展开切实的训练。(d) 做好综合测评工作，把握各个阶段的实际情况，以此做好平衡化发展。

训练方法，(a) 触觉训练：一般选择按摩球、海洋球池等，尽可能的让幼儿与器材这二者能够直接接触，从而再将个人的皮肤、大小肌肉等全部都调动起来。(b) 前庭平衡训练：训练器材一般都是选用滑梯、平衡台等，这能够锻炼人体本身的平衡能力，将前庭和平衡系统的自反应机制予以强化，从而让语言组织发育、健全语言神经系统更加健全、完善。(c) 弹跳训练：训练器材一般都可以直接选用羊角球、跳床等，这能够锻炼幼儿的身体协调能力；促进幼儿左脑和右脑的两方面发展。(d) 固有平衡训练：通常这都直接选用大陀螺、独角椅等器材，幼儿能够在练习的过程当中更好的对不平衡物体予以操纵，从而促进个体大脑的良好发育。(e) 本体感训练：这里一般都是选择晃动独木桥、横抱筒等器械，以此推动幼儿固有平衡、协调触觉的全面均衡发展。

在感统教育研究中，更偏行感统训练游戏化研究。感统游戏化就是指要充分尊重活动参与主体也就是幼儿的参与积极性，在教师设计组织或者开发教学活动时，吸引幼儿参与的积极性，让学习活动主体化，提高幼儿参与活动的积极性和教学活动的效益（刘焱，2008）。因为游戏是儿童智力发展的重要手段（胡茹惠，2002），是幼儿和外界周围环境相互作用的结果，是幼儿内部真实、内外动机、内部控制的表现，是婴幼儿感到愉快、有兴趣的一个活动过程（刘焱，2004）。游戏有助于幼儿身体、知觉能力的发展，更能提升幼儿的智能发展，增进语言、思考及创造等能力，也有助于促进幼儿社会发展（吴丽云，2005）。吴振荣（2000）在研究中指出，感统训练游戏的开发模式应当与幼儿的生长特点相吻合，尊重儿童身心发展规律，合理运用感统训练的不同器材对游戏进行设计和开发，兼顾游戏的趣味性和科学性，这样的感觉统合训练有利于幼儿提高兴趣和坚持的持久性。杨春荣、伍剑虹（2000）认为增强幼儿园儿童对感统训练游戏的兴趣可以从以下三个方面着手：一是根据幼儿园儿童的年龄特点，开发简单有训练意义的游戏活动形式；二是对于单一的动作练习，可以利用一些玩具辅助训练活动；三是把众多的器材进行不同组合模式，开展不同形式、同样训练效果的游戏练习。常振亚（2013）根据陈鹤琴教育理论视角下对幼儿园感觉统合活动提出了如下组织策略：(a) 感统活动要游戏化；(b) 感统活动

要自主化；(c) 感统活动要榜样化；(d) 感统活动要分组化；(e) 感统活动要激励化；(f) 感统活动要自然化。

### 2.3 感统游戏与智能发展相关研究

Piaget(1952)在研究中指出，幼儿时期的感觉发展和运动机能的发展对自身智力发展有着极为重要的影响，是智慧的根源。同时具身认知理论认为，儿童心智的发展是“脑—身体—环境”的感知运动交互作用的结果(Anderson, 2003)。心理物理学实验研究发现，儿童的感觉运动系统对于其自身的认知形成、在情绪与情感形成(Steppe & Strack,1993)、在理性和语言发展 (Gallese & Lakoff, 2005) 过程中发挥重要作用。此外，亚利桑那大学的 Raichlen 与 Alexander(2017)从进化神经科学的角度，阐述感知运动会产生神经刺激信号，引起神经生长因子的表达上调和在相应脑区的灌注，进一步的认知需求则会引起神经细胞存活及髓鞘的形成，亦说明感统训练形式之一的有氧运动能够改善大脑结构和功能，进而促进智能的发展。同时大量实证研究证明感统训练或游戏有利于改善儿童感统失调行为，促进幼儿动作、认知、语言、社会性等智能发展(Ayres and Mailous, 1981; Jae, Yo, Min & Bo, 2017; Ito, Tateyama, Arikawa, Akamatsu & Yamada, 2018; 郑信雄, 1991; 王宇中、陈书香, 2005; 杨敏, 2018)。

总之，感觉统合功能是个体身心发展的基础，是儿童的肢体动作、语言表达、认知能力、社会认知、自然认知、情感构建乃至智力发育的根基所在，每一个儿童的成长过程都会伴随着有意识或者无意识的感觉统合训练，缺失此项学习过程，大脑和身体都无法发展(李旭东、黄悦勤, 2001)。

综上理论与实证研究所述，婴幼儿感统游戏的干预依据便是源于 0-3 岁阶段是婴幼儿神经系统发育最迅速、神经可塑性最强的时期，施以丰富且适宜的环境刺激和感知训练，以游戏为媒介触发幼儿最佳的内部动机，让幼儿的视觉、听觉、触觉、前庭觉、本体觉等有更多的刺激，以有效统合各感受器官功能，以增进幼儿对环境的敏感度，从而最大程度上促进脑神经结构和功能的完善成熟，充分发掘大脑的潜能，促进幼儿动作、认知、语言、社会性等智能发展。

## 3. 课程设计与实施

基于幼儿集体教学的视角，目前研究整合教学和游戏活动最好的模式就是游戏化教学，这种模式主要是指在教育活动开展过程中，基于儿童的兴趣和需要，将游戏作为主导、以教学为形式开展的活动，更关注儿童学习与发展的能力和水平(彭海蕾, 2002; 华爱华, 2009)。游戏课程化，就是把游戏当作一种课程资源，系统化课程研究。其内涵就是在坚持游戏化教学的基础上，从幼儿的游戏出发，及时把握幼儿学习的生长点，通过引导和建构新的游戏，促进幼儿学习与发展的过程，本质上是构建一种新型的课程模式(王振宇, 2018)。其主要特点是课程整合化，教材生活化，教学活动化；实施的主要途径是游戏，通过师生互动引导幼儿自主发展，并给予幼儿人性化的教育情景，以温暖、宽容、信任、鼓励的态度提供安全、支持的气氛(许政涛, 2001)。而幼儿的游戏是在与环境的相互作用下，通过内外的双向建构，吸收(同化)和改造(顺化)知识的过程。游戏课程化遵循课程实施的创生取向和课程目标的过程模式统一的原则，因为创生取向和过程模式不是把课程看作是传递知识的简单过程，而是把课程当作幼儿成长的过程(王振宇, 2018)。因此，对幼儿来说，游戏课程化是最适宜的课程模式。基于此，本研究的感统游戏课程就是将感统游戏的课程化，运用主题式情景教学和游戏教学设计原则设

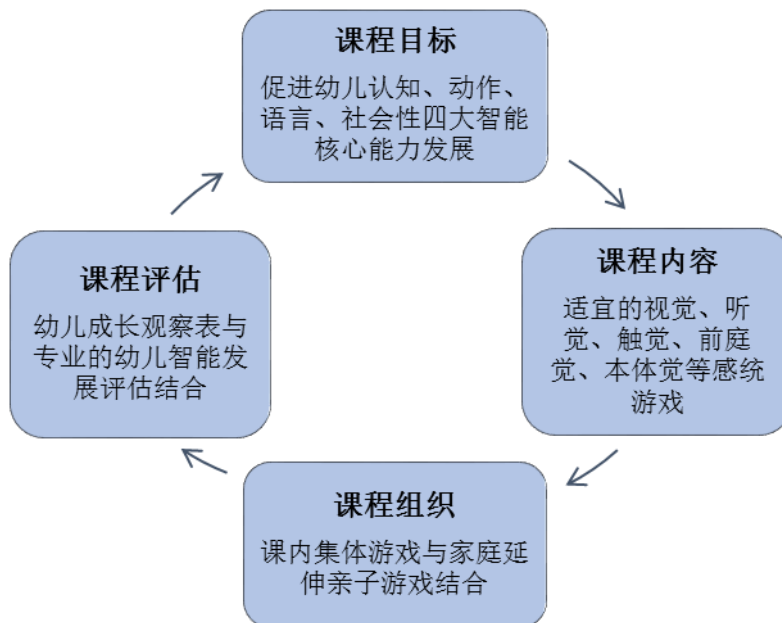
设计出适合幼儿教养机构集体教学的感统游戏教学方案。即以感觉统合器材和日常生活材料为游戏媒介，以幼儿快乐游戏为主体，融合音乐、律动、故事等相关元素，创设丰富多彩的环境和主题式情景，根据由易到难、由浅入深的游戏教学流程，通过刺激和培育婴幼儿的视觉、听觉、触觉、前庭觉和本体觉的感知觉能力，不断修炼大脑和中枢神经系统，从而在游戏中增强幼儿的身体动作、语言能力、认知能力、情感与社会性等全面的智能发展为最终目标的课程设计模式。综上文献，结合文姬（2012）早教课程设计与实施，本研究感统游戏课程设计框架包括思路、课程要素及实施流程如下论述。

### 3.1 感统游戏课程设计思路

- (a) 构建以促进幼儿智能核心能力发展为教学目标的课程。
- (b) 构建以科学、适宜的感统训练与游戏为课程内容依据，根据幼儿智能发展里程碑和最近发展区来设计游戏内容和难度的课程。
- (c) 构建课内集体游戏与家庭延伸亲子游戏的课程组织形式。
- (d) 构建幼儿发展评估与感统游戏教育相结合的一体化课程。
- (e) 构建个别化指导与集体教学相结合的课程教学模式。
- (f) 坚持主题性与情境性相结合的游戏课程教学连接设计。
- (g) 坚持自由探索与适当引导相结合的游戏课程教学策略。

### 3.2 感统游戏课程要素

本研究课程以感觉统合器材和日常生活材料为游戏媒介，以幼儿快乐游戏为主体目的，遵循上述课程设计思路，根据 2-3 岁幼儿智能发展里程碑，系统构建课程。本课程基本要素包括课程目标、课程内容、课程组织、课程评价，课程各要素的内容及之间的关系如下图一所示。

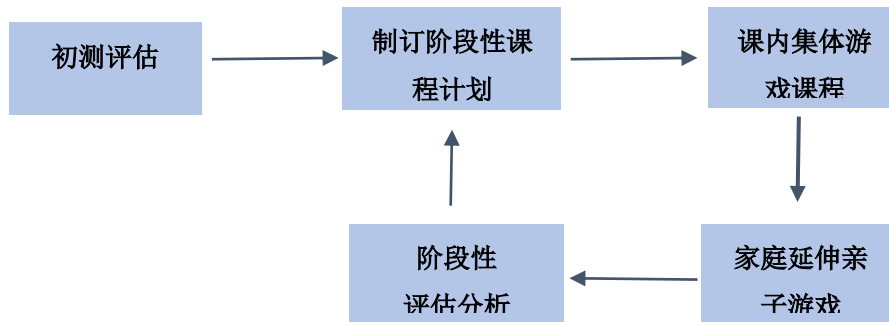


图一 感统游戏课程要素

资料来源：本研究整理

### 3.3 感统游戏课程实施流程

本研究科学系统设计了课程实施步骤及细则，其实施流程如下图二所示。



图二 感统游戏课程实施流程

资料来源：本研究整理

(a) 初测评估：课程实施前，由机构专业的测评员对婴幼儿的智能发展水平进行初步评定，建立婴幼儿成长档案，作为教师有针对性的设计课程的重要参考依据。

(b) 制订阶段性课程计划：根据初测结果及婴幼儿智能发展里程碑与最近发展区制定阶段性课程目标与课程计划，同时围绕婴幼儿感兴趣的某个主题线索，情景式设计，将前后次课程有序的连接。

(c) 课内集体游戏课程：每次课程时间一般为 40-50 分钟，每次课程要以幼儿发展为中心，注重环境材料的充分创设、教学活动环节的灵动处理，做好集体教学与个别指导、适当引导与自由探索相结合的教学策略，同时让观察评估成为日常课程的有机组成部分。

(d) 家庭延伸亲子游戏：围绕每次课程目标，设计家庭延伸亲子游戏，指导并督促家长陪伴孩子进行个别化游戏，形成机构集体教养与家庭教育系统合力，更好促进幼儿成长。

(e) 阶段性评估分析：课程实施一阶段后，由机构专业的测评员对婴幼儿的智能发展水平进行阶段性评定。其测评工具、方法和人员与初评保持一致。结合教师填写的《幼儿成长观察表》，对幼儿智能发展进行多元与科学评估，做到过程评估与专业的测验性评估相结合，实现幼儿发展性评估与课程效果性评估相统一。评估结果，既是对前一阶段课程效果的总结，又为制订下一阶段课程计划提供参照。

### 3.4 教案设计与观察记录。

Vygotsky(1986)指出 3 岁前的儿童是根据自身的发展大纲来行动的，综合以上文献，本研究感统游戏课程，分别以当前 2-3 岁幼儿比较熟悉的动画片或绘本故事为主题，每个主题下根据孩子的熟悉度设计四个情景，每个情景以五大感觉训练游戏为脉络，构成一次活动课程方案。根据 2-3 岁幼儿的智能发展里程碑和最近发展区来设计游戏内容和难度，递进式连接前后游戏环节。具体的课程结构和教学流程如下表三样本教案设计。



表三 样本教案设计

主题情景：弗洛格的成长 游戏名称：五彩的沙包 适宜场地：室内/室外 日期：	
教学目标	1、认知语言发展：认识颜色、形状，按口令指示行动，颜色的归类与配对。 2、身体动作发展：投、扔、跳、爬、滚等大动作的发展，协调、平衡感训练。 3、社会情感发展：按照自己的意愿去选择，主动参与游戏，排队等待。
教学准备	红黄绿三色沙包若干、3个筐、动物图片、自制色子、各种图形的图贴
教学过程	<b>热身律动</b> 教师带领孩子们一起做《青蛙最伟大》律动。 5分钟
	<b>故事情景导入：认识沙包</b> 30分钟 “今天早上老师来上班的路上遇到了弗洛格，他交给我一袋子的东西说是送给小朋友，我们一起来看看是什么好东西吧。”教师事先准备一个袋子里面装有红色、黄色、绿色的小沙包，引导幼儿认识颜色。
	<b>游戏环节 1：投沙包</b> 小朋友选择自己喜欢的颜色沙包，放在手上向上抛，听一听有什么声音，接下来跟老师一起去投沙包。幼儿排成两队，1米的距离放一个筐，幼儿排队依次将手中的沙包投进框内，看谁投的准。
	<b>游戏环节 2：运沙包</b> “哇，小朋友投的很准啊，筐里有很多个沙包了，可是颜色都混在了一起，请小朋友将筐里的沙包颜色分类出来好吗？下面我们就来玩一个运沙包的游戏吧。” 教师将混色的沙包筐放在起点一端，幼儿分成两队，中间画出两条长4米宽1米的直线跑道，终点端分别放置红色、黄色、绿色的3个筐，幼儿在起点端掷色子的方式来决定以什么方式来运沙包，色子上有动物青蛙（跳）、乌（爬）、刺猬（滚）、老虎（跑）、小鸟（飞），幼儿扔到哪个动物就要按其姿势来运沙包，将沙包放置在同色的筐里。
	<b>游戏环节 3：扔沙包</b> “小朋友很快将沙包运到颜色一样的筐里，小朋友们累吗？（大胆说出自己的感受）现在我们玩一场扔沙包的游戏。”教师事先准备正方形、圆形、三角形、心形的图贴贴在地上，也可以在不同图形上涂上不同的颜色，幼儿跟图形有一定的距离，听老师的口令，老师说出图形的时候幼儿则将自己手中的沙包扔到指定的图形中。
	<b>结束：放松活动</b> 5分钟 舒缓音乐响起，请小朋友坐在地上，先将沙包放在小屁股底下来回的摆动感受摩擦，或将沙包从手掌慢慢的滚动到自己的肩部，可以听听沙包发出的声音。
家庭延伸 亲子游戏	沙包跳格子游戏：家长和孩子一起运用家里的拼图地垫，将每块地垫放置于地，并固定，也可以在地垫上贴上不同的物体，注意喔！每块的间距需为10~20公分。家长指令，宝宝扔沙包，然后用各种跳的方式踩地垫，去取回沙包。家长和孩子轮换角色玩。很有趣吧！这对 baby 的空间概念训练及认知，手眼协调、本体觉刺激，都相当有帮助，不妨多进行。

资料来源：本研究整理

幼儿观察在幼儿教育中有利于了解每个幼儿的发展程度与学习能力，确定每个幼儿的教育需要与需求，同时也有利于提高教师的专业发展水平，更有效的实施个性化教育（颜士程等，2016）。本研究以2-3岁幼儿发展里程碑中智能发展指标为观察要项，参考美国早教创意课程中的幼儿成长评估表（李颖妮译，2014），设计了中国2-3岁幼儿成长观察表，便于教师更好的进行幼儿观察和评估。部分如下表四所示。

表四 中国 2-3 岁幼儿成长观察表（部分要项）

幼儿姓名：

观察员姓名：

维度	观察要项	日期	观察所得	
			1 好（总是） 2 一般（有时） 3 不好（从不）	评论
动作	能单脚站 2-10 秒		1□ 2□ 3□	
	会骑三轮车		1□ 2□ 3□	
	会一页页翻书		1□ 2□ 3□	
认知	会点数 3-5		1□ 2□ 3□	
	能判断物体的远近		1□ 2□ 3□	
	能理解白天与黑夜		1□ 2□ 3□	
语言	能运用 300-500 个单词		1□ 2□ 3□	
	会背儿歌 8-10 首		1□ 2□ 3□	
	能进行 2-3 个句子的对话		1□ 2□ 3□	
社会性	知道等待轮流		1□ 2□ 3□	
	愿意帮忙收拾玩具		1□ 2□ 3□	
	会自己上床睡觉。		1□ 2□ 3□	
其他观察记录				

资料来源：本研究整理

#### 4. 研究结果

综上，本研究感统游戏课程方案根据 2-3 岁幼儿对小动物创造出了独特的情感，尤其是卡通动物，对动画片和动物故事绘本情有独钟这一特殊生理特征，以幼儿比较熟悉和喜欢的动画片和动物绘本为游戏情景设计，参考汪宜霏（2009）、周常译（2017）、林侑毅译（2018）等科学的感统游戏，按照中国集体托幼机构每学期的阶段性课程计划要求，共设计了青蛙弗洛格的成长、小猪佩奇、动物王国的故事、可爱的巧虎四个主题，每个主题下设计四个情景教学方案，共计 16 个情景感统游戏教案，每次教学时间在 40 分钟左右，因此孩子们在生动有趣的故事及游戏中获得更好的体验和感统训练。

本研究通过专家审查法对本课程方案进行专家评审，由此确定课程设计的内容效度。通过邀请 5 名教育心理学、婴幼儿早期教育及实践专家（名单如下表五）并发放中国 2-3 岁幼儿感统游戏教案专家学者审查表，形成专家评审汇总意见，如下表六。关于专家的评分者信度，如果得到的数据是多个评价者对多个对象使用多级记分的方式进行评价的话，最好直接采用 Cronbach  $\alpha$  系数来计算评分者一致性（Cronbach et al., 1963）。实践中，Cronbach  $\alpha$  系数常常被用于估计测验项目的内部一致性，当被用于评分者一致性问题时，评分者代替了项目，而 Cronbach  $\alpha$  系数也就成为评分者信度的一个量度，Cronbach  $\alpha$  系数适用于连续变量（孙晓敏、张厚粲，2005）。关于专家效度，叶重新（2017）指出专家效度整体 CVI 指标大于 0.80 则该工具有效。据此，将评审专家意见转换为李克特三点量表计分，“适合”记 3 分，“修改后适合”记 2 分，“不适合”计 1 分，在 SPSS 软体上进行信度分析，结果显示 5 名专家评审分数 Cronbach  $\alpha$  系数为.836，评分达较高的一致性。将“适合”与“修改后适合”合并计算，本课程方案专家内容效度整体 CVI 指数达到 0.96>0.80（整体 CVI=每个教案 CVI 之和/教案数），该教案具备很好的内

容效度。

表五 幼儿感统游戏教案之审查专家学者名单

	研究领域	背景介绍
专家一	教育心理	英语伦敦大学教育学院教育心理学博士，泰国博仁大学博士生导师，主攻教育心理学、儿童心理学等领域。
专家二	婴幼儿教育	台湾私立爱芮丝托婴中心、堤沃莉托婴中心负责人兼主任，从事幼儿教育10年以上，对0-3岁婴幼儿教育具有丰富的教科研实践经验。
专家三	婴幼儿教育	台湾私立芯悦托婴中心负责人兼主任，从事幼儿教育10年以上，对0-3岁婴幼儿教育具有丰富的教学实践经验。
专家四	婴幼儿教育	台湾私立爱芮丝托婴中心、堤沃莉托婴中心、芯悦托婴中心教学督导，资深教研员，从事婴幼儿教学教研工作20年以上。
专家五	婴幼儿教育	台湾私立爱芮丝托婴中心教研主任，从事0-3岁婴幼儿一线教学教研工作6年以上。

资料来源：本研究整理

表六 中国2-3岁幼儿感统游戏教案专家学者审查汇整意见表

主题	教案名称	专家意见			专家效度 (CVI)	专家修改意见
		适合	修改后适合	不适合		
主题A 青蛙 弗洛格的 成长	1.好玩的彩虹伞	5			1	
	2.五彩的沙包	3	1	1	0.8	增加说颜色练习，间距修正为10-15cm，游戏2和3难度过高。
	3.颜料作画	4	1		1	润色下引导语，建议游戏进行到第二项即可。
	4.好玩的圈圈	5			1	单脚跳圈练习要注意安全，游戏2跳直线呼啦圈即可，分红绿两色。
主题B 小猪 佩奇	5.我爱玩球	5			1	加强游戏1和2的连贯性。
	6.大小笼球	2	3		1	增加大小球的练习，游戏3过于复杂要简化。
	7.有趣的乒乓球	3	2		1	增加说乒乓球颜色练习，游戏1拍球部分删除，吹动作从简单的练习开始。
	8.佩奇家做客	2	3		1	删除游戏1后半部分。
主题C 动物 王国的 故事	9.请你跟我这样做	3	2		1	注意游戏间的连贯及流畅性。
	10.动物闯关	5			1	注意安全防护。
	11.滑板运送水果	5			1	用真实水果，放松活动改为奖赏孩子品尝水果
	12.疯狂的马戏团	5			1	注意安全防护

表六 中国 2-3 岁幼儿感统游戏教案专家学者审查汇整意见表（续）

主题 D 可爱的 巧虎	13.水果采摘		4	1	0.8	要提前了解孩子有无过敏水果，简化过程。
	14.钓鱼		4	1	0.8	钓鱼线不能超过 10cm。
	15.好玩的绳子	4	1		1	简化教学目标，拔河游戏要注意安全
	16.剥玉米	5			1	毛线换成弹性线。

其他修正意见：每个教案除了教学目标，也需列出其对应之智能发展指标；根据幼儿的差异对游戏要做适当的简化，注意适宜性；设计情景要以安全为基础。

资料来源：本研究整理

因此，本课程方案经专家评审具有良好的评分者信度和内容效度。在综合专家的修改意见后对教学方案进行了修善，最后形成了适宜中国 2-3 岁幼儿集体教学的 16 个感统游戏课程教案，教案汇总表如下表七，形成了本研究的课程设计实务教学成果，以期对于中国 2-3 岁托幼集体教养机构与家长的早期教养有一定的实践参考和指导意义。

表七 感统游戏课程教案汇总表

资料来源：本研究整理

主题	教案名称	发展目标	环境材料	活动方式
A 青蛙弗洛格的成长	01、好玩的彩虹伞	认识彩虹伞，辨别上下、左右、颜色，锻炼想象力；锻炼手部关节，抛、钻、爬、翻滚等大动作；发展集体配合，轮流，社交技能。	青蛙手偶、《青蛙最伟大》律动准备、彩虹伞	老师扮演弗洛格带领幼儿一起玩彩虹伞下躲雨、拍打浪花、抢彩虹颜色躺下、卷彩虹卷游戏。
	02、五彩的沙包	认识颜色、形状，按口令指示行动，颜色的归类与配对；投、扔、跳、爬、滚等动作的发展，协调、平衡感训练；按照自己的意愿去选择，主动参与游戏，排队等待。	红黄绿三色沙包若干、3 个筐、动物图片、自制色子、各种图形的图贴	老师扮演弗洛格带领幼儿一起玩投沙包于框内、分组学动物运沙包、扔沙包于图形中的游戏。
	03、颜料作画	认识并说出颜色、空间感知；手部关节的锻炼，拍、挤、踩的动作训练，手脚眼协调；感受作画的兴趣。	毛线、颜料盒、颜料、画纸、桌子、小按摩球、背景音乐准备	老师扮演弗洛格带领幼儿玩挤颜料线拉画、手掌作画、脚丫踩画游戏。
	04、好玩的圈圈	认知左右、快慢、上下、里外和身体部位；双脚跳、单脚跳，手眼协调，动作计划，身体控制，两侧协调；同伴间的配合和身体接触，等待轮流，发展社交技能。	红色绿色的呼啦圈若干个、2 个娃娃	老师扮演弗洛格带领幼儿用呼啦圈玩套娃娃与自己、跳圈圈、跨圈圈的的游戏。
B 小猪佩奇	05、我爱玩球	认识水果、感知大小的不同；手眼协调及动作计划能力的锻炼；增强孩子间游戏互动、协作，让孩子感受集体游戏的乐趣。	小猪佩奇的手偶、《快乐小猪》律动、大笼球、小笼球、小按摩球、水果卡片	老师扮演小猪佩奇带领幼儿玩滚大笼球、撞小按摩球、推接小笼球的游戏。
	06、大小笼球	认识大小笼球，分辨大小，空间知觉；锻炼手眼协调、身体平衡，动作计划；体验快乐，集体游戏，等待轮流，社交技能。	大小笼球、毛绒玩具、轮胎、障碍物、感统音乐准备	老师扮演小猪佩奇带领幼儿玩坐大笼球、趴小笼球、滚大笼球过障碍的游戏。

续表如下

	07、有趣的乒乓球	认知并辨别乒乓球，自由发言；口腔运动技能，手眼协调，动作计划；学会自我控制，培养小组合作精神与社交技能。	乒乓球（颜色不同），乒乓球拍，勺子，脚模 4 对，若干个筐，2 个大笼球	老师扮演小猪佩奇带领幼儿玩拍乒乓球、吹乒乓球、勺子运乒乓球游戏。
	08、佩奇家做客	认识羊角球、保龄球并能正确发音，学习点数等；手眼协调、精细动作、平衡协调；关爱和共情，遵从游戏的规则，知道分享	大笼球 4 个、羊角球 4 个（不同颜色）、儿童保龄球 4 套	老师扮演小猪佩奇带领幼儿玩滚大笼球（设置路线）、骑羊角球、打保龄球游戏。
C 动物王国的故事	09、请你跟我这样做	认知更多动物，大胆说出我爱你，认知自己身体和空间方位；增进身体协调、平衡能力、动作模仿；听指令活动，懂得表达情感，提高社交能力。	《兔子跳跳》律动、动物卡片若干、软毯子、带大镜子的教室	老师带领幼儿来到动物王国，和动物一起玩卷身子、木头人、照镜子请你跟我这样做游戏。
	10、动物闯关	认知交通工具、小动物并表达，想象力；锻炼弹跳，眼脚协调、两侧平衡、动作计划；表达意愿，勇敢与合作，关爱与自尊心。	动物与交通工具图片若干、动物头饰、地垫、缓冲垫、独脚凳、小笼球	老师带领幼儿玩小袋鼠单双脚跳、小花蛇匍匐前进、小刺猬抱头翻滚、小猴子翻跟头、小狮子下山跃动物闯关游戏。
	11、滑板运送水果	认知滑板、动物、水果，水果与动物配对；训练平衡、动作计划、身体两侧协调；独自玩耍与集体游戏，乐于助人。	滑板、动物卡片若干、水果若干（香蕉、桃子、胡萝卜）	老师带领幼儿分组进行坐立式滑行与趴式滑行比赛，及滑板帮小动物送水果游戏。
	12、疯狂的马戏团	认识呼啦圈、袋鼠袋、陀螺并能说出其名字，形状，感知空间；锻炼孩子跨、钻、跳等动作，及平衡与计划能力；情绪发展与社交能力。	呼啦圈、袋鼠袋、陀螺、按摩球、海洋球，律动音乐，背景音乐	老师带领幼儿去动物王国马戏团演出，表演了袋鼠捡球、玩火圈、转陀螺节目。
D 可爱的巧虎	13、水果采摘	认知不同的水果并说出名字及味道；锻炼踮脚尖、跳、钻、爬、平衡、动作计划能力；学会打招呼，懂得秩序，表达喜欢，学会分享，寻求帮助	巧虎律动操及手偶，水果若干，水果篮子，平衡木、阳光隧道、地垫，按摩棒。	教师扮演巧虎带领幼儿过桥、钻山洞、爬草地去采摘水果，然后分享水果的情景游戏。
	14、钓鱼	训练对话，感知白天与黑暗，辨别大小，点数；钻、爬、跳的锻炼，精细动作；有序，社交，自我选择，分享，谦让，体验害怕和成就的情绪。	阳光隧道、厚布、踏脚石、绳子、大小鱼和鱼竿（鱼线不要超过 10cm，以免发生危险）	教师扮演巧虎带领幼儿通过山洞、小河来到巧虎家，然后一块去钓鱼的情景游戏。
	15、好玩的绳子	辨别长短、粗细，秩序、时间感和节奏感，对话能力；发展跨、跳、拉等大动作；敢于挑战，团队，社交技能。	长短、粗细麻绳各一条（粗绳约 8 米，细绳约 6 米）、红布、大笼球	教师扮演巧虎带领幼儿玩踩、跨、跳绳、拉绳游戏，组织拔河比赛游戏。
	16、剥玉米	认识玉米、大灰狼，点数，颜色分类；跨、双脚跳、翻、爬等大动作及手部精细化动作；体验害怕、勇敢、成功、喜悦的情绪。	玉米、积木、平衡木、海洋球池、手和脚印模贴、滑板车、镊子、筷子、碗等。	教师扮演巧虎带领幼儿通过障碍来到玉米园摘玉米、滑板车运玉米、剥玉米情景游戏。

## 5. 结论与建议

本研究目的为从幼儿集体教学的视角，系统构建适宜中国 2-3 岁幼儿智能发展的感统游戏课程设计框架，并结合教学实务设计出具体的感统游戏课程教案。经过相关文献探讨及研究结果分析，得出如下研究结论和建议。

### 5.1 研究结论及贡献

(a) 基于幼儿智能与感统游戏理论, 根据游戏课程化教学原则, 系统构建了感统游戏课程设计思路、要素及课程实施流程的课程框架。在此框架下, 感统与游戏优化整合, 治疗与教育结合, 丰富了游戏与感统理论(刘娟, 2013), 同时丰富了感统游戏与课程教学融合理论。为中国 0-3 托幼机构及幼儿园开展感统课程的校本研究提供理论支持和研究思路, 并对校本课程的实施有一定的理论与实践指导价值。

(b) 根据感统游戏课程框架, 结合教学实务, 具体设计了适宜中国 2-3 岁幼儿智能发展的四个主题及其十六个情景式感统游戏教案。经专家评审, 具有良好的评分者信度和内容效度。该课程教案丰富了中国 0-3 岁托幼机构的课程体系, 在教学实务中既可以作为机构的园本课程, 也可以作为机构幼儿教师培训及课程研讨的参考教案, 以指导在实践教学中开发更适宜更丰富的感统游戏活动方案, 将感统游戏和幼儿观察贯穿于日常教学与保育中。同时该课程方案对于家长的早期教养与家园沟通有一定的实践指导意义。

## 5.2 对未来研究建议

本研究是基于文献探讨与专家审查的质性研究, 在研究法上有一定的局限, 在以后的研究中可以结合访谈法、观察法或实验教学的教育研究法, 以更科学的探究该感统游戏课程对幼儿智能发展的效果, 提高研究结果的可靠度。

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# 云南省大学教师的坚毅对自我效能感的影响研究

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## 摘要

本研究目的为探讨中国云南省的大学教师的坚毅对自我效能感产生之具体影响。据此,本研究使用问卷调研法、针对回收数据进行数据分析,探究研究目的,进以调查不同性别、不同任教时间、不同等级的教师职业资格、不同等级的学位对大学教师的坚毅、自我效能感之差异分析及影响。依据回收数据经由统计分析以检视研究目的,此研究结论为,(1)大学教师的坚毅对自我效能感有显著正向影响;(2)大学教师不同性别对坚毅、自我效能感有显著差异性;(3)大学教师不同任教时间对坚毅、自我效能感有显著差异性;(4)大学教师不同等级的教师职业资格对坚毅、自我效能感有显著差异性;(5)大学教师不同等级的学位对坚毅、自我效能感有显著差异性。

**关键词:** 教师坚毅; 教师自我效能感; 云南省大学教师

## 1. 研究背景

云南省高校中教师流失现象严重,其中男教师比女教师流动更快更多。这些流失的教师一般流向高一级的高校,或者流向发达地区,或者流向薪资待遇较高的企业。从调查的教师情况看,他们中有的 26%是有过至少一次换单位的经历,16%近期可能就会流动,38%的老师不满足现有的状况准备跳槽,所以他们努力读博和评定职称的最主要的动力是改变现状跳出去。教师较高的流动率给这些学校带来负面影响,例如,招聘和培训等巨大的成本(张梅荷,2015)。边玉芳(2006)提出,在各个领域都有关于自我效能感的研究,如医学、心理学、教育领域,因为它对个体行为有决定性的影响。一个教师如果想到如何成功地克服这种情况。这样的人想得更多,他们将积极面对遇到的障碍及其负面结果(Bandura,1994)。因此,教师坚毅视为是教师流失率的重要预测因素(Kraft, & Duckworth, 2014)。据此,本研究目的为探究云南大学教师之教师坚毅对自我效能感的影响。

## 2. 文献综述

基于研究目的,教师坚毅及教师自我效能感探讨如下述。

### 2.1 教师坚毅

McClelland (1961) 提出,坚毅与尽责不同,主要体现在长期的目标上。有关教师坚毅,Gottfredson (1997) 提出其定义是培养韧性的能力,这对一些人的学业、成就是至关重要,例如,许多未被充分发掘的和被低估的教师群体的成员。Lucian et al. (2015) 支持 Gottfredson (1997) 这一定义,并在研究中声称,教师坚毅被广泛定义为克服逆境的能力,相同的又有 Eisenberger (1992) 的观点认为,教师坚毅是一个人在面对困难、风险和失败时坚持不懈的能力。

最近有很多关于坚毅的讨论,以及如何在我们的教师中发展它。坚毅是使得个人能够努力工作并坚持自己的工作,是长期的激情和目标 (Bashant, 2014)。Banse and Palacios (2018) 提出,

坚毅是实现教学目标和预测教师保留率的重要因素。例如，研究人员调查解释为什么有些教师留任，为什么其他人选择离开这个职业 (Duckworth, Peterson, Matthews, & Kelly, 2007)。,因为教学是一项极具挑战性的工作，坚毅可以对教师绩效有重要的有益影响 (Duckworth, 2009)。

另外，Quinn (2009) 提出，教学的严格性表明，缓解逆境的积极特质可能有助于提高教师的效率。研究发现，教师的乐观对教师的坚毅和生活满意度具有正向影响。Gokhan (2017) 水平较高的人，将坚持不懈地追求挑战性目标的倾向，可以预测新教师的工作效率、教学质量。

## 2.2 教师自我效能感

教师自我效能感(Teacher Self-efficacy)是指教师对自我教学有足够的信心提升学生的学习 (Bandura, 1994)。基此，Ashton & Webb (1986) 提出教师效能感的高或低会影响对教师本身的教学组织性、讲解、对于学生遇到困难时的回馈与指导及维持学生工作的进行,因此,教师自我效能感可以显著正向影响学生自我效能感和学生成绩 (Moran. & Barr, 2004)。

自我效能感对教师本人以及学生团体和学校有着很多积极的关系 (Bashant, 2014)。自我效能受到各种因素的影响，社会学习理论总结了以下 4 个的因素，绩效成就、间接经验、口头说服和情绪激励。这些资源可以决定成就信念的高或低。Bandura (1994) 建议当教师学习一项新技能时，在提升之前测试他们新获得的知识 and 技能，他们应坚持自己的效能信念及判断他们能做什么。研究表明，虽然开始变革的实施时，对教师的个人效能会产生负面影响 (Moran. & Barr, 2004)，然而高水平的自我效能感教师看到困难任务是挑战而不是威胁，即使在不利的环境下，他们仍继续努力 (Bandura, 1994)。

## 2.3 教师坚毅及教师自我效能感

Duckworth, et al. (2007)的研究支持教师坚毅和自我效能感之间的潜在关系。研究表明在坚毅和自我效能感方面的一致性，例如，尽管存在阻碍教师自我发展和教学的障碍，但持续的承诺，长时间保持兴趣，坚毅接近成功。Dobbins (2016) 研究也支持教师坚毅对自我效能感的正向影响，同样，具有较高自我效能感的教师致力于教学、设定目标和拥有更高层次的抱负。教师坚持与学生一起努力，实现学生的目标 (Kraft, & Duckworth, 2014)。此外,教师的效能感与其他结果有强烈的联系，包括教师坚持，热情、弹性、承诺和更大的继续教学的承诺。教师的性别、教学时间、学位和职业资格等级等人口统计学特征与教师的坚毅和自我效能感具有显著的差异影响 (Gokhan, 2017)。

# 3. 研究方法

为探究中国云南省大学教师之教师坚毅对教师自我效能感影响,本研究采用问卷调查法,研究假设、对象、工具如下述。

## 3.1 研究假设

### 3.1.1 教师的坚毅对自我效能感的影响

坚毅是基于 Bandura (1994) 的社会认知理论的框架，社会认知理论认为个人因素，自我效能和坚毅的个体行为与环境有相互作用，通过一个过程相互影响。Gokhan (2017) 提出，个体自我效能信念与从事他们自己的发展和他们的思维过程的发展与他人的关系决定了他们的行为。通过自我调节，自我产生和外部影响的来源 (Bandura, 1993)。因此，社会认知理论具有解释教师坚毅与自我效能感的关系的效用，因为它解释了坚毅对自我效能感影响和个人的行为选择。

根据研究目的与前述文献探讨，提出研究假设如下：

H1: 教师的坚毅对自我效能感有显著正向影响;

### 3.1.2 人口变量对坚毅、自我效能感的影响

本研究对被测试者的性别、年龄、教学时间、职业资格认证、目前持有什么学位等基本信息进行了统计, Duckworth (2009) 因为不同性别的人对待事物会有不同的态度; 处在不同任教时间的教师, 有着不同的教学感受和经历、经验, 对待教育也会有不同的处理方式; 持有不同职业资格等级、学位的差异也会对不同的教师产生不同的影响。根据以上分析, 本文提出了以下假设:

H2a: 不同性别对教师的坚毅有显著差异影响;

H2b: 不同任教时间对教师的坚毅有显著差异影响;

H2c: 不同等级的教师职业资格对教师的坚毅有显著差异影响;

H2d: 不同等级的教师学位对教师自我效能感有显著差异影响;

### 3.2 研究对象与工具

本研究的对象是中国云南省内大学, 一所科技职业技术学院、一所师范学院、及一所综合型大学等, 采用立意抽样, 母体为大学教师作为群体。

教师的自我效能感是用 Moran, & Hoy (2001) 的教师的感知来衡量自我效能感, 也称为「俄亥俄州立教师效能感量表」。规模包括 12 个描述性项目, 12 个项目的规模包括 3 个方面, 课堂管理(1-4 题项)、学生参与(5-8 题项)、教学策略(9-12 题项)的效能, 采用 Likert 5 点等级量表衡量。本问卷的信度为 0.754、兴趣的 CR 指数=0.864, AVE=0.680, 努力的 CR 指数=0.872, AVE=0.680。本研究将使用 Duckworth (2009) 的教师坚毅量表, 坚毅作为一种复合特质, 包括兴趣(1-3 题项)和努力(4-8 题项)方面等毅力, 八项测量题项, 采用 Likert 5 点等级量表衡量。自我效能感的信度为 0.792, 课堂管理的 CR 指数=0.847(AVE=0.583), 学生参与的 CR 指数=0.854, AVE=0.595, 教学策略的 CR 指数=0.856, AVE=0.598。

## 4. 研究结果

### 4.1 基本信息

本研究共回收 335 份问卷, 剔除 23 份无效问卷后, 获得有效问卷 312 份进行预试, 有效率 93.13%。性别中, 女性百分比为 57.7%(180 人), 男性百分比为 42.3%(132 人), 说明样本以女性教师多数于男性教师; 任教时间中, 满半年~不满 1 年的人群比例是 35.9%(112 人), 说明样本以年轻教师为主; 职业资格认证中, 助教资格的人群比例都是 54.5%(170 人), 说明样本的教学资格较低; 学位中, 学士的人群比例最高, 占 51.7% (130 人), 说明样本人群以学位学士为主。

### 4.2 差异性分析

本研究运用胡竹菁 (2010) 制定的差异性分析验证人口变量对坚毅是否具有显著差异性, 人口变量对坚毅以进行差异性分析, 验证人口变量是否与坚毅存在显著差异性, 以 P 值作为主要判定标准, 低于或等于 0.05 即存在显著差异性。

表一 性别的差异性分析表

变量	组别	变量	个案数	平均值	标准差	T	P
性别	男	坚毅	132	3.254	0.824	-3.126	0.002
	女		180	3.546	0.809		

资料来源: 本研究整理; 样本=312

如表 1 所示,差异性分析结果显示,性别对坚毅的差异性分析显示,T 值=-3.126、P 值=0.000。女性平均值为 3.546, 男性为 3.254, 可以说明女性教师的坚毅要明显高于男性, 性别也具有显著差异性; 综上, 本研究假设(H2a): 说明性别对教师坚毅显著差异性影响, 研究假设 H2a 成立获得支持。

表二 任教时间、职业资格认证、学位的差异性分析表

变量	组别	变量	个案数	平均值	标准差	F	P	Scheffe
任教时间	满半年~不满 1 年	坚毅	112	3.078	0.790	6.923	0.000	6,5,4,3,2 >1
	满 1 年~3 年		87	3.555	0.846			
	4 年~6 年		53	3.618	0.673			
	7 年~9 年		42	3.676	0.862			
	10 年~15 年		14	3.723	0.636			
	20 年及以上		4	3.875	0.520			
职业资格认证	助教	坚毅	170	3.233	0.826	8.219	0.000	4,3,2>1
	讲师		107	3.575	0.754			
	副高		25	3.865	0.824			
	正高		10	3.900	0.736			
	专科及以下		43	3.291	0.830			
学位	学士	坚毅	130	3.513	0.800	1.035	0.377	
	硕士		120	3.387	0.857			
	博士		19	3.329	0.800			

资料来源: 本研究整理; 样本=312

任教时间对坚毅的差异性分析显示, F 值=6.923、P 值=0.000。Scheffe 分析显示, 组 1 与其他组别(6,5,4,3,2)存在显著差异, 可以说明不同任教时间对坚毅具有显著差异性; 职业资格认证对坚毅的差异性分析显示, F 值=8.219、P 值=0.000。Scheffe 分析显示, 组 1 与其他组别(4,3,2)存在显著差异, 可以说明不同职业资格认证对坚毅具有显著差异性; 学位对坚毅的差异性分析显示, F 值=1.035、P 值=0.377。差异性分析结果显示, 可以说明, 性别、任教时间、职业资格认证对坚毅具有显著的差异性, 符合胡竹菁 (2010) 制定的差异性分析。综上, 本研究假设说明, 性别、任教时间、职业资格认证对教师坚毅显著差异性影响, 研究假设 H2a、H2b、H2c 成立获得支持, 然而研究假设 H2d 不成立。

#### 4.3 相关分析

本研究根据 Via, Santamaria and Perez (2005) 的相关性分析的标准, 相关性分析是为了研究变量之间的逻辑关系。他们指出, 相关系数范围 0.9 以上为非常高度相关, 0.7-0.9 为高度相关, 0.5-0.7 为中度相关, 0.3-0.5 为低度相关, 0.0-0.3 为甚少相关, 如果变量间显著值小于或等于 0.05、0.001、0.000, 则表明, 变量间具有显著相关性。如表三所示:

表三 相关性分析表

		(A)	(B)
教师坚毅(A)	皮尔逊相关性(双尾)	1	0.502***
教师自我效能感(B)	皮尔逊相关性(双尾)	0.502***	1

资料来源: \*\*\* $p < 0.01$

如表三所示。依上述步骤进行相关性分析,表三之模式为教师坚毅对自我效能感进行相关性分析;结果发现,教师坚毅与自我效能感有显著相关性( $\beta = .502^{***}$ ,  $p < 0.000$ ),可得知,整体模式是显著,且为中度相关。

#### 4.4 回归分析

回归分析,用教师坚毅对自我效能感进行分析,以确定教师坚毅是否显著正向影响自我效能感,以 Bland & Altman (1986) 的标准进行分析,以回归分析模型中  $p$  小于或等于 0.05 作为变数间是否显著,具有显著影响。如表四所示:

表四 回归分析表

	教师自我效能感	
	M1	M2
性别		-.040
任教时间		-.057
职业资格认证		.059
学位		-.016
教师坚毅	.502***	.508***
R 方	.252	.260
调整后 R 方	.250	.248
F	104.424***	21.543***

资料来源:本研究整理;样本=312

如表四所示,依上述步骤进行回归分析,表四之模式 1 为教师坚毅对自我效能感进行回归分析,模式 2 为针对带入人口变量的教师坚毅对自我效能感进行回归分析;结果发现,教师坚毅对自我效能感有显著正向影响( $\beta = .502^{***}$ ,  $p < 0.000$ ),同样,带入人口变量的回归模型,教师坚毅对自我效能感有显著正向影响( $\beta = .509^{***}$ ,  $p < 0.000$ ),可得知,整体模式是显著。

再者,由每个模式中所增加的  $R^2$ ,可看出加入不同的影响因素后,其解释能力的改变量,表四模式 2 的调整后  $R^2$  为 24.8%,同时,教师坚毅对自我效能感有显著的影响。因此,由研究结果显示,教师坚毅对自我效能感有显著的正向影响。综上所述,本研究假设(H1):说明教师坚毅对自我效能感显著正向影响,研究假设 H1 成立获得支持。

## 5. 结论

本研究采用问卷调查法以探究中国云南省大学教师之教师坚毅对教师自我效能感影响,经数据分析结果,将做进一步讨论与结论。

### 5.1 研究讨论

### 5.1.1 教师的坚毅对自我效能感的影响

回归分析的结果支持了第一个假设(H1)，结果表明，教师坚毅对教师自我效能感有着显著的正向影响，本研究的结果呼应蔡永红、申晓月、李燕丽 (2018) 的研究结果。研究发现表明，随着教师的坚毅的增强，自我效能感也会增强。本研究是第一个在中国地区引入教师坚毅理论，和发现教师坚毅对教师自我效能有着显著正向的实证研究。这些发现很重要，因为具有更高坚毅的教师往往比相应的同龄人更努力工作，并且更长久地致力于他们选择的追求。

根据社会认知理论 (Bandura, 1999)，自我效能感较高的教师在面对挑战时更有可能坚守岗位，并坚守教学岗位。教学是一个具有挑战性的职业，理解提高教师坚毅的方法对于教育领导者来说很重要，因为他们试图鼓励教师获得更好的自我效能感与教育成果 (Dobbins, 2016)。根据社会认知理论的说法，那些不期望取得成功的教师不太可能在准备和传授教学内容上付出努力 (Eldaou, 2016)。教师的坚毅对自我效能感影响的研究表明，教师的坚毅为自我效能感的增加提供动力基础。因此，本研究的结果为提升教师的自我效能感提供建议。教师的坚毅对自我效能感具有统计学意义的影响结果，这可以表明，教育领导者可以培养教师的坚毅来提高他们的自我效能感。例如，Duckworth et al. (2007) 解释说，兴趣和努力影响坚毅，因为个体对自己的兴趣和努力获得信心，并可以获得自身的成功。这种理解表明，教育领导者最终可以通过提高教师的坚毅来影响教师的自我效能感。例如，如果坚毅旨在通过坚持不懈向目标前进，建立信心，这将增强教师的自我效能感的产生。然而，自我效能感是非认知因素，受社会因素的影响 (Bandura, 1986)。因此，为教师提供提高坚毅的环境，也会提高教师的自我效能感。

### 5.1.2 人口变量对教师坚毅的差异性影响的结论

差异性分析的结果支持假设 H2a、H2b、H2c，结果表明，性别、任教时间、职业资格认证对教师坚毅显著差异性影响，研究假设 H2c 成立获得支持，与 Duckworth (2009) 的研究结果呼应。然而，学位对教师坚毅没有显著差异性影响，研究假设 H2d 不成立，与 Duckworth et al (2007) 的研究结果不相同，其原因可能是不同的经历可能会导致其积极性较低 (Wigfield & Wentzel, 2007)，最终导致教师的坚毅较低。

教师的性别因男女而有所不同获得显著的统计学意义。对平均值的进一步观察表明，女性的坚毅高于男性，这表明女性教师的坚毅要高于男性，这项研究可能已经确定，选择继续从事这一职业的女性教师实际上可能比男性教师的坚毅更高 (吕开鹤, 2017)。

教师的坚毅是与任教时间获得显著的统计学意义，对研究结果的进一步观察表明，在满半年~不满 1 年的教学之后，教师的坚毅会增加 (Kopkowski, 2008)，这项研究可能已经确定，选择继续从事这一职业的教师实际上可能是更坚毅的教师。通过 Bandura (1999) 的社会认知理论分析这些发现表明，坚毅较弱的教师最有可能在教学的前半年就离开。

教师的坚毅是否因职业资格认证的不同等级而有所不同?对研究结果的进一步观察表明，在有助教职业资格的教师之后，教师的坚毅会增加，这项研究可能已经确定，在获得助教职业资格认证后，选择继续从事这一职业的教师实际上可能是更坚毅的教师 (沈又红, 2007)。可以说明，职业资格认证等级越高的教师将会有获得更高的坚毅，这可以确定影响教师坚毅形成的人口因素的重要性，以鼓励教师继续从事这一职业，以及增加对教师自我效能感的影响。

有关教师的坚毅是否因学位未能获得显著的统计学意义。我们也许可以从不同的角度来解释这些发现，从社会文化的角度来看，不同的经历以及对期望值较低的信息可能会导致疏离感

或积极性较低 (李明、凌文铨, 2011), 最终导致教师的坚毅较低。这也可能反映了学术障碍的影响, 但这不是唯一原因。另一个主要原因可能是由于多方面的, 例如学校氛围、教学难度、自身发展需要等 (王安全, 2012), 还由于本研究选择的高校的教学层次、教师总体学历不高, 造成的负面效应 (熊小佳, 2001), 都有可能导致学位对教师坚毅未能产生显著差异性影响。

研究结果显示, 教师的坚毅对自我效能感具有统计学意义的影响, 本研究还从性别、任教时间、职业资格认证、学位的角度对教师的坚毅进行了深入探讨, 认为这是影响教师毅力的重要因素。在本研究中, 可能有其他未被考虑的认知和非认知因素可能影响教师的坚毅。然而, 认知因素和非认知因素对教师有效性影响的重要性已得到充分证明 (Belson & Husted, 2015)。教师在进入这个行业时具有固定水平的“坚韧不拔”或克服困难坚持不懈的能力, 这是未知, 这项研究的结果表明, 学校可以通过建立坚毅来影响他们的自我效能感。

## 5.2 研究结论

本研究目的为探究中国云南省大学教师之教师坚毅对教师自我效能感影响, 本研究经问卷调查及分析, 分析结果支持了本研究的假设, 表明性别、任教时间、职业资格等级与教师坚毅存在统计学显著差异性。为了更好地理解教师的坚毅对人口变量的研究, 还需要进行更多的研究, 教师坚毅是教育文献中的一个新概念, 进一步的研究将为教师坚毅的研究提供重要的认识。这种潜在的现象可以通过教师的生活经历更好地理解。基此, 提出积极学校文化会提高教师的坚毅。教师坚毅的特征是教师愿意坚持, 以实现教育的目标, 坚毅需要坚持不懈地面对挑战, 在逆境中保持决心和兴趣。学校也需要有较高自我效能感的教师, 因为他们更愿意尝试新想法和使用新的教学方法来满足学校和学生的需求。最终, 当优秀的教师被保留时, 学校和学生就会受益, 这也是理解影响教师坚毅与自我效能感因素的最重要原因。教师的期望和职责不断增加, 因此, 据说只有那些有“真正使命”的人才应该成为教师。本研究通过调查教师坚毅与自我效能感之间的关系来了解教师的坚毅, 学校迫切需要专业的教师, 具有高度的坚毅和自我效能感, 并将继续致力于教学行业 (Duckworth et al., 2007)。

然而, 本研究由于一些研究限制(时间与人力等), 选择云南省的3所高校作为研究对象, 研究的结论不能广泛推广, 也存在适应性问题, 所以, 本研究建议今后相关的研究应该针对更为广泛的地区作为研究, 这样可以为教师坚毅这个重要的理论在中国地区高校内的研究作出更多贡献, 这显得尤为重要。此外, 未来的研究应该在其他人口变量上进行分析, 如此才能在中国地区对教师的坚毅获得更为全面地了解和发现, 例如, 月收入、婚姻状况、年龄, 可能影响中国地区高校教师的坚毅。

也能进一步探讨在中国地区的高校进行更为广泛的变量间的影响研究, 例如, 幸福感和生活满意度、保留率等。

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# 多元智慧理论融入舞蹈创作教学对中国舞蹈专业大学生之舞蹈创造力影响

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## 摘要

本研究旨在探讨多元智慧理论融入舞蹈创作教学对中国舞蹈专业大学生之舞蹈创造力影响，并了解学生经由此教学模式而提升舞蹈创造力，本研究采用准实验方法，研究对象为陕西省某高校舞蹈专业三年级两个班级学生 (N=49)，教学实验为四周课程含 8 节课程，一班为接受多元智慧理论教学的实验组 (N=25)，另一个班为传统教学的控制组 (N=24)，资料处理采用描述性统计、相依样本 t 检定、ANCOVA 等。经由实验结果的数据发现，(1)多元智慧理论融入舞蹈创作教学有效提升中国舞蹈专业大学生之舞蹈创造力；(2)多元智慧理论融入舞蹈创作教学提升中国舞蹈专业学生身体创造力及回应能力的成果；(3)参与多元智慧理论融入舞蹈创作教学课程之中国舞蹈专业学生与未参与之中国舞蹈专业学生在舞蹈创造力上有显着性差异。

**关键词：**多元智慧；舞蹈创作教学；舞蹈创造力；高校舞蹈专业大学生；身体创造力；回应能力

## 1.研究背景

在目前中国舞蹈领域创作中，高校舞蹈创作发挥着重要角色。同时，在中国舞蹈领域，高校舞蹈创作也起到了较大引领作用 (张媛, 2010)。舞蹈创作课程是舞蹈学下属的三个专业之一，培养学生创造能力和创新精神是舞蹈创作中的重要目标，为民众、社会、学校大力关注 (高志毅, 2016)。舞蹈创作既是个体认知下定势思维的发散性创造，同时也是外部艺术学科表现形式的多元合作，更是时代的诉求，即当下舞蹈创作思路的前沿理念的诉求 (金岚, 2017)。

舞蹈创作教学一般应用于舞蹈语汇、舞蹈结构和编舞技法等 (高志毅, 2016)。但是在创作的课堂中自然而然的就会运用编舞技法，这不仅会降低教师进行自主创新的能力，也会禁锢教师的思想，导致舞蹈教学模式长时间难以得到改善，久而久之，就使学生们失去创作的能力，导致舞蹈课堂的教学质量不断下降，对学生舞蹈创作的创造能力造成破坏 (吴蓓, 2013)。此情形是目前中国高校舞蹈创作课程一直存在的问题。

Howard Gardner 于 1983 年提出的多元智慧(Multiple Intelligences, MI)对教育界产生的影响最大。Gardner 早期的研究工作主要是探讨艺术家的思考与表现方式，将多元智能理论原则运用到教学情境中，来检视学生的多元智慧 (李平, 2003, 译自 Armstrong, 1999) 通过多元智慧理论的融入来引导和启发学生，通过引导式和启发式的教学方法，在舞蹈创作教学过程中鼓励学生主动去思考，建立独立自主的见解和创造性解决问题的能力 (武艳, 2010)。

基此，本研究目的即为运用多元智慧理论融入舞蹈创作教学，以提升中国舞蹈大学生之舞蹈创造力。

## 2.文献综述

本研究运用多元智慧理论于中国高校舞蹈专业之创作教学课程，以培养其专业大学生舞蹈创造力，基此，在此将探究舞蹈创作及其课程、多元智慧理论及舞蹈创造力。

### 2.1 舞蹈创作

舞蹈创作的本质是独特，它是以学生为中心，经由教师引导、启发让学生以肢体表现其想法感情的舞蹈方式与创作行为，它是以学生潜能的自我开发考虑为前提所实施的舞蹈教学 (李宗芹, 2002)。

舞蹈创作强调个性特点而不是千篇一律，不同学生自身就拥有不同的想法与创新思维 (王德清, 2010)。鼓励学生勇于尝试，不仅呈现个别化，且能促进群己关系的舞蹈形式，不强调舞蹈专业技巧的训练与呈现，所重视的是舞蹈经验的探索 (Russell, 1975; 张中暖, 1996)。在目前中国舞蹈创作方面，高校舞蹈创作是其中重要一项内容，并对于中国舞蹈领域发展有着与很强的引导作用 (张媛, 2010)。舞蹈创作教学永远不断地开创未竟的思想领域，寻找新的语言和尝试新的表现方式，并为全面启发和开掘其教学对象的创造力 (何群, 1999)。同时，在课堂教学中，应该将提升学生创造能力放在突出位置，以教师指导与为基础，全面提升学生整体创造能力 (黄蕾, 2010)。因此舞蹈创作是一种创作性的活动，教师在创作的课程中对学生的创造力培养尤为重要。高志毅 (2017) 提出创造力理念的舞蹈编导教学研究，高校在教学内容开发中，应该将全面提升学生舞蹈创造能力放在重要位置，加快推动“创造性教学活动”开展。

### 2.2 舞蹈创作教学课程

舞蹈创作课程不等同于其它课程，舞蹈创作中的关键任务在于全面提升学生的创新水平，是一种具有较强创造性智能的综合性实践活动 (高志毅, 2017)。舞蹈创作教学课程应该从现实出发，社会需要有创造力的舞蹈编创者，且需要有新意的作品，进而能够全面培养学生综合创新水平。当然，这一培养目标也符合多元智慧理论观点中，倡导的在引导式教学以及启发式教学应用到教学实践中来。舞蹈创作中，鼓励学生以更加积极主动的心态去参与到学习过程中来。针对存在问题，能够提出自己的具有创造性的观点，舞蹈创作课程具备以下特点：

#### 1.课程教学示范性

(a)示范教学法是一种以教师的自我示范来刺激学生相应的行动，使学生通过有效的模仿来掌握知识要领的基本教学方法 (杨友洪, 2013)。在舞蹈创作教学中的示范教学，是体现比较常用且灵活生动的一种教学方法，是指由教师完成动作并以其动作作为教学的范例，从而引导学生进行学习的教学方法，合理的教学示范，可以让学生对每一动作概念都有深入的认知，极大程度的提高学生学习的欲望和积极性 (姜丽亚, 2010)。通过教师的示范与引领让学生理解并感悟动作所表达的思想和创作理念。

#### 2.课程教学具有动作性

动作是人的肢体带有时间、力量因素在空间中的运动。舞蹈艺术就是以人的身体为载体，以人的四肢运动组合来形成动作语言，表达创作者对以人为主体的社会生活的深刻体验与感悟 (郭田, 2014)，课程教学中先完成基础造型、语句、段落，再连接整个的动作语汇以达到创作动作的整体性。

#### 3.课程教学具有思维性

对于舞蹈思维性，也就是能够将创作者文字构想以肢体动作的形式表现出来，体现了肢体动作以及文字之间的巧妙转化水平。在舞蹈创作中，都必须培养学生们的舞蹈思维能力。创造力是学生舞蹈思维能力水平的重要保证。同时，学生创造性思维也并不是天生就存在的，而

是在不断实践发展中锻炼出来的。在舞蹈创作中，需要较强的创造力，创造力是舞蹈编创中，非常重要的内容。在舞蹈创作过程中，必须要注重学生创造性思维的培养，鼓励学生大胆提出问题并解决问题 (李夏，2010)。

#### 4.课程教学具有智慧性

早期人类的智能运用文字、图像、影像及符号系统的方法让舞蹈动作记录下来，智慧是每个人与生俱有，艺术与八种智慧的六种都有着直接的联系 (武艳，2010)。舞蹈创作课程不仅仅是基于动作的模仿，最主要体现的是创造的综合能力，肢体、思维、想象及创作不可缺的智能元素 (高志毅，2017)。

舞蹈创作课程是一个舞蹈基础理论、基本技能与创造能力相结合的综合课程。它不仅注重舞蹈专业的基础能力，而且注重创造能力，让学生在学习创作作品的同时，通过多元化的方法让学生们在创作课程中提升自身的创造能力。

#### 2.3 多元智慧理论(Multiple Intelligences, MI)

根据哈佛大学教育研究所教授 Howard Gardner 提出的多元智慧理论，人类具有八种不同的智慧，包括语文智慧(Linguistic intelligence)、逻辑-数学智慧(Logical-mathematical intelligence)、音乐智慧(Musical intelligence)、肢体-动觉智慧(Bodily-kinesthetic intelligence)、空间智慧(Spatial intelligence)、人际智慧(Interpersonal intelligence)、内省智慧(Intrapersonal intelligence)、自然观察者智慧(Naturalist intelligence)。智慧既是解决问题的能力，又是生产及创造出社会需要产品的能力 (肖海涛，2007)。学习方法提供一个启发多元智能理论为教展革新教学的机会，其精神在于尊重每个人的个别差异，运用多元智慧教学，能更广泛且更多元的影响学习者 (李平，2003)。基此，本研究多元智慧应用每个人都具备的智能元素，创新观念、探索和发展自己的潜能，打破原本传统的教学模式。利用多元智慧来教学，并不是教智慧，而是通过不同的智慧来激发创造力的影响。

#### 2.4 舞蹈创造力

对于创造力，也就是创造性，可以将其看作为一种建立在概念工具和精神上技巧前提下人类精神现象，并最终演变为产生创意，启发或知觉的过程。创造力可以说是发明或制成前所未有之事物的能力，亦是赋予某些新事物存在的能力 (毛连塈，2000)；另，Guilford (1971) 亦曾言明，创造力是指产生新奇事物、理念或成果的能力 (Williams, 1972)。基此，本研究舞蹈创造力在舞蹈发展的历史里，不仅孕育了舞蹈的生命力，也引领舞蹈家挑战自我，进而呈现出舞蹈丰富的内涵与多元化的风貌。

舞蹈创作课程是一个舞蹈基础理论、基本技能与创造能力相结合的综合课程。它不仅注重舞蹈专业的基础能力，而且注重创造能力，让学生在学习创作作品的同时，通过多元化的方法让学生们在创作课程中提升自身的创造能力。

### 3.研究方法

本研究采用实验设计。实验设计是一种通用的科学合理的安排实验和分析实验数据的方法 (刘文卿，2005)。抽样方式为立意抽样，抽取的对象为中国西部地区陕西省某普通高校舞蹈专业常态编班的学生，即为自然班学生。非特殊情况来讲，按常态编班的班级，班级彼此之间具有较高的同质性 (叶澜，2003)。陕西省某师范学院是一所以教师教育为特色的省属本科院校，陕西省高等学校创新创业教育改革试点。咸阳市唯一一所具有舞蹈专业的公办院校，故研究者选取本所高校舞蹈专业的学生作为研究对象。实验设计从 2018 年 6 月 6 号至 7 月 7 号为期一个月的实验课程，选取大学三年级两个班共 49 人，以实验形式，其中一个班为实验组 25 人，控制组人数数量为 24 人，人数符合实验对象每组不少于 15 人的原则 (吴明隆，2003)，协助教师为舞蹈专业的同一位任课教师，实验组实施多元智慧理论融入舞蹈创作教学模式，控制组接受传

统教学模式，四周课程结束，进行后测专家作品评分。

本研究使用实验的研究工具包含：表演艺术各阶段项目、创造性舞蹈评量重点。舞蹈创作课程选取的创作内容部分依据孔淑美 (2009) 编着的表演艺术，在教材内容各阶段的参考指引。内容设计为要求 1、课堂即兴元素，风格不限。2、中国古典元素水袖，结合古典元素进行发挥。3、道具的运用，借助凳子创作风格不限。4、人物模仿，选取有人物性格特点进行模仿。评估标准以张中暖 (2002) 拟定的创造性舞蹈的评量 7 个评分重点进行成绩的评测。

研究之信效度重测法是使用同一工具，对一群相同的受试者，在不同的时间前后各测量一次，再根据受试者这两次测量的得分，求其相关系数，相关系数越高，表示再测信度越高。信度测量依据叶重新 (2017)，将受试者前后测的两次得分公式计算得出.91 具有较高信度。又以斯皮而和谐系数评分者信度得出  $W=0.58$ ，经查统计附录，该数字达到显著水准，由此可知，这五位评分者的评分，彼此间具有高的一致性 (叶重新, 2017)。内部效度的检测，通过五位专家对实验课程教案及后测结果给出教学意见。

## 4. 研究结果

本研究如表 4.1 描述性分析了实验课程的前测和后测，两种情况下的学生都有了进步。实验组的前测平均分为 76.501，后测平均分为 85.301，平均分数进步了 8.8 分。控制组的前测平均分为 76.802，后测平均分为 79.501，平均分数进步了 2.699 分。相比之下，实验组的学习效果优于控制组。分析结果如表 4.1 所示。

表 4.1 实验组与控制组前后测平均成绩

组别	人数	测试	平均分
实验组	25	前测	76.501
		后测	85.301
控制组	24	前测	76.802
		后测	79.501

### 4.1 共变数分析 (ANCOVA)

在实验中进行单项测试以确定实验组和控制组之间在预测的后测控制方存在显著性差异，初始化测试组中回归系数的同质性显示，两组在实验的前测没有显著影响 ( $F=0.303, P=0.58 > 0.05$ )，在进一步分析变量时变异数测试的均匀性结了进步。实验组的前测平均分为 76.501，后测平均分为 85.301，平均分数进步了 8.8 分。控制组的前测平均分为 76.802，后测平均分为 79.501，平均分数进步了 2.699 分。相比之下，实验组的学习效果优于控制组。分析结果如表 4.2 所示。结果表明两组具有相同的结果。从表图 4.2 可以看出协变量的最终分析结果表明，两组在实验后测有显著性影响，( $F=1, 45$ )=8.39,  $P < 0.5$ ，表明了实验组在测试后的得分显著高于控制组。

表 4.2 实验组与控制组前、后测单项测试 ANCOVA 结果分析

来源	第 III 类平方和	df	平均值平方	F	P
组别	27.011	1	27.011	44.133	0.000
前测	2336.952	1	2336.952	3818.348	0.000
组间前测	5.135	1	5.135	8.390	0.006
误差	27.541	45	0.612		
总数	338732	49			

## 5. 结论

本研究目的为运用多元智慧理论融入舞蹈创作教学,以提升中国舞蹈大学生之舞蹈创造力。基此,本研究采用教学实验法,针对中国舞蹈大学生进行多元智慧理论融入舞蹈创作教学课程,以提升之舞蹈创造力表现。经施测后及其数据分析结果,以归纳进一步讨论及结论。

### 5.1 研究讨论

本研究经由统计分析可以得出,在四周的实验课程后,由前测和后测对照实验组和控制组皆得到了改进。然而,实验组的表现优于控制组。

#### 5.1.1 多元智慧理论融入舞蹈创作教学有效提升中国舞蹈专业学生之舞蹈创造力。

从本研究的结果得知,多元智慧理论的融入提升舞蹈创作中的创造能力,此点呼应朴红梅在2014的研究,其针对高职舞蹈专业的普遍特点,如生源质量个体差异、学习意识浅薄、思维创作能力欠缺、传统课堂难以满足创新能力等,以多元智慧理论为主导思想贯穿于教学实践,以“学+练+演”的模式化教学,通过引导和启发的教学方法培养学生的实践和创造性的思维方法。此外,本结果也呼应武艳(2010)在多元智慧理论运用在舞蹈创作中,将多元智慧理论运用在综合素养的模式探究,分析多元智慧理论对舞蹈教育及创作的启示,同时,在舞蹈活动中始终贯彻应用舞蹈思维,无论是在舞蹈创作、舞蹈表演,还是在舞蹈欣赏中,以八种智慧的融入提高学生们的创造力,多元智慧理论对舞蹈思维及创造力尤为重要,综上所述可以看出多元智慧理论为舞蹈创作提供另一个有效的教学渠道。

#### 5.1.2 参与多元智慧理论融入舞蹈创作教学课程之中国舞蹈专业学生与未参与之中国舞蹈专业学生在舞蹈创造力之差异。

研究结果显示,参与多元智慧理论在舞蹈创作实验课程的舞蹈专业学生优于未参加实验课程的舞蹈专业学生,实验组显著优于控制组。与以往的研究相符合(张媛,2010;高之毅,2017;黄蕾,2010;武艳,2010)。舞蹈创作过程中,培养创造力是首任。但在舞蹈创作中对创造力的探索不足,在舞蹈艺术创作中,普遍存在着同质化严重的问题,内容深度不足。所以,在加强舞蹈内容研发中,高校应该重点做好“创造性教学活动”发展,全面提升学生舞蹈创新能力水平。中国大学的舞蹈专业是庞大的群体,因此这个群体的专业素养与专业能力,这些都将会对我国舞蹈事业发展产生重要影响(金岚,2017)。总体而言,基于舞蹈创作教学与多元智慧理论相结合,能够提高中国舞蹈专业大学生的舞蹈创造力。

### 5.2 研究结论

本研究目的为运用多元智慧理论融入舞蹈创作教学,以提升中国舞蹈大学生之舞蹈创造力,采用教学实验法,经四周的实验课程,由前测和后测结果得知实验组的表现优于控制组,然而据此,可以证明多元智慧理论教学对于中国舞蹈大学生的舞蹈创作能力有一定的帮助性,此结果提供在中国高校舞蹈专业之舞蹈创作教学一个实证性的研究贡献参考。然而,本研究还是有部分研究限制,针对此部分,提供相关建议以供未来相关研究之参考,其分述如下。

#### 5.2.1 研究对象及研究方法的建议

本研究碍于人力、时间等因素,仅以一所院校做实验研究,无法实施在多所院校的实验过程及深入的研究,由于研究的范围局限,因此推论有限,往后可扩大研究对象和范围,以便了解不同对象之差异情形,获致更详尽的结果,将使研究更具推论性。

本研究的研究方法采用准实验研究进行前、后测。虽然经过实验得出较好的结论并对研究有了初步的认识,但未能够继续深入问题的核心进行访谈。因此建议未来研究,能够做一个学期的实验研究及采用访谈法以进行深入探究,取得完整又周延的研究结果,提供更有效的分析和参考。

#### 5.2.2 针对教师与学生的建议

在舞蹈教学过程中，教师可以不必要强调每一位学生动作的一致完美，而应该更多的强调鼓励学生的主动思考，让学生能够表达自己的观点，进而全面提升他们独立思考并解决问题的综合水平。在创作的过程中，有个别的学生有想法和自己独立见解，教师应鼓励学生的大胆的思维与见解，学生应加强自己对生活的感知，学会观察生活的能力，从自然中寻找创作的灵感，来增加对想象力的丰富思维及创造力的认知。

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# 合伙人包容型领导对员工工作满意度的影响研究

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## 摘要

从探索领导力的内涵、探索领导力的新模式和新理论、中国文化背景下的领导力理论、工作满意度、合伙人包容型领导力提升的途径等方面,对北京北方亚事资产评估事务所(特殊普通合伙)为对象进行访谈和分析,提出包容型领导在合伙制知识型企业发展的领导力及对工作满意度影响方面的研究方向。

**关键字:** 包容型领导; 领导力; 合伙企业; 工作满意度

## 1. 引言

领导力(Leadership Challenge)可以被形容为一系列行为的组合,而这些行为将会激励人们跟随领导去要去的地方,不是简单的服从。根据领导力的定义,我们会看到它存在于我们周围,在管理层,在课堂,在球场,在政府,在军队,在上市跨国公司,在小公司直到一个小家庭,我们可以在各个层次,各个领域看到领导力,它是我们做好每一件事的核心。一个头衔或职务不能自动创造一个领导。

所谓领导力,就是一种特殊的人际影响力,组织中的每一个人都会去影响他人,也要接受他人的影响,因此每个员工都具有潜在的和现实的领导力。在组织中,领导者和成员共同推动着团队向着既定的目标前进,从而构成一个有机的系统,在系统内部具有以下几个要素:领导者的个性特征和领导艺术,员工的主观能动性,领导者与员工之间的积极互动,组织目标的制定以及实现的过程。系统是否正常取决于各要素能否协调地发展。而协调发展的关键就在于领导者和其他成员之间的互动,能否使领导行为双方互动形成统一的认识,情感和行为活动,是领导力正确发挥的必要条件。

领导能力是一种能够激发团队成员热情与想象力的能力,也是一种能够统率团队成员全力以赴去完成目标的能力。包容型领导,中国有句古语:“有容乃大,无欲则刚”,“宰相肚里能撑船”,有多大的胸怀就能办多大的事。因此每个领导者要胸怀宽广,立足公司,放眼未来。包容是包与容,包容的反义词是排斥,二者是对立统一的。水至清则无鱼,人至察则无徒。海纳百川,有容乃大。包容体现在经济周期、企业生命周期上。从企业角度看,初创业、创业期易,鼎盛期,衰退期破产时包容难。包容是通过团结一批抨一团结体现,团结反对过自己,实践证明反对错的人。

## 2. 文献综述

领导力的内涵。在现代汉语中,“领导”意味着“引领”和“导向”,按照汉代许慎《说文解字》的释义,“领,项也”,“领犹治也。”在盎格鲁—撒克逊语中,“lead”,“leader”,“Leadership”(领导、领导者、领导力)的共同词根是“lead”(道路,小径),由“lesdan”演变过来,意为旅行或走开,而“lead”的“姻亲”“load”,保留了“旅途中的重负”的意义,“leader”则隐含着“承担着对责任的重负”这样的一个转喻意义。法语“dirigeant”(领导)的动词形式为“diriger”,源于拉丁法语“dirigere”其基本意义还包括“如首领一样去指挥和领导行为或事务”、“指引方向”、“引向、领向”等。

领导与管理是两类相互交叉的现象,二者之间存在更多的重叠。从管理职能标准化角度分析,管理指计划、组织、指导(或领导)、控制。领导是管理者工作的重要组成部分,但是管理者同时还要进行计划、组织和控制。洛克(Edwin A.Locke)认为领导与管理的区别在于:领导者的主要职能是为组织创立愿景,如使命和规划,他要确定长远的目标和达到此目标的策略;而管



理者的主要职能是实施愿景，他和他的团队要选择实现领导所提出的目标的方法。费尔霍姆(G.W.Fairholm)认为，领导和管理在目的、知识基础、所需要的技能和目标上都是不同的。与管理者相比，领导者与团队成员的关系更亲切，在思维上更整体化，更关注价值、期望和情境，更多地运用非正式的权利机制。从职能上看，领导的主要任务是创立愿景，他要提出使命、确定目标、制定规划、订立策略；而管理的主要任务是实施愿景，要制定具体细则和实施方案，并组织具体实施。

领导者与追随者的关系。所有的领导现象，都与追随现象发生着深刻联系。没有追随者很难称得上真正的领导者。没有一个真正的追随者是无目的、无方向、失去引导的。领导者与追随者都是主动性角色。追随者，是指在领导活动中与领导者有相同的信仰，能够服务并追随领导者的人员。追随者不同于下属，他们追随的不仅仅是领导者，更是愿景，是共同理想。他们可能是组织中的每一个成员甚至是上级，也可能是其他组织甚至是跨文化领域的成员。“好的领导者应该也是好的追随者。领导者和追随者有很多共同之处：善于倾听，合作精神，以及与同伴共同对付竞争的问题”。追随者是领导者存在的前提。任何组织要想有所作为，就必须有部分人自愿并有效地担当追随者和领导者。领导者与追随者在人格上是平等的。追随者所追随的与其说是领导者，不如说是愿景。领导者应给予追随者更多的真诚、真心与尊重，跟他们成为朋友、合作伙伴，共同成长与进步。现代社会是一个不断融合、互动的社会。随着组织的发展，追随者的自身素质也在不断提升，可以成为新的领导者。

领导与追随者在权力上是互相制衡的。领导者的权力不仅来自组织的法定权利，更来自追随者的认可。失去追随者的认可，领导者的权力就会形同虚设。追随者也要服从自己认可的领导权威的指挥，否则就是违背自己意志的表现。领导既是一门科学，也是一门艺术。领导的科学性表现为领导工作具有一定的规律性，而领导的艺术性则表现为具有相对的灵活。在工作中要保持领导科学和艺术的平衡。

20世纪70年代以后，随着经济社会的发展，管理实践中出现了一些新现象和新问题，这就促使研究者们从一些新的角度去解释领导现象，探索领导力的新模式和新理论，主要包括领导-成员交换理论(LMX)、变革型领导理论和魅力型领导理论等。变革型和魅力型领导理论。20世纪80年代早期，变革型领导和魅力型领导理论开始出现。Bass发展了Burns的概念，给出了变革型领导的定义：通过让下属意识到所承担任务的重要意义，激发他们的高层次需要，建立互相信任的氛围，促使下属为了组织利益牺牲自己的利益，从而达到超出预期的目标。变革型领导主要在调节下属需求和激励下属完成任务的时候才会显现出来。这是一个领导者向员工灌输思想和道德价值观，并激励员工的过程。在这一过程中，领导者除了引导下属完成各项工作外，还会以自己的个人魅力，通过对下属的激励和关怀去改变他们的工作态度、信念和价值观，使他们为了组织的利益更加投入到工作中。Burns认为，变革型领导由个人魅力、智力激励以及个人化考虑三个因素构成。Bass和Avolio则认为，变革型领导通过四种独特的行为方式扮演着他们的领导角色：个性化关怀(Individualized Consideration)；智力激励(Intellectual Stimulation)；领导魅力或理想影响力(Charisma or Idealized Influence)；以及感召力(Inspirational Motivation)。

价值驱动的领导理论。针对不断出现的公司丑闻和一些领导人物的不正当行为，公众以及领导力研究者开始更多地关注领导者的道德、公正、价值观和正直。尽管道德标准和价值观在过去的领导力文献中就已经被提及，但大部分的研究都将其作为一种规范而不是用来描述或预测。一些新兴的领导理论尝试把伦理、真诚和精神等想法吸收进来，包括伦理型领导、精神型领导以及真诚领导等。伦理型领导被定义为“通过个人行为 and 人际互动，示范适当的行为规范，并通过双向沟通、强化和决策制定等过程，促进对下属的引导”。伦理型领导着重强调领导者的作用以及领导者是如何为下属提供道德指导的，因此该理论将领导者作为领导力的来源。另外一种基于价值的领导理论是真诚领导，该理论来源于积极心理学和积极组织行为学。真诚领导不仅影响团队内部成果，还会将影响延伸到广泛的社会问题上。这种影响的实现是由于真诚领导能够激发下属的认同感，并提升下属的信任、积极情感和乐观主义，成为一个积极的榜样也是真诚领导影响下属的一个重要途径。

愿景型领导理论。1995年，库泽斯和博斯纳提出了一个清晰、完备的愿景型领导模式，主要考虑下属的观点以及他们对领导的预期，认为领导者的愿景是否具有前瞻性是组织能否开展变革的首要条件，具有前瞻性的愿景是组织开始重大变革的基本因素。研究发现，领导者改变

下属和组织的能力取决于自身的信誉度，而忠诚、前瞻力和号召力是支持领导者信誉的要素。该理论强调领导行为中奖励和认知的重要性，认为领导者需要通过不断质疑来引导新的共同愿景，通过授权、激励和适当角色作用鼓励下属完成新愿景。其最大的贡献是把具有前瞻性的愿景构建与组织文化的构建联系在一起，其领导模型被学术界称为“榜样型领导模式”。

**价值领导理论。**在知识经济环境下，以豪斯教授为代表的学者对 20 世纪 70 年代以后的领导学理论和实验进行高度综合，90 年代初提出了以价值为基础的领导学理论。基于价值的领导是相对于制度管理而言的。该理论认为，领导者与其下属之间是以价值观为基础的关系。领导者通过明确表达愿景，向组织和工作注入价值观，使它们与跟随者所持有的价值观和情感产生共鸣，从而唤醒跟随者对集体和集体愿景的认同，实现跟随者自我功效和自我价值的提高。

**超越型领导理论。**20 世纪 90 年代，组织扁平化、专业分工网络化和电子化沟通等趋势的加剧促使团队化管理模式日益凸显。团队化管理的超越型领导理论由此得到盛行。超越型领导比变革式领导更进一步，他们帮助下属发现潜能，提供各种可能来最大限度地激发下属能力。通过充分授权，鼓励下级做出更大的组织承诺，因此该理论也称为超脱型领导理论。这种领导方式关键是把下级培养成自我领导者，通过自我设置目标，对自身行为进行内在强化，自我安排职务，同时进行自我批评和表扬。超越型领导本人能为下级做出自我领导的榜样，通过令人信服的行为树立形象。

**中国文化背景下的领导力理论。**中国文化背景下的领导力体现在中国文化背景下的家长式领导和 CPM 领导理论，都反映着东西方文化背景下领导行为的差异。家长式领导以儒家价值观为基础，樊景立和郑伯坝认为，可以从三个维度对家长式领导进行描述：威权、仁慈和德行领导。对于威权领导的立威行为，会使下属表现出服从和畏惧。仁慈包括领导对下属一般福祉的关心，也会延伸到他们的家庭和个人生活。而对于这种施恩行为，下属会表现出感激，要回报领导的关怀。德行领导是领导者表现出“卓越的个人品德，自律，以及无私”的行为方式。家长式领导是一种风格类型理论，该理论缺少了执行力方面的因素，尤其是完成团体目标的执行力。在家长式领导理论中，领导者被描述为领导力的主要来源。然而，学者们也明确地意识到，家长式领导效能是否被接受取决于国家和组织的文化价值观(比如信念和认知)。在西方文化中，过于权力化反而会使一个领导无法成为领导者，因而限制了领导力的产生。所以，家长式领导也强调了环境作为其领导来源，认知作为其领导效能的影响机制。**CPM 领导理论。**凌文铨于 20 世纪 80 年代提出中国领导行为评价的 CPM 模型。该模型认为，中国人的领导行为除了 P 因素(Performance, 目标达成)和 M 因素(Maintenance, 团体维系)外，还应包含领导者的品德因素，即 C 因素(Character and Moral, 个人品德)。三种领导元素分别发挥不同的作用，P 针对的是工作，M 针对的是他人，C 则是正确地对待自己。在中国，一个领导者只有正确处理好这三方面的关系，才能最大程度地发挥领导作用，三种机能是相辅相成的。后续关于 CPM 领导理论的研究也表明，在对下属行为态度产生影响时，个人品德的影响作用最大，且在目标达成和团体维系影响下属行为态度的过程中，个人品德发挥着增强型的调节作用。CPM 领导理论认为，领导行为和领导有效性不能分开来进行考察。领导有效性一方面会受到团体机能发挥好坏的影响，另外还会受到领导者个人特质的影响。该理论既不是简单的领导特质理论，也不是单纯的领导行为理论，而是在将特质理论和行为理论进行有机结合的同时，还把情境因素考虑进来。因此，领导者和环境都是领导力的重要来源，而特质和行为的影响则是领导力发挥有效性的内在机制。

### 3.研究方法

本研究主要采用的研究方法有理论研究法、访谈法、问卷调查法和实证研究法。理论研究主要阐述从哲学角度、信仰角度揭示领导力的客观规律；从国际化、信息化角度揭示合伙人领导力适应挑战的措施策略。访谈法。为了能够提出适合本企业的合伙人领导力模型，本研究在文献综述的基础上，采用合伙人访谈的方法提炼出领导力模型的各种变量及其关系。问卷调查。以领导力的各个变量为基础设计调查问卷。对合伙人领导力进行问卷调查，调查对象主要是本资产评估机构总部和分所的全体合伙人及员工。通过问卷调研收集到数据后，

本研究采用统计分析软件，主要是 SPSS 23.0，对其进行分析。运用信度分析、探索性和验证性因子分析、相关分析、单因素方差分析、回归分析和多层次线性模型等统计方法，对合伙人包容型领导力的影响机制进行较为完整的探索。

## 4. 研究结果

本次研究以知识型企业——北京北方亚事资产评估事务所(特殊普通合伙)为对象，采用定量和定性的研究方法，以自我决定理论为基础，创新性的提出了合伙企业合伙人包容型领导的理论模型，抽取 57 个工作团队，共 57 位团队领导，289 位员工的样本群，进行了理论和实证研究。本研究的结果显示(1)团队包容型领导与工作满意度之间具有显著的正相关关系。(2)心理需求在合伙人包容性领导与工作满意度之间的中介作用成立。

工作满意度是对工作满意程度的一种度量，许多研究对工作满意度的影响因素，与离职、领导方式、工作表现等变量之间的关系进行了深入的讨论。Hoppock (1935) 首次提出工作满意度的概念，认为工作满意度是工作者心理和生理两方面对环境因素的满足的感受，即个体对工作情境的一种主观反应。Locke (1976) 将工作满意度定义为个人评价其工作或工作经验而产生的正向的或愉悦的情绪状况，工作满意度是一种情绪性的反应，这一反应是源于个人的工作满足或符合其重要的工作价值观。Newstorm & Davis (1997) 认为工作满意度是员工对自己工作喜欢或不喜欢的感情或情绪。

陈彰仪 (1995) 则是认为工作满意度为个人从工作中获得的愉悦感，是工作者对于其工作所具有的感觉(feelings)或情感性反应(affective responses)。黄翠霞等人 (2002) 提出，工作满意度是相对于个体的生活满意度和总体满意度而言，特指个体作为职业人的满意程度，是员工比较薪酬、工作环境等方面组合的期望与薪酬、工作环境等方面组合的实际所得，而得出的对满意程度的评价。

目前存在的工作满意度的定义通常有以下三类：第一类，综合性定义。将工作满意度作一般解释，认为工作满意度是一个单一的概念，是员工对工作本身及相关环境所持的一般态度和看法，也就是对其工作角色的整体情感反应，不涉及到工作满意度的多面性、形成原因和过程。Vroom (1973) 认为工作满意度是指员工对其在组织中所扮演角色的感受或情绪性反应。第二类，与期望差距的定义。将员工满意的程度视为员工从工作环境所获得的报酬与其预期应得之间的差距，这种差距越小满意程度越高，反之，满意程度越低。如：Porter (1973) 认为工作满意度的程度是一个人在工作中实际获得与他所认为应该获得的差距而定。第三类，参考架构性定义。认为工作满意度是一个根据其自我参考架构对于工作特征加以解释后得到的结果。因此，此类定义可说是特殊构面的满意，其特征是工作者对特殊构面的情感反应。但其构面数到今天为止，并没有统一的答案。

工作满意度影响因素。影响员工工作满意度的因素有很多。马斯洛 (1943) 的需求层次理论认为人类有五大需求层次，即生理需要、安全需要、社会需要、受到尊重的需要和自我实现的需要。人们只有满足了低一级层次的要求，才能转入较高一层的需要；当一种需要得到满足之后，就不再具有激励作用。即任何一种需求的强烈程度取决于它在需求层次中的地位，以及它和更低层次需求的满意程度。

Herzberg (1959) 认为导致满意的因素有：成就、认可、工作本身的吸引力、责任和发展。导致不满意的因素有：企业的政策与行政管理、监督、工资、人际关系以及工作条件等。Porter (1961) 认为工作满意度决定于个人对工作结果之期望与实际所得之间差距的大小，即工作满意的程度是依照个人对其“应该获得”与其“实际获得”两者之间差距的感受多寡而定。亚当斯 (1967) 提出的公平理论侧重于研究工资报酬分配的合理性、公平性及其对员工生产积极性的影响。同年，美国心理学家 Vroom 提出了期望理论。针对工作满意度问题，他指出，工作满意度取决于个体期望与实际取得成就相吻合的程度，期望未能实现便产生不满意度，人们只有在他从工作中得到的回报大于他所期望的回报时，才会对工作满意。如果从工作中得到的回报小于期望值，就会对工作不满意。

Seashore 等人 (1975) 将与员工满意相关的变量整理成概念性框架，此框架涵盖员工满足的前因和后果。前因变量归纳为环境因素与个人属性因素，后果变量归纳为人口统计变量、组织

反应变量和社会反应变量。Locke (1976) 对员工工作满意度作了大量研究, 提出工作满意度的十个维度: 工作本身、报酬、提升、认可、工作条件、福利、自我、上司、同事和组织外成员。Balze 等人 (1997) 认为, 员工工作满意度和以下六个方面有关: 工作本身、晋升、薪酬、监督管理、同事以及员工对工作的总体评价。Bucking 和 Coffman (2002) 认为, 影响工作满意度的因素主要包括员工的获取、员工的奉献、员工的归属和组织与员工的共同成长四个方面。

中国许多研究者对影响员工工作满意度的因素也进行了研究, 并取得了一些成果。李树苗、张勉 (2002) 认为影响工作满意度的因素主要有: 管理、报酬、环境、个人能力发挥和发展机会、公司发展、福利、人际关系。胡蓓 (2003) 对中国脑力劳动者进行研究, 把员工工作满意度影响因素归纳为工作本身、工作关系和工作环境三类。其中工作本身包括工作内容和自主权; 工作关系包括同事关系、上下级关系、组织内的集体活动; 工作环境包括工作条件、工作时间、组织文化和管理政策。通过以上回顾我们可以看出, 影响工作满意度的因素较多, 各个研究领域的学者由于研究背景、研究对象、选取的研究视角、依据的理论架构不同, 其研究结论也存在较大差异。在工作满意度的影响因素方面, 国外学者研究较早且比较系统, 国内学者虽然对这方面的研究相对较晚, 但是近些年也依据中国国情从不同角度对其展开了大量的实证研究, 并取得了一定的研究成果。

工作满意度的测量工具主要有几种: 第一种是 Weiss 等人 (1967) 开发出来的 Minnesota 满意问卷 (MSQ)。目的是测量员工对工作整体的满意程度。量表中包括内在满意和外在满意两个层面, 内在满意指带来满意感的增强物与工作本身有密切的关系, 如, 从工作中获得的成就感、自尊和自主等。而外在满意指带来满意感的增强物与工作本身无关, 如: 主管的赞美、同事间的良好关系、良好的工作环境等。

第二种是 Smith, Kendall 和 Hulin (1969) 发展的工作描述指标 (Job Descriptive Index, JDI)。此量表主要是要求受测者就工作本身、薪资、升迁、管理监督及同事等五个参考架构评估其满意度。JDI 量表在国外是很常用的工作满意度量表, 在国内也多次被采用, 是个非常成熟的量表。第三种测量工具是 Bradfield 和 Roth (1951) 发展的工作满意指标 (Job Satisfaction Index, JSI) 量表。这种量表主要是从工作的整体评估来反映员工的满意度。第四种测量工具是 Michigan 组织评量问卷 (Michigan Organization Assessment Questionnaire, MOAQ) (Cadman 等, 1979)。从内在、外在及社会的奖励来考虑工作者在工作上的满意程度。与前面两种量表相比而言, JSI 或 MOAQ 少见于实证研究中。

工作满意度其高低既直接影响员工的工作绩效、工作态度和离职倾向, 又间接影响着客户的满意程度, 进而在一定程度上影响企业的经营和发展。工作满意度不仅是影响企业远发展的一个重要因素, 也是推动企业实现高效运作、提高客户满意度和忠诚度的重要工具。依据研究结论, 对一般性的企业和合伙人提出如下针对性的启示和建议。

#### 总结与讨论

本次研究仅在中国第一家特殊普通合伙制资产评估事务所提取样本, 研究具有一定的局限性, 仍然需要做出更多的努力和探讨。本研究证实了包容型领导在中国情境下的合伙制企业的适用性, 对样板企业及其它合伙制企业的合伙人领导力提升具有借鉴意义, 同时也为企业提高员工工作满意度提供了参考建议。

合伙人从管理者向领导者的角色转换。合伙人从管理者向领导者的转换, 首先应清晰了解领导和管理的区别: 管理的含义通常为“通过别人做成某事”。与之相对, 领导的含义为“让别人做某事”, 更专注对他人的激励和影响。所以, 管理能力可以被看成是“管事的能力”, 而领导力则是“管人的能力”。

管理主要是理, 理顺机制, 理顺情绪, 理顺核心团队的情绪, 理顺员工的情绪。合伙人从当前的管理角色向领导者角色转换, 需要对能力提升全面的提升, 从提升自身的感染力和影响力入手, 向既是梦想家、又是实干家、还是批评家的能够激励和影响他人的领导转变。

合伙人包容型的培养与提高。包容就是一种宽容, 那么无原则、无底线的宽容就是纵容, 是睁一只眼闭一只眼的放任, 包容型领导力的培养和提升对组织来讲既是提升也是挑战。这种挑战一方面来自包容型领导的本质和特点, “稳定与变革”、“制度和情感”、“组织权威和员工参与”等较多地体现为对立或矛盾, 在管理中表现为复杂性和动态性, 这需要管理者动态

地平衡和掌控各方矛盾，对管理者的能力和素质提出了很高的要求。如何把握好包容的“度”，学会识别和判断“度”是运用和实施包容型领导的一个关键点。

另一方面是对组织的挑战，包容型领导需要有与之相应的文化氛围或环境的支撑，需要企业在发展过程不断构建包容型的企业文化，让包容型思想逐步渗入组织的每个层面。包容型的培养和提高应从以下环节入手：领导者要为追随者，进行职业生涯设计。帮助下属按照规划，实现每一个阶段的成长目标，成为工作领域内的人才。帮助追随者了解自我、提高自我。满足追随者的需求，赢得追随者的信任。发挥员工的最大潜力，增强其存在感。对错误的包容，一定是有原则的包容。

包容型领导力和工作满意度各维度及总工作满意度是正相关的，这说明企业领导行为越高，员工的工作满意度就越高。两者之间的相关分析也说明，挑战陈规、达成共识、调动成员、模范表率、激发热情对工作满意度都有显著预测力，在对员工的领导过程中，要注重对其工作内容、薪酬待遇、环境氛围、升迁发展、工作指导、生活指导等各方面的帮助和关心才能增加员工工作满意度的提升。

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# 中国腾讯 WE GAME 平台游戏产品营销管理策略研究

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## 摘要

针对数字化游戏产品的线上营销渠道，腾讯等中国国内游戏企业，相继推出了游戏分发平台；但是相比国外成熟的游戏分发平台仍存在较大差距。通过对中国游戏产业龙头腾讯公司旗下的 We Game 平台进行研究，发现 We Game 平台的营销管理策略存在的问题，为平台的运营商提供一定的策略与建议。并为中国的其他游戏分发平台提供借鉴与经验。

**关键词：**平台化，数字产品，线上渠道

## Abstract

For the online marketing of games, TENCENT and other domestic game companies have launched game distribution platforms; however, there is still a big gap compared to foreign mature game distribution platforms. Through research on the We Game platform of TENCENT, the leader of the Chinese game industry, we found problems in the marketing management strategy and provided strategic advice to operators. And provide reference for other game platforms in China.

**Keywords:** Platform, Digital product, Online channel

## 1. 研究目的及意义

针对游戏的线上营销，腾讯等国内游戏企业，相继推出了游戏分发平台；但相比国外成熟的游戏分发平台仍存在较大差距。通过对中国游戏产业龙头腾讯公司旗下的 We Game 平台进行研究，发现营销管理策略存在的问题，为运营商提供策略建议。并为中国的其他游戏平台提供借鉴。

## 2. 文献综述

对腾讯 We Game 平台的线上营销管理进行研究分析。本章主要从市场营销、线上营销渠道、游戏产业三个方面，对现有的文献和研究成果进行梳理、汇总。

### 2.1 市场营销的相关文献

市场营销是指企业发现或挖掘准消费者和众多商家的需求，从整体的营造以及自身产品形态的营造去推广、传播和销售产品，主要是深挖产品本身的内涵，切合准消费者以及众多商家的需求，从而让消费者深刻了解该产品进而购买的过程。

经典的营销理论。4P 是营销学名词，美国营销学学者杰罗姆·麦卡锡教授在 20 世纪的 60 年代提出“产品、价格、渠道、促销”4 大营销组合策略即为 4P。产品 (product)、价格 (price)、渠道 (place)、推广 (promotion) 四个单词的第一个字母缩写为 4P。

诸多学者都曾运用 4P 理论进行研究，(陈庭婷, 2015) 以移动游戏《部落冲突》为案例，研究分析这款移动端游戏的营销方式，来解读中国移动游戏市场的营销策略。(李蒙、王艺潼, 2018) 移动互联网时代受众向移动端转移，在社交媒体的裂变传播因子的影响下，一条朋友圈视频广告即可引发全网的刷屏传播。本文将招行银行的“番茄炒饭”广告为例，从 4P 理论出发，对刷屏视频广告的营销进行研究。

### 2.2 线上渠道的相关文献

随着互联网技术的发展，线上网络营销也逐渐成熟。网络营销是通过借助于互联网络、电脑通信技术和数字交互式媒体来实现营销目标的一种营销方式。传统的营销渠道与网络营销渠道相比，在作用、结构和费用等方面有所不同，网络营销渠道的作用也是多方面的。本章节主要从线上渠道的建设和多渠道管理两个方面来梳理。

信息化和网络化是当今商业贸易流通行业突破发展的瓶颈、扩大市场份额和消费者群体的必经之路。线上营销渠道给传统企业带来高收益和创新思维的同时,也对商品和员工在流通过程中的管理方法提出了新的挑战。(刘迎春,2015)通过研究分析电子设备的应用对目前营销渠道管理所产生的影响以及存在的问题,提出了电子商务背景下营销渠道管理的发展方向。(武亮、郭美文,2017)把新疆红枣作为案例,通过对比其传统营销渠道模式与创新渠道模式,提出以“互联网+”为农产品营销渠道创新的驱动力。

互联网发展至今,已存在多样化网上销售模式。(盛昭瀚、徐峰,2010)主要研究网络渠道的引入对制造商定价策略的影响,并分别讨论双渠道背景下的制造商的四种定价策略。通过数值模拟和仿真对各个参数对不同的定价策略进行了比较分析,得出相关结论。(梁喜、郭瑾,2016)建立了三种双渠道结构博弈模型,基于斯塔克尔伯格博弈模型,运用逆向归纳法讨论了模型均衡解。研究表明在所有渠道结构中,价格交叉系数与零售商利润成反比,与制造商利润、双渠道总利润成正比,佣金比例系数会对制造商渠道选择产生较大影响。

### 2.3 游戏产业的相关文献

电子游戏产业是涉及电子游戏的开发、市场营销和销售的经济领域。现代个人电脑的许多进步和创新都归功于游戏产业:如声卡、显示卡和图形处理器,CD和DVD驱动器等,Unix和CPU也有一些较为显著的改善。作为发展和扩张最为迅速的行业之一,引起了学者的广泛关注。近年来对游戏产业的研究主要集中在游戏行业现状、游戏企业管理、游戏相关政策三个方面。

在研究游戏行业现状方面,(肖阳,2018)手机网络游戏随着信息经济以及网络经济的创新,慢慢有了产业化的运作。尤其手机游戏产业的快速发展使得其带动相关产业和其本身的经济重要性都值得关注。从产业组织的角度,按照SCP的模式分析行业的情况并给出了一些建议。(林佳玮,2018)近年来,互联网众筹模式在中国兴起,作为一种新兴网络融资模式,它打破了传统融资模式的限制,为缓解小微企业融资问题提供了一条新的途径。本文探究当前

针对游戏企业经营管理方面,(童珺,2017)在科技迅速发展的时代,无形资产在企业的资产中的比重越来越大。本文以中国企业会计准则为依据,采用平衡计分卡,选取不同的绩效衡量指标来分析无形资产在网络游戏企业日常经营管理和长远发展中所起的作用,探讨以平衡计分卡为核心的企业绩效评价体系。(史宇珂、史铮,2017)从HTML5游戏的特点及推广策略入手,通过理论和案例结合对其传播特点进行探究,对存在的营销劣势进行分析提出建议。(丁军、高大启、陈小红、薛程元,2016)针对大型多人在线角色扮演类游戏(MMORPG)的玩家流失分析与预测问题,采用Cox比例风险模型建立玩家的流失模型,分析玩家在游戏中的社交网络的特征对玩家流失行为的影响。

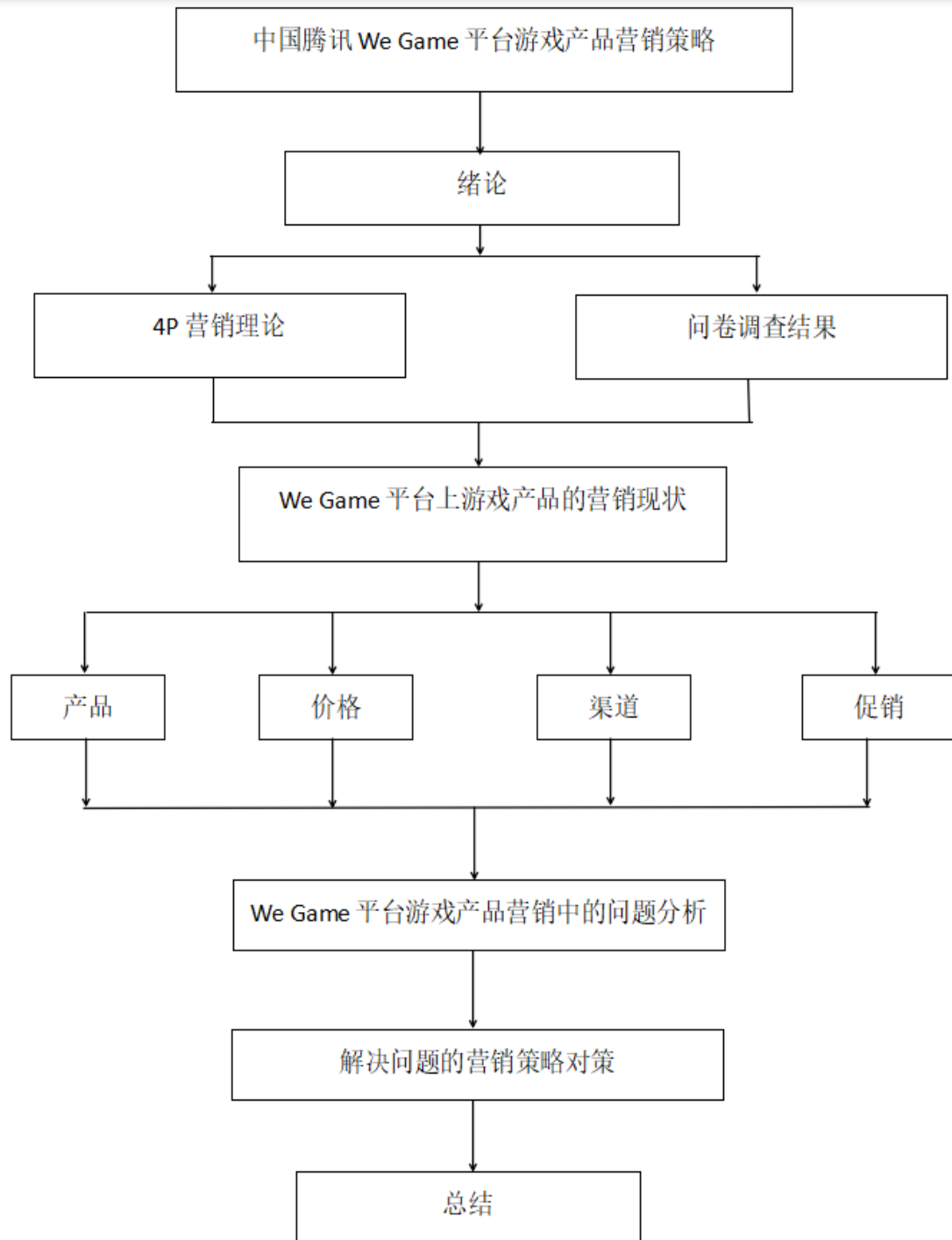
在游戏产业的相关政策方面,(张焱,2013)世界游戏产业界一般认为,韩国游戏产业政策促进了韩国游戏产业的快速发展。本文对韩国游戏产业过去的政策进行客观地评价,用政策学的观点分析评价韩国游戏产业政策运行,希望能给中国游戏产业政策的制定和执行以启示。(陈党,2016)以2000年以后网络游戏青少年保护政策为研究对象,重点运用文献研究法、案例研究等研究方法,展现不同时期政策的整体面貌特征、成绩与不足。总体来说,中国网络游戏政策对青少年的保护日益重视,尤其是新近以来的相关政策,其政策措施日趋灵活、务实。

## 3. 研究方法

定量分析研究法。以We Game平台为特定对象进行相关研究。阅读市场营销、线上渠道和游戏产业的相关文献并进行分析和归纳,总结出目前该领域的研究成果,为深入分析提供理论支撑。最终通过问卷调查方式,针对平台用户发放问卷;运用SPSS进行描述性统计分析发现问题,提供策略和建议。

## 4. 研究框架





图一 研究框架

## 5. 研究结果

通过频数分析将样本的基本信息进行统计分析，用百分比的形式描述样本特征。问卷实发 200 份，有效问卷 145 份。如下表所示：

### 5.1 样本基本信息

表 4.1 样本基本信息统计表

频数分析结果			
名称	选项	频数	百分比 (%)
性别	男	87	60
	女	58	40
年龄阶段	20岁及以下	27	18.62
	21-30岁	44	30.34
	31-40岁	31	21.38
	41-50岁	33	22.76
	51岁及以上	10	6.9
文化程度	高中及以下	13	9.0
	大专	51	35.2
	大学本科	71	49.0
	硕士	6	4.1
	博士及以上	4	2.8
职业	学生	28	19.3
	企业职工	45	31.0
	自由职业	9	6.2
	传媒工作者	11	7.6
	个体工作者	13	9.0
	教育工作者	8	5.5
	艺术工作者	12	8.3
	游戏工作者	14	9.7
	其他	5	3.4
每月收入	2000元及以下	28	19.3
	2001-4000元	5	3.4
	4001-6000元	53	36.6
	6001-8000元	35	24.1
	8001-10000元	20	13.8
	10000元以上	4	2.8
偏爱的游戏产品类型	策略类	18	12.4
	动作类	12	8.3
	格斗类	16	11.0
	模拟经营类	15	10.3
	棋牌类	10	6.9
	赛车类	14	9.7
	射击类	12	8.3
	体育类	10	6.9
	文字类	15	10.3
	益智类	9	6.2
	音乐类	14	9.7
总计		145	100

## 5.2 影响因素的描述性统计分析

通过用频数和百分比的形式描述样本特征。然后通过描述性统计分析法对调查问卷的主题进行分析。最终设计成图表来更直观的反应结果。如下表所示：

表 4.2 产品因素的描述性统计分析表

产品因素的描述性分析结果-基础指标						
名称	样本量	最小值	最大值	平均值	标准差	中位数
我喜欢高质量的大型单机游戏	145	1	5	3.691	1.199	4
我喜欢平台上出售的独立游戏	145	1	5	2.000	1.163	2
我能够参与到游戏产品的内容制作。	145	1	5	2.439	1.320	2

表 4.3 价格因素的描述性统计分析表

价格因素的描述性分析结果-基础指标						
名称	样本量	最小值	最大值	平均值	标准差	中位数
我能接受 0-100 的售价	145	1	5	3.870	1.130	4
我能接受 100-300 的售价	145	1	5	3.576	1.297	4
我能接受 300 以上的售价	145	1	5	2.338	1.197	2

表 4.4 渠道（线上渠道）因素的描述性统计分析表

渠道（线上渠道）因素的描述性统计分析结果-基础指标						
名称	样本量	最小值	最大值	平均值	标准差	中位数
我对用户界面的美观度较为满意	145	1	5	3.770	1.134	4
我对平台的检索便捷性较为满意	145	1	5	3.763	1.129	4
我能接受下载游戏产品的传输速度	145	1	5	3.763	1.221	4
我能接受平台更新游戏内容的速度	145	1	5	2.295	1.184	2

表 4.5 促销因素的描述性统计分析表

促销因素的描述性统计分析结果-基础指标						
名称	样本量	最小值	最大值	平均值	标准差	中位数
我不喜欢开放性的玩家群体社区	145	1	5	2.101	1.195	2
我喜欢通过直播平台了解游戏产品	145	1	5	3.813	1.148	4
用户的平台账号有等级的成长性	145	1	5	2.338	1.197	2
其他用户的评论透明度很高	145	1	5	3.662	1.179	4
我对平台的促销活动的方式感到满意	145	1	5	3.655	1.268	4

根据本文的实证分析结果显示,目前中国腾讯 We Game 平台的营销管理策略在产品、价格、渠道、促销四大方面存在一定的问题。

通过 SPSS 软件  $\alpha$  信度系数法分析得出,调查问卷的信度系数为 0.983,  $\alpha$  系数取值在 0 到 1 之间,  $\alpha$  系数越高,信度越高,问卷的内部一致性越好。问卷测验结果显示该份调查问卷拥有较高一致性和稳定性,控制和减少了随机误差。信度是用估计测量误差大小的尺度。

针对问卷的效度分析也通过 SPSS 软件分析得出, KMO 数值为 0.975; 然后提取因子后,看主因子解释总变异的百分比和个因子的因子载荷,主因子解释总变异达到 72.308%,各因子的因子载荷都大于 0.6。主因子解释总变异一般若大于 60%的和各因子的因子载荷大于 0.6 的话说明结构效度很好。

**产品。**中国游戏市场进入“大厂垄断时代”。在游戏分发平台中,可将游戏产品大致分成两类:单机游戏和网络游戏。We Game 平台是由 TGP 平台发展而来,在腾讯探究游戏产品线上渠道的早期,建立了 TGP 自营游戏分发平台,平台中的游戏产品以腾讯旗下自运营网络游戏为主。We Game 平台上拥有约 200 多款游戏产品,其单机游戏产品大多以独立工作室的小成本制作为主,其产品质量难以保证;缺少世界大厂制作的游戏产品,无法吸引单机游戏用户在平台持续消费。We Game 平台在更新单机游戏产品的内容(DLC)上速度较慢,无法做到与游戏生产商的同步更新;往往游戏厂商早已推出扩充包(DLC),平台却迟迟不推出扩充包(DLC)。目前大部分用户使用 We Game 平台主要是以使用网络游戏产品为主,使用单机游戏产品的则较少。We Game 平台无法满足用户对高质量游戏的需求,不仅仅是高质量的游戏产品数量少,更重要的是高质量的游戏产品售价高昂。

**价格。**大厂制作的游戏产品售价在 300 元以上,其制作的单机游戏产品售价高、质量高、成本高、需求大。但用户无法承受高昂的价格。而独立工作室的小成本制作其中也不乏制作精良,设计新颖的游戏产品,但大部分独立工作室缺少技术先进的制作团队和成熟的运营团队,在产品质量上难以与大厂相比,所以定价大部分在 0-100 元之间。大部分的单机游戏玩家使用 Steam 平台购买游戏产品。而同样的游戏产品在 We Game 平台上,售价则更便宜一些。但是 We Game 平台与 Steam 平台相比较,游戏产品的打折力度较低,打折的频率较少,打折的方式缺少新意。

**线上渠道。**在互联网时代发展起来之前,大部分的单机游戏都是以线下交易为主,依托的硬件设备也都是卡带,光盘。在互联网时代,电子商务的出现,使得单机游戏的交易方式以互联网数据传输的形式进行购买、下载和使用。相比卡带和光盘成本更低、易保存;在使用的过程中也减少了诸多繁琐的程序,做到一键购买、一键下载、一键使用、一键删除。在平台的设计上,并没有给予用户更好的购买引导;造成用户无法快速找到自己所喜欢的游戏产品类型。

**推广。**针对促销要建立包含宣传推广、广告、公关合作、优惠、产品体验活动等,为了促进产品销售的一整套方式。中国腾讯将 We Game 游戏分发平台与斗鱼 TV、虎牙 TV 等网络直播平台进行整合,利用游戏主播对平台所推出的新款游戏进行直播宣传。在 We Game 平台首页上对游戏主播和新游戏进行推送。用户对于信息获取的渠道并不是仅仅依赖哪一方面或哪一种形式,而是充分利用微信、邮件、网络直播平台、邮件、腾讯其他软件广告等方式针对用户进行全方位的推广策略。

## 6. 策略与建议

引入知名游戏商和具有知名 IP 的高质量游戏产品。针对外国产品在中国市场上存在文化和语言差异,We Game 平台可针对这些进口游戏在语言上进行简体中文的优化来形成竞争优势;对于一些可进行线上对战的单机游戏,玩家在进行线上对战时,网络优化问题非常影响用户的体验,因此拥有丰富运营经验的腾讯公司可在国内架设服务器让用户获得更好的网络体验。现今国内的一些独立工作室也逐渐能做出让用户耳目一新的游戏产品,平台可引入这些“小厂”的优秀游戏产品,并且采用“独占发售”策略,在一段时间内某款游戏产品只能在 We Game 平台上购买所得并使用。

平台还可以开设“创意交流区”,单机游戏产品与网络游戏产品最大的不同在于,网络游戏产品玩家无法参与到游戏产品的内容开发中;而大部分的单机游戏产品,厂商支持玩家参与其中,丰富的游戏补丁,玩家 DIY 自己的游戏世界,MOD 是英文单词 modification(意为修改)的缩写,它是游戏的一种修改或增强程序。有些热爱游戏的程序编写高手,会尝试进行修改游

戏中的部分资料设定，像人物的服装、外貌、声音、武器、工具、地图等等，甚至写出新的任务剧情，使修改后的游戏产生大幅的变化，提高了游戏性和耐玩度。平台通过设立“创意交流区”，让玩家在“社区”内相互交流和分享有趣的MOD，玩家在游戏中产生的需求，会由其他玩家开发的MOD补丁进行满足，这种双重互动更加提升了We Game平台上游戏的娱乐度。可以说，“创意交流区”极大地延长了游戏的寿命，也让玩家心中的许多想法得到了实验。增加用户对平台使用的依赖性

在价格上，相比Steam等平台定价稍低，在打折活动上利用节假日来设计折扣产品的类型和折扣活动的主题，在“双11”等特殊节日开启游戏产品促销狂欢节。当用户购买价格较高的大厂游戏产品时可赠送限时限类折扣券，折扣越大的折扣券出现的概率越低，同时公布获取的概率。

此外，对We Game平台设计卡牌系统，购买并使用游戏产品何以获得相对应的卡牌，合成卡片勋章能升级账户等级，虽然等级本身并不影响游戏平衡性，但是高等级的玩家能够接触到的玩家群体也不一样，由此形成We Game平台中间的阶层。于是，也不乏有玩家几千元地往里面投钱，更有甚者，会不停地买游戏，从最初的2000游戏到3000游戏，很多顶尖游戏收藏者都有5000-6000的游戏数量了。

在游戏产品推荐上，针对用户的浏览数据和购买数据，对用户进行游戏产品的精准推送。用户对于信息获取的渠道并不是仅仅依赖哪一方面或哪一种形式，而是充分利用微信、邮件、网络直播平台、邮件、腾讯其他软件广告等方式针对用户进行全方位的推广策略。

## 总结

随着科技发展，社会的进步；游戏产业诞生了并且以不可思议的增长速度在发展，作为游戏分发平台需要了解消费者的需求喜好来改变创新游戏产品的营销策略。平台所有的核心都在于激发玩家的参与欲望。不管是独占游戏，还是让用户对于任何一个产品和服务都可以“方便的交流”，不管是用户可以根据自己的需要重新DIY游戏补丁包，还是鼓励用户在它的阶级体系里不断用钱来支持爬坡。它在努力的让用户成为它的社区的一部分。在这里，用户创造内容，也消费内容，用户带朋友进来，他们也介绍用户认识更多朋友，但是用户无法带走内容，更无法带走用户新的朋友关系。这种很强的网络效应，也在强化用户的参与感。持续的绑定与开发玩家的消费，才能更好的占据游戏市场，继而长久发展。

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# 基于胜任力下的人力资源管理模式

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## 摘要

在当今高速发展的时代，科技和经济都得到了迅速的发展。所以，要提高公司竞争力，对于团队内部的每一个成员，都应该要提高其技术能力与专业能力。而且现在很多的企业对员工的素质要求也渐渐增加很多。在所有关于人力资源的研究中，最重要的是以胜任力为主题的人力资源管理，本文从人力资源管理的模式中选取绩效管理和工资要求等不同观点进行分析。主要对以胜任力为基础的人力资源管理模式进行了研究和应用分析。

从上世纪开始，美国著名的心理学家麦克利兰就提出了“胜任力”的理论。为人力资源管理模式提供了全新的视角。而且从此以后，人力资源的管理模式的主要构成因素，变更为基于胜任力的人力资源规划、基于胜任力的绩效管理，以及基于胜任力的人力资源培训与开发三种。所以在此后，人力资源的管理，也慢慢转变成为以实力为基础的人力资源管理模式。所以，对于胜任力的研究，是能够促进我国对于人力资源管理模式进行研究的基础。而且长期以来，大多数企业的人力资源管理部门中的人力资源管理模式。主要是建立在对员工的工作分析基础之上的。此工作性质的出发点，属于人力资源对工作岗位的被动适应而不是主动适应。长此以往，人力资源的固有模式逐渐显现出局限性。所以，建造全新的人力资源管理模式迫在眉睫。

**关键词：**胜任力；人力资源管理；模式研究

## 1.企业中人力资源的重要性

### 1.1 人力资源管理的重要性

人力资源管理，是在经济学与人本思想指导下，通过招聘、甄选、培训、报酬等管理形式对组织内外相关人力资源进行有效运用，满足组织当前及未来发展的需要，保证组织目标实现与成员发展的最大化。就是预测组织人力资源需求并作出人力需求计划、招聘选择人员并进行有效组织、考核绩效支付报酬并进行有效激励、结合组织与个人需要进行有效开发以便实现最优组织绩效的全过程。学术界一般把人力资源管理分为人力资源规划、招聘与配置、培训与开发、绩效管理、薪酬福利管理、劳动关系管理等模块。对于人力资源管理的重要性，美国经济学家、人力资本理论之父舒尔茨认为：国际竞争的关键，是人力的竞争，即劳动者技能、智能、科学知识、管理水平、信息量的竞争。而钢铁大王卡内基也曾表示：“你们可以搬走我的厂房和机器设备，但只要把人员给我留下，几年后我仍然是钢铁大王。”由此可见人力资源管理的重要性。

### 1.2 人力资源部在企业中的重要性

不同的企业发展阶段人力资源的角色和作用是不同的：企业发展初期：人力资源往往就是处理基础事务，基本上可以说是作为配角出现的，工作自然就是一些基础性的辅助工作；企业发展成熟期：人力往往就是伙伴关系，更多的是双方之间的协同，人力的工作开始模块化，提供专业化的人力建议与措施；不同的企业类型，人力资源的角色和作用也就不同：民企：更多是基础工作，基本上是配角，这里说的是一般规模的民企；国企：基本以劳资维护为基础，基

本算是后端部门；外企：比较全面的人力工作，更偏重人力的预防性措施与伙伴关系的建立。总的来说，人力资源的作用发挥需要环境、自身能力、资源等很多条件的制约，是非常重要的部门；通常说的三驾马车，人力是其中之一。

### 1.3 人力资源管理在企业中的作用

一是作为人事管理，这也是当下大多数公司人事部、人力资源部的角色定位，基本就是基础性的选用育留职能、以及各类档案、社保、个税之类的流程性事务；二是战略伙伴，勉强可以上升到“人力资源管理”的层面，在传统人事管理职能的基础上，各模块职能清晰且有逻辑关联，相关的规章制度、流程规范都很明确，企业经营中也能够从人力资源的角度对各业务部门起到支持和影响，比如现在很流行的 HR-BP 模式；三是变革推动，真正战略性的人力资源管理，能够对公司的创新变革、组织发展起到关键作用。目前中国的企业里，无论民企国企外企，真正做到这个程度的，屈指可数。需要补充的是，三者并不是独立的，而是逻辑递进的关系，人事管理是基础，在此之上才能谈角色与定位的发展与转变。而理论上讲是一个相当漫长的过程，实际上来看比理论上更漫长。再换句话说，如果连基本的岗位职责描述与胜任力体系都没有，大谈所谓的人才开发与培养，那就是耍流氓。

## 2. 胜任力

胜任力，通常也就是我们在招聘信息中所对应的任职资格，是通过对某一岗位通过工作分析从而提炼出来的。一般包含个人特质，专业技能，经历背景等方面。也可以包含比较不易测量到的，比如三观，行为动机，性格等。也有容易测量量化的，如经历背景，专业技能等。有一个基于“胜任力”的冰山模型，就是有关部门通过对测试者进行观察，但此类观察，往往只能了解到表面浅显的一部分，如学历，技能工具熟练程度等，深层次的东西很难或者在短期内难以观察测试出来，比如行为动机，价值观等。

### 2.1 胜任力的基本概念

胜任力，是一种个体特征，主要用于区别某一工作领域卓越成就者和普通者，它既可以指个体自我形象、态度和价值观，又可代表个体某领域知识、认知、行为技能等特征。对于一个企业来说，可借助胜任力准确衡量领导者胜任力方面存在的不足和需改进之处，也可用于人员选拔、人员培训、薪酬管理上。胜任力这一理论，主要讲求的就是对于团体在进行成员选择时所进行的几种测试。包括传统的智商测试，性取向测试以及在校成绩和所取得的专业等级的。此类的选择方法，无法判定员工在社会工作中的能力，所以就会有不公平的现象产生。而胜任力本身，将实际的结果综合起来，来进行人力资源的管理和审核。对于胜任力的研究，主要集中在胜任力的界定、胜任力的分类和胜任力模型三个方面其中，大多数的人认为，胜任力是能够直接影响到员工的工作业绩和工作行为的。比如说，包括员工的个性，价值观以及工作态度，自我形象等。胜任力的模型，就是人力资源管理，用实践和研究出来的逻辑为基础而建立的。所以说，胜任力模型，能够被称为人力资源管理与企业管理的桥梁和纽带。其中，胜任力的显现程度也是不同的，根据其显现程度不同，可以将胜任力分为外显生产力和内隐胜任力两种。其中，外显胜任力，包括所具备的知识和专业能力，是属于能够被后天感知和后天培养的能力，也是一种企业对员工的基本要求。所以，外显胜任力的另一个名称就是基准性胜任力。内隐胜任力主要是区别于外显胜任力中可以被看到的一些能力。比如说自我价值观，工作态度以及工作个性，工作动机等。此部分的能力是不容易被看见和培养的，主要是性格因素。因此，内隐胜任力里的另一个名称就叫做鉴别性胜任力。而胜任力结构，主要是对于否能够完成企业具体工作所需要具备的知识，能力和特征相结合的组合。也主要是为了能够鉴别员工的绩效是否有益，员工是否具有适应其岗位的专业能力。

胜任力，是一种个体特征，主要用于区别某一工作领域卓越成就者和普通者，它既可以指

个体自我形象、态度和价值观，又可代表个体某领域知识、认知、行为技能等特征。对于一个企业来说，可借助胜任力准确衡量领导者胜任力方面存在的不足和需改进之处，也可用于人员选拔、人员培训、薪酬管理上。

## 2.2 胜任力的特点

简单来说，胜任力并没有一种完全固定的定义，但是实际内容都相差不大。简单来讲，可以将胜任力的特点概括为：专业知识、自我意识两个特点。所谓胜任力的等级，具体说的话，第一，专业知识。这部分主要是代表的一个人在某一天所具有的作用。专业技巧是指，每个人能够做事情的能力。社会定义，主要是指每个人说在工作面前展现的不同现象，主要是代表这对于自身身份和地位的定义。此特点主要包括，一个人的外貌特征以及行为方式等。胜任力的社会定义，主要是表现为，一些外在的行为特点和工作态度，价值观等等。

## 2.3 关于胜任力模型的建构

人才是企业战略目标实现的驱动性因素，是企业价值创造的主导因素，但是，前提是，人才所具备的知识、技能、能力、个性特点、心智模式等等与企业的战略目标先协同相匹配，才具备战略价值，否则，则一文不值，因此，每个企业所需要的人才是不一样的，每个企业对人才的定义也是不同的。如何界定人才，是人才甄选、培养、淘汰等机制的逻辑起点。人才界定，实际上就是人才画像，根据企业战略目标实现的需要，界定人才所需具备的知识、技能、能力、个性特点、心智模式等等，并具体到每个岗位，换句话说，就是为每个岗位构建胜任力模型。胜任力模型的构建，涉及公司各个层面（战略、运营、执行等）、各个职能模块，覆盖全价值链，是一项系统而深入的工作，一般作为专项工作开展，有专门的团队来完成，具体可以按照以下步骤进行：发起项目建议--组建工作团队--制定项目计划--启动项目--资料收集与分析--选择建模岗位等。

企业初次建立岗位胜任力模型后，应该形成自己独有的胜任力词典，并根据企业的实际情况，建立相应的管理制度和流程，确保胜任力模型得到持续不断的更新，更重要的是有效的运用，指导相关模块的工作，包括培训、招聘、储备人才甄选、绩效设计、员工晋升、任职资格体系等。同时应该定期检查评估胜任力模型的运用效果并及时更新。胜任力模型是人才管理的逻辑起点，也是战略执行的关键支撑，能有建立有针对性的、高战略协同性的胜任力模型，决定了人才管理的价值。

# 3.基于胜任力的人力资源管理模式的构建

以胜任力为基础的人力资源管理模式，是以胜任力模型为主导，并且将其模型贯穿于整个人力规划过程和人力资源的获取与配置整个流程中的。此过程中，胜任力的模型，是人力资源管理模式中的纽带，并且以模型的不断完善推动整个人力资源管理模式的发展。而且，在人力资源管理模式中，胜任力是其管理模式的起点和核心。而且，依靠胜任力模型的人力资源管理模式，是由基于胜任力的人力资源管理，实践和人事管理中的胜任力三大部分组成的，就是要通过胜任力的开发和管理，实现整个人力资源管理的目标。

## 3.1 基于胜任力的人力资源规划

基于胜任力的人力资源规划，主要指的就是以胜任力模式为基础。让人力资源部门对当前企业内部的员工智力状况进行了解。并且，对于具有不同胜任力的员工，进行妥善的安排，以及未来工作的战略性安排。其中，基于胜任力的人力资源规划，包括对于人力类资源数量的规划、质量的规划以及结构的规划三种。其中对于人力资源数量的规划，主要是指对于企业内部，未来一段时间内，部门内部各个层次的人力资源数量分配和规划。其中，如果想要做好其数量分配，就必须要先了解每个职位所在的员工生产力水平多少。然后根据人力资源规划的总体目标，来对不同岗位，不同胜任力水平的人员进行划分。第二，人力资源的质量规划，主要是企



业对于内部员工实力发展水平的一个期望。对于实力的差距，可以通过职位招聘，岗位轮换和定期培训等方式进行。第三，人力资源的结构规划，主要是有企业内部对自身未来规划和发展战略和岗位胜任力模型的要求，以此为基础对员工进行分类和管理。让胜任力高的员工管理比较高职位的部门。然后让胜任力的员工，管理比较次等级的其他部门。依据胜任力水平的不同层次来确定好人力资源分配的比例。对大多数企业而言，人力资源规划一般做年度规划，同时也做整年度的人力资源需求、供给预测。为整年度招聘预算，招聘计划制定提供依据。也可以提早进行人才储备，提早对目标人才进行筛选锁定，节约从需求到招聘实施的反馈时间，提高招聘时效性。还可以从人才供求关系上分析特定人才的市场行情，进行薪酬方面的策略调整，提高公司吸引力，提升招聘到岗效率。更可以盘点往期招聘渠道效率，并且根据今年规划的重点岗位来优化招聘渠道。

### 3.2 基于胜任力的人力资源获取配置

基于胜任力的人力资源获取配置，主要是根据企业内部的发展要求所制定的。所代表的就是通过各种渠道，挖掘对企业有价值的员工，并将其分配到能够发挥价值的岗位中的过程。而且，基于胜任力的人力资源获取和配置，主要是将胜任力模型作为标准来对员工进行职位匹配的。其中，在人力资源的获取与配置过程中，起评价作用的就是胜任力模型，具体应用表现在对人员进行招聘时，将被招聘员工的胜任力水平与岗位所需要的胜任力模型进行比较，如果发现匹配一致，就予以录用，如果有所欠缺，就不予考虑。

### 3.3 基于胜任力的绩效管理

企业中的绩效管理，不仅是对以往所产生出的绩效进行考核。还包括覆盖绩效产生的全部过程。包括对于绩效目标的设定，绩效完成的辅导以及沟通反馈这一系列的工作。而且，基于胜任力的绩效管理，就是要通过将员工的个人目标与企业目标相互结合，开发员工的胜任力和绩效能力。其中，目标设定，就是要在制定绩效目标时，将实际的发展目标和财务市场指标共同作为目标来进行管理。绩效辅导，主要是通过记录绩效，对表现比较好的员工，进行有效宣传，并对胜任力比较差的员工进行针对性的帮助和辅导，而且，主管应该把员工的胜任力发展作为主要影响绩效的因素来考虑，并且参照胜任力模型，来对员工的工作行为和工作态度进行观察和记录。如果员工在工作过程中，展现出来的胜任力水平不足，就要进行及时的调整。

### 3.4 基于胜任力的薪酬管理

根据员工的胜任力来进行薪酬管理。主要五个方面的作用：第一，有利于形成企业核心，并且，能够通过鼓励员工来提升员工的专业能力和工作素养。第二，有利于鼓励员工的纵向发展，督促员工通过专业水平的提高，获得更高的报酬。第三，有利于提高员工的综合素质，增强责任感。而且，还会提高员工对于企业的忠诚度。第四，有利于吸引和保留高素质的人才。第五，更能够使企业的发展具有战略性。但是，基于胜任力的薪酬管理也存在一些缺点，比如说成本比较高，因为从总体上来看，基于胜任力的人力资源管理模式的最大优势，在于能够适应企业的动态发展要求。所以说，企业可以根据自己自身的结构和发展需求，对胜任力的薪酬管理模式，进行重新安排和灵活的调整。

## 4. 基于胜任力的人力资源管理模式的应用

### 4.1 工作分析

人力资源的工作，基本主要就是进行工作分析。现在所提倡的人力资源管理模式，是建立在胜任力的基础上的。所以在进行分析的过程中，是由工作研究人员，对于工作上表现比较优异的人进行锁定。而表现优异的人的主要特点，就是在工作中具有责任心、具有使命感。而且工作态度比较认真，依据这些特点来规定此职位所需要的胜任力。另外，此职位的胜任力特点，也要满足于未来的发展需求。让员工与企业、职位三者达到一个合理的地步。三者的合理搭配，

才能够对企业的未来发展提供有力的帮助。从专业角度讲，无论是一个人还是两个人，都要做工作分析乃至胜任力模型，当然，很多中小企业根本做不到也没做，因为需要据此测算工作量，能力要求等，然后据此配置和培训员工，比如到底给 A 分配哪些工作，给 B 分配哪些工作，既要考虑工作任务及其要求，也要考虑员工的能力特长和工作经验，以争取高效率的工作执行。同时，如果员工暂时能力不满足工作要求，还要在潜力分析的基础上进行相关培训。即使不进行规范的工作分析，也要按相同的思路做一下比较粗糙的分析，目的如前所述。总的来说，工作分析可以帮助企业识别人员需求，优化岗位和人员编制，判断是岗位内部调整还是需要人才外部招聘。工作分析也可以帮助企业（管理者和 HR）更准确理解各岗位工作职责及任职资格，提高招聘需求发布的准确性根据工作分析出的职责要求、胜任力素质等设计甄选工具，提高甄选的准确性。

#### 4.2 选择员工

利用工作分析的结果作为基础条件，然后根据员工的胜任力水平的大小来进行选择。利用胜任力的大小，来进行选择员工的优点，是在于具有外显胜任力的员工，具有一定的专业知识和较强的工作能力，可塑性会比较强。具有内隐胜任力的员工，虽然专业知识可能不太过关，但是相关的素质会比较高。拥有此类胜任力的前提是，每位员工都应该具有。团队精神和信念感，才可以在工作中投入激情和责任心，能够保持长久的奋斗精神和使命感。将团队价值观与发展观，融入到个人的生活中。以此作为基础企业，才能够形成良好的风气，让企业团队变得更加优秀。

#### 4.3 成员培训

企业内部的员工培训，也是要以胜任力为基础的。除了要培养员工在指定岗位上的工作能力之外，更要加强员工自己获得高绩效的能力，和适应环境的能力。对员工胜任力的培训并不是一朝一夕可以完成的，作为企业来讲，必须要严格制定培训的内容和设计方案，以及对于培训的反馈。并且，对于企业的员工要定期定量的进行培训，每次培训的内容都要有所不同，根据每个阶段企业发展的需求进行培训的内容制定。并且，每个职位的培训内容也要有所不同。因为职位，行业，文化等多种不同的环境，所需要的胜任力也不同。所以，国有企业中，如果职位高低不相同，也要根据实际的情况制定出不同的培训内容。而且，在培训时，一定要注重具有针对性。培训出更具有胜任力的岗位员工。与此同时，由于胜任力对于人的性格特点，工作能力和价值观等也有一定的要求。所以在对员工进行培训时，应该对于职工的价值观和工作态度进行一些引导。以规避员工在进行新人培训之后，出现跳槽的风险。另外，对于员工价值观和工作能力的培训，能够提高团队价值观和培养团队凝聚力。由此可得出，基于胜任力的培训模式和简单的早会培训，也是存在着非常大的不同的。因为基于胜任力的培训模式，不只是对于相关的专业知识和专业能力进行培训，也要培养员工对于企业的团队认知，和提高员工个人的综合素养。基于此，对于员工胜任力的培训，能够从整体上提高员工的工作能力，也能够为增加团队凝聚力提供帮助。

#### 4.4 工资管理

工作的目的就是能够获取工资。所以，对于一个企业是否能够留住员工来说，工资的高低和是否合理性，也是能够起到关键性影响的。如果员工的工资过高，会造成企业的负担，但是工资如果过低，会造成员工的流失。所以，工资的合理安排是非常重要的。现阶段，传统的工资安排，并不会体现过程。但是，基于胜任力的工资，是能够代表员工的工作能力和高绩效能力的。因为基于胜任力的薪酬管理标准，不仅包含工作能力的工资，还含有技巧性的工资。也就是说，胜任力的高低也与工资是挂钩的。所以，以胜任力为基础的工资发放标准，对于促进员工的综合发展和企业凝聚力有着非常大的关系。

#### 4.5 人力资源的数据分析

人力资源数据是对于公司的人员结构做数据分析，是人力资源分析中最基础的一部分。因为公司的人员结构属于静态的数据，不包含很多的计算。所以在进行分析的时候，就是做静态数据的分析。在一般的交叉结构中主要是分析思路是：第一，分析整体的大的数据，第二，交叉进行分析，以城市做为维度，分析每个城市每个店的人数。第三，以每个店为维度分析，没类店中每个城市的人数。对于调查数据的分析，可以使用数量堆积图或者是成分堆积图来进行分析，再堆积图上可以选择条形或者是面积。而为了能更好地进行横向数据对比，所以更合理的选择是，运用面积成分度堆积图来进行呈现。

## 5.未来人力资源管理发展的愿景

技术的进步和组织的变化，让经济时代下的每一个人都面临时代的挑战。未来大量可量化、可衡量、可程序化的工作都会被机器智能取代。将取代人胜任更多工作，不管是个体还是组织，唯有从胜任力转向创造力才能在未来世界生存。

### 5.1 人力资源的价值在于激发员工的创造力

面向未来，一个重要的变化就是人力资源匹配战略的效果将会改变。今天，战略最大的特征是不迭代。以前，定战略的周期都是三年、五年、十年，现在变化太快了，周期变短了。所以任正非才说：方向大致正确，关键在于执行效率。这么说就是因为战略的迭代速度非常快。如果战略是快速的迭代，执行是关键的话，企业发展的核心就应该是如何让人力资源的效率与战略的效率匹配得更好，关键在于怎样保证员工从胜任力转向创造力。未来企业对员工的要求不是能否胜任，而是创造力够不够。接下来，最有可能出现的情景就是只要是可量化、可衡量、可程序化的工作都会被机器智能取代。在很多企业中，能够看到产线工人已经开始减少，唯一不可取代的就是创造力。所以员工一定要从胜任力转向创造力。而随着现在技术和教育力量的出现，很多人其实是可以胜任的。在胜任中，最大的挑战不在于技能，有可能在于心性。回到人力资源的话题，今天人力资源即将面临很大的挑战。第一个挑战就是传统的人力资源会被调整。寻常 HR 通常要做的那些工作有可能都没有了，比如招聘。将来一定会用大数据招聘，让一个学生从读书到毕业，直接通过数据对接到企业需要的岗位上。现在只是缺少中间环节，这个环节怎么做，很多企业也在讨论，但未来一定可以实现。所以，传统的招聘不需要了，传统的考核方式肯定要调整。人力资源真正的价值会在什么地方释放，其实就是能否让员工拥有持续的创造力。知识社会，企业最重要的价值源于创造力。企业持续的创造力依赖于员工的创造力。

### 5.2 价值型组织要打造四个能力

企业一定要有非常明确的精神力量，就是核心价值观的差距。比如 IBM 和 Google, Google 和亚马逊，亚马逊和华为，或者华为和苹果。在技术上寻找差异很难，企业之间最大的差异是价值观追求，这是核心差距。也是企业未来很强大的力量。洞察力，就是对未来变化的预测和感知。就像上海，上海以张江为地点，建立了一个全球创新科技城。中国在这之前 40 年，都是园区概念，不是城区概念，现在上海率先在全国设立创新科技城，按城市来做。上海这个动作就有战略洞察力，因为按照一个城市打造会有一些优势，比如优秀的人会集合在这里，因为含有城市生活。然后会按产业研发概念做，会有很大的风投进来。此就是洞察力，就是对未来的预判。计划控制力能长期保证企业目标实现。在战略实施阶段，需要强有力的管理体系保障企业经营发展目标的实现。良好的计划控制力体现在：可以在企业的范围内有效地将战略目标进行分解和传导，并层层落实到各级经营主体；严格按计划、预算体系执行经营活动，能够迅速发现经营偏差，并及时对各层次业务行为进行纠正。人力资源与组织的差距是真正的差距。按照一个价值型企业看，企业到最后最真实的差距是人的差距。一家企业的人力资源跟另外一家企业拥有的人力资源差距，是最真实的差距，而且这是真正的差距。

一定要让成员相信所有的东西都是真实的。激发所有员工的创造力，先要无为。如果企业和人力资源管理部门没有能力做这件事，员工是不可能创造力的。作为企业管理者，常常评价界定员工的创造，最后员工创造了什么，企业并不关心，企业只是按照标准让员工做，有些领导常常是这样的。如果是这样，企业并不可能形成真正的创造力。

## 6.结束语

综上所述，在企业人力资源管理工作开展过程中以个体胜任力为主实施人力资源管理计划是可行的，能够让人力资源管理变得更为科学。但是，在基于胜任力视角下，人力资源管理部门应注重搭建一个岗位胜任力模型，借助岗位胜任力模型完成岗位胜任力评价和岗位胜任力绩效评估、培训工作，最终为企业培养出综合素质较高的技术人才和管理人才，服务于企业发展，增强企业竞争力；胜任力水平的高低，是随环境的不同和职位的不同相呼应的。所以，就需要企业在进行胜任力评价时，首先要根据自身企业的条件和状况，制定符合本公司的胜任力模型和标准，才能更好的选择适合本企业的员工。并且，随着企业的不断发展和经济大环境的改变而转换，本企业的胜任力模型也要进行适当的改变，以适应企业的快速发展。

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# 父母奖励对学前儿童社交技巧的影响

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## 摘要

本研究的目的是验证影响学前儿童社交技巧是否受父母奖励影响。本研究采用问卷调查法,通过使用《父母奖励量表》和《社交技巧评估量表》收集北京六所示范幼儿园学前儿童,采用立意抽样方法最终得到 397 份有效问卷,再通过分析得出以下研究结果:

1.女生的父母行为奖励的得分显著高于男生的父母行为奖励得分。2.随着儿童年级的增长,父母越多地采用态度奖励。3.父母的文化程度越高,越倾向采用态度奖励。4.随着年级的增长,儿童与教师的社交技巧得分越高。5.父母受教育程度的提高,儿童与教师的社交技巧得分越高。6.父母文化程度越高,儿童与同侪的社交技巧得分越高。7.父母奖励对儿童与教师社交技巧和与同侪社交技巧均存在正向预测作用,其中父母态度奖励对儿童与教师社交技巧的解释率为 34.8%。父母态度奖励对儿童与同侪社交技巧的解释率为 37.4%。

**关键词:** 父母奖励; 态度; 行为; 学前儿童; 社交技巧

## 1.研究背景

父母受教育程度影响着孩子未来的发展;同时父母教养方式在儿童年龄层面上具有一致性,不会随年龄的变化而变化(潘文雅,2017)。而针对儿童的性别而言也存在相同观点,有的学者认为性别会影响父母对孩子的教养方式,而园彬(1993)、王耘(1999)等认为父母教养方式不会因儿童性别不同而出现差异。父母奖励作为父母教养方式中最为常见的一种积极的方式(杨国枢,1985),所以说父母奖励同样受多方面因素影响。

父母的奖励状况可以对儿童的情绪控制、智力发展以及社交技巧等多方面都存在影响。在正常发展理论中,研究者普遍表明社交活动对儿童的社会认知、社会能力及人格发展有着重要意义(于增艳、刘爱书、张修竹,2006)因此培养社交技巧、防止社交退缩成为了近年来研究者的关注热点。结合上述研究背景,根据父母奖励能塑造儿童社交技巧的观点,再根据《社交技巧量表》中所提到的在校社交行为技巧进行研究,其构面有对老师和对同侪的社交技巧(Gresham & Elliott,1990)。

基于此本研究旨在 1.探讨父母奖励在儿童年级、性别以及父母受教育程度的差异情况。2.探讨父母奖励对学前儿童社交技巧的影响。

## 2.文献综述

### 2.1 父母奖励的文献探讨

根据梁仲明、程亚冰,聂妮,刘玉新,流萤, Costanzo & Fraenkel 等研究者的研究内容,本研究将父母奖励定义为:父母奖励是通过强化物对儿童进行刺激从而规范合规行为、塑造优秀品行以及挖掘潜在能力的一种行为。

本研究综合行为论、强化理论和人格发展理论的观点将父母奖励态度总结为,父母态度是指父母在通过强化(正强化和负强化)的方式进行培养或塑造儿童健全人格,所持有一种认知、信念、情感和价值观以及实际做法的立场;父母奖励行为是指通过强化的方式经行培养或塑造儿童健全人格的运用的强化物。

父母奖励作为父母教养方式中最为常见的一种积极的方式,李廷玉 (2013) 在塑造儿童良好行为的基本原理及应用中提出,父母需要养成奖励具体良好行为的习惯,除了社会奖励之外如拥抱、微笑、鼓掌以外,还可以做出如冰淇淋、玩具车和洋娃娃等物质奖励及如一起做游戏和请孩子的朋友到家里玩等活动奖励,但对大多数儿童,社会奖励更有效,而且更便于父母使用。

潘文雅 (2017) 在“80”后父母教养方式与幼儿心理健康的状况及关系研究的结论表明,父母会因孩子性别、年级以及自身受教育程度的不同而表现出不同的教养方式。我们在结合杨国枢 (1985) 提出的观点得出结论,父母会因子女不同性别、年级以及自己受教育程度而表现出不同的奖励方式。

本研究结合潘文雅 (2017) 和杨国枢 (1985) 的研究结论,父母会因子女不同性别、年级以及自己受教育程度而表现出不同的奖励方式。据此,提出研究假设 1。

假设 1-1: 学前儿童性别不同,家长奖励存在明显差异。

假设 1-2: 学前儿童年级不同,家长奖励存在明显差异。

假设 1-3: 父母受教育程度不同,其奖励存在明显差异。

## 2.2 学前儿童社交技巧的文献探讨

基于刘秀珍、许家成、徐胜,洪俐瑜,潘恩赐, Bulter & Gillis, Chen & French 上述内容,本研究将学前儿童社交技巧定义为学前儿童为争取被他人接受或欢迎在社会事件中养成的解决社会问题的行为习惯。

综上所述,结合需求理论社交需求、多元智能理论、社会交换理论基础的探讨、社交技巧的定义和以 Social Skills Rating System(SSRS, Gresham & Elliott, 1990)为基础,推行建置。其构面包括与老师、与同侪的《社交技巧量表》,本研究将学前儿童社交技巧总结为:学前儿童通过言行等成本为了满足其社交需求时与老师、与同侪建立关系,且更易被人欢迎或接受的,同时还能在关系中获得预期结果的行为。

同伴关系、师生关系的相互关系,叶子和庞丽娟 (1999) 研究提出儿童的师生关系具有领导与被领导,教育与被教育的性质,所以具有不稳定性和多变性,可能比较积极也可能比较紧张;同伴关系则更多表现出的是平等性因此儿童则更容易并且更乐意接受这种关系。

王珏今 (2014) 其研究表明在社交过程中每个人都有不同的社交的技巧,水平较高的人在社交往来中常感觉愉快,并更多获取成功;反之,经常体验失败或不愉快的人,他们的社交技巧的水平往往比较低。研究表明社交技巧越高的人在社会互动关系中获得越多的预期结果。

行为主义理论强调奖励在儿童行为与结果之间条件性关系中发挥作用,奖励被儿童视为正向强化刺激物,它通过强化刺激儿童行为与积极行为结果之间的联系强度,加大儿童积极行为在未来发生的可能性 (Cameron,2002),这种积极行为包括培养良好社交技巧的行为。

研究发现父母奖励增加会有助于儿童发生合作、分享和助人等积极的亲社会行为(Grusec, 1982),然而,在父母的奖励不再出现的情况下,会对儿童的亲社会行为产生负影响。在有关母亲使用奖励的研究中发现,使用奖励反而减缓了发生儿童自由选择亲社会行为的可能性 (Fabes *et.al.*, 1989)。据此,本研究提出假设 2、假设 3。

假设 2: 父母奖励态度对学前儿童社交技巧有正向影响。

假设 3: 父母奖励行为对学前儿童社交技巧有正向影响。

## 3.研究方法

### 3.1 研究对象

本研究采用立意抽样法,依据北京市教育委员会认定的第十一批北京示范幼儿园 ([http://jw.beijing.gov.cn/xxgk/zxxxgk/201805/t20180522\\_49145.html](http://jw.beijing.gov.cn/xxgk/zxxxgk/201805/t20180522_49145.html))的 6 所幼儿园,分别是北京地区商务部幼儿园、北京市西城区西四北幼儿园、国家机关事务管理局花园村幼儿园广源分园、中国科学院第一幼儿园、北京市房山区琉璃河镇中心幼儿园、北京市第四幼儿园长阳分园。

考虑研究时限、人力和经费，为了争取时效 (林生传，2002)，可以采取立意抽样进行选取研究对象。本研究结合上述内容利用立意抽样法选取六所幼儿园中大中小班的家长和学前儿童作为研究对象。

### 3.2 研究方法及工具

#### 3.2.1 研究方法

本研究主要采用问卷调查法，对学前儿童家长及儿童进行父母奖励和儿童在家及在校社交技巧的测量。通过对家长进行问卷调查，以了解家长的奖励状况和学生的基本信息，通过对教师进行问卷调查，以了解学前儿童在校期间与老师和与同侪之间的社交技巧。

#### 3.2.2 研究工具

有关《Parental Attitudes About Rewarding Scale》,在原文献内该量表 Cronbach Alpha 值为 0.85 (Fabes, *et. al.*, 1989)，具有良好信度可供使用。详见附件 1，其重点如下：量表分为两部分：表(1)父母奖励态度、表(2)父母奖励行为

《儿童社交技巧评估量表》，是在《社交能力和行为评估量表》(SCBE)中选取解释社交技巧的分量表进行测量，其中：第 1 至第 6 为学前儿童与同侪社交技巧的题项。第 7 至第 10 为学前儿童与教师社交技巧的题项。

## 4. 研究结果

### 4.1 父母奖励现况分析

本研究正式问卷回收 480 份问卷，剔除无效问卷 83 份，获得有效问卷共 397 份，有效回收率为 82.7%。具体统计分布如表 4-1。

表 4-1 正式样本统计表 (N=397)

	类型	人数 (人)	百分比
性别	男	159	40.1
	女	238	59.9
年级	小班	191	48.1
	中班	105	26.4
	大班	101	25.4
	初中	48	12.1
	高中	178	44.8
	大学	118	29.7
父母受教育程度	研究生	53	13.1
	父亲	181	45.6
父母填答	母亲	216	54.4

采用 Mplus7.4 对《父母奖励态度量表》进行验证性因素分析，见表 4-2。量表整体模型的拟合指数判断标准有：拟合优度指数  $GFI \geq 0.850$ 、模型拟合指数  $GFI=0.952$ ；调整拟合优度指数  $AGFI \geq 0.800$ 、模型拟合指数  $AGFI=0.934$ ；规范拟合指数  $NFI=0.943$ 、非规范拟合指数  $TLI (NNFI)=0.937$ 、增值拟合指数  $IFI=0.952$ 、比较拟合指数  $CFI=0.947$ ，这些数值范围在 0 至 1 间，越接近 1 表示拟合越好，当数值  $\geq 0.900$  时表示适配度较好；近似误差均方根  $RMSEA=0.040$ ，低于 0.050 表示模型可以接受 (Hu & Bentler, 1999; 温忠麟等人, 2004; 秦浩、陈景武, 2006)。拟合指数中， $\chi^2/df=3.362$ ，该值一般标准为小于 5，考虑该值易受样本容量大小的影响，当样本量较大时， $\chi^2/df$  值容易拒绝模型，可参考其他拟合指标来对模型进行评定 (侯杰泰、温忠麟、成子娟, 2004)。

由表 4-2 可知，整体模型的适配度指标均达模型可接受的标准，即《父母奖励态度量表》的结



构效度良好。

表 4-2 父母奖励态度量表模型拟合指数表 (N=397)

$\chi^2/df$	RMSEA	GFI	AGFI	NFI	TLI	IFI	CFI
3.362	0.040	0.952	0.934	0.943	0.937	0.952	0.947

采用 Mplus7.4 对《社交技巧量表》进行验证性因素分析，整体模型的适配度见表 4-3。量表整体模型的拟合指数判断标准有：拟合优度指数  $GFI \geq 0.850$ 、模型拟合指数  $GFI=0.974$ ；调整拟合优度指数  $AGFI \geq 0.800$ 、模型拟合指数  $AGFI=0.955$ ；规范拟合指数  $NFI=0.961$ 、非规范拟合指数  $TLI(NNFI)=0.952$ 、增值拟合指数  $IFI=0.974$ 、比较拟合指数  $CFI=0.963$ ，这些数值范围在 0 至 1 间，越接近 1 表示拟合越好，当数值  $\geq 0.900$  时表示适配度较好；近似误差均方根  $RMSEA=0.032$ ，低于 0.050 表示模型可以接受 (Hu & Bentler, 1999; 温忠麟等人, 2004; 秦浩、陈景武, 2006)。拟合指数中， $\chi^2/df=2.534$ ，该值一般标准为小于 5。

由表 4-3 可知，整体模型的适配度指标均达模型可接受的标准，即《社交技巧量表》的结构效度良好。

表 4-3 社交技巧量表模型拟合指数表 (N=397)

$\chi^2/df$	RMSEA	GFI	AGFI	NFI	TLI	IFI	CFI
2.534	0.032	0.974	0.955	0.961	0.952	0.974	0.963

#### 4.1.1 父母奖励和儿童社交技巧的差异分析

通过表 4-4 分析结果显示：以独立样本 T 检定检验父母行为奖励在性别上存在显著差异。以单因素方差分析检验父母行为奖励在年级上不存在显著差异。以单因素方差分析检验父母行为奖励在父母文化程度上不存在显著差异。以独立样本 T 检定检验父母态度奖励在性别上存在显著差异。父母态度奖励在不同年级上存在显著差异。父母态度奖励在不同文化程度上存在显著差异。

表 4-4 分析结果显示：以独立样本 T 检定检验儿童与教师社交技巧在儿童性别上的不存在显著差异。以单因素方差分析检验儿童与教师社交技巧在年级上存在显著差异。以单因素方差分析检定检验，儿童与教师社交技巧在父母文化程度上的存在显著差异。以独立样本 T 检定检验儿童与同侪社交技巧在儿童性别上不存在显著差异。以单因素方差分析检验儿童与同侪社交技巧在年级上存在显著差异。儿童与同侪社交技巧在父母文化程度上的差异显著。

表 4-4 父母奖励和儿童社交技巧的差异分析

	儿童性别 (t)	儿童年级 (t)	父母受教育程度 (f)
父母行为奖励	-2.343*	1.564	2.140
父母态度奖励	2.275*	6.424**	5.255***
与老师社交技巧	1.842	12.867***	6.543***
与同侪社交技巧	-0.262	12.876***	3.324*

#### 4.2 父母奖励与儿童社交技巧的分析

##### 4.2.1 父母奖励与儿童社交技巧的相关分析

通过 Pearson 相关系数分析变量间是否存在相关。依据邱皓政 (2010) 提出的验证标准，相关系数 (r 值) 为 0，表示变项间无相关，绝对值  $< 0.1$  表示微弱相关， $0.1 \leq r$  值  $< 0.4$  表示低度相关， $0.4 \leq r$  值  $< 0.7$  表示中度相关， $0.7 \leq r$  值  $< 1.0$  表示高度相关， $r$  值 = 1.0 表示完全相关。

父母奖励与儿童社交技巧间的相关分析见表4-5。

表4-5父母奖励与儿童社交技巧的相关分析

项目	1	2	3	4
1.父母行为奖励	1	0.453**	0.442**	0.525**
2.父母态度奖励	0.453**	1	0.590**	0.612**
3.儿童与老师社交技巧	0.442**	0.590**	1	0.512**
4.儿童与同侪社交技巧	0.525**	0.612**	0.512**	1

注: \*\* $p < 0.01$

分析结果显示,父母奖励与儿童社交的四个维度间均呈极其显著的中度正相关4.4.2 父母奖励与儿童社交技巧的多元回归分析

运用回归分析检验变量之间的影响,依据邱皓政(2010)的建议,对回归模型的解释能力判断,采用 $R^2$ 值进行解释,以F值的显著性检验 $R^2$ 值是否具有解释能力,回归系数 $\beta$ 值使用t值来检验显著性。

以父母行为奖励与父母态度奖励为预测变量,以儿童与教师社交技巧为因变量进行逐步多元回归分析,结果见表4-6。

表4-6父母行为奖励与父母态度奖励对儿童与教师社交技巧的多元回归分析

预测变量	$R^2$	$\Delta R^2$	$\Delta F$	$\beta$	t
父母态度奖励	0.348	0.348	210.507	0.490***	11.068***
父母行为奖励	0.386	0.038	24.558	0.219***	4.956***

注: \*\*\* $p < 0.001$

回归分析结果显示,父母行为奖励与父母态度奖励对儿童与教师社交技巧的标准化回归系数 $\beta$ 值均为正值,且达到显著,说明父母行为奖励与父母态度奖励均能正向影响儿童与教师社交技巧,其中父母态度奖励的解释率为34.8%,对儿童与教师社交技巧影响最大。

以父母行为奖励与父母态度奖励为预测变量,以儿童与同侪社交技巧为因变量进行逐步多元回归分析,结果见表4-7。

表4-7父母行为奖励与父母态度奖励对儿童与同侪社交技巧的多元回归分析

预测变量	$R^2$	$\Delta R^2$	$\Delta F$	$\beta$	t
父母态度奖励	0.374	0.374	236.218	0.470***	16.851***
父母行为奖励	0.452	0.078	55.743	0.312***	15.369***

注: \*\*\* $p < 0.001$

回归分析结果显示,父母行为奖励与父母态度奖励对儿童与同侪社交技巧的标准化回归系数 $\beta$ 值均为正值,且达到显著,说明父母行为奖励与父母态度奖励均能正向影响儿童与同侪社交技巧,其中父母态度奖励的解释率为37.4%,对儿童与同侪社交技巧影响最大。据此,假设2和假设3成立。

根据上述分析结果,据此,假设2和假设3成立,即父母奖励态度对学前儿童社交技巧有正向影响;父母奖励行为对学前儿童社交技巧有正向影响。

## 5. 结论

### 5.1 父母奖励的现状

#### 5.1.1 父母行为奖励在性别上的差异

父母行为奖励在性别上存在显著差异,女生的父母行为奖励的得分显著高于男生的父母行为奖励得分,此结果与陈学彪(2015)等人的研究结果一致,可能是因为女生更愿意与父母建立行为

上的联结,更喜欢将自己的愿望和喜好告诉父母,因此,女生的父母更加知道应该以何种行为作为其奖励的形式 (Peng & Gong, 2004);而男生常常扮演着独立的性别角色,并认为保持沉默等行为更能获得父母的认可和肯定,父母也就无从得知该以何种行为进行奖励自己的孩子,因此,相对于女孩而言,更少表现出行为上的奖励 (王晓丹, 2010)。

### 5.1.2 父母态度奖励在年级上的差异

父母态度奖励在年级上存在显著差异,随着儿童年级的增长,父母越多地采用态度奖励,该结果与 Mitchell & Johnson (2009) 的研究结果一致。随着儿童年级的增长,接受和认识世界的方式逐渐转变,从最初的直观图形模式过渡到理解的认知模式 (康丹、周欣、田丽丽, 2016)。对于低年段的儿童而言,父母的态度不能被正确的解读,甚至可能得到相反的解读,因此,父母很少在儿童年级较低的时候进行态度上的奖励;对于年段高的儿童而言,父母的态度能够被其正确的解读,能够很好地在父母的态度上过去足够的信息,因此,父母很少在低年段儿童身上采用态度奖励 (李虹, 1993)。

### 5.1.3 父母态度奖励在父母受教育程度上的差异

父母态度奖励在父母文化程度上存在显著差异,父母的文化程度越高,越倾向采用态度奖励,这与钟铎 (2005) 的研究结果一致。父母文化程度较高,表明接受了较多的教育,对教育可能有着更加成熟的见解,儿童的教育环境越好,高学历的父母会积极营造出更好的奖励氛围,更多地采用态度奖励 (盛志华、江燕, 2004)。

## 5.2 儿童社交技巧现况

### 5.2.1 儿童与教师社交技巧在年级上的差异

儿童与教师社交技巧在年级上的差异显著,随着年级的增长,儿童与教师的社交技巧得分越高,这与肖川 (2006) 的研究结果一致。随着儿童年级的升高,儿童习得的能力越多,更加会处理与教师等成年人的关系,不再是难受就哭的幼年期,开始慢慢学会与成年人进行沟通和交流,用言语能力表达自己的愿望和不满,因此,与教师的社交就变得更加顺利和流畅 (季莘、于龙, 1990)。此外,随着儿童年级的增长,教师也更愿意与其进行言语交流,教师的教学态度更加温和,强化儿童的正确社交技巧,促使其更好地提升与教师的社交技巧 (陈洁, 2013)。

### 5.2.2 儿童与教师社交技巧在父母文化程度上的差异

儿童与教师的社交技巧在父母文化程度上存在显著差异,随着父母文化程度的提高,儿童与教师的社交技巧更多,这与盛志华和江燕 (2004) 的研究结果一致。父母的文化程度与家庭教养方式息息相关,学历高的父母可能比较注重儿童的教育技巧,愿意学习更多的教育模式 (印小青, 2004)。在父母潜移默化的技巧的传授中,儿童能够吸取技巧的运用,并且应用在自己与他人交往的技巧上,进而提升与教师的社交技巧 (徐慧、张建新、张梅玲, 2008)。

### 5.2.3 儿童与同侪社交技巧在父母文化程度上的差异

儿童与同侪的社交技巧在父母文化程度上存在差异,父母文化程度越高,儿童与同侪的社交技巧越好,与郑丽月 (2014) 的研究结果一致。父母的文化程度与家庭教养方式息息相关,学历高的父母可能比较注重儿童的教育技巧,愿意学习更多的教育模式 (印小青, 2004)。在父母潜移默化的技巧的传授中,儿童能够吸取技巧的运用,并且应用在自己与他人交往的技巧上,进而提升与同侪的社交技巧 (徐慧、张建新、张梅玲, 2008)。

## 5.3 父母奖励与儿童社交技巧的关系

### 5.3.1 父母奖励与儿童社交技巧的相关关系

父母行为奖励、父母态度奖励、儿童与教师社交技巧以及儿童与同侪社交技巧两两呈显著正相关,以往的研究对这两者的关系探讨的并不多,本研究考察了父母奖励的方式对儿童社交技巧的影响,在家庭的视角上探讨了如何提升儿童的社交技巧。父母行为奖励与父母态度奖励对儿童与教师和同侪的社交技巧均有正向的影响,也就是说两种奖励方式可能都会提升儿童的社交技巧,两种奖励方式都是儿童社交技巧的有效提升途径。

### 5.3.2 父母行为奖励正向预测儿童与教师社交技巧

父母行为奖励正向预测儿童与教师社交技巧，父母行为奖励越多，儿童与教师社交技巧越好。父母行为奖励指的是用拥抱、礼物等方式对儿童的某些行为给予认可和肯定（王成刚，2006），经常在父母那里得到行为行为肯定的儿童，会将这种满足迁移到与教师的交往之中，可能教师的某些行为和教授的内容，能够引起儿童的兴趣并十分欢喜，会模仿父母的行为，如给教师一个拥抱或是自己的喜欢的糖果，以表达自己对教师的某些行为的喜爱之情，从而促使教师更多地表达儿童喜欢的行为，从而使得儿童与教师之间的交往更加密切（杨洁，2017）。

### 5.3.3 父母行为奖励正向预测儿童与同侪社交技巧

父母行为奖励正向预测儿童与同侪社交技巧，父母行为奖励越多，儿童与同侪的社交技巧越好。儿童时期的学习和迁移能力是整个生命阶段中最强的（陈哲、王瑞明、莫雷，2008），父母是儿童的第一任老师，父母的行为奖励自然也会被儿童模仿，应用在儿童与同伴的交往之中，行为奖励不仅可以促进父母与儿童之间的关系，还会促进儿童与同伴之间的亲密关系，对儿童与同侪之间的交往技巧具有显著的促进作用（李艳菊、姜勇，2008）。

### 5.3.4 父母态度奖励正向预测儿童与教师社交技巧

父母态度奖励正向预测儿童与教师社交技巧，父母态度奖励越多，儿童与教师的社交技巧越好。父母态度奖励指的是父母采用微笑、满意的目光等态度对儿童的行为进行鼓励和表扬（轲轩使者，2008），父母的态度奖励不仅会给儿童的较好行为给予强化，还会使得儿童愿意表达自己的情绪并合适的表达自己的态度，在与教师的交往中，儿童也会愿意解读教师的态度、表情和情绪等，进而促使儿童与教师之间的交往向好的方向发展（张博，2005）。

### 5.3.5 父母态度奖励正向预测儿童与同侪社交技巧

父母态度奖励正向预测儿童与同侪社交技巧，父母态度奖励越多，儿童与同侪的社交技巧越好。儿童时期在父母教养下形成的行为方式会在与同侪的交往中进行迁移（陈哲、王瑞明、莫雷，2008）。儿童与同侪的交往中，可能表现出父母对其的态度，如若父母更多的给予儿童肯定和表扬的眼神，儿童则会在与同侪的交往中也给予同侪更多的肯定和赞扬的眼神，从而促使儿童与同侪的关系更加融洽；反之，儿童在与同侪的交往中可能会漠视或是给予否定，这对于儿童与同侪的关系亲密度具有消极的作用（李丹、崔丽莹、岑国桢、周嘉、陈欣银，2004）。

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# 中国信托业内外部环境因素对企业价值之关联性研究

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## 摘要

本文针对中国信托业企业价值的影响因素。首先从理论部分分析了影响中国信托业企业价值的各种因素，将这些因素分为两大类，即企业外部环境因素和企业内部环境因素。采用了主成分因子分析法对 68 家信托企业的综合因子得分进行了测算，并将其测算值作为回归分析中的被解释变量。然后依据理论部分的影响因素进行了实证分析。结果表明除了产业结构与信托业企业价值不显著外，其他所选变量均与信托业企业价值呈显著关系。

**关键词：**信托业；企业价值；环境因素；因子分析

## 1. 研究背景与动机

信托业在中国近几年经济体制改革中进一步深入发展，国民经济平稳增长的同时，金融机构的改革措施越发明显。社会各界对金融行业的企业价值生态系统环境开始逐步关注。以中国信托业为例，分析内外部环境因素与信托公司的企业价值两者间的关联性，从而使金融发展环境更加健全，直接关系信托业的金融风险控制以及信托企业的企业价值最大化目标的实现。信托业对于金融整个行业的发展有着不可或缺的作用，自八十年代至今经历了数次整顿，信托业务在改革深化中逐步完善。在 2017 年实施了“新办法”这一政策后，在广阔的投资与创新等业务领域中，决定信托公司企业价值最大的核心因素依然是资本逐利性。从此也能窥探出信托公司投资通道单一，尚未形成多领域投资覆盖的局面。而信托公司目前的行业生态的外在体现形式与现阶段信托业所面临的内外部环境因素息息相关。

信托业是金融机构的其中一种，也是金融行业多领域经营模式下的表现载体之一。信托投资公司与其他同业态非银行金融公司在业务领域产生重叠，投资信贷业务也面临着券商、基金与保险公司等金融机构的竞争压力。信托投资公司所面临的复杂的内外部环境对公司的经营模式产生重要的影响。

信托业近几年发展过快，难免存在很多弊端。市场经济在中国也渐渐的发展起来，信托业在金融体系中所占据的重要性也逐渐发生变化。信托业的产品创新不足、业务模式单一、内部控制能力等问题都会对其企业价值造成影响。从另一角度看，政策的发布限制了新信托公司的成立，对现有的信托企业监管机构一直持谨慎态度。因此本文通过对中国信托公司的内外部环境因素以及信托业企业价值的分析，分析了在现今金融体系下内外部环境因素与信托业企业价值的关联性，并试图探明在目前的金融环境背景下，信托公司的企业价值大小与内外部环境各个因素之间的影响机制。通过分析环境因素与企业价值大小之间的内在关联性，放大有利因素，及时避免外部因素带来的障碍。为信托公司选择更合适的经营路径，规避环境因素带来的潜在风险。

## 2. 文献探讨

### 2.1 企业价值

#### 2.1.1 企业价值定义

企业价值的概念，以往学者从多个视角来对其进行研究，包括从财务、回报、未来获利能力等多个角度。Modigliani and Miller (1958) 通过探讨以为企业价值就是企业能在市场上获得价格的多少，即企业在外流通股票的总额价值与企业债务总额价值之和。Bierman and West (1966)

在研究中则从获取利益的视角进行研究，并且以为现有股东的收益就是企业价值。很多学者认为以上定义太片面，因为缺乏考虑了企业在经营发展中通过融资而还具有外债的因素。Aswath (2000) 阐述了用现金流量折现法理论及应用在企业价值评估上的一些问题。Frykman (2003) 通过从企业未来盈利能力角度来研究，认为企业价值则应该承担由少数股东权益、公司的债权值、养老金、权益价值和其他要求权价值的总和。

### 2.1.2 企业价值的影响因素

近年来，各家企业都想提升自身的企业价值，从而很多学者对企业价值影响因素的研究也逐渐增加。首先，Dollar (2003) 选择财政补贴、市场份额和财政政策作为研究对象，对影响企业价值的因素进行探讨。Leora Klappe (2004) 研究分析宏观经济环境、人力资源质量以及企业资源对企业价值的影响程度。Ballester et al. (2003) 和 Ashenfelter (2004) 通过对研发支出对企业价值影响展开研究，虽然两人研究参数不同，但结果都表明研发支出与市场价值之间存在非常显著的关系。李成 (2016) 在研究中构建基于董事会成员特征构成的内部联合指数研究其对公司避免税收以及企业价值的影响，结果表明董事会内部联结对税收规避具有正向影响，继而提高企业价值。叶蓓 (2017) 研究董事会、社会异质性对企业价值影响发现两者对企业价值具有相反作用，前者促进企业价值提高，后者削弱企业价值。

## 2.2 企业环境因素之相关研究

### 2.2.1 环境因素的定义

赵锡斌 (2004) 经过研讨指出企业环境是一些彼此制约、依存和不停变化等各种要素共同形成的一个独特系统，并且这些要素也会造成对生产经营活动和企业管理决策等影响。席酉民 (2001) 经过研讨指出内部环境和外部环境共同组成了企业环境，内部环境主要讨论企业组织结构和经营获利等发展情况，外部环境主要讨论政策、市场等。李晓明 (2006) 完整的企业环境包括企业内部环境与企业外部环境。

### 2.2.2 环境因素的衡量构面

企业环境因素指对企业经营、企业组织制度、企业文化等与企业有关事宜产生影响的因素集合，这些因素不分是否在企业组织分界线内和是否可量化。

从外部环境来看，Duncan R B (1972) 将其定义为在组织边界之外但是在管理决策中必须考虑的物质和社会因素，而 Custer and Rosenzweig (1979) 从边界的角度对外部环境进行定义，他们认为在组织界线之外的一些事物均是企业的外部环境。Mintzberg H (1983) 以为企业内部环境是把企业在以往全部在学习活动中累积的知识和价值观等的结合。席酉民 (2001) 则从不同角度给出定义，企业内部环境是指由企业内部的组织构造、企业管理制度和政策等构成。

## 2.3 外部环境因素对信托业企业价值之影响

关于外部环境因素对信托业企业价值影响的研究丰富，Dirk Czarnitzki and Licht (2006) 通过研究财政补贴对研发投入的影响发现，前者对后者具有弥补作用，能够降低企业研发风险，从而加大企业对技术创新的重视度和积极性。而 David W.Guth and Ginsberg (1990) 研究表明，研发投入有助于提升产品的市场竞争力，能够提升企业未来盈利能力和企业远期价值，综合两个研究结果可知财政补贴有助于提高企业价值，但是毛其淋和许家云 (2015) 却认为企业会利用财政补贴美化财务报表，弱化了企业研发投入动力，继而降低企业未来价值，而汪利铤和谭云清 (2016) 通过实证检验发现财政补贴对企业价值的而影响呈现倒“U”型，研发投入可以明显对企业价值有所提升。

Shaver J.M and Flyer Fredrick (2000) 认为在行业聚集度较高的区域中，具有技术优势的企业因“技术外溢”不能获得全部的创新的全部超额收益，因为根据杨剑和王树恩 (2011) 的观点可知，企业如果要占有技术领先优势则需加大技术创新投入，但由于创新风险较高，技术相对落后的企业会借助行业聚集度较高的优势模仿技术先进的企业，减少技术创新投入，继而将具有技术优势企业的收益收入囊中，郭景先和邱玉霞 (2017) 通过分析 2000-2015 年上市公司数据发

现行业聚集度会促进企业加大技术创新投入，但行业聚集度会减弱技术创新投入带动的企业价值。陶雅 (2018) 选取 2011-2015 年深交所 A 股公司为对象，分析发现市场竞争对企业价值有一定的影响，并且企业在市场竞争中会加大对财务信息的披露与企业价值之间的关系。

#### 2.4 内部环境因素对信托业企业价值之影响

有关内部环境因素对信托业企业价值的文献包括 Danielle et al. (2003) 研究表明公司债务比率对信托公司 X 的效率具有明显影响，公司治理能力在公司 X 效率的提高上会起到一定作用。Miller and M S (2006) 以为企业具备较高债务比率的信托公司可能有更好的效率。张宝 (2011) 以国内 37 家信托公司 2004-2009 年的财务数据为样本，利用生产率指数对全部要素生产率进行了计算，最终得出费用率、资本充足率对信托公司全要素生产率具有减弱作用，而公司规模、资产收益率和市场份额对其具有促进作用。薛颀 (2015) 在信托业结构性经营效率实践基础上对 2007-2011 年 40 家代表性信托公司样本进行基于 CCR-BCC 混合数据包络法的分析，研究发现公司规模、人力资本水平、不良资产率及股东配置对信托公司经营效率有明显的影响。崔景汉和周宏 (2015) 以 2004-2012 年信托公司为样本，使用随机前沿 (SFA) 法对信托公司的业务效率进行测算，结果发现信托业务结构、信托业务市场份额对信托业务效率没有影响，而信托业务费用率、人力资源质量和股东性质具有明显的影响，其中股东性质的影响最为显著。

姜宝强和毕晓芳 (2006) 通过研究发现代理成本会影响高额现金持有量与企业价值之间的关系，还有学者如石宗辉和张敦力 (2014) 则表示现金持有量与企业价值之间存在先增加后减少的关系，存在一个点使该点的现金持有量对应的企业价值最大。李海燕 (2017) 研究中在前人的理论上以 2008-2015 年深交所上市公司数据为例，研究发现企业的技术创新的提高对价值的提升有明显效果，除此之外，管理者的特质对上述两者关系具有调节作用。

### 3. 研究设计

#### 3.1 研究样本及来源

为了准确识别内外部环境因素对中国信托业经营绩效的影响，将选取面板数据来对其进行研究，这能够有效利用截面数据和时间数据，从而达到解决信托业经营时间较短以及公司较少的问题。

本文选取目前 68 家信托公司来进行研究，并且选取其财务指标数据来进行测算综合得分来表示企业价值，所选用信托业的样本数据主要来源于 2013-2017 年各信托业的年报、中国信托业协会网站、用益信托网以及和讯网等地址，部份数据来源于中国统计局网站。

#### 3.2 研究假设

国内生产总值 (GDP) 反映了一国范围内所有居民在一段时间内所创造的所有价值，虽然 GDP 涉及的只是总体，没有具体的指出哪个行业提升或降低了总体值。但总体来说当人均 GDP 高的国家人民的生活水平也会变高，社会中的医疗福利等水平也会相应的提高。因此 GDP 上升时意味着国家经济上升，经济发展迅速和企业受益较好，因此人民有更多的资产和想法来需要信托业来帮助获得更多的利润，投资者增多对于企业的股票市场就会有所影响，股价上升，企业价值就会随之增加。而产业结构代表了信托业总资产占总体经济的比重，若信托业占比较大，在 GDP 增长时，信托业经济值也会跟着一定的增加，有效提高企业价值，GDP 下降时也会受到很大影响。Glascok (2012) 在研究中认为工业增加值和国内生产总值等宏观因素对房地产信托公司预期收益率有所影响。因此提出以下假设：

H1a:国内生产总值 (GDP) 上升与信托业企业价值呈正向关系。

H1b:产业结构与信托业企业价值呈正向关系。

针对企业运营的情况受当下政策的影响，例如财政的资金补贴，对投资需求和资产管理的必要性有必然的联系，而随着政策的变化，信托企业的业务不再仅仅局限于中央各部门、政府、



国有企业的融资，逐渐开拓范围。蔡蕾 (2017)、张莹和王雷 (2016) 在研究中分别指出税率的调整和良好的政策都会从不同的角度影响到企业的价值。提出如下假设：

H2:财政政策与信托业的企业价值呈正向关系。

市场份额代表了企业产品在中受消费者的满意程度，反映了企业产品在中上的欢迎程度，信托业的市场份额较大时，对市场的控制能力就会提高，从而会积累很多有关销售方面的经验，也能吸引到更多的新顾客，进而获得更大的利润和提高企业的产品知名度。Dollar (2003) 在研究中也把市场份额纳入了影响企业价值的因素中。所以企业需要认真对待市场份额这一因素，并制定专业的经营策略来进行提升。提出以下假设：

H3:市场份额与信托业企业价值呈正向关系

当企业经营不善时，债务融资可以快速获得资金来使企业避免发生危机。债务融资比较简单，而且资金到位也快。最重要的是相对于股权融资来说，债务融资能保持企业的经营权，债务融资的债权人没有对企业经营管理的权利。Miller and M S (2006) 认为信托企业具备较高债务比率会带来更好的效率。提出以下假设：

H4:债务融资会影响信托业的企业价值。

董事会效率对企业价值也有重要影响，董事会行为对企业价值也有必不可少的影响。召开董事会能有避免出现经营问题与颁布决策。李成 (2016)、叶蓓 (2017) 在研究中的出良好的董事会能提升企业的价值。提出以下假设：

H5:董事会行为对信托业的企业价值有一定影响。

针对公司负债比率对信托公司的效率具有明显影响，信托企业资产负债率较低，则证明该公司的偿债能力强，资产委托人对该信托公司的信赖感就会越高，不但会给信托公司带来良好的经营业绩，同时还有利于公司无形资产的增加。Danielle et al. (2003) 在研究表明公司负债比率对信托公司的效率具有明显影响。提出以下假设：

H6:资产负债率对信托业企业价值有一定影响。

针对企业包括了收益率等一些财务数据对企业价值造成影响，当盈利能力较好时，即资产收益率较高时，表明企业在资产的分配和利用上得到的效果越好，投资人会把它看做投资的依据作为参考进而选择该公司进行投资。这一举措将会帮助该公司大大提高声誉和股价，同时投入资金有助于公司开展业务获取更多利润，因此会提高企业价值。张宝 (2011)、魏素艳和张红 (2006) 研究中认为企业的一些财务数据对企业价值会有所影响，其中就包括了收益率。提出以下假设：

H7:资产收益率与信托业企业价值呈正向关系。

针对企业的人力配置质量对企业价值的影响，人力资本质量关系着企业的经营管理，它的配置最能体现企业人员的学历、体力及素质等。如果企业人力资本质量较高，则有利于企业内部开展先关活动和减少错误决策的产生，因此能保证各项任务在经营上更有效率。崔景汉和周宏 (2015)、张冬 (2017) 及薛颀 (2015) 在研究中也认为一家好的企业，拥有最优人员配置会对企业的发展及价值都会有所影响。因此企业的人力配置质量对企业价值的影响也很重要。提出以下假设：

H8:人力资源配置与企业价值之间存在正向关系。

### 3.3 研究方法

研究企业价值影响因素最常用的方法是多元回归分析，而研究信托业经营绩效、资产配置效率、信托产品预期收益率等常用的方法是 SVAR 模型、SFA 模型、DEA、SVAR-GRACH-M 模型和多元回归分析等多种方法。

考虑到本文的研究内容，本文将选择多元回归分析法作为研究方法，并将外部环境因素、内部环境因素与信托企业企业价值进行回归分析，找到影响信托企业企业价值的因素以及影响方向和大小。

### 3.4 模型构建

本文选择多元回归模型分析影响信托业企业价值的内外环境因素，在回归之前需要测算出信托企业的企业价值，因此需要构建两个模型，分别是企业价值测算模型和多元回归模型。

#### 3.4.1 企业价值测算模型

利用因子分析对指标进行分析，并通过因子载荷及旋转提取主要公因子及模型的系数，最后算出综合得分。

$$Q = \sum_i^n \beta_i X_i \quad (1)$$

初始模型：

在模型中，构建的是中国信托行业综合绩效得分来衡量企业价值的模型，其中 Q 表示综合得分值， $\beta_i$  表示系数，X 表示财务指标。

#### 3.4.2 多元回归模型

本文为了验证以上提出的假设而构建以下模型，构建结果如下所示：

$$Q = \beta_1 + \alpha_{11}GDP + \alpha_{12}CYJG + \alpha_{13}CZZC + \alpha_{14}SCFE + \alpha_{15}QYGM + \alpha_{16}ZCZB + \alpha_{17}GQJZ + \varepsilon_1 \quad (2)$$

$$Q = \beta_2 + \alpha_{21}DSH + \alpha_{22}ZCFZ + \alpha_{23}ZCSY + \alpha_{24}RLZB + \alpha_{25}ZWRZ + \alpha_{26}QYGM + \alpha_{27}ZCZB + \alpha_{28}GQJZ + \varepsilon_2 \quad (3)$$

$$Q = \beta_3 + \alpha_{31}GDP + \alpha_{32}CYJG + \alpha_{33}CZZC + \alpha_{34}SCFE + \alpha_{35}ZWRZ + \alpha_{36}DSH + \alpha_{37}ZCFZ + \alpha_{38}ZCSY + \alpha_{39}RLZB + \alpha_{310}QYGM + \alpha_{311}ZCZB + \alpha_{312}GQJZ + \varepsilon_3 \quad (4)$$

其中 Q 的值表示企业价值， $\beta_1-3$  表示常数， $\varepsilon_1-3$  为误差项， $\alpha$  表示回归系数，GDP 为国内生产总值，CYJG 为产业结构，CZZC 为财政政策，SCFE 为市场份额，DSH 为董事会，ZCFZ 为资产负债，ZCSY 为资产收益，RLZB 为人力资本，ZWRZ 为债务融资，QYGM 为企业规模，ZCZB 为注册资本，GQJZ 为股权集中度。

## 4. 实证分析

本章在进行实证分析前会进行可行性检验，然后进行多元回归模型分析影响信托业企业价值的内外环境因素，在进行回归模型之前首先运用因子分析法测算出信托企业的企业价值，然后用多元回归模型分析对于信托企业价值的影响关系。

### 4.1 相关性分析

相关性分析是指对两个或两个以上的变量之间因素进行相关分析，从而衡量两个变量之间的相关程度，相关性的元素需要存在一定的联系或者概率才可以进行相关性分析。解释变量相关性分析见下表 4.1 所示。

表 4.1 解释变量相关性分析

	LnGDP	CZZC	CYJG	SCFE	ZWRZ	DSH	ZCFZ	ZBSY	RLZB
LnGDP	1								
CZZC	0.815**	1							
CYJG	0.983**	0.696**	1						
SCFE	0.000	0.000	0.000	1					
ZWRZ	-0.460**	-0.390**	-0.451**	0.124*	1				
DSH	0.085	0.121*	0.070	0.031	0.107	1			
ZCFZ	0.143**	0.156**	0.126*	0.081	-0.102	0.092	1		
ZCSY	-0.630**	-0.428**	-0.638**	0.117*	0.656**	0.022	0.084	1	
RLZB	0.077	0.066	0.077	-0.039	-0.053	0.036	0.001	-0.034	1

\*, 在 0.05 级别 (双尾) 显著相关; \*\*, 在 0.01 级别 (双尾) 显著相关。

从上表分析来看, 相关性最高的两个指标是国内生产总值和产业结构, 两者之间的相关性是 0.983, 且在 0.01 的水平上显著。相关性最低的是资本收益率和产业结构。总体相关性一般, 所以在下文的研究模型中, 本文将采取单独变量回归的方式进行影响力的研究。

#### 4.2 单位根检验

单位根检验见下表 4.2 所示。

表 4.2 平稳性检验

	统计值	P 值
未调整的 t	-0.0000	
调整后的 t*	4.0135	1.0000

从以上的单位根检验的结果来看, P 值大于 0.05, 说明不显著, 拒绝了 H0, 不存在单位根, 整体数据较为平稳, 因此进行回归分析时会避免出现伪回归。

#### 4.3 因子分析

##### 4.3.1 适用性检验

为确保本文研究的准确性, 因子分析前需要进行适用性检验, 检验结果见下表 4.3 和表 4.4。

表 4.3 KMO 统计量

变量	X1	X2	X3	X4	X5	X6	X7	X8
KMO	0.5995	0.6006	0.6810	0.8917	0.7323	0.7125	0.7712	0.7086
总值=0.7880								

表 4.4 KMO 和 Bartlett 检验

KMO 取样適切性量数	巴特利特球形度检验		
	近似卡方	自由度	显著性
0.096	615.346	28	0.000

KMO 统计值是介于 0 和 1 之间。当所有变量间的简单相关系数平方和大于偏相关系数平

方和时，即 KMO 值越接近于 1,变量间的相关性越强，原有变量越适合作因子分析。本文因子分析的 KMO 指数为 0.7880，则适合做因子分析。

#### 4.3.2提取公因子

因子分析及提取公因子见下表 4.5 与表 4.6 所示。

表 4.5 因子分析

因子	特征值	误差	百分比
1	2.15787	1.30810	0.72530
2	0.84977	0.35059	0.28560
3	0.49918	0.41182	0.16780
4	0.08736	0.14423	0.02940
5	-0.05687	0.04993	-0.01910
6	-0.10679	0.09293	-0.03590
7	-0.19973	0.05572	-0.06710
8	-0.25544		-0.08590

表 4.6 旋转因子载荷

变量	因子 1	因子 2	唯一方差
X1	-0.0798	0.102	0.9832
X2	0.0698	-0.1411	0.9752
X3	0.8514	0.1503	0.2525
X4	0.8682	0.3227	0.1421
X5	0.2025	0.6687	0.5118
X6	0.2469	0.9691	0
X7	0.1621	-0.0212	0.9733
X8	-0.0177	0.0475	0.9974

从以上表 5 所示分析来看，先对 8 个因子进行了分析，从表中特征值来看，只有因子 1 的特征值为 2.15787，且超过了 1，因子 2 的特征值接近 1。而表 6 所示，每个指标在因子 1 和 2 里所占的权重。

#### 4.3.3 综合得分计算

$$\text{综合得分模型: } Q_{tj} = \alpha_1 F1_{tj} + \alpha_2 F2_{tj} \quad (5)$$

以上模型中，其 t 表示第 t 年(2013 年至 2017 年)，j 表示第 j 家公司 (1、2、3、4、5....68) ，F1 和 F2 为提取的公因子，包含变量 X3、X4、X5 及 X6。而  $\alpha_1$  和  $\alpha_2$  为 F1 和 F2 的权重。由以上模型公式及因子分析提取的两个公因子及方差贡献度的权重，计算出信托上市公司每个年份的量化价值，并在下文中以此价值为回归分析的 Q 值来进行分析。

### 4.4 回归分析

#### 4.4.1 豪斯曼检验

豪斯曼检验见下表 4.7 所示。

表 4.7 Huasman 检验

系数	(b) RE	(B) OLS	(b-B) Difference	sqrt(diag(V_b-V_B)) S.E.
LnGDP	0.0020917	0.0015526	0.0005391	0.0006172
CZZC	133.6096	88.81633	44.79329	60.56031
CYJG	-1454.485	-1824.282	369.7974	3189.983
SCFE	-656.543	-510.9881	-145.5549	1455.133
ZWRZ	82.11227	-39.2804	121.3927	146.7243
DSH	4.569718	0.8395145	3.730203	2.466279
ZCFZ	-93.4326	0.1627786	-93.59538	100.1051
ZBSY	-0.808085	-0.8929372	0.0848522	1.694601
RLZB	2.10972	0.932192	1.177528	1.564782
LnQYGM	-0.1576845	-0.1170971	-0.0405874	0.0535564
ZCZB	-0.7663713	-0.8246112	0.0582398	0.7301611
GQJZ	26.07435	30.9054	-4.831053	34.14853
cons	-463.2525	-232.7648	-230.4877	244.4846

$\chi^2(10) = (b-B)'[(V_b-V_B)^{-1}](b-B) = 10.18, \text{Prob} > \chi^2 = 0.4246$

从比较的结果来看,  $\text{Prob} > \chi^2 = 0.4246$ , 不拒绝原假设, 所以使用 OLS 模型进行回归分析。

#### 4.4.2 多重线性检验

多重线性检验见下表 4.8 所示。

表 4.8 VIF 线性检验

变量	VIF	1/VIF
LnQYGM	1.23	0.813008
LnGDP	1.32	0.757576
CZZC	5.32	0.18797
CYJG	3.24	0.308642
ZBSY	7.79	0.12837
ZWRZ	3.44	0.290698
ZCZB	3.26	0.306748
RLZB	1.19	0.840336
ZCFZ	1.17	0.854701
DSH	1.14	0.877193
GQJZ	1.12	0.892857
SCFE	1.1	0.909091
Mean VIF	2.61	

从多重共线性 VIF 检验结果来看, 最大值为资本收益率 (ZBSY) 为 7.79, 小于 10。检测结果为 2.61, 也低于 10。结果表明, 变量之间不存在共线性关系。

#### 4.4.3 企业价值影响因素分析

$$\text{模型 (2) : } Q = \beta_1 + \alpha_{11}GDP + \alpha_{12}CYJG + \alpha_{13}CZZC + \alpha_{14}SCFE + \alpha_{15}QYGM + \alpha_{16}ZCZB + \alpha_{17}GQJZ + \varepsilon_1$$

外部环境因素回归分析见下表 4.8 所示。

表 4.9 外部环境因素回归分析

变量名称	回归系数	t 值	P 值
LnGDP	110.7495	3.81	0.000***
CZZC	5.56767	3.66	0.000***
CYJG	1497.913	1.59	0.106
SCFE	4.88239	2.65	0.000***
LnQYGM	-7.19091	-4.06	0.000***
ZCZB	-0.00039	-1.81	0.083*
GQJZ	0.24667	0.9	0.370
调整后 R <sup>2</sup>		0.6042	

注：\*\*\*、\*\*、\*分别表示在 1%、5%、10% 的水平上显著

从上表 4.9 的结果来看，国内生产总值、信托的市场份额及财政政策等会对信托业的企业价值有所影响，而产业结构对信托业的企业价值没有影响，因此也验证了第三章提出的假设，H1a、H2 和 H3 均成立，H1b 提出的假设不成立。

$$\text{模型 (3) : } Q = \beta_2 + \alpha_{21}DSH + \alpha_{22}ZCFZ + \alpha_{23}ZCSY + \alpha_{24}RLZB + \alpha_{25}ZWRZ + \alpha_{26}QYGM + \alpha_{27}ZCZB + \alpha_{28}GQJZ + \varepsilon_2$$

内部环境因素回归分析见下表 4.10 所示。

表 4.10 内部环境因素回归分析

变量名称	回归系数	t 值	P 值
ZWRZ	1.50839	2.01	0.041**
DSH	0.020395	2.35	0.000***
ZCFZ	-0.6141528	-2.85	0.000***
ZCSY	0.0120603	1.72	0.072*
RLZB	-0.005822	-2.51	0.000***
LnQYGM	-0.7037176	-2.49	0.015**
ZCZB	-0.0004874	-1.89	0.085*
GQJZ	0.4151591	1.14	0.257
调整后 R <sup>2</sup>		0.5642	

注：\*\*\*、\*\*、\*分别表示在 1%、5%、10% 的水平上显著

从上表 4.10 回归结果来看，内部环境因素中债务融资、董事会、资产负债率及人力资本均与企业价值之间呈显著性关系，资产收益率与企业价值之间存在不显著关系。因此验证了第三

章提出的假设, H4、H5、H6、H7、H8 均成立。

$$Q = \beta_3 + \alpha_{31}GDP + \alpha_{32}CYJG + \alpha_{33}CZZC + \alpha_{34}SCFE + \alpha_{35}ZWRZ$$

模型 (4) :  $+ \alpha_{36}DSH + \alpha_{37}ZCFZ + \alpha_{38}ZCSY + \alpha_{39}RLZB + \alpha_{310}QYGM$   
 $+ \alpha_{311}ZCZB + \alpha_{312}GQJZ + \varepsilon_3$

总体回归分析见下表 4.11 所示。

表 4.11 总回归分析

变量名称	回归系数	t 值	P 值
LnGDP	178.8988	4.40	0.000***
CZZC	8.731862	4.14	0.000***
CYJG	2335.993	1.08	0.183
SCFE	-6.33127	-0.69	0.494
ZWRZ	0.9092876	2.18	0.042**
DSH	0.0192058	4.28	0.000***
ZCFZ	-0.9237986	-2.38	0.027**
ZBSY	-0.0101072	-1.00	0.323
RLZB	0.0384829	2.58	0.012**
LnQYGM	-12.47102	-4.94	0.000***
ZCZB	-0.0006619	-2.13	0.033**
GQJZ	0.4627849	1.42	0.159
调整后 R <sup>2</sup>		0.4094	

注：\*\*\*、\*\*、\*分别表示在 1%、5%、10%的水平上显著

从上表 4.11 总体回归分析结果来看, 与企业价值呈现显著性关系的变量为国内生产总值 (GDP)、财政政策、产业结构、董事会行为、资产负债率、及人力资本质量。与企业价值无显著性相关关系的变量为债务融资、市场份额与资产收益率。验证了第三章所提出的假设, H1b、H4、H7 假设不成立, H1a、H2、H3、H5、H6、H8 假设均成立。

## 5.结论与建议

本文分别从企业的内外部环境因素进行筛选变量, 包括 GDP、产业结构、财政政策、市场份额、债务融资、董事会行为、资产负债率、资本收益率、人力资本质量等 9 个变量进行分析, 并得出以下结论:

产业结构对信托业的企业价值应该具有双面性;财政政策也能促进中国信托业的企业价值提升;市场份额与债务融资都对企业价值具有显著性关系, 但是债务融资与企业价值呈负向关系;董事会行为对信托业的企业价值有显著的影响;资产负债率对信托业的企业价值也有显著影响, 但资产负债率与企业价值呈负向关系, 最后, 对于信托业而言, 高素质、高水平及够专业的人员必不可少, 但同样业务人员也很重要。

为完善信托业的发展, 本文提出以下建议。

首先, 需要建立完善的营销体系, 设立异地业务机构, 利用营销体系来抓住投资者, 从而

站稳脚步。

再者，完善公司治理结构。应该定期召开董事会议，及时了解掌握近期的经营状况和处理出现的问题，避免出现大的漏洞。

然后，重视企业及金融机构之间的合作。通过合作可以有更大的平台，有利于创新信托产品来吸引更多的客户，进而提升企业的效益。同时企业也要自主研发创新，是产品适合各个个人群，不放过任何一个潜在客户。

其次，合理利用人力资源。有些企业资金有限，聘用不了高级人才，但可以通过员工培训，来达到一定的专业性，并且要给予员工一定的激励制度，这样才能留住人才，为企业带来更大的财富。

最后，树立良好的信用，完善风险的防范。信托业的发展离不开投资者对企业的信任度。因此信托企业需要培养投资者对信托企业的信任感，信托的基础来自于信用，而且也是公司最关键的制度。

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# 中泰兩國之中國大學生美感經驗對平面設計的影響

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## 摘要

本研究主旨在探討中泰兩國之中國大學生美感經驗對平面設計的影響，以非隨機的抽樣方式，抽取中國華南、華東、西南和西北地區以及在泰國留學的藝術設計類相關專業共 300 名中國大學生作為受測對象，採用美感經驗量表為問卷調查結合平面設計實作的結構式評量法進行研究，運用線性回歸模式來分析大學生美感經驗與平面設計之間各變項的影響。研究發現：(1)大學生的美感經驗對平面設計具有顯著影響；(2)中國在地大學生與在泰中國大學生的美感經驗具有顯著差異；(3)中國在地大學生美感經驗對平面設計具有顯著影響；(4)在泰中國大學生美感經驗對平面設計沒有影響。

**關鍵字：**美感經驗；平面設計；中國在地大學生；在泰中國大學生

## 1. 研究背景

美感長期以來被認為是一種只可意會，不可言傳的潛意識審美感受（韓玉軒，2014），但在平面設計的視覺形象感知裡，無時不刻不充實於我們對美的詮釋和表現技法上的追求。現代平面設計，是一項融合生活與藝術緊密結合的學科，在設計創作的過程中要將其表達的意涵、功能有效結合的同時，還需要處處考量美感的存在及表現的形式，甚至還需要考慮過去與現在的傳承，從而產生自己的設計想法和理念（董冠男，2015）。設計可以創造美感，美感首先需要創造和表達，藝術設計就是創作和表達美感的現實形式（舒望，2011），美感對與我們的學習生活息息相關，通過探究對美的快感、審美的態度、對美的理解力以及完整經驗（張原誠，2015），是可以幫助大學生群體在學習生活中累積美感經驗，藉由促進和提高大學生群體的平面設計水準。

當下，中國學生在“一帶一路”沿線國家留學日益增加，尤其是赴泰國留學人數愈來愈多，很多研究者也開始關注留學生這一比較特殊的社會群體，因為他們承受著“文化衝擊”的挑戰。在泰國部分大學的中國留學生在校期間就能提前融入世界青年圈子，結識各國同學，瞭解並提前建立廣泛的資訊管道（徐豔文，2015）。這對比中國在地的大學生群體是有區別的，因此，比較和探討中國在地學生和在泰中國留學生美感經驗對平面設計的影響和差異是本研究的意義所在。

## 2. 文獻綜述

基於研究目的，美感經驗、平面設計及美感經驗與平面設計的聯繫探討如下。

### 2.1 美感經驗

Leath (1996) 主張美感經驗是一種專注的發揮，使人聚焦當下進行的活動，獲得一種生動的美感經驗，即帶有美感品質的經驗。而到了 20 世紀 30 年代，朱光潛以《談美》與《文藝心理學》兩書登上中國現代美學的歷史舞臺，指出在美感經驗中，心所以接物者只是直覺，物所以呈現於心者只是形象。張原誠 (2015) 將美感經驗定義為指個人在接觸美的客體時引發自身對美的快感，並藉由沈思，成就美感的吸收，進而產生審美的態度與理解力，是一種回饋經驗，而且美感會成為個人的潛在經驗，該經驗會在必要時浮現。

美感經驗來源生活，生活的經驗主體來自人的投入，只有細緻、專注地投入生活，熱愛生活，

才能發現自我，在品格個性、能力、情感與志趣的探索中找到自己，通過專注力的培養，走進美感的世界。Winborn (2015) 認為美感是一種讓自己進入經驗、融入經驗，而不只是想著經驗的一種方式。因此，通過專注地建立自我，在生活中發現美的事物，從而轉化為對生活中美的嚮往與美感經驗的轉化，在追求無我的專注裡，將美感經驗升華。通過研究結合實際，美感經驗是指個人通過視覺感官接觸美的事物與畫面，通過體驗產生認可，成就美感的吸收，產生美的印象於記憶深處，對美有深刻的態度和理解力並能發展為潛在的經驗之能力轉化。

## 2.2 平面設計

張廷權 (2014) 認為平面設計作為現代視覺傳達系統的一個重要組成部分，其平面設計作品無不在簡潔、明瞭的形式美中蘊含著一個民族文化底蘊和時代精神的內質。而當下的平面設計也是科技與藝術的結合，是商業社會的產物，在商業社會中需要藝術設計與創作理想的平衡，需要客觀與克制，需要借作者之口替委託人說話。平面設計與美術不同，因為設計即要符合審美性又要具有實用性、替人設想、以人為本，平面設計是一種需要而不僅僅是裝飾、裝潢。

在平面設計創作的過程，除了平面排版設計上的原則以外，也需要許多的要素 (李賢輝, 2012) 包括相關的比例原則、色彩的調和、文字大小的對比性、整體設計的完整度，這些都是不可缺少且相當重要的要素，而所產生的效果也會使整體排版看起來更加的有設計感，在美學上也可以捕捉到人們的目光。平面設計作為現代視覺傳達系統的一個重要組成部分，具有美術性和專業性，是以視覺作為溝通和表現的方式，透過多種方式來創造和結合符號、圖片和文字，借此作出用來傳達設計師想法或訊息的視覺表現，從文化的角度看，平面設計又有一定的現實意義，是一項包含著展示展覽設計、平面視覺與傳達設計、創意與表現設計在內的極其廣闊的創作門類和範疇，充斥在我們生活的每個角落。

## 2.3 美感經驗與平面設計的聯繫

美感經驗對於設計美感有著直接影響。設計美感在文化符號的意義上能夠直接體現出美的創造性價值，這種價值使我們的心靈產生愉悅，讓智慧到達更高的美的精神觀照層面，進而在以自由與獨立為內涵的現代人文精神領域進一步塑造出設計文化符號的時代特性 (邢慶華, 2010)。在生活中，美學規律潛移默化地影響著現代設計美學，現代設計美學反過來又影響著審美觀念 (揚迪, 2010)，設計美學是結合設計與美學兩者的共同理念點，一個好的設計必須在藝術與技術，美觀與實用間保持平衡，並整合為全面性的個體。因此，要達到設計美學的條件，不僅要遵循實用性和適用性的原則，更要按照藝術性與審美觀的原則 (林崇宏, 2011)。所以，不難發現，設計與美學是有著相應影響且互相存在的。

# 3. 研究方法

為探究中泰兩國之中國大學生美感經驗對平面設計的影響,本研究採用問卷調查法與大學生平面設計實作結合,其研究假設、物件、工具如下述。

## 3.1 研究假設

根據研究背景與文獻綜述，本研究假設如下：

H1：大學生美感經驗對平面設計具有正向影響。

H2：中國在地大學生與在泰中國大學生的美感經驗有顯著差異。

H3：中國在地大學生美感經驗對平面設計具有顯著影響。

H4：在泰中國大學生美感經驗對平面設計具有顯著影響。

## 3.1 研究對象與施測方式

研究對象為中國在地學生和在泰國的中國留學生(藝術設計類相關專業大學生)，抽取 300 名全日制藝術設計類相關專業在讀大學生，其中因在泰中國藝術設計類相關專業大學生較少，故選擇研究樣本數為 100 人，少於中國在地學生 200 人，其中在泰之中國大學生的發放比例為 2: 1。

因本研究是以問卷配合個人平面設計實作作為受測，需要保證最終的研究對象提交的有效問卷匹配有效作品，故在前期間卷發放的時候設置了擴大問卷發放量，以最終研究對象數量的 3 倍，即 900 份問卷數發放，以便於後期數據整理時從中排除無效問卷、不符合本研究設定要求的作品、有效問卷但不符合本研究設定要求的作品、無效問卷但符合本研究設定要求的作品、符合本研究設定要求的作品但問卷無效等五類。

本研究對研究主體進行全程的網絡問卷調查及平面設計實作徵集，其中包含了“美感經驗量表”的在網絡平臺上的問卷調查，受測者受測前可以得知本研究發佈的平面設計實作具體要求及徵集作品的上傳方式，以徵集到的平面設計實作結合量表為衡量工具，通過二合一匹配的方式，對問卷的分析和研究主體受測作品的歸整，設置專家網絡評分系統，邀請在設計、美學研究領域的專家對設計作品進行網上評分。

### 3.2 研究工具

大學生美感經驗評量標準：採用張原誠 (2015) “美感經驗量表”，通過量表呈現的四個構面，即對美的快感、審美的態度、對美的理解力、完整經驗為問卷共計 20 個問題，通過對各個構面的定義的深入瞭解，從符合大學生現階段的學習成長及配合設計創作的實質意義出發，以其作為研究對象美感經驗的衡量標準。本問卷的信度為 0.874、大學美感經驗量表組合信度分別為對美的快感=0.745、審美的態度=0.733、對美的理解力=0.779 和完整經驗=0.746 其值皆大於 0.600(建構信度良好之標準)，平均變異抽取量分別為對美的快感=0.370、審美的態度=0.356、對美的理解力=0.415 和完整經驗=0.373，根據 Fornell 與 Larcker (1981) 的看法，AVE 值小於 0.5,但是組合信度 CR 值大於 0.6 是可以接受的,說明其還是有足夠的收斂效度。

平面設計作品評量規準，邀請專家針對本研究，參考由孫志誠 (2010) 歸納整理的設計作品評量方法中的結構式評量法(檢核表法、量表評定法、分項評定法)，結構式評量法可以通過量尺、構面分項效標做針對性的評價，精準描述作品的構成和整體表現。依託評量方法，平面設計作品的評量標準參考學者孫志誠 (2010) 評量規準的調查結果中的創意、美感、完整性、表現技法四項標準，對每個作品逐項打分，分值為每項最高 10 分，四項共計 40 分為滿分(總分)。通過對受測者平面設計實作的收集、整理編號，設置設計作品評量系統，通過 PC 端與手機終端的結合，設計單個作品四項評分標準，並於每一項用手動滑條由 1-10 分組成打分，以方便專家評分為基礎，向專家評審團隊發送系統連接進行評測。

## 4. 研究結果

### 4.1 基本資訊

本研究共回收 300 份有效問卷，其中中國在地大學生 200 人，在泰中國大學生 100 人；在性別中，女生百分比為 45%(135 人)，男生百分比為 55%(165 人)；美術專項學習培訓情況裡，大學前(4 年以上)接受美術專業教育/培訓百分比為 17.7%(55 人)；高考前(3-4 年內)接受美術專業教育/培訓百分比為 18.7%(56 人)；高考前(1-2 年內)接受美術專業教育/培訓百分比為 49.3%(148 人)；大學後才選的專業/專業方向百分比為 14.3%(43 人)。

### 4.2 回歸分析

以回歸分析大學生美感經驗對平面設計的影響關係(H1)，結果如表一所示。通過分析結果發現，本研究中，大學生的美感經驗與平面設計呈現顯著關係(Sig=0.010)，說明大學生美感經驗對平面設計有影響，但另一方面，美感經驗對於平面設計也會存在負向相關( $\beta=-.149$ )，在美感經驗對平面設計的影響過程中，可能出現隨著自變量美感經驗的增加，因變量平面設計也會減弱，也就是說，可能在美感經驗較高的情況下，創作者很難創作較為理想，且不能完全表達和符合創作者美感經驗相等程度的平面設計作品，也有可能自變量之間存在著一定的共線性。

表一 大學生美感經驗與平面設計整體之線性回歸表

自變量	因變量：平面設計					
	B	SE	$\beta$	t	Sig	VIF
美感經驗	-.284	.109	-.149	-2.599*	.010	1
R2			.022			
Adj R2			.019			
F			6.756			
df			1			

資料來源：本研究整理；註：\* $p < 0.05$  \*\* $p < 0.01$  \*\*\* $p < 0.001$

以回歸分析中國在地大學生美感經驗對平面設計影響的關係(H3)，結果如表二所示。本研究中，中國在地大學生的美感經驗與平面設計呈現顯著關係(Sig=0.000)，說明美感經驗對平面設計有影響，但另一方面，美感經驗對於平面設計也會存在負向相關( $\beta = -.301$ )，在美感經驗對平面設計的影響過程中，可能出現隨著自變量美感經驗的增加，因變量平面設計的能力也會減弱，也就是說，可能在美感經驗較高的情況下，創作者很難創作較為理想，且不能完全表達和符合創作者美感經驗相等程度的平面設計作品，也有可能自變量之間存在著一定的共線性。

表二 中國在地大學生美感經驗與平面設計之線性回歸表

自變量	因變量：平面設計					
	B	SE	$\beta$	t	Sig	VIF
美感經驗	-.411	.092	-.301	-4.444***	.000	1
R2			.091			
Adj R2			.086			
F			19.752			
df			1			

資料來源：本研究整理；註：\* $p < 0.05$  \*\* $p < 0.01$  \*\*\* $p < 0.001$

以回歸分析在泰中國大學生美感經驗對平面設計影響的關係(H4)，結果如表三所示。通過分析結果發現，本研究中，在泰中國大學生美感經驗與平面設計無顯著關係(Sig=0.350,  $\beta = -.094$ )，說明在泰中國大學生美感經驗對平面設計沒有影響。

表三 在泰中國大學生美感經驗與平面設計之線性回歸表

自變量	因變量：平面設計					
	B	SE	$\beta$	t	Sig	VIF
美感經驗	.100	.106	-.094	.938	.350	1
R2			.009			
Adj R2			-.001			
F			.880			
df			1			

資料來源：本研究整理

### 4.3 差異性分析

本研究以中國在地大學生和在泰中國大學生為受測對象，用獨立樣本 t 檢定進行分析中泰之中國大學生美感經驗的差異性(H2)，以獨立樣本 t 檢定分析結果如表四所示，分析結果發現：中國在地大學生和在泰中國大學生在整體美感經驗上有顯著差異( $t = 3.542$ ,  $p = 0.000$ )，在泰中國大

學生美感經驗(M=3.985, SD=0.442)稍高於中國在地大學生美感經驗(M=3.780, SD=0.558),以美感經驗四個構面出發,在研究樣本的大學生中,在泰中國大學生的美感經驗稍高於中國在地大學生。

表四 中國在地大學生與在泰中國大學生美感經驗 t 檢定分析表

構面	中國在地大學生 1		在泰中國大學生 2		t 值	p 值	差異比較
	M	SD	M	SD			
大學生整體 美感經驗	3.780	0.558	3.985	0.442	3.542***	0.000	1 < 2

資料來源: 本研究整理; 註: \*p<0.05 \*\*p<0.01 \*\*\*p<0.001

## 5. 結論

本研究採用問卷調查法結合平面設計實作以探究中泰兩國之中國大學生美感經驗對平面設計的影響,經數據分析結果,將做進一步討論與結論。

### 5.1 研究結論

#### 5.1.1 中泰兩國之中國大學生美感經驗現況

在比較中國在地大學生與在泰中國大學生美感經驗上有顯著差異,在泰中國大學生美感經驗高於中國在地大學生,體現在審美的態度和完整經驗上有顯著差異,而對美的快感和對美的理解力上均無顯著差異。由此可看出,同樣是中國大學生,不同的是本研究選取中國在地大學生和在泰中國大學生作為研究對象,在泰中國大學生基於在中國成長、學習和生活後離開中國到泰國,在學習生活中可以感受異域文化與視覺帶來的碰撞,接觸多元文化帶來的衝擊和影響,是對美感經驗的構成是有影響的,這與葉豔 (2015) 所研究的相似。

#### 5.1.2 大學生美感經驗對平面設計創作的影響

通過差異性分析結果發現,大學生美感經驗對平面設計創作具有顯著關係,且影響較大,但相對的也會出現負相關的可能性,因為美感經驗作為內在精神、思想層面的體現,回歸到現實中,在創作平面設計作品的時候可能會出現創作者美感經驗極高,但很難創作出能夠表達和符合自己美感經驗相等的平面設計作品,這其中可能會包括其他因素的影響,比如平面設計構面中能夠的表現技法等,因為一個人的美感經驗越高,他也可能創作出較為普通且不理想的平面設計作品,這其中的原因不排除他不會對設計軟體進行操作,這也說明,擁有美感經驗的人在平面設計的實際操作上不一定具備相等的能力。

#### 5.1.3 中國在地大學生與在泰中國大學生的美感經驗對平面設計影響的差異

通過差異性分析比較,中國在地大學生與在泰中國大學生在美感經驗對平面設計影響上,存在差異。中國在地大學生美感經驗對平面設計具有顯著影響,而在泰中國大學生的美感經驗對平面設計不具備影響,說明其美感經驗對平面設計作品的創作不具備影響,導致這種結果出現的可能性之一是本研究的受測對象中,中國在地大學生均為美術高考(藝考)學生,他們就讀藝術設計相關專業的唯一途徑是通過特長生參加全國統一考試(高考)考上大學,這些學生通常具備高考前1-4年不等或者高於4年的美術專項學習和培訓,從某種程度上來說,他們具備一定的美術繪畫基礎和功底,這對他們美感經驗的積累和轉化為平面設計的創作提供了有力的保障,在泰中國大學生也有一部分是來自這個群體,但通過研究對象的背景變項中我們得知,還有一部分大學生,是通過留學泰國之後才選擇藝術設計相關專業和專業方向的學習,所以這一部分學生嚴格上來講,不具備美術繪畫基礎和功底,這會導致研究中因為這一部分學生的加入,影響樣本數的整體結構,所以,在泰中國大學生美感經驗雖然高於中國在地大學生,但其美感經驗在根本上影響不了他們對平面設計作品的創作。

## 5.2 研究討論與建議

本研究結果顯示受測的大學生對象美感經驗存在且持中上水準，說明在研究的群體中，藝術設計相關專業的學生都普遍存有美感經驗，並能在對美的快感中感受最深，在審美的態度、對美的理解力和完整經驗上較為均勻地表現；大學生美感經驗對平面設計的影響是顯著的，表示這種內在潛在的經驗可以為日後平面設計創作奠定較為紮實的基礎和思維，特別是在平面設計的創意方面，只有通過自身積累豐富且美好的經驗才會讓自己在創意的頭腦風暴上左右開弓，這種經驗，是能長時間潛意識存在的，這與張原誠 (2015) 所研究的美感經驗很可能經由潛意識與有意識的結合，成為學生創造力的潛在能量，在需要的時候會突然的出現相符。

本研究中在泰中國大學生美感經驗高於中國在地大學生美感經驗，說明大學生群體在跨文化的適應過程中，通過在中國成長學習之後再到來泰留學這種途徑，與多元文化直接接觸後對美感經驗有影響，導致原有的文化模式發生變化的現象，這與王祖嫻 (2016) 研究的相似。聯合國教科文組織國際教育大會發佈了《教育對文化發展的貢獻》的檔，指出：「跨文化性或多元文化主義意指關於不同文化的知識和理解，以及在一國內部各種文化成分之間和世界各國不同文化之間建立積極的交流與相互充實的關係。而留學生群體通過留學泰國，在跨文化感受中開拓視野，豐富自己的美感經驗是一種積極情結和經驗所產生的一種對對方文化的尊重，這從歷史和文化的視角來看，對當下中國提倡的“一帶一路”有一定聯繫和實際意義。

本研究主要探討大學生美感經驗對平面設計的影響，從社會科學研究的角度出發，結合本研究的研究假設，一般我們會認為，因果關係的邏輯足以證明和成立，但是，社會科學研究終將是一個複雜且多元交叉的學科，而平面設計又屬藝術設計的範疇，其藝術衡量標準和定義與美感長期以來被認為是一種只可意會，不可言傳的潛意識，與審美感受有比較相似的共同點。

本研究結果顯示，美感經驗對平面設計的影響有顯著影響，但從研究結果的延伸本研究又有新的發現，擁有美感經驗的人，不一定能創作平面設計作品，因為其可能不具備实操的能力，導致無法將美感經驗轉化為創意、美感、完整性和表現技法創作來呈現平面設計作品，術業有專攻，也就是說，美感經驗很高的人，不一定會成為優秀的平面設計師，正如優秀的教育頂層管理者，不一定會是學生喜歡的老師，同樣的，一個好的導演，他未必就是個好演員。

通過本研究聯繫實際，具備對平面設計的實際操作是非常重要的，通過理論聯繫實際，創作者可以從創意、美感、完整性和表現技法等方面去塑造理想的平面設計作品，這與美感經驗從感受轉化到實際中結合平面設計創作是非常重要的且具有相關意義的，所以，大學生群體在美感經驗的學習體驗和塑造中，應該與時俱進，在美感教育中陶冶感情、美化人生、鍛煉意志、養成道德、充實生活，讓自己具備人文情懷的同時，也不忘對設計專業技能的學習，因為只有通過動手能力的訓練才能更好、有效地將自己的美感經驗轉化，從而提升自己的綜合設計能力，在平面設計的創作過程中推動美感與美感經驗完美結合，升華設計作品。

## 5.3 研究限制

本研究僅進行了橫斷研究，截取受測對象一個時間點來進行美感經驗的統計分析，可能會對美感經驗的長期影響造成一些差異，同時，由於本研究是通過匹配受測者的平面設計作品完成，在創作的時限、環境、軟體等條件無法達到完全相等且不能監控其設計過程的限制下，可能會對本研究的平面設計作品在創作上存在或多或少的差距。由於在泰研究資源有限，加上本研究受測者只針對藝術設計相關專業的學生，故本研究中在泰中國大學生樣本數少於中國在地大學生樣本數。

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# 音乐素质教育对中国安徽普通高校大学生音乐审美观之影响

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## 摘要

音乐素质教育是素质教育的重要组成部分，是高校基础课程改革的重要环节之一。本研究分别选取安徽省普通高校三所，对其非音乐专业大学生进行问卷调查，旨在探讨高校音乐素质教育的实施状况对大学生音乐审美观的影响。

采用 SPSS 与 AMOS 统计软件作为资料分析工具，通过 Cronbach's  $\alpha$  系数和验证性分析检测问卷信效度，并使用了描述性统计分析、正态性检验、T 检定、ANOVA 单因素方差分析和 Pearson 相关分析等分析方法。

通过分析发现，选修了音乐课程的大学生，其对高校音乐素质教育与自身的音乐审美观及其各因子之间存在极强的相关性。这表明，对音乐素质教育课程的满意度会直接影响个体的音乐审美观，且对课程满意度越高，则音乐审美观及其各因子得分越高，两者间呈现极强的正相关关系。

**关键词：**普通高校音乐素质教育；大学生；音乐审美观

## 1. 研究背景

德育、智育、体育、美育和劳动技术教育共同构成素质教育，其中美育又称为审美教育，是素质教育的动力系统，能够“以美储善，以美启真，以美助健，以美益劳”（刘寒凌，1999）。毋庸置疑，在审美教育当中一大重要环节，关键部分当属音乐素质教育。音乐教育能够培养审美意识，培养良好品格，激发创造思维（赵梅枝，2008）。此外，美国音乐教育家贝内特·雷默提出了“音乐教育即审美教育”，足见音乐素质教育在整个素质教育中占据着重要地位。

基于对音乐素质教育重要性的认识，在课程实施中在基础教育学科当中将音乐教育规划在其中，一方面可以提高音乐素质教育在我国的普及度，另一方面可以使得艺术教育受到国家的重视与关注。大学作为高等人才的主要输出端，也是学校音乐素质教育的最后阵地，彰显着人才培养的质量。此外，当下高校教育改革的一大基本就是实施素质教育。而在普通高校的素质教育当中音乐素质教育是其中的不可或缺的关键组成部分。音乐素质教育有利于人才的全面发展与培养，极具现实意义（魏娜，2010）。对大学生的音乐素质教育发展现状进行研究探讨，对中国教育改革是否向全面推进素质教育纵深发展，有着十分重要的现实意义。

所谓音乐素质教育究其实质是为了提高音乐审美素养而实施的教育，即音乐审美能力。而音乐审美能力的基础是音乐审美观，音乐素质教育一方面可以开展音乐审美教育，使得学生对美的鉴赏能力、创造能力、感受能力、表现能力等有所提高，另一方面由于审美活动的开展使得人的智力、道德等受到影响，有所提高（昌利萍，2006）。同时音乐素质教育是极具现实意义的，可以对人的音乐审美能力做进一步培养与提高。人对于音乐的记忆能力、想象能力、感悟感知能力、理解能力、表达能力等由此得到培养与提高（邵萍，2005）。换言之，能够实现音乐审美能力、音乐审美观的培养及提高。音乐审美观对于个体的发展和综合素质的提升具有重要意义，而在实际的操作过程中，重视程度不足，而这种现象在音乐类专业中并不存在，对于此类院校及系部而言，音乐教育是其专业教育的范畴，因此本研究只选择普通高校非音乐专业大学生进行调查。基于我国普通高等学校音乐素质教育实施过程中的现实困境，本研究试图调查安徽省普通高校音乐素质教育中存在的问题，这一问题与我国普通高校音乐素质教育实施问题

是特殊与普遍，个性与共性的关系。在此基础之上，试图探讨音乐素质教育对音乐审美观有何影响，进而为普通高校进一步落实音乐素质教育提供数据支撑。

## 2. 文献综述

基于研究目的，本研究对中国普通高校大学生音乐素质教育、音乐美育及音乐审美观等探讨如下。

### 2.1 普通高校大学生音乐素质教育

中国高校大学生的基本特点是思维活跃、文化知识水平高，极具热情与理想 (李欣, 2007)，因此针对大学生的以上特点所进行的音乐素质教育这些特点都应当被包含在其中，如今的大学由于在音乐教育方面缺乏系统性、连贯性，所以音乐素质普遍不高，较为薄弱。当务之急需要对高校音乐素质教育做进一步提高与加强，音乐基本技能、基础知识、审美等内容都应当被包含在高校学生音乐素质教育当中 (马莉, 2008)。

现代高校素质教育是一个完整的系统，而素质教育的一大关键组成当属音乐素质教育。人的人生观、审美观、价值观等都会由此受到直接影响。不同于其他艺术，音乐所具有的审美特征、教育功能是极其独特的 (黄沛舜、李阳, 2008)。所谓美育就是进行审美教育的开展，使得大学生可以具备有一定的审美情趣、审美意识、审美能力，并在此基础上实现审美理想的树立，使情感得到陶冶，净化心灵，升华精神，完善品格。音乐这一艺术在进行情感表达的时候都是通过音乐语言来实现的，其在进行审美体验传递、审美理想构建的时候，都对美育进行了基本特征体现。总之在音乐素质教育当中一大关键就是审美教育。审美意识、审美准则、审美情趣等都被包含在音乐美育当中。人的情感在音乐的独特表现下得到激发。总之在人的审美情趣等方面的培养，音乐素质教育的作用发挥是无可取代的 (黄乃星, 2000)。

### 2.2 音乐美育

音乐美育是以音乐艺术为内容及实施手段来开展审美教育。“审美”是人类理解音乐的重要和共同的心理基础，审美的音乐教育观点认为以审美的角度去聆听音乐是最有价值、最合适或最具有音乐性的聆听 (蔡蕾, 2007)，音乐的立意美、情境美、音韵美、曲调美和配器美等审美因素是学生获得审美体验和审美感受的先决条件，音乐具有引起人们“愉快”的功能，不但能够“娱耳”还能够“移情”。正如康德所谓的美是“无目的的合目的性”和“审美无功利”的思想，审美的目的是让人自然的产生愉悦的情感，通过赏心悦目的艺术形式使人获得审美愉悦的同时揭示美的规律、认识美的本质，最终实现的功能。音乐是实施美育“极好”的教材，音乐教育本质上就是美育。蔡元培在《对于教育方针之意见》中根据中国古代的礼乐思想提出“礼为德育，而乐为美育”，明确的表述“唱歌，美育也”，更明确的把音乐和美育联系在了一起 (代百生, 2012)。

### 2.3 音乐审美观与美感体验

教育取向的音乐审美教育核心点在于“教育”，是从教育价值衡量审美教育，是以音乐作为教学手段和教学工具实现教育功能，更确切地说是通过音乐审美教育达到全面素质教育的目的，其主要体现在普通音乐教学活动中，是把审美价值和其他价值紧密关联在一起，遵循以人为本的教育发展规律，通过音乐审美教育带动其他功能一同发展进步。

苏珊·朗格经过系列研究，得出的结论是人类情感可以通过艺术得以体现。所谓艺术教育归根结底还是情感教育。在她看来情感生活的纂写离不开音乐，是以要想实现音乐教育的进一步发展一大主要手段是情感体验 (苏珊·朗格, 1986)。

人的感官可以受到外界事物的作用进行复杂情感体验也就是常说的美感体验。人的日常工作、生活会由于美感而产生促进作用，获得精神层面的快乐 (陈丽君, 2010)。所谓音乐欣赏就是声波通过震动的形式在空间得以存在，机体感官由此受到情感体验，产生情绪反应与变化 (周荫昌, 1998)。在音乐教育当中，音乐欣赏教学属于重要内容之一，学生可以通过该教学形式最

容易的实现美感体验的获得。该教学的开展对于学生的素质培养、能力培养都是极其重要的,影响巨大,具体体现在审美情趣、审美情操、审美能力等方面(曹理、何工,2000)。所以从美育角度出发,所谓音乐欣赏教学其实属于过程性操作,对音乐作品进行欣赏,对美进行体验,理解、感悟音乐内涵实现人格教育与培养(陈丽君、文琪,2017)。

### 3.研究方法

为了解决研究目的,本研究借鉴其他学者对于音乐素质教育调查的具体方式,从学生端去了解安徽省普通高校音乐素质教育的实施现状。大学生作为高校教育教学的最终承载者,他们对于音乐课程的体验,代表着教育教学的效果,因此,从学生的角度出发,衡量高校音乐素质教育的现实状况,具有一定的科学性和可行性;同时,本研究采用学生自测量表,衡量大学生的音乐审美观,因此从他们对音乐教育的体验入手,能够保证研究逻辑的一致性。之所以选择大学生对音乐课程的体验而不是其他的音乐教育形式,主要是因为课程是学校教育教学的主要形式,它最能够代表学校的教育实施情况。

#### 3.1 研究对象与施测方式

本研究以安徽省普通高校非音乐专业大学生为总体,在安徽省合肥学院、淮南师范学院和安徽科技学院的非音乐专业大学生为研究对象进行问卷调查。受测学生年级包含大一至大四,学生专业包括体育、外语、新闻、建筑、哲学、计算机等涵盖文科与理工科的大学生。问卷发放分为两个阶段,一是发放300份问卷进行预试,检验问卷的信度与效度。二为正式施测,共计发放问卷1500份。

#### 3.2 研究工具

本研究所采用的问卷由两部分构成,第一部分主要包括人口统计学方面的基本信息,以及非音乐专业大学生对音乐素质课程的参与情况和总体满意度,主要的问题有:在基础教育阶段是否接受过音乐教育、是否选报院校开展的音乐选修课、选报音乐选修课的动机、学校开展音乐课程内容合理、从音乐选修课中有所收获、学校是否积极开展音乐素质教育等相关问题。

第二部分采用了专门的量表,该量表改编自台湾学者张原诚(2015)的“美感经验量表”。所谓美感经验是指观者与美感客体所产生的回馈,将美感吸收与内化成就了美感经验。音乐欣赏是一种特殊的精神活动,由感知开始,进入体验,达到审美的状态,最终将整个过程变成美感经验。这种审美感知既符合音乐本身具有的审美特征,又符合人们对音乐艺术的审美需求(张蕴华,2004)。故研究者采用此美感经验量表作为研究工具。

### 4.研究结果

#### 4.1 基本信息

本研究问卷采用问卷星平台制作并通过微信在所选高校各年级各专业班级群中进行发放,发放时间总历时一周,最终共收回问卷1500份,因问卷设置不允许漏选、多选,故并无无效问卷。

#### 4.2 正态性分析

首先对各变量得分进行正态性检测,通常认为,偏度0,峰度为3的分布为标准正态分布。为了检查各变量的数据,是否近似单变量正态分布,偏度和峰度的绝对值在1以内,可将数据视为近似单变量正态分布。如表4.1中的结果所示,四个因子得分的偏度、峰度都在-1到1的区间内均匀上下波动,数据符合单变量正态分布的特点。

表一 正态性检测

因子	N	Skewness	SE	Kurtosis	SE
音乐审美快感	1500	-0.942	0.141	-0.640	0.281
和谐的态度	1500	-0.956	0.141	-0.598	0.281
音乐审美的理解	1500	-0.947	0.141	-0.595	0.281
潜在经验	1500	-0.927	0.141	-0.637	0.281

#### 4.3 差异性分析

将调查对象的性别作为分类变量，对音乐审美观及其内部四个维度进行独立样本 T 检验，以此分析音乐审美观的性别差异。

表二 音乐素质教育满意度与音乐审美观的相关分析

	性别	例数	平均值(E)	标准偏差	t	P
音乐审美快感	男	899	3.823	1.087	-0.141	0.888
	女	601	3.831	1.090		
和谐的态度	男	899	3.796	1.101	0.171	0.864
	女	601	3.786	1.080		
对音乐审美的理解力	男	899	3.822	1.088	0.003	0.998
	女	601	3.822	1.065		
潜在的经验	男	899	3.793	1.086	-0.066	0.938
	女	601	3.797	1.098		
音乐审美观	男	899	3.809	1.059	-0.020	0.984
	女	601	3.810	1.054		

将受测学生的年级作为分类变量，对音乐审美观及其内部四个维度进行单因素方差分析，以此分析音乐审美观的年级差异。

表三 音乐素质教育满意度与音乐审美观的相关分析

	年级	N	平均值(E)	F	P
音乐审美的快感	大一	380	3.841	0.882	0.449
	大二	371	3.800		
	大三	372	3.889		
	大四	378	3.769		
和谐的态度	大一	380	3.806	0.830	0.407
	大二	371	3.784		
	大三	372	3.850		
	大四	378	3.726		
对音乐审美的理解力	大一	380	3.843	1.076	0.358
	大二	371	3.795		
	大三	372	3.892		
	大四	378	3.759		
潜在的经验	大一	380	3.818	0.465	0.707
	大二	371	3.781		
	大三	372	3.831		
	大四	378	3.746		
音乐审美观	大一	380	3.829	0.833	0.476
	大二	371	3.791		
	大三	372	3.867		
	大四	378	3.751		

以专业作为分类变量，对音乐审美观及其内部四个维度进行独立样本 T 检验，以此分析音乐审美观的专业差异。

表四 音乐素质教育满意度与音乐审美观的相关分析

	所在专业	例数	平均值(E)	标准差	T	p
音乐审美快感	文科	712	3.794	1.118	-1.099	0.272
	理工科	789	3.856	1.060		
和谐的态度	文科	712	3.746	1.114	-1.523	0.128
	理工科	789	3.832	1.071		
对音乐审美的理解力	文科	712	3.776	1.113	-1.565	0.118
	理工科	789	3.864	1.045		
潜在的经验	文科	712	3.749	1.121	-1.524	0.128
	理工科	789	3.835	1.061		
音乐审美观	文科	712	3.767	1.087	-1.460	0.145
	理工科	789	3.847	1.028		

#### 4.4 相关分析

结果显示，大学生对高校音乐素质教育的整体评价与音乐审美观及其内部各因子达到了显着相关，且相关系数  $r$  均大于 0.8，这说明大学生对音乐教育的实施状况对音乐审美观及其内部各因子之间具有极强的正相关性。大学生对高校音乐素质教育的评价与音乐审美观及其内部因子之间的相关性从低到高依次为：和谐的态度、对音乐审美的理解、潜在的经验、音乐审美的快感和音乐审美观。

除此之外，从表中数据还可以看出音乐审美观及其各因子中，两两之间均有极强的正相关性。各因子与音乐审美观相关性从低到高依次为：和谐的态度、潜在的经验、对音乐审美的理解力、音乐审美的快感。

表五 音乐素质教育满意度与音乐审美观的相关分析

	音乐审美的快感	和谐的态度	对音乐审美的理解力	潜在经验	音乐审美观	音乐素质教育
音乐审美的快感	R 1	0.930**	0.937**	.930**	.978**	.917**
和谐的态度	R .930**	1	.923**	.920**	.969**	.899**
音乐审美理解力	R .937**	.923**	1	.927**	.972**	.906**
潜在经验	R .930**	.920**	.927**	1	.971**	.906**
音乐审美观	R .978**	.969**	.972**	.971**	1	.933**
音乐素质教育	R .917**	.899**	.906**	.906**	.933**	1

## 5. 结论

本研究研究目的旨在探讨安徽省普通高校非音乐专业大学生音乐素质教育对音乐审美观之影响。为达研究目的，采用问卷调查法以进行研究探讨，经由演推分析结果，本章节将针对本研究目的及分析结果，进行结论及讨论。

### 5.1 研究结论

音乐素质教育的实施状况，对于大学生的音乐审美观具有较高的预测性，下面将对研究结

果进行梳理,分别呈现音乐素质教育的现状、音乐审美观以及两者之间的关系。

### 5.1.1 安徽省普通高校大学生音乐素质教育的实施现状

安徽省普通高校非音乐专业大学生对音乐素质教育的满意度,在性别和年级变量上存在微小差异,但是音乐素质教育在上述维度上不存在显着性差异,而在专业维度上达到了0.1的显着性水平,即专业对大学生的音乐素质教育的满意度产生了显着影响。此外,基础教育阶段接受音乐教育的状况,并不会对高校音乐素质的满意度产生直接而显着的影响。

从表面上看,大学生选修动机对音乐素质教育的满意度没有明显影响,但是通过深入剖析发现,基于兴趣需要而选择音乐课程的大学生之所以有较高的评价,源于音乐课程的内容以乐理和名曲鉴赏为主,因此能够满足他们的需要;而对于为了补休学分的大学生而言,他们不大关注音乐课程具体教学内容,更多看重的是音乐课程容易拿学分的功利性目的;还有部分学生认为音乐课程并没有达成自己的期待。也就是说,音乐课程从内容上而言,没有兼顾到学生多样化的需求。

### 5.1.2 安徽省普通高校非音乐专业大学生的音乐审美观

非音乐专业大学生的音乐审美观在性别、专业、年级上均为达到显着性差异,即人口统计学因素并不对大学生的音乐审美观及其内部各因子产生显着影响。基础教育阶段音乐教育的经历对音乐审美观及其内部各因子均没有显着的影响。音乐审美观总体与内部各因子之间,两者存在显着的正相关性。

### 5.1.3 音乐素质教育与大学生审美观的关系

大学生对高校音乐素质教育的满意度与其音乐审美观及其内部各因子均达到了显着的正相关性,且相关水平极强,即从大学生对音乐素质教育的满意度可以预测大学生的音乐审美观,相应地,也可以说,大学生音乐审美观的高低可以预测大学生对音乐素质教育的满意度。

## 5.2 研究建议

大学生对高校音乐素质教育的满意度能够显着预测大学生的音乐审美观及其内部各因子,因此对于高等学校而言,通过改进音乐素质教育的质量而提升大学生音乐审美观,进而提升大学生的综合素质具有现实的必要性和可行性。

如今的大学生其音乐审美特点是强烈、变化性强,理解较为零散、片面,具有一定的独特性、不确定性等。种种这些情况导致当代大学生在进行音乐审美的时候存在行为上的盲目性,自以为是的情况较为明显。音乐高校教育者需要对这一问题引起重视与关注。使得学生可以实现音乐审美观的正确树立。对学生进行积极、健康审美情趣、审美观念的引导、指导与塑造。使得学生具备有一定的审美能力、判断能力,可以进行审美活动的正常、自行开展。

一方面需要使学生的音乐素养、审美能力得到全面培养与提高,另一方面需要对学生加强音乐素质教育。可以通过以下措施改善音乐素质教育的实施状况:

(1)提高思想认识,进行课程建设。第一,各大高校在进行音乐素质教育课程设置的过程中需要对音乐艺术特性进行充分考虑。提高教学效率,利用有效的教学时间使得学生可以对音乐基本知识有所掌握。第二,围绕课程建设这一发展核心,实现高效音乐管理水平的全面性、综合性提高。第三,音乐素质教育课程标准需要得到完善、科学、合理的制定,由此实现高校大学生审美素质的全面提高,是提高音乐课程质量的根本保证。

(2)艺术实践活动还需丰富与多样。充分发挥学生在音乐素质教育中的主体作用。音乐素质教育是基本教育,需要实现普及发展,需要保证教育的平等性。

(3)实现教学内容的多样化发展,音乐欣赏教学需要进一步加强,需要增加教学实践活动。作为人类千年的精神财富,文化遗产,音乐内容是丰富多样的,所以其教学内容也应当更加广泛。音乐素质教育是普及教育其教学内容应当丰富多样,在进行教育课程设置的时候需要根据学生的兴趣爱好、能力水平等进行在综合考虑与开设。

(4)切实发挥教师的主导作用,对教学管理做进一步完善。针对音乐课程考核简单,混学分的



突出这一现象,应通过完善教学管理,严把关。在教学管理体系当中艺术教育没有被纳入其中,需要对其教学管理做进一步完善处理。

(5)增加投入。音乐素质教育需要与校园文化建设相结合,由此实现基础物质保障的获得。学校应当加大这方面的教育投入,对其给予其他学科的同等重视与对待。

本研究仅选取了安徽省内北、中、南三部的三所普通高校,因此地域性较强,研究对象的范围较窄,不能代表全省乃至全国音乐素质教育对音乐审美观的影响。今后可以进一步扩大选样的范围,增加数据的涵盖面和说服力。

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# PUGC 模式：未来国内短视频的发展模式

储文韬

安徽大学艺术与传媒学院

## 摘要

伴随着移动互联技术的普及和人工智能技术的深入应用，手机端流量提速降费的趋势越发明显，视频的生产与传播呈现出日益低门槛化。随着 BAT 入局短视频平台，加快短视频赛道发展。UGC（User Generated Content，用户生产内容）模式的出现和发展，在我国掀起了一股“全民自制视频”的热潮。但是 UGC 模式下生产出的内容暴露出不少问题，饱受争议。在此背景下，UGC 结合 PGC（Professional Generated Content，专业生产内容）而形成的 PUGC 模式，即“专业用户生产内容”或“专家生产内容”模式应运而生。本文将以太视频为例，通过分析 PUGC 模式的特点，最终论证 PUGC 模式是未来国内短视频内容生产的良性发展之路。

**关键词：**PUGC 模式；短视频；梨视频

## 1.引言

移动终端的普及和手机移动网络的提速降费，短平快的大量流量传播内容越发受到各大平台、粉丝和资本的青睐。近年来，随着移动互联网技术不断发展和移动智能终端的普及，制作、分享、消费移动短视频正在成为越来越多人触手可得的日常生活行为。一般认为 Web2.0（论坛、博客为代表）和 Web3.0（社交平台、微博客为代表）的相继流行。在我国，伴随着移动互联终端的移动短视频发展迅速。截至 2017 年 12 月，我国移动视频用户已经突破 5 亿。2013 年下半年，微视（腾讯）、秒拍（新浪）、美拍（美图）三大短视频分享工具相继出现，短视频活跃用户显著增加。随着越来越多的企业“涉水”短视频市场，2017 年，我国短视频平台的数量出现井喷式增长。我国短视频平台几乎都倡导 UGC 模式，强调将内容生产、传播的权力下放给普通用户，追求用户生产内容的个性化与多样化。但是在短视频发展的过程中，这种模式暴露出一些问题：质量参差不齐、同质化严重、侵犯版权等。此时，PUGC 模式走向前台，成为短视频未来良好的发展模式。

## 2.短视频的定义及其发展沿革

短视频即常规意义上的短片视频，是一种互联网内容传播方式，多指在互联网上的传播时长在 5 分钟以内的视频传播内容；随着移动终端的普及和网络的提速，短平快的大流量传播内容逐渐获得各大平台、粉丝和资本的青睐。社会化商业网将短视频定义为：“是一种视频长度以秒计数，主要依托于移动智能终端实现快速拍摄与美化编辑，可在社交媒体平台上实时分享和无缝对接的一种新型视频形式。它融合了文字、语音和视频，可以更加直观、立体地满足用户的表达、沟通需求，满足人们之间展示与分享的诉求。”

发展初期，我国的短视频一般发布在视频网站上。经过十几年的发展，优酷土豆、爱奇艺、PPTV 等视频网站相继上线，成为大量视频的重要“集散地”。随后，移动终端设备不断普及，移动网络环境不断改善，短视频的发布平台从 PC 端延伸至移动端。经历了 2013 年、2014 年的井喷式发展阶段，2015 年中国短视频市场进入调整阶段，但平台数量和用户规模仍然呈稳步增长

的趋势。目前，我国短视频市场呈现出一片“欣欣向荣”之景，秒拍、美拍、小咖秀、快手、逗音等娱乐性短视频平台“争奇斗艳”。2016年，梨视频和今日头条等相继宣布将资本注入短视频市场，带动了短视频在新闻行业的发展。从娱乐性短视频到新闻资讯类短视频，短视频的发展正经历着从业余到专业、从娱乐到严肃的过程。

## 2.1 移动技术更强，用户时间更碎片化，社交需求升级。

### 2.1.1 移动互联网技术和 AI 技术的发展

随着移动智能终端的普及和人工智能技术的发展，用户可以随时随地的拍摄和观看短视频，使用场景更加多元化，流量升速降费增加了短视频产品的使用频率。

### 2.1.2 分享，社交的大众心理需求

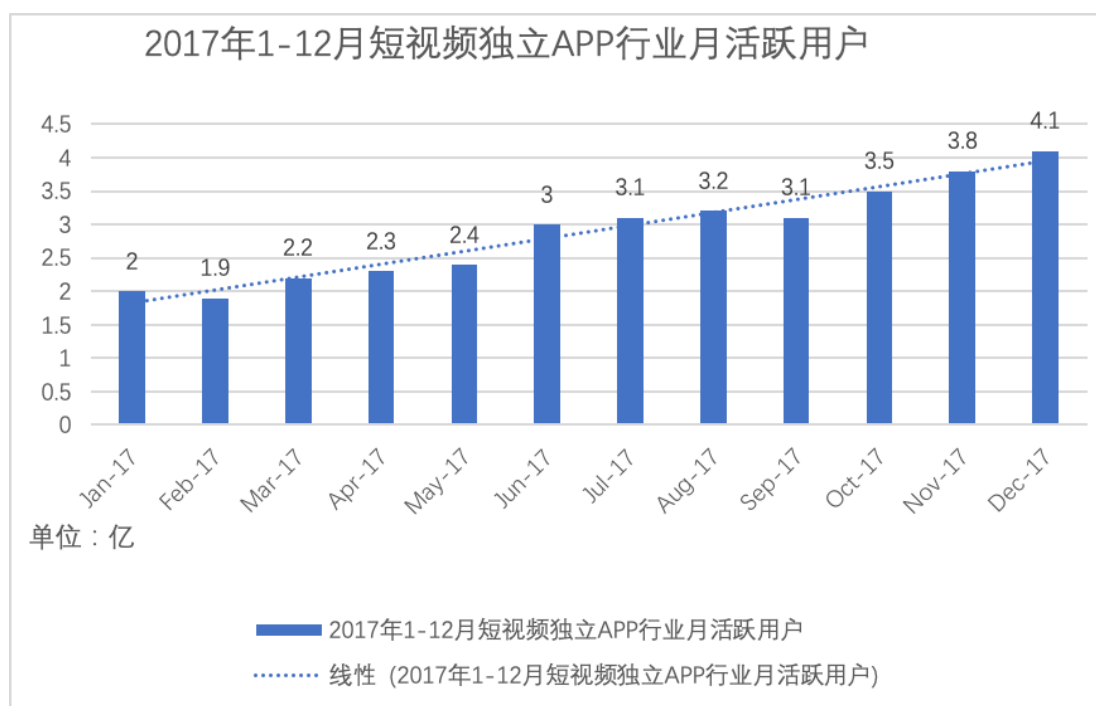
用户逐渐不满足于观看，而希望自己成为生产者，用视频记录分享自己的生活，视频技术的发展驱动生产难度系数大大降低，用户参与欲望激增。

### 2.1.3 用户注意力碎片化

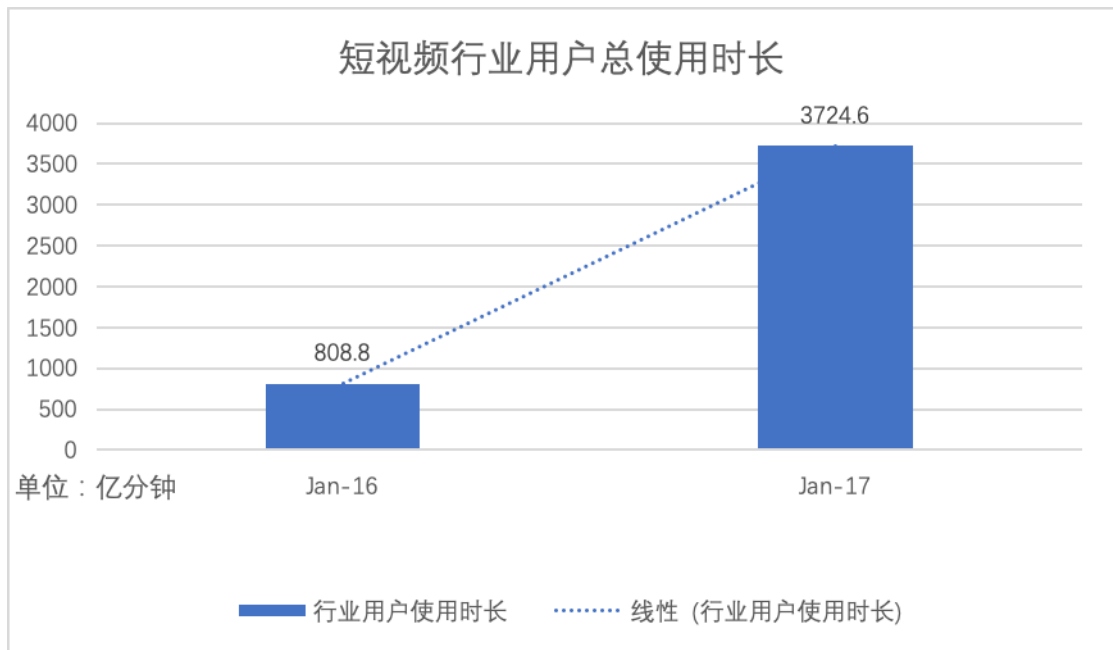
相比于传统长视频，短视频对用户碎片化时间的使用更加合理，更符合用户在当下时间被严重切割的场景下的使用需求，相比于图文，短视频更加能够带来更多、更直观的信息和观看体验。

## 2.2 用户注意力缩短，用户习惯发生不可逆转的迁移。

根据 QuestMobile 2017 年中国移动互联网年度报告可以清楚的看出短视频用户总量、使用时长呈现出明显的上升态势。

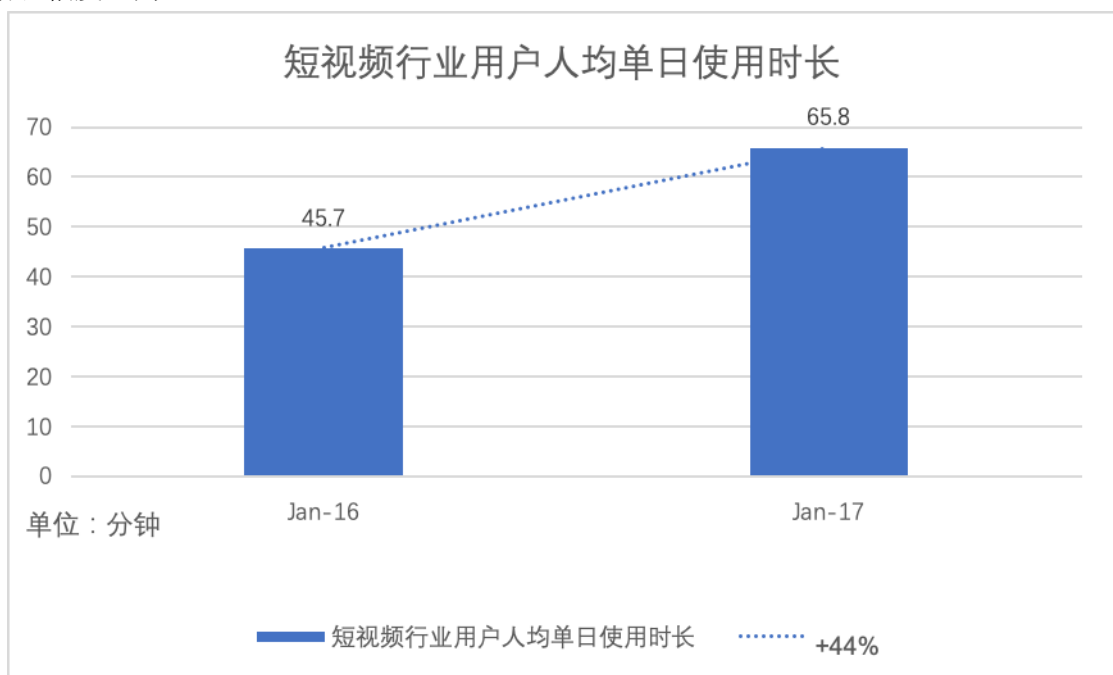


图一 2017年1-12月短视频独立APP行业月活跃用户  
行业用户突破4.1亿人，同比增长116.5%，短视频的发展已经成为当下最大的红利蛋糕。



图二 短视频行业用户总使用时长

碎片化的使用方式以及内容的丰富性促进短视频总使用时长相比于 2016 年出现井喷式增长，增长幅度比为 360.5%。



图三 短视频行业用户人均单日使用时长

单日人均使用时长增加至 65 分钟每天，优秀内容的引进，短视频进一步挤占用户时长，成主要舆论场景之一。

## 2.3 短视频行业加速创作领域发展

### 2.3.1 内容生产方式

短视频领域按内容生产方式的区别大体可以归为：

UGC (User-generated content, 用户生产内容)，如微博、朋友圈、知乎、豆瓣等产品，内容质量在很大程度上取决于信息源头的制作水平，从而导致参差不齐，质量很难得到保障。

PGC (Professionally-generated content, 专业生产内容), 某领域具有一定的专业度, 出于爱好无偿共享自己的知识内容。分类更加专业, 内容质量也更有保证, 如日常中各视频网站的热门内容, 往往都是出自于 PGC 之手。

OGC (Occupationally-generated, 职业生产内容), 以职业为前提, 其创作内容属于职务行为, 有偿提供创作内容。如各大新闻站点、视频网站, 其内容均有内部自行创造和从外部资金购入版权。

PUGC (Professional User Generated Content 即“专业用户生产内容”或“专家生产内容”), 一定程度上可以理解为 UGC+PGC+独家版权, 优质内容的独家呈现。如喜马拉雅 FM 平台集合了众多优质大咖的有声内容。

通过内容制作源头的区别, 将短视频内容生产的模式进行区别划分, 而在本质上而言 PGC 属于 UGC 的大范畴, OGC 与 UGC 相对立, PUGC 是更注重的是内容生态链。

### 2.3.2 平台分析——聚合+社交, 两大类短视频属性定位

当下, 用户随手拍摄短视频分享已经取代图片成为社交常态, UGC 和 PGC 两条腿同步快速发展。PGC 领域专业制作机构雨后春笋, 内容质量进一步提升。短视频定位大体可以分为以梨视频、西瓜视频等为代表的聚合类短视频和以抖音、快手、火山小视频等为代表的短视频社交。聚合类短视频多呈现 PGC 或是 PUGC 模式去记录传播咨询新闻生活方式等, 而社交类短视频则以 UGC 为主去呈现广大受众的兴趣点。

### 2.3.3 内容分析

UGC、PGC 与新闻短视频各自有着不同的特点, 市场互补性较强。在 UGC 领域, 明星与平台达人引爆粉丝经济, 逐渐成为普通用户日常社交平台。像迪丽热巴, Angelababy, 何炅平均 1500 万粉丝引爆明星短视频社交时代。而在 PGC 领域, 宇宙级网红和专业 MCN 机构竞相角逐。其中比较有代表性的有“办公室小野”, papi 酱等已经成为短视频时代的超级明星。市场呈现“组团”作战趋势, MCN (Multi-Channel Network) 机构数量上升。

伴随着短视频行业的迅猛发展, 随之而来的变现难题一直萦绕。更具规模化和专业性的 MCN 模式, 或成为很多视频内容生产者的选择。MCN 是一种多频道、网络的产品形式, 起先适用于资本市场相对配套完备的欧美等国家, 最早运用于视频网站 Youtube。其本质即将平台下属不同类别、不同内容形式的优质 PGC 或 UGC 整合起来, 在平台化的运营模式下为内容的创作者提供商务、营销等服务, 在资本的运作下, 持续稳定的传播, 从而最终实现商业资本的稳定变现。放眼国内 MCN 市场, 跟风与投机并存。

## 3. 目前短视频 UGC 模式的问题分析

目前, 不少企业“涉水”短视频市场, 以注入经济资本的方式带动着短视频这种文化资本的发展, 短视频市场一片火热。但是在繁荣的表象背后, 短视频深层次的问题开始慢慢凸显出来, 主要表现在以下几个方面:

### 3.1 欠缺优质内容, 信息过载与信息欠载需平衡

目前, 短视频平台多采用 UGC 生产模式。在这种模式下, 优质内容的欠缺是短视频面临的巨大难题。UGC 模式追求内容的多元化和个性化, 强调每个用户都可以随时随地生产内容, 这势必导致信息过载与信息欠载的现象出现。信息过载指的是用户每天都要接触大量的信息, 这种信息多数时间超过用户的一般需求。信息欠载指的是在海量信息中, 值得用户用心关注的、有价值的信息是寥寥无几的, 大部分内容是无意义的。以秒拍为例, 每日视频上传量可达三百多万, 但多以草根自拍为主, 内容可看性较低。<sup>[3]</sup>现如今, 人们生活节奏加快, 忙碌的时间促使人们只能用碎片化的闲暇时间来进行“浅阅读”。新媒体的出现将人们从传统媒体时期的“深阅读”状态中解放出来。用户开始追求信息的浅层化和多样化, 短视频平台及时注意到用户的需求,

注重信息生产的广度。但久而久之，用户乏力于找寻到有价值的内容，多样化的信息会让他们迷失在信息海洋中，感到无所适从。此时，高品质、有价值的内容再次成为用户的需求。虽然目前短视频平台已经意识到这一点，着力于制作高品质内容，但是相比于广阔的市场需求来说，不管是数量上还是质量上仍然显得捉襟见肘。所以，短视频平台还要继续坚持提升价值挖掘的能力，制作高品质内容，有效平衡信息过载与信息欠载。

### 3.2 短视频用户缺乏基本的参与素养，亟需提高

UGC 模式最大限度的调动了普通用户生产内容的积极性和个人创造力，使得用户的主体意识觉醒并不断加强，赋予了用户更加直接和生动的表达方式。用户主动生产短视频，一来体现了其主体意识的增强，二来体现了其娱乐意识的提高。但是在“全民自制视频”的浪潮下，用户参与短视频生产与传播的基本素养问题暴露无遗。

一方面，新媒体将主动权和话语权下放到广大用户的手中，给予每个用户更大的创作自由，用户可以随心所欲的生产任何内容。这种权力的突然性获得使得某些用户的自豪感爆棚，他们对手中的权力觊觎已久，一旦获得权力，往往会使得他们缺乏自律和约束，滥用权力。他们生产出的内容更容易对社会产生负面影响。2016 年被誉为“中国网络直播元年”。在这一年中，直播平台呈井喷式增长。不少短视频平台纷纷植入视频直播。短视频的精简、视频直播的直接，两者结合，优势互补，强化了短视频平台的影响力。但是，不少用户为吸引眼球，不惜卖弄自己的身体，传播淫秽、暴力、教唆犯罪等内容，严重影响了短视频市场的秩序。

另一方面，网络的出现将人们以趣缘方式凝结为一个个趣缘社群。在趣缘社群中，掌握更多信息或能力的人往往会成为“意见领袖”。在传统媒体时期，意见领袖的作用是巨大的，新媒体时期亦然。现如今，意见领袖仍然发挥着巨大的影响力，他们可以左右网民的想法，甚至影响舆论。在短视频的生产、传播过程中，如若意见领袖恶意煽动网民情绪，网民也常常毫不知情，他们在群体中极易被诉诸情感的内容所左右，甚至做出一些极端行为。他们会服从种种原始的冲动，诸如好爽的、残忍的、勇猛的或是懦弱的。所有的这些冲动总是趋于一个极端，表现得极为强烈。<sup>[4]</sup> 在新媒体时代，传播环境发生了翻天覆地的改变，电视媒体不再垄断着重大事件的现场直播权，新兴的网络媒体或自媒体开始走上前台，使得媒介事件的建构呈现出新的特征。在 2015 年的“9·3 阅兵”中，不少意见领袖利用网民的爱国心理，在生产、传播短视频时颠倒黑白，恶意激发起网民的民粹主义。

### 3.3 用户存在不确定性，平台持续能力存疑

UGC 模式强调由用户来生产内容，用户是成为 UGC 模式构成最基本，也是最重要的因素。短视频平台离不开用户，用户的个人生产力与创新力是平台持续的创新源泉。然而，UGC 模式下的短视频平台，其用户存在严重的不确定性。虽然 UGC 模式重视用户，但是如果用户生产的内容与平台倡导的理念不相符，平台方可以任意删除或修改、甚至拒绝用户生产的内容，长久下去势必会挫伤用户的积极性，最终导致用户流失。在 UGC 模式下，用户地位有所提高，但总体而言仍处于可能被随时“抛弃”的一方，这就导致了用户的不确定性越来越高，用户的流动性越来越强。如果此时出现其他同属性、同品质的平台，用户有极大可能转向其他平台。在用户流失的情况下，坚守 UGC 模式的短视频平台将缺乏持续能力，失去创新的源泉，无法带来一定的经济效益。

## 4. 梨视频的 PUGC 模式运用分析

2016 年，澎湃新闻创始人邱兵带着“一只只有澎湃味的梨子”——梨视频，再次进入公众视野。创立之初，邱兵将梨视频的生产模式定位为 PUGC。邱兵之所以没有选择走国内大部分短视频平台的“老路”，一来是因为他认为单纯的 UGC 生产模式会生产出大量鱼龙混则的内容，给用户的消费增加不必要的困难。而 PGC 模式重视内容的专业性与高品质，两者结合产生的新的生产

模式 PUGC, 很好地将两者进行互补。二来是因为当前我国的短视频市场已经接近于饱和状态, 且大部分短视频平台已经成熟运用 UGC 模式, 如果梨视频走相同的路, 那么不仅无法体现出自身的风格与特色, 更无法与今日头条、微博等“老牌”平台“分庭抗礼”。

在全民倡导 UGC 生产模式的大环境下, 梨视频的出现成为短视频市场的“一股清流”。在 PGC 生产模式的带动下, 目前梨视频共开设了 20 多个原创栏目, 这些栏目的内容是由梨视频自身的专业记者精心制作。原创栏目保证了梨视频每日推送的内容的专业性和系统性。为用户推送优质内容是梨视频的初衷。在坚守 PGC 模式的同时, 梨视频并没有完全抛弃 UGC 模式。UGC 模式是短视频平台灵感的来源和持续力的保证。梨视频专门设立了拍客频道, 为广大用户提供了生产、传播内容的平台。“全球拍客, 共同创造”是梨视频的口号。梨视频的全球拍客网络现已遍布国内外 520 余城市, 拥有 3100 多位拍客。梨视频的全球拍客系统在 2016 美国大选期间的作用可见一斑。<sup>[5]</sup>

## 5.PUGC 短视频特点分析

UGC+PGC 是一种全新的组合形式, 但 PUGC 模式并不是两种模式的简单相加, 而是两种模式之间的相互嵌套和融合。PUGC 短视频是在 UGC 和 PGC 两种模式下的共同作用之下制作出来的, 呈现出一些新的特点。

### 5.1 PUGC 短视频兼具个性化与专业化

在传统媒体时代, 受众总是被描述为被动的, 他们时常作为“他者”而存在, 主体性被严重抑制。新媒体的出现使得网民主体意识觉醒并不断增强, 他们开始追求主动的表达自己的想法和观点, 强调对“自我”的关注。传统媒体时期被动的受众逐步转变为主动的用户。UGC 模式成为短视频平台吸引用户的“利器”。UGC 模式不仅是一种个人发表观点的渠道和平台, 更是一种个人的日常生活习惯。UGC 模式下的内容由用户自己生产出来, 从贴近性原则来看, 满足了各类用户的需求, 更容易引起其他用户强烈的共鸣。但是, UGC 模式下的内容往往只注重个性化而忽视专业化, 这成为其向前发展的阻碍。

PGC 模式与 UGC 模式相对, 强调由专业人士制作、生产内容, “内容至上”是他们遵循的原则。他们认为优质内容是取胜的唯一“法宝”。但是在新媒体时代, 用户接收信息的渠道不断延展, 他们不仅注重高品质的内容, 更关注与自身利益相关的内容。PGC 模式下的内容追求高品质与有深度, 但是无法满足用户对个性化的需求。

PUGC 模式下生产出来的短视频, 成功的将 PGC 模式下生产者的专业化与 UGC 模式下用户需求的个性化进行巧妙的结合。PUGC 短视频既满足了用户对专业化、高品质内容的需求, 又达到了贴近性且个性化的效果, 满足了短视频用户的多种需求。这一模式极大程度上提升了短视频平台内容的品味。

### 5.2 PUGC 短视频内容多元且高品质

传统 UGC 模式强调用户生产内容。随着技术的发展, 信息传播越来越呈现出低门槛化, 甚至是“零门槛化”。每个用户只要拥有一部智能手机, 连接上网络, 就可以拍摄、上传一部短视频, 这致使网络上的信息鱼龙混杂。再加上网络上“把关人”的缺失, 导致无法对视频内容进行有效的监管, 这就使得用户自制的视频内容频繁暴露出质量良莠不齐、同质化、侵犯版权等问題, 饱受争议。

反观 PGC 模式, 虽然其载体仍然是互联网, 但是拥有专业的“把关人”, 专业制作加上严格筛选, 使得 PGC 模式下的内容几乎都制作精良。但是新媒体时代, 网民的数量逐年增加。截至 2016 年 12 月, 我国网民规模已经达到 7.31 亿, 半年共计新增网民 2167 万人。<sup>[6]</sup>网民数量的增加使得传播环境更趋复杂, 为 PGC 模式下的内容提出了更大的挑战。每一个用户的需求都不尽相同, 单一的高品质内容已经不再是“王道”。



PUGC 模式下的短视频，将 PGC 模式的高品质与 UGC 模式的多元化融合。内容的多元化主要体现在用户群体的广泛性与复杂性。用户的多元需求催生了内容的多样化。内容的高品质得益于生产者与制作者拥有较高的专业知识和较强的专业技能、素质。两者结合，既保证内容的多样化，也达到了高品质的要求。

### 5.3 PUGC 短视频交互性强且高质量

前互联网时期，传统媒体固守的是单一的“传——受”模式，对受众的需求与反馈不予理会。即使有所反应，也大多是消极反应，讲不上是真正的交流互动。加之传统媒体一般都是“高高在上”的存在，受众无法与之接触，没有渠道发出自己的声音。交互性一直是横亘在传统媒体面前的难题。相较而言，交互性是互联网媒体最显著的特征。追求交互性，吸引用户并培植用户黏度，是许多短视频平台追逐的目标。

PUGC 模式使得短视频平台成为用户与用户、专业制作者与专业制作者、用户与专业制作者之间的桥梁。两个群体可以通过短视频平台进行意见的交换与想法的交流。在节目制作的全过程，用户与专业制作者可以对节目内容进行沟通交流，甚至可以合力制作一档节目。专业制作者可以吸收用户个性化与多元化的建议，用户可以学习专业制作者专业制作视频的知识与技巧。梨视频拥有原创栏目，还拥有全球拍客系统，这两者不是独立存在的，而是相互合作的。这些在一定程度上都增加了短视频的交互性。此外，由于专业制作者的加入，使得原本可能比较业余、零散的交流互动表现出一定的权威性，这使得短视频的互动表现出高质量的特征。

短视频的发展经历了从 UGC 到 PGC 的转变。现如今，在 UGC 和 PGC 的生产模式发展机遇瓶颈期，PUGC 模式适时出现，成为短视频发展的一条新出路。PUGC 生态战略集合了 UGC、PGC 的双重优势，有了 UGC 的广度，通过 PGC 产生的专业化的内容能更好的吸引、沉淀用户。邱兵作为一个永远可以嗅到潮流的专业媒体人，其创业项目——梨视频也运用新的生产模式 PUGC。PUGC 由于其无可比拟的优越性，将成为未来很长一段时间内短视频平台的发展之路。

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## 网络游戏与人际交往的综述研究

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### 摘要

随着网络游戏的不断变化发展,网络开始在政治、经济、文化等不同领域有着重大的社会影响力,它与生俱来的不确定性及多元化特征所带来的巨大冲击,已经逐渐渗透到我所处社会的各个角落。网络使我们的交往形式进入了一个全新的时代,潜移默化地改变着社会中人与人的相互的关系,形成诸如微博、微信、qq空间、直播、网络游戏等变化多样的虚拟社区。让人在网的时间里投入更多时间。探讨网络游戏人际交往状况怎样?是否有信任感、待人方式和交往行为?游戏交往的真实面貌所呈现的特征是怎样的?会给人们现实生活带来什么社会影响?是否从网友可以成为真的朋友?网络游戏恋爱到结婚牵手等等,进行深入和细致的分析与揭示。本次研究采用的是综述研究的方法,在参考十篇相关论文的基础上,但随着时间不断的变化,每一代的性格想法不一,从而人们网络文化观亦不同,探讨此话题具有一定的价值。

**关键词:** 自我认同; 人际传播; 青年; 虚拟和现实; 网恋

### 正文

第一篇研究采用的是问卷调查的方法,在华东师范大学、贵州大学、北京师范大学、兰州大学等四所高校的各年级层次的大学生中进行发放问卷,最后运用定量统计的方法探讨现实人际交往行为的各类的影响的因素。它的研究思路是,第一是借鉴网络游戏人际交往状况问卷、现实人际交往行为问卷,以网络游戏人际交往消极结果、网络游戏人际交往社会知觉、网络游戏人际交往的自我暴露和情感体验、网络游戏人际交往的交往认知、网络游戏人际交往的信息学习这五个维度来探讨网络游戏人际交往状。第二是探讨大学生现实人际交往行为的影响因素,在此基础上验证已有研究结论的得与失。从模型检验结果来看,大学生的玩网络游戏的频率、网络游戏人际交往的消极结果对现实人际交往行为影响作用最为显著和稳定;网络游戏社会知觉也对大学生现实人际交往行为有较强的解释力;另外,所学专业、网络游戏人际交往认知、网络游戏人际交往自我暴露与情感体验亦有不同程度的解释作用;但年级、网络游戏信息学习,对六种类型的现实人际交往行为,都没有显著的解释作用。

第二篇,选取了当前比较流行的角色扮演类网络游戏作为网络人际交往环境的研究背景,具体采用文献研究法,结合问卷调查法、参与观察法以及比较研究等研究方法得出结论是网络游戏中,人们参与人际交往的主要动机是:成就与满足;社会交往;权力与领导;逃避与发泄;游戏体验与探索;休闲娱乐。网络游戏人际交往的特征具有:交往对象的广泛性与偶然性;交往主体的隐匿性与平等性;交往环境的拟现实性与沉浸性;交往手段的电子化与融合性;交往风格的游戏化与娱乐化等。网络游戏的社会影响有:1、积极影响:满足个体精神需求、锻炼个体实际交际能力、有利于个体智力开发与思政教育;2、消极影响:逃避现实生活、导致自我认知失调、丧失现实社会规范、引发伦理与道德危机。

第三篇,论文首先对网络游戏交往环境进行了分析,其环境构成、特点等会对其中人际交往产生重要影响的因素都会在这一部分中得到探讨。紧接着论文又对这一特定环境中的交往主体——游戏玩家进行了分析。在以上两部分的基础上,论文又对网络游戏人际交往的手段、过程、特点等进行了阐述与总结。此后,论文阐述了网络游戏人际交往对个体与社会可能带

来的正反两方面的影响，并最终针对这些影响，结合网络游戏的人际交往环境与主体等不同方面与环节，提出了对其进行交往调节的比较具体可行的一系列措施。

第四篇，国内外已有的网络游戏成瘾研究的基础上，采用问卷法考查了大学生网络游戏成瘾的一般状况，通过差异比较、相关分析和回归分析等统计方法，初步探讨了大学生网络游戏成瘾与人际交往能力、人格特质的关系。研究结果显示：1.大学生网络游戏成瘾者在人口统计学因素上呈现显著差异。在性别方面，男生高于女生；在年级方面，大三和大四的成瘾倾向显著高于大二和大一；在专业类型方面，艺术类和理科专业的成瘾倾向明显高于文科专业；在家庭背景上，来自城市和乡镇的大学生成瘾倾向明显高于来自农村的学生；在独生子女层面，独生子女显著高于非独生子女。2.大学生网络游戏成瘾与非成瘾者在人格特质层面的差异。具体表现为大学生网络游戏成瘾者与非成瘾者在内外向和精神质因子上存在显著差异，网络游戏成瘾者较非成瘾者更趋于内向，社会适应性更低。3.大学生网络游戏成瘾与人际交往能力存在显著相关，网络游戏成瘾与人格特质在精神质、神经质和掩饰性因子存在显著相关。4.人际交往能力和精神质人格特征对大学生网络游戏成瘾的预测作用显著，即人际交往能力低和具有精神质人格特征的大学生更容易网络游戏成瘾。

第五篇，社交网游的新媒介性质与社交网游人际传播的新人际传播形式。从人际传播的角度对于社交网游及其参与者的人际交往进行解读，落脚点是得出社交网游人际传播的特点以及对于参与者人际关系影响。从社交网游的起源，发展入手，对比了社交网游与网络游戏及网页游戏的异同，明晰了社交网游的涵义。在社交网游自身双重性质的前提下，对社交网游人际传播的内容与人际交往阶段进行了分析，指出社交网游人际传播内容的两种性质与三个阶段的传播特征以及人际交往程度；然后从心理学和社会学着手，辅以定性与定量研究方法。

第六篇，本研究由以下几个部分组成：第一部分，绪论，主要讲述了研究缘起、研究问题的提出、研究目的和意义、文献综述、核心概念界定以及研究过程与方法，是对整个研究问题的梳理。第二部分，通过描述青少年游戏玩家选择游戏的缘由，进入到青少年的网络游戏世界。第三部分，分析青少年游戏玩家在网络游戏中“主我”的构建过程，通过角色扮演呈现青少年“虚拟我”的状态，发现青少年“虚拟我”使“现实我”更完整，“虚拟我”促使“现实我”反思等积极影响，但同时有一位青少年游戏玩家出现了“虚拟我”使“现实我”更混乱的消极影响。第四部分，分析了青少年游戏玩家在网络游戏中“客我”的构建过程，青少年通过与他者交往互动，能够在虚拟的网络游戏中获得现实生活的友谊，同时青少年根据他者的评价而重新认识自己。第五部分，是对研究的总结与反思，从研究中得知：在网络游戏过程中，青少年通过呈现“虚拟我”的形象、与他者进行的互动两个形式共同构建了虚拟的网络游戏社会，延伸与扩展了玩家的互动领域。

第七篇，从人际传播和网络游戏的基本概念入手，谈到了传统人际传播、网络人际传播与网络游戏中人际传播之间的关系，接着从传播学的角度对网络游戏中人际传播的方式、类型和特点进行了阐述。并对网络游戏人际交往中的几种现象进行了分析，包括正面的助人行为、中性的友情和爱情以及负面的PK、外挂和盗号等。最后，通过分析网络游戏人际传播对玩家个人生活和社会生活的影响，为网络游戏人际交往朝积极健康的方向发展提出了初步设想。

第八篇，借助文化人类学的田野调查法、深度访谈以及社会学的问卷调查法探讨大学生参与网络游戏的原因及其影响，追溯网络游戏的实质根源，最终为我们以理性客观的态度对待网络游戏提供一些新的认识 and 解读。文章以人类学的功能理论诠释了网络游戏所蕴涵的文化及玩家的行为，认为网络游戏能满足审美和享受音乐的需要、人际交往的需要、替代现实的需要、渴望获得成功的需要、体验不同角色需求、慰藉内心空虚的需要、满足追求刺激和新奇的需要、追求现实经济利益的需要。大学生参与网络游戏缘于网络游戏能满足上述各种需求，笔者用问卷调查和访谈的第一手资料来支撑这些论点。另外，笔者运用同样的方法论证网络游戏对大学生产生的诸多影响。在理论部分，还运用社会学的符号互动理论对网络游戏进行分析。它认为

大学生现实世界与网络游戏构成的虚拟世界的关系是对立统一：两者之间的对立体现在客观差异、角色功能的发挥上；两者的对立表现在它们的同质性、相互影响和渗透、一定条件下可以相互转换上。在此基础上，网络游戏构成的虚拟世界和大学生现实世界共同构成二元结构。若将两者分别推及至更广的范围，笔者认为由网络结构的虚拟世界和社会结构的现实世界所组成的二元结构的世界，他们是对立统一的关系。对大学生现实世界与网络游戏虚拟世界和谐的构建提出了相应的对策和策略。

第九篇，文中写到社会资本研究领域颇有建树的政治学家罗伯特·普特南认为，互联网的使用会降低社会资本，原因是互联网的使用会间接减少人们现实世界中的社社交参与时间。也有许多学者认为互联网的使用能够增加社会资本。加拿大学者巴瑞·威尔曼曾提出互联网能够帮助人们实现拓宽社交网络的结论。这样的争论在研究互联网与社会资本关联性上一直是时有发生。然而格兰诺维特的强弱关系理论给这个争论的一方提供了新的理论依据，强关系与弱关系在提供信息资源方面的不同似乎也能为社会资本的积累带来不同的效果。因此，互联网与社会资本的关联性研究又开始向互联网使用与强弱关系获得的关系上发展。研究选择社青少年网络游戏使用作为研究对象，探讨大学生与农民工两个群体的的网络游戏行为是否会响其社会资本并试图找出其与社会资本变化的关联性。网络游戏其实在某种程度上是为具有相同兴趣爱好的人提供了一个互动交流的平台，与此同时为他们制定一套游戏中的制度与下达一个共同的目标，在网络游戏中他们可以在制度的规范下与目标的驱使下更好的与游戏中的玩家沟通交流。

第十篇，文中电子游戏因为技术的先进性以及对现实世界模拟的逼真程度，对青少年的身心发展的影响是多层次和多方位的，具有其特殊的优势。现在，越来越多的教育界人士开始研究如何利用游戏促进学习，为了探索电子游戏中所蕴涵的教育潜力，各地专家学者进行了大量的实验研究。本文基于普遍的电子游戏也具有教育意义这一全新观点，结合多元智能理论作为评价依据，提出从教育视角对电子游戏进行评价，也就是实现电子游戏的教育评价，彰显电子游戏的教育意义。电子游戏的教育评价是从教育的积极视角去挖掘电子游戏的教育性要素，电子游戏的教育性评价要权衡游戏中的游戏性和教育性因素，并且选择合适的评价依据。根据多元智能理论，每个人都拥有至少八种智能，而电子游戏对青少年多元智能各方面都有着一定培养的作用，基于这一理论，根据电子游戏具备的教育潜能对智能发展的从浅至深的三个维度支持，探讨了基于多元智能的电子游戏教育评价体系，介绍了多元智能培养潜能量规，并根据电子游戏对各种智能的培养显著程度，分为三个等级，最终为电子游戏培养能力优势进行标注，为用户有针对性的选择游戏提供依据。本文从逻辑上主要分为三个部分：1、对相关的游戏分级制度和评价指标研究现状以及理论做了整理分析，并且阐述了电子游戏的教育价值，结合电子游戏在培养多元智能能力的优势，提出了基于多元智能的电子游戏教育评价。2、在前面所做研究的基础上，通过阅读相关文献，参考相关评价量规指标，设计了多元智能潜能培养量规，并针对利用多元智能培养量规判断游戏对各种智能的培养智能，设计了评价标识。3、选择游戏实例进行分析，体现量规的应用价值。希望能给家长教师玩家等用户选择、游戏制造商开发、游戏设计开发提供一定的参考作用。它研究的创新点是从全新的视角对游戏进行评价，挖掘电子游戏本身潜在的教育价值，并选择多元智能理论作为评价依据，以电子游戏对青少年的多元智能的培养作用为基准，制订了电子游戏的多元智能的培养潜能量规，为用户选择合适的电子游戏提供参考，也希望会在规范和引导游戏产业的发展上起到积极地作用。

综上所述，前十篇文章使用了很多调查方法，运用很多理论模型，但是大部分调查的都是网络文化对青少年身心影响，对大学生有身心影响，而且绝大部分都是运用问卷调查，选择几所高校来调查研究，数量上是有可研究性，但是每个省份不同，每个国家地方不同，还有对穷人和富人家庭的孩子进行调查研究，多穷才算穷多富才是富，青少年大学生群体更倾向于利用网络游戏积累社会资本，而农民工群体则相比较较少地能在使用网络游戏的同时为自己积攒社会资本这个结论我觉得十分片面，还有对于网络游戏和智能化相结合与同伴一起学习的软件，也

可增加人际关系，大部分都是调查别人，从别人身上分析研究二手资料，我是从自身方面分析研究，以自身作为一名网络游戏玩家，通过亲身体验，来分析网络游戏对人际交往的关系，在网上玩游戏的过程中，以前通过前几篇论文得到，是沉迷游戏其中的乐趣，不论是角色扮演和暴力游戏之类，现在玩游戏的玩家中有很多网恋现象发生，从游戏中认识，成为好友，进行交往，选择见面，然后进一步了解。现在人的列表中就有很多网友的存在，玩游戏认识的成为游戏好友，进一步成为朋友，现在的网友也有很多是热心的，也有很多人口中的“沙雕网友”，在正常聊天交往过程中也带来很多乐趣，有时候生活中的不开心也可以把他们当成“垃圾桶”。我的列表也存在很多网友，我作为一名游戏 player，通过一个游戏名叫“王者荣耀”的手机游戏，现在的社会很多名词的产生，比如“游戏 cp”，“奔现”，“面基”...之类的，我也有过游戏 cp，一起换同样的游戏昵称、头像之类的，对方游戏打的还挺好的，说话也挺风趣。但是我没有沉迷局限于游戏和网络朋友，和现实交往的朋友也很开心，不论网络和现实都成为好朋友。当然不排除有游戏中认识不好的人际交往的人发生，也有被网络游戏中认识的 cp 骗钱的发生。但也有从网恋奔现结婚的。

所以我得出结论认为很大程度上与自身因素，自制力和自律性有关。网络交往里正面的助人行为、中性的友情和爱情以及负面的 PK、外挂和盗号等都有。所以网络让你的人际交往变好和变坏都是辅助作用。

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# 中国大学生实习课程满意度、自我效能与学生就业能力相关性之研究：以大连某民营艺术类高校为例

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## 摘要

当前社会的就业形势日益严峻，毕业生眼高手低的状况异常普遍，用人单位面临“用工难、难用工”的困境。本研究探讨实践课程满意度对就业能力的影响，进一步分析了自我效能与实践课程满意度及就业能力之间的中介效果。本研究采用问卷调查法，以大连某民营艺术高校的学生为调查对象，获得有效问卷621份，经分析结果表明：除了不同时间参与实践教学的学生在课程满意度、自我效能及就业能力上没有显著差异外，其他不同背景的实习学生在课程满意度、自我效能及就业能力上均有差异；实习课程满意度会透过自我效能进而有助于就业能力。

**关键字：**实习课程满意度；自我效能；就业能力

## 1.绪论

实习课程学习是学生在教师指导下以实际操作为主，获得感性知识和基本技能，提高综合素质的一系列教学活动的组合（蔡则祥、刘海燕，2007）。实习课程教学是高等学校整个教学过程的重要组成部分，具有理论教学不可替代的作用，直接关系到是否能够实现高效人才培养的目标（王源远、王丽萍，2012）。

根据中国科学院发布的数据，2014年大学生的失业率为17.6%，2015年为13%，2016年为17%。由此可见，我国大学生的失业率仍然处在一个较高的水平（唐博洋，2017）。因此，降低大学毕业生失业率的根本方法，在于提高高校学生的就业能力。

针对高校学生来说，未来就业的职场环境是一个未知数，工作经验缺乏，仅有的高等教育使学生有了一定的理论基础。但是，学校可藉由职场实习教学、实习体验、志工参与和旅游学习等方式，培养协调整合团队合作的能力，提升青年就业能力（洪素卿，2010）。因此，我国高校教育框架中务必加强实习教学环节，才能使学生在高校中学有所用（孙伟民，2006）。本研究也是基于对毕业形势的一种考虑，旨在分析高校的实习课程是否对毕业生的就业能力在一定程度上起到推动性作用。

本研究的主要目的在于探讨实习课程满意度对大学生自我效能方面会有所帮助，从而提高毕业生的就业能力。通过研究，有助于优化现有高等教育实习课程教学模式与内容，提出更适合学生发展以及社会需求的教育方式，从而提高大学生的就业能力，奠定良好的就业基础。因此本研究尝试达到下列之具体目的：

研究目的 1：探讨实习课程满意度对自我效能的影响。

研究目的 2：探讨实习课程满意度对就业能力的影响。

研究目的 3：探讨自我效能对就业能力的影响。

研究目的 4：实习课程满意度是否会透过自我效能进而有助于就业能力。

过去大多数课题都在单独研究实习课程对学生全面素质培养的好处 (王刚、周娜娜、文攀, 2016)。如何可以提高毕业生的就业率 (楚有斌, 2006)。大部分单位在应聘人员时, 除了对学历的要求以外, 具有实习经验的应聘者非常受到 HR 的青睐 (徐梵凯, 2017)。

本研究旨在调查大连某民营艺术大学实习生的实习课程满意度及其自我效能、就业能力三者之间的相关性。选取该校作为样本学校, 原因是该校具有丰富的实习教学经验, 每个分院每年都有各类实习教学方式。

另外以往的论文大多从宏观角度, 将实习教学与毕业生就业能力进行笼统概述 (肖凤霞、李国娟, 2011)。本文利用定量分析的方法, 通过对大连某民营艺术高校实习学生的系统调查分析, 做出相应较精细的统计数据, 既有实证的证据, 也有完善的分析结果, 对未来高校发展及毕业生就业起到支持作用。

## 2. 文献综述

本研究目的在于探讨实践教学对学生自我效能与就业能力的相关影响。

### 2.1 实习课程满意度、自我效能与就业能力的定义与内涵

首先对于实习课程满意度来说, 是高等教育发展的生命线, 是教育竞争力的核心体现, 也是高校兴衰的关键。当今高校竞争日趋激烈, 作为新时代高校, 更应该提高学生对实习课程的满意度、增强学校实践教学方面的竞争力, 学生是实习课程优劣的直接感受者, 学生满意度是衡量实践课程优劣的重要参照 (肖昕华、林美香, 2014)。本研究系采用沈筱樊(2014)的《实习课程满意度量表》, 以探讨高校实习生的实习课程满意度与自我效能以及就业能力之间的关系。

其次对于自我效能来说, 其概念最初是由 Bandura (1977) 提出的, 认为个人是否会执行某种行为, 会受到个人对于动机实现的能力、认知的资源以及对于活动过程中所需事件的运用控制能力, 与执行目标的判断能力。学生判断自己的能力是否能在特殊情境中达到目标, 此目标范围可能会因学生个人因素而有所差异。本研究系引用学者 Bandura (1977) 将自我效能定义为个人对于自己本身效能之信念会影响他们的抉择、行为以及在涉及的工作中将付出多少努力, 面对困难或挫折能够坚持多久, 以探讨高校实习生的实践课程满意度与自我效能以及就业能力之间的关系。

第三, 对于就业能力来说, Hillage (1998) 认为就业能力是获得就业、持续就业所需要的能力。郑晓明 (2002) 指出, 就业能力是指大学毕业生在学校时通过基础知识的学习, 实践技能的培养, 从而使学生得到实现未来就业理想、满足社会对人才的需求、体现自身价值的本领。胡尊利、刘翔与程爱霞 (2008) 综合国外研究将大学生就业能力定义为, 大学生成功就业需要具备专业的基础知识、良好的人品道德以及过硬的专业技能。就业能力现已被广泛应用于社会、学术、教育等各个领域, 予以探讨。

### 2.2 实习课程满意度、自我效能、学生就业能力的相关研究

张菡峥 (2004) 在对实习课程满意度进行研究时发现, 实习课程满意度对自我效能与专业承诺间呈显著正相关, 也就是说, 学生认为实习课程越好, 则对实习课程的满意度越高, 那么自我效能愈高, 专业承诺愈强。因此, 学生透过课程实践达到学生与业界之串联过程, 提供学生个人自评面对完成特定工作所需之教育与训练后的自信心程度, 说明学生对于未来就业的选择和适应有关行为效能之判断, 亦即是学生对自己就业能力的自我评估。因此本研究推论实习课程满意度对自我效能有正向影响。

#### 假设 1 实习课程满意度对自我效能有正向影响

李燕燕 (2017) 采用问卷调查的方式, 以某应用型本科院校 2016 届 120 名毕业生为调查对象, 主要应针对就业市场展开研究, 学习过程中培养学生对所学专业知识的掌握以及发展与应

用,用以使用社会的就业需求,提高自身就业能力。就“实习课程能否适应未来工作环境”以及“实习课程对未来就业的帮助”这两个方面的调查,结果显示两个研究结果中全部都呈正相关。

这样可以得出,实习课程能否适应未来工作环境、对未来就业的帮助与课程满意度之间的相关性密切,学生对课程的满意度增加,则对未来就业的帮助就越明显,也会越来越适应未来的工作环境;反之,如果学生对课程的满意度下降,则会影响到对未来就业的帮助。因此,由以上文献可以推论,实习课程满意度对就业能力有正向影响。

### **假设 2 实习课程满意度对就业能力有正向影响**

自我效能和就业能力关系的研究一直比较多,大多数学者都认为二者存在着紧密联系。Bandura (1977) 指出自我效能高的人会倾向于选择有挑战性的任务,而且会确立较高的目标。张云仙 (2010) 以高校学生作为研究样本,通过自我效能量表等问卷进行调查,探讨自我效能、工作价值观和就业能力之间的关系,结果表明,自我效能与就业能力呈正相关,也就是说,自我效能能够影响到学生的就业能力。因此,根据上述前人探讨与论证,想要提升学生的就业能力,就要使大学生的自我效能提升,这是非常关键的手段与途径。故本研究推论自我效能对就业能力有正向影响。

### **假设 3 自我效能对就业能力有正向影响**

在陈静与李卫东 (2011) 的研究中,提出自我效能在职业价值观对就业能力的影响中起部分中介作用。也就是说,自我效能对就业能力的影响是比较广泛而深远的。朱昭红与韩朔 (2012) 使用问卷调查法,对部分高校学生的自我效能和就业能力进行研究,研究显示:其学生的就业能力在性别方面、是否担任学生干部方面,存在着差异;在学生的自我效能方面,性别和生源地存在着差异。研究表明:提高学生的自我效能,可以有效促进其就业的积极性,就业能力也就越强,也就是说大学生就业能力和自我效能相互促进,相辅相成。

王艳、王伟与雷雳 (2016) 在对高校学生职业价值观与就业能力进行研究时,以自我效能作为中介,以问卷调查的形式,对中部某省的 379 名学生在职业价值观、自我效能以及就业能力的关系进行研究时发现,自我效能在职业价值观和就业能力的关系中起着完全中介作用。

所以,通过上述学者的研究探讨可以说明:自我效能在对于不同研究中,可以起到中介作用。故本研究推论学生实习满意度可透过自我效能提升就业能力。

### **假设 4 自我效能在课程满意度与就业能力间具有中介效果**

## **3.研究方法与设计**

本研究旨在探讨课程满意度、自我效能与就业能力之相关关系,其中以自我效能为中介变量进行探讨。为了达成研究目的,本研究依据文献探讨,提出研究构架与假设,选择适当之研究方法,分析本研究所收集的资料并说明研究结果,以作为研究结论与建议之依据。

### **3.1 研究对象与资料收集方法**

本研究之研究对象为大连某民营艺术高校学生,共计调查 774 名学生,细部搜集方法说明如下:针对大连某民营艺术高校大学四年级共 6 个二级分院的学生实施问卷调查,根据不同学院人数比例,通过立意抽样的方式选取包括其中音乐学院 52 份,戏剧与传媒学院 222 份,美术学院 88 份,服装学院 65 份,艺术设计学院 265 份,文化艺术管理学院 82 份,共计 774 份。扣除无效问卷后,获得有效问卷 621 份,回收率为 80%。

### **3.2 研究变项操作性定义与衡量工具**

本研究虽然属于探索性的调查,然而其中针对参与调查的学生就业能力及自我效能属于受测者本身的认知与态度,因此,本节先依据此两个研究变项提出操作性定义并描述其衡量工具。

#### **3.2.1 实习课程满意度**

本量表采用由沈筱樊 (2014) 《实习课程满意度量表》,此量表共分为“学校辅导”、“学习成



效”、“未来效益”等三个构面，共包括 15 个题目，每个构面 5 个题目。运用 Likert 五点量表方式计量，得分越高者代表实习课程满意度越高。

经过施测，整份量表的内部一致性 Cronbach's  $\alpha$  系数为 0.954，其中“学校辅导”、“学习成效”及“未来效益”三个构面之 Cronbach's  $\alpha$  系数分别为 0.898、0.918 及 0.922，显示本量表内部一致性尚佳。

### 3.2.2 自我效能

本研究采用的量表由 Bandura (1977) 编制，GSES 共 10 个项目，涉及个体遇到挫折或困难时的自信心。GSES 采用李克特 5 点量表形式，各项目均为 1~5 评分。经过施测，整份量表的内部一致性 Cronbach's  $\alpha$  系数为 0.866，显示本量表内部一致性尚佳。

自我效能进行整体模式的验证性分析，结果显示，各个题项因素负荷量值皆达到显著水平，其中 AVE 值为 0.662，接近 0.5；显见各题项皆适合做为本研究量表的题项。在模式适配度指标方面， $\chi^2/df$  的值为 14.535，超出适配标准 1~5 之界限。CFI 为 0.913、GFI 为 0.822、NFI 为 0.907，都大于 0.80 之水平，RMR 为 0.020，符合小于 0.1 之界限标准，RMSEA 为 0.148，超出小于 0.08 标准 (Bagozzi & Yi, 1988)，综合上述指标，本研究整体模式适配度在可接受的范围内。

### 3.2.3 就业能力

本研究中就业力量表采用的是何昭红与吕兆华 (2012) 等《大学生就业力自评量表》。本量表由五个维度构成，分别是：情绪调试能力方面、自我发展能力方面、职业适应能力方面、人际关系能力方面和求职应聘能力方面。题目共计 30 试题，采用五点式进行计分。

经过施测，整份量表的内部一致性 Cronbach's  $\alpha$  系数为 0.956，其中“情绪调试能力”、“自我发展能力”、“职业适应能力”、“人际关系能力”及“求职应聘能力”五个构面之 Cronbach's  $\alpha$  系数分别为 0.867、0.789、0.824、0.869 及 0.890，显示本量表内部一致性尚佳。

业能力进行验证性分析，各个题项因素负荷量值皆达到显著水平，其中 AVE 值分别为 0.524、0.412、0.493、0.528、0.561，全部接近 0.5；显见各题项皆适合做为本研究量表的题项。

在模式适配度指标方面， $\chi^2/df$  的值为 3.347，符合 1~5 的区间标准；CFI 为 0.911、GFI 为 0.865、NFI 为 0.879、AGFI 为 0.841，都大于 0.80 之水平，RMR 为 0.026、RMSEA 为 0.062，皆符合小于 0.10 标准 (Bagozzi & Yi, 1988)，综合上述指标，本研究课程满意度的适配度在可接受的范围内。

## 4. 研究结果分析

本章将有效回收样本问卷的原始资料，经过适当的统计方法予以分析处理，以验证本研究之研究目的与假设。第一节为描述性统计分析，对回收来的正式问卷中有效样本的基本资料的分布情形进行描述性统计分析；第二节为差异分析，分析实践课程满意度、学生自我效能与就业能力在各背景变量下的特点；第三节为相关分析，探讨实践课程满意度、学生自我效能与就业能力整体及各构面是否有显著相关；第四节为中介效果检验，用 SPSS 软件，对本研究的学生自我效能之中介效果假设进行验证与分析。

本研究采立意抽样的方式，选取大连某民营艺术类高校 2014 级学生为样本，并施以问卷调查，问卷发放该高校的 6 个下设二级学院，其中音乐学院 52 份，戏剧与传媒学院 222 份，美术学院 88 份，服装学院 65 份，艺术设计学院 265 份，文化艺术管理学院 82 份，共计 774 份。扣除无效问卷后，获得有效问卷 621 份，回收比率为 80%。正式问卷回收样本分析如下表所示。

表 1 样本基本资料次数分配

样本特性	类别	数量 (人)	百分比
性别	男	173	27.9%
	女	448	72.1%
就读学院	音乐学院	47	7.60%
	戏剧与传媒学院	164	26.4%
	美术学院	76	12.2%
	服装学院	40	6.40%
	艺术设计学院	220	35.4%
	文化艺术管理学院	74	11.9%
参与实践教学地点	校内	149	24.0%
	校外	118	19.0%
	两者皆有	354	57.0%
参与实践教学的时间点	寒假	109	17.6%
	暑假	43	6.90%
	学期中	469	75.5%
	一周	251	40.4%
参与实践教学时长	半个月	108	17.4%
	半年	47	7.60%
	其他	215	34.6%

资料来源：本研究整理

#### 4.1 各研究变量之相关分析

本研究使用皮尔森相关性检验，透过相关分析可以判断自变项（课程满意度）、中介变项（自我效能）、及依变项（就业能力）间可能存在的相关性。由分析数据可知，课程满意度与自我效能呈正相关 ( $r = .526, p < .01$ )、就业能力与自我效能呈正相关 ( $r = .641, p < .01$ )、课程满意度与就业能力呈正相关 ( $r = .643, p < .01$ )，因此本研究继续探讨自我效能在课程满意度与就业能力之间的中介效果。

#### 4.2 自我效能对课程满意度与就业能力之间的中介效果

本研究的中介模式中，课程满意度为自变项，就业能力为依变项，自我效能为中介变项，以多元回归分析进行自我效能的中介效果检验，验证 H1、H2、H3、H4。

由下表中的模型一可知，课程满意度与自我效能有显著的正向关系 ( $\beta = .517, p < .001$ )，故 H1“课程满意度对自我效能有正向影响”成立，表示学生对课程满意度越高，自我效能的指数也会越高。由模型二可知，自我效能与就业能力有显著的正向关系 ( $\beta = .636, p < .001$ )，故 H3“自我效能对就业能力有正向影响”成立，表示自我效能越高，就业能力的水平也会越高。由模型三可知，课程满意度与就业能力有显著的正向关系 ( $\beta = .639, p < .001$ )，故 H2“课程满意度对就业能力有正向影响”成立，表示学生对课程满意度越高，就业能力的水平也会越高。从模型四可知，因为在模型四中，课程满意度  $\beta$  值 0.425 与自我效能  $\beta$  值 0.414 比模型二与模型三中有所下降，因此，自我效能在其中起部分中介效果。

表 2 阶层回归分析表 (N=621)

控制变量	自我效能		就业能力	
	模型一	模型二	模型三	模型四
性别	-0.056	-0.038	-0.068*	-0.045
学院	0.005	0.000	0.010	-0.012
参与地点	0.076*	0.024	0.042	0.010
参与时间点	0.014	-0.027	-0.028	-0.034
参与时长	0.011	-0.010	-0.009	-0.014
<b>自变量</b>				
课程满意度	0.517***		0.639***	0.425***
<b>中介变量</b>				
自我效能		0.636***		0.414***
R <sup>2</sup>	0.286	0.414	0.421	0.544
ΔR <sup>2</sup>	0.286	0.414	0.421	0.122
F	41.088***	72.273***	74.553***	104.451***

注: \* $p < 0.05$ , \*\* $p < 0.01$ , \*\*\* $p < 0.001$

## 5. 结论与建议

### 5.1 研究结论

本研究主要系在探讨实践课程满意度对就业能力的影响, 以自我效能为中介。期望透过上述的探究能弥补过去研究的缺口, 以及对实务界产生具体贡献。并藉由问卷调查法, 以大连市某民营艺术高校为研究对象, 取得有效样本 621 份, 将回收后之问卷资料进行统计分析与讨论, 研究结论如下: H1 实习课程满意度对自我效能有正向影响; H2 实习课程满意度对就业能力有正向影响; H3 自我效能对就有能力有正向影响; H4 自我效能在实习满意度与就业能力间具有中介效果。

#### 5.1.1 不同背景变项的学生在各变项上的差异情形讨论

总体来看, 不同性别的学生在课程满意度、自我效能上没有显著差异, 但是在就业能力上存在显著差异, 从而可知, 不同性别的学生不会对学生的课程满意度、自我效能方面产生影响, 但是会对就业能力产生影响。不同学院的学生在课程满意度上与就业能力上有显著差异, 但是在自我效能上没有显著差异。而不同地点参与实践教学的学生在课程满意度上、自我效能上及就业能力上均有显著差异。不同时间参与实践教学的学生在课程满意度、自我效能及就业能力上均没有显著差异 ( $p > 0.05$ ), 说明学生的学习满意度、自我效能与就业能力, 不受参与实践的时间段所影响。参与实践教学不同时长的学生在课程满意度上、自我效能上没有显著差异, 但是在就业能力上有显著差异。这与李小勇 (2013)、张时雯 (2002)、彭树宏 (2014) 等的研究结果相近, 不同的背景变项会影响到学生的课程满意度、自我效能及就业能力。

#### 5.2.2 实践课程满意度对自我效能的影响讨论

本研究结果显示, 实践课程满意度对自我效能有显著正向影响, 这与张菡峥 (2004) 的观点一致。学生在学校课程中, 学到了相对多的有用的知识与技能, 可以提高学生的专业素养与专业技能, 从而使学生在心理上不会惧怕接触实际的工作或者锻炼。当学生在实践课程过程中, 能够较好地对本专业的相关本领进行掌握时, 就会产生较大的自信心, 从而提升自我效能。反

之，如果学生对实践课程的满意度不高，认为实践课程并不能提升其掌握知识的能力或对技能的熟练，那么就会变得不自信，自我效能就会减弱。因此，有效的实践课程，或者说学校提升实践课程满意度，可以在一定程度上帮助学生提高自我效能，从而获得更好的完成其他事务的能力。

### 5.2.3 实习课程满意度对就业能力的影响讨论

本研究结果显示，实习课程满意度对就业能力有显著正向影响，这与李燕燕 (2017) 的研究观点一致。在学校教学中，实践教学课程，可以有效增强学生对实际工作技能的掌握，当学生掌握技能之后，自然提升了其就业能力。因此，学校在培养学生时，应完善实践课程的设置构架，增加实践课程的分配比例，落实实践课程的实际用途，不要流于形式，走套路，使学生在实践课程中无法真正学到有用的技能，那么学生的就业能力就会降低，使学生就业时倍感吃力。

### 5.2.4 自我效能对就业能力的影响讨论

本研究结果显示，自我效能对就业能力有显著正向影响，这与张云仙 (2010) 的研究观点一致。Bandura (1977) 指出自我效能高的人会倾向于选择有挑战性的任务，而且会确立较高的目标。自我效能与就业能力呈正相关，也就是说，自我效能能够影响到学生的就业能力。具备高自我效能的学生，在面对问题时自信心会比较充足，行动会比较迅速，比较有利于问题的解决，比较喜欢沟通与交流，社会焦虑感比较低，愿意与他人进行合作，适应能力较强，对自己的生活和未来的事业等方面控制能力也比较高，所以其就业能力业相对较高；相反，自我效能比较低的学生，在面对问题时自信心会比较脆弱，一旦遇到困难或者失败时，就会怀疑自己的能力，对自己缺乏自信心，社会焦虑感比较强，不善于与人沟通与交流，团队协作能力也比较差，适应能力也比较低，从而影响了自身的就业能力。所以，想提高学生的就业能力，应该适当增强学生的自我效能。

### 5.2.5 自我效能对实习满意度与就业能力的中介效果讨论

本研究结果显示自我效能在实习满意度与就业能力间具有中介效果，这与陈静与李卫东 (2011) 的研究观点一致，自我效能不仅可以直接作用于就业能力，对就业能力产生正向影响，还可以作为其他中间变量而存在作用。朱昭红与韩朔 (2012) 也认为提高学生的自我效能，可以有效促进其就业的积极性，就业能力也就越强，也就是说大学生就业能力和自我效能相互促进，相辅相成。王艳、王伟与雷雳 (2016) 在对高校学生职业价值观与就业能力进行研究时，以自我效能作为中介，研究表明自我效能在职业价值观和就业能力的关系中起着完全中介作用。也就是说，自我效能对就业能力的影响是比较广泛而深远的。

## 5.2 研究建议

根据上述之研究结论，本研究提出下列实务方面的建议以及对未来后续研究建议。

### 5.2.1 课程方面：优化实践课程设置，多元课程形式

有效提高学生的实践课程满意度，可以增强学生的就业能力，因此，按照学生的实际情况，积极调整实践课程的培养架构。当今社会，就业压力倍增，实践教学就应该紧跟市场步伐，与市场紧密接轨，因此，高校的实践课程设置需要根据就业市场变化和学生的需求进行课程设置的调整。

### 5.2.2 师资方面：加强师资建设，吸纳行业精英，提升学生自我效能

优秀的教师可以在心里方面给学生更加明确的引导与建议，提升学生自我效能以及对未来就业的自信心。坚持引进来和走出去相结合，建立一支稳定的素质过硬的师资队伍。适当聘请校外相关专业的人才，已经毕业的往年毕业生等社会杰出人士，用自己亲身的经历与经验，进行实际就业相关方面的教育与渗透。

### 5.2.3 考核方面：建立健全实践课程管理机制

建立健全实践课程管理机制，可以有效提升学生对实践课程的满意度。首先，学校应建立

健全评估考核机制，在大学生实践课程教学管理中，由学校建立对二级学院和系教学工作综合评估考核制度，对课程任课教师教学工作评估考核制度。另一方面，建立健全竞赛达标机制，设定达标要素及达标要求，达标要素不仅指课堂教学，而且还包括对学生的实际就业能力的指导以及择业能力的提高等要素。

#### 5.2.4 对未来研究者的建议：

##### (a)探讨其他的中介变项

本研究结果显示，自我效能对课程满意度、就业能力具有中介效果，但正如前文所述，关于课程满意度和就业能力，心理学上认为两者之间的关系并不是直接的，它们之间往往以其他行为作为中介，而就业能力又不是单纯地只受课程满意度影响，它还受一系列的主客观因素的影响和制约。因此，建议未来的研究者可以关注更多的面向来研究可能满意度是透过怎样的机制来影响就业能力的。

##### (b)后续进行纵贯研究

本研究属于横断面的研究，所使用的资料与相关数据只能显示研究变项施测当时情形及各变项间的关联性，无法了解各研究变项在不同时间变动可能带来的影响。因此，建议后续研究能够延长调查时间，进行纵贯面的研究，以期有更严谨的因果推论与减少共同方法变异问题。

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# 基于 SECI 模型的易班平台管理研究

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## 摘要

随着十九大的召开，中国特色社会主义社会进入了一个新的时代，这给高校思政工作也带来新的机遇与挑战。如何在新时代的引领下，充分合理的运用新媒体优势，进一步深化思想政治教育改革的创新是当前相关领域学者与高校思政人员所面临的主要问题之一。从当前学生在易班平台中的运用情况来看，普遍是显性知识的传输与获取，但是通常隐性知识对学生的影响力才更明显。本研究在 SECI 模型基础上对易班平台管理进行分析，为易班平台的管理提供一定的借鉴与参考，同时为易班管理的进一步研究提供丰富的理论依据。

**关键词：**SECI；易班；平台管理

## 1. 前言

### 1.1 研究目的

随着十九大的召开，中国特色社会主义社会进入了一个新的时代，这给高校思政工作也带来新的机遇与挑战。如何在新时代的引领下，充分合理的运用新媒体优势，进一步深化思想政治教育改革的创新是当前相关领域学者与高校思政人员所面临的主要问题之一。本文主要选取易班平台管理为主要研究，在 SECI 模型的基础上构建网络平台，并具体到平台管理中有关板块的管理与运作，有助于学生可以更简洁快速的获得知识，并将所获的知识进行有效转换，学生的知识范围及层次得到拓展，促使易班平台能够在环境舆论指引和正能量传播过程中起到助推器的作用。

### 1.2 研究意义

SECI 模型是由日本著名的知识管理大师野中郁次郎所提出的，是一种知识创建的理论模型，主要是把新知识的产生分成阶段性的分析和讨论。此处对知识的定义普遍是广义的，主要是个人在工作与生活中所积累的知识存于大脑中的之间经验，也称为隐性知识，其特点是无法系统的表达出来，且具有非结构化的特征。譬如价值观、洞察能力等。而组织或者是团体已经具备的成体系的显性知识则被称为显性知识，其特点是能够运用文字、视频等形式体现出来，便于交流与传播。从当前学生在易班平台中的运用情况来看，更多的是显性知识的传播和获得，隐性知识非常少，但是对于学生来说，更渴望隐性知识的获得，同时相关研究表明隐性知识对学生有更大的影响力。本次研究以 SECI 模型为基础，结合易班平台管理现状进行分析，旨在能够为易班平台完善管理模式，加强管理制度的执行力提供一定的现实借鉴，同时为易班管理的进一步研究提供丰富的理论依据。

## 2. 文献综述

### 2.1 相关概念界定

#### 2.1.1 易班的概念界定

“易班”主要针对的是高校教师与学生，汇聚了 SNS、BBS、微博、手机等现代新型互联

网工具，网站涵盖面之广泛，包括各种新闻、新浪微博、相册管理、各种学习论坛、邮箱应用以及高效校园应用、师生互动交流社区以及掌上易班等个各种丰富多彩的内容。借助此网站，教师与学生可以进行在线互动与交流，并实现信息资源共享，进行上传照片、发布微博。

### 2.1.2 管理的概念界定

在人类生存与发展中，管理是其中最为普遍也是最重要的一种社会活动。管理存在于各个领域，始终贯穿于人类社会发展的整个过程，大到一个国家的事物，小到一个家庭生活，随处都存在管理。如果没有管理，就难以有效维持人类社会的发展。不同的学者针对管理的定义进行了概述，但是目前普遍认可的即是美国管理学者普蒂·韦里奇、孔茨等所著的《管理学精要》，书中针对管理的定义进行了表述，即：“管理主要是为了指导人力资源与物质资源归入到动态组织中进行实现这些组织的目标，也就是让服务对象满意，而且让服务提供者获取一种高度的成就感”。

## 2.2 易班管理的相关研究

钟启泉在《班级管理论》中指出中国在班级管理中实践操作与相关理论尚不理想，还需要进一步的完善。刘旭编在《经营班级》书中表明，在经营班级的过程中要覆盖班级行政经营、教学经营以及常规指导等。吴增强在《班主任心理辅导事务》中表明，在进行班级管理中要融入情商教育，教师要对学生的心理做针对性的指导，以此来培养学生良好的心理世界，从而完成班级有效管理的既定目标。黄可国在《班主任管理班干部的学问》中主要对两个方面进行了探讨，即班干部的选举和班干部的培养，并指出了在班级管理过程中学生自治的重要性。戴胜利在其《班级管理技能》中指出了重视班级管理过程中的技能技巧，分析了较为全面的理论知识，指出了可效仿与操作的实践案例，为浓厚文明班级文化的建设提供一定的借鉴。万玮的《班主任兵法》与陆海富的《班主任班级管理艺术》等研究资料，对班级管理的长足发展做出了积极贡献，也为高校“易班”管理的进一步研究提供了丰富的理论依据。

综上所述，通过对相关研究进行整理分析发现，目前相关学者针对易班管理进行了深入的研究，并表明了易班和管理的概念，这为本文的研究提供了理论基础。但是通过对比发现，学者在对易班管理进行研究中，大多从班级的管理角度泛泛而谈，没有对易班管理进行更为深入的探讨，从 SECI 角度对易班管理进行研究的更是少之又少，这为本文的研究留下了广泛的研究空间。鉴于此，本文在借鉴相关研究成果的基础上，针对目前易班管理中利用率不足、优势资源较少的情况，并结合 SECI 具备高效聚合、个性化以及信息保障的创新理念，构建易班平台管理系统，并提出易班管理的措施，为易班管理提供更为科学的借鉴与参考。

## 3. 研究方法

### 3.1 文献资料法

本文根据研究对象和研究的目的，查阅大量有关易班平台管理、SECI 等方面的期刊文献、书籍、相关杂志以及优秀硕博学位论文，阅读了关于相关方面的资料。

### 3.2 访谈法

为了进一步了解基于 SECI 模型的易班平台管理方面的资料和信息，对相关的专家与教授进行访谈，获取更为专业的信息和资料。

### 3.3 逻辑分析法

在对相关论文资料的研究中以及论文的创作过程中，融合逻辑学相关知识，运用比较、归



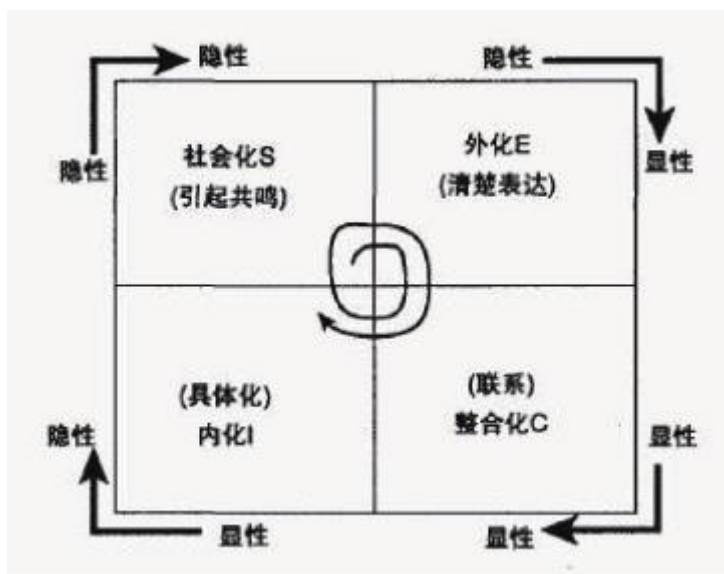
纳等多种方法进行详细的分析。

## 4. 研究结果与分析

### 4.1 SECI 模型视野的易班平台管理

#### 4.1.1 学生在易班平台的知识学习过程分析

日本著名知识管理大师野中郁次郎提出的 SECI 模型，是对知识的再创造，知识产生过程主要体现在四个方面，分别是社会化、外在化、整合化以及内在化，这四个过程呈螺旋式上升，完成知识的转化。SECI 模型理论对这一过程进行了具体系统的讲解，本文在借鉴相关研究成果的基础上，将 SECI 模型作为研究的理论依据，并结合 SECI 具备高效聚合、个性化以及信息保障的创新理念，与知识转化场所（Ba）的概念结合进而推动易班平台的管理进行改进。



图一 SECI 过程模型

通过从易班官网上所获得的公开信息，截至 2018 年 1 月 25 日，已经有 552 所共建高校，总计 184396 个班级加入了易班，注册师生总人数达到了 8108443 名。易班的注册人数高，但是用户平均活跃度低。在易班官网首页，其板块丰富且在更新速度方面也是相对较快，然而在易班已注册学生的个人动态却更新极少而且活跃度相当低，因此非常不利于隐性知识的交换和发展。

**社会化：**利用 SECI 知识创造理论的主要观点，理论知识要经过从个人阶段向社会阶段转化的过程，是隐性知识的一种类型，在学生之间互相产生交流，隐性知识才可以得到交换，而这种交换通常是建立在相互信任的基础之上的且要在非正式的场合才能够取得更为优秀的效果。所以学生了解与认识易班平台的环境就显得十分重要，影响着学生对于易班平台的“第一印象”。在改进和推广易班的过程中应该把学生对其的信任度及场合性质进行重点关注起来，这样做才更容易对学生对于易班想法的真正需求进行了解。

**外在化：**展示与共享获得到的学生真正的需求，在隐性知识之中对新的隐性知识进行选择 and 整理，创造新的概念，此外，还需要借助文字、视频等方式将其清晰的表达出来，这一阶段便是外在化阶段，通过这一阶段完成从隐性知识向显性知识的过渡。

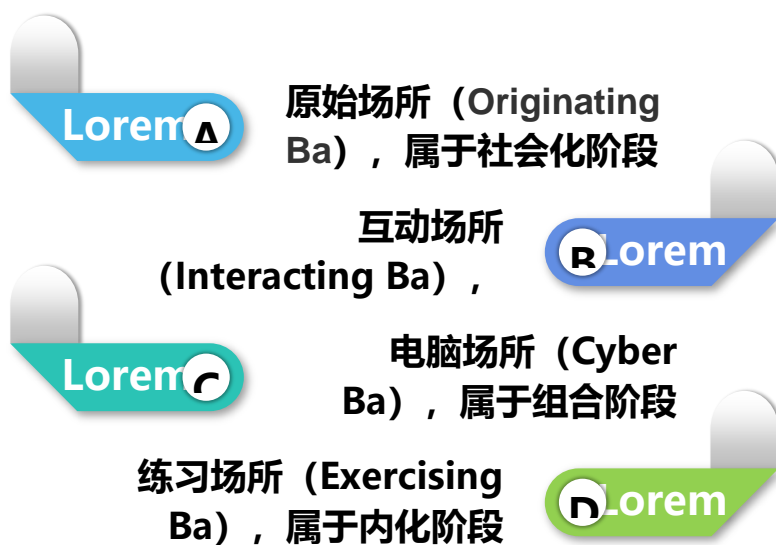
**整合化：**将新获得的显性知识与已经存在的显性知识重新构造、将两者合成新的知识的阶

段运用了知识的捕获技术和搜索技术，并将这个阶段就叫做整合化阶段。这类显性知识能够直接使易班平台所利用，并以学生需求建立模块为根据以及发布推送内容等。

内在化：将显性知识完成了向隐性知识的反向转化过程。知识的相关内容在学生之间进行转发或受到学生的评论。学生通过显性知识的催化，将自己的隐性知识投放到知识的交换流程中，对知识的交换进行推动。这种交换不仅仅是能够在易班平台线上的平台进行，同时也能够发生在线下。针对某一线上的专题或者是进行组织易班线下的见面交流会，同学之间的交流受到愉快的气氛的影响而变得更加频繁和高效采，在学生获得显性知识之后会主动的在头脑中进行吸收和改造，然后通过主观改造变成了具有独特性的知识。在 SECI 模型中，重新进入了社会化阶段，然而知识在 SECI 模型中的循环并不是形而上学的概念，而是做一种螺旋式上升运动，此外，知识的层面越大，则学生的思维、行为方式也随之产生变化。

#### 4.1.2 知识创造需要 Ba 的支持

在场域理论中，人无法离开所在场域的影响而独立的进行某一项行动，这是库尔特·考夫卡最早提出的和关于人类行为的一种概念模式。在库尔特·考夫卡的理论中并不只有客观环境构成了场域，同时也包括了他人的行为以及和此相连的许多种因素。知识不会凭空无理由的产生，因此创造知识便需要“场域”来对其进行支持。以易班平台为基础的思政工作给知识的创造提供了合适的场所，此外，我们不能对实际场域的作用进行忽略，知识在易班平台上被创造出来的过程正是以易班平台这个场域为前提开展的。学生在易班平台上的虚拟场域交流受到实际场域的影响反过来对实际场域进行了升级，新的实际场域又加快了知识的螺旋式增长速度。



图二 SECI 模型的四个知识转化阶段经历四种场所 (Ba) 示意图

SECI 模型的四个知识转化阶段经历四种场所 (Ba)，每一个场所都作为基础起点进行动作的展开，用来帮助知识在某一个指定阶段的转化，促使知识得到快速的创造发展，然后将四个场所转化出来的知识前后贯穿起来，构成一套不断自我跨越的知识程序，与此同时，知识得到了螺旋式上升。

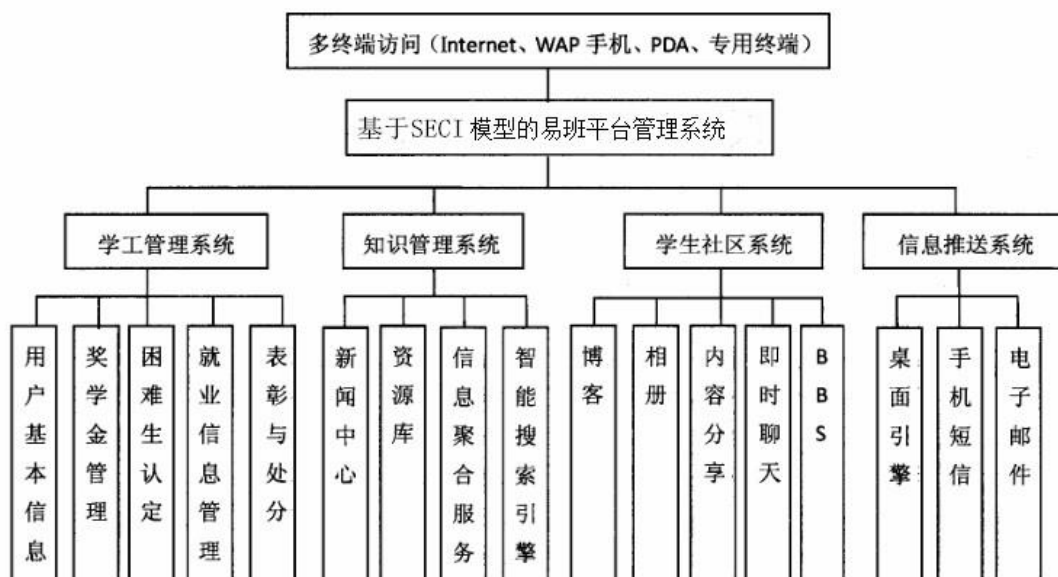
易班平台在管理过程中要结合 SECI 模型的四个知识转化阶段所经历的四种场所 (Ba) 特征，知识的起点被称为原始场所 (Originating Ba)，属于社会化阶段，易班平台要充分展现出对

高校学生的关怀、爱心、信任和承诺，促使学生能够充分接触到易班平台的知识，方便学生之间进行直接的沟通。其次在互动场所（Interacting Ba），新的知识和价值的实现存在于隐性知识转化为显性知识阶段的过程中。电脑场所（Cyber Ba），这个阶段知识完成自我组合的过程，利用虚拟场域进行互动，将生产出来的新的显性知识和现阶段出现的知识、资讯进行结合，不断生产出更新鲜的显性知识，将这些显性知识系统化起来。最后一个是练习场所（Exercising Ba），也被称为内化阶段，是将显性知识转化成为隐性知识。高校学生通过易班的平台获得教育教学资源，拓展文化娱乐方式，使用便捷的生活服务功能，一般充分发挥作为网络互动社区的一般功能，平台上知识的创造是动态性的，通过把隐性知识转化成显性知识再转化成隐性知识的两次知识的飞跃过程，循环持续创造新知识，提高易班平台的综合服务能力和影响力。

综上所述，日本著名知识管理大师野中郁次郎提出的 SECI 模型，是对知识的再创造，知识产生过程主要体现在四个方面，分别是社会化、外在化、整合化以及内在化，这四个过程呈螺旋式上升，完成知识的转化。SECI 模型理论对这一过程进行了具体系统的讲解，SECI 模型的四个知识转化阶段经历四种场所（Ba），每一个场所都作为基础起点进行动作的展开，用来帮助知识在某一个指定阶段的转化，促使知识得到快速的创造发展，然后将四个场所转化出来的知识前后贯穿起来，构成一套不断自我跨越的知识程序，与此同时，知识得到了螺旋式上升。

## 4.2 基于 SECI 模型易班平台管理模式的构建

### 4.2.1 易班平台管理模式的构建



图三 基于 SECI 模型的易班平台管理系统示意图

针对目前易班管理中利用率不足、优势资源较少的情况，需要进一步拓展平台资源与内容的辐射并展示突出学生的个性发展与需求。SECI 具备高效聚合、个性化以及信息保障的创新理念。本研究在总结当前易班管理现状的基础上，结合 SECI 模型的优势，构建易班平台管理系统，如图二所示。

### 4.2.2 易班平台管理的主要内容

表一 易班平台管理主要内容

	话题	相册	投票	网盘	博客/微博	即时通讯
团学工作	通知、告示、新闻活动	活动照片	调研与改选	活动的策划和总结	所得心得与体会	相互约谈与交谈
党建工作	通知、告示、新闻活动	活动照片、党员风采展示	择优评选、转正投票	相关资料与文件	思想汇报	彼此交流
心理指导	讲座与活动通知	活动照片	调研	活动照片、讲座的视频	对学生动态进行观察	彼此交流、在线咨询
就业指导	讲座的通知、招聘的相关信息、就业发展	活动的相关照片	调研	简历模板、求职参考书	职业的规划	信息的传送与面试通知
奖勤助贷	通知与公告	颁奖的照片	候选人评选39	助学金、奖学金申请表	对学生的动态进行观察	相互约谈与交谈
志愿活动	通知、公告与新闻活动	活动的照片	志愿者评优	活动的策划书与志愿者申请	所得心得与体会	面试通知
其他	通知、公告、主题教育与意见	活动与优秀学生的照片	评优评先、班委选拔	课件分享、常用的下载资料	对学生的动态进行观察	相互约谈与交谈

管理内容是易班平台管理中的重要内容,本文在 SECI 模型的基础上构建易班平台管理的主要内容,详细见上表。结合目前高校社交网络平台中利用率较高的话题、朋友圈、投票、网盘、微博、即时通讯,结合学生的实际情况与需求构建更贴合学生生活与学习的内容,激发与学生的情感共鸣,提升用户的使用粘性。

### 4.3 易班平台管理策略分析

#### 4.3.1 制定清晰准确的“易班”平台管理目标,完善管理制度

“易班”平台管理目标的制定及执行,管理制度的完善需要管理者的大力支持和引导,为大学生创造一个愉快和谐的学习和生活环境,促使学生可以在这样的氛围中互帮互助,提高知识的接受度和获取度。

在管理目标执行过程中坚持三个原则,鼓励学生全员参与、以引导学生为主、行之有效。引导学生积极参与,将管理目标建立在扎实的学生基础之上,例如,在某项学习内容上,“易班”平台管理者可以多做几项方案,让学生各抒己见,找到最佳结合点,最终确定有利于目标完成

的学习方案，尊重学生自主选择的权利。

在管理制度上，提高服务管理能力，尤其是各类资源的整理和公布，加强监控和反馈效果，这就需要充分调动学生参与的主动性，督促学生参与到“易班”平台管理制度的建设与完善中来，管理制度实施过程中，建立监督机制，随时监督管理制度的实施进度和情况，对学生提出的一些意见或者建设性意见给予及时的采纳，使其的发展不断接近学生实际学习情况，最大程度避免管理制度的建立和高校学生实际情况发生脱轨现象。

#### 4.3.2 结合学生隐性知识学习实际需求，迎合学生学习“喜好”

将“易班”平台上的隐性知识变得更加透明化，结合学生的知识学习实际需求，隐性知识需要逐步转化为显性知识，将知识最直接、有效的传达给高校学生。在这个方面上，“易班”平台一方面要尊重渴望隐性知识学习者的需求，另一方面还要合理满足隐性知识拥有者的利益要求，引导隐性知识拥有者发表自己的观点，从而其他人可以接触到他们的知识。高校学生在知识分享的过程中获得了成长，鼓励学生互相交流自己持有的隐性知识，保证学生源源不断的获得创新学习的动力。

深入了解高校学生的价值观、思维方式，知识学习需求等现状，结合隐性知识的属性，将两者进行结合，再对其进行科学有效的分析和整理，迎合学生真正的学习“喜好”，把兴趣和教育融合在一起，提高隐性知识的利用率，为学生搭建起一座隐性知识有效流通的桥梁。

#### 4.3.3 增加“易班”平台互动模块，提高学生线上交流效率

“易班”平台属于服务型网站，强调教学资源共享，提高班级管理效率，引导学生塑造正确的价值观。主要的功能结构包括主页面、学校、班级以及个人主页，每一项功能结构都有其对应的模块和功能。但是在互动模块比较缺乏，导致学生的线上交流频率较低，因此，在原有功能结构基础上增加互动模块，提高学生在线交流频率，学生可以相互讨论交流学习经验，分享知识，激活活跃度，学生学习由被动转化为主动，最大限度发挥互动学习交流模块的作用，在高校日常授课与学习过程中互动模块可以成为课堂拓展的交流、活动、支持工具，学习质量及监控工具，做到以互动学习交流模块为依托，提高学生线上交流频率，有利于学生个性化素质教育的开展。

#### 4.3.4 形成特定“场域”，提升“易班”平台对高校学生的影响力

SECI 模型是对知识进行管理的重要模型，易班平台要充分结合 SECI 模型知识转化阶段所经历的四种场所，建立特定的“场域”，进一步说就是易班平台建立具有相对独立性的空间，主要包括实际场域和虚拟场域，虚拟场是知识之间的连接，主要是以数字技术为发展基础，虚拟场的建立能够让显性知识更加连接和系统化，进而源源不断的生产出新的显性知识，将知识组合起来。提高高校学生在易班平台中的识别度，不同场域的发展过程是循环的，交替的，同时这一过程也是知识呈螺旋状上升的一个过程，对于提高易班在高校中的影响力有着积极促进作用。

## 5. 结论

随着十九大的召开，中国特色社会主义社会进入了一个新的时代，这给高校思政工作也带来新的机遇与挑战。如何在新时代的引领下，充分合理的运用新媒体优势，进一步深化思想政治教育的改革是当前相关领域学者与高校思政人员所面临的主要问题之一。野中郁次郎所提出的 SECI 模型，SECI 模型的四个知识转化阶段下的四种场所（Ba），任意一个场所都会提供一

个起点然后展开动作，用来帮助知识在某一个指定阶段的转化，促使知识得到快速的创造发展，然后将四个场所转化出来的知识前后贯穿起来，构成一套不断自我跨越的知识程序，与此同时，知识得到了螺旋式上升。

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# 学生各项需求重要程度感知与性别特征相关性研究 ——以泰国某中文学院为例

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## 摘要

本论文以学生需求为基础，构建了学生需求的测量模型，采用改进的 SERVQUAL 量表来测量学生对各项学生需求的重要程度感知，同时结合性别、年龄、职业实证分析后，指出中国留学生在泰国该中文学院求学过程中除了对教学质量、师资力量、校园环境等需求重视外，还需要学生独自应对一系列跨文化的学习与生活环境，因此学校是否能在学生遇到问题时提供及时帮助也是一个重要尺度。本论文最终得出结论，了解学生需求与各项需求的重要程度，有助于泰国中文教育机构将有限的资源合理平均的分配到所需的地方，有效提高教育资源，并根据不同性别学生群体的需求，为留学生提供更好的教育环境。

**关键词：** 学生需求；服务质量；教育资源；性别特征

## 1. 研究问题

目前，赴泰留学的中国学生人数不断增多，由于学生接受教育的环境发生了改变，因此办学机构只有充分了解学生的需求，才能更好的开展教育工作。

本研究以泰国某中文学院为例，根据学生性别特征，研究不同性别的学生群体对各项需求的重要性程度感知是否存在一定差异。

## 2. 文献综述

对于高等教育的学生需求项目的质量，胡子祥 (2006) 指出顾客对高等教育服务的质量感知表现为有形性、形象性、过程性、内容性、感情性、可靠性，六个特性。赵雄辉 (2007) 提出高校的教育服务应该由核心服务和辅助服务和附加服务三个部分组成。

在高等教育中学生需求项目的测评体系构建中，赵国杰、史小明 (2003) 进行的学生对高校教育期望质量研究中。测评体系维度涵盖了教学、教师、教材、设备、设施、后勤、文娱发展、自我发展。王国强，沙嘉祥 (2002) 在测评体系中还加入了能力训练过程，将实习、实验两项需求考虑到了模型中。常亚平，侯晓丽，刘艳阳 (2007) 三位学者，借鉴美国《大学生满意度量表》做出的模型研究中确定了各二级指标的权重，计算的结果更准确。

## 3. 理论框架

目前国内外诸多学者将 PZB (1994) 的 SERVQUAL 量表作为学生需求指标的研究标尺。

中国学者朱国锋 (2003) 将 PZB 的 SERVQUAL 量表五大维度 22 个指标改写为符合研究实际情况的高职学院学生需求指标，五大维度 22 个项目：(1)有形性：指高职院校的有形设施、设

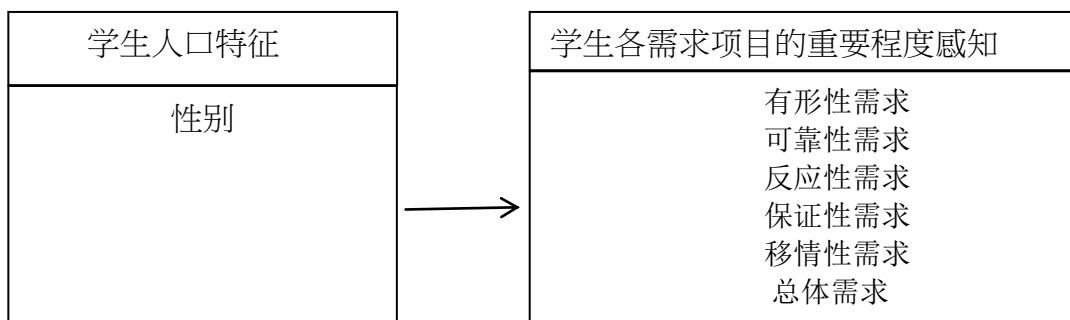
备、教职工的外在形式；(2)可靠性：指高职院校提供可靠并准确地履行承诺服务的能力；(3)反应性：指高职院校协助学生并迅速提供服务的意愿；(4)保证性：指教职工的知识、礼貌以及传达信任与信心的能力；(5)移情性：指高职院校为学生提供个性化关心的能力。

之后，洪彩真利用朱国锋 (2003) 设计的 SERVQUAL 量表与 PZB 原始 SERVQUAL 量表的基础上设计的学生需求指标，对多所院校的学生需求指标进行了满意度测量。

因此，考虑到研究对象为中国留学生，本文将选用中国学者洪彩真 (2007) 以 SERVQUAL 标尺的标准量表为基础进行研究。

## 4.研究模型

通过学生就业择业、学生基本特征与学生需求指标，提出研究模型 (图一)。



图一 研究模型

## 5.研究假设

Kwan 和 Hee (1995) 对顾客人口统计学特征对服务质量感知的影响进行了研究，这些人口统计学特征包括性别、年龄、月收入、婚姻状况及职业。Webster (1989) 在顾客人口统计特征研究里发现，女性的期望值高于男性。艾小娟 (2007) 对性别、就业质量和毕业生满意度关系研究中，提出性别会对学生需求项目的满意度产生直接和间接影响。由此，提出假设二：

- H1:学生的性别，与学生对有形性需求重要程度感知有关；
- H2:学生的性别，与学生对可靠性需求重要程度感知有关；
- H3:学生的性别，与学生对反应性需求重要程度感知有关；
- H4:学生的性别，与学生对保证性需求重要程度感知有关；
- H5:学生的性别，与学生对移情性需求重要程度感知有关；
- H6:学生的性别，与学生对总体需求的重要程度感知有关。

## 6.分析方法

### 6.1 信度与效度分析

本论文采用  $\alpha$  信度系数法，总量表的信度系数在 0.8 以上是最好，0.7-0.8 之间则可以接受；分量表的信度系数最好在 0.7 以上，0.6-0.7 还可以接受。Cronbach 's alpha 系数如果在 0.6 以下则显示问卷不可靠。

效度即有效性，它是指测量工具或手段能够准确测出所需测量的事物的程度。如果 KMO 值在 0.5 以上，就说明因子分析具有较好的效度。

### 6.2 两个独立样本 T 检验



用来检验样本数据之间是否存在显著性。本研究中将个人因素作为自变量，学生各项需求作为因变量，如果显著性 P 值呈现： $P < 0.05$ ，则说明具有统计学意义； $P > 0.05$ ，则说明不具有统计学意义。

## 7. 数据分析

### 7.1 人口特征描述性统计

从表一可以看出，男女性别比例没有显著差异，男性频率为 90，占总样本群的 51.4%，女性频率为 85，比例为 48.6%。

表一 学生性别样本量统计：

	性别	频率	百分比	有效百分比	累积百分比
有效	男	90	51.4	51.4	51.4
	女	85	48.6	48.6	100.0
	总计	175	100.0	100.0	

### 7.2 信度分析

从表二中所显示的测试结果，可以看出阿尔法值为 0.752，且大于 0.7，意味着本工具的信度良好，可以被接受。

表二 可靠性统计

克隆巴赫 Alpha	项数
.752	29

### 7.3 效度分析

从表三中所显示的测试结果，可以看出 KMO 值大于 0.8，说明该研究工具变量间关系性很强，根据 Bartlett 检验得到 Sig 值为 0，说明研究数据适合做因子分析。

表三 KMO 和巴特利特检验

KMO 取样适切性量数。		0.890
巴特利特球形度检验	近似卡方	4130.375
	自由度 df	465
	显著性 Sig.	0.000

### 7.4 学生需求重要程度感知描述性结果统计分析

问卷中，被调查者根据符合自身情况的描述对相关陈述作出选择，并采用描述性统计和分组计算统计进行分析，评分标准为：很不重要 1 分，不重要 2 分，一般 3 分，重要 4 分，很重要 5 分。结果如下表四：

表四 学生需求重要程度感知

序号	您认为以下的陈述	很不重要	不重要	一般	重要	很重要	均值
	学院是否有优美的校园环境, 对您来说	2 1.1%	13 7.5%	41 23.6%	52 29.9%	66 37.9%	3.96
	学院是否有完备而现代化的设备(实验室、图书馆、校外实践基地、计算机软硬件), 对您来说	1 0.6%	13 7.5%	24 13.8%	60 34.5%	76 43.7%	4.13
	学院是否有完善和方便的后勤服务设施(食堂、体育场、医疗、购物、停车场、卫生间), 对您来说	3 1.7%	7 4.0%	26 14.9%	61 35.1%	77 44.3%	4.16
	学院的教师是否应该做到德才兼备, 对您来说	2 1.1%	4 2.3%	9 5.2%	39 22.4%	120 69.0%	4.56
	学院是否能提供多样化和适用的课程, 对您来说	1 0.6%	3 1.7%	12 6.9%	59 33.9%	99 56.9%	4.45
	学院是否有完善的就业咨询服务中心	4 2.3%	10 5.7%	40 23.0%	55 31.6%	65 37.4	3.96
	学院的教职工是否衣着得体、整洁干净, 对您来说	3 1.7%	9 5.2%	30 17.2%	66 37.9%	66 37.9%	4.05
	学院的教师对学生的评价是否是公正、可靠的, 对您来说	3 1.7%	1 0.6%	9 5.2%	61 35.1%	100 57.5%	4.46
	学院对学生所承诺的事情是否都能按时完成, 对您来说	2 1.1%	5 2.9%	8 4.6%	38 21.8%	121 69.5%	4.56
0	当学生遇到困难时, 学院是否会尽力帮助学生解决问题, 对您来说	2 1.1%	3 1.7%	8 4.6%	48 27.6%	113 64.9%	4.53
1	学院保安是否对紧急情况反应迅速, 学生在校园里能感觉安全, 对您来说	2 1.1%	4 2.3%	11 6.3%	45 25.9%	112 64.4%	4.50
2	学院的教职员是否总是乐意帮助学生, 对您来说	1 0.6%	6 3.4%	10 5.7%	59 33.9%	98 56.3%	4.42
3	学院学生是否有表达意见建议的渠道, 对您来说	1 0.6%	8 4.6%	16 9.2%	43 24.7%	106 60.9%	4.39
4	学院教职工是否能提供迅速及时的服务, 对您来说	4 2.3%	14 8.0%	40 23.0%	61 35.1%	55 31.6%	4.44
5	学院的教职员是否能及时回应学生的要求, 对您来说	1 0.6%	3 1.7%	15 8.6%	55 31.6%	100 57.5	4.46
6	学院教职员的行为举止是否值得信赖的, 学生在接受教育、服务时是否感到放心, 对您来说	4 2.3%	40 23.0%	14 8.0%	61 35.1%	55 31.6%	3.71

7	学院的规章制度是否合理, 是否能有效、公平地管理学生及各项教学事务, 对您来说	2 1.1%	5 2.9%	9 5.2%	53 30.5%	105 60.3%	4.46
8	学院的教职员工是否始终礼貌待人, 对您来说	3 1.7%	6 3.4%	21 3.4%	58 33.3%	86 49.4%	4.25
9	学院的教职员工是否具有较高的教学水平和科研能力解决学生的问题, 对您来说	1 0.6%	2 1.1%	11 6.3%	60 34.5%	100 57.5%	4.47
10	学院是否给予学生个性化的关爱, 对您来说	1 0.6%	5 2.9%	28 16.1%	60 34.5%	80 46.0%	4.22
11	学院是否有便利所有学生的服务时间, 对您来说	2 1.1%	5 2.9%	20 11.5%	60 34.5%	87 50.0%	4.29
12	学院的教师是否对学生因材施教, 开展有针对性的教学, 对您来说	1 0.6%	3 1.7%	20 11.5%	55 31.6%	95 54.6%	4.38
13	学院是否了解学生的各种需求, 对您来说	2 1.1%	1 0.6%	15 8.6%	66 37.9%	90 51.7%	4.39

根据表四的数据, 可以看出 23 个选项中, 有 20 个选项均值在 4.05~4.56 之间, 属于重要因素。还有 3 个选项均值在 3.71~3.96 区间, 属于一般因素。

#### 7.5 学生性别独立样本 T 检验

该项数据针对学生性别 (男/女), 进行描述性统计 (表六), 独立样本 T 检验 (表七)。

表六 性别组描述性统计

	您的性别是:	个案数	平均值	标准偏差	标准误差平均值
有形性	男	90	28.8111	5.22933	0.55122
	女	85	29.7765	3.95323	0.42879
可靠性	男	90	17.6222	3.16433	0.33355
	女	85	18.4824	1.90620	0.20676
反应性	男	90	17.3778	3.26568	0.34423
	女	85	18.1059	2.05301	0.22268
保证性	男	90	16.3111	2.74228	0.28906
	女	85	16.9529	2.09822	0.22758
移情性	男	90	16.8444	3.10096	0.32687
	女	85	17.7059	2.22445	0.24128
总体感知	男	90	96.9667	15.17645	1.59974
	女	85	101.0235	9.60776	1.04211

表七 性别组 独立样本 T 检验

	莱文方差等同性检验			平均值等同性 t 检验			
		F	显著性	t	自由度	Sig. (双尾)	平均值差值
有形性	假定等方差	5.402	0.021	-1.372	173	0.172	-0.96536
	不假定等方差			-1.382	165.206	0.169	-0.96536
可靠性	假定等方差	11.781	0.001	-2.163	173	0.032	-0.86013
	不假定等方差			-2.192	147.466	0.030	-0.86013
反应性	假定等方差	12.885	0.000	-1.754	173	0.048	-0.72810
	不假定等方差			-1.776	151.047	0.041	-0.72810
保证性	假定等方差	1.841	0.177	-1.732	173	0.085	-0.64183
	不假定等方差			-1.745	165.967	0.083	-0.64183
移情性	假定等方差	6.095	0.015	-2.101	173	0.037	-0.86144
	不假定等方差			-2.120	161.581	0.036	-0.86144
综合感知	假定等方差	8.038	0.005	-2.099	173	0.037	-4.05686
	不假定等方差			-2.125	151.631	0.035	-4.05686

## 7.6 假设检验与结果

假设检验结果如下 (表八) :

表八 假设检验结果

编号	内容	显著性	是否成立
H1	学生的性别 (男/女) , 与学生对有形性需求重要程度感知有关;	0.172	不成立
H2	学生的性别 (男/女) , 与学生对可靠性需求重要程度感知有关;	0.030	成立
H3	学生的性别 (男/女) , 与学生对反应性需求重要程度感知有关;	0.041	成立
H4	学生的性别 (男/女) , 与学生对保证性需求重要程度感知有关;	0.083	不成立
H5	学生的性别 (男/女) , 与学生对移情性需求重要程度感知有关;	0.036	成立
H6	学生的性别 (男/女) , 与学生对需求项目的重要程度感知有关。	0.035	成立

## 8. 结论与建议

### 8.1 假设检验的结论

根据假设检验的结果, 从性别上看, 男生与女生对可靠性、反应性和移情性有着显著的差异性。女生对各学生需求项目的重要程度感知均高于男生, 其中可靠性和反应性是女生最关注的, 因为其中主要涉及到学校与教师对学生的帮助与问题的回馈。其次是有形性与移情性, 因为涉及到的主要内容是教师素养、课程设置以及学校的规章制度。

了解不同性别群体学生的需求与各项需求的重要程度, 有助于学院将有限的资源合理平均的分配到所需的地方, 有效提高教育资源, 为留学生提供更好的教育环境。

同时也能有助于提高与完善学校在教学、师资、管理方面的不足, 使学校对校园建设以及教学工作得到进一步提高。

### 8.2 建议

#### 8.2.1 学校层面及时帮助与解决学生问题

在学生需求项目中的重要程度排序中可以看到, 女性学生对“学院对学生所承诺的事情都能按时完成”、“学生遇到困难时学院会尽力帮助学生解决问题”、“学院保安对紧急情况反应迅速, 学生在校园里能感觉安全”这几个项目的感知度较高。主要原因是, 在赴泰留学过程中, 需要学生独自应对一系列跨文化的学习与生活, 如面临语言沟通、文字阅读、文化习俗的诸多不便, 因此在遇到问题的时候非常希望能得到学校的帮助, 而女生相比男生会更缺乏安全感, 更需要得到学校的支持和保护。

#### 8.2.2 教师层面提高教师团队的综合素质

在各需求项目的重要程度中, 我们可以看到“学院的教师是否应该做到德才兼备”、“学院的教职员是否具有较高的教学水平和科研能力解决学生的问题”等项目无论对男生还是女生都十分重要, 教师是学生获取知识的源泉, 学校应注重优秀教师的引进, 不断向其他优秀教师汲取优质教学经验, 提升教师服务水平和提高教学质量。为教师的教务工作建立一个严格的考核机制, 防止滥竽充数。教

师的教学质量和服务态度严重影响着学生的感知质量，只有建立一个严格的考核制度，考核教师的教学服务，才能提高学生的感知质量。

### 8.2.3 管理层面

根据“学院的规章制度是否合理，是否能有效、公平地管理学生及各项教学事务”，在性别上没有差异性，说明男生与女生对完善的管理机制和优秀的教学服务都十分重视。因此在管理层面学校应该建立严谨的考核机制与良好的学习氛围。最后学校可以建立一个畅通对反馈平台，及时的掌握学生的需求。

## 9. 研究局限性与未来研究

第一，本研究是通过对大量相关文献进行整理分析，得出各项学生需求的项目和内容。

第二，本研究以泰国某中文学院中国留学生为研究对象，并不能代表整个赴泰留学生群体，但可以以此为出发点，对整个泰国留学生群体进行研究。

第三，留学生群体的学生需求项目还有来自文化、语言等诸多方面，但由于笔者能力原因，无法全部纳入本次研究中，因此主要基于学校内部情况进行研究。

最后，希望所搜集的数据与所提出的建议可以对学校的发展起到一定作用，从而提升赴泰留学的留学生教育质量，也促进中泰两国的友好发展。

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