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Proceedings of 2015 China Marketing International Conference
Big Data, Cultural Difference and Marketing

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Preface and Acknowledgments

China has witnessed particularly rapid socio-economic development in the past decade. The Chinese market has offered an abundance of opportunities for further research in the field of marketing theory and practice. To promote research and best practices in the field of China marketing, the Department of Marketing at City University of Hong Kong, in conjunction with Xian Jiaotong University (XJTU) and University of South Carolina successfully organized the 2015 China Marketing International Conference (hereafter, the Conference, also abbreviated as CMIC 2015) which was held from July 24th to 27th, 2015 on the main campus of XJTU in Xi’an, China.

The theme of the conference was “Big Data, Cultural Difference, and Marketing”. The Conference aimed to provide an effective international platform promoting interactive exchanges among leaders of academia, business, government, and non-profit organizations. Under the auspices of the organizers and sponsors, over 370 scholars and 500 delegates from 12 countries/ regions attended the conference and discussed the research and practice of marketing in the Big Data Era. More than 200 full-length papers and abstracts were accepted to address various issues related to marketing worldwide. Renowned scholars were invited to demonstrate their academic achievements and to discuss, via seminars, lectures, and colloquia, the latest research developments in marketing theory and practice. This was the third China marketing conference in which overseas Chinese marketing scholars have actively interacted with their peers in mainland China. The Conference has gained popularity since its inception in 2013.

We are genuinely honored to have had the opportunity to organize this Conference, and we are deeply indebted to the sponsors for their valuable contributions to the Conference Reception. Thanks are also extended:

To our Keynote Speakers (Prof. David STEWARD, Prof. Min DING, Prof. Thomas KRAMER, Prof. Mike Wei Gang PENG, Prof Eric FANG, Prof. Kevin ZHOU, Prof. Chengting SU, and Prof. Ben S. LIU), who shared their insightful and thought-provoking ideas;
To our indefatigable track chairs (Prof. Steven CHANG, Dr. Xu ZHENG, Prof. Andreas GREIN, Prof. Xueming Luo, Dr. Thomas KRAMER, Dr. Diogo HILDEBRAND, Dr. Yoshiko DeMotta, Dr. Warveni JAP, Dr. Xiao HUANG, Dr. Qing WANG, Dr. Mike Chen-ho CHAO, Dr. Jane GU, Dr. Jonathan DESCHENES, Dr. Yanan WANG, and Dr. Tony Haitao CUI) who actively organized their sessions; and to those who submitted their scholarly work to this Conference.

Special thanks are extended to the CMIC 2015 Conference Chairs and the Organizing Committee members (Prof. Wei HUANG, Prof. Chenting SU, Prof. Zhilin YANG, Prof. En XIE, Prof. Haibin YANG, Dr. Liwen CHEN, Dr. Yeqing BAO, and Dr. Thomas KRAMER), and to all the volunteers who served during the Conference. Without all of your efforts, this conference would not have been so successful.

The China Marketing International Conference is establishing itself as an important annual international academic conference, and is gradually developing into a large-scale worldwide academic event. With such a diversified spectrum of participants and audience, we certainly hope that you had the opportunity to take advantage of the CMIC 2015, assimilating and benefiting from its wide range of contributions. In case you missed this year’s event, you are cordially invited to join the 2016 China Marketing International Conference to be held from 8-11 July on the main campus of China University of Petroleum in Qingdao, a beautiful coastal city in China. We are looking forward to meeting you in Qingdao!

Forrest Zhilin YANG

Professor, Department of Marketing

City University of Hong Kong
Best Paper Award

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**Spatial Affinity and the Value of Location in Online C2C Shopping**
Pradeep K. Chintagunta, Junhong Chu

Second Prize:

**Impact of Material Vs. Experiential Purchase Types on Happiness – The Modera=ing Role of Self-Discrepancy**
Ying Yu, Fengjie Jing, ChenTing Su, Nan Zhou, Bang Nguyen

**The Nonlinear Effects of Brand Value on Shareholder Value**
Xiaoli Li, Haizhong Wang, Lianxi Zhou

Third Prize:

契约型农产品营销渠道治理过程研究：收购商管理控制的中介作用
田敏，张闯

**How Prior Ties Affect Contractual Governance in Alliance: Evidence from China**
Longwei Wang, Xiaodong Li

购后情境下降价对顾客抱怨的影响——价格公平感的研究视角
陈金龙，张少卿，郭朝阳
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重建控制感：群发性产品危机中企业修复策略和消费者自我修复的影响机制研究
李清，卫海英

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Monkey See, Monkey Do?: The Effect of Construal Level on Focal Consumers' Reactions to Other Consumers' Unethical Behaviors
Yuanqiong He, Junfang Zhang, Yuanyuan Zhou

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王新刚，周玲，周南

Third Prize:

Performance Feedback and R&D Search: Firm's Relative Performance Change as a Contextual Factor
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社会排斥与权力状态对炫耀消费的交互影响
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顾客感知支持、承诺对持续契合行为的影响研究
李倩，王秀村，李方圆
Barriers and Drivers: Information Technology in Manufacturing Firms of Australia

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ABSTRACT

The purpose of this research is to provide insights into the motivating success factors and challenges of information technology implementation. A survey conducted for collection of data from manufacturing firms. And identify to the impact of information technology on performance of companies. A survey has been conducted for the data collection purposes from the manufacturing firms. The key findings of this article shows, there are many significant challenges and motivating success factors (tangible & in-tangible) involve in implementation of information technology in manufacturing firms and why manufacturing firms are not aggressively adopting information technology mainly barriers involve lack of leadership commitments in IT projects, Optimistic approach on initial phase of cost and benefits analysis, Implementation of latest technology with rigid and old processes (legacy), lack of Collaboration of Australian manufacturing firms, lack of business management skills and Scarcity of IT professionals in Australia. And associated motivating success factors of IT are: linkage to the supply chain (end to end), improvement in planning and scheduling, high visibility and velocity, decrease in SC variability and disruptions and overall cost reductions in the systems. This research will contribute in the existing knowledge and find out challenges, drivers of information technology and how companies can overcome or minimize to those challenges effectively.

Keywords: Information Technology, Scarcity of IT Professionals, Cost, Collaboration, Lack of Leadership Commitment, Increased Visibility

1. Introduction

In today’s competitive world information technology plays a vital role in the success of company business. But in the modern supply chain IT (information technology) role is same as backbone, support to the whole end to end business (supplier to consumer). Bakos & Treacy, (1986) define IT (information system) is the ability of a system to process, store, and communicate. Due to the increasing expenditure of IT many business professionals ask same question “what is the contribution of computer in the financial goals?” and one simple answer is not much contribution. In an HBR Review article Garr, (2003) Believe that’s computers adding
not any meaningful benefits in the benefits due to their commodity nature. Carr, (2003) Investment in the IT, is not necessary to contribute and build competitive edge for business. But According to the other school of thoughts information technology significantly contribute in the success of the business & achievement of the goal. Broadbent et al.,(2003) Due to the information technology role in business, firms are working more efficiently, and explore to the market opportunities and achieve to the bottom line of business (financial goals). In the light of Brynjolfsson, (1993) managers and business professionals are investing in the IT, not only because of reduce cost but also to increase the quality, efficiency, responsiveness, visibility & other in-tangible benefits which usually ignore during the counting of IT blessings. Oz, (2005) argue that’s many factors play important role like organizational fit, systems characteristics, organizational size & management style etc. Irani et al., (2003) EAI (enterprise application integration) has much positive effect over performance of business. Puschmann & Alt, (2004) many firms are using EAI technology and they are gaining benefits. The study of Santos and his coleques, Dos Santos et al., (199) companies can achieve competitive edge by investment in the innovative technologies. According to the Im et al., (2001) the study results shows that’s timing of the investment & firms size can create large & significant effect on small firms. This particular study would revolve around the barriers and drivers of Information Technology in supply chain management in reference with the manufacturing industry. An in-depth introduction of the concept of information technology will be provided in order to assess the implications for supply chain management domain of the manufacturing industry. The underlying challenges for the Information Technology to become prominent in the supply chain management will be highlighted in this paper. The main source of information for this article remains the Professionals & Senior Management of supply chain in the industry of manufacturing, who will be surveyed by a well-developed questionnaire.

1.1 Problem Statement

According to the Gupta, (2000); Davenport, (1998) 90% IT projects failed during the execution phase or over budget. Companies willing to adopt modern and latest technologies to create competitive edge and improve to the whole systems performance and minimize to the cost, but due to the challenges, high risk & fear of failure, they use conservative approach in adopting new technologies. The results of study Bancroft et al., (1998) Investment in IT major benefits are operational cost reduction, speedy decision making. This research will contribute in the existing knowledge and find out challenges, drivers of information technology and how companies can overcome or minimize to those challenges effectively.

1.2 Research Objective

This study will help to understand Barriers and Drivers of information technology in manufacturing firms of Australia. One simple approach to understand the phenomena
of Information Technology effect over manufacturing firms observe the firms practices and employees how they work in their field. In this study 297 manufacturing firms (Australian) are included, this research will contribute in the existing knowledge of information technology role in manufacturing firms and describe to the challenges and success factors of IT and how management can overcome to those challenges, which face during implementation of IT.

2. Literature Review & Theoretical Framework

According to the 3vs Concept explained by APCIS –USA – CSCP Module Books, (2013) Information technology plays a significant role in the success of whole supply chain management. Due to the information technology, now supply chain role has been extended and visibility and velocity has been increased. According to the APCIS –USA – CSCP Module Books, (2013) this concept shows that, if visibility and velocity will be increased so ultimately variability in the supply chain will be decrease. And visibility can be increased by real time information sharing in the supply chain, without role of IT real time information sharing is not possible. Usually in the supply chain velocity (speed) is associated with the visibility, for example. If supply chain staff knows “the actual quantity of inventory in material warehouse” then they can plan for further “buying material” and if sales & marketing staff knows the “actual inventory level in finished goods warehouse) then they can do commitment (delivery date & time promise) with customers.

Means if visibility will be high so ultimately velocity will increase in the supply chain because of visibility, if sales & marketing person knows the actual level of inventory in finished goods warehouse then they can commitment (sooner & timely delivery) with customers, and there will very less chances of miss-commitment, error, risk and disruptions in the supply chain . Means finally variability in the whole supply chain will be decrease. Companies need to investment more in the information technology for increasing to the real time information.

According to the Gumaer, (1996) in today’s competitive market, companies cannot survive without information technology; in the supply chain speed is one of the
major competitive edges and this advantage can be achieved by investment in information technology like ERP (enterprise resource planning). Davenport, (1998); Holsapple & Sena, (1999) In the market of IT Software, the ERP software market is growing rapidly. As per Bingi et al., (1999) Investment in the information technology is growing and next five years only in ERP software investments are expected almost $15.68 billion to $50 billion. But according to Holland & Light, (1999) market of ERP in 1997 was 15.68 billion US dollar approximately and almost 72.63 billion US dollar in year of 1997. On the behalf of this figures experts says’ investment in information technology will grow more. Holland and Light, (1999) Information Technology improving to the business processes including manufacturing, purchasing, warehousing etc. Gable et al., (1998) the usage of ERP, information flow has been increased in the firms. According to the Davenport, (1998) one important feature of ERP is the corporate activities including HR, supply chain management, finance and manufacturing are improved and automated. As well information technology like ERP facilitate to the managerial control, reduction in operational cost, speedy and effective decision making Bancroft et al., (1998); Holland & Light, (1999). According to the computer technology research corp, (1999) Deloitte & Touche’s survey, In the business integration effective and efficient integration can be achieve by information technology like ERP, and because off these integration company can achieve tangible and intangible benefits including reduce their cost, improved order management, reduction in procurement costs, improvement in timely and accurate delivery, reduction in transportation cost, inventory levels, risk, strong to their supply chain links, as well able to take quick reaction to market opportunities, competitive pressures, increase productivity, reduction in headcounts, fast closing of financial cycles, increase to the customer service level, higher flexibility in the supply chain, low disruptions. Bingi et al., (1999) According to the computer technology research corp, (1999) Deloitte & Touche’s survey, In-tangible benefits of information technology are following, increased visibility in the whole supply chain and visibility of corporate data, improved processes, improved responsiveness, strong links in the all supply chain end to end, increased flexibility, real time information sharing, computing platforms (standardization). Usually the savings from the information technology like ERP system is $1.6 million per year Koch et al., (1999). ERP software marketing is increasing day by day and in upcoming 5 years it is expected to be $15.68 Billion to $50 billion Bingi et al., (1999). According to Holland & Light, (1999) ERP market in the 1997 was $15.68 billion and in 1999 it is almost $72.63 billion. And that’s why experts has analyzed it will be more grow.

According to the Gibson, et al., (1999) there are many benefits of information technology, and technology contribute in the business tangibly and intangibly, one most mainly benefits of information technology especially ERP is to integrate to the all processes in the company. There is no doubt, cost of ERP implementation is higher, but
this cost is less than their benefits. In the light of definition provided by Hirschheim, (1987) the success & failure factors can be seen in the IT project.

- **Correspondence Success**: there should be match between specific planned objectives and Information technology (IT) systems.
- **Process Success**: when project of IT finished & completed in the time frame and budget.
- **Interaction Success**: when attitudes of the end users are positive with IT (information technology).
- **Expectation Success**: Information technology systems should match the expectations of end users’.

The link among strategic objectives & benefits of Information Technology (ERP) is consequently a relative on rather than absolute & complete in terms of what particularly may be expected. Classification of ERP system benefits by Shang & Seddon, (2000). They classify to the benefits into five major groups as follows.

- **Operational**: relating to cycle time reduction, cost minimization, improvement of productivity, and finally the improvement of customer service.
- **Managerial**: in relation to improvement in decision making, better management of resources, improvement in terms of planning and performance.
- **Strategic**: more concerning about alliances of business, supporting to business growth, generating product differentiation, and create external links.
- **IT Infrastructure**: Minimization of IT cost, increase business flexibility, and capability of IT infrastructure.
- **Organizational**: facilitate to the business learning and experiences, create common visions, and empowering, supporting to organizational changes.

### 2.1 Role of IT in Australian Firms

According to the ACOLA – Australian Council of Learned Academies, (2014) Manufacturing sector plays a vital role in Australia’s economy almost 7% of GDP but
in recent decades contribution is decline and firms are facing many challenges. According to the Half, (2014) many companies are struggling to find suitable and talented IT professionals. But 88% of Australian companies said “now it is difficult to find talented IT professional”. Australian market is in crunch. And most difficult functional area fill are software development 18% Applications development 15% Data base management 15% Help Desk & Technical Support 11%. ACOLA, (2014) “Time is not in our favor” Australian firms are not linked to global value chains as compare to other developed countries’ firms, and Australian firms make complex and difficult to access high and new technology for them. In last 10 years others Countries’ firms have moved ahead of Australian firms’.

Australian companies must need to increase their collaboration with international markets. Collaboration support to business in access new markets networks and improve to the innovations ACOLA, (2014).

Innovation and research are the basic driving force for the productivity (long term) & economic growth. Australian companies need to invest more in R&D ACOLA, (2014) in the research study suggest to the Australian companies should need improve their business management practices for business competitive & growth. And also recommend to the firms “increase their innovation, R&D to improve their productivity and need to investment in information technology”.

3. Methodology
The selecting of an appropriate methodology is very important for writing an effective research paper. This research purpose is to highlights to the major barriers and drivers of IT (Information Technology) in the manufacturing industry. The manufacturing industry in Australia is well developed & efficient. But many companies
use conservative approach during adopting the new information technology due to associated barriers & challenges. In this research the primary quantitative method has been used in order to gain relevant (first hand) data about the study from most relevant managers & directors of supply chain. In this article questionnaire sent to the supply chain management of 840 manufacturing firms in Australia, the firms had been selected on the random basis. The returned forms received from 297 firms, means response percentage was 35.35%. In these 297 firms were the big, medium and small manufacturing firms. And these firms are working in different businesses mainly including; consumer items, foods, furniture, metal, electronics toys manufacturer, cosmetics etc. and every firm has the computerized scheduling system over the manufacturing area. In these 297 firms researcher has been divided to these responses in two main categories on is large manufacturing firms and second is medium & small manufacturing firms, 103 was the large manufacturing firms and approximately 194 was the medium and small manufacturing firms and all manufacturing (large) firms have more than 350 employees and medium has 60 to 349 employees. The data gathered through the questionnaire essentially reflect the opinions of different chain management within the manufacturing industry in references with the drivers & barriers of the information technology. The questionnaires analyzed with the help of research experiences, observations & literature reviews. The most relevant findings are discussed in next section.

4. Results

297 manufacturing firms’ supply chain are surveyed in order to gain the first hand data about the topic and the underlying barriers and drivers of information technology in manufacturing industry. Following are the most important and relevant highlights are identified given below.

4.1 Challenges & Barriers

After the in-depth analysis of this survey, researcher have been found the following major challenges, which face by manufacturing firms during the implementation of information technology, the biggest failure of the project is “less leadership commitment” due to the non-seriousness of management and many projects failed due to the communication gaps between the management and IT team. Legacy of the old processes: Technology (new) implementation is challenging as well after the implementation companies can not avail maximum benefits like ERP implementation also required to change business processes. Business Management: Lack of business management skills and Scarcity of skills: many times companies want to implement new technology but IT team skills and knowledge are limited. Resistance of Change: adaptation of new technology usually companies face resistance from the employees or supply chain partners. Lack of Management Skills: lack of control and best practices. Scarcity of IT Professionals, Internal Compatibility or infrastructure: it is also paly
significant role like companies would install new software but IT infrastructure (legacy) is not supported. Limited budget: Companies have limited budget & financial support. External Compatibility: Companies implement to the new technology but because of external compatibility (supplier & retailer) of technology they face are unable to achieve maximum benefits. Data Security & confidentiality Issues: some time companies management are afraid from usage of new technology (ERP) and share information with supply chain partners including supplier & retailer. Insufficient & optimistic assessment: before the installation of IT company management allocate budget as per the initial optimistic assessment of cost and mostly time it is wrong. These all was the major barriers, which face by manufacturing industries during the implementation of new technology including ERP.

4.2 Drivers & Success Factor

Companies would like to implement new technology to achieve the many benefits, but in this research we have focus to IT benefits over manufacturing firms. According to the 297 manufacturing firms surveyed results, there are many success factors & drivers of Information technology including tangible and non-tangible.

4.2.1 Tangible Success Factors

There are many tangible success factors involved, but major drivers and benefits of the information technology are following. Cost Minimization: due to the usage of new technology over all supply chain cost reduction especially procurement, manufacturing, warehousing. Enhanced inventory management: usage of modern technology can increase to the warehouse maximum Storage utilization, inventory management and higher accuracy in inventory counting & valuation. Headcounts Minimization: companies can save their money in terms of intensive usage of labor. Effective and efficient procurement: Modern technologies (ERP) make procurement process more efficient and effective. Quality Improvement: organizations also invest money in technology to improve quality of products.

4.2.2 In-Tangible

In the supply chain, the usages of new technology in-tangible benefits are more than tangible benefits. Mainly and big benefits are improved planning & scheduling process: companies use the new technological instruments and software for improvement of planning and scheduling. Quality improvement: increasing the quality of services provide to customers and customer satisfactions etc. Minimize to the Variability: in the end to end supply chain by sharing real time information by RFID, GPS & ERP etc. Reduce cycle time: by the usage of latest technology cycle time (communication, evaluation, and order fulfillment) can be reduced. High Visibility & Velocity: technology is called backbone of the supply chain and visibility & velocity can be achieve by usage of latest technology to minimize the error margins in supply
chain, increase to the speed of work, deliveries, timely deliveries to the customers, and companies used latest technology to achieve the competitive edge over competitors.

4.3 Effective Implementation to Overcome Barriers

During the implementation or before the implementation companies can overcome or minimize to the barriers and challenges by using the following techniques. Leadership Commitment & Involvement of SC Partners: All supply chain partners & Leadership should be involved from planning till execution stage. Realistic Cost & Benefits Analysis: before the implementation of technology company should be not very optimistic on the project cost. Clarity of Objectives: Management & employees well know why company is implementing new technology? Effective Training: Management must need to provide effective training to end user of technology. Managing Risk: IT team and management should think over “early focus on managing risk” before implementing new technology. Integration of the Processes: Many times only implementation of new technology can be result of big disaster like ERP, companies need to use the techniques of BPR (business process reengineering) and all business process and technology should not be misfit. Trust building, Collaboration & Information Sharing: companies can resolve many communications issues by strong collaborations & sharing information with the business units and supply chain partners.

5. Conclusion & Future Research

In this article, In-detailed researcher has discussed theoretical frame work and empirical works and after in-depth analysis of surveyed of manufacturing firms, researcher analyzed to the Australian manufacturing firm’s challenges and barriers face during the implementation of information technology, tangible & in-tangible benefits, and why manufacturing firms are not aggressively adopting information technology and in the last researcher provide recommendation, how firms can overcome those barriers successfully. This study will help to manager in decision making and understanding the effective role of IT. Every research is conducted with an aim that it would provide reliable and valid for the specific industry and topic. Nevertheless it is practically not possible for any researchers to cover all aspects of any given topic. Similarly this article was meant to describe and identify the barriers, challenges and motivating success factors, drivers of the information technology in manufacturing firms. Due to the shortage of resources, time constraints and other factors, this research might have some limitations. Hence, the future researchers must be on the way to explore further potential benefits and challenges along with the relevant solutions for the challenges explored. Also researcher can work about the motivating success factors and challenges of information technology in other then manufacturing industry.
Reference


Role of Global Sourcing in the Modern Supply Chain of FMCG Industry

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ABSTRACT

The purpose of this article is to provide insights the role of global sourcing in the FMCG industries. The Research methodology is based on survey; a survey has been conducted for collection of the required data from 389 companies. And find to the role of global sourcing in the modern supply chain of FMCG industry. The key findings of this research paper shows that’s lack of top management commitment, huge inventory is in-transit, and these type of inventory has high risk factor, usually due to longer lead time, Supplier selection and supplier development have huge financial investment, Volatile exchange rate. Other the other hand many motivating factors include in the global sourcing; learning skills from the foreign base supplier (relationship building), less regulations by supplier’s government, financial incentives including tax breaks and low tariffs, create competitive edge in the market, increase to the customers’ satisfaction, access to the international markets. Companies can minimize to the barriers of global sourcing; firms before going towards execution phase, they need to consider the following factors: Supplier’s service level, capacity of the suppliers, suppliers are agree to sharing information with company, suppliers’ processes and technology is compatible with buyer’s company. This article will contribute in the existing knowledge and find out the latest role of global sourcing in the FMCG Companies’ Supply Chain Management. How companies can minimize to those challenges effectively.

Keywords: Global Sourcing, FMCG, Quality, Collaboration, Lack of Top Leadership Commitment, Exchange rate.

1. Introduction

Supply chain is playing an important role in the company’s business. According to the APCIS CSCP Module, (2013) Supply chain of one company is competing with supply chain of other company. In the modern supply chain companies are more focus towards cost minimization and increase to the efficiency & effectiveness of the supply chain management. Dunning, (1992); Kotabe and Swan, (1994) supply chain having no boundaries and global sourcing is use commonly in today’s world. In the light of Martinez & Jarillo, (1991) global sourcing is become more difficult due to the high cost
and technological complexities but usually in the global sourcing transportation cost and risk is so much Dubois et al. (1993); Swamidass & Kotabe, (1993). In the research result of Kotabe & Swan, (1994) sourcing was the positively correlated with global (market share) and to the propensity to innovate. Companies are using global sourcing to gain the competitive edge over their competitors. But as per the Morgan & Sayer, (1988) in the initially stage of decision regarding global sourcing, the cost is underestimated, and whenever companies start implement their plan into reality they face many hurdles and complexities especially huge cost associated with global sourcing. According to the Morgan & Sayer, (1988) companies gain advantage from global sourcing but they are face many problems including barriers of communication, technological and cultural etc. in the phenomena of global sourcing companies initially do not count the cost of in-tangible like flexibility, longer lead times, cultural issues, languages barriers, and the potential loss of competitiveness in core technologies Markides & Berg, (1988); Curtin, (1987); and McClenanhen, (1990). As per the research of National Tooling & Machining – NTMA, (1987) in the offshore sourcing could add from 24 percentage to 78 percentage to the quoted price, longer lead times as well lower quality and also operational problems can be generate by international sourcing Beamish, (1988); Mankin & Flaherty, (1988) In the study of Moxon, (1973) argue that’s rather than to finding general benefits & cost of international sourcing, more useful is to find out to the relational factors which influence.

Several authors identify and explain in their research results including Swamidass and Kotabe, (1993) in the international sourcing major issues are flexibility and cost, lean production concept due to the difference cultural as well JIT (just in time) product required close contacts (origin and destination points). According to the researchers Dubois et al. (1993); Jones and Womack, (1985); Hoffman and Kaplinsky, (1988) in the international sourcing, high technology and fashionable items short lead time and required close cooperation with R&D (research and development) team. Usually it is more beneficial to use local sourcing for those items because local sourcing is provide the benefits of flexibility, low cost convenience and short lead time. According to the research of Smith et al., (1998) before taking decision of sourcing, companies should be well aware benefits and non-benefits of sourcing. As well successful and smooth sourcing depend on the employees skills.

1.1 Problem Statement

Many companies adopt global sourcing only because off minimization in cost (acquired cost or landed cost of product) but they ignore to the total cost of ownership of the products which is associated typically. Smith et al., (1998) companies should be well aware about the advantages and disadvantages (including tangible and in-tangible cost and benefits) before going towards global sourcing. Various researches has been conducted to the find out the role global sourcing and tangible benefits associated with
global sourcing, but this research is going to conduct to identify the in-depth relationship motivating factors (benefits) and challenges involved in global sourcing like total cost of the products increase by global sourcing as well this research will also recommend to the organization’s management, how they can minimize and overcome to those challenges and hurdles associated with global sourcing

1.2 Research Objective

This study will help to understand the Role of Global Sourcing in the Modern Supply chain of FMCG Industries. Simple tactic to recognized & understand the phenomena of Global Sourcing effect on FMCG (fast moving consumer goods) industry, observe to the firms practices & employees, how they are working in their arena. In this research study the 389 FMCG firms (U.S Based) are included. This research will contribute in the existing knowledge of global sourcing and will provide an in-depth overview to the organization’s management.

2. Literature Review & Theoretical Framework

According to the APCIS (US) CSCP, (2013) Many Companies during the decision of procurement process cater to the only product cost (shown in figure 1.1) and after the implementation of the decision, companies face different complexities and problems including high transportation cost, high warehousing cost, huge inventory in-transit, longer lead time, higher risk factor involved etc. and these all problems become more complex and bigger when companies source from other country like an global sourcing, Vissers, (2000) also suggest companies should involve others factors too, beside the cost factors.

![Cost Involved in Procurement Process](image)

Shown in figure 1.1 few or big multinational companies usually analyse sourcing decision in terms of products cost and landed cost, but they also sometimes ignore to the total cost of ownership of the products, and after the timeline they face multiple double sword problems including mainly returns products costs, information sharing, communications and cultural barriers, in-flexibility in the supply chain, problem in
relationship building, difficult to visit suppliers (involved huge cost in global sourcing) natural disaster in supplier country like earthquake etc. make all supply chain disruption, political instability, customs barriers and hurdles, difficult to manage urgent deliveries, government policies, environmental policies of supplier’s government etc. These all factors should be involved in the sourcing decision, and these all factors become very critical and more problematic when companies going to adopt global sourcing risk increase same like longer lead time.

According to the Gumaer, (1996) in today’s competitive market, companies cannot survive without information technology. Because of IT role there is no doubt companies can solve many problems of the supply chain. In the light of APCIS (US) CSCP, (2013) Information technology is the backbone of the supply chain and supply chain play very critical role in the success of the company business. In the research of Probert et al., (2000) following four areas should be analyse and evaluated during the decision of sourcing.

- Manufacturing Processes & IT: equipment, technology and skills to better perform and support to the process.
- Cost: Production Cost and cost of Acquisition.
- SCM (supply chain management & logistics): selection of suppliers, supplier’s collaboration, and delivery time.
- Support Systems: Technical services, IS (information system) and quality.

According to the Bernard et al., (2009) identify that almost 65% of the cross-country variation in USA imports are accounted for the extensive margins of imports. As well Bernard et al., (2007) mentioned in the research that USA importers are more productive than non-importers of USA (on average 12% are more productive). As per the Antras et al., (2014) Shown in Table 2.1, As per the Antras, (2014) The majority USA based importers are importing from the Canada and China, following are the top 10 sourcing countries list (based on 2007 U.S importers record)

<table>
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<th>Top 10 Countries</th>
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<td>1. Canada</td>
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<td>2. China</td>
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<td>3. Germany</td>
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<td>4. United Kingdom (UK)</td>
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<td>5. Taiwan</td>
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<td>6. Italy</td>
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<td>7. Japan</td>
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<td>8. Mexico</td>
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<td>10. South Korea</td>
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According to the results of Brannemo, (2005) usually the sourcing strategies fail due to the lack of support from management or project leader. In the light of Melvor, (2000); Fill and Visser, (2000) researches argue that’s models of sourcing decision should be whole holistic and follow to the overall strategies of the companies. Carr and Smeltzer, (1997) the objective of the strategic sourcing is to effectively handle situation when faced with competitive, supply and demand uncertainties. Johnson & Johnson, (1991) strategic sourcing allows a company to select and identify suppliers through strategic long term partnerships. According to the Pham & Quoc, (2006) in today’s world the production and manufacturing is typically organized with many and multiple country affiliations like a product can be designed in different country and manufactured in different country and few components of the products can be sourced from the another country. It has presented latest dimensions in the sourcing (global) as there are differences in procurement practices in every region all over the world Ruamsook et al., (2007). The global sourcing required greater visibility and information sharing among the partners to keep the relationship smooth Kocabasoglu and Suresh, (2006).

As per the Miles, (2000) researcher has been studied the dual sourcing strategies utilized and a modelling method adopted and determine what additional price leverage would be required to make a dual vendor scenario a breakeven proposition. In the light of Hazra et al., (2004) research explains the risk and cost faced by suppliers in the electronic market and derived to the price capacity function for the vendor and suppliers. In the global sourcing mainly factors which influenced over the decision of sourcing is cost, time and technology. Manish & Rao, (2004) Investigated and analysed to the determinants of e-commerce (sourcing) during maturity phases and technology growth. Bozarth et al., (1998) the local content purchasing rules are established by government of buyer’s company. Munson and Rosenblatt, (2001) global sourcing are adopted by the companies to gain a competitive edge in the local market. Murray, (2001) the competitive technology, market affecting the company technological modification and diversification strategies Cesaroni, (2004) this research article address to the challenges relating to the global sourcing, global sourcing is more complex in reality than what has been studied in the existing literature reviews. In the global supply chain the exchange rates fluctuations also plays vital role in uncertainties and disruptions in the chain of supply.

2.1 FMCG Industries in U.S Market

In the study of GMA- Grocery Manufacturers Association USA, (2011) In the American FMCG- Fast Moving Consumer Goods market was worth of $2.1 trillion dollars and its employs almost 14 million workers in America and contributes more than $1 trillion in added value to the nation’s economy. FMCG sector was the fast growing sector in the United States of America since 18th century. In the latest research
study conducted by PWC- Price Water House Coopers and GMA- Grocery Manufacturers Association as per the result of these study FMCG industry provide almost more than 1.7 million jobs and it is contributing more than 6% in the U.S GDP (Gross Domestic Product). According to the Vernon’s PLC (Product Life Cycle) theory, (1966) In the USA firms mostly prefer production domestically in the early stages of a product. Because the specifications and the process of the manufacturing would not yet be stable and clearly defined, but when product become more matured then its production process and specification become more stable, competition (price) would become intense & market (foreign) would emerge. While between the degrees of global sourcing and product maturity positive relationship has been established in various empirical research studies. Swamidass and Kotabe, (1993); DuBois et al, (1993) very few research work into the way particular products attributes that makes dispersed manufacturing difficult change over time. Instability in demand was the real reason and leading source of the supply chain disruptions. According to the Vernon, (1960) explain the rapidly fluctuating demand volumes issues can be resolve by source from nearest supplier and avoid to use longer lead time suppliers and usually demand fluctuation is too much in the initially stage of the products, but in the maturity stage the growth and demand is almost slow or stable and production specification is also stable, as well management also can able to forecast more realistically.

3. Methodology

In the research article selection of an appropriate research method is really important for writing an effective article. In this research, author will highlight to the latest role of global sourcing in the modern supply chain management including challenges and motivating factors will be identify and will provide complete holistic view and how can be minimize and overcome to the issues and problems face during the global sourcing. The FMCG industry in U.S is well developed & efficient. But many companies face complex issues and problems during using the global sourcing. In this research the primary quantitative method has been used in order to gain relevant (first hand) data about the study from most relevant managers & directors of supply chain. In this research article questionnaire sent to the supply chain managers of 1200 FMCG companies in U.S. The returned forms received from 389 firms, means response percentage was 32.42%. In these 389 firms were the big, medium and small manufacturing firms. And these firms are working in different businesses mainly including; consumer items, foods, consumer electronics, dairy products and cosmetics etc. and every firm was using the global sourcing in their businesses. In these 389 firms researcher has been divided to these responses in three main categories one is large FMCG companies and second and third is medium & third small FMCG companies respectively. 81 was the large FMCG firms and 114 was the medium and 194 was the small FMCG firms and all FMCG (large) firms have more than 250 employees and medium has 101 to 249 employees and small firms was having less than 101 employees.
The data gathered through the questionnaire essentially reflect the opinions of different FMCG Companies managers in references with the challenges, hurdles & motivating factors include in the latest role of global sourcing. The questionnaires analysed with the help of research experiences, observations & existing literature reviews. The most relevant findings are discussed in next section.

4. Results

In this research study 389 FMCG companies (US based) was included. And these 389 FMCG firms are surveyed in order to gain the first hand (primary) data about the topic and the underlying challenges and benefits of global sourcing in FMCG industry. Following are the most important and relevant highlights are identified given below.

4.1 Challenges in Global Sourcing

In this research, after the in-depth analysis of the 389 FMCG companies surveyed, we have identified that’s in the global sourcing usually from the FMCG perspective following challenges are involved including: Lack of commitment from the top management and because of this problems all global sourcing chain suffer, huge cost involved in the global sourcing as compare to the local sourcing, huge inventory is in-transit because of longer lead time many inventories are in-transit and in-transit inventory is very critical because company usually has promised to pay the money of those inventory but still it is not in ownership and cannot use, sometimes it takes months due to longer lead times (import from very far region/country) supplier selection complexities face in the global sourcing, barriers communication and cultural is exist in the global sourcing, lack of employees skills in international sourcing companies face these problems due to no or few experience of key supply chain employee. Inflexibility is the face sometimes in the global supply chain, when buyer’s company cannot change to the specification of the orders in the late stages (because in the global sourcing delivery lead time is very long), return or defective products procedure is very costly and mostly suppliers adjust this (less defective product price) from the next order or as per the mutual understanding between buyer and supplier. Exchange rate plays critical role (volatile) in the imports and exports, because when buyer’s company place order to the supplier on that time exchange rate is different but when they come up on payment stage so exchange rate is different usually these problems face mostly with Asian and African suppliers, political in-stability also create serious and direct impact over the global sourcing, natural disaster like earth quake in the supplier’s country can make disruptions on the buyer side (scarcity of the material) or quality difference if buyer source same material from other country on the emergency basis (less time to check supplier processes & technology), customs policies & government policies plays vital role in the global sourcing like environmental policies buyer’s government do not allow to source any hazardous material (without proper treatment and safety) like
wooden pallets are banned in many countries including U.S, These all was the major challenges, which face by FMCG Companies during the Global Sourcing.

4.2 Motivating Factors of Global Sourcing

Companies would like to use Global Sourcing to achieve the benefits, According to the 389 FMCG firms surveyed results, there are various motivating factors are involved. Mainly benefits are following; benefit of the global sourcing is Cost minimization and high quality, companies would like to go towards global sourcing because of low cost and high quality, Discover to the new international markets, increase the number of suppliers, helps meet counter-trade obligations, increase and build relationships with the suppliers (good in industry / class supplier), increase to the customer satisfactions by providing higher quality products & services, learning skills from the foreign supplier (relationship building), build competitive edge over competitors, advanced resources and supplier technological contribution and responsiveness, access to the raw material (when scare locally), access to the distinctive skills, less regulations by supplier’s government, economic incentives like low tariffs and tax breaks.

Management can overcome or minimize to all those problems and challenges, which face during global sourcing. Firms before going towards global sourcing should consider to given below factors mainly; product process technologies, willingness to share information and technologies with buyer’s firms, quality, cost, reliability, order system and cycle time, communication capability, location of the suppliers, supplier’s service level, capacity of the suppliers, trust building with the suppliers, real time information sharing, collaboration with suppliers, understand to the trade and customs policies of the supplier’s country.

5. Conclusion & Future Research

In this research article, In-detailed researcher has discussed work and empirical theoretical frameworks and after in-depth analysis of surveyed of FMCG (fast moving consumer goods) companies, researcher analysed to the U.S FMCG Companies’ challenges and motivating factors involved in the global sourcing and how FMCG Companies can overcome and minimize to the barriers, which face during the global sourcing. In the last researcher provide suggestions and recommendation, how companies can overcome to the global sourcing’s barriers successfully. This study will help to supply chain manager in decision making and understanding the effective role of global sourcing in the modern supply chain. Every research is conducted with an aim that it will provide trustworthy, reliable and valid for the specific sector and topic. However, it is essentially not possible for any researchers to cover all aspects of any given topic. Similarly, this research study was meant to describe and identify the challenges and motivating factors, which are involved in the global sourcing. Due to
the resources shortages, time constraints and other factors, this research might have some limitations. Further the future researcher can continue to explore more challenges and motivating factors involved in global sourcing, as well future researcher can do same research in other then FMCG sector.

Reference

Challenges and Benefits: Global Sourcing Vs. Local Sourcing in the Manufacturing Industry

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ABSTRACT

The purpose of this paper is to provide understandings of the global sourcing vs. local sourcing and identify the impact of Global sourcing vs. local sourcing on the manufacturing industry. A questionnaire method has been used for the data collection purposes from the target industry. After the in-depth analysis, the key findings of the research shows that’s in the global sourcing challenges and benefits are involved significantly including, huge inventory in-transit, high risk in the global sourcing and it is difficult to measure sometime. There are also many benefits are associated with global sourcing including discover new markets, economic incentives such as low tariffs, competitive edge, higher quality. On the other hand local sourcing provide flexibility in the supply chain, the local sourcing are ideal for the JIT (just in time) production and lean implementation systems, low inventory & transportation cost, low level risk, easy to communication and supplier visits, easy to supplier development, and disadvantages are usually low quality material, learning curve is not very good, difficult for the firms to explore international markets, limit to the creativity. This research will contribute in the existing knowledge and provide the holistic understanding of the Global sourcing vs. local sourcing and also will identify the advantages and challenges and how company can handle and overcome those challenges effectively.

Keywords: Global Sourcing, Low Tariffs, Competitive edge, Inventory Cost, High Risk, Local Sourcing

1. Introduction

In the dynamic world choosing the right sourcing strategy is sometime difficult and challenging for the organizations. According to the APCIS CSCP Module, (2013) Supply chain is the backbone of the organization, nowadays is SC (supply chain) of a company compete with SC of other company. In the modern supply chain “Cost is not everything”, but reality is different, companies still focusing too much over cost and they ignore to the other associated problems with lost cost sourcing Dunning, (1992) in the modern concepts supply chain has no boundaries, supply chain has been extended as well risk also has been spread. Many companies are going towards global sourcing to minimize the cost but according to the Martinez & Jarillo, (1991) in the global
sourcing many difficulties face by companies mostly high cost and technological complexities. In the light of Kotabe & Swan, (1994) study companies use global sourcing to achieve competitive edge over their competitors and also minimize cost. Morgan & Sayer, (1988) argue that’s companies on the initial basis they are very optimistic and the cost is underestimated, but whenever they come over execution phase they face huge cost and this time is difficult for the companies to go back, Because already organizations has incurred huge cost on sourcing. As per the study of Smith et al., (1998) before adopting the sourcing strategy organizations should evaluate cost and benefits analysis properly for global sourcing vs. local sourcing. In the world “nothing is free” There are no doubt through global sourcing companies can achieve many benefits. But not always, there are also some costs which are associated with global sourcing and also with local sourcing, companies need to evaluate both sourcing strategies carefully before adopting any one. In the study of Swamidass and Kotabe, (1993) major issues which are associated with global sourcing is flexibility, huge cost involved in terms of transportations, cultural & time differences which can create delays many times. As per the several authors including the researchers Hoffman and Kaplinsky, (1988); Jones and Womack, (1985); Dubois et al. (1993) in the global sourcing of fashionable, clothing and technological items which have shortened lead time and required cooperation (closely) with Research & Development Team it is more beneficial for the companies to use local sourcing for these items. Usually local sourcing provides flexibility, shortest lead time, few inventory in-transits etc.

According to the CIPS - Certified Institute of Purchasing & Supply (2013), local sourcing over global sourcing the four key areas Supply chain risk, loss of agility, transport cost and sustainability, as per the CIPS (2013) each dollar increase in oil equate to almost 1% increase in the cost of transport. As per the theory of peak oil theory supply and demand of oil is not equal roughly. Supply Chain risk has been increased especially after 9/11 victim, global sourcing extend to the supply chain and also increase to the supply chain risk like long lead times, exchange rate fluctuation, reputational risk, port congestions. Loss of agility is a big problem face in global sourcing, because companies cannot respond quickly to the new innovations etc. and due to the extended supply chain respond to the immediate changes and need are little slow especially for the fashionable items and technological items. Because in today’s world market has been shifted from forecast driven to demand driven so it is really difficult to respond quickly in the global supply chain due to the extended lead times. Sustainability to become environment friendly, various multinational companies are working over sustainability but reality in global sourcing required high transportation movement and also global sourcing move carbon footprint with goods from one country to other country.

1.1 Problem Statement
Organizations usually adopt sourcing strategy to minimize the cost. But “cost minimization is not everything” in the modern supply chain. Smith et al., (1998) before adapting to the sourcing strategy companies need to evaluate (in-depth) cost and benefits of local and global sourcing. Many researchers have been conducted research before to identify benefits and challenges of global and local sourcing. But in this research, researcher will find out and compare to the challenges and motivating factors involved in both sourcing strategies as well in the end of this research, researcher will give recommendation, how companies can overcome and minimize to those barriers which are associated with local sourcing and global sourcing in U.S manufacturing industry. In this study 348 manufacturing firms are included. This article will contribute in the existing knowledge of Global vs. Local Sourcing and will provide an in-depth overview.

1.2 Research Objective
This study will help to understand the latest hurdles and benefits, motivating factors involved in Global Sourcing vs. Local Sourcing in the Modern Supply chain of Manufacturing Industry, also compare to the benefits and challenges of both sourcing strategies. And provide a holistic view. In this article 348 manufacturing firms (U.S based) are participated. In the end of this article, researcher will also provide recommendation to the supply chain managers, and supply chain practitioners, how they can minimize to the risk and challenges involved in both sourcing strategies.

2. Literature Review and Theoretical Framework
Global sourcing is the now a mainly part of business strategies of many companies. It is play a vital role to create competitive edge. Global sourcing is the biggest trend in the last 25 years. Usually companies are using global sourcing for the low cost, quality factor, shortage or scarcity of material in home country. But whenever we talk about the benefits of global sourcing so on the other hand there are some disadvantages and challenges such as long distance, communication barriers, higher risk due to long lead time etc. If we look an overview on the past last 40 years, so global sourcing trend has been increased dramatically especially in manufacturing sectors. In the world mostly companies are sourcing from china. China itself declares “factory to the world” companies also using global sourcing strategy for skilled and low cost labour.
If we look at the wages of some developed countries; for skilled labour per hour in the Germany is 18 to 25 dollar; in the USA wage rate is 9 to 15 dollars; Czech Republic is 4 to 5 dollar; in the India and Pakistan is almost 1 dollar and in the China is less than 1 dollar. Usually Companies using china as production facility; because of low cost material, labour wages as well skilled labours.

According to the Markides and Berg, (1988) offshore sourcing not only increasing the cost of inventory, administration and transportation; but it also leads to a loss of economies of scale, longer lead times, lower quality and freezing of current technology. Many researches has explained companies doing offshore sourcing mostly fail badly, it also minimize to the flexibility in the supply chain, added extra transportation and huge inventory costs. In the light of Davis, (1992) and Curtin, (1987) usually offshore sourcing can increase cost 24 to 87% in to the price (quoted); as well as low and cheap quality plus long distance – longer lead times which also increase to the risk in the supply chain. Aguilar, (1986) and Beamish, (1988) argue international sourcing creates operational problems; as per the Mankin and Flaherty, (1988) global sourcing sometimes can generate problems in operations. Moxon, (1973) study shows global sourcing of products which required rapid delivery, engineering changes & fashionable products are most challenging. Swamidass and Kotabe, (1993) local sourcing offers more benefits mostly including huge flexibility. But on other hand few researchers argued international sourcing is only add more cost in the supply chain as well as less flexibility and JIT production, lean production systems are big challenge and somehow impossible. DuBois et al. (1993); Jones and Womack, (1985); Hoffman and Kaplinsky, (1988) international sourcing shows that’s fashionable and technology centric products are more difficult to use sourcing (international) as well as those products which required more engineering, R&D; industrial related products where buyers demanded
on short time and reliable deliveries, or items with a low value to weight ratio. If distance is not long then it is easy to solve problems; on the other hand it is very complex to identify the problems in the chain and then resolve it, because off poor communications or communications barriers, cultural differences, longer lead times, huge inventory in in-transit, exchange rate, as well managerial big time spent on fire-fighting Levs, (1994). In the light of Swamidass and Kotabe, (1993) and DuBois et al. (1993) in the product life cycle theory, if products are on the growing stage it is difficult to predict to demand (realistic) as compare to maturity products, so global sourcing is more beneficial for the products of maturity stage in the product life cycle.

As per the Smith et al., (1998) it is very important; companies should aware about advantages as well disadvantages of the sourcing. Tisdale, (1994) argues that’s few companies have been outsourced too much or big role of their production so now they are unable to develop new products or they have lost their ability. Cross, (1995); Lacy and Willcocks, (1998); Johnson and Schneider, (1995) outsourcing have been to outsource processes that are very close to company’s core competence. Kotabe and Helsen, (2004) argue that’s global sourcing really required huge and close coordination in R&D, Marketing activities as well productions. Global sourcing plays a role in enhancing to the supply chain performance. Cost political factors and reliability are found primary requirement for the sourcing or outsourcing decisions. According to the Venkatesan, (1992) explain that outsourcing of non-critical products and commodity components enable a company to focus resources over aspects of the product that are keys to competitive success. According to the White et al., (2013) since the starting 1980s, the JIT (Just in Time) manufacturing from Japanese manufacturers to American manufacturers has improved an accelerated rate. JIT is very common in the top and giant manufacturers in the US. And big manufacturers are more sophisticated developed than small manufacturers of US. The benefits of international sourcing is defined by Kotabe, (1990) and Kotabe and Swan, (1994) found offshore was positively correlated to both market share (global) and to the propensity to innovate.

Bozarth et al., (1998) the government of buyer’s company established the local content rules. Munson and Rosenblatt, (2001) usually global-sourcing are adopted by several companies in perspective to gain the competitive edge. Cesaroni, (2004) explains in the reality global sourcing is much more complex and difficult, because there are many factors which influence including exchange rate, long lead times, huge inventory and transportation costs, high risks, time zone differences; these all majorly effect to the smooth operation of supply chain. In the light of Guamer, (1996) nowadays firms cannot survive without latest technology. As per the APCIS – CSCP- USA, (2013) Information Technology role in the supply chain is same as backbone, and supply chain is the backbone of the business; excellent supply chain can increase to the profitability. Probert et al., (2000) mostly 4 areas should be analyse before sourcing decision.
Manufacturing Processes & IT: equipment, IT to better perform
Cost: Cost of Production and Acquisition
Supply chain management and logistics: supplier’s collaboration, and delivery time.
Support Systems: Technical services, information system.

2.1 Manufacturing Industry in U.S Market
In the US manufacturing industry is the 2nd largest industry including petroleum, aerospace, automobile, chemicals, consumer goods, foods, and mining. The US manufacturing industry plays vital role in the economic productivity; in 2011 manufacturing contribution was US GDP was $1.8 trillion which was 12.2% of total US GDP. According to the many researchers US manufacturer are more developed then other sectors as well as they used latest technology to achieve objectives and provide delighted customer service. In 2011 the US manufacturing industry employed 11.8 million workers approximately which was 9% of total employment. As per the roughly idea almost 7 million others sectors’ jobs are dependent on manufacturing industry including doctors, teachers, hairdresser etc. In the US many companies prefer domestically manufacturing especially in the early stages of the product life cycle; mainly specifications of the production would not yet be very clear and stable. But somehow products going towards maturity stage then production specification become more reliable, clearly defined and more stable, price competition would become intense and foreign would emerge. During the 1983 to 2005 in the US, exports of electronics and computer products grow by 493%. In the starting quarter of 2010, the primary markets for USA merchandise exports were the Mexico, China, Japan, Germany, Brazil, United Kingdom, South Korea, and Singapore exports to all of those mentioned countries were increase in the starting quarter of 2010 as compare to the 2009, same quarter. Exports to Mexico increased by 28%, exports to Canada were increase by 22% and China increased by 47% over this period. The US is still the biggest producer of technology products; but in last 10 years competition in technology sector has been increased dramatically (increase is 25% approximately). Since 2010, the United States of American’s manufacturer has been recovered and rebound from the –great recession. The manufacturing sector added 139,000 jobs only in 2012.

3. Methodology
This study has used Questionnaire method, and questionnaires were sent to the top and senior management of the field of Supply Chain of 1152 manufacturing firms in United States of America. Researcher selected to the manufacturing companies on random basis from the registered manufacturing firm’s records. The returned questionnaires (form) received from 319 firms, means response percentage was 27.69% approximately. In these 319 companies including were the big manufacturing firms, medium firms and small manufacturing firms. These firms are majorly working in
different businesses mostly companies engaged in Consumer Electronics, Plastic goods and toys, value added, Pharmaceuticals, Foods and different Companies was using Global Sourcing and Local Sourcing for their Strategic Items. In these 319 firms, Researcher has divided these responses in two categories one is Global Sourcing, means those firms which was using Global sourcing for their Strategic items and second category is Local Sourcing, means those firms which was using Local Sourcing for their Strategic items.

4. Discussion and Results

Researcher has surveyed 319 manufacturing firms in the US; and these all 319 manufacturing firms was survey for collecting the most related first hand primary data regarding the topic and the underlying advantages and disadvantages of local sourcing vs. global sourcing in the US based manufacturing companies. So researcher has been divided into two categories one is local sourcing advantages and disadvantages and on the other hand is global sourcing.

4.1 Challenges and Benefits of Global Sourcing

In research; after the in-depth analysis of the 319 manufacturing companies, researcher identified in the global sourcing mainly from the perspective of manufacturing are following challenges and benefits are involved significantly including: huge inventory in the in-transit, longer lead times are very common problem face in global sourcing and due to the long distances and flexibility in the supply chain shrink as well buyers are unable to approach his orders or change to the specifications easily after the order shipped, higher risk in the global sourcing is silent killer, because many times companies do not know about the risk and it is also difficult to forecast for example kidnapping of the ship or natural disaster; if suppliers’ country are suffering from any natural disaster so ultimately buyers productions and operations affected directly or in-directly, time zone difference can lead higher cost and also coordination, communications problems. In the global sourcing returned of defective or problematic products are very difficult and somehow is impossible, exchange rates plays an vital role in the global sourcing and many firms use hedging techniques to minimize the exchange rates risk, political instability, customs and government policies create magnifying effect on imports and exports such as environmental policies in US; companies cannot imports anything which are seriously hazardous for the environment (without any proper treatment), as well wooden pallets are banned in many developed countries including US. After these challenges there are also many benefits are associated with global sourcing majorly is low cost; companies using global sourcing to achieve the economies of scale, scarcity or shortage of the materials in the local area; one big reason of global sourcing is scarcity of the material in the home country, higher and better quality; nowadays companies are more focus towards customer centric and they like to provide better or best services to the customers and make them delighted.
and keep relationship for the longer time, skilled labour; from last few decades firms likes to produce their products from china; because Chinese labour are more skilled and low wages as compare to the United States of America. By global sourcing companies also discover to the new international markets, helps meet counter-trade obligations, increase the number of suppliers, increase and build relationships with the international suppliers. Achieve to the distinctive skills, economic incentives like low tariffs, less regulations by supplier’s customs and government, and tax breaks, achieve to the competitive edge. These are the mainly associated advantages and disadvantages, which faced by manufacturing firms during the global sourcing.

4.2 Challenges and Benefits of Local Sourcing

In the local sourcing during the analysis of 319 companies; researcher find out the major benefits are flexibility in the supply chain, flexibility in the whole supply is very important to keep all operations smooth, low cost in terms of transportation and inventory, lower level risk due to short lead times, lead times are very critical in the supply chain, no problems of exchange rate, not as such communication and cultural problems face, in the local sourcing risk in the supply chain many times are fewer then global sourcing; and if any problems occur so supply chain partners can easily solve those problems on the short notice, due to the huge or long distances many problems creates and also costs, in the local sourcing are ideal for the JIT (just in time) production and lean implementation systems. On the other hand disadvantages which are associated with local sourcing are mostly low quality material, learning curve is not very good, very few or limited suppliers pools and more dependency on the few suppliers, company cannot enjoy from the distinctive skills or latest technology of foreigner suppliers, difficult for the firms to explore market in the foreign country due to no or very limited contacts, limit to the creativity, limited information sharing, low safety stocks, choice of delivery, products return is easy and affordable, delivery point also can be changed on the short notice.

In the last, after the comparison of both global sourcing and local sourcing; researcher would like to provide some advices for minimization to the challenges or problems face in the sourcing, supply chain management can overcome to those problems and challenges which face during the sourcing; doesn’t matter it will be local or global. First of all, companies need to evaluate which sourcing strategy will be better for their company and which sourcing strategy will better for which products, because global sourcing and local sourcing both have advantages and disadvantages but companies need to trade off, for example fashionable, innovative products are not preferable to use global sourcing in some circumstance in the U.S market. Due to the short life cycle as well un-predictable demand, volatile market trend, but in the other side global sourcing are more value able and effective for those products which are stable or which products are on the maturity stages. If we look over local sourcing, so
local sourcing plays very affective role in-terms of short lead time, higher flexibility, low cost of transportation and inventory, easy delivery, so local sourcing in the U.S market are more preferable for the fashionable, technological items as well those products which are on the growing stage in the product life cycle, because growing stage many processes or specifications are not well defined as compare to maturity stage, and customers demand is volatile which is really difficult and somehow impossible to forecast easily. By side of these companies also need to create strong coordination, collaborations with the supply chain partners to keep the operations smooth and effective. And sharing real time information to build trust and also understand to the trade policies of the suppliers’ country.

5. Conclusion & Future Recommendation

In this article, researcher has discussed theoretical and empirical frameworks after the in-depth analysis of surveyed of manufacturing firms, researcher analysed the factors; which are involved in as barriers as well as motivating factors to push companies towards global sourcing or local sourcing. After describing problems and challenges author also provided recommendations (optimal solutions) how management can overcome or minimize to the global sourcing and local sourcing problems; which do not required as such energy or money. This research study help to the supply chain management in decision making as well as understanding the role of global and local sourcing in the latest supply chain dynamics. Every research aim is to achieve their objective effectively for the particular industry, region or topic. However it is really difficult and somehow impossible for the research to cover topic from every angle and aspects. Similarly this article was meant to describe the barriers and advantages or motivating factors; which are usually involved in the sourcing decisions. This research has some limitations including time constraint, scarcity of resources, financial and other factors. Further the future researcher can also continue to exploring more problems including challenges, disadvantages involved in sourcing, and motivating factors associated with both sourcing decisions, as well researcher also can do same research in other then manufacturing industry.

Reference

Evaluation of Brand Extension: The Role of Cognitive Style and Involvement

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ABSTRACT

Perceived fit between the original brand and related extensions is the fundamental factor influencing the success of brand extension. This study investigated how consumers’ cognitive style and perceived brand involvement affect brand extension. The results indicated that consumers’ evaluations of products are a function of cognitive styles and perceived brand involvement. In the second study, we explored methods of improving consumer evaluations of brand extensions by influencing cognitive styles. Results indicated that the stable psychological characteristics of field-independent and field-dependent styles did not change, but a field-neutral cognitive style could change based on a specific suggestion. Therefore, to obtain higher evaluations, it is better to give field-independent suggestions to field-neutral cognitive consumers. This study has important implications for brand extension and marketing communication strategy.

Keywords: Brand extension; cognitive style; product involvement; extension path; extension evaluation

1. Introduction

Brand extension—using established brand names to launch new products—is one of the most frequently used branding strategies (Völckner & Sattler, 2006) and has attracted great attention in recent years. Previous research identified a number of influential factors that affect brand extension outcome, including consumers’ perception of the original or extension products of the parent brand, brand power or companies’ strengths (Brown & Dacin, 1997), brand association (Broniarczyk, S., Hutchinson, & Alba, 1992), brand image (Bhat & Reddy, 2001), quality of brand or product (Chowdhury & Kabir, 2007), name of brand or product (Desai & Keller, 2002), competitiveness of brand or product (Kapoor & Heslop, 2009), product category (Sheinin & Schmitt, 1994), advertisements (Dens & De Pelsmacker, 2008), and users’ experience (Fu, Ding, & Qu, 2007).

The most frequent finding is that similarity or fit is the key condition for successful brand extensions (Aaker & Keller, 1990; Boush & Loken, 1991;
Broniarczyk, S. M. & Alba, 1994; Jung & Tey, 2010). However, there are numerous unsuccessful and failed extension attempts worldwide, despite meeting the requirement of fit. The present study aimed to extend existing knowledge by investigating influential factors of brand extension outcomes when extensions satisfy the important criterion for desired success—the requirement of fit. To achieve this end, this research sought answers to two important research questions: 1) When extensions meet the requirements of fit, will consumers’ response to brand extensions vary by cognitive style? and 2) How will the effect of cognitive style vary as a function of perceived product involvement with brand extensions?

The factors related to individual consumers have received little attention in the literature. Studies have focused on cognitive levels and abilities (Mao & Krishnan, 2006), involvement (Maoz & Tybout, 2002), brand love or emotional dependency (Fedorikhin, Park, & Thomson, 2008), knowledge of brand or product, and consumer age (Hem & Iversen, 2009).

Involvement and cognitive styles are factors related to individual consumers. Several studies have looked at involvement as an individual variable that may explain the differences between consumers’ mental and physical efforts and their decision making (Kapferer & Laurent, 1993; Michaelidou & Dibb, 2008). Most of the consumer involvement studies are based on the consumers’ point of view, and there has been little research on product involvement. These studies have found that in low involvement situations, the consumer’s behaviour is repeated amidst a changing purchasing environment until the consumer’s knowledge of the brand or products is slowly changed; in high involvement situations, the consumer seeks opinions or attitudes that are different from quondam, and this precedes any change (Krugman, 1966).

Cognitive style represents predispositions of attitudes or behaviours favoured for processing information (e.g., perception, memory, and thinking). In recent years, several studies have applied cognitive styles to the fields of marketing and consumer decision making, but it has not yet been studied in the field of brand extension.

This study used cognitive style to segment consumers and sort extension and parent products by involvement; this included three types of cognitive styles and four brand extension paths. We also explored the evaluations of consumers with different cognitive styles on virtual extended products on the four brand extended paths. In addition, this study attempted to identify methods of raising consumers’ brand extension evaluations by influencing their cognitive styles. The practical significance of this study is the delineation of how these variables affect consumers’ purchases and defining theoretical guidelines for the advertisement of extension products based on these variables.
1. Theoretical Background and Hypotheses

2.1 Involvement and brand extension

The concept of involvement stems from the ego-involvement research of Sherif and Cantril (1947). The first use of ‘involvement’ in marketing research was by Krugman (1966), who used the concept of ‘low involvement’ to explain the effect of television advertising. Following this introduction, researchers begin to study consumer’s attitudes and behaviours related to advertisements of low or high involvement (Laaksonen, 1994). Later, more scholars took up the concept of involvement and it spread from advertisements to product involvement and consumers’ involvement behaviours (Maoz & Tybout, 2002; Michaelidou & Dibb, 2008).

When extensions are high involvement, consumers’ evaluations are affected by perceptual qualities of the brand and a company’s technical ability to manufacture extension products. Compared with high involvement products, the transition from low involvement parent products to low involvement extension products is easier (Nijsser & Bucklin, 1998). Maoz and Tybout (2002) found that evaluations of low involvement fit extensions were more favourable compared to those with a moderate fit or lacking fit. However, for high involvement extensions, they found extensions with a moderate fit to the parent brand were evaluated more favourably than extensions with a fit or misfit.

This study identifies four paths of brand extension based on different levels of involvement of parent products and extensions:

1. High involvement of parent products and high involvement of extensions (high/high)
2. High involvement of parent products and low involvement of extensions (high/low)
3. Low involvement of parent products and high involvement of extensions (low/high)
4. Low involvement of parent products and low involvement of extensions (low/low)

For the conditions of high/high, high/low, and low/low, the parent brand provides enough information for consumers; in the low/high path, when consumers evaluate the extensions, they will have difficulty extracting enough information from the originals to make a decision.

According to the Elaboration Likelihood Model (ELM) there are two types of information processing: the central and peripheral routes (Petty, Cacioppo, & Schumann, 1983). Product involvement influences the selection of the information-processing mode used by consumers. Different levels of involvement will stimulate consumers to choose different information processing routes. High involvement products stimulate consumers to use central processing. Conversely, low involvement products induce peripheral processing (Jung & Tey, 2010).
Due to different information needs and information processing, consumers have different evaluations of extension products on each of the four extended paths. Consumers can be divided by differences in cognitive style and these different styles depend on different types of information processing in decision making. Cognitive style is an influential factor in consumers’ evaluations of extension products on the four extended paths.

2.2 Cognitive style

Cognitive style represents predispositions of attitudes or behaviours that individuals favour in processing information (e.g., perception, memory, and thinking). Messick (1984) delineates 19 different cognitive styles, while Riding and Cheema (1991) summarize more than 30 types. The field-independent (FI) and field-dependent (FD) styles identified by psychological and cognitive characteristics are of particular interest in this study as these cognitive styles highlight individual differences that affect the process of decision making and represent opposite information processing styles. FD consumers refers to individuals who rely on the ‘field’ of the outside world for clues to make decisions, whereas FI consumers are individuals who are independent of a ‘field’ and make decisions (Endler, 2000) based on personal perceptions, not on outside clues (Endler, 2000).

In recent years, studies of cognitive style in product marketing have been growing. Furse and Greenberg (1975) used cognitive style as a variable to segment the market. White, Varadarajan, and Dacin (2003) reported that cognitive style could be used to explain and adjust to the changing market. Claxton and McIntyre (1994) found that the statistical relationship between marketing applications and consumer’s attitudes and behaviours could be explained by cognitive style.

Although concept of FI and FD appears in consumer research (Fritz, Stewart, & Norwood, 2002), few studies of brand extension include these concepts. Cognitive style can be divided into FI and FD, which may be more representative, however in this study, we divide cognitive style into three types: FI, FD and field-neutral (FN). The FN cognitive style refers to a cognitive style that shifts between FI and FD; therefore, this style is not representative of typical FI or FD style.

FI individuals are sensitive to information that is related to them. They believe that the existence of individuals is independent and emphasize that self-definition is determined by characteristics, abilities, and achievements. FI consumers focus on the product itself, are sensitive, and pay selective attention to information about the product. Similarly, they evaluate an extension product based on its individual characteristics and functions and perceive these as separate from the parent product. In contrast, FD individuals are sensitive to the information that related to others. They believe that the existence of individuals is dependent on significant others and
emphasize that self-definition is determined by situation, roles, and obligations. FD consumers thus, are more likely to focus on the parent brand when they purchase extensions, are sensitive, and pay selective attention to the information about the parent brand over the extension product. They evaluate extensions based on the characteristics and functions of the parent products and believe the two classes of products are not separate. Therefore, when the parent products are low involvement, the information attached to them is not enough for FD consumers to evaluate the extension product effectively. These characteristics suggest hypotheses 1 and 2.

\[ H_1: \text{Field-independent or field-neutral consumers’ evaluations of products in four extended paths will not differ.} \]
\[ H_2: \text{Field-dependent consumers’ evaluations of products with the low/high extended path will be significantly lower than the evaluations of products with other paths.} \]

Cognitive style represents predispositions toward favoured attitudes or behaviours related to processing information and are mostly developed in childhood through perception, memory, and the experience of problem solving. These styles represent true individual differences. As the formation of cognitive style is a long-term process and individual to each consumer, we suppose that they are a stable psychological characteristic and cannot easily be changed by external factors. However, FN, which is between FI and FD, has the characteristics of both, leading to our supposition that the FN cognitive style may change through cues of the other types of cognitive styles. Based on these analyses, we propose hypotheses 3 and 4:

\[ H_3: \text{Field-independent and field-dependent cognitive styles are stable psychological characteristics.} \]
\[ H_4: \text{Evaluations by field-neutral individuals will change based on different cognitive suggestions.} \]

2. Method

There were three parts to this study. The first part was a set of pre-tests in four small experiments. The aim of the first three pre-tests was to select the brands and extension products for the two main experiments. The fourth pre-test was conducted to select participants for each condition by classifying participants according to their cognitive style. The pre-test phase was followed by study 1, which was designed to test \( H_1 \) and \( H_2 \). The final phase was study 2, designed to find evidence for cognitive styles differences predicted in \( H_3 \) and \( H_4 \).

3.1 Pre-tests

Pre-test 1. The participants were 63 university students (\( M = 27, \ F = 36, \text{mean age: 21} \)). We used an approach that has been reported in previous studies (Kapoor & Heslop, 2009; Mao & Krishnan, 2006). Each participant received 40 RMB Yuan as an incentive. The authors selected 25 brands from three broad categories: digital products, daily health products, and foods. These brands were deemed familiar to student participants. The participants rated 25 brands on two aspects: brand familiarity (‘familiar and use frequently’, ‘familiar but do not use frequently’, ‘familiar but never
used before’, and ‘not familiar and never used before’) and product involvement of parent products of the brands (Zaichkowsky’s Revised Personal Involvement Inventory, 1943 Zaichkowsky (1943). According to these ratings, we chose eight brands for the formal experiment: the high involvement brands were NOKIA (3.19), Lenovo (3.06), Canon (3.07), and Pepsi (3.02), and the low involvement brands were Kingston (2.63), Crest (2.58), Safeguard (2.50), and OMO (2.63). The difference between means of Pepsi and Kingston was significant (t = 8.02, p < .001).

Pre-test 2. We developed a list of fictitious extended products of the eight brands that consumers will accept and consider buying through interviews with 30 individuals. We then sorted and marked the products they listed and chose eight fictitious extended products which ranked according to orders:

- **Nokia:** Palmtop/MP4 Player/Storage device/Alkaline Battery/PSP/E-book/TV/Generator
- **Lenovo:** TV/Digital camera/Alkaline Battery/DVD Player/Watch/Navigator/DV/Fridge
- **Canon:** Cellphone/Computer/DV/Storage device/Acoustics/Alkaline Battery/Navigator/CD writer
- **Pepsi:** Crisps/Cup/Water dispenser/Perfume/Cheching Gum/Coffee/Cookies/Snack
- **Kingston:** Mouse Keyboard/Card Reader/MP4/Computer/Calculator/Digital Camera/Cellphone/Modem
- **Crest:** Mouth Wash/Cleaner Essence/Razor/Cream/Bath Foam/Soap/Washing Powder/Hairbrush
- **Safeguard:** Toothpaste/Toothbrush/Cleansing Foam/Contact Lenses/Disinfectant/Insecticide/Mask/Air Freshener
- **OMO:** Toilet Water/Shampoo/Toilet Bowl Cleaner/Toilet Paper/Bath Foam/Soap/Toothpaste/Toothbrush

Pre-test 3. We invited 41 participants (M = 15, F = 26, mean age = 22) to rate the products developed in pre-test 2. The involvement was related to the generic product, which did not involve brand per se, so we selected two for each brand: one represented high involvement and the other represented low involvement. There were significant differences between the high and low ratings of each pair. According the formula (Appendix A), we selected 16 fictitious extended products:

- **Nokia:** MP4 Player/high and Alkaline Battery/low (t = 3.86, p < 0.001)
- **Lenovo:** TV/high and Watch/low t = 2.46, p < 0.05
- **Canon:** Computer/high and Alkaline Battery/low (t = 2.83, p < 0.01)
- **Pepsi:** Cup/high and Chewing Gum/low (t = 3.51, p < 0.001)
- **Kingston:** Computer/high and Calculator/low (t = 2.14, p < 0.05)
- **Crest:** Razor/high and Soap/low (t = 3.92, p < 0.001)
- **Safeguard:** Contact Lenses/high and Toothpaste/low (t = 2.68, p < 0.01)
- **OMO:** Shampoo/high and Soap/low (t = .22, p < 0.05)

Using Adobe Photoshop CS5, we created the 16 fictitious extended products used in Studies 1 and 2.
Pre-test 4. We used Embedded Figures Test (GEFT) to identify consumers’ cognitive styles (Zhang, Meng, & Zheng, 1981). Participants were 51 undergraduate college students (M = 15, F = 36, mean age = 21) at our university, who were invited to this pre-test.

The GEFT is divided into three sections. There are nine practice questions in Section I that are not scored. Sections II and III each include 10 questions; a correct answer is coded as 1 and incorrect as 0. The minimum total score is 0 and maximum is 20. The scores ranged from 4 to 18; we selected the top 30% of participants (score = 15 or greater; N = 12; M = 2, F = 12) as the FI group, the bottom 30% (score = 10 or less; N = 17; M = 4, F = 13) as the FD group, and the middle 40% (score = 11 to 14; N = 22; M = 9, F = 13) as the FN group.

3.2 Study 1

The purpose of this study was to identify differences in evaluations of products on the four extended paths by different cognitive style consumers. The participants were the same as in pre-test 4.

3.2.1 Sample and Design

A 3 (Cognitive style: FI, FN, and FD) × 4 (Extended path of product: high/high, high/low, low/high, low/low) factorial design was used to test the first two hypotheses.

The participants completed stage 1, EAST I. Following this, participants were randomly assigned (50/50 split) to section A or B of stage 2, EAST I. During this section of the EAST experiment, five positive, five negative nouns and the 16 pictures of fictitious products created in pre-test 3 were presented on each computer screen. This experiment was conducted in a computer classroom on college campus and all the subjects were under the guidance and supervision of a trial supervisor. The procedure was adapted from De Houwer’s design (De Houwer, 2003) and was programmed with E-Prime.

3.2.2 Procedures and measures

Stage 1 of EAST I: Participants were asked to press the ‘J’ key of the (QWERTY) keyboard as quickly and correctly as possible if a positive noun had appeared in screen and to press the ‘F’ key if negative noun had appeared in the practice trial, which consisted of each of the ten nouns presented twice randomly. The test block began with two warm up trials, which were not included in the analysis.

Section A of stage 2 of EAST I: First, participants were asked to press the key ‘J’ key on the keyboard quickly and correctly as possible if the picture related to personal hygiene had appeared in screen and to press the ‘F’ key if the picture was related to electromechanical products. They were also asked to name the brand of the product
showed in pictures aloud. This was followed by a test in which each of the 16 pictures was presented twice randomly. The test block started with two warm up trials, which were not included in the analysis.

Section B of stage 2 of EAST I: This section was the same as section A of stage 2 of EAST I, except that participants were asked to press key ‘Q’ or ‘P’.

3.2.3 Measurement of brand extension evaluation

In contrast to most previous research, which used explicit measure to access brand extension (e.g., Aaker & Keller, 1990; Boush & Loken, 1991; Park, Milberg, & Lawson, 1991) this study used the Extrinsic Affect Simon Task (EAST). EAST is an implicit measure of consumers’ attitudes (De Houwer & Bruycker, 2007). Participants see words or pictures presented on the screen and are instructed to respond to these stimuli by pressing one of two keys, one for positive words or pictures and one for negative words or pictures. The reaction time of participants to these stimuli is used to measure implicit attitudes. The validity and reliability of the EAST score as a measure of inter-individual differences in attitude has been confirmed in many studies (Greenwald, Poehlman, Uhlmann, and Banaji (2009); Nosek (2005). Research results also suggest that implicit measurement protocols are more sensitive to individual differences compared to explicit measurement protocols, such as questionnaires or scales (Fazio, Jackson, Dunton, & Williams, 1995; Greenwald, Mcghee, & Schwartz, 1998).

3.2.4 Results

We analysed the results of the test trials including the pictures. The times of correct responses were used in the analysis, and the times of incorrect responses were discarded. In accordance with Greenwald et al. (1998) and De Houwer (2003), reaction times below 300ms or above 3000ms are recoded to 300ms and 3000ms respectively.

For the three kinds of consumers (FI, FN, and FD), we tested the homogeneity of variance of their positive and negative responses. The results (Table 1) showed that for FI (F\text{positive} = 0.35; P\text{positive} = 0.79; F\text{negative} = 2.53; P\text{negative} = 0.06) and FN (F\text{positive} = 0.31; P\text{positive} = 0.82; F\text{negative} = 2.02; P\text{negative} = 0.11) consumers had a homogeneous variance, but the variance was not homogeneous for the FD consumers (F\text{positive} = 3.41\*; P\text{positive} = 0.02; F\text{negative} = 4.84; P\text{negative} = 0.003). Then, for the data of FI and FN consumers, we performed an ANOVA and F tests. The F test results show that there was no significant difference among the FI subjects’ reaction times for positive responses \((F(3,14) = 0.07, p = 0.98)\) or negative responses \((F(3,14) = 1.67, p = 0.17)\) to products in the four different extended paths. The F test for FN participants was similar, which indicated there was no significant difference among the FN subjects’ reaction times for positive responses \((F(3,18) = 0.30, p = 0.82)\) or negative responses.
(F(3,18) = 1.41, p = 0.24) to products in the four different extended paths. For FD participants, the post hoc test results showed that FD subjects’ reaction time for positive (F(3,8) = 3.41, p = 0.02) and negative responses (F(3,8) = 4.84, p = 0.003) to products in low-high extended path was significantly longer than the other three paths, but there were no significant differences for the other three paths. We found no statistically significant differences in the reaction times of FI or FN participants to the products in four different extended paths. These results strongly support Hypotheses 1 (FI or FN consumers’ evaluations of products in the four extended paths will not differ). We also concluded that FD subjects’ evaluation of products in low/high extended paths were more significantly negative than products in the other three extended paths. This was important evidence in support of Hypothesis 2 (FD consumers’ evaluations of products with the low-high extended path will be significantly lower than the evaluations of products with other paths).

Furthermore, in the comparison of between participants, we found that FI subjects’ positive and negative response times to products in the four extended paths were significantly shorter than the response times of individuals with other cognitive styles (see Figure 1), which indicated that FI cognitive styles could improve the brand extension evaluations more than FD or FN cognitive styles.

3.2.5 Discussion

This research extended the results of Maoz and Tybout (2002), which showed that involvement was a factor in the evaluation of products. In this study, we introduced cognitive style as another factor in evaluations of products and attempted to understand the influence on to consumers’ reaction times. In study 1, we found, regardless of response valence, that there were no significant differences in response times of field-independent and field neutral participants. However, for FD participants, there were significant differences among reaction times across the four extended paths. In addition, we found that in the comparison of the three cognitive styles, participants with a FI style may be the most likely to report high evaluations. We demonstrated that cognitive style has impact on consumers’ evaluation of products of different extended paths, and the evaluation of FD and FN participants was significantly slower than the evaluation of FI participants. Moreover, it is worth mentioning that the FD participants’ evaluations of low/high path products were lower than all other evaluations. We addressed the question of how to enhance consumers’ evaluation of extended products using this information about cognitive styles in Study 2.

3.3 Study 2

In study 2, our goal was to enhance consumers’ evaluation of extended products by making cognitive suggestions based on cognitive styles and examine the stability of consumers’ cognitive style.
3.3.1 Sample and Design
A 3 (Cognitive style: FI, FN, and FD) × 2 (Suggestion type: FI, FD) × 4 (Extended path of product: high/high, high/low, low/high, low/low) factorial design was used in this study to test the proposed hypotheses.

The same 51 participants from Study 1, who were placed in groups by cognitive styles in pre-test 4, participated in Study 2. The material used for suggestions included two pictures that described field dependent-independent individuals’ attitude toward others and dependence on people and the environment. Participants were asked to write down advantages of the group, which was described in the other picture.

3.3.2 Procedures and measures
To create a cognitive suggestion, participants were divided into 2 random groups. For the first group, participants were asked to write down the advantages of people in FI cognitive style based on a picture that described the characteristics of FD cognitive style (the picture was a person linked to a mother, a father, sisters, brothers, and friends). The second group was asked to write down FD cognitive style’s advantages based on the picture that described the characteristics of FI cognitive style (the picture was a person who remained at a certain distance with others and was independent). The two pictures used in the trial respectively show the attitude and dependence of person on the surroundings of an FI and FD individual. The time limit was 5 min and there was no quantitative restriction on the number of items. In accordance with method of ‘looking for words’ by Brewer and Gardner (1996), the purpose of this stage was to prime the experience of a ‘sense of separate identity’ (Witkin, Dyk, Fattuson, Goodenough, & Karp, 1962; Witkin et al., 1974).

After this suggestion stage, participants performed the EAST II experiment, which was the same as EAST I in Study 1.

3.3.3 Results
Data analysis was same as in Study 1; reaction times below 300ms or above 3000ms were recoded to 300ms and 3000ms, respectively. The times in warm up trials and incorrect responses were discarded.

We conducted an ANOVA to evaluate the positive response times to positive stimuli of FI consumers who received a FI suggestion; the result ($F(3,4) = 1.49, p = 0.22$) showed that there was no significant difference in the reaction times of positive responses across the four different paths. The post hoc test (Table 2) showed no significant differences in the reaction times of negative responses to products in four different extended paths by these same participants. The results were the same for FD participants who received a FI suggestion (positive response: $F(3,5) = 0.44, p = 0.73$; negative response: $F(3,5) = 0.57, p = 0.64$). In summary, regardless of the type of suggestion field-independent consumers were given, there were no significant
differences in response times across the four paths. In other words, their evaluations before and after the cognitive suggestion did not change and the cognitive style of FI consumers was stable.

The analysis of response times of FD participant who received FI suggestions revealed the same results; no significant differences in positive reaction times \((F(3,2) = 0.59, p = 0.62)\) or negative reaction times \((F(3,2) = 2.38, p = 0.08)\). Although the differences were in a consistent direction in both analyses (positive reaction: \(M_{\text{low-high}} > M_{\text{low-low}} > M_{\text{high-low}} > M_{\text{high-high}}\); negative reaction: \(M_{\text{low-high}} < M_{\text{high-low}} < M_{\text{high-high}} < M_{\text{low-low}}\)), they failed to reach significance, and these results should be interpreted with caution. For these participants, the evaluation of products in the low/high extended path was more negative than products in the other three paths by a visual analysis of the means, but it was not statistically significant.

The reaction times of FD consumers who received FD suggestions for the high/low path were significantly shorter than for the low/high path and there were no other significant differences (positive response: \(F(3,2) = 2.138, p = 0.03\); negative response: \(F(3,2) = 5.38, p = 0.002\)). Although the differences were in a consistent direction \((M_{\text{low-high}} > M_{\text{high-high}} > M_{\text{low-low}} > M_{\text{high-low}})\), they were not significant. For the same group of participants, the reaction times of negative response times to products in the low/high extended path were significantly longer than for any of other three paths (Table 2). In summary, cognitive style did not change after cognitive suggestion in either the FI or the FD groups, which confirmed H3.

The response times to positive stimulus of FN consumers who received a FI suggestion were not significantly different \((F(3,7) = 0.44, p = 0.73)\) for any of the four paths. This was also the case for negative responses \((F(3,7) = 0.13, p = 0.94)\). Therefore, the evaluations of products in the four different extended paths of FN participants did not change with a FI suggestion.

A post hoc test showed that positive response time of the FN participants who received a FD was significantly longer for the low/high extended path, but this was the only significant difference (Table 2). The response time for a negative stimulus for the same participants was significantly shorter for low/high extended path. These results showed that FN participants who were given a FD suggestion had a significantly more negative response to products in low/high extended path than for products in the other three extended paths. In summary, for FN participants, regardless of the direction of a suggestion (FI or FD), their cognitive style changed according to the suggestion. This result confirmed H4.

### 3.3.4 Discussion

From the comparison of the reaction time before and after cognitive style
suggestion (see Table 3), it is clear to see that for all the three cognitive styles, the reaction time of a participant receiving a FI suggestion was shorter than those who received a FD suggestion. In addition, the reaction time of FD and FN cognitive style participants after FI cognitive style suggestion was shorter than their reaction times before the suggestion. These findings indicate that for FD and FN consumers, regardless of changes in cognitive style, a FI suggestion was more likely to enhance their evaluation of brand extensions.

3. General Discussion

Perceived fit is one of the most important factors in the evaluation of brand extensions; however, when perceived fit is acceptable, other factors may play an important role in consumer evaluations. In the present study, we examined the effect of involvement and cognitive style on brand extension evaluations meeting the condition of ‘fit’. Our findings indicate that consumers with different cognitive evaluation extended products based on different paths. Therefore, cognitive style plays an important role in brand extension evaluations. However, we found that evaluations vary by cognitive style.

We attempted to identify a method of changing consumers’ cognitive style to enhance the level of consumers’ product extension evaluations. The findings showed the evaluations of products on the four different paths did not change in FI and FD consumers. However, when these two types of individuals were given a suggestion with the opposing cognitive style, the evaluations were in the same consistent direction with the evaluations before the suggestion, but failed to reach significance as expected. Additionally, after the different suggestions, the reaction times of FN participants to products in four extended paths changed (Figure 2). In a comparison of the lines in Figure 2 and Figure 1, we found that lines in Figure 2 are familiar to the lines in Figure 1, which represents FI and FD subjects’ reaction time. The following results describe this finding:

1) After a FI suggestion, the mean reaction time of FN participants was significantly lower than the mean reaction times before the suggestion.

2) Compared with mean of reaction time of FN participants before the dependent suggestion, the mean reaction time to products in the low-high extended path was significantly different from the means of reaction time to the other three extended paths.

3) After the FI suggestion, the evaluation of products in the four extended paths by FN participants was consistent with the evaluation of FD subjects (Figure 3). Similarly, after the FD suggestions, the evaluations of products in the four extended paths by FN participants were consistent with the evaluations of the FI subjects (Figure 4);

4) After the suggestions, there were significant differences in reaction times of products in the four extended paths by FN participants (we found support for differences in the process of testing hypothesis 4). Moreover, we found that the evaluation of products by participants with a FD cognitive style was higher.
after a FI cognitive suggestion.

In conclusion, cognitive suggestions can have an influential role in enhancing consumers’ brand extension evaluations through FI cognitive suggestions.

This study examined the effects of cognitive style and involvement on the evaluation of brand extensions by grouping consumers by cognitive styles and using involvement to distinguish and match original and extension products to form four paths of extension. This study made important contributions to brand extension research using a new experimental method. Furthermore, due to previous studies, we brought an implicit association test into extension research to inspect consumer’s implicit attitudes about the different extended paths, which shed light on past research that focused on consumer’s explicit attitudes. The results of this study provide advice for the advertising of extension products. Advertising has an important role in connecting consumers and promoting products, and consumers’ evaluation of extended products could be improved by including cognitive suggestions in advertising. As original product’s involvement is low and the extension product’s is high, suggestions that connote independence should appear in advertising. This can lead consumers to believe the extension product will become successful. Further research should seek methods to suggest independence in advertising and identify programs that could be used by marketing managers.

In this study, evaluations of different extended paths by consumers with the same cognitive style can be compared, but the different extended paths of consumers’ evaluation with different cognitive styles cannot be compared. We can see that reaction time of the FI group is shortest and FD group’s is longest (Figure 1). One of the reasons for this may be the reaction time of related to the different cognitive styles are different; similar findings have been reported in various domains of human behaviours such as learning behaviour (Vivaldo-Lima, 1997) and sleep deprivation (Carlozzi et al., 2010). Another reason may be the deviation in random sampling. In addition, this study confirms that only one type of cognitive style can be changed and for FD and FN cognitive style, participant evaluations after a cognitive style suggestion were better than that before the suggestion. This result means that cognitive suggestions to consumers can enhance consumers’ brand extension evaluations. However, we have not provided the means of changing consumers’ cognitive style. We have mentioned that advertising may be a good way to send cognitive-style suggestions, but there may other ways to solve this question. Further studies should analyse the differences of reaction times of consumers with different cognitive styles and attempt to identify the reasons behind these differences. Future studies should also seek an efficient process of marketing extension products and identify practical methods for companies to give cognitive suggestions to consumers.
Acknowledgements: With regard to conflicts of interest, this study was supported by the National Natural Science Foundation of China (Grant Nos. 71072154) and the Humanity and Social Science Youth Foundation of the Ministry of Education of China (Grant No. 11YJC630204).

References

Table 1 Multiple comparisons among mean differences of reaction time (RT) to products in four different extended paths of participants with different cognitive styles.

<table>
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<tr>
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<th>Field-dependent</th>
</tr>
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<td></td>
<td>RT</td>
<td>F</td>
<td>p</td>
<td>RT</td>
</tr>
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<tr>
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</tr>
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</tr>
<tr>
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<td></td>
<td></td>
<td></td>
</tr>
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‘a’, ‘b’, ‘c’, ‘d’, ‘e’, ‘f’ refer to the value of p of the comparison of two sets of data denoted by the same letter in the column of RT.
Table 2 Multiple comparisons among mean differences of reaction time to products in four different extended paths of suggested participants with different cognitive styles.

<table>
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<td></td>
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<td>p</td>
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Note: The table shows the results for different field-dependence conditions. The values in the table represent statistical measures such as means or coefficients with corresponding significance levels (e.g., ** for p < 0.01, *** for p < 0.001).
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Figure captions

**Figure 1** Reaction time of products in different extended paths of three kinds of cognitive styles: field-independent (FI), field-neutral (FN), and field-dependent (FD).

**Figure 2** Reaction time of products in different paths of field-neutral (FN) subjects after the cognitive suggestion.

**Figure 3** Reaction time of field-dependent (FD) subjects and field-neutral (FN) subjects who accepted the dependent suggestion.

**Figure 4** Reaction time of field-independent (FI) subjects and field-neutral (FN) subjects who accepted the independent suggestion.

**Appendix A**

Mathematical formula:

\[
t = \frac{x_1 - x_2}{\sqrt{\frac{n_1 s_1^2 + n_2 s_2^2}{n_1 + n_2 - 2} + \frac{n_1 + n_2}{n_1 n_2}}} (df = n_1 + n_2 - 2)
\]
Research on the Inter-Provincial Heterogeneity of Air Pollution Based on Extended EKC Model

Qiuling Hu, Yajing Li
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Email: liyajing0720@163.com

ABSTRACT

This paper uses an extended EKC model to examine the inter-provincial difference of air pollution from economic scale, economic structure and economic strength. The results suggest that 23% of the province does not meet EKC model. The curves of these provinces are different, such as double U shape, zigzag, ladder shape and so on. Provinces which meet the EKC model also obviously have different inflection point. Besides the inter-provincial heterogeneity of impaction that economic scale, economic structure and economic strength on air pollution are relatively large. The secondary industry of about 19% provinces leads to a more serious air pollution than other provinces. About 55% provinces become foreign pollution heaven. At last, the significance of three economic development indicators proves the validity of the extended EKC model.

Keywords: Air Pollution, Inter-provincial Heterogeneity, Extended EKC Model

1. Introduction

Since reform and opening up, with the steady development of economic, environmental problems intensified, the air pollution problem is particularly striking. Air quality has an important impact on human quality of life. The hazardous components in the air represent seriously threat to human body health, such as SO2, nitrogen oxides and other pollutants have a significant boost on the human respiratory system. Moreover, it may even lead to serious respiratory diseases when pollutant concentration reaches a certain level.

Comprehensive analysis the air quality monitoring reports of 74 cities in mainland China in recent years, we find that developed Inner-city have relatively poor air quality, for example Wuhan, Jinan, Harbin, Xian and so on; By contrast, Ocean City which have good economic development and Inner-city which develop not very well have relatively high air quality, for example Fuzhou, Haikou, Hohhot, etc. It can be seen that air quality of a city is closely related to location and level of economic development.
Currently, a considerable number of studies have been proposed at home and abroad. Hui Gao (2009) finds the relationship of higher incomes-environmental improvement objective reality is an objective existence in China, and most provinces is still far away from the turning point. There is a strong difference between the Midwest and Coastland for sulfur dioxide emissions, and the Midwest has the trend of accepting the pollutant industries transferring from the Eastern [1]. Xiaosheng Li (2013) suggests that the assume of homogenous effect of economic growth on pollution is refused in his research. Inverted u-shaped curve of the industrial waste gas and solid waste is not true [2]. Bing Wang (2010) finds that most of provinces which have high environmental efficiency confine in Eastern Region. The level of inefficiency in West Region is highest [3]. Matias Piaggio (2012) explores the relationship between CO2 emissions and economic activity for 31 countries using cointegration analysis. The paper supports the existence of a long run relationship between CO2 emissions and GDP per capita for 26 countries and the functional form specification of these relationships is not homogeneous [4]. Dijkgraaf (2005) studies the relationship between per capita GDP and pollution in 24 OECD countries. The result shows that the crucial assumption of homogeneity across countries is problematic. Decisively rejected are model specifications that feature even weaker homogeneity assumptions than are commonly used [5]. Mazzanti (2013) investigates the shape of EKC for CO2 emissions using the data of 109 countries. They find that more industrialized countries show evidence of EKC in quadratic specifications, and most of countries which are in the industrialized does not meet the inverted u-curve. Less-developed countries consistently show that CO2 emissions rise positively with income [6]. Jeon (1997) finds that air pollution of 50 states in American has serious heteroscedasticity. Compare with high-income states, the variability in low-income states is greater [7].

Through settling the related research, we could summarize two points about the relationship of economic development and air pollution: First, the scale of economy is the reasonable variables which contribute to air pollution; Second, as the reasonable variables of air pollution, air pollution affected by the scale of economy present regional heterogeneity. However, there are few empirical researches which focus on the effects economic structure and economic strength to air pollution. It is maybe influenced by EKC curve theory. The studies about air pollution affected by the scale of economy concentrate on regional heterogeneity of national level. In the light of this, based on varying-coefficient models with panel data methods, this paper examines the inter-provincial difference of air pollution from economic scale, economic structure and economic strength using the data for 31 provinces over the period 1998-2012. We hope that the study benefits for extending the EKC theory and provide empirical information for air pollution control.

2. Model building and data description
2.1 The core concept of EKC

Environmental Kuznets Curve was first proposed by Gene Grossman and Alan Krueger. The theory considers that there is an inverted U-shaped relationship between environment pollution and per capita income [8], as depicted in Fig.1.

When per capita income is in stage I, the level of industrialization is low and the degree of environmental pollution is light. With speeding up the process of industrialization, the rate of waste emission produced gradually exceeds the rate of environmental self-purification rate and environmental quality begins to decline. At this point, expanding the scale of economy means more resource input and waste emissions, environmental pollution would be increasingly serious with economic development.

When per capita income is in stage II, industrialization has reached a higher level; environmental pollution has correspondingly reached a higher level. Environmental load caused by each additional unit of output attains the highest at this time.

When per capita income is in stage III, upgrading industrial structure and progressing scientific technology makes the efficiency of resources using improved. Green energy and clean technology would be wider applied. Further economic development could reduce pollution levels, thus improving environmental quality.

At present, many researches have proved that there is inverted U-shaped relationship between environmental pollution and economic development in China (Shuijun Peng, 2006[9]; Yan Chen, 2007[10]; Yijun Wang, 2010[11]; Xianming Yang, 2004[12]).

2.2 Limitations of EKC

At present, most of research based on the theory of EKC focus on studying the polluted effect of economic scale. Some of these researches introduce the policy factor,
foreign direct investment and international trading to the theoretical framework of EKC. However, the substance of economic growth is a progress that human beings make efforts to convert country from poverty to modernization through constant technological and institutional innovation. Its contents not only include the expanding of economic growth but also include the improvement of economic quality. Hence, focusing on the polluted effect from economic scale is not comprehensive when we study the relationship between economic development and environmental pollution.

2.3 Model
2.3.1 Index selection
Air pollution is that pollutant concentrations in the air exceed environmental quality standards, achieve the degree that damage to the ecological system and affect the normal life of human. Many researches commonly use the concentrations of air pollutants or emissions to represent a country’s or region’s air pollution levels. We regard sulfur dioxide emissions as indicators for measuring air pollution. The main reason is that more sulfur dioxide comes from the production process [13], and the economic development level of developing countries is relevant to the second industries. Moreover, provincial data of sulfur dioxide emissions is more complete and continuous than other indicators of pollutants.

For a more comprehensive examination of the relationship between economic development and air pollution, we choose economic scale, economic structure and economic strength as dependent variables. Economic scale uses real per capita GDP (1997 as the base period) to measure, recorded as CGDP; Economic structure uses the share of the first industrial output value occupying GDP (represented by DYCY) and the share of the second industry output value occupying GDP (represented by DECY) to measure; Economic strength is measured by the percentage of total exports occupying the total GDP (represented by EXPORT).

The data of this paper comes from the official website of National Bureau of statistics of the People's Republic of China, China Statistical Yearbook, China environment Yearbook, the official website and Yearbook of each province and Wind database.

2.3.2 Set model
Varying-coefficient models with panel data could use the varying intercept to reflect the influence of individual difference, and depict the situation that the parameters of economic structure vary from the individuals of cross section which caused by different social background and variable economic structure. The simple model is as follow

\[ Y_{it} = \alpha_i + X_{it} \beta_i + \mu_{it} \quad i=1,2,\ldots,N, \quad t=1,2,\ldots,T \]  

(1)
Where the constant term $a_i$ represents the effect of individual and the coefficient vector $\beta_i$ reflects the variable economic structure. Both of them would change with the individuals of cross section.

Based on the paper’s research purposes that analysis the inter-provincial heterogeneity of air pollution caused by economic development, and consider the features of varying-coefficient models with panel data, we set theoretical models as follows:

$$SO_{2it} = a_i + \beta_{1i}CDP_{it} + \beta_{2i}CDP_{it}^2 + \beta_{3i}DY CY_{it} + \beta_{4i}DECY_{it} + \beta_{5i}EXPORT + \epsilon_{it}$$

(2)

3. Empirical results
3.1 ADF test
We use the unit root test of panel data to examine the stability of data. The unit root test of panel data is classified into the common root situation and the uncommon root situation. In this paper we respectively use LLC test and Fisher-ADF test. Table1 presents the unit root test results. We can find that most variables are not stability but the first order differential is stability.

<table>
<thead>
<tr>
<th>variable</th>
<th>LLC test</th>
<th>Fisher-ADF test</th>
<th>result</th>
</tr>
</thead>
<tbody>
<tr>
<td>SO$_2$</td>
<td>0.40801</td>
<td>55.8581</td>
<td>instability</td>
</tr>
<tr>
<td>CGDP</td>
<td>9.47485</td>
<td>11.0129</td>
<td>instability</td>
</tr>
<tr>
<td>DY CY</td>
<td>-3.89667***</td>
<td>78.3747**</td>
<td>stability</td>
</tr>
<tr>
<td>DECY</td>
<td>-4.14652***</td>
<td>61.2968</td>
<td>instability</td>
</tr>
<tr>
<td>EXPORT</td>
<td>-0.27766</td>
<td>58.2399</td>
<td>instability</td>
</tr>
<tr>
<td>D(SO$_2$)</td>
<td>-18.9834***</td>
<td>201.060***</td>
<td>stability</td>
</tr>
<tr>
<td>D(CGDP)</td>
<td>-14.0486***</td>
<td>183.505***</td>
<td>stability</td>
</tr>
<tr>
<td>D(DY CY)</td>
<td>-15.6355***</td>
<td>209.120***</td>
<td>stability</td>
</tr>
<tr>
<td>D(DECY)</td>
<td>-14.1301***</td>
<td>194.259***</td>
<td>stability</td>
</tr>
<tr>
<td>D(EXPORT)</td>
<td>-16.5298***</td>
<td>181.069***</td>
<td>stability</td>
</tr>
</tbody>
</table>

*Significance at 90%, **Significance at 95%, ***Significance at 99% (the below is same)

3.2 Cointegration test
We use the cointegration test of panel data to examine the long-term stability which economic development effect on air pollution. We will use Pedroni test based on EG two-step method, Kao test and panel cointegration test based on Johansen cointegration test. Table2 is the cointegration test results. We could find that there exists a long-term stability relationship between air pollution and the economic development indicator variables.

<table>
<thead>
<tr>
<th>test</th>
<th>Statistic</th>
<th>SO$_2$ and CDP</th>
<th>SO$_2$ and DY CY, DECY</th>
<th>SO$_2$ and EXPORT</th>
<th>result</th>
</tr>
</thead>
<tbody>
<tr>
<td>Pedroni test</td>
<td>Panel PP</td>
<td>-5.768610***</td>
<td>-4.276078***</td>
<td>-6.090950***</td>
<td>Cointegration</td>
</tr>
<tr>
<td></td>
<td>Panel ADF</td>
<td>-5.435153***</td>
<td>-1.497004***</td>
<td>-4.579086***</td>
<td>Cointegration</td>
</tr>
<tr>
<td></td>
<td>Group PP</td>
<td>-3.712933***</td>
<td>-1.721112***</td>
<td>-4.927049***</td>
<td>Cointegration</td>
</tr>
<tr>
<td></td>
<td>Group ADF</td>
<td>-3.709550***</td>
<td>-0.667424</td>
<td>-2.476236***</td>
<td>Cointegration</td>
</tr>
</tbody>
</table>
3.3 The Inter-Provincial Heterogeneity of Air Pollution—Based on EKC theory

We use the section weighted regression model to estimation because provincial difference lead to heteroscedasticity which would impact on the effectiveness of statistical inference. We find that there is first-order autocorrelation in the model, so we introduce AR (1) to estimating equation. The results of EKC model is presented in Table3.

There is about 23% of the province does not meet EKC model. These provinces include Beijing, Tianjin, Anhui, Shandong, Guizhou, Hainan, Tibet. The other province satisfies the EKC theory (Inverted-U shape).

The relationship between per capita GDP and the sulfur dioxide emission of the province which does not satisfy the EKC theory present diversified. The relationship between per capita GDP and the sulfur dioxide emission in Beijing performs descending branch in a positive U-shape; The relationship between per capita GDP and the sulfur dioxide emission in Tianjin has not clear functional relation when its per capita GDP is lower than 26000RMB, and the relationship is negatively correlated when it exceeds 26000RMB; The relationship between per capita GDP and the sulfur dioxide emission in Anhui is positive correlated when its per capita GDP is lower than 5000RMB, and the relationship has not clear functional relation; The relationship of Shandong present positive U-shape when its per capita GDP is between 7000-15000RMB, and the relationship present positive U-shape again when its per capita GDP is between 15000-40000RMB, it presents “double U”; The relationship of Hainan show “Serrate-type”, and the frequency of “Serrate-type” would decrease with per capita GDP raising; The relationship of Tibet present ladder type.

Provinces which meet the EKC model also obviously have different inflection point. The inflection point of Shanghai, Zhejiang, Inner Mongolia, Liaoning, Xinjiang appear at more than per capita GDP 30000RMB; The inflection point of Fujian, Guangdong, Jilin, Heilongjiang, Jiangxi, Yunnan, Ningxia appear among per capita GDP 20000-30000RMB; The inflection point of Sichuan, Chongqing, Shaanxi, Gansu, Qinghai, Hebei, Shanxi, Henan, Hubei, Hunan, Jiangxi, Guangxi appear at lower than per capita GDP 20000RMB.

<table>
<thead>
<tr>
<th>Province</th>
<th>GDP</th>
<th>GDP²</th>
<th>Inverted-U</th>
<th>inflection point</th>
</tr>
</thead>
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<tr>
<td>Beijing</td>
<td>-5.547343*** (-2.763613)</td>
<td>3.16E-05** (1.618278)</td>
<td>No</td>
<td>--</td>
</tr>
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</table>

Table3 The results of EKC model
<table>
<thead>
<tr>
<th>Province</th>
<th>GDP (in 2017)</th>
<th>Growth Rate</th>
<th>Pollution</th>
<th>Economic Development</th>
<th>Air Quality</th>
<th>GDP per Capita</th>
</tr>
</thead>
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<tr>
<td>Tianjin</td>
<td>16.21843</td>
<td>-0.000522</td>
<td>No</td>
<td>15534.89</td>
<td>Yes</td>
<td>284870</td>
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<td>Hebei</td>
<td>27.72860</td>
<td>-0.000915</td>
<td>Yes</td>
<td>15152.24</td>
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<td>28200090</td>
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<td>Inner Mongolia</td>
<td>67.79846</td>
<td>-0.001066</td>
<td>Yes</td>
<td>31800.40</td>
<td>Yes</td>
<td>28200090</td>
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<td>Liaoning</td>
<td>34.39593</td>
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<td>Yes</td>
<td>30278.11</td>
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<td>28200090</td>
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<td>Jilin</td>
<td>15.32168</td>
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<td>Yes</td>
<td>26692.82</td>
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<td>28200090</td>
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<td>Heilongjiang</td>
<td>48.67750</td>
<td>-0.001120</td>
<td>Yes</td>
<td>21731.03</td>
<td>Yes</td>
<td>28200090</td>
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<tr>
<td>Shanghai</td>
<td>18.13601</td>
<td>-0.000203</td>
<td>Yes</td>
<td>38427.75</td>
<td>Yes</td>
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<td>Jiangsu</td>
<td>10.12877</td>
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<td>Yes</td>
<td>21923.74</td>
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<tr>
<td>Zhejiang</td>
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<td>30426.84</td>
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<tr>
<td>Anhui</td>
<td>-198.981</td>
<td>0.002703</td>
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<td>Fujian</td>
<td>41.32445</td>
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<td>Jiangxi</td>
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<td>Shandong</td>
<td>-16.95735</td>
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<td>Henan</td>
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<td>Hubei</td>
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<td>Hunan</td>
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<td>12905.43</td>
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<td>Guangdong</td>
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<td>Guangxi</td>
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<td>Hainan</td>
<td>-0.072464</td>
<td>2.23E-05</td>
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<td>--</td>
<td>--</td>
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<td>Chongqing</td>
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<td>10100.42</td>
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<td>Sichuan</td>
<td>37.84949</td>
<td>-0.002100</td>
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<td>9010.70</td>
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<td>Guizhou</td>
<td>-75.34917</td>
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<td>--</td>
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<td>Tibet</td>
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<td>Shaanxi</td>
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<td>Ningxia</td>
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<td>24036.81</td>
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<td>Yes</td>
<td>35460.26</td>
<td>Yes</td>
<td>28200090</td>
</tr>
</tbody>
</table>

3.4 The Inter-Provincial Heterogeneity of Air Pollution—Based on the extended EKC theory

Based on the extended EKC models, we examine the relationship between economic development and air pollution from economic scale, economic structure and
economic strength. The result is presented in Table 4.

The economic coefficient of extended EKC model and EKC model is significantly different. Compared with the EKC model, coefficients of economic scale have been significantly changed after introducing the economic structure and economic strength as control variables. Before introducing control variables, provinces satisfy the Inverted-U shape except Beijing, Tianjin, Shandong, Hainan, Anhui, Guizhou and Tibet; however, after introducing control variables, provinces which were not meet EKC become to satisfy the EKC, such as Shandong, Anhui and Guizhou provinces. The relationship of Jilin, Qinghai, Ningxia and Xinjiang become not to satisfy the EKC. Moreover, inflection point is significantly different after introducing,

The inter-provincial heterogeneity of polluted effect of economic structure is significantly different. After introducing the economic structure and economic strength as control variables, we investigate the pure impact on air pollution from economic structure in each province. We find that estimated coefficients for primary and secondary industries in most provinces are positive, but the size of coefficient is great difference. In particular, the contribution that approximately 19% province’s percentage of second industry to air pollution is much higher than the other provinces, and the environmental costs of economic growth is extremely high. The coefficients of second industry in Beijing, Heilongjiang, Hainan and Tibet are negative, and the coefficients of Hainan and Tibet are significant. The reason is maybe as follows. Tertiary industry occupies great proportion in Beijing, many companies which produce serious pollution is located in the suburb where is neighboring Hebei province. It cannot exclude the possibility of pollution spills; In Heilongjiang province, the population density is relatively small, the terrain is relatively high. Organic agriculture, wood processing industry, food industry and so on are its superior industries. These industries produce less pollution. And the proportion of second industry decline in recent years; The climate of Hainan is tropical monsoon, there is plentiful rainfall. Farming and tourism accounted for larger proportion of GDP; The special geographical resources of Tibet Autonomous Region lead to its industrialized processing at a low level, and clean energy, national handicraft industry, medicinal plants cultivation and tourism is the pillar industry.

The inter-provincial heterogeneity of polluted effect of economic strength is significantly different. After introducing the economic structure and economic scale as control variables, estimated coefficients for export trade in 26 provinces are positive, but the size of coefficient is great difference. Coefficients of 17 provinces are significant, and these provinces become pollution havens of overseas country. In addition, export coefficients of Chongqing, Tibet, Qinghai, Sichuan, Hubei are negative, and coefficients of Chongqing and Hubei are significant. It notes to these
provinces were transferred "clean" export industries from abroad. We suggest that different province has obviously different factor endowment, energy structure and geographical position. It contributes to the export trade of the different provinces involve various industry (export trade structure is different). Moreover, emission factor of different sectors are significantly different, and the environmental effects from export trade present different situation in each province.

Table4 The result of extended EKC model

<table>
<thead>
<tr>
<th>Province</th>
<th>GDP</th>
<th>GDP*</th>
<th>DYCY</th>
<th>DECY</th>
<th>TRADE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Beijing</td>
<td>-11.6758**</td>
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<td>-0.07E+05**</td>
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<tr>
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<td>-8.904673***</td>
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<td>Hebei</td>
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<td>-0.02E+04**</td>
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<td>55.913422***</td>
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<td>Zhejiang</td>
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<td>Anhui</td>
<td>114.0016**</td>
<td>1.437067</td>
<td>-0.07E+02**</td>
<td>-0.07E+02**</td>
<td>-0.927224</td>
</tr>
<tr>
<td>Fujian</td>
<td>3.512083</td>
<td>0.404902</td>
<td>-0.07E+02**</td>
<td>-0.07E+02**</td>
<td>-3.833032</td>
</tr>
<tr>
<td>Jiangxi</td>
<td>32.29000***</td>
<td>1.619306</td>
<td>-0.07E+02**</td>
<td>-0.07E+02**</td>
<td>-1.769912</td>
</tr>
<tr>
<td>Shandong</td>
<td>64.98718**</td>
<td>2.284891</td>
<td>-0.07E+02**</td>
<td>-0.07E+02**</td>
<td>-1.381503</td>
</tr>
<tr>
<td>Henan</td>
<td>128.8044***</td>
<td>2.848915</td>
<td>-0.07E+02**</td>
<td>-0.07E+02**</td>
<td>-2.602477</td>
</tr>
<tr>
<td>Hubei</td>
<td>30.92748***</td>
<td>1.969568</td>
<td>-0.07E+02**</td>
<td>-0.07E+02**</td>
<td>-2.894845</td>
</tr>
<tr>
<td>Hunan</td>
<td>59.82260***</td>
<td>2.529908</td>
<td>-0.07E+02**</td>
<td>-0.07E+02**</td>
<td>-2.599334</td>
</tr>
<tr>
<td>Guangdong</td>
<td>55.08548**</td>
<td>4.312887</td>
<td>-0.07E+02**</td>
<td>-0.07E+02**</td>
<td>-1.911519</td>
</tr>
<tr>
<td>Guangxi</td>
<td>104.7184***</td>
<td>3.367611</td>
<td>-0.07E+02**</td>
<td>-0.07E+02**</td>
<td>-1.371545</td>
</tr>
<tr>
<td>Hainan</td>
<td>-20.51865***</td>
<td>-2.256933</td>
<td>-0.07E+02**</td>
<td>-0.07E+02**</td>
<td>-1.821762</td>
</tr>
<tr>
<td>Chongqing</td>
<td>45.33423***</td>
<td>2.264625</td>
<td>-0.07E+02**</td>
<td>-0.07E+02**</td>
<td>-1.2465190</td>
</tr>
<tr>
<td>Sichuan</td>
<td>105.7872***</td>
<td>2.891277</td>
<td>-0.07E+02**</td>
<td>-0.07E+02**</td>
<td>-1.622322</td>
</tr>
<tr>
<td>Guizhou</td>
<td>126.5651**</td>
<td>1.757073</td>
<td>-0.07E+02**</td>
<td>-0.07E+02**</td>
<td>-2.052591</td>
</tr>
<tr>
<td>Yunnan</td>
<td>17.86330</td>
<td>0.708089</td>
<td>-0.07E+02**</td>
<td>-0.07E+02**</td>
<td>-0.923660</td>
</tr>
<tr>
<td>Tibet</td>
<td>-0.636681***</td>
<td>-0.031050</td>
<td>-0.07E+02**</td>
<td>-0.07E+02**</td>
<td>-2.158099</td>
</tr>
<tr>
<td>Shaanxi</td>
<td>42.14799***</td>
<td>1.792062</td>
<td>-0.07E+02**</td>
<td>-0.07E+02**</td>
<td>-2.168857</td>
</tr>
<tr>
<td>Gansu</td>
<td>26.8097**</td>
<td>1.118561</td>
<td>-0.07E+02**</td>
<td>-0.07E+02**</td>
<td>-1.958295</td>
</tr>
</tbody>
</table>
4. Research conclusions

Based on the empirical studies of the extended EKC models, this paper examines the inter-provincial difference of air pollution from economic scale, economic structure and economic strength using the panel data for 31 provinces over the period 1998-2012. Through analyzing the empirical results, we could draw a conclusion as follows.

There is about 23% of the province does not meet EKC model. The curves of these provinces are different, such as double U shape, zigzag, ladder shape and so on. Provinces which meet the EKC model also obviously have different inflection point.

Besides the inter-provincial heterogeneity of impaction that economic scale, economic structure and economic strength on air pollution are relatively large. The secondary industry of about 19% provinces leads to a more serious air pollution than other provinces. About 55% provinces become foreign pollution heaven.

At last, the significance of three economic development indicators proves the validity of the extended EKC model.

References

Use of Pictures and Interactive Posts in Facebook Marketing

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ABSTRACT

Social media is getting imperative in today’s internet world. Casual observations about companies’ social media activities from its Facebook Page, such as number of posts per month, the number of likes, number of taking about (i.e., about people engaged and interacted with particular company post in Facebook Page), number of influential fans and number of shares were reviewed. Those posts identified in the study consisted of meaningful pictures, seasonal greetings, and promotional message. Results show that: (1) Facebook users have a great attention on meaningful pictures posted by the company; (2) contextual cues can be enriched by the context of the images used in the post; (3) interactive-multimedia message is an effective way to enhance customer engagements in Facebook. These findings are discussed in light of research on the effect of “picture superiority” and “semantic coding” on effectiveness of pictures and words. This study concluded that the selection of graphical elements and context of posts in Facebook are important to capture people’s attention of Facebook.

Keywords: Facebook Marketing, Picture Superiority, Customer Engagements

Introduction

Marketing has undergone dramatic changes in the last decades. Such as social media has changed the marketing functions across many industries in recent years. Marketers can now connect with customers online, record every click on the web, watch every step in the store, listen to all public conversations and understand their preferences before marketing campaigns. It is not difficult for marketers can know the consumers think, feel and do in the consumption process from the social media (Hennig-Thurau, Hofacker and Bloching, 2013). In Hong Kong, for example, social media marketing is getting more and more popular. However, relatively little research has been directly devoted to develop contemporary approaches so as to build up the relationship between company’s social media activities and customer engagements. The present study is an exploratory attempt to analyze the influence of social media on marketing management with the real company case. The investigation may help marketers to managing customer engagements more
effectively in its social media strategies.

**Popularity of Social Media**

In the 1990s, when Internet was begun to be commonly used in general public, it was mainly in the form of e-mail communication. Afterwards, as broadband internet connection began to be widely used, companies began to use websites as to communicate with their customers. The internet has provided many benefits to consumers. The most well-known benefits are the internet speeds up the communication process, including consumer-to-consumer information flow. Online communities are the product of Internet applications (Luppicini, 2003).

Social media is now becoming imperative in today’s Internet world. It is defined as "a group of internet-based applications that build on the ideological and technical foundations of Web 2.0, and that allow the creation and exchange of user generated content" (Kaplan and Haenlein, 2010, p. 61). It allows individuals to create, collaborate, and share online contents with other persons. There are lots of well-known social media platforms commonly used, such as Facebook, Youtube, Instagram, Twitter, LinkedIn, Weibo, Wechat and others. In 2013, Facebook user, for example, has reached 1.11 billion within nine years of being launched (Facebook, 2013). Message discussed in the social media platforms are mostly personal, but some are commercial posts. Originally, those messages are referred as individual’s online diary, which may contain personal opinions toward specified topic or factual information. Most of the personal messages posted in social media platforms are complementary, visitors are allowed to comment their posts in real time. It tends to be transparent and it is available for everyone in internet to view, comment and share. Message in the social media platform is commonly "follow", "like" and "share" among people (Mitic and Kapoulas, 2012). Social media brings all people in the internet together and act collectively. It opens up personal opinions, ideas and feelings to other people in the free-form writing space online. Consumers map their knowledge from social media and peer-to-peer reliance.

**The Importance of Social Media Marketing**

In the views of many people, shopping is an important social and personal activity (Holt, 1995). Attributes of the shopping experience are important determinants of patronage behavior. Another aspect of the participation of social media is compatibility with the consumers’ life-style and shopping habits – a main factor associated with the sense of belonging. It is proposed that while assessing the compatibility of an innovation, one looks at the compatibility with existing values and beliefs, previously introduced ideas, and potential consumer’s needs. Bellman and colleagues (1999) also argued that people living a wired lifestyle patronize online stores spontaneously. These consumers use the Internet
as a routine tool in their daily and work life. Their habitual use of the Internet for other purpose leads them to naturally use it as an information channel as well. As identified by Dutot (2013), customer tends to expect companies they trust interact with them in social media.

Company reputation, therefore, is heavily linked with consumer’s buying process. It consists of information related to the behaviour, history, values, prestige and characteristics of the brand involved in the transaction. Customers map their knowledge from media reports and peer-to-peer reliance. They will then assess the likelihood of the particular brand involved in the buying decision. These answers are the fundamental rule of how hard the brand will need to work to build customer trust and loyalty. People change their attitudes, beliefs, and even behaviors in reaction to real or imagined social influence (Baron and Byrne, 1997). Bandura (1977) argued that personal behaviour is learned from peers or near-peers. Normative obligation is the inevitable end result of institution (Meyer and Rowan, 1991). It is just a social pressure pitting on individuals. “Normatively appropriate” and “taken-for-granted structure” from institutions can be two guiding principles for individual making the purchase decision. People’s perceptions of a particular product or services, therefore, are partially shaped by the existing value system of the society. If people’s perceptions are inconsistent with others, there is a greater tendency for people to change their attitudes as to match with others (Buehler and Griffin, 1994; Griffin and Buehler, 1993). If everyone else is behaving in a certain way, then observers conclude that it must be appropriate. Buyer communities have traditionally operated through social interaction. Consumers hold to ideal desires and expectations in the buying process. The reputation of those judged to be liable will vanish and these consequences are far greater than the gain they have reaped. “Good” and “bad” are the social evaluations, rather than objectively defined cognitive objects. Interestingly, it suggested that the benefits or pain of buying something may not come from knowing the person actually bought it, but rather from their social interactions in the social media. Therefore, social media can be full with marketing knowledge (i.e. customer preference) for marketers (Sarabdeen, 2014).

Particularly, social media enhance customer engagements (Wirtz et al., 2010; Sashi, 2012). It formed the new construct, i.e. interpersonal bonds between company and among different customers. Companies focus on the interpersonal relationship aspects of the exchange can keep customers in the relationship. The development of interpersonal bonds may be a way for company to differentiate itself from other competitors.

**Cues from Picture and Characters**

Earlier psychological studies have found that people can response pictures much better than words (Bower, Karlin and Dueck, 1975; Paivio, Rogers and Smythe, 1968;
The most influential contribution to the discussion about the effectiveness of people's pictorial memory was presented by Bower, Karlin and Dueck (1975). They found that participants recalled pictures better if they achieved a meaningful interpretation of the picture used in the experiment. In their first experiment, a group of 18 undergraduates was divided into two groups—designated 'label' and 'nolabel' groups. All participants were asked to study a series of 28 simple doodled pictures. Appropriate interpretation was given by the experimenter to the 'label' group, whereas no interpretation was given to the 'nolabel' group. The results of the experiment indicated that the 'label' group did better in recalling the pictures than the 'no-label' group. In the second experiment, Bower, Karlin, & Dueck (1975) tried to test the participants' ability for associative matching. Doodle pairs were shown to the participants once, and the experimenter then asked the participants to match the corresponding pairs. Again, the 'label' group did better than the 'no-label' group in the matching exercise.

Similarly, Rafnel & Klatzky (1978) found that semantic encoding of a picture can be facilitated by a meaningful label. Three separate experiments were conducted to test the effect of meaningful interpretation on participants' memory for nonsense pictures. In each test, the participants' retention was assessed by a recognition test with certain distractors. It was found that the physical appearance of the pictures shown to participants did not help them in recalling meaningless pictures. However, the experimenters found that participants did recall meaningful pictures better. The findings indicated that the semantic interpretation of a picture enhances semantic coding, rather than the physical coding.

From the more recent experiments conducted by Dewhurst & Conway (1994), it was suggested that encoding conditions in sensory-perceptual and semantic processing affect recall ability. Five experiments were conducted to investigate whether pictures can provide rich information for sensory-perceptual coding, rather than the conceptual representation of texts. Findings were consistent with the previous studies—that is, that picture superiority effect was found in meaningful pictures as compared with nonsense pictures.

Several factors affect picture superiority. From the sensory-semantic model proposed by Nelson, Reed, & McEvoy (1977), picture superiority takes place only in certain conditions. These conditions are: (a) pictures that pose more distinctive sensory codes than words; and (b) pictures that are more likely to undergo semantic processing than verbal labels. As noted by Durso & Johnson (1980), some studies in the past have failed to yield a picture superiority effect because of a lack of meaningful representation. Therefore, it would seem that people try to assign meaning to what they have seen in order to facilitate recall.
Durso & Johnson (1980) have conducted two experiments to test the validity of the model of Nelson, Reed, & McEvoy (1977). The first experiment tried to identify the effect of different orienting tasks on the subsequent recognition of concepts presented in either graphic or verbal form. Participants were presented with a list of pictures and words, and were then required to perform certain tasks which tested for an association between the pictures and words, with or without defined concepts. The findings were compatible with the sensory semantic model, in which the sensory distinctiveness of pictures and the ability to perform semantic processing were enhanced by pictures with a greater picture superiority effect.

**Basic Observations and Findings**

Three different Hong Kong companies’ Facebook Pages from different product/services categories (i.e. fast-moving consumer goods, retail business and hospitality industry) were selected in the study. Social media, particularly Facebook was selected as the major data sources for the study. The data collection period is 1 January 2014 to 30 June 2014. Casual observations about these brands’ social media activities from their Facebook Page, such as number of posts per month, the number of likes, number of talking about (i.e. about people engaged and interacted with particular company post in Facebook Page), number of influential fans and number of shares were reviewed.

In developing the conceptual framework for the study, a preliminary qualitative study was carried out. The study involved a content analysis of 176 messages posted from these companies in their Facebook Pages between 1 January 2014 to 30 June 2014. The posts were transcribed, coded, and interpreted in light of *a priori* themes drawn from the literature.

The main objective of the study was to examine systematically different formats of message posted by these companies in their Facebook Page and investigate their relationships with the customer engagement accordingly. Therefore, the study first examined the context of the message posted by the companies. All the company posts were then content analyzed (Table 1). Format of the post that used in the messages were identified and these contexts were identified as content analysis variables. Analysis of the sample of 176 company posts including the average numbers of likes, talking about, influential fans and shares. These are listed in Table 2. It was found that company posting TV Commercial or Marketing Video in its Facebook Page was the most effective way for the customer engagements (average number of like = 275.67 per post, average number of talking about = 18.44 per post and average number of share = 8.67 per post, both are largest numbers identified in the study). The effects were identified by the number of like, the number talking about and the number of share in the Facebook Page. Another common
context posted by the company in its Facebook Page is marketing photo with verbal caption. It also created relatively large number of like (average number of like = 137.70 per post, second largest number of like identified in the study). Interestingly, the study found that meaningful marketing graphical image was the least important way for the customer engagements (average number of like = 9 per post). It even performed poor than the non-sense photo and non-sense Graphical image (average number of like = 4.75 and 6.5 respectively).

Table 1. The transcripts of the posts example.

<table>
<thead>
<tr>
<th>Reference</th>
<th>Month</th>
<th>Date</th>
<th>Company</th>
<th>Number of Like</th>
<th>Number of Talking About</th>
<th>Number of Influential Fans</th>
<th>Number of Share</th>
<th>Format</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Jan</td>
<td>1</td>
<td>1</td>
<td>30</td>
<td>2</td>
<td>2</td>
<td>0</td>
<td>4</td>
</tr>
<tr>
<td>2</td>
<td>Jan</td>
<td>1</td>
<td>1</td>
<td>102</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>6</td>
</tr>
<tr>
<td>3</td>
<td>Jan</td>
<td>1</td>
<td>2</td>
<td>12</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>7</td>
</tr>
<tr>
<td>4</td>
<td>Jan</td>
<td>1</td>
<td>2</td>
<td>26</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>6</td>
</tr>
<tr>
<td>5</td>
<td>Jan</td>
<td>1</td>
<td>1</td>
<td>126</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>6</td>
</tr>
</tbody>
</table>

Note1:
1: Meaningful Marketing Graphical Image; 2: Non-sense Photo; 3: Non-sense Graphical Image; 4: Verbal Company Post; 5: TV Commercial or Marketing Video; 6: Marketing Photo with Verbal Caption; 7: Marketing Photo without Verbal Caption

Table 2. Summary of the posts investigated.

<table>
<thead>
<tr>
<th>Context of Post</th>
<th>Actual Number of Posts</th>
<th>Percentage</th>
<th>Average Number of Like</th>
<th>Average Number of Talking About</th>
<th>Average Number of Influential Fans</th>
<th>Average Number of Share</th>
</tr>
</thead>
<tbody>
<tr>
<td>Meaningful Marketing Graphical Image</td>
<td>5</td>
<td>2.8%</td>
<td>9</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Non-sense Photo</td>
<td>10</td>
<td>5.7%</td>
<td>6.5</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Non-sense Graphical Image</td>
<td>8</td>
<td>4.5%</td>
<td>4.75</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Verbal Company Post</td>
<td>40</td>
<td>22.7%</td>
<td>26.73</td>
<td>0.1</td>
<td>0.1</td>
<td>0.05</td>
</tr>
<tr>
<td>TV Commercial or Marketing Video</td>
<td>9</td>
<td>5.1%</td>
<td>275.67</td>
<td>18.44</td>
<td>27.11</td>
<td>8.67</td>
</tr>
<tr>
<td>Marketing Photo with Verbal Caption</td>
<td>96</td>
<td>54.5%</td>
<td>137.70</td>
<td>2.92</td>
<td>3.78</td>
<td>1.26</td>
</tr>
<tr>
<td>Marketing Photo without Verbal Caption</td>
<td>8</td>
<td>4.5%</td>
<td>50.25</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
</tbody>
</table>

Results

One-way analysis variance (i.e. ANOVA) was conducted as to test the differences
among the means of customer engagement variables (i.e. number of like, number of share and number of talking about) from different context of posts by the company (Table 3). It was found that different context of the post has different number of talking (F(6,169) = 43.363, \( p<0.001 \)) about and number of share (F(6, 169) = 7.209 \( p<0.001 \)). However, no differences were identified about the 11 contexts of post associated with number of like (F(6,169) = 11.491, \( p < 0.001 \)). It is suggested that the selection of context of message posted by the company can affect the number of like, the number of talking about and the number of share in its Facebook Page.

A correlation analysis was conducted on all variables as to explore the relationship between variables related to customer engagements. The bivariate correlation procedure was subject to a one tailed test of statistical significance at two difference levels: highly significant (\( p<0.001 \)) and significant (\( p<0.05 \)). The Pearson correlations are shown in Table 4. The Pearson results are reported below.

As shown in Table 3, it was found that average number of like has a positive and relative strong associations with both average number of talking about (r=0.596, \( p<0.001 \)), average number of influential fans (r=0.617, \( p<0.000 \)) and average number of share (r=0.652, \( p<0.001 \)) in the selected company’s Facebook Page.

Importantly, average number of talking about has positive and very strong association with the average number of share (r=0.987, \( p<0.001 \)) and average number of influential fans has positive and very strong association with the average number of share (r=0.914, \( p<0.001 \)). Average number of share has positive and very strong association with the influential fans (r=0.927, \( p<0.000 \))

It is suggested that “Like”, “Share”, “Comment” and “Influential fans” are very important functions in company’s Facebook Page as to activate customer’s engagements.

**Table 3. One-way ANOVA.**

<table>
<thead>
<tr>
<th>Construct</th>
<th>Sum of Squares</th>
<th>of df</th>
<th>Mean Square</th>
<th>F</th>
<th>Significance</th>
</tr>
</thead>
<tbody>
<tr>
<td>Number of Like</td>
<td>Between Groups</td>
<td>849686.643</td>
<td>6</td>
<td>141614.441</td>
<td>43.363</td>
</tr>
<tr>
<td></td>
<td>Within Groups</td>
<td>551921.715</td>
<td>169</td>
<td>3265.809</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Total</td>
<td>1401608.358</td>
<td>175</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Number of Talking About</td>
<td>Between Groups</td>
<td>2728.276</td>
<td>6</td>
<td>454.713</td>
<td>7.209</td>
</tr>
<tr>
<td></td>
<td>Within Groups</td>
<td>10659.156</td>
<td>169</td>
<td>63.072</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Total</td>
<td>13387.432</td>
<td>175</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Number of Share</td>
<td>Between Groups</td>
<td>599.059</td>
<td>6</td>
<td>99.843</td>
<td>11.491</td>
</tr>
<tr>
<td></td>
<td>Within Groups</td>
<td>1468.390</td>
<td>169</td>
<td>8.689</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Total</td>
<td>2067.449</td>
<td>175</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Table 4. Pearson correlation analysis (significance).

<table>
<thead>
<tr>
<th>Construct</th>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
</tr>
</thead>
<tbody>
<tr>
<td>Average Number of Like</td>
<td>1.000</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Average Number of Talking About</td>
<td>0.596**</td>
<td>1.000</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Average Number of Influential Fans</td>
<td>0.617**</td>
<td>0.987**</td>
<td>1.000</td>
<td></td>
</tr>
<tr>
<td>Average Number of Share</td>
<td>0.652**</td>
<td>0.914**</td>
<td>0.927**</td>
<td>1.000</td>
</tr>
</tbody>
</table>

Note: ** Correlation is significant at 0.01 level (1-tailed)

The simple student's t-statistic (t-test) was used to compare the differences in the mean scores for the two different format of post in Facebook, i.e. verbal company post and marketing photo with verbal caption. As shown in Table 5, picture superiority on customer engagement were dramatic. Marketing photo with verbal caption can create more customer engagements than verbal company post. On average, verbal company post triggered 26.72 likes, compared with 137.70 likes from marketing photo with verbal caption (t = -10.08; d.f. = 134, p < 0.001).

Table 5.

<table>
<thead>
<tr>
<th>Customer Construct</th>
<th>Engagement</th>
<th>Verbal Company Post</th>
<th>Marketing Photo with Verbal Caption</th>
</tr>
</thead>
<tbody>
<tr>
<td>N</td>
<td>Mean score</td>
<td>S.D.</td>
<td>N</td>
</tr>
<tr>
<td>Average Number of Like</td>
<td>40</td>
<td>26.72</td>
<td>17.49</td>
</tr>
<tr>
<td>Average Number of Talking About</td>
<td>40</td>
<td>0.10</td>
<td>0.44</td>
</tr>
<tr>
<td>Average Number of Influential Fans</td>
<td>40</td>
<td>0.10</td>
<td>0.44</td>
</tr>
<tr>
<td>Average Number of Share</td>
<td>40</td>
<td>0.05</td>
<td>0.32</td>
</tr>
</tbody>
</table>

Note: Means in the same row show mean difference at p < 0.001.

Managerial Implications

Communication of information within the brand should be transparent, although one should not underestimate the fact that managers must act wisely in social media marketing. Credibility is at stake. The consequences of secrecy or deception are massive: even if the company is able to survive, it is highly unlikely that it will regain the trust of its staff, public, or shareholders. In addition, social media, such as Facebook, it is the importance marketing channel that marketers cannot afford to ignore for customer engagements.

The study identified marketing event post is an important social media strategy. The picture superiority suggested by Bower, Karlin, & Dueck (1975) also applied to customer
engagement in social media. The present findings demonstrate that of the materials seen by people in Facebook depends upon the construction of meaningful interpretations of the post as they are viewed. Results from the present study also demonstrated that semantic interpretation is a major determinant of how well a person can react in social media. An effective social media strategy is one that creates an attractive presence to its targeted segment. Creating an effective presence can be critical for firms operating on its Facebook Page. The findings of this study suggest that marketers should take more care in the design of their posts. People are not pleased with posts that are purely word-based.

As technology develops, more videos are likely to be put on the social media. These distinctive social media elements should be closely related to the nature and contents of the corresponding marketing campaigns. This is especially so for social media that target frequent traffic. More interactive-multimedia elements should be used to capture the market.

Conclusion
Social media is a hotly debated marketing issue. The demonstration in this paper provides evidence to support the concept. These findings are discussed in light of research on the effect of “picture superiority” and “semantic coding” on memory of pictures and words. This study concluded that the selection of graphic elements in Facebook post is important to an effective marketing strategy. The study focuses on marketing management from participatory action research in social media. It used a collaborative inquiry approach. In terms of social interaction, traditional collaboration with consumers and marketers is often cited as being an important feature of customer relationship management. However, with the help of technology, interaction and collaboration are made possible even from the personal contact. Indeed, this interaction and collaboration is, in many ways, more flexible and extensive than in traditional marketing management.

References


After-Sale Services of New Energy Vehicles in China

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ABSTRACT

This Industrial Development Plan for Energy-saving and New Energy Industry (2012-2020) was implemented in June, 2012. The plan emphasized the importance and urgency of establishing after-sale services system during the industrialization of new energy vehicles. However, during the process of mercerization, the issue of after-sale services of new energy vehicles has not been taken seriously. They differ from traditional fuel vehicles in main structure, energy supplement and other aspects, which definitely lead to obvious discrepancy and special requirements of after-sale services. Therefore, it should be well planned in advance to make good preparation for the approaching new energy vehicles era. The paper analyzed the features differentiated from traditional after-sale services in new energy vehicles from three aspects-manufacturers, users and the government - on the basis of status quo of market and services and put forward basic strategies to improve after-sale services level from six aspects.

Keywords: New energy vehicles; electric vehicles; after-sale services; maintenance

1. Introduction

New energy vehicles are the ones with new power system, depending on new energy sources. The ones in this paper refer to pure electric vehicles and hybrid electric vehicles requiring plugs. They have gained basis for industrialization. Key techniques have made enormous improvement in battery, motor, electronic control and system integration. Pure electric vehicles and hybrid electric vehicles requiring plugs are currently put into the market on a small scale [1]. In November, 2011, the first 4s store selling various new energy vehicles of different brands-Gaozhan New Energy Vehicles 4s Store opened in Jiading International Vehicles Town in Shanghai. Civilians can enjoy consultation, trial driving, purchasing and maintenance in the 4s store. Academician Qingquan Chen, the electric vehicles expert pointed out that the developing tendency of new energy vehicles cannot be inhibited. However, to publicize them successfully, three aspects should be achieved, namely, quality products, complete infrastructure and good commercial and service modes [2]. Good service modes should be an important guarantee of
industrialization of new energy vehicles. There is an old saying in vehicles industry, “The first car is sold by the salesman, but the second and third cars are sold by employees doing after-sale services.” which can show the significance of after-sale services. Breakdowns different from traditional ones may be inevitable in the demonstrating and publicizing periods. Under this circumstance, the after-sale service of electric vehicles shall be faced with a new problem. Therefore, it is necessary to explore deeper into this industry [3].

2. Marketing condition

In order to promote industrialization of energy-saving and new energy vehicles, the Ministry of Science and Technology, Ministry of Finance, National Development and Reform Commission, Ministry of Industry and Information Technology launched the “1,000 new-energy vehicles to have trial run in 10 cities” project, namely, “Demonstrating and publicizing application project-1,000 new-energy vehicles to have trial run in 10 cities”. It is supported by financial subsidy and will develop ten cities per year in the total time duration of three years. There will be 1000 new energy vehicles in demonstrating operation in every city, covering fields of buses, taxis, official cars, municipal administration, postal service, etc in middle cities and metropolis. Distribution of the 25 cities is shown in the Figure 1.

![Figure 1 Distribution map of cities in the project-1,000 new energy vehicles to have trial run in 10 cities. The first batch cities ● The second batch cities ◆ The third batch cities ▲](image)

By the end of 2012, 25 cities like Beijing, Shanghai and Shenzhen would popularize over 27,400 such vehicles, among which 23,000 vehicles were for public transportation (including buses, taxis and government cars), 4400 cars are for private uses. According to data from China Automobile Industry Association, the sales of such cars reached 13692,
taking up almost 0.12% [4] of total Chinese domestic car sales market. The details could be referred to in Table I.

### Table I Sales of new energy passenger cars in China in 2012

<table>
<thead>
<tr>
<th>Name of the Enterprise</th>
<th>Vehicle type</th>
<th>Type of new energy Vehicle</th>
<th>Sales in 2012</th>
</tr>
</thead>
<tbody>
<tr>
<td>Beijing Automobile Group Co., Ltd</td>
<td>E150</td>
<td>electrocar</td>
<td>644</td>
</tr>
<tr>
<td>FAW Toyota Motor Co. Ltd</td>
<td>Prius</td>
<td>Hybrid car</td>
<td>2434</td>
</tr>
<tr>
<td>Biyadi Automobile Co. Ltd</td>
<td>E6</td>
<td>Electric car</td>
<td>1690</td>
</tr>
<tr>
<td>Biyadi Automobile Co. Ltd</td>
<td>F3DM</td>
<td>plug-in hybrid car</td>
<td>1201</td>
</tr>
<tr>
<td>Qirui Automobile Co. Ltd</td>
<td>QQ</td>
<td>electrocar</td>
<td>3129</td>
</tr>
<tr>
<td>Qirui Automobile Co. Ltd</td>
<td>M two boxes</td>
<td>electrocar</td>
<td>90</td>
</tr>
<tr>
<td>Qirui Automobile Co. Ltd</td>
<td>Riich</td>
<td>electrocar</td>
<td>152</td>
</tr>
<tr>
<td>GMAC-SASIC</td>
<td>Roewe E50</td>
<td>electrocar</td>
<td>238</td>
</tr>
<tr>
<td>Zotye Automobile Co. Ltd</td>
<td>5008EV</td>
<td>electrocar</td>
<td>142</td>
</tr>
<tr>
<td>Zotye Automobile Co. Ltd</td>
<td>Laxjoy EV</td>
<td>electrocar</td>
<td>134</td>
</tr>
<tr>
<td>Guangzhou Automobile Co. Ltd</td>
<td>Trumpchi</td>
<td>hybrid car</td>
<td>200</td>
</tr>
<tr>
<td>Shanghai GM Co. Ltd</td>
<td>Excelle</td>
<td>hybrid car</td>
<td>394</td>
</tr>
<tr>
<td>Shanghai GM Co. Ltd</td>
<td>REGAL 2.4</td>
<td>Micro hybrid</td>
<td>308</td>
</tr>
<tr>
<td>Shanghai GM Co. Ltd</td>
<td>Sail</td>
<td>electrocar</td>
<td>14</td>
</tr>
<tr>
<td>Jianghuai Automobile Co. Ltd</td>
<td>Tongyue</td>
<td>electrocar</td>
<td>2465</td>
</tr>
<tr>
<td>Chang'an Automobile Co. Ltd</td>
<td>Ex30</td>
<td>electrocar</td>
<td>100</td>
</tr>
<tr>
<td>Chang’an Automobile Co. Ltd</td>
<td>Ex30</td>
<td>hybrid car</td>
<td>26</td>
</tr>
<tr>
<td>Hafei Automobile Company</td>
<td>Saibao</td>
<td>electrocar</td>
<td>281</td>
</tr>
<tr>
<td><strong>Total</strong> (amount to 0.12% of domestic sales of car)</td>
<td></td>
<td></td>
<td><strong>13692</strong></td>
</tr>
</tbody>
</table>

Industrial goal of our new energy vehicles (2012-2020) was to reach sales quantity in pure electric vehicles and plug-in hybrid electric vehicles of 500,000 by 2015; the quantity of producing the two kinds of vehicles to be 2,000,000 and the total production force 5,000,000 by 2020. The future of new energy vehicles could be very promising. In addition, Regulation of modification, replacement, return responsibilities will be implemented on Oct, 1st, 2013. New-energy vehicles in mature stage should be under restrictions of the regulation together with traditional cars, which will be a great challenge for new energy vehicles industry. All the above showed great concern about after-sale services and new energy vehicles from the country. The standards are high, requirements are strict and the difficulty is huge. Therefore, good after-sale service is of great importance to marketing popularization. Systematic service industry of new energy vehicles will undoubtedly enhance and expand powerful support of the market [5].

3. Feature analysis of after-sale services of new energy vehicles

More fault spots would occur in these vehicles than in traditional vehicles due to the adoption of new power system, for instance, the increased components of electrical
machine, electrical control, and battery. Taking Dongfeng Hybrid Electric buses in Wuhan Electric Vehicle Demonstrating Operation Ltd. Co. as an example, failure rate of hybrid power took up to 36.5% from Feb, 2010 to Jun, 2012. The distribution of major fault spots could be seen in Figure 2. According to the graph, dynamic coupling and motors are places easy to be broken, taking up 35% and 24% of the total hybrid power faults. They are key components in hybrid power, therefore, also the major parts to breakdown [6].

![Figure 2 Distribution map of breakdown in Vehicle hybrid power](image)

Compared with traditional fuel vehicles, new energy vehicles differ in many aspects: Firstly, these new vehicles have no engines, fuel systems and exhaust system. Instead, specialized component systems like power storage battery that provides power source, drive motor that provides power, vehicle control unit, machine controller, block terminal, battery administration system and other electrical apparatus elements are added into the cars. Secondly, these new cars have high electric integration and digitization of information transmission. Thirdly, the repairing discrepancy is quite obvious. New cars require more electronic tools to recognize the breakdown of vehicles and breakdowns are more likely to occur in electrical system and software rather than mechanical parts [3]; fourthly, producing products by enterprises of preliminary stage and developing stage should establish corresponding profiles for every new energy vehicles and track the operation status until the car is no longer used or announced invalidated. Due to the above discrepancy in design and technique, the after-sale service is also quite different from fuel vehicles.

Besides, there are many subjects and multi service items in new energy vehicles service compared to traditional fuel vehicles. Service subjects include car manufacturers, component enterprises of battery, dynamo and electronic control, charging service provider, insurance company, relative governmental departments, and real estate management and
so on. Multi service items cover consulting service, technical training like driving
techniques, charging service, battery maintenance, component supply, appraisal of quality
and automobile insurance service and so on. Hence, maintaining links are required more
and service is more complicated. This paper analyzed service features and status quo from
three aspects of manufacturers, customers and the government. This paper analyzed service
features and status quo from three aspects of manufacturers, customers and the government.

3.1 From the perspective of Manufacturers of new energy vehicles
3.1.1 Immature techniques and high breakdown rates

New energy vehicles are confronted with the problem of lacking in key techniques in
key components. Many key components like electrical machines, battery, electric control
as well as the whole car manufacturing design, assembly craftsmanship are immature.
Partial products are sold and under demonstrating operation without sufficient experiments.
After-sale service thus becomes the last procedure in production of vehicles manufacturers,
which will definitely lead to high breakdown rate in preliminary stage.

3.1.2 Small-scale sales and difficult maintenance service

Traditional cars enjoy a large quantity of sales, a considerable numbers of users in
definite regions and low service cost adopting network authorized service providers such
as 4s stores. While new energy vehicles have a small quantity of sales and service providers
are not capable of maintaining such new vehicles and adopt door-to-door service. It is slow
in response and requires a higher cost. With constantly increasing customers and scattered
regions, it will affect service level and inhibit sales and popularization of new energy
vehicles.

3.1.3 Few accessories and difficulty in accessory supply

Auto parts are the blood of after-sale services. The total market share is small in
preliminary stage and integration degree of the industry is low. The after-sale service is too
small-scaled to enable whole car manufacturers and component manufacturers to store
sufficient maintenance components. Once breakdown occurs in new energy vehicles, no
component could be employed during maintenance, leading to prolonged service and
dissatisfaction of users.

3.1.4 Huge investment but insufficient enthusiasm from manufacturers

New energy vehicles belong to hi-tech products and breakdowns are complex,
involving various parts such as regular, hybrid power and pure electricity breakdowns.

Ordinary maintenance staff could do nothing when confronted with such situations.
More professional experts sent by car manufacturers and component manufacturers are
needed to have comprehensive diagnosis. Hence, after-sale services staff training, service
infrastructure and service expenditure all require large sums of investment. After-sales activities are still investments right now and can generate no benefits at all. More precisely, new energy manufacturers attach great importance to after-sale services, but are unwilling to invest more into after-sale services.

3.2 Customers

3.2.1 Increasing difficulty in operation and multiple links in coordination with users

New energy vehicles are revolutionary products that may face tremendous problems like driving habits, charging service, daily maintenance, as well as vehicle insurance and so on. Additionally, new cars demand more data and positions for monitoring, more corresponding meters and switches and more items in daily maintenance, for instance, the regular inspection and maintenance of power batteries, waterproof and dustproof of battery charger, and regular cleaning. Ordinary users can hardly follow strict operation and maintenance regulations.

3.2.2 Short time of quality guarantee and huge risk for customers

New technology in new energy vehicles is not popularized yet. Once problems occur, the maintenance cost would be high. For instance, the accumulator that Prius hybrid and petrol mixed battery needs to consume has a guarantee of 100,000km/5 years, during which the maintenance can be free of charge if there is breakdown. However, the maintenance fee may be up to 10,000 yuan after the guarantee. If the user wants to change the accumulator, the cost would be higher. Moreover, the users may increase the burden more risks than traditional fuel vehicles once the vehicle is out of quality guarantee. So the quality guarantee time should be prolonged to increase confidence of consumers.

3.3 The government

After-sale services is a problem not only to be solved by any enterprise, but also involving the government, car manufacturers, battery manufacturers and other industries and departments. It is with complex operating mechanism system and involves interest of many institutions. Furthermore, new energy vehicles are in transition of preliminary stage and developing stage. So the government requires compulsory special service for new cars in demonstration and on sales, different from traditional fuel vehicles. The following are the requirements:

3.3.1 Special requirements for safety of vehicle

Our government required real-time supervision devices for all plug-in hybrid power vehicles, pure electric vehicles in demonstrating operation, especially monitoring for power battery and fuel battery. Hybrid power vehicles should be under real-time monitoring according to certain ratio. Warning information system and emergency disposal mechanism should be established. Demonstrating operation administration platform based
on pilot cities should be established to track operation status of vehicles. Once unusual situations occur, working staff should announce warning information to driver, operation and maintenance units as well as relative governmental departments.

3.3.2 Special mission and goal of demonstrating vehicles

The goal of demonstrating vehicles is to allow exposure of problems in demonstration, promoting the development of key components for enterprises and overcoming key technical problems to accelerate virtuous development of the industry. Therefore, after-sale services in preliminary stage also burden the responsibility of collecting feedback data and recording research status.

In 2010, Shenzhen implemented The Pilot Allowance Strategy for Private Purchases of New Energy vehicles, regulating that all enterprises selling such vehicles should offer service guarantee of key components like power battery. It also regulates that enterprises should provide quality guarantee for 5 years or 100,000km (abiding by “the earliest acquire”) especially for key components like power batteries and they should promise recycling the whole car and power batteries according to certain depreciation rate. In 2012, Shanghai implemented Operation safety of electric passenger cars and technical regulations for maintenance guarantee. This regulation defines that demonstrating electric vehicles should have complete after-sale services system, over 5 maintenance stations with authorization of qualification in appropriate service districts, able to provide 24-hour constant guarantee service for customers. The quality guarantee of vehicles should be 3 years or 80,000km, and power batteries, 5 years or 100,000. The above two cases are concrete manifestation of special requirements for after-sale services of these new cars.

4. Strategies to improve after-sale services level of new energy vehicles

According to the market conditions and special requirements of service for new energy vehicles, this paper puts forward following strategies and suggestions to improve the service level.

4.1 Promoting after-sale services with large-scale sales

Obvious scale effect can be seen in vehicles service. Only if the sales are on a large scale can the service be accomplished well. At the moment, measures to promote sales of the new energy vehicles are mainly: realize the pilot policies; exempt restrictive measures in auction, license-plate lottery, traffic controls; implement assisting policies in parking expenses, electrovalence, road tolls and so on; plan charging infrastructure construction; construct charging piles beside parking lots in communities or working places for private car users; provide charging infrastructure construction service for private owners of these new cars; besides, special parking lots and with charging piles should be constructed in public parking lots and parking lots for governments, marketplace and hospitals.
Meanwhile, delicate and a few rapid charging nets should cover every region for
demonstration. The above measures will stimulate governmental, enterprise and private
purchases and their willing to use new energy vehicles so as to promote large-scale sales
and service.

4.2 Reducing breakdown rates of the whole car and key components

No service in after-sale services should be the best service. The service to provide
timely maintenance after breakdown is the lowest level of service. The whole car
manufacturers and key component manufacturers should take the advantageous
opportunity of pilot policy and accelerate developing products as well as technical
improvements, enhance matching ability of different links, improve quality of the whole
car and key components like battery, electric control and electrical machine. In this way, it
can help reduce breakdown rate of the whole car and key components to accelerate
industrialization and mercerization. Meanwhile, complete technique tracking service
system for demonstrating products should be established. Constant enhancement of
monitoring towards daily operation status, demonstrating vehicles, power batteries and
supporting infrastructure should be maintained. Collecting, counting and analyzing
statistics are indispensable together with evaluating technical status and operation effect
regularly for technical improvement.

4.3 Establishing and completing after-sale services guarantee system

With the developing new energy vehicles market, inconvenience in user maintenance
would be huge problems if the maintenance service network system can’t follow scale of
expansion. Enterprises producing the whole car, components and charging infrastructure
should enhance training for maintenance staff and keep their promises of product warranty
and other after-sale services. They should establish complete maintenance system and
provide reliable guarantee for high efficiency in after-sale services, assuring that
maintenance network could cover anywhere the car is sold. At the same time, the country
should complete relative laws and regulations for after-sale services, regulating service
actions of staff and providing regulation proofs for conflicts during service. It will make
after-sale services more standardized and processized.

4.4 Enhancing knowledge training and improving customer operation and using
level

Firstly, relative knowledge of new energy vehicles should be popularized. Consumers
have gained profound understanding towards traditional fuel vehicles with a history of over
100 hundred years, whereas the new ones are still unknown to them. Hence, it is necessary
to popularize and spread relative knowledge in new energy vehicles. Relative enterprises
of the whole car and components as well as charging infrastructure should advertise new
cars and publicize performance parameter and usage information like range per charge of pure electric vehicles and plug-in hybrid electric vehicles, rate of fuel saving of hybrid electric vehicles, charging mode of power batteries, time and lifetime, etc and guarantee of the above products, clauses of guaranteeing changing products to ensure that customers have comprehensive knowledge and can use relative products correctly.

Secondly, drivers should be trained to drive such vehicles. Many drivers still maintain their old driving habits in traditional cars and have little knowledge of principles, usages and common breakdowns of the new ones, which might lead to troubles in using new cars. The simple and effective solution may be to accumulate new users and train them in batches. Contents like theoretical training, driving, charging in operation training; common breakdown training, trial driving experience and so on. As shown in facts, it is effective to adopt such training approaches and reduce breakdown due to appropriate operations so that it decreases breakdown rates and after-sale services cost.

4.5 Cultivating maintenance service talents constantly

Maintenance talents are also the key points in after-sale services. New-energy vehicles differ from traditional fuel cars in components and systems such as power driven system, battery system and control system and only specially trained service staff could handle maintenance of these systems. Besides, electro-mobile uses battery as power source, computer as controller, supervisor and protector, which requires advanced maintenance staff with knowledge in computer, electrochemistry, electric power, electric technique and so on. It’s rather difficult to have professional maintenance employees with skillful techniques and the skills determine whether he could diagnose the breakdown and repairing rate, which would affect service quality and maintenance cost so as to impact purchasing will of consumers. At the moment manufacturers send technicians to accomplish new energy vehicles service and the scarcity is a severe problem in front of the development of such vehicles.

Therefore, all kinds of enterprises and every link such as the whole car and component manufacturers, charging infrastructure manufacturers, energy enterprises, service operation enterprises should attach great importance to service work of new energy vehicles. They should cultivate advanced maintenance service talents, combining implementation of technical talents’ program based on talent cultivating strategy and relative projects. Enthusiasm of research institutes, colleges and universities, enterprises should be activated and they should cultivate a batch of backbone talents team and maintenance team. Professional education and training should be enhanced in electric vehicles techniques. Training of professional and technical talents should be carried out in vehicles enterprises to cultivate professional engineering talents. Maintenance service
profession may be established to reserve talents.

4.6 Updating service conception of after-sale services

After-sale services market is a market of providing service. Manufacturers of the whole car and key components should establish and update service conception of after-sale services of modern cars. Firstly, they should keep in mind the conception of people-oriented service. The subject of new energy vehicles is not only cars but also people. They should offer convenience to customers of such vehicles and solve problems of customers on the basis of needs of car owners and thus realize perfect combination of people and cars. The after-sale services should enable customers to enjoy convenience, glory, happiness and joyfulness with such vehicles. Secondly, they should attach great importance to maintenance. Not only should enterprises convert their conceptions but also customers of such cars should be instilled conception that repairing is not the real service, normal usage of cars should be the one manufacturers pursue and service would add value to customers. The emphasis of after-sale services is converted to maintenance.

5. Conclusion

New energy vehicles mercerization is a systematic project, in which after-sale service is an essential part, contributing much to popularization of such vehicles in large areas together with technical maintenance guidance. Technical service in after-sale services should be promoted together with technical development. After-sale services should be the life line of enterprises, winning trust from consumers. Such vehicles will definitely bring huge impact to the whole car market, even revolution to relative fields [7]. As long as the service subject covered in new-energy vehicles is paid enough attention to and appropriate service strategies be adopted, various problems during the process of sales would be solved. We should be well-prepared for after-sale services of new energy vehicles.

References
Do Retailers Display Right or Wrong: Marketing Ethics of Showcase in China

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ABSTRACT

Showcase is called the last minute’s presentation to the consumers playing the roles of attraction and selling to the customers, which delivers the brand image, business culture and social culture. However, comparing with the low awareness of the results of showcase, there is an increasing number of bad even illegal showcases, which already produces serious negative externality. Based on the ethics theory and business practices, the paper chooses and analyses four kinds of Chinese showcases, aiming to raise more attentions to this issue and provide some realistic suggestions*.

Keywords: Retailing, Showcase, Marketing Ethics

1. Introduction

Displaying of products in the showcase is essentially a type of Point of Purchase Advertisement. Retailers decorate and display their show window products in an aesthetic and ingenious way by using art and science techniques, which is to achieve the goal of showing, advertising and promoting products for the maximization of the sales.

Showcase in China has a long history. In the Scene of a Fair in the Eastern Han Dynasty unearthed in Guanghan, Sichuan province, we can see stores clearly at that time attracting customers through displaying products. MengLiangLu, a book written by WuZimu in Song Dynasty, detailed the colourful and varied decorations and display of different kinds of stores in Hangzhou City in the Southern Song Dynasty¹. As a very important view in streets for different public, the dazzling display not only represents the economic development level but also the culture and value of a society. Hence, showcase has also been the window for us to know the history. As a vital commercial culture, showcase has deep impact on every aspect of human lives. They exist not only for promoting products to seek profits but also for cultivating human’s minds and educating aesthetic of the society.

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However, the function of educating aesthetic of the society is always ignored by retailers. Recent years, with the development of China’s economy, some negative externalities have appeared in some showcases, including skimpy outfits of the model, improper slogan, strong noise, attractive-only background music and so on. In terms of the products specializing in specific consumer groups, the location and the showcase of the stores should consider social effects and abide by regulations beyond commercial values. In reality, these problems have appeared and jeopardized the physical and mental health of adolescents, challenged the bottom-line of social morality. Therefore, this article analyses four typical Chinese cases based on marketing ethic analytic framework and business principles, which makes some specific suggestions and hopes to raise concerns and regulations by.

2. Relevant Theories
2.1 Marketing Ethic Analytic Framework
Marketing Theory originated from United States in which marketing practice and theory, education and ethical research is leading in the world. According to the research of Richard T. Degerge, America business ethics research has five stages. The first stage was before the 1960s, America began to explore business ethics mainly focusing on the condemnation from religious people with strong religious connotation. The second stage was after the 1960s, the AMA discussed a serious of issues about marketing ethics standards symbolizing the beginning of real business ethics research. The third stage was in the 1970s. Corporate Social Responsibility, the role of morality in economic decisions and the factors influencing marketing ethics have become research hotspots. The fourth stage was in the 1980s, when business ethics research began to develop comprehensively. Many aspects including study area, research depth and awareness of enterprises made great progress. The fifth stage is since 1990s, when business ethics has grown and been integrated into an interdisciplinary subject by extending to other fields.

Chinese scholars have paid attention to marketing ethics since the middle of the 1990s. They released some research results based on China’s marketing reality, such as marketing ethics evaluation system and grey marketing theory after 2004. GanBiqun pointed out that utilitarianism and deontology are two main theories of moral judgments. Utilitarianism is based on many marketing ethic theories but has been criticized since the 1970s. The research of marketing ethics evaluation system should be based on deontology.

The three of the most important theoretical framework in deontology are:
(1)The Prima Facie Duty Framework: in the book The Right and the Good of William David Ross from British, he suggested 6 basic items of prima facie duties including fidelity, gratitude, and justice, promoting a maximum of aggregate good, reparation and non-
malfeasance. He thought anything meets the prima facie duty is morality.

(2) The Proportionality Framework: Thomas Garrett put forward The Proportionality Framework in 1966. He thought to judge whether an action or a decision is ethical or not should be considered from these three aspects—-purpose, means and result. Purpose means that motivation and intention itself is ethical or unethical. Means refer to the process to achieve goals and the approach of exertion. Result is the consequence of action, including the results which doers would like to happen and the results which doers foresee but not the results they expect.

(3) A Theory of Justice: John Rawls, a well-known American philosopher, put forward A Theory of Justice. He thought an ideal social justice system can improve the benefits of the weak in the society, at least not be weaken. Rawls always measured any kind of inequality from the standpoint of the least advantaged and endeavoured to equalize all the members in a society by some sort of compensation or reallocation.

The Prima Facie Duty Framework entails marketers to shoulder conscious prima facie duty, to avoid being utilitarian and unethical. The Proportionality Framework holds that whether something is fit with ethical standards or not should be judged by purpose, means and result. For example, if purpose and means are proper, but the foreseeable result is negative and there is no compelling reason to permit the result to happen, it will be unethical. A Theory of Justice emphasizes taking the entitlement of the weak and other stakeholders into consideration of marketing planning and marketing strategy. These theories offer valuable analysis framework for marketing ethics. However, Gene R. Laczniak recognized the importance of these three theories and the specific principles can be the basis of analysing marketing dilemma, but he thought it was hard to build a theoretical framework of marketing ethics based on them.

2.2 Important Principle in Business Practice

The development of research in marketing ethics progresses business practice and generates three vital concepts—Corporate Social Responsibility, Stakeholders and Sustainable Marketing.

In 1979, Carol put forward the concept of Corporate Social Responsibility (CSR). He thought CSR could be illustrated with a triangular pyramid. From the bottom to the top is responsibility of economic, legal, ethical and philanthropic, which weight respectively. Economic responsibility is the most important accounting for 40% in which profits-seeking is the cornerstone of social responsibility. Legal responsibility occupying 30% means that abiding by the law and social rules are requirements. Ethical responsibility accounts for 20%. Enterprises should be ethical and do right, justice and fair things while avoiding
damaging the entitlement of the stakeholders. Philanthropic responsibility occupies 10%, requiring enterprises to be good corporate citizen and to make contribution to society.

In 1984, Freeman put forward the concept of Stakeholders, which is any group or individual affecting the achievement of business goal or affected by business goal. This concept indicates that except for pressure groups like shareholders, creditors, customers and suppliers, enterprises should pay attention to the public who is directly or indirectly affected by business activities.

In 1980s, Philip Kotler put forward the concept of sustainable marketing, indicating enterprises should possess social conscience. They should follow high standard ethics instead of thinking about “what market and legal system permit us to do”. Except for concerning about what customers need, enterprises should also care about the demand of descendants. With a vision for long-term and future, enterprises can truly benefit the society.

2.3 Research Review
According to above analysis, there is no consensus about marketing ethics framework. There is little research in terms of stakeholder specializing for window advertisement of retailers. Existing research is mainly about how to design and display showing window. None of them involve the research of ethical issues. Considering the large effect of the externality of showcase, it is necessary to discuss the influence of showcase from the standpoint of the broader stakeholders. The paper makes a good use of the above theories to provide some suggestions.

3. Case Analysis
Case analysis is an important method of marketing research. Due to the essence of the research question and the poor data accessibility, the paper uses typical case through observation and secondary data. Case should be selected on the basis of whether it is representative, enlightening and extreme or not. Based on this standard, the paper selected four typical cases after conducting a number of observations and hunting large second-hand data.

3.1 Case one: store showcase which violates social morality
The history of adult products in China is not long and the operation time truly as real store is even shorter. In the beginning, Internet is a proper channel for adult products because of particularity of the products and the consideration of protecting customer privacy. Because the products target at specific groups, so the design and the exhibition of web pages will not be seen by improper public. For example, under custody of parents, adolescents are limited to this kind of information to some extent. Stores always prompt
browsers with warnings “This web page is adults-only. Anyone under 18 years old please browses other pages.” However, with the opening of bricks-and-mortar stores, the improper models, slogan and pictures in the showcases of adults products stores has created very bad effect and great social negative externality.

Take two stores in a community in Beijing as example. The models that are in the showcase wearing revealing underwear with bright colour and the use of neon lights heighten the product efficacy, attract and entice passerby. These stores have been there for quite a long time without any corrective action. As the paper observed, the showcases make many adolescents stop and watch inside and there is no sign about “Adults Only”. According to the introduction of the store itself, the chain store has already opened more than one thousand all over the country, meaning such scene is everywhere across the country. The harmfulness is immeasurable.

Western countries regulate adult products strictly. For example, in America, there was a family driving to Disney Park. Along the road, curious children saw Mickey Mouse, Ariel and Cinderella as well as many sexy ladies in the billboards. The mother sued the advertisement company and later such advertisements are forbidden in many states. The advertising of adults products does harm to physical and mental growth of adolescents due to the publicity of the stores. The negative externality is lessened due to companies’ measures and governments’ worry about the lawsuits and blame for lacking of inaction and regulation.

3.2 Case two: store showcase which hoodwinks customers

Fraudulent window advertising is relatively complicated. There are three common situations. Firstly, using fake discount information attracts customers. For example, there are many advertisements about bargain price medicine in the showcase of a pharmacy. After seeing that, some elderly will enter the store and would like to buy them. But the salesgirl will promote other regular price medicine in excuse of stock-out. This kind of behaviour is fraud advertising action. Secondly, using lotteries and ambiguous words induces customers. Posters in the showcase of a 4S shop say “Anyone who places order today can join the raffle! We prepared magnificent prizes worth RMB 10,000 for you! You can get magnificent prize buying any series of cars! Do not miss it!” However, so-called “magnificent prizes worth RMB 10,000” is actually cheap gifts like cups, dishes, ashtrays and so on. It is illegal for stores not to tell customers the specific meaning of “magnificent prizes worth RMB 10,000”---total value or unit value of the prize. Thirdly, using mainstream media or celebrities conducts fraudulent advertisement. The company uses slogans like “CCTV award-winning brand or CCTV recommended products” to promote their products. But actually, they get none of the awards or authorizations. Because nobody
takes the responsibility to verify the authenticity, it could be there and keeps inducing customers.

3.3 Case three: store showcase which scares people

Recent years, with the thriving of horror movies, many showcases with horrible information and pictures gradually show up in some streets even in communities which have extremely negative effects. For example, a so-called Haunted House located in a community of Yuhua west Road, Nanjing Province, was punished by Industry and Commerce Department of Nanjing Province because it was suspected of operating without license and relevant text and promotion video of it violated Advertisement Law in 15 September, 2014, China Industry & Commerce News reported. Outside the store, there are big stickers with spilled blood and weird words---“Abandoned Hospital” and posters with words like “the Biggest Haunted House Has Come to Nanjing!” However, similar advertisement can be often seen in many cities especially in the third and fourth provincial cities of China. In some fairgrounds, the form of showcases inducing adolescents to watch and to enter through bloody scary information and pictures severely damages the physical and mental health of adolescents and triggers social crimes of violence.

3.4 Case four: “showcase” which damages city image

A restaurant in Zhengzhou became the focus of the public, which used billboard written “Free Lunch for Beauties”, meaning that an orthopaedist made judgements on customers’ appearance and customer who got high score could have a free lunch. However, the giant billboard was forced to be removed due to the bad effects on the city image.

City management bureau of Zhengzhou announced that the restaurant put the outdoor advertisement without permission, violating Article twelfth of “Management Principles of Setting Outdoor Advertisement in Zhengzhou” and doing harm to the society.

4. Results and Implications

Window advertisements are not only commercial decision of enterprises, but also the important part of social culture reflecting the values and characteristics of a society. The degree of civilization and the level of culture and arts are embodied in the design and display of showcases in cities all over the world. Showcases of China need to be regulated immediately.

Under the latest Advertising Law in 2013, case one and case three violate article seventh, item sixth---“Advertisements shall not contain the content which is obscene, superstitious, horrible, violent and hideous” and article eighth---“Advertisements shall not impair the physical and mental health of minors or disabled persons”. Case two violates article ninth---“Information about the performance, provenance, usage, quality, price,
producer, valid period and promise of the products or the contents, forms, quality, price and promise of the services shall be expressed unambiguously and clearly” and article tenth---“The data, statistics, findings, abstracts and quotations used in advertisement shall be authentic, accurate and labelled”. Case four violates article twelfth of “Management Principles of Setting Outdoor Advertisement in Zhengzhou”, which is a local principle to guide the outdoor advertisement. Although there are literal rules in law for advertisements, practical investigation is difficult. Hence, the paper provides three recommendations:

Firstly, regulation specialized for showcase is urgently in need of sound laws and regulations. New revised Advertising Law is releasing. The revision covers many important issues including banning of tobacco advertisement, children endorsed advertisement and promotion of public service advertisement. But there is no article in the revised law specifically targeting showcases. The essence of showcases is same as TV commercials, radio commercials, Internet advertising and outdoor advertisements. Showcases face to the whole public without screening. We need different departments to regulate the showcases which require making laws and regulations specialized for showcases.

Secondly, it is very necessary to set up social civilization and morality supervisory committees and encourage people to supervise the bad showcases. Law enforcement cannot do without supervision. The revised Advertising Law emphasizes the supervision and law enforcement function of Industrial and Commerce Department and departments concerned. But that mainly focus on advertisements issued through broadcast, movies, televisions, newspapers, journals, telecommunication networks and Internets. Showcase, due to the individuality, flexibility and volatility, should be supervised by social civilization and morality supervisory committees comprised of people in society, which provide informants with new channels to increase the feasibility and efficiency of investigation.

Thirdly, enterprises should strengthen self-discipline while trade associations should establish industry ethical standards as soon as possible. Retailers should adopt the concept of sustainable marketing and pursuit long-term development. As the social responsibility pyramid of Carol shown, enterprises should focus on legal responsibility (30%) and ethical responsibility (20%) instead of being keen on capturing attention and praise from society through philanthropic responsibility which only accounts for 10% in Corporate Social Responsibility. Enterprises should set up social citizen image, build the enterprise culture and establish brand image via healthy aesthetic showcase. All levels of government and public opinion should pay more attention to integrative social responsibility of enterprises, rather than just focus on corporate donation. It is also very important to encourage relevant
industry associations to establish industry ethical standards and norms facilitating healthy development of advertisement industry.

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ABSTRACT

The marketing performance measurement issue has become a heated topic for more than two decades. The Marketing Science Institute (MSI, 2014) has even listed marketing performance measurement and communication as one of the top research priorities for 2014 to 2016. Marketing scholars have called for more research to investigate whether and how a comprehensive marketing performance measurement system (MPMS) is more effective than a partial one in terms of improving firm performance.

Echoing the call for more research on the MPMS-performance linkage, this paper synthesizes the management control and marketing literature to develop an integrated conceptual framework, which examines the mediating effect of marketing capabilities on the MPMS-performance linkage. To be specific, the study posits that a comprehensive MPMS can provide integrated information to management teams, which enables firms to make better marketing plans and implement marketing strategies more effectively. The framework addresses the important role of MPMS in the development of architectural capabilities.

This study presents the first theoretical framework of examining the MPMS-performance linkage from a resource-based view (RBV). The framework contributes to the body of knowledge by integrating one of the most influential theories, which have been used to explain firm performance variance in various fields, into the explanation of the MPMS-performance relationship. By doing so, the study highlights future research needs to advance theoretical understanding of the mediating model in the MPMS research, especially through a capabilities-development lens.

Keywords: Marketing performance measurement system, architectural marketing capabilities, firm performance, mediating effect
1. Introduction

Marketing performance measurement practices have received considerable attention for over two decades. However, attempts to develop a comprehensive marketing performance measurement system (MPMS) have been limited as evidenced in recent reports that 73% of firms fail to put key marketing metrics in place (Deloitte, 2014) and 77% CEOs believe that their CMOs fail to link marketing activities to meaningful results (Fournaise Marketing Group, 2013).

While there are several dominant streams of studies on MPMS, the central focus of the current research is on understanding how to utilise MPMS to achieve better firm performance. Although there is no clear consensus on the definition of MPMS, drawing on the control system theory and previous studies (Morgan et al., 2002), the authors define MPMS as “an important organizational control system that senior management uses to measure marketing activities through a bundle of interrelated key marketing metrics, in order to monitor, control marketing performance and ensure that marketing resources are allocated and marketing strategies are implemented to achieve the desired goals of an organization” (Liang & Gao, 2015).

So far, scholars have developed some understandings of the mechanism underlying the MPMS-performance linkage, though some issues remain under-explored. There is still a gap in how MPMSs influence firm performance, the so called “indirect effects”, especially from a capability-development lens. As noted by Homburg et al. (2012), “the development of more sophisticated research models that take into account indirect effects (of MPMS) on firm performance and contingent factors” (p. 57) should be emphasised in the marketing literature.

To fill in the gap, this study tends to examine the process in which specific firm-level capabilities generated from MPMSs affect firm performance. Drawing on the RBV theory, this study posits that MPMSs positively influence firm performance through their impact on the development of architectural marketing capabilities. Specifically, this current study looks at the mediating effects of planning and implementation capability, which have received greater attention recently due to their role in strategic marketing management.

The primary objective of the paper is to investigate the mediating effect of architectural capabilities in the MPMS-performance relationship. The contribution of the current study is to present a model that bridges the gap of our knowledge of the mechanism underlying MPMS-performance linkage through a capability-development lens (Figure 1). By examining firm-level capability, scholars are able to further explore the indirect effect in the MPMS-performance relationship.
2. An Integrated Conceptual Framework

The model looks at how a comprehensive marketing performance measurement system improves firm performance by enabling firms to develop their marketing planning and implementation capabilities. Taking a resource-based view, this study posits that MPMS enhances firm performance by developing architectural capabilities that enables firms make better marketing plans and carry out the plans more effectively.

![Figure 1 The Research Framework](image)

2.1 Comprehensiveness

Similar to other control systems, MPMS also emphasizes the “comprehensiveness” of marketing performance measures. Marketing scholars note that in order to fully capture marketing performance, firms need to use multiple and interrelated marketing metrics (e.g., output, input, financial, non-financial) to reflect marketing strategies and reveal causal relationships. Therefore, marketing metrics are used as an effective tool to link marketing measurement practices to business strategies.

Most scholars favour the idea that a comprehensive marketing performance measurement system is beneficial to firms. The multiple measures provide various sets of feedback and environmental information, e.g., customer preference information, market changes and competitor information, to firms. The information is valuable because it increases firms’ market knowledge and aids in decision making, thus ultimately influencing firm performance (Homburg et al., 2012; Morgan et al., 2002).

In addition, according to the strategy-focused organization (SFO) theory, MPMSs are introduced as an effective tool to translate marketing strategy into operational objectives and measurable targets (Kaplan & Norton, 2001), thus achieving strategic alignment between marketing performance measurement practices and firm strategies. Therefore, firms will benefit from a comprehensive MPMS because it enhances firms’ ability to formulate and implement marketing strategies.

The causal models describe the cause and effect within marketing-relevant parts of the value chain, which provide valuable information for decision making and organizational communication (Malina & Selto, 2001). Therefore, comprehensive measures also help employees better understand and clarify their roles, leading to superior
staff related performance (Burney & Widener, 2007). These analysis leads to the following proposition:

*Proposition 1: A comprehensive MPMS is positively related with firm performance.*

2.2 Architectural Marketing Capability

Architectural marketing capabilities are conceptualized as the planning-related capabilities that are involved in selecting strategic marketing objectives (Morgan, 2012) and implementing-related capabilities that are associated with the achievement of marketing strategies (Morgan, 2012). Architectural marketing capabilities require firms to gather information from the environment for the development and implementation of marketing plans (Morgan et al., 2003).

Regarding the relationships between MPMS and architectural marketing capabilities, the SFO theory (Kaplan & Norton, 2001) well explains the effects of MPMS on marketing strategy implementation and formulation. SFO model argues that the comprehensive measurement system contributes to firm performance through five possible sources: (1) the translation of marketing strategy into operational terms, (2) the alignment of various processes and units of an organization, (3) the top management support for the system, (4) the implication of employees in the implementation of the system, (5) the introduction of strategy as a continuous process. When MPMS is used to monitor marketing performance and focus attention, marketing strategy is translated and communicated through the hierarchy of the organization. As a result, all levels and units can understand marketing strategy, which leads to better marketing implementation.

From a knowledge-based perspective, market knowledge generated by MPMS is found to be positively related to both marketing planning and implementation capabilities (Homburg et al., 2012; Morgan et al., 2003). Under an export venture context, Morgan et al. (2003) provide empirical evidence supporting the positive role of market-related informational knowledge and architectural marketing capabilities. Morgan et al. (2012) further point out that market knowledge can be translated or transformed to marketing planning and implementation capabilities through accumulated environmental learning and the development of organizational routines. Since MPMS enables firm to collect, analyse and interpret information more effectively and on a regular basis, this study suggests that MPMS leads to better marketing planning capability.

In this regard, given that MPMS enables firms to fully explore and analyse the information embedded in marketing measures, this study posits that MPMS influences marketing implementation capability. Therefore, this study formulates the following proposition:

*Proposition 2: MPMSs are positively related to firms’ architectural marketing capabilities.*
Previous studies argue that architectural marketing capabilities contribute to firm performance by directing the coordination needed to ensure that specialized marketing capabilities, e.g., pricing capability and communication capability, are implemented effectively (Vorhies et al., 2010). The argument has been supported by empirical studies in which the positive associations between architectural marketing capabilities and different types of firm performance have been explored and supported in different contexts (Morgan et al., 2003; Vorhies et al., 2010). For example, marketing planning and marketing implementation capabilities are found to positively influence market effectiveness and market profitability (Vorhies et al., 2010), adaptive performance (Morgan et al., 2003), relative performance compared to competitors (White et al., 2003), and customer-centric performance (O’Cass et al., 2012). These studies are in line with the argument that architectural marketing capabilities are the key drivers of firm performance (Day, 1994; Morgan, 2012).

Therefore, in line with the existing literature, the study supports the positive relationship between architectural marketing capabilities and firm performance and proposes the following:

Proposition 3: The architectural marketing capabilities are positively associated with firm performance.

Proposition 4: The architectural marketing capabilities mediate the relationship between MPMS and firm performance.

3. Implications and Conclusions

The model has applied the RBV theory to explain the variance in firm performance in the marketing performance measurement literature. As such, the model has some important implications for researchers and practitioners.

3.1 Theoretical implications

Whether a comprehensive MPMS is better than a partial one has been a heated topic in the marketing management literature, this piece of work contributes to the discussion by revealing how a comprehensive MPMS is beneficial to firm performance. The research model attempts to look at how a comprehensive MPMS is associated with firm performance and how these linkages are mediated by marketing capabilities.

While scholars have been trying to explore the rationale behind which marketing performance measurement system drives firm performance, less attention has been paid regarding how MPMS is used to enhance firms’ capability in ways that can help improve firms’ ability to make strategic plans and carry out these plans. Thus, the mediating effect of architectural marketing capability in the MPMS-performance linkage is a significant contribution to the marketing performance measurement literature.
3.2 Managerial implications

The study has important implications for managers to consider how they should design MPMS to make sure “what gets done gets measured” and “what gets measured also gets done”. On the one hand, the framework explicates which specific attributes of a comprehensive MPMS may be more influential in improving firm performance. On the other hand, it provides a rationale for how a comprehensive MPMS leads to superior firm performance by building up architectural marketing capabilities, which provides managers with insight into how to operate MPMS for internal strategy making and implementation processes.

3.3 Conclusions

Developing a good understanding of how MPMS is related to firm performance is a crucial task for both academics and practitioners. The framework applies resource-based view to the marketing performance measurement literature in an effort to provide an integrated framework linking MPMS and firm performance through a capability-development lens. This study opens a new angle to understand how a comprehensive MPMS contributes to superior firm performance through the mediating effect of architectural marketing capabilities.

*Note: This is a research in progress paper. The authors are collecting quantitative data at the current stage.

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A Research on Channel Conflict’s Types and Solution Choice—Channel Relationship Strength Perspective

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ABSTRACT

Because of the inevitable conflict between channel members, it has important value to explore the conflict resolution mode. The research discusses the relationship between attitude response, conflict types and its’ solve measurement, and the intermediary effect of channel members’ relation strength. The study found that: different types of channel conflict, the attitude of channel members and intends to solve in different ways, functional conflict occurs, tend to adopt negotiation mode; the strength of the relationship between channel members is different, the face of the conflict to be taken to solve the different ways, strong relations tend to adopt negotiation mode, weak relationships tend to take hard solution; conflict attitude and reaction time of channel members is different, the methods for solving different ways; resistance characteristics of the channel members tend to take hard way, compromise type traits of the channel members tend to adopt negotiation mode.

Keywords: Channel conflict, solution Choice, relationship strength

1. Theoretical background

According to the definition of Zhuang Guijun (2004) about channel conflict which refers that a channel members are aware of the other channel members to obstruct or interfere with the efficient operation of their own goals or are engaged in some kind of harm and threaten its interests, or to the detriment of their interests at the expense of Get scarce resources activities.

Renowned marketing experts Stern and Gorman (1969) first proposed the discussion of the nature of the conflict of marketing channels, "When we put the marketing channels as a social system, channel members constitute an interdependent network. Any channel members action will affect the interests of other members of this interdependence is the basis of the actual channel conflict arising. "Channel conflict is a system that they believe the process of change, including members of the task environment and changes in the nature of conflict has two different: the devastating conflict and constructive conflict, channel members have to depend on each other, but they inevitably have to compete with each other and even conflict.
Relationships are one of two or more parties have taken place between the affected person to person through contact or a contact formed "psychological connection" (Li Miao, 2001); a "practical activities in the real world through exchanges and the formation of a psychological relationship between human beings (including cognition, emotion) and the corresponding behavior "(Yue Guoan, Wang Xiaoxia, Wang Xiaow, 2002). Chinese people do business is very particular about personal relationships, for reasons both cultural aspects, but also the legal and institutional aspects. Therefore, when exploring the marketing channel conflict Chinese enterprises must consider the role played by human relationships.

Stern and El-Ansry (1992) think that "the motivation behind channel alliance is to improve channel marketing value or reduce the total cost of the channel, thereby improving the performance of the channel." Kevin (2004) believes the behavior of conflict management should be divided into confrontational handling behavior, inclusive behavior and cooperative behavior handle processing behavior. Jong (2004) put that the channel conflict solution can be divided into five categories: Exit conflict, compromise, forced, smooth, problem solving, and the consequences of the link between the five conflict handling and conflict closely. Zhou Xiaolian and Zhuang Guijun etc. are considered "Relationship marketing is an effective way to prevent harmful channels channel conflict, and proposed and summarized the commonly used channel conflict specific solutions: problem-solving method, method of persuasion, bargaining law and the law of third-party intervention (Zhou Xiaolian, Zhuang Guijun, 2004)."

Through the review of some literature we could discover that domestic and foreign scholars go further for more in-depth study of channel conflict, but also provides a solution to channel conflict and measures some specific ideas, but the current studies are more concentrated in the channels causes, effects and solutions. Such as less explain in how to target to reduce the negative effects of devastating conflict, or play a constructive and positive role conflict, affecting the value of channel conflict studies in business management. Secondly, the current study explored the phenomenon of conflict directly from the cause of conflict and then select the solution of the research for the study of conflict and its solution provides an analysis of ideas, but this study ignores the dynamic evolution path and channel conflict occurred the complexity of the act itself, but according to the immediate attitudes or reactions and actual interpersonal mediating role of channel members, and then discuss how to take the most appropriate solution, this is another useful analysis ideas, but also more in line with emphasis on relationships, market irregularities the Chinese channel context.

2. Research design and hypothesis
2.1 Research design

Our analysis tries to explain the following questions: (1) With different types of channel conflict, what is the difference about the attitude between the channel members to be taken to solve the problems? (2) With the strength of the relationship between members of different channels, what is the differences of the way to be taken in the face of conflict? (3) Giving to the different conflict attitudes and reactions of the different channel members, is there any difference the way they have taken?

Our analysis was designed a model to aim at "the nature of corporate marketing channel conflict influence on solving approach". It covers the basic ideas and research relevant variables involved in Figure 1.

Figure 1: The conception model and analysis framework of "nature of the conflict - the solution"

Our analysis chooses channels as the original variable nature of the conflict, explore the attitudes and the impact or change the channel members in the main conflict in the face of the different nature of the two kinds of channels, while adding the mediating variables relationships, to discuss the change of the attitude of a tendency between different strength of relationship of the choice of solving the conflicts, regarding the solution as the final the dependent variable. The study set two conflict situations (functional conflict or constructive conflict) as well as the close relationship between the two different degrees experiment (strong relationship, weak relationship). a) under the same conflict situations, measuring subjects' attitude response and conflict between different relationship intensity of solution choices, whether analyze the relationship between the intensity can significantly affect the subjects of conflict resolution mode selection; b) under the same relationship intensity
conflict situations whether it significantly affect the subjects of conflict resolution mode selection; c) For further measurements, holding different conflict reaction outlook or attitude will lead to the subjects of conflict resolution change. Designed as 2 * 2 different scenarios, each combination was investigating 100 subjects (members represent channels) experiment.

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<td>situation</td>
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<th>2.2 Hypothesis</th>
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| **Hypothesis 1**: With different types of channel conflict, channel members would have different attitudes and solutions to be taken.

H1a: When functional conflict happens, the members tend to take mild negotiations to solve the conflict.

H1b: When the devastating conflicts happen, the members tend to take a rigid solution.

According to Philip Kotler's classic study conclusions and Zhuang Guijun' conclusions about channel conflicts that destructive conflict compared to functional conflicts, conflicts often involve substantial conflicts of interest, with a "zero sum game" feature; in marketing practice, destructive conflict is often difficult to reach an agreement between the parties through consultation communicate, their solutions tend to resort to legal or arbitration. Therefore, we propose hypotheses 1.

**Hypothesis 2**: With the strength of the relationship being different, channel members tend to take different solutions.

H2a: Channel members tend to get Negotiation communication with strong relationship.

H2b: Channel members tend to take rigid solutions with weak relationship.

Previous studies have shown that the relationship between channel members can reduce the frequency and intensity of conflict between them. According to preliminary interviews and empirical observation, if there is a good working relationship and channel relationships, even among members of the violent clashes occurred channel conflicts, the two sides have smooth communication channels, to commence negotiations and consultations; and if the relationship have low intensity conflict, the benefit party are often cynical and does not consider the feelings of the injured party, but attributed the reasons to other causes of the conflict such as
environment, force majeure, etc., they do not take the attitude of cooperation and consultation in resolving the conflict. On this basis, the proposed hypothesis 2.

**Hypothesis 3**: Channel members who uphold the response or attitudes toward different conflict, their solutions will be different.

- **H3a**: The channel members who are resistant tend to take a rigid solution.
- **H3b**: Channel members who are compromise tend to take mild negotiations.

The channel members are different from each other in market, with different businessmen believe in the philosophy and the concept of conflict so their attitudes are not the same reaction, some channel members have insisted that the face of the conflict we should argue, and hold that kindness people are more easily being bullied" and some also hold that" doing business with harmony and for your gas to make money together". There are all kinds of ideas in channel members' attitudes and perceptions about the tendency of the channel conflicts. Combined with previous studies, our study proposes hypothesis H3.

### 3 Data Collection

In this paper, the questionnaire has been set up based on the real case, "Nanchang department store events", and with business channel conflict scenario occurring simulation which we designed, basing on the collection and collation of information on a large number of domestic and foreign literature and combining with relevant experts’ advice and recommendations, we have referenced existing literature mature attitude Likert scale and designed two different structures conflict scenario simulations.

Before the official start of the draft questionnaire survey, we have conducted a pilot study of 20 MBA students to understand the following discussion of issues and improve the comprehensive expert opinion to determine the final questionnaire. Due to be subjected to the experimental methods and the difficulty of inviting real working channel members to participate in the experimental, we have surveyed with MBA graduate and undergraduate students for marketing research object, and carry out simulations and scale investigation under controlled conditions. We distribute 114 copies of the questionnaire and get the ultimate recovery of 100 complete copies of valid questionnaires.

In order to understand the general characteristics of the sample for a more realistic and reasonable data to explain the Channel conflict influence attitudes toward nature produce different reactions of channel members, at the same time we’d better take the strength of the relationships between channel members into account to discuss whether an impact on the attitude of the orientation of the channel members, and to explore which factor more tend to be consider with conflict solutions of between channel members. This paper mainly uses different kinds of analysis of the
data methods such as descriptive analysis, statistical reliability and validity testing and factory analysis.

4. Empirical Analysis
4.1 Reliability and validity test
Consistency and reliability test: After screening samples, it shows each sample questions of the same scale of approval or disapproval of the responses with no conflicts, differences and singular value. Reliability test showed that Cronbach of the Variable of the members' attitudes to conflicts and the relationship and the solutions was 0.705, while the overall scale reliability was 0.702. Taking into account the number of questions of this study which may cause low reliability by excluding questions of scale is little. So there may be actual sampling error and in studies that we also think 0.7 is in the acceptable range.

Stability Analysis: by comparing the measured values of the scale of previous 20 survey questionnaires with formal research questions of the questionnaire, one by analysis of variance and pairwise comparison, there was no significant difference between before and after all the variables, so that proved the display has a higher scale questionnaire stability.

It loads rotation matrix composition of each question item displayed in Table 2, FAC1 that appears absolute larger coefficients value are: title 9 (I must retaliate with who had violated my interest, otherwise I would be bullied next time), title 4 (good people are always more easily being bullied by others, I must be ready to fighting to do business with others), title 2 (B' behavior is out of order, I have to stop cooperation and ready to take retaliatory behavior), title 7 (disappointed and to wait for a favorable opportunity to make counter preparations), according to the representatives of the significance variables, the mood of channel members have been very intense, you must select the tit for tat or immediately take measures to protect their own interests against the behavior; FAC1_1 represents a resistance factor, the title 2,4,7,9have higher degree of identity ("1" means strongly agree in table). The sample is representative of its members belong to the channel resistance-type qualities, this type of channel members always advocates argue when facing conflict.
Table 2: Rotated Component Matrix

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<th>FAC2</th>
<th>FAC3</th>
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<td>0.785</td>
<td></td>
<td></td>
</tr>
<tr>
<td>title(4)</td>
<td>0.768</td>
<td></td>
<td></td>
</tr>
<tr>
<td>title(2)</td>
<td>0.712</td>
<td></td>
<td></td>
</tr>
<tr>
<td>title(7)</td>
<td>0.590</td>
<td></td>
<td></td>
</tr>
<tr>
<td>title(1)</td>
<td></td>
<td>0.732</td>
<td></td>
</tr>
<tr>
<td>title(3)</td>
<td></td>
<td>0.683</td>
<td></td>
</tr>
<tr>
<td>title(10)</td>
<td></td>
<td>0.591</td>
<td></td>
</tr>
<tr>
<td>title(8)</td>
<td></td>
<td>0.461</td>
<td></td>
</tr>
<tr>
<td>title(6)</td>
<td></td>
<td></td>
<td>0.811</td>
</tr>
</tbody>
</table>

Note: The extraction method - the main ingredient; rotation method: a Kaiser standardized orthogonal rotation method. Rotation after five iterations convergence; omitted load smaller questions of measurement.

The larger absolute coefficients values in FAC2 are: title 1 (doing business with harmony, try not to damage the relationship at last), title 3 (to make concessions on the issue of non-principle in order to fight for the greater good on key issues), title 10 (to avoid conflict on the strong opponent, otherwise it is difficult to do business in the future), title 8 (it not continues struggle as good as we chose to withdraw), these four variables represent the attitude of channel members who choose to avoid compromising towards the channel conflicts, but still have some hopes for a favorable change in the future cooperation so that it will be named FAC2_1 as a **concession factor**. Title 1, 3, 6, 10 have higher acceptance in the sample of scale, these channel members' traits are compromised.

The larger absolute coefficients values in FAC3 are: title 6 (relationship built is not easy, but if not change in the future, there is no sense to continue to cooperate). title 7 (very disappointed, ready waiting for the opportunity to stop cooperate, but nothing to do with friendship) and so on, these variables represents the channel members cooperate fully with the current concession, to a large extent has resulted in disappointment on the cooperation and is likely to ready to stop cooperation in the future, it will be named FAC3_1 as a **disappointment factor**. Title 8 have higher acceptance in the sample of scale that channel members are disappointed, expressed frustration on the conflict, but had no choice but to find a suitable way.

4.2 Factory analysis

4.2.1 The factory of the channels members' attitudes and reactions

The value of KMO and Bartlett's test is 0.678, nearly reached the requirements of factory analysis; the observation Bartlett statistic is 230.311 which is less than significant level of 0.05, indicating that there are significant room questions of relevance. So it is appropriate to use factor analysis with this question.
The questions 1-10 of scale represent the views and attitudes of the conflict channel members, through factory analysis and max variance rotation method to extract the first three component eigenvalues that are greater as a common factor, which is focused on three factors 60.0% of the total variance, respectively explained 25.5%, and 19.8%, 14.739% of the total variance and in line with the common factor in the selection criteria. At the same time, by testing further eigenvalues scree plot, it also shows the three factors that are appropriate.

4.2.2 The factory of channel member conflict solution

The questions 11-16 of Scale is reflected the solutions to be taken to resolve the conflict or the behavior tendencies by channel members in the face of the channel conflicts. By KMO and Bartlett's test and the correlation between the test subject, it shows the scale data KMO test value 0.727, indicating that there are significant room questions of relevance; Bartlett’s Test of sphericity observation statistic is 132.1, corresponding probability P is close to 0, it should reject the null hypothesis that there is a significant difference, so using factory analysis for the channel members questions of conflict resolution is appropriate.

All the main components of the total variance of the original variables explain the situation, and this analysis extracted the first two components of a common factor that eigenvalues greater than 1 as these two factors focus on the 60.3% of the total variance and explained respectively 36.8%, 23.452% of the total variance, it is in line with the common factor of the selection criteria. At the same time, it also shows the two factors are taken appropriate by testing further eigenvalues scree plot.

It loads and rotational component output rotation matrix in Table 3. FAC4 factor that appears absolute larger coefficient value are: title (11) (for the common good, to discuss bilateral friendly cooperation in the interests of the business and distribution program), title (12) (to find other person or authority and trust of the parties to the mall in charge of coordination and management), title (13) (by persuading B to accept cooperation program), title (16) (To find each in consultation with sincerity impress each other to achieve equality of negotiations), according to the representatives of the significance of variables that means through persuasion and communication to mediate the conflict, to achieve continued cooperation, it represents the negotiation FAC4 communication factor.
Table 3: Rotated Component Matrix

<table>
<thead>
<tr>
<th>option</th>
<th>FAC4</th>
<th>FAC5</th>
</tr>
</thead>
<tbody>
<tr>
<td>title (11)</td>
<td>0.752</td>
<td></td>
</tr>
<tr>
<td>title (12)</td>
<td>0.691</td>
<td></td>
</tr>
<tr>
<td>title (16)</td>
<td>0.656</td>
<td></td>
</tr>
<tr>
<td>title (13)</td>
<td>0.566</td>
<td>0.796</td>
</tr>
<tr>
<td>title (15)</td>
<td></td>
<td>0.609</td>
</tr>
<tr>
<td>title (14)</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Note: The extraction method - the main ingredient; rotation method: a Kaiser standardized orthogonal rotation method. Rotation after five iterations convergence; omitted load smaller questions of measurement.

The larger absolute values in FAC5 of coefficients are: title (14) (to seek arbitration and judicial institutions to intervene just settlement), title (15) (using other cooperation forced B to participate in the negotiations to make concessions), which mainly represents the use of two variables judicial authority or the means and ways to solve tough problems, factor FAC5 will be named as rigid solutions.

4.3 Hypothesis test
4.3.1 Types of conflict and solution selection

According to hypothesis H1 (With different types of channel conflict, channel members would have different attitudes and solutions to be taken), this paper adopted by ANOVA and paired sample mean test with two different types of conflict situations for subjects' solutions (excluding the impact of the strength of the relationship); The analysis method is to analyze the mean difference between the two conflict situation group.

The results show that Scenario 1 (constructive conflict) and Scenario 2 (destructive conflict), the mean of the subjects who take "negotiation of communication" to resolve the conflict was 2.050 and 2.270; that means the subjects who were tested for take "negotiation communication 'willingness to resolve the conflict and the tendency is high when dealing with constructive conflict, and it has showed a significant difference in paired samples test. Therefore, we could assuming that H1a was proved correct.

Similarly, with Scenario 1 and Scenario 2, the mean of relevant subjects who take "rigid solution" to resolve the conflict is 2.943 and 2.838; that means the difference of subjects who take "hard solution" to solve conflicting is not absolute and it is closer to 3 under the same relationship intensity ("3" indicates no significant attitude). That puts, no whether facing with constructive or destructive conflict, the subjects choose to tend to ambiguous attitude, neither satisfied to take negotiations to resolve communication (in fact, the past study and interviews confirmed that there is no consultation space in destructive conflict), and they are reluctant to adopt rigid solution, but in the middle of them. So, H1b is not proved correct.
Table 4: Mean and Standard Deviation of Paired-Samples

<table>
<thead>
<tr>
<th>Solution</th>
<th>Relationship</th>
<th>Mean</th>
<th>standard deviation</th>
<th>SE Mean</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mild negotiation</td>
<td>Situation 1</td>
<td>2.050</td>
<td>0.596</td>
<td>0.042</td>
</tr>
<tr>
<td>Mild negotiation</td>
<td>Situation 2</td>
<td>2.270</td>
<td>0.607</td>
<td>0.043</td>
</tr>
<tr>
<td>Rigid solution</td>
<td>Situation 1</td>
<td>2.943</td>
<td>0.723</td>
<td>0.051</td>
</tr>
<tr>
<td>Rigid solution</td>
<td>Situation 2</td>
<td>2.838</td>
<td>0.842</td>
<td>0.060</td>
</tr>
</tbody>
</table>

Table 5: Paired-Samples T Test

<table>
<thead>
<tr>
<th>Solution</th>
<th>Situation</th>
<th>Mean</th>
<th>standard deviation</th>
<th>SE Mean</th>
<th>t</th>
<th>Sig.(Bilateral)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mild negotiation</td>
<td>Situation1-2</td>
<td>-0.22</td>
<td>0.605</td>
<td>0.043</td>
<td>-5.139</td>
<td>0.001**</td>
</tr>
<tr>
<td>Rigid solution</td>
<td>Situation1-2</td>
<td>0.105</td>
<td>0.920</td>
<td>0.065</td>
<td>1.615</td>
<td>0.319</td>
</tr>
</tbody>
</table>

H1 partially substantiated; Specifically, participants were more inclined to take the negotiation of communication when dealing with constructional conflict; the hypothesis of the subjects tend to assume a rigid solution when dealing with devastating conflicts has not been confirmed.

4.3.2 Strength of Relationship and Solution

For H2 (With the strength of the relationship being different, channel members tend to take different solutions), we adopted ANOVA and paired sample mean analysis to test solutions by subjects between the two different types of relationship; the method is to analyze the mean difference between the two groups in their solutions for different relationship.

Table 6: Mean and Standard Deviation of Paired-Samples

<table>
<thead>
<tr>
<th>Solution</th>
<th>Relationship</th>
<th>Mean</th>
<th>standard deviation</th>
<th>SE Mean</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mild negotiation</td>
<td>strong</td>
<td>2.094</td>
<td>0.554</td>
<td>0.039</td>
</tr>
<tr>
<td>Mild negotiation</td>
<td>strong</td>
<td>1.963</td>
<td>0.685</td>
<td>0.049</td>
</tr>
<tr>
<td>Rigid solution</td>
<td>weak</td>
<td>2.390</td>
<td>0.769</td>
<td>0.054</td>
</tr>
<tr>
<td>Rigid solution</td>
<td>weak</td>
<td>2.755</td>
<td>0.723</td>
<td>0.051</td>
</tr>
</tbody>
</table>

The results showed that both the mean of the different relationship of subjects to take "negotiation of communication" to resolve the conflict was 2.094 and 1.963, and the values with tendency to take the wishes of rigid solutions are 2.390 and 2.755; which explain that when a conflict occurs, as the two sides are more likely to take the negotiation of communication with "strong relationship"; on the contrary, both sides are more inclined to adopt a rigid solution with "weak ties", and the result of paired sample test showed that it has a significant difference. So H2a, H2b are proved correct.
### Table 7: Paired-Samples T Test

<table>
<thead>
<tr>
<th>Solution</th>
<th>Situation</th>
<th>Mean</th>
<th>Standard deviation</th>
<th>SE Mean</th>
<th>t</th>
<th>Sig. (Bilateral)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mild negotiation</td>
<td>Situation 1-2</td>
<td>-0.131</td>
<td>0.639</td>
<td>0.045</td>
<td>2.905</td>
<td>0.004**</td>
</tr>
<tr>
<td>Rigid solution</td>
<td>Situation 1-2</td>
<td>0.365</td>
<td>0.981</td>
<td>0.069</td>
<td>5.083</td>
<td>0.000**</td>
</tr>
</tbody>
</table>

### 4.3.3 Attitude or reaction and solution

For H3 (Channel members who uphold the response or attitudes toward different conflict, their solutions will be different), we have analyzed different attitudes of conflict-related reactions and solutions that the subjects were going to take to; the test methods is testing correlation between variables of attitude and reaction with conflicts.

### Table 8: correlation analysis

<table>
<thead>
<tr>
<th>situation</th>
<th>relationship</th>
<th>Attitude and solution of conflict</th>
<th>correlation</th>
<th>Sig. (Bilateral)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Constructive conflict</td>
<td>weak</td>
<td>Resistance-rigid solution</td>
<td>0.188**</td>
<td>0.008</td>
</tr>
<tr>
<td>Constructive conflict</td>
<td>weak</td>
<td>concession-mild negotiation</td>
<td>0.373**</td>
<td>0.001</td>
</tr>
<tr>
<td>Constructive conflict</td>
<td>strong</td>
<td>Resistance-rigid solution</td>
<td>0.214**</td>
<td>0.008</td>
</tr>
<tr>
<td>Constructive conflict</td>
<td>strong</td>
<td>concession-mild negotiation</td>
<td>0.209*</td>
<td>0.033</td>
</tr>
<tr>
<td>Destructive conflict</td>
<td>weak</td>
<td>Resistance-rigid solution</td>
<td>0.287**</td>
<td>0.002</td>
</tr>
<tr>
<td>Destructive conflict</td>
<td>weak</td>
<td>concession-mild negotiation</td>
<td>0.165*</td>
<td>0.040</td>
</tr>
<tr>
<td>Destructive conflict</td>
<td>strong</td>
<td>Resistance-rigid solution</td>
<td>0.431**</td>
<td>0.001</td>
</tr>
<tr>
<td>Destructive conflict</td>
<td>strong</td>
<td>concession-mild negotiation</td>
<td>0.193**</td>
<td>0.006</td>
</tr>
</tbody>
</table>

The results show: under different conflict situations (constructive conflict and destructive conflict), with a different strength of relationship (strong or poor), channel members who have rebellious traits tend to take a rigid solution, some who are compromise tend to take mild negotiation with each other, so H3a and H3b are proved correct. The correlation coefficient between them as shown in Table 8.

### 5. The conclusions

With different types of channel conflict, channel members would have different attitudes and solutions to be taken, when functional conflict happens, the members tend to take negotiations communication to solve the problem, When the devastating conflicts happen, the members tend to take a rigid solution. Compared to functional conflict, it is considered destructive conflict often involve substantial interest with a "zero sum game" feature in Western classical marketing literature; while in marketing practice, it is often difficult to communicate through negotiation between the parties to make an agreement when dealing with destructive conflict, so that the solution is
often to resort to legal department or arbitration. However, in our study, this hypothesis to take affect solution to dealing with devastating conflict has not been confirmed. Chinese people advocating "harmonious literature "may be one of the reasons, so they first adopted a mild negotiation way, rigid solutions would be last option to be considered.

With the strength of the relationship being different, channel members tend to take different solutions which illustrate there is some certain adjustable work with the good relationship between the channel members of both parties when taking a possible solution. They tend to take the rigid way when existing a weak relationship, but make a mild negotiation with strong relationship, that has Confirmed the inference before the interview: when a conflict occurs, if there is a good channel relationships, even among members with the violent clashes, both sides have smooth communication channels and negotiated settlement will, in addition, because of the conflicting parties have the sensibilities and based on continued cooperation in the future, and leave room dealing with the conflict ,otherwise if the relationship is little poor, the one who are often cynical side benefit will not consider the feelings of the injured party, but will attribute conflicts to environment, force majeure factors or other reasons, and always do not take collaborative approach in negotiations to resolve the conflict.

Under a comprehensive comparison of different conflict situations and different relationships, the channel members' attitudes, reactions and solutions to be taken are different, specifically. The channel members who are resistant tend to take a rigid solution and channel members who are compromise tend to take mild negotiations. But our research has not confirmed the conclusion about which solution the disappointed channel members would like to take, these channel members may be disappointed that their solutions are not included in this study and take other conflict resolution methods out of our options (such as complain? Or stop cooperation?), it deserves further study.

6. Management Revelation

The nature of corporate marketing channel conflicts determines the reaction attitude of channel members, while the intervening variable of relationships also significantly affect the attitudes of channel members and ready to take the solutions, it obviously tempers intense reaction. given the good relationships makes channel members tend to compromise and gentle solutions, so that exchange for the possibility of further cooperation.at the same time, the harmonious future cooperation also depends on the degree of cooperation between the two sides, if the conflict evolved into a more severe degree of destructive conflict, and then the attitude of the channel members is more likely to change to resist revenge, finally both of them get unprofitable till the bitter end. Therefore, the enterprises can properly determine the
attitude or reaction of channel members according to the nature of the internal and external channel conflict, following this idea to take appropriate and effective solutions.

Therefore, in one sense, channel members should not only focus on the interests of the rich intersection of bilateral business cooperation, through joint efforts to expand the market share of products to share interests; but also should pay more attention to deep relationships between channels members who can transform the role of equitable business partners into the mutually supportive friend, this change can not only effectively reduce the likelihood of conflict, and also helps to take better solution to resolve all the conflicts.

References

2. Li Linwei, Zheng Zhiqing, the business cooperation between competition, conflict and alliance success Based on the perspective [A]. Science of Science and Management of S.&T., 2013, (8):64-72
Appendix:

The nature of enterprise channel conflict and solution questionnaire

Situation 1: In a large department store, A Brand B Brand suppliers and suppliers often have unpleasant negotiations and arguments due to product overlap and intersection in and procurement logistics business, both sides are aware this unharmonious situation which cannot be a vicious cycle to continue, but both of them hope to account for dominance let the other compromises in business. In fact, the two sides have been part of the business under the cooperation, there is no overlap of business, but if cooperation can be achieved cost-sharing, risk-sharing.

If you are one of suppliers, and B is responsible people you don't know, think about the followings.

<table>
<thead>
<tr>
<th>Title</th>
<th>The attitudes in Conceptions and Solutions</th>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
<th>5</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>doing business with harmony, try not to damage relationship at last</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.</td>
<td>B' behavior is out of order, I have to stop cooperation and ready to take retaliatory behavior.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.</td>
<td>To make concessions on the issue of non-principle in order to fight for the greater good on key issues.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.</td>
<td>Good people are always more easily being bullied by others, I must be ready to fighting to do business with others.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5.</td>
<td>Continue to wait for each other to make concessions, but the good cooperation with the Party is undermine preparations.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>6.</td>
<td>If so long struggle continues, as we chose to withdraw.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>7.</td>
<td>To be disappointed and to wait for a favorable opportunity to make counter preparations.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>8.</td>
<td>Relationship built is not easy, but if not change in the future, there is no sense to continue to cooperate.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>9.</td>
<td>I must retaliate with who had violated my interest, otherwise I would be bullied next time.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>10.</td>
<td>To avoid conflict with too strong opponents, otherwise it is difficult to do business in the future.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>11.</td>
<td>for the common interest, to discuss bilateral friendly cooperation in the interests of the business and distribution program</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>12.</td>
<td>To find other person or authority and trust of the parties to the mall in charge of coordination and management.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>13.</td>
<td>By persuading B to accept cooperation program.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>14.</td>
<td>To seek arbitration and judicial institutions to intervene just settlement.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>15.</td>
<td>Using other cooperation to forced B to make concessions in participating in the negotiations.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>16.</td>
<td>To find each in consultation with sincerity impress each other to achieve equality of negotiations.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
If you are a supplier, but you and the supplier Party Leader have a good personal relationship, which will you choose?

<table>
<thead>
<tr>
<th>Title</th>
<th>The attitudes in Conceptions and Solutions</th>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
<th>5</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Basing on friendship, make concession for harmony to build deeper and more long-term friendship and cooperation.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.</td>
<td>Once a friend conflicts with interest, even though the results may not have to negotiate with him, I won't continue to cooperate with him.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.</td>
<td>Kindness people is always easily being bullied, doing business must be ready to fight with people which are even friends.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.</td>
<td>Leave yourself to consider the interests of friends so that to yield.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5.</td>
<td>As a friend, it seems that the need to make some preparations to fight is more urgent.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>6.</td>
<td>But as friends are more important, I should immediately stop cooperation and be ready to take retaliatory behavior.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>7.</td>
<td>Very disappointed, waiting for an opportunity to stop cooperation, but nothing to do with friendship.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>8.</td>
<td>Just for friendship to concession.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>9.</td>
<td>Regardless of friendship, someone who violate my interest must be retaliate, otherwise there will happen next.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>10.</td>
<td>On the non-principle issues, I can compromise to coordinate friends.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>11.</td>
<td>In order to maintain good relations with each other, friendly discuss the cooperation scheme on business of the benefits.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>12.</td>
<td>Finding the other for consultations to impress each other with sincerity to achieve equality bargaining.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>13.</td>
<td>Depending the friendship by the other, induces B to participate in the negotiations to make concessions.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>14.</td>
<td>Cooperation with interests, to seek arbitration and judicial institutions to join for a solution neglecting friendship.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>15.</td>
<td>Find other trusted person in authority or the parties in shopping malls in charge to such things.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>16.</td>
<td>Through a separate meeting with B to convince him with the cooperation program.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Situation2: A comprehensive department store chain that has been established for some years and completed reform, well-know in the city's business community has a "leader" status sitting on the center of the state-owned commercial joint-stock, is the first choice for many local consumers to shopping. With the expansion mall of the west branch, the various costs and expenses increased, so that the manager of the mall make a "treaty" in the for all suppliers, in addition to the high fees before existing, each supplier have to paid promotional fees 700 yuan which does not actually exist per month, and 300 yuan of new display fees, bar charges 500 yuan and festivals "deduction" 300 yuan costs. Now, if you are one of the brand suppliers.
**III: If you do not know the store manager in this market, but for this treaty, What would you do?**

<table>
<thead>
<tr>
<th>option</th>
<th>The attitudes in Conceptions and Solutions</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Accept it because the giant shopping malls are always to be so.</td>
</tr>
<tr>
<td>2.</td>
<td>Business is as a war which must be ready to fight in the end with a bargain.</td>
</tr>
<tr>
<td>3.</td>
<td>Even only weak force, I will be fight for my interest even if it need to Litigate.</td>
</tr>
<tr>
<td>4.</td>
<td>After all it is the leader mall, try to avoid conflict, otherwise it is difficult to do business in the future here.</td>
</tr>
<tr>
<td>5.</td>
<td>There will be other evacuation terms, I would be better prepared to withdraw.</td>
</tr>
<tr>
<td>6.</td>
<td>Another location will result in the conversion costs higher, just accepted for the present time.</td>
</tr>
<tr>
<td>7.</td>
<td>Where there is oppression, where there is resistance, combine with other big brand suppliers to quit together.</td>
</tr>
<tr>
<td>8.</td>
<td>Thanks to the higher population, I had to pay for long-term profit.</td>
</tr>
<tr>
<td>9.</td>
<td>Even if it would not be a good result in negotiations, the malls gets more interest, to make good preparation to leave.</td>
</tr>
<tr>
<td>10.</td>
<td>The giant mall has always gotten big interest, even non a little room for redemption.</td>
</tr>
<tr>
<td>11.</td>
<td>Threat the evacuation of the mall to negotiate and bargain for the best interests.</td>
</tr>
<tr>
<td>12.</td>
<td>Convince the manager of the mall to improve the terms and reduce costs and make concession for both.</td>
</tr>
<tr>
<td>13.</td>
<td>In conjunction with other brands suppliers to boycott the mall and report the conflict to the local industrial and commercial bureau.</td>
</tr>
<tr>
<td>14.</td>
<td>In order to maintain good relations, the two sides friendly negotiate to improve terms of program.</td>
</tr>
<tr>
<td>15.</td>
<td>Seek arbitration institutions intervene for a solution.</td>
</tr>
<tr>
<td>16.</td>
<td>Look for media to report overcharged treaty of the mall, and use the mass media to force the mall withdrawal.</td>
</tr>
</tbody>
</table>

**IV: If you are in good private friendship with the manager of the mall, what will you choose?**

<table>
<thead>
<tr>
<th>option</th>
<th>The attitudes in Conceptions and Solutions</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>If it is not a good friendship, I would revolt before, but now had to first accept the terms.</td>
</tr>
<tr>
<td>2.</td>
<td>Neither family is in Business, nor in friendship, not to accept the terms even if stop corporation.</td>
</tr>
<tr>
<td>3.</td>
<td>After that there will be other terms like this, or better prepared to withdraw evacuation.</td>
</tr>
<tr>
<td>4.</td>
<td>To accept and continue to wait and see if it is possible to</td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td>---</td>
<td>---</td>
</tr>
<tr>
<td>5.</td>
<td>On the crucial principle issues, the result is that we will continue to suffer even if with negotiations.</td>
</tr>
<tr>
<td>6.</td>
<td>Get angrier with the manager who is in charge of the mall, as a friend, choose to leave the mall.</td>
</tr>
<tr>
<td>7.</td>
<td>Just for friendship to concession to accept the term.</td>
</tr>
<tr>
<td>8.</td>
<td>After all, the mall is leader and try to avoid conflict, otherwise it is more difficult to do business in the future.</td>
</tr>
<tr>
<td>9.</td>
<td>Based on long-term relationship, to accept the terms at the present.</td>
</tr>
<tr>
<td>10.</td>
<td>Regardless of friendship, someone who violate my interest must be retaliate, otherwise there will happen next.</td>
</tr>
<tr>
<td>11.</td>
<td>In order to maintain good relations with each other, friendly discuss the cooperation scheme on business of the benefits.</td>
</tr>
<tr>
<td>12.</td>
<td>In conjunction with other brands to boycott the mall and report the matter to the local industrial and commercial bureau.</td>
</tr>
<tr>
<td>13.</td>
<td>Separate meeting with the manager to convince the manager to modify the treaty under the two sides retreating.</td>
</tr>
<tr>
<td>14.</td>
<td>Seek arbitration institutions intervene for a solution.</td>
</tr>
<tr>
<td>15.</td>
<td>Forcing the managers to change the treaty, otherwise quit.</td>
</tr>
<tr>
<td>16.</td>
<td>Look for media to report overcharged treaty of the mall, and use the mass media to force the mall withdrawal.</td>
</tr>
</tbody>
</table>
A Study of Group Consumption Mode

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ABSTRACT

The comprehension of the group consumption mode is the foundation of the grasping of future community-based market. In this paper, the external environmental factors and internal motivational factors impacting the group consumption are analyzed at first, and then, nine characteristic dimensions of the group consumption behaviors are summarized based on the current research literatures. With the two variables as the vertical and horizontal coordinates, namely the group relationship intensity and consumption action period, the group consumption mode is divided into four types, including the instrument-oriented, information-oriented, enjoyment-oriented and relationship-oriented, among which, the relationship-oriented consumption mode reflects the ideal form of the group loyalty, and it points out that consumption mode is dynamic, and it can evolve in two approaches, including the product identification and relationship identification. Finally, the marketing practice enlightenment is given.

Keywords: Group, consumption mode, dynamics, group loyalty

1. Introduction

No matter the academic circle or the business circle has been focusing on the group consumption behaviors, for instance, the study and operation of consumption community, brand community, etc. (Muñiz & O’guinn, 2001; McAlester et al. 2002; Zhou Zhimin, 2005; Schau et al, 2009; Tsai et al, 2012; Thomas et al. 2013). However, many enterprises are trying to establish communities for offering such benefits to consumers as the membership service, discount, etc. but fail to be stuck to consumers, for instance, the membership system of the department store, auto club of some auto brands, etc. Many members only join the community for temporary or even once, and it cannot form the constant actions. It seems that enterprises fall into some sort of misunderstanding about the group consumption mode.

On the other hand, the rapid development of social media gets consumers closer. The
consumer power has already developed to be the group resource-based power from the individual resource-based power (Labrecque, 2013), and consumers would take consumption activities in group form, which has already become one of the daily consumptions of the modern people, such as group purchase, relaxation, catering, activity, tourism, crowd-funding, etc. No matter in the online or offline market, consumers have presented the group trend. These connected consumers are changing the pattern of commercial world, and more and more scholars have pointed out that the marketing focus of the new age is to break the analysis unit of individual study, and study the consumption behaviors from the group level (Cova, 1997; Bagozzi, 2000; Kuenzel & Musters, 2007; Jafari et al. 2013).

Consumers in the new age have surpassed the role of consumers and developed towards the more complete “human” with more spiritual pursuit. They are no longer the “hunting object” of marketing strategy, but the leading role in consumption market, creating unique consumption experience. Consumers no longer accept the market or the community or identity created by the enterprise passively. New types of consumers are more positive and active, with abundant knowledge and they love to gather in the circles or communities formed by people of their own kind, and create unique consumption experience (Prahalad & Ramaswamy, 2005; Kolter, 2011). Kolter (2011) pointed out that the consumer circle / community was the footstone of future marketing. Godin (2008) thought that consumers are more willing to stand with other consumers, instead of being connected to the enterprise. Therefore, the support from consumer circle is the necessary condition for the success of marketing. That is to say, the loyalty of group is a significant topic in the sustainable development of new consumer age.

So how to gain the support from the consumption circle and the loyalty of group, the comprehension of group consumption mode is the key to this problem. The consumption mode is “a general summary of the standards and criterions followed by individual consumers in certain social form, as well as the consumption features determined” (Li Baoku, 2005). The group consumption mode shall be the standards followed by the group consumption and the features of group consumption determined. At present, there are few studies on the group consumption mode. In this paper, based on the previous studies, agents impacting the group consumption mode shall be sorted out at first, and then, the division of group consumption mode shall be discussed, and what are the consumption features in different group consumption modes. The consumption mode may change due to the influence factors; how different consumption models would evolve. Eventually, the marketing revelations and future study expectations are given.
2. Influence factors of the formation of group consumption mode

American scholar Boorstin paid attention to the problem of group consumption mode at first, and he discovered that consumers would get together in the process of determining what to consume and how to consume, and develop the relationship between individuals on the basis of the groups in geographic sense. This consumption group may hold the same consumption ideology or focus on the same products/service, and it was called the “consumption community” by Boorstin. Afterwards, scholars proposed different types of consumption communities, for instance consumption sub-culture (Schouten & McAlexander, 1995), brand community (Muñiz & O’guinn, 2001), consumption tribe (Cova & Cova, 2002). With the progress of internet and social media, the connection of consumers develops from online to offline, and as a result a series of studies on the virtual consumption community emerge (Hamilton & Hewer, 2010; O’Sullivan, 2010). Meanwhile, the occurrence of new business mode endows the group consumption mode with new expressive style, for instance, group purchasing (Jing & Xie, 2011), crowd-funding (Seog & Hyun, 2009), etc. these accumulated consumers gain the abilities of gathering, transferring and planning all kinds of resources, and benefit the individuals and distinct groups (Labrecque, 2013). Meanwhile, consumers have more executing power, being faster in the information transmission and consumption actions, for instance, the flash mob (Barnes, 2006). It can be seen that there are all kinds of forms of group consumption, as well as diversified factors impacting the formation of group consumption mode. In this paper, investigations are mainly conducted from two aspects, including the internal factor and external factor.

2.1 External factor

The development of economic technology offers material support to the group consumption. In agricultural society, the clustering of consumers is mainly reflected by the upper class. Drinking and tea-tasting is a significant part of the noble class and celebrities in China. People would gather to drink, taste tea and make poems, which has a far-reaching impact on the wine culture and tea culture in Chinese consumer culture. The medieval European nobility was fond of gambling, drinking and fighting due to the impact of hedonism, and many public consumption facilities occurred, such as the pit, opera house, etc. In the industrial society, the convenience of traffic instrument made the tourism as the main mode of group leisure consumption. Thomas Cook organized the members of alcoholic prohibition association to take trains for sight-seeing in 1841 for the first time, and then organized people in joining several domestic or overseas travelling. After the 20th century, the global economy developed rapidly, which turned the leisure consumption to be the fashion of society and cultural trend, such as the bowling, skating, KTV, swimming, etc. Family members and friends took part in the group consumption activities in more
ways, and many consumers sharing the same interest and hobbies got together and form the consumption community (Boorstin, 1974; Sun Chengzhi, 1999).

In the 21st century, the expansion of internet and social media technology turns the original linear interaction among consumers to the network and socialization interaction. They become the cooperators of enterprises in creating the value and consumption significance, and sometimes even the united resistors (Kozinets et al. 2010). The two technological factors change the interactive means of consumers: (1) Development of source code in the openness and interaction of hardware; (2) Software support reflecting the social exchange process (Labrecque et al., 2013). It offers diversified group activities and communication platforms for consumers, such as Wechat group, virtual community, etc. Consequently, group consumption is no longer limited to the offline, and it develops the online group interaction platforms, such as the virtual brand community, game community, etc. Meanwhile, the boundary of the online interaction and offline interaction is circulating and can be transformed mutually. Therefore, the group consumption activities also evolve to be the multi-channel interaction mode from the single offline activities, such as online interaction, offline interaction and mixed interaction, as shown in Fig. 1. The mixed interaction consists of two routes, namely the online-to-offline interaction, such as the self-driving activities of Autohome club, and the offline-to-online interaction, for instance, the Wechat agent-purchasing.

Fig. 1 multi-channel interaction of group consumption

Social environment is another significant factor driving the clustering of consumers. Maffesoli (1995) pointed out that at the end of the 20th century, western human society entered the post-modernity from the modernity, and people are reflecting on the social separation and sociality deficiency of individual life caused by the excessive individuality, and as a result, the social aggregation actions began reversely with the tribe as the foundation. The postmodern tribe consumers prefer achieving the significance of life through the social connection formed by one or several groups, instead of through the consuming behavior (Cova, 1997). In Chinese society, the circle culture provides fruitful soil for the group consumption activities. As long as there are people, there would be consumption, and as long as there are Chinese people, there would be circles. The establishment, maintenance and reinforcement of social relationship and operation of circles through consumption shall be a significant constituent part of the social life of each
Chinese people. Many consumption activities of Chinese people are carried out in circles, and the dinner party and entertainment, etc. are the common social contact means of the circles.

2.2 Internal factor

According to the sociology, there are two basic agents forming the social group. One is that the group can satisfy the instrumental demand, and finish the work that cannot be accomplished by individuals, so that individuals can gain more interest, for instance a project team. The other is that the group can satisfy the emotional demand, and members can gain the emotional support and opportunities of self-expression, for instance the circle of friends (Poptun, 2007). Bagozzi (2002) investigated the determinants driving the members participating in the virtual community. Based on the model of goal directed behavior, two social influence factors, namely the social identity and group norm, are added. Ellemers et al. (1999) pointed out the three dimensions included in social identity, namely the cognition dimension, which is the cognition awareness of membership in social group, and it is a kind of self-classification, emphasizing on the similarity of individuals and group members, and the difference of non-group members; emotion dimension, namely individual’s perception of group emotion relationship, and it is a kind of affective commitment, in which individuals may produce intimacy and belonging sense with the group and group members. Evaluation dimension, namely the evaluation of membership value and significance, is the self-esteem out of the group identity. Bagozzi, et al. (2002) summarized with empirical study that the three dimensions of social identity may impact the intention of group participation. Subjective norm is the individual’s consideration of doing or not doing something, and an individual’s subjective norm is determined by the perception of others’ expectation and the following of others’ opinions (Fishbein & Ajzen, 1975; Ajzen & Fishbein, 1980). People with subjective norm care about others’ opinions and concepts, especially the important ones, as a result, they usually want to gain the support and praise from others. When individuals take part in the group behavior, it aims to follow other members’ expectation to gain awards or avoid punishment; there may be the impact of subjective norm (Lascu & Zinkhan, 1999).

Dholakia et al. (2004) divided the motivation of joining the virtual community into the group level and individual level based on the studies conducted by Bagozzi, et al. (2002). The motivation of group level consists of the social identity and group norm, while the motivation of individual level consists of: (1) Information motivation, it refers that participants would gain and share information in the community. When gaining information value from the community, the participants would contribute what they know to the community, for instance, sharing experience, etc. (2) Instrumental motivation, it
refers that participants would finish the specific tasks through group, for instance, solving a certain problem, impacting other members to get them focus on a certain problem or product, etc. (3) Social connection, it refers that participants can establish and maintain the social relationship with others and gain social benefits by joining the community, for instance, dispatching the sense of loneliness, gaining the sense of intimacy, looking for like-minded partners, achieving friendship and social support (McKenna, 1999); (4) Social intensification, it refers that participants would make contributions to the group and gain the recognition from other members, so as to intensify and improve the status in community, for instance, the labeling the star level of members with the contribution degree in the virtual community; (5) Entertainment, it refers that participants would gain the pleasure by playing new roles in the virtual community. Wang and Fesenmaier (2004) proposed four kinds of participation profit with the virtual tourism community as the research object, namely the functional profit, which mainly refer to the transaction, information collection, resource exchange, etc.; social profit, which mainly refers to the relationship and communication, sharing of knowledge and experience, offering of assistance and support, etc. among members; psychological profit, which mainly refer to the sense of belonging in the society, sense of identity and intimacy among members; entertainment profit, for instance, the internal enjoyment brought by the entertainment new field, role playing.

Studies on the group participation motivation offer theoretical support to the excavation of internal factors formed by the group consumption mode. The internal factors also cover two levels, namely the group level and individual level. The group norm and social identity is the motivation in the two group levels. Whyte (2012) discovered in the study on a street gang in Italy that the group norm and traditional practices nearly control all group behaviors, for instance, group members would gather in the same bar, and they would take the same seat of the same desk. The impact of social identity on the consumer cluster is reflected by the distinct cognition, affection and evaluation of individuals to the group. Muñiz and O’Guinn (2001) found out that consumers of the same brand community share the same values, which allow members to produce a strong sense of belonging to the brand community, and even a kind of kinship. Seen from the individual level, the consumption activities in group satisfy the consumers with the profit that cannot be gained from individual consumption. In this paper, by referring to the views of Dholakia et al. (2004), four kinds of individual motivation factors formed by the group consumption are put forward, including the information motivation, namely the product information, application experience, etc. gained from the sharing among consumers; instrumental motivation, participating in the price discount that is exclusive to the group consumption or consumption activity that can only be finished with other consumers, such as crowdfunding, team game, sports, etc. social motivation, which refers to the establishment
or maintenance of social relationship with other consumers in the group consumption, and the intensification of friendship and emotional relationship; enjoyment motivation, which refers to the joyful experience gained from the common consumption with other group members.

3. Types of group consumption mode
3.1 Characteristic dimension of group consumption

The study on the consumption behaviors from the group level is mainly concentrated in the brand community, consumption sub-culture, consumption tribe, etc. and these group consumption forms are summarized into the category of consumption communities (Thomas, 2013). However currently, scholars regard different consumption communities as independent entities for study, without considering the differences and relations of these group consumption entities (Canniford, 2011). In this paper, it is considered that the analysis of group consumption mode shall clarify the characteristics of these consumption entities, and 9 kinds of characteristic dimensions are extracted through the study of domestic and overseas literatures about the group consumption.

<table>
<thead>
<tr>
<th>Characteristic dimension</th>
<th>Type and living examples</th>
</tr>
</thead>
<tbody>
<tr>
<td>Focus: if it is centered on the brand, consumption action, concept, emotion</td>
<td>Brand-centered: Saab community (Muñiz &amp; O’Guinn, 2001)</td>
</tr>
<tr>
<td></td>
<td>Action-centered: surfing community (Canniford, 2011)</td>
</tr>
<tr>
<td></td>
<td>Concept – centered: The Burning Man community (Kozinets, 2002)</td>
</tr>
<tr>
<td></td>
<td>Emotion-centered: Circle of friends</td>
</tr>
<tr>
<td>Action cycle: time span of the action</td>
<td>Temporary: flash mob (Barnes, 2006); crowd-funding, group purchasing</td>
</tr>
<tr>
<td></td>
<td>Persistent: Apple Newton community, the product has already exited the market but the community is still active (Muñiz &amp; Schau, 2005)</td>
</tr>
<tr>
<td>Group attraction: does the mode attract small amount of consumers or the masses</td>
<td>Small-crowd: simplicity communities, requiring consumers to give up many luxuries (Cherrier, 2009)</td>
</tr>
<tr>
<td></td>
<td>Broad-crowd: The Tom Petty and Heartbreaker brand community is a large group of consumers (Schau &amp; Muñiz, 2007)</td>
</tr>
<tr>
<td>Barriers to entry: minimum condition of participation (Von Hippel, 2005) and group greeting behavior (Schau et al., 2009)</td>
<td>Low-threshold: only through online registration (Mathwick et al., 2008)</td>
</tr>
<tr>
<td></td>
<td>High-threshold: Harley-Davidson Motor Club, requiring substantial fund input (Schouten &amp; McAlexander, 1995)</td>
</tr>
<tr>
<td></td>
<td>Exclusive: Porsche club, boasting rareness, making it difficult for new members to gain official status in the club (Avery, 2007)</td>
</tr>
<tr>
<td></td>
<td>Appealing: develop the consumption group actively and encourage the join of new members (Schau et al., 2009)</td>
</tr>
<tr>
<td>Communication channels: participant interaction is small offline clustering or scattered online or the combination of the two (Wind et al., 2002)</td>
<td>Aggregating type: circle of friends, interpersonal gathering</td>
</tr>
<tr>
<td></td>
<td>Dispersing type: crowdfunding, only interacting in network environment</td>
</tr>
<tr>
<td></td>
<td>Mixed type: Hummer club, with offline gathering and online network interaction (Luedicke et al., 2010)</td>
</tr>
</tbody>
</table>
Market-orientation: the relation with enterprise is cooperative, neutral or opposite

- Collaborative type: Harley-Davidson Motor Club and enterprise launched all kinds of cooperation by focusing on the goals (Schouten & McAlexander, 1995); the group purchasing shall cooperate with target enterprise or the third party service of the group purchasing website.
- Neutral type: Book club, members purchase the books of enterprise, but enterprise seldom joins the book purchasing activities of the club (Long, 2003).
- Opposite type: The Community Supported Agriculture, opposing all kinds of commercial activities of the mainstream business entities (Thompson & CoskunerBalli, 2007).

Resource flow structure: how the information resource, social resource, cultural resource and economic resource flow to the group, and in the group

- One-way flow: consumers of association form the organization similar to fans by focusing a certain particular people, led by a leader, the resource would flow to the center, and there are few resources flowing among members. It is also called the star structure community (Fournier, 2009).
- No-structural type: Fournier (2009) think that consumers sharing the same attitude towards a certain consumption value or brand may be like a party, with the same beliefs but few interactions. Therefore, the resource flow is scattering, without a structure.
- Network flow: there is a strong interaction between the members of the community, and members may influence each other in different ways.

Collective sense of belonging: the group regards the group sense of belonging as a part of the group recognition to a great extent

- Low sense of belonging: many professional association has a low sense of belonging (Fournier, 2009).
- High sense of belonging: the group is devoted to reinforcing the cohesion and sense of belonging among members, such as drifting club (Arnould & Price, 1993).

Heterogeneity: changes of groups in the role of members and resource creation

- Homogeneous type: gangdom stands for the homogeneous group, it suppresses and rejects the differentiation (Venkatesh, 1997).
- Heterogeneous type: in ethnic Chinese circle, from the member role to symbol significance to the brand, differences are presented in different forms (Dong & Tian, 2009).


3.2 Classification of group consumption mode

It can be discovered from the study on the formation motivation and characteristics of all kinds of group consumption that consumers may gather out of the instrumental demand or emotional demand. On that basis, it presents the differences in different dimensions, such as the action cycle, group attraction, barriers to entry, interaction channel, market orientation, resource flow structure, sense of belonging, heterogeneity, etc. However, the distinctions in each group consumption entity cannot display the differences in the group consumption mode systematically, and there are no explicit paths for the analysis of group consumption mode. Various group consumption entities are also the collection of
relationship between members. In these groups, there are intimate friends and acquaintances, and even a fellow traveler finishing one task. The current studies neglect the role of interpersonal relationships in the group consumption. On the other hand, the group consumption activities are formed by individuals, and the individual behavior is the foundation of the formation of group behaviors. Current studies on the group consumption fail to investigate the characteristic dimension from the motivation of the group formation. In this paper, dimensions are selected from two perspectives of the group consumption. Firstly, it is the group relationship strength reflecting the interpersonal characteristic; secondly, it is the action cycle reflecting the features of the consumption behavior. It divides the group consumption mode into four quadrants, which stand for the group consumption mode guided by four different group formation motivations.

![Fig.2 Types of group consumption mode](image)

3.2.1 Instrument-oriented

The short-term consumption behavior of weak-ties group is represented by the temporary gathering for accomplishing a certain consumption target, for instance, the tourist group, online group purchasing, crowd-funding, etc. Such group consumption can usually gain the profit that cannot be gained in individual actions, for instance the favorable price, risk diversification, etc. With the online group purchasing as an example, the group purchasing shall be the purchasing behaviors conducted by individuals or groups sharing the same purchasing objects (Webster & Wind, 1972). The group purchasing consists of two factors, namely the purchasing behaviors and action groups. The online group purchasing may call on buyers with the same wills of purchasing the same products through the internet, and gain the bargaining capacity with merchants in two ways, namely the negotiation before calling up and negotiation after calling up (Tsvetovat, et al. 2000). Kauffman (2001) studied the impact of the dynamic pricing mechanism of group purchasing website on the consumers’ behaviors. In order to gain more favorable price, consumers may expand the group purchasing scale as much as possible. In the network group purchase based on the weak ties group, the internal social interaction in the group is
relatively low. Jing et al (2011) studied the social interactive behaviors in the network group purchase. Group purchase merchants offer more discounts to opinion leaders for encouraging them to call on more participants, and these consumers may have interpersonal interactions with other consumers through the sharing of information and knowledge.

3.2.2 Information-oriented

The long-term consumption activities conducted by weak-ties group is the information-based group consumption mode, in which, the group consumption activities mainly gain or share the information, knowledge, experience, etc. related to the consumption. It is pointed out in the strength of weak ties theory that the weak ties and strong ties may play the role of information transmission. In the strong-ties group, due to the high homogenization of group, the information transferring is usually limited and repeated. But in the weak-ties group, the high homogenization of group may directly result in the diversified information and knowledge, and the interaction of group members is also represented by the transfer process of information and knowledge (Granovetter, 1973). For the weak-ties consumption group, the interaction between members is concentrated in the sharing of consumption experience and brand knowledge, for instance, the member sharing activities of cosmetic brand, car club forum, etc. Meanwhile, compared to the consumption group in reality, the consumption group relationship in the network environment is not close, and most network members only interact on the internet, without contacting in reality, which is a kind of weak-ties group. The internet technology and mobile interconnection technique offers support for the information coordination of network group. Network members may accomplish the information coordination in various means, such as the characters, pictures, voice, etc. The information coordination gets online consumption groups discuss and solve the same problem and members in joint actions would form reciprocal relations and undertake risks together. Meanwhile, they would share the action results (Gray, 1989). The information communication is the basis of the continuous action of the weak-ties consumption groups. The emotion relationship between members and the cognition of groups is based on the information communication, for the information communication of network group may turn the reciprocal relations among members from “one to one” to “many to many”, and the reciprocity is just the significant means of creating, maintaining and strengthening the social relationship (Kollock, 1999; Ding Daoqun, et al. 2005).

3.2.3 Enjoyment-oriented

The short-term consumption behavior of strong-ties group is represented by a joint participation of family members, friends, etc. in a certain consumption activity, and there is no long-term repetition. It may be the common try of new products, or a vacation. In this paper, it is called the enjoyment-oriented group consumption mode. Caprariello et al. (2013)
discovered in studies that the experience with others may bring more happiness than individual experience, for it is easier to share experience with others, but it may be difficult to share tangible materials. Tynan and McKechnie (2009) discovered that the consumption experience is not enjoyed along by individual consumers, but it is experienced with other consumers, and it may produce the group common creativity in the social interaction and experience sharing of collective consumption process. ARnould and Price (1993) found out in the common experience of groups in the study on drifting travel that high emotional connections and enjoyment experience may be produced in the overcoming of difficulties and mutual assistance, and the identity and sense of belonging may be produced. It can be said that interpersonal interaction is a significant trigger of the creation of extraordinary experience.

3.2.4 Relationship-oriented

The long-term consumption of the strong-ties group is usually manifested as the routine / ritual consumption carried out among family members, friends and students. Durkheim (1912) considered that the durability of social entity exists in the rites. Just like the durability of social relationship maintained with rites, the group consumption entity mainly maintains the group durability with the routine/ ritual consumption, and such group consumption mode is called the relationship-oriented mode. The group consumption activity in the relationship-guided mode pays more attention to the establishment and maintenance of relationship with other consumers. Such strong-ties group is also the circle in Chinese life. The group consumption ritual usually refers to the internal consumption activities of the circle, and these activities may endow the consumers with the meaning of life just like these activities (Rook, 1985). According to the different source of consumption behaviors, the group consumption rite / routine is divided into six categories, as shown in table 2.

<table>
<thead>
<tr>
<th>Behavior source</th>
<th>Rite / convention type</th>
<th>Example</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cosmology</td>
<td>Incredible magic</td>
<td>Gamble, online game</td>
</tr>
<tr>
<td></td>
<td>Aesthetic</td>
<td>Artistic performance, film</td>
</tr>
<tr>
<td>Cultural value</td>
<td>Rite of passage</td>
<td>Graduation celebration, birthday celebration</td>
</tr>
<tr>
<td></td>
<td>Culture</td>
<td>Thanksgiving, mid-autumn festival</td>
</tr>
<tr>
<td>Group study</td>
<td>Small group</td>
<td>Office dinner party, sodality</td>
</tr>
<tr>
<td></td>
<td>Family</td>
<td>Dinner party, festival celebration</td>
</tr>
</tbody>
</table>

Wallendorf et al. (1991) conducted studies on the routine consumption of Thanksgiving, finding out that consumers may enhance the relationship with relatives or friends after the common dinner party. Gainer (1995) took consumers with the appreciation of art performance as rites as the research object, and found out that consumers may enhance the understanding of each other during the experience sharing with family members and church members, and they would establish more social connections. McKeehinie and Tynan (2006) studied the social significance created by consumers in the consumption rites of Christmas, and pointed out that social cultural factors may be transmitted to the consumption individuals from the commodity consumption. Jafari et al. (2013) pointed out the social value generated in the interpersonal interaction of family members during the visiting of museum, as well as its impact on the consumption experience. Meanwhile, it is pointed out that the symbolic meaning of consumption creates the connections between human, and the social relationship between individuals and others is developed and maintained through emotion stimulation.

4. Evolution of group consumption mode

The four types of group consumption reflect different degrees of cohesion. According to Festinger, cohesion is the resultant force of all factors remained by individuals in the group (Liu Jingxiao, et al. 2006). These factors include the interpersonal attraction, task commitment, group honor (Beal et al., 2003). When elements interact on each other, change, and develop with the group, the cohesion will also change. Carron et al. pointed out the dynamic features of cohesion, and it shall investigate the development stages in dynamic view (Carron et al., 2005). As for the group consumption mode, the strength of group relationship reflects the interpersonal attraction of group, and the continuous circle of consumption actions reflects the commitment of the group to the consumption target. In the four kinds of consumption mode, the relationship-oriented mode has high cohesion, and it mainly conducts long-term consumption activities in strong-ties group, realizing the loyalty of group relationship and consumption target, and it is the ideal state of binding the group loyalty. When the interpersonal attraction of group increases or the commitment of the group to the consumption target increases, the cohesion of the group consumption will also increase, and it can also be considered that the group consumption mode further evolves. In Fig. 3, it is reflected the evolution of four group consumption modes realized in two paths, including the relationship identification and product identification.
As for the instrument-oriented consumption mode, when a group approves a certain product, brand or concept, the weak-ties group may be turned to be the existing social relationship focusing on a certain consumption object. The consumption object amounts to the spiritual carrier of the group members, who have maintained the continuous attention and purchase of consumption object, and the instrument-oriented mode develops to be the information-oriented mode. When the group members establish the friendship and emotion in the consumption process, the interpersonal attraction of the group is enhanced, and at this moment, the interpersonal interaction may give rise to the enjoyment experience (ARnould & Price, 1993), and the instrument-oriented mode may develop to be the enjoyment-oriented mode, for instance, the establishment of friendship with other visitors in the tour group may change the experience of travelling. The tour group formed for the convenience of travelling and favorable price may allow people to gain the joy of interpersonal interaction due to the strengthening of relationship among tourists.

As for the information-oriented consumption mode, when group members gain the ties identity through participating in various activities and interpersonal interaction, the weak ties among consumption group may turn to be the strong ties. The long-term consumption actions of the group may turn to be the rites of the group, which may maintain the group relationship. As a result, the information-oriented mode develops to be relationship-oriented mode, for instance, the brand community is of the information-oriented group consumption mode based on the weak ties, with low cohesion, while some brand communities may gain high cohesion through the relationship development of members, and the group consumption activities may become the rites or ceremonies of the community, for instance, the Harley-Davidson Motor club.

As for the enjoyment-oriented consumption mode, when the strong ties produce common positive attitude towards the consumption experience in the consumption process,
the common attitude of the group may amplify the satisfaction degree (Bohlmann et al. 2006), and reinforce the repeated consumption behaviors of the group. When the group forms long-term repeated consumption actions, the consumption activity may become the routine of group members, and members may carry out the interpersonal interaction in the consumption of the focus resource. The consumption activity is usually the emotion symbolization of a group, for instance, it is recognized in the circle of friends that the bar would become the “old place” for the gathering of members.

5. Marketing enlightenment and research prospect

The division of group consumption mode may show different starting point of the gathering of consumers, and group consumption may gather the consumers with products as the center or select products based on the group relationship. Different consumption modes may show the differences in group relationship strength and product loyalty, and it can divide the four types of group consumption modes, including the instrument-oriented mode, information-oriented mode, enjoyment-oriented mode and relationship-oriented mode. The relationship-oriented mode displays the highest cohesion of consumption group and the interpersonal strong attraction and group consumption commitment forms the customer loyalty in group level, and other three modes may accomplish the evolution of consumption mode in two paths, namely the relationship identification and product identification. In this research, there are several revelations for the marketing practice:

Firstly, previously the attention to the group consumption mainly stays on the overall operation of the brand community and virtual community, neglecting the differences in existing group and group relationship in the community. Especially, the circle consumption conducted under the impact of the circle culture of Chinese consumers is the most common social interaction activities of Chinese people. The circle consumption is the group consumption carried out on the basis of the strong ties, which can be enjoyment-oriented mode and relationship-oriented mode, and the circle marketing is the key of future group consumption.

Secondly, consumers can gain multi-values by participating in the group consumption activities, including the information value, instrument value, enjoyment value and social value, etc. different consumption modes reflect the attention to the different values from the consumption group. In other words, the division of consumption mode stands for the group segmentation market directed by four different kinds of value. Correspondingly, the marketing plan shall be adjusted with different group value orientations.

Thirdly, the relationship-oriented consumption mode is the final form of the customer group loyalty, revealing many differences between the successful consumption
communities and other consumption communities. The relationship identification and product identification is the two paths of the evolution of the relationship-oriented mode. As for the enterprise, besides making strategies for strengthening the attitude of consumers towards the consumption objects like the product/brand, it shall provide chances and space for the social interaction and emotion promotion of consumers as much as possible, when consumers develop the loyalty in the form of group, the group norms may have a huge constraining force on the consumers, that is to say, consumers may be confronted by huge interpersonal cost during the product transfer.

The group consumption mode proposed in this research is a conceptual model, which can be further verified through data analysis. In addition, in the strong-ties group consumption activities, the interpersonal interaction is a significant variable. So, for the instrument-oriented and information-oriented group consumption, how would the strong-ties group consumption be impacted by interpersonal interaction, will it reflect different consumption characteristics? These problems shall be further studied in the future.

References

Multi-Theory Analysis on Leadership: A Study in the Shipping Industry

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ABSTRACT

Lack of vision is believed to be the major sources that slow down the shipping industry recovery from economic downturns. This is particularly important for the dry bulk carrier in which the sector is non-substitutable by other transport mode yet requires heavy investment on equipments and daily vessels utilization. That means, theoretically, both operational and strategic decisions are involved. In other industry settings, combining transformational leadership and big five factors can be found in analyzing leaders from both behavioral and emotional aspects. Being the multi-theory analysis to the context may provide some inspirations over the leaders’ style tendencies, strengths and weaknesses in the shipping industry. In order to stress on the strategic and long term development concern, strategic movement and ethical value measures are also added to the analysis. However, before the significance for each of the factors can be revealed, reliability testing for these constructs needs is a must. This research would like to make use of a dry bulk shipping company with employees and management from different countries (including China, Hong Kong and a number of European countries) as the unit of analysis to find out the items that can be used for the construct development for leadership styles and traits in the industry which have not been revealed from the previous research studies. By using the Cronbach’s alpha and split half analysis to measure the reliability of the constructs, it is found that some commonly agreed measures – big five factors cannot be directly applied to the leadership analysis in the shipping industry. Transformational leadership on the other hand provides satisfactory and ready to use constructs for the current context except for the items measuring the contingent reward. Constructs for measuring ethical value and strategic techniques of the leaders are provided based on the expert ideas in the industry. With the disagreement on some of the items, the paper also provides some of the insights for item choice in the suggested muti-theory analysis tools that combine the
transformational, big five factors, ethical and strategic measures

**Keywords:** Transformational leadership, Big five factors, shipping industry, leadership

1. Introduction
1.1 Background of the study

It is always difficult to give a proper definition to the word “leadership”. Leadership was once referred as the centralized power to control others and dominate groups of individual [1]. However, scholars later revealed that successful leader would be those who can make timely decisions with high problem solving ability but at the same time listen to the followers. Therefore, it is believed that the ability to identify followers’ needs and concerns is one of the critical social success factors of leadership [2]. That is the reason why transformational leadership dominates the leadership studies. However, sole reliance on the social element cannot fully define a leader as factors like personality or traits of the leader cannot be shown.

In the 90s, there was argument that leadership is particularly important in the shipping, logistics and supply chain industry for deciding the strategies in order to maintain the relationship with both the upstream and downstream parties even leaders in this context are defined at firm level [3]. Leadership problem is complex in the shipping, logistics and supply chain setting as decisions like vessel availability and shipping status are both important towards the transportation of goods among places and the smooth operation. That means, good leadership skills are required for both long term strategic development as well as daily operational decisions making processes [4]. Even the transformational element has been investigated to see its effect over the day by day work engagement of the shipping industry [5]; still, the study did not go beyond a single theory in defining the leader for the setting. Theory combination is essential with the possible difference in characteristics of the multi-national employee working in the industry. This leads to the need for the multi-theory analysis of leadership.

This paper would like to bring the multi-theory analysis concept to the shipping industry with strategic, operational, cultural and monetary significances. As lack of vision is the main problem in the shipping industry which slows down the recovery from the drop of transportation demand during economic downturns, reliable analytical tools should be provided for the industry to show the elements or factors of the leaders that the industry is looking for. Dry bulk cargo is used as the basis of analysis as the sector cannot be substituted due to the size of the goods being carried and cannot be transported economically in an alternative way. In 2012, 4 billion tons of dry bulk cargo was carried by sea transport and this sector accounts for one third of the International Seaborne transport. Most importantly, with the growth of China that leads to the increase demand in iron ore trade and grain trade, dry bulk trade is having an anticipated
growth in the near future up to 2019 even after serious economic downturns in the past few years. Thus, the significance of the sector is sound with the high transport tonnage from both present and future prospective. Experts and employees in a dry bulk shipping company are surveyed and responses are investigated to demonstrate the items that should be presented in the multi-theory leadership analysis for this highly complex setting. With the items inclusion in a possible questionnaire, the importance for each factor and item in the shipping industry can be revealed in the later days.

1.1 Flow of the paper
Section 2 provides the review over the various important concepts in leadership which includes the transformational and five factors theories which will be combined in the study. Section 3 shows the details of the study which includes the methodologies and the objectives of the whole paper. Section 4 outlines the key factors to be tested for inclusion. Section 5 highlights the results of the analysis on the items’ reliability in measuring the leaders for the shipping, logistics and supply chain setting. Section 6 discusses the insights of the study and the paper ends with the conclusions in Section 7.

2 Literature Review
As mentioned above, transformational leadership dominates the leadership study due to the concern over the interconnection of the leaders and the followers. Therefore, such idea should be used as the base of the proposed multi-theory analysis. In order to depict the leader and view it from other prospective, the personality traits and other factors are also included in the analytical tool development.

1.2 Transformational Leadership
Stepping into the 21th century, scholars support the inefficiencies for a single leader in handling all the necessary information on his/her own in the ever changing world [6]. Leadership was thus consolidated as the arrangement along the hierarchy and constituted the “who” and “where” of leadership. Re-emphasis of the social interaction process defined “what” leadership is and the collaboration among various parties in a less hierarchical order showed “how” the leadership is executed. That means, leadership cannot be separated from any parties in the process [7]. Interactions with the followers are not limited to the identification of the current needs but the ability of the leaders in fulfilling the higher needs through the increment of the morality, motivation and work engagement [8]. Originated from the political science, transformational leadership would like to supplement the transactional leadership which only stress on increasing job performance and direct bond of leader-follower relationship [9] [10]. Transformational leaders are those that put value and relationship in top priority but also take job performance as important goal whenever necessary [11]. By definition, transactional idea has been included in the transformational leadership with the importance of job performance in mind.
Though the two concepts are not mutually exclusive, supporter of transformational leadership believed that the day in which the leader demonstrated higher transformational leadership would lead to higher engagement in work of the followers on that particular day (even the previous work engagement level is being controlled). In order words, transformational leadership can help in daily operation. This can be partially explained by the autonomy given to the followers and thus support to leaders [5]. Leaders who follow this leadership style have well-defined frame of reference for themselves based on their internal values and standards. The internal value should be present even there is a tradeoff and competition between loyalty and performance. They are individuals who are clear about limits, deficiencies and strengths. Such that, the value can be transferred to the followers so that they can aim for goal that were not usually targeted at [11]. Leadership style with romance of leadership and self-esteem would be related to the satisfaction and such satisfaction and work performance demand the use of transformational leadership no matter the focus is from the manager or employee prospective [12].

Multifactor Leadership Questionnaire (MLQ Form 5X) is the most common type to classify a leader especially for the transformational leader identification. A six low order factors [10] (Charisma, Intellectual Stimulation, Individualized Consideration, Contingent Reward, Management by Exception Active and Passive/Avoidant) model was proposed to correlate higher-order factors which can be used for bare differentiation of the presence/absence of leadership to a very specific classification of leadership (e.g. transformational and transactional leadership) [13]. Other scholars proposed that a full range nine factor model with five transformational leadership factors, three transactional leadership factors and non-transactional, laissez-faire leadership factor should be used as it would be the best in designated context (environmental risk, leader-follower gender and leader hierarchical) [14].

1.3 Extension of transformational leadership

Five factors have been proposed to depict a “leader” with the use of personality trait. The theory would like to portray a leader with the use of characteristics rather than the behaviors as shown in the transformational leadership. With the use of Extraversion, Agreeableness, Emotional Stability, Openness to Experience and Conscientiousness, the study hopefully to find some qualities that are present in leader but not appear in general staff [15]. Research studies suggested some possible relationship between these ideas. It is found that simple and general constructs (rather than specific Big 5 facets) can help to predict transformational leadership [16]. Even the explanatory power over leadership effectiveness of a particular leadership traits (gender, intelligence and personality) and behaviors (e.g. transformational-transaction, initiating structure consideration) is not as high as expected. The study provides important insight in which theories that structure a “leader” can be mixed to explain an individual leader
performance and non-leadership and personality factors should be included [17].

Even the transformational leadership idea seems to explain most of the leader’s behaviors and used as the base for mix theory analysis in some of the research studies, some other concerns are still worth to note. Nowadays, people concern not only the performance of the leaders and the employees but the impact of the companies’ act in a broader sense which means the social responsibility. Transactional leaders are believed to fulfill moral standard for achieving personal goal rather than considering the others [18]. Deontological ethical value is associated with leaders who are treated as transformational (for agreed standards and right) while teleological ethical value can be found in leaders practicing transactional leadership [19]. Scholars suggested that virtues should be included in the new leadership style analysis no matter it is based on the transformational leadership or not. The research study demonstrated that new factors should be added for measuring the leadership styles so as to strengthen the analysis with the passage of time [20].

Other than the ethical issue, scholars [21] believed that transformational leadership even in the full range concept cannot reflect the strategic concerns of the company. The deficiency mainly happens when the leaders failed to concern about the environmental setting and provide necessary strategic direction for the employees and the company. This is related to the concept of Instrumental leadership (IL) which focuses on the “application of leader expert knowledge on monitoring of the environment and of performance, and the implementation of strategic and tactical solutions” and aims to provide a fuller “full range” analysis on leadership. Overemphasize of transformational leadership is present when the IL factors are not concerned in the model. Senior management of the India and shipping and maritime community also revealed that failure to plan overhead which is a demonstration of lack of vision is one of the main problems in the shipping industry that slow down the recovery from the decrease on the demand of transportation during recession. With the huge investment on equipment and facilities, moves which involve long term decisions like the rearrangement of fleet composition through the purchase of new vessels for handling will not be made due to the high financial risk. If strategic movements are not made on time, the effects and benefits provide by the recovery cannot be fully enjoyed by the companies [22].

To certain extend, the strategic decision making concept coincides with the time orientation idea [23]. It is suggested that time element is important as the valuation of time and the task’s time horizon should be matched so that leader can feel satisfy. Leaders can be future, present or past oriented. Future leader would provide direction and help the company to make long term strategic business decisions. Present leaders can solve the current problems to make the business sustain and satisfy daily operational goals. Tasks can be completed properly and commitment can be made. Past leaders
would only acknowledge past achievement and learnt from history. This is important for ethical value maintenance and provides the orientation and direction of the company.

Preference over particular time orientation is not important as it is subject to the leader position as well as the company direction. For example, under normal circumstances, a leader should make use of the temporal skills (behaviors that are function of temporal alignment like the ability to obtain the experiences from the previous leaders through the past performance on tasks) to handle the day by day decisions and tasks. This can be achieve easily nowadays with the emergence of database with full documentations of the task procedures and past leaders’ jobs archives. However, a leader should also provide flexibility in handling the events that happen suddenly with temporal orientation by situations [24]. The time orientation in fact is responding the full range leadership in which daily operation and long term orientation are both important. At the same time, it highlights the necessities in having strategic movement decision ability with the use of future oriented leaders’ concept.

2 Research Approach
3.1 Research Significance

Leadership analyses in the shipping, logistics and supply chain industry are still relying on the transformational leadership. However, as mentioned above, transformational leadership may not be inclusive enough to include the strategic concerns, ethics as well as the personality of the leaders. With the absence of these elements, leaders cannot be depicted fully; therefore, there is a need to bring the multi-theory analysis to the sector. However, before the leadership analysis can be carried out, items and constructs need to be developed for this specific sector. With the transformational leadership theory as the base, the current study aims to provide a suggested list of constructs and items that should be included for a multi-theory leadership analysis for the industry through the items and constructs reliability tests. Though there are commonly agreed constructs that are used to measure the transformational leadership [13] and personality traits [15], the actual items that should be used for the specific situations or industry should be investigated. In other words, with the valid (commonly used) constructs, it is important to show the reliability of the items within a particular construct and see if the measurement items should be included in the leadership analysis.

2.1 Sample for construct development

In order to develop a construct that are capable for further investigation in a highly cultural diversified setting with the aims of finding out leadership elements desirability and effects of leadership elements in later days, respondents in this study includes leaders and employees from the dry bulk cargo industry. The bases of operations of the
companies include but not limited to Hong Kong and Africa. More importantly, respondents compose of locals and expatriates from Hong Kong, China, Africa and many other European countries. With such background of the respondents, the constructs and items being selected in the study can be more representative and not laid particularly stressed to any demographic characteristics. This is particular important as like many other industry and research field, many of the research studies are coming from the Western side of the world and little information can be obtained for the rest of the world. Employees are also involved as they are important to the operation of a company and there is criticism to the overemphasis of the CEO and senior management opinion in the leadership analysis. Senior people are the only party that provides influence to the company especially when issues related to company cultural are being concerned [25].

2.2 Methodology

There are a number of ways to test for the reliability of the measures and constructs like computing the reliability coefficient. Some scholars supported the use of the Cronbach’s coefficient alpha no matter for a five, three or two items construct [26]. Actually, the Cronbach’s alpha has been the most frequently used reliability testing method. However, in order to make the analysis tool more concise, some of the constructs would be measured by only two items. Though data has been used throughout various research studies to support individual tool, there is query on the choice of particular reliability coefficient as detail elaboration can hardly be found [27]. The note in [27] showed that Pearson correlation is not sufficient for measuring the reliability of the two items construct. On the other hand, it is found that Spearman-Brown coefficient is less biased especially when there is strong relationship between the two items. The Spearman-Brown coefficient is never lower than the coefficient alpha. The current research would like to make use of the Cronbach’s coefficient alpha (commonly used tool in most of the situations) as well as the Spearman-Brown coefficient (theoretically sound tool for two item construct) to identify the items that should be included in each of the proposed multi-theory analysis constructs in the shipping, logistics and supply chain industry.

3 Leadership constructs to be included in the leadership analysis

A modified version of MLQ [13] that measures the leadership style with the emphasis of transformational leadership is used as the base of the current multi theory analysis. This is because the constructs and items are easy to understand and through testing of validity with the higher order factors (including the transformational leadership). The six constructs include the Charisma, Intellectual Stimulation Individualized Consideration, Contingent Reward, Management by Exception, Active/Passive Avoidant.
Items for the four personality traits have been proposed by the works that integrate the trait and behavioral theories [17], however, these items are too complicated and coming mainly from the meta-analysis. As the ultimate use of the constructs are for effects and desirability measurement as well as involving respondents from various working levels, more simplified items and measure should be used. A very brief but effective big five personality measures (Conscientiousness, Openness to Experience, Extraversion, Agreeableness, Emotional Stability) has been proposed. It is believed that brief measure is a good tool when personality is only used as a description and not the major subject of the study [28].

As structured works that present the measurement for effectiveness of the strategic and ethical issues cannot be found easily, expert opinions were sought to set up the measurement for these two constructs. Reliability testing would also be provided for these two constructs. Table 1 details the constructs that are included in the reliability test. References that the items are developed or modified from are also listed in the table.

<table>
<thead>
<tr>
<th>Constructs</th>
<th>Number of items to be tested</th>
<th>Referenced/modified from</th>
</tr>
</thead>
<tbody>
<tr>
<td>Charisma</td>
<td>9</td>
<td>[13] CH1-CH5, CH9-12</td>
</tr>
<tr>
<td>Intellectual Stimulation</td>
<td>4</td>
<td>[13] IS1-IS4</td>
</tr>
<tr>
<td>Individualized Consideration</td>
<td>4</td>
<td>[13] IC1-IC4</td>
</tr>
<tr>
<td>Management by Exception</td>
<td>4</td>
<td>[13] MA1-MA4</td>
</tr>
<tr>
<td>Active/Passive Avoidant</td>
<td>8</td>
<td>[13] P/A1-P/A8</td>
</tr>
<tr>
<td>Conscientiousness</td>
<td>2</td>
<td>[28] 3,8</td>
</tr>
<tr>
<td>Openness to Experience</td>
<td>2</td>
<td>[28] 5,10</td>
</tr>
<tr>
<td>Extraversion</td>
<td>2</td>
<td>[28] 1,6</td>
</tr>
<tr>
<td>Agreeableness</td>
<td>2</td>
<td>[28] 2,7</td>
</tr>
<tr>
<td>Emotional Stability</td>
<td>2</td>
<td>[28] 4,9</td>
</tr>
<tr>
<td>Strategic</td>
<td>6</td>
<td>Self-developed including: Profit orientation, investment in equipments, labor force sufficiency, long term guidelines, job security, industry development concern</td>
</tr>
<tr>
<td>Ethical</td>
<td>6</td>
<td>Self-developed including: Environmental, competition, Sex equality, Race equality, general</td>
</tr>
</tbody>
</table>
Table 1. Details of the construct included in the reliability testing

Table 2. Items’ reliability in measuring the leaders for the shipping, logistics and supply chain setting

Table 3 presents the reliability testing results of the transformational leadership constructs; Table 4 shows the results for the Strategic Movement and Ethical Constructs while Table 5 reveals the results for the Big Five factors constructs of the leadership analysis.

<table>
<thead>
<tr>
<th>Constructs</th>
<th>Question Idea</th>
<th>Initial CITC</th>
<th>Cronbach’s α</th>
<th>Cronbach’s α if item deleted</th>
<th>Final CITC</th>
<th>Cronbach’s α</th>
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</thead>
<tbody>
<tr>
<td>Charisma</td>
<td>Proud</td>
<td>663</td>
<td>0.850</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Concern other</td>
<td>577</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Respect</td>
<td>568</td>
<td></td>
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</tr>
<tr>
<td></td>
<td>Powerful</td>
<td>473</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Value</td>
<td>575</td>
<td></td>
<td></td>
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<td></td>
</tr>
<tr>
<td></td>
<td>Confident</td>
<td>546</td>
<td></td>
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<tr>
<td></td>
<td>Enthusiastic expression</td>
<td>651</td>
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<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Concern major issues</td>
<td>537</td>
<td></td>
<td></td>
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<tr>
<td>Intellectual Stimulation</td>
<td>Assumption</td>
<td>580</td>
<td>0.854</td>
<td></td>
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<td></td>
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<tr>
<td></td>
<td>Opinion seeking</td>
<td>672</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>New methods</td>
<td>710</td>
<td></td>
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</tr>
<tr>
<td></td>
<td>Perspectives</td>
<td>833</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Individualized Consideration</td>
<td>Individual needs</td>
<td>656</td>
<td>0.595</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Individual ability</td>
<td>508</td>
<td>0.442</td>
<td></td>
<td>829</td>
<td>0.868</td>
</tr>
<tr>
<td></td>
<td>Coaching</td>
<td>599</td>
<td>0.348</td>
<td></td>
<td>815</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Follower differentiation</td>
<td>007</td>
<td>0.868</td>
<td></td>
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<tr>
<td>Contingent Reward</td>
<td>Rewards clearly</td>
<td>330</td>
<td>0.493</td>
<td></td>
<td>0.380</td>
<td></td>
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<tr>
<td></td>
<td>Assist based on effort</td>
<td>470</td>
<td>0.289</td>
<td></td>
<td>0.415</td>
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<tr>
<td></td>
<td>Achievement pay off</td>
<td></td>
<td>0.453</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>Constructs</td>
<td>Question Idea</td>
<td>Initial CITC</td>
<td>Cronbach’s α</td>
<td>Cronbach’s α if item deleted</td>
<td>Final CITC</td>
<td>Cronbach’s α</td>
</tr>
<tr>
<td>-----------</td>
<td>-------------------------------------</td>
<td>-------------</td>
<td>---------------</td>
<td>-------------------------------</td>
<td>------------</td>
<td>---------------</td>
</tr>
<tr>
<td><strong>Strategic Movement</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Profit orientation</td>
<td>.222</td>
<td>- .236</td>
<td>.867</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Investment in equipments</td>
<td>.764</td>
<td>.604</td>
<td>.790</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Labor force sufficiency</td>
<td>.776</td>
<td>.598</td>
<td>.788</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>Long term guidelines</td>
<td>.721</td>
<td>.630</td>
<td>.764</td>
<td></td>
<td></td>
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<tr>
<td>Job security</td>
<td>.610</td>
<td>.676</td>
<td>.687</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Industry development concern</td>
<td>.413</td>
<td>.721</td>
<td>.460</td>
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<tr>
<td><strong>Ethical</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Environmental,</td>
<td>.551</td>
<td>.767</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Competition</td>
<td>.470</td>
<td>.786</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sex equality</td>
<td>.528</td>
<td>.774</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Race equality</td>
<td>.549</td>
<td>.767</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Table 3. Reliability Test for the Transformational Leadership Constructs
Table 4. Reliability Test for the Strategic Movement and Ethical Constructs

<table>
<thead>
<tr>
<th>Constructs</th>
<th>Question Idea</th>
<th>CITC</th>
<th>Cronbach’s α</th>
<th>Spearman-Brown Coefficient</th>
</tr>
</thead>
<tbody>
<tr>
<td>Extraversion</td>
<td>Extraverted</td>
<td>.316</td>
<td>0.459</td>
<td>0.481</td>
</tr>
<tr>
<td></td>
<td>Kept back</td>
<td>.316</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Agreeable</td>
<td>Critical</td>
<td>-.166</td>
<td>-0.335</td>
<td>-0.399</td>
</tr>
<tr>
<td></td>
<td>Considerate</td>
<td>-.166</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Conscientiousness</td>
<td>Dependable</td>
<td>.470</td>
<td>.635</td>
<td>0.640</td>
</tr>
<tr>
<td></td>
<td>Messy</td>
<td>.470</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Emotional Stability</td>
<td>Nervous and unhappy easily</td>
<td>.390</td>
<td>.561</td>
<td>0.561</td>
</tr>
<tr>
<td></td>
<td>Handle emotion well</td>
<td>.390</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Open to Experience</td>
<td>Open to new challenges</td>
<td>.487</td>
<td>.653</td>
<td>.655</td>
</tr>
<tr>
<td></td>
<td>Traditional</td>
<td>.487</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Table 5. Reliability Test for the Big Five Factors Constructs

Researchers believed that if alpha exceeds 0.7, the construct is highly reliable [29]. A construct is acceptable when the alpha value is in between 0.35 and 0.7. Construct is with low reliability when the alpha value is below 0.35. Practically, a research construct is acceptable when the Cronbach’s alpha value is larger than 0.6. With this idea in mind, charisma (0.850), intellectual stimulation (0.854) pass reliability test and no modifications should be made. For the individualized consideration and management by exception, the alpha value is far below 0.6 (0.595 and 0.324). Follower differentiation should be excluded from the individualized consideration and the ability to solve the emotional problems should not be included in the management by exception construct. When these items are excluded, the alpha value significantly increased to the 0.868 and 0.730 respectively. Even active and passive avoidance has an alpha value of 0.628, if the item that indicates the leader’s ability to solve minor problem is excluded, the value can be further increased to 0.730. For contingent reward construct, even the item “rewards clearly” and “credit achievement” are excluded, the alpha value is still below 0.6.

For the two constructs that are believed to be worthwhile to put into the leadership measurement, no modifications need to be made over the construct related to leader’s
ethical ability. In order to improve the alpha value from 0.740 to 0.867, the item relates to the concern of the profit orientation should be removed from the strategic movement construct.

For the Big Five factors constructs, as mentioned above, brief and straight forward two items construct are investigated. In order to increase the reliability claims of the constructs, both Cronbach’s alpha and Split-half reliability test are used. Split-half reliability relies on the use of Spearman Brown coefficient. Usually, a value of 0.8 is used as a cut off point for the scale reliability testing. However, researchers also accept the reliability coefficient just above 0.6 for constructs that have been developed in previous research studies. In order words, even the research is not exploratory in nature; a lower coefficient value is still practical sound [30]. Conscientiousness and open to experience pass both of the tests with alpha value and Spearman-Brown value above 0.6 and thus these items can be used to measure such personality traits of the leaders. For emotional and extraversion, the constructs are not supported in terms of reliability with alpha value and coefficient below 0.6. Concern should be made over the “Agreeable” construct as both alpha value and Spearman-Brown coefficient are negative which means that they are highly uncorrelated and cannot be put under the same measurement.

Table 6. Discussions and Insights

With the possible improvement in alpha value, respondents shown that they do not see that the ability of the follower to differentiate himself/herself from them is the individualized consideration. As both leaders and followers are included in the sample, the opinion is worth to note as it is not only a disagreement over hierarchy by the followers. It may imply that the term “consideration” is more important than “individualized” in the respondents mind for this construct. For the management by exception, respondents do not see solving emotional problems in accordance with the concerns over the other faults and errors. One of the possible reasons is that emotional fluctuations are unavoidable during daily and various interactions and cannot be treated as “exception”. The impact of the minor problems is trivial that respondents did not see it as the measurement for determining a leader as active/passive avoidant. To certain extend, engagement and empowerment to the followers can be enhanced and minor problems can be out of the scope of the leaders. Respondents believed that there may not be a contradiction and relationship between the concern on making profit and the strategic movement which can be shown by the improvement in alpha value for the item exclusion. Short term profit concern sheds the long term movement but it can also be a base and support for the investment and development. However, its effect on strategic movement is ambiguous. Consideration can be made towards the direct measurement of the contingent reward by single item with such low alpha value even for a two items construct. The respondents in further research may be asked directly on
the agreement over the leader’s ability to pay off achievement or assist the followers based on effort. The choice is left over to the researchers on whether they would like to focus on explicit or implicit reward concerns or whether individual or relationship is the centre of the analysis.

Even the personality trait/big five factors theory is well-developed; it does not mean that it fit every single situations or scenarios. Respondents generally agree that a dependable and self-disciplined leader should not be messy and careless. Also, a leader who is believed to be open to new challenges and complex situation is not traditional and should not be reserved in facing changes. However, extraverted leaders who are passionate to the shipping industry may not be at the same time talkative. With the fast pace working environment (e.g. needs for handling the shipping documents for the back office staff, movement of goods for the operational staff and relationship development with the shippers, internal and external parties), communications among the leaders and followers may not be very frequent but it may not lead make the followers feeling the leaders are keeping back from them. Personal feeling and the ability to handle the ups and downs are not believed to have a clear correlation in the setting. Though the alpha value and Spearman-Brown Coefficient are close to 0.6, they are not both measuring the emotional stability. When choosing the item that should be used, it should be subjected to whether self-control ability or emotionless leaders are more important or relevant to that particular research study or analysis.

The construct that requires extra concern is agreeable; the negative correlations reveal the irrelevance of these two items. It is reasonable that a leader who is critical and argumentative may also be considerate and warm to the followers. The reasonable is the same as used to explain the divergence situation for the construct “extraverted”. As the shipping industry requires the operations that are fast and safe so that the goods can be delivered to the customers in a reliable manner, leaders may be critical during the operation process so that works can be done effectively. However, the leader can be caring and considerate outside working schedule or on the rewards and benefits. If only single item should be used for measuring the conscientiousness, the choice of the item depends on whether transformational or transactional idea is the major focus of the research study. If transformational leadership style is more important, considerate and warm is more important. Criticalness and argumentativeness will be more helpful in measuring the daily management effectiveness.

Table 7. Conclusion

With the aim of bringing the multi-theory idea to the leadership analysis in the shipping, logistics and supply chain industry. The paper reviews the items that are used in other research and conduct analysis to decide what should be included in the analysis tool for the context. The results implied that well-known theory or constructs may not
be solely applicable to the industry or situation without modifications. Most of the transformational measurements can be used directly or little modifications need to be made but not for the big five factor constructs. Even the strategic and ethical constructs are developed without solid academic support; the test suggests that they are reliable. Surprisingly, these constructs require little changes. It may suggest that professional ideas in construct development are worth to note as they are based on industrial experts’ opinions. They can provide more practical and commonly agreed measurements for leadership analysis.

The exact items that should be included in the further leadership analysis of the shipping industry is subject to the specific objective of that upcoming research studies with the suggestions and recommendations provided in the above paragraphs. It is hoped that a leader can be depicted in a more comprehensive manner with the combination of transformation, big five factors, ethical and strategic constructs.

References

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WeChat or WhatsApp? An Exploratory User Study for IM Applications¹

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ABSTRACT

Thanks to the pervasiveness of Smartphone that provide the platforms for those IM applications, the usage of these IM applications over mobile phone has grown very fast in recent years. This paper presents the results of an exploratory user study to evaluate WeChat, a popular mobile application that combined communication and social networking in China. The research objective underlying this study sought to understand how young users, accustomed to using other communication app i.e., WhatsApp, to communicate with friends using WeChat. Empirical data for this study was collected via an integrated user study. The results of this study have significant theoretical and practical implications for researchers and developers of user behavior toward different mobile communication and social networking applications.

Keywords: Mobile customer behavior, mobile product design, user experience enhancement

1. Introduction

The introduction of instant messaging (IM) service over the Internet, allowing users to exchange textual messages, as well as stickers, audio, video, and image files, has changed the way people’s communication with others. In Singapore, for example, users are already approaching MI market saturation with the number of MI-enabled SIM cards exceeding the number of people in the respective nations (Gerpott and Thomas, 2010). Smartphone enables users to access IM services anywhere and anytime, thus eliminating the costs usually charged by mobile operators for similar services (e.g., for SMS communication). It makes IM applications companies a great opportunity to obtain a large number of potential mobile users. For example, WhatsApp, which is accredited to be the most widespread IM app, it has over 400 million active users that exchange, on average, more than 31 billion messages per day, 325 million of which are photo (Anglano, 2014). Among them, user aged between 18-24 is the main active user segment.

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In the meanwhile, SNS (Social Network Service) is actively used by individuals who desired to interact with others via online communities (Kwon et al. 2014). SNS is a web-based service, which provides a function to form and share the social relation network (Salehan et al., 2013). Boyd and Ellison (2007) described three major characteristics of SNS: (1) Users can introduce their profile to others and share their opinions within each other; (2) users can add or combine their contact list in order to form or retain relationships by using the connection network; and (3) users can interact with others in a connection network, or they can view the interaction between other users. Facebook represents these characteristics as Facebook users expose themselves to others by using ‘Invite Friends.’ Users who are connected as friends can view the other person’s posts and status, write comments, and click the ‘Like’ icon. The number of Facebook users has already passed 600 million in March 2011, and is expected to reach 935 million by the end of March 2013 (Internet World Stats, 2012). According to recent researches on SNS, there are two reasons why people devote themselves to SNS like Facebook. One is the usefulness of SNS as a channel for interpersonal relationships and the other is that the interactions on SNS result in enjoyment and happiness (Kwak et al., 2014). Among them, young users are a dominated segment in using these apps. According to a latest report, young users (aged from 18-24) are the most active group in using SNS applications (One World Youth Project, 2013).

Therefore, the study of this young mobile users’ behavior has attracted widespread attention in academic domain of marketing. As the number of IM and SNS users is increasing rapidly, many big companies such as Microsoft, Samsung, Apple all aims this young customer segments with marketing strategies. Social media companies such as Facebook, LinkedIn especially look into this group of users with new product and marketing campaigns. They want to provide attractive products for this user group and gain a lifetime value from this group of customers.

In the meanwhile, Applications, which combined the social networking function of SNS application and the communication function of IM application, become a new trend in mobile application industry (Negahban and Chung, 2014). New launch apps such as Line, WeChat gain extremely popular in Southeast Asia countries, especially, Thailand and Japan.

In this study, user studies were conducted to test WeChat that combined communication and social networking. An exploratory user study is designed to evaluate the usability and user experience of WeChat App. The research question underlying this study sought to understand how users who accustomed to using Whatsapp app to communicate with friends to use WeChat. An analysis of the problems experienced by the users provided the basis to suggest specific improvements to the application.

In summary, this study has two objectives. First, this study attempts to find the real young user behavior in using mobile apps. This may help companies better understanding young users’ behaviors, and provide supplementary information about young users’ characteristics when using social and communication apps in different markets. Second, we examine the effectiveness and outcomes of different role of both structured and unstructured methods in young user study for new product enhancement. To achieve this goal, this study empirically compared the outcomes from 8 selected participants.

The rest of the paper is organized as follows. In Section 2, the research methodology is described. The methods from different ways are conducted and the results of each method
are presented. Section 3 discusses the findings and their implications for research and practice. Finally, the last section concludes the paper and identifies its limitations.

2. Research background

Previous studies investigated user behavior found that the dominated demographic on the Internet using SNS and IM are young adults aged between 18 and 24 (Kisekka et al., 2013). According to the diffusion of innovation theory (Rogers, 1995), age is considered to be a very important factor to adopting new products. As mentioned in the introduction, there is a lack of empirical study to investigate on young user behavior in using mobile applications.

Use of a smartphone is becoming increasingly popular in Singapore. As the penetration of mobile phones in societies increases, there is a large growth in the use of mobile phones especially among the youth. And this study further contributes to the existing literatures by investigating how young users using smartphone apps.

It is therefore important to consider user behavior in order to implement successful mobile applications (Fich and Benbunan, 2007). However, there remains a shortage of empirical study on how to better understand the behavior of this group of young smartphone users in order to increase brand equity and enhance business performance in business-to-business markets. Besides, past research has focused on the importance of integrating young users rather than a deep study on the user behavior from user experience perspectives.

Although the strategies of attracting more young users is promising, it is not yet clear whether or not these strategies can be applied to users from mobile user experience perspective. As mentioned, theoretical frameworks and proven methodologies using young users to create better bond that can motivate users to connect better with this brand are lacking. There is also a need to measure the effectiveness on the inputs from this user segment. Little is known how to maximize the utilization of this young group to enhance customer satisfaction and to increase brand equity. Better understanding of how and why young users choose their practices for utilizing these mobile apps has significant implications for industrial marketing.

As such, the objectives of this paper will reflect the most recent advances on the marketing theories on young users in using social network and communication (IM) applications. And what implications could be obtained for industrial marketing and branding and to explore future research directions.

3. Methodology

Empirical data for this study was collected via a combined user study with different methods including usability testing, think aloud and observation. Final results were evaluated by customer satisfaction survey and customer behavior survey.
3.1 Data collection

Eight selected participants aged from 18 years to 24 years old were invited to gather data. These participants are all smart phone users with experience in using similar social communication app. In the meanwhile, all the participants are Singaporean owning a smart phone for more than 1 year. A voucher of S$50 was given to the participant. All participants were asked to conduct the different method to a new developed social networking app. The whole process for each participant was recorded and observed by UX investigators in long distance at the same time. Table 1 shows the demographics of the participants in the final sample.

<table>
<thead>
<tr>
<th>No</th>
<th>Name</th>
<th>Gender</th>
<th>Nationality</th>
<th>Age</th>
<th>Occupation</th>
<th>Smart Phone</th>
<th>Yrs. Using</th>
</tr>
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<tbody>
<tr>
<td>1</td>
<td>Michelle Kris Chew</td>
<td>Female</td>
<td>Singaporean</td>
<td>23</td>
<td>College Student</td>
<td>iPhone 5</td>
<td>1 year</td>
</tr>
<tr>
<td>2</td>
<td>Teo Chong Ming</td>
<td>Male</td>
<td>Singaporean</td>
<td>21</td>
<td>College Student</td>
<td>Samsung S2</td>
<td>1 year</td>
</tr>
<tr>
<td>3</td>
<td>Timothy Wong</td>
<td>Male</td>
<td>Singaporean</td>
<td>23</td>
<td>College Student</td>
<td>iPhone 4</td>
<td>3 years</td>
</tr>
<tr>
<td>4</td>
<td>Ang Kai Ting</td>
<td>Male</td>
<td>Singaporean</td>
<td>18</td>
<td>College Student</td>
<td>Samsung Note 2</td>
<td>1 year</td>
</tr>
<tr>
<td>5</td>
<td>Chua Keng Peng</td>
<td>Male</td>
<td>Singaporean</td>
<td>19</td>
<td>College Student</td>
<td>HTC one V</td>
<td>1 year</td>
</tr>
<tr>
<td>6</td>
<td>Bai</td>
<td>Female</td>
<td>Singaporean</td>
<td>22</td>
<td>College Student</td>
<td>iPhone 4S</td>
<td>2 years</td>
</tr>
<tr>
<td>7</td>
<td>Seet Sin Ying</td>
<td>Female</td>
<td>Singaporean</td>
<td>23</td>
<td>Nurse</td>
<td>Samsung S3</td>
<td>1 year +</td>
</tr>
<tr>
<td>8</td>
<td>Lim Li Ting</td>
<td>Female</td>
<td>Singaporean</td>
<td>20</td>
<td>College Student</td>
<td>Samsung S3</td>
<td>1 year +</td>
</tr>
</tbody>
</table>

3.2 Combination methods on user study

A combination of open, semi-open and close methods is conducted for this user study. Participants are put in a high fidelity simulated experiment environment and investigators and user experience experts are only allowed to observe user behavior from long distance. During the open playing around session, participants are not allowed to be interrupted. And they just put in a comfortable environment to explore freely with the apps. The first session is an open study session. Participants were observed and asked to think aloud during the first session of user study that are brief playing around session and exploring deeply session. The second session with follow-up usability tasks conducted later to collect information more specifically. It is a semi-open usability session as users are guided by facilitators with tasks prepared earlier and unfixed interview questions during a post interview session which is conducted to clarify certain special user behavior during the first 3 sessions from observation results. Before the end of the user study, a questionnaire survey is required to fill in with basic information, customer behavior survey and customer satisfaction survey.
Data were analyzed by investigators not involved in data collection. Analysis involved identification of action points with comparison of number and type of results identified with each of the four data collection techniques.

Methodology in the process of use study is shown in Figure 1 as below.

Figure 1: User Study Process with Stated Methods

**Think Aloud**

The first session, users are asked to freely play around with the app for 10 minutes after download the app. When Participants play around the app, they are required to use think aloud during the process that is say anything about the app that comes to their mind. For example, if they see something strange or bad or nice, etc., they are encouraged to speak loudly.

As participant are more familiar with the app and are ready to go back to the app for a second time to explore features more deeply for 20 minutes. They are required to explore the app using think aloud method again during this process. By the end of the freely playing around and further exploration, participants are asked 2 quick questions which are the best and worst experience in using the app.

**Observation and Post interview**

Both the open and semi-open sessions are observed by investigators. They raise questions during the third session after free playing around and usability testing been done. Interview session is conducted after 3 observation session ends. UX investigators are raising questions based on the observation from the first 3 sessions. These questions are changed case-by-case depends on the specific user behaviors. Examples of questions raised during this session are shown in Table 2.

Table 2: Examples of interview questions

<table>
<thead>
<tr>
<th>No.</th>
<th>Examples of Interview Questions</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>“How do you like the design of the smileys”</td>
</tr>
<tr>
<td>2.</td>
<td>“Why do you ignore the &quot;moments&quot; cell under social?”</td>
</tr>
<tr>
<td>3.</td>
<td>“Why do you try to swipe when viewing the photos”?</td>
</tr>
<tr>
<td>4.</td>
<td>“Why do you skip the user guide?”</td>
</tr>
<tr>
<td>5.</td>
<td>“How do you find the entrance to special smileys?”</td>
</tr>
<tr>
<td>6.</td>
<td>“How do you think the ‘clear chat history’?”</td>
</tr>
</tbody>
</table>
Usability Testing

A structural usability testing is conducted with fixed tasks prepared earlier. It aims to check the product design from user experience and human factors perspective. Success and failure rate and time duration is calculated for each task. Each participants are required to finish 5 tasks including: 1) start a group chat, 2) broadcast a message, 3) Add a new friend with provided phone number, 4) update profile and 5) send a multi-media message. Table 3 shows the tasks in order.

Table 3: Tasks in Usability Testing

<table>
<thead>
<tr>
<th>No.</th>
<th>Task Descriptions</th>
</tr>
</thead>
<tbody>
<tr>
<td>T1.</td>
<td>Start a group chat</td>
</tr>
<tr>
<td>T2.</td>
<td>Post a photo to public</td>
</tr>
<tr>
<td>T3.</td>
<td>Add a new friend with this phone number “96****47”</td>
</tr>
<tr>
<td>T4.</td>
<td>Update your profile</td>
</tr>
<tr>
<td>T5.</td>
<td>Send a multi-media message to your friend</td>
</tr>
</tbody>
</table>

Customer behavior Survey

Customer behavior survey obtained behavior data of this user in using IM and SNS together with other internet/application usage behavior. Questions including how long and how often they use such kind of app. Favorite features in using similar apps and any problems met together with how they identify a new app or from what resource they identified similar apps as well as their most frequently used websites or apps on mobile phones. Users are also asked about their acceptance in using multiple similar apps at the same time. All these questions are marketing related and help companies to make marketing strategies for this segment.

Customer satisfaction Survey

Finally, a customer behavior survey is conducted. Users are asked to rate the app and also give rating to similar apps. They are also asked if they would like to recommend this app to their friends.

4. Results and Discussions

All the data are analyzed from investigators and user experience experts in this study. Findings of user behavior from Singapore young mobile user (Table 4) and selected high quality inputs for product enhancement (Table 5) and problem shooting (Table 6) are identified and put into action points.
### Table 4: Findings from Singapore Young Mobile User Behavior

<table>
<thead>
<tr>
<th>No.</th>
<th>Descriptions</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>User tutorial and guide is intrusive to young users</td>
</tr>
<tr>
<td>2.</td>
<td>Singapore young mobile users prefer to separate communication and social networking in different applications</td>
</tr>
<tr>
<td>3.</td>
<td>Singapore young mobile users tend to be impacted significantly by peers to discover new things</td>
</tr>
<tr>
<td>4.</td>
<td>Singapore young mobile users don’t accept very cute and stylish design</td>
</tr>
<tr>
<td>5.</td>
<td>Singapore young mobile users show high loyalty to a IM and SNS applications</td>
</tr>
<tr>
<td>6.</td>
<td>Singapore young mobile users tend to express themselves in a more brave way</td>
</tr>
<tr>
<td>7.</td>
<td>Singapore young mobile users prefers social media marketing channels instead of traditional channels such as TV Ads, Radio and direct sales.</td>
</tr>
<tr>
<td>8.</td>
<td>Singapore young mobile users prefer the way of viral marketing and word-of-month from peers.</td>
</tr>
</tbody>
</table>

### Table 5: Enhancement points

<table>
<thead>
<tr>
<th>No.</th>
<th>Action Points</th>
<th>Methods</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Show overflow menu for all devices</td>
<td>Think Aloud</td>
</tr>
<tr>
<td>2.</td>
<td>Improve Android notification settings, e.g., customized notification forms &amp; tunes</td>
<td>Interview</td>
</tr>
<tr>
<td>3.</td>
<td>Add &quot;A-Z&quot; bar in name list</td>
<td>Think Aloud</td>
</tr>
<tr>
<td>4.</td>
<td>Remove automated user guide</td>
<td>Think Aloud</td>
</tr>
<tr>
<td>5.</td>
<td>Remove compulsory button to proceed</td>
<td>Observations</td>
</tr>
<tr>
<td>6.</td>
<td>Design more nice looking smileys</td>
<td>Interview</td>
</tr>
<tr>
<td>7.</td>
<td>Make entrance for group chat and broadcast visible</td>
<td>Usability Testing</td>
</tr>
<tr>
<td>8.</td>
<td>Send multiple photos in chat</td>
<td>Think Aloud</td>
</tr>
<tr>
<td>9.</td>
<td>Swipe to view more photos/videos</td>
<td>Observations</td>
</tr>
<tr>
<td>10.</td>
<td>Remember recent smileys and smileys</td>
<td>Think Aloud</td>
</tr>
<tr>
<td>11.</td>
<td>Smart recommend latest photos taken</td>
<td>Interview</td>
</tr>
</tbody>
</table>
Table 6 Problems identified by users

<table>
<thead>
<tr>
<th>No.</th>
<th>Action points</th>
<th>Methods</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Video sending: shouldn't change oriented direction to vertical</td>
<td>Usability Testing</td>
</tr>
<tr>
<td>2.</td>
<td>Send location in chat is crushed</td>
<td>Usability Testing</td>
</tr>
<tr>
<td>3.</td>
<td>Couldn’t add friends in chats tab</td>
<td>Usability Testing</td>
</tr>
<tr>
<td>4.</td>
<td>When add a friend to group chat, reminder of “Your friend didn’t support.” but still succeed to join this friend</td>
<td>Usability Testing</td>
</tr>
<tr>
<td>5.</td>
<td>Receive a new message, click to view and find it is still there after viewing</td>
<td>Observation</td>
</tr>
<tr>
<td>6.</td>
<td>Read status is not showing</td>
<td>Observation</td>
</tr>
<tr>
<td>7.</td>
<td>Video message has &quot;noise&quot;</td>
<td>Usability Testing</td>
</tr>
<tr>
<td>8.</td>
<td>Change gender icon didn't change the colors</td>
<td>Observation</td>
</tr>
</tbody>
</table>

In the data collection, four different data collection methods of think aloud, observation, customer behavior survey and customer satisfaction survey results in identification of different action points. These results suggest that a combination of data collection method may help to collect a rich data. Focus on think aloud and observation if similar user study is done to collect mobile user data for smart phone applications. Among the methods we could still see some differences. For example, compared to traditional way of structured task analysis and structural satisfaction survey, think aloud could get better results on potential enhancements as 45.5% of the enhancements are from think aloud. However, usability testing, which is a semi-structural user study method could help us to identify problems which is easily ignored by QA or testers inside the company. And overall, observations are an effective way for both enhancements and problem shooting as it contributed 26.3% of action points in total. Interview session could be a good supplementary for users to recall the missed needs during other sessions with the facilitating and leading from investigators.

Also, many interesting finding are obtained from this user study regarding young user behavior. As several studies have examined the relative importance of tutorials in app design, many empirical studies have provided some evidence that the link between a better design tutorial and the effectiveness in using the apps from ordinary users. This is because the tutorial information could help those users who lack of expertise of using the product could be more confident and properly tutorial or guide a necessity from classical usability theory by Nielsen (provide clues to users time to time when using the products). In mobile app design disciplines, users’ perceptions of a product are somehow deeply relying on the tutorial page and introduction to this product. Thus, good tutorial and guide could help users to have better experience when using the app. However, from the results, we could find that young people hate all kinds of tutorials; they are motivated to play around and find information by their own.

In the meanwhile, traditional user experience theory also emphasis on the simplicity and efficiency of using product for ordinary users. For most of young users, the social networking has two major functionalities: communication and social networking. It is assumed that users could fulfill the need for both purpose from 1 app, the satisfaction could
be much higher. While from the user study results, young users in Singapore wants to separate these two purpose and they find it is much simpler for them to manage 2 different apps at the same time which is quite out of the expectation from investigators and marketing folks.

Another interesting finding is that young mobile users are affected a lot by friends and they are motivated to be in a group of users. Most of them admitted that they discover or use a new app from friend’s recommendation instead of discovers the new app by their own. In the meanwhile, they want to express in a brave way that reflect in the app that they are willing to try different styles using expected design combinations. Besides, they are asking multiple smileys to better express their personality. It is having implication for application designers to make the design

And the most influential media to them are word of mouth and they prefer online media instead of TV ads or traditional press. Young mobile users use Facebook and Google to search and word of mouth from peers are the main source for them to accept a new product.

5. Conclusions

In this paper, young users’ behavior in using different Social networking and communication apps was studied. Our findings suggest that the usage of social networking and communication on smartphone are different from people using other apps. Smart phone i.e., iPhone and android plays a major role in determine users’ behavior toward the emerging apps. And the bond between apps and those young users are stronger than expected.

While our finding adds a significant contribution to understand young users’ behavior in using social networking and communication apps, there are limitations of this study that should be considered when designing future studies on related topics. First, individual differences between participants are not factored into the research model. Although a restriction is added when select participants such as age, nationality, years in using smartphone etc. There may still have individual differences among the selected participants.

Second, future studies may consider to enlarge the sample size, for example, to obtain participants from online resource. With a big sample, the accuracy of the action points and enhancements decisions would be further assured.

In addition, all the participants are from Singapore in this study while the usage of this communication and social networking app is worldwide. Our findings may not be applicable to other domain. In sum, despite these limitations, the current study adds valuable insights with regard to explaining the sophisticated behavior of young smart phone user in Singapore when using social networking and communication apps. Future studies on related topics may extend our findings by addressing these limitations.
Reference


Empirical Study on Influencing Factors of Enterprise Big Data Technologies Adoption

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ABSTRACT

The advent of Big Data era makes more and more enterprises start to seek market opportunities through data management, so as to form competitive advantages. Based on the Technology-Organization-Environment (TOE) framework, the paper explores the influencing factors of enterprise Big Data technology adoption intention. Besides, the paper takes organizational situation as mediator variable to analyse the process and mechanism of Big Data management. The empirical results show that technology, organization and environment are three important dimensions for the adoption of Big Data technology in enterprises. At the same time, the mediating effect of organizational situation has been partially verified. Technical characteristics can influence enterprise Big Data technology adoption through top support, organizational communication and strategic match. Organizational situation plays mediating role between environmental regulations and enterprise Big Data adoption intention. Finally, suggestions are proposed for introduction of Big Data technology in enterprise, including building enterprise Big Data ecosystem, improving enterprise strategic planning and cultivating Big Data industry chain.

Keywords: Big Data Technologies; information system adoption; TOE framework

1 Introduction

With the development of information technology and network technology, the data is increasing and accumulating at an amazing speed. The data created by global electronic equipment will be jumped to 35.2ZB by 2020[1] and Big Data era has arrived. As basic means of subsistence and market factors, data is as important as material capital and human capital in the new era. Big Data will be the main modes and key elements for enterprises to improve productivity and competitiveness. With the characteristics of Volume, Velocity, Variety and Veracity, Big Data can effectively help enterprises within a reasonable time complete the information acquisition, storage, analysis, mining and application, so as to grab commercial value from the

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massive data. Big Data has turned into the key link of all aspects in business from operation by-product, helping enterprise to enhance the market perception, so as to finishing the transition from supply driven to market driven. Therefore, management and use of value brought by Big Data has become the key for enterprises to obtain competitive advantage, as well as the scientific management and decision-making implementation based on Big Data driven.

Research on Big Data management oriented decision-making will help enterprises to clarify the complexity generated by data interaction, in order to deal with the uncertainty caused by data redundancy and lack of dual characteristics. At the same time, it helps control the emergence of data high-speed growth and cross connection, to make full use of the value of the data. According to IDC, the Big Data market will grow from $32 billion in 2010 to $170 billion in 2015, with compound annual growth rate of 40% [2]. Although the continuous mature of Big Data industry provides hardware and software support for enterprises to introduce Big Data management, timeliness, completeness and consistency of data acquisition cannot meet the requirements of enterprise Big Data management and control. Collection efficiency and accuracy still need to be enhanced, which hinders the pace of Big Data management adoption in a certain extent. In addition, the implementation of Big Data management also needs to consider organizational resources and market environment. Therefore, the adoption and implementation of Big Data management platform is a huge systematic project, which needs to consider many factors. Based on this, this paper takes Technology-Organization-Environment (TOE) as framework to explore enterprise Big Data management adoption intention and its influencing factors, so as to provide theoretical basis and effective countermeasures for enterprise to make scientific decision based on Big Data management.

2 Literature review and research hypothesis

As an important part of enterprise information construction, enterprise Big Data technology adoption belongs to IT/IS adoption. Related researches can be divided into individual level and organizational level. Individual level IS adoption theory researches are mainly based on social psychology and consumer behaviour theory, to study individual psychological process of technology adoption behaviour from the perspective of the receiving party perspective to discuss the influence from individual differences, system characteristics and other external factors through the intrinsic value of the individual on adoption behaviour to IT. The representative theory is the technology acceptance model (TAM) [3], and the theory of planned behaviour (TPB) [4] and the theory of reasoned action (TRA) [5]. Organization level IT/IS adoption researches mainly focus on the related factors of organization adoption decision, that is to say what factors influence the organizational decision-making process and results of IT/IS adoption. Organization level IT/IS adoption researches is mainly based on the
diffusion of innovation (DOI) and it has been constantly enriched and improved in the process of application. Tomatzky and Fleischer critically inherits the advantages of DOI, proposed Technology-Organization-Environment model, which thinks that adoption of innovation process is mainly influenced by environmental regulations, technical characteristics and organizational situations [6]. Due to the explosive growth of data, frequent changes in the economic and technological environment, enterprise information system construction present the trend of networking, collaborative complicated. Therefore, the adoption of Big Data technology is not only the simple superposition of individual adoption behaviours, but the result of interaction of technology, environment and organizational factors. Based on this, this paper takes Technology-Organization-Environment framework as the basis to explore the influence of different factors on enterprise Big Data technology adoption intention.

2.1 Technical characteristics and adoption intention

According to the diffusion of innovation theory, the factors which influence organizational technological innovation adoption include innovation characteristics, organizational characteristics and organizational environment, which determine the technological innovation adoption and diffusion in the organization together. Innovation characteristics refer to the technical features of the technology itself, which can be reflected by relative advantage, compatibility, complexity, testability and observability. The five variables have positive relationship with IT adoption [7]. On the basis of diffusion of innovation theory, combined with the specific characteristics of Big Data, the paper holds the view that the technical characteristics which influence enterprise Big Data technology adoption intention includes relative advantage, compatibility, complexity, observability and economic benefits. Relative advantages mainly refer to the advantages of Big Data compared to traditional data technology. Complexity is the difficulty in Big Data technology development and its operation dimensions. Compatibility focuses on the consistency degree of new technology and enterprise existing value, past experiences and demand. Observability refers to the interaction between Big Data technology and adopting enterprise, namely enterprise’s awareness and understanding of Big Data technology. Economic benefits mean the benefits to enterprises brought by Big Data technology adoption.

As a typical research to information system adoption, the adoption of enterprise Big Data management is firstly influenced by related technology characteristics of Big Data. On the one hand, Big Data with respect to the traditional data storage technology can more effectively use massive amounts of data to identify market opportunities prospectively and provide strong support for the enterprise management decision. The relative advantages of Big Data technology are also the main factors which affect the successful adoption of Big Data management [8]. Moreover,
compatibility is also the important factors which should be considered by the enterprise when introducing Big Data technologies. The compatibility of Big Data is not only embodied in the technical level, the matching degree of new technologies and existing information system, but also consistent with the organizational culture value, development demands and practical experience of enterprise. If enterprise status cannot match Big Data technologies, the implementation of Big Data management will encounter greater resistance, so as the adoption of new technologies [9]. At the same time, enterprises will also consider the benefits brought by new technology and implementation effect in the adoption of new information system. If the income is greater than the cost of implementation and the implementation effect is obvious, then enterprises will tend to adopt the new technology to improve the operational efficiency of enterprises. According to Rogers, complexity plays an important role in the adoption of organizational information technology. In general, the easier of a new technology to be understood and used, the more willing is enterprise to adopt [7]. In addition, sparsity, high dimension and heterogeneity of Big Data not only put forward higher requirements for Big Data storage and processing, but also increase the difficulty of data platform deployment and maintenance. Based on this, the paper proposes the following hypotheses.

H1: Technical characteristics have a significant effect on enterprise Big Data technologies adoption intention
H1a: Relative advantages of Big Data technology have a significant positive effect on enterprise Big Data technologies adoption intention
H1b: Complexity of Big Data technology has a significant negative effect on enterprise Big Data technologies adoption intention
H1c: Compatibility of Big Data technology has a significant positive effect on enterprise Big Data technologies adoption intention
H1d: Observability of Big Data technology has a significant positive effect on enterprise Big Data technologies adoption intention
H1e: Economic benefits of Big Data technology has a significant positive effect on enterprise Big Data technologies adoption intention

2.2 Organizational situation and adoption intention
The core of resource based theory holds the view that organizational resources are the basis for enterprises to obtain competitive advantage. This theory is concerned with the enterprise internal causes of information technology adoption, which means that manpower, material resources, finance and IT knowledge are the factors of affecting information technology adoption [10]. On the basis of resource based theory, this paper thinks that the factors which influence enterprise Big Data technologies adoption includes top support, resource readiness organizational communication and
strategic match. Top support is the behaviours of adoption decision makers on the new technology or services so as to give recognition and support to the implementation of Big Data management [11]. Resource readiness can be used to measure whether the organization has enough resources to take on the adoption of IT/IS, which focuses on the ability of enterprise to get the required resources ready for IT adoption [12]. Organizational communication is to achieve the goals of the organization by various media and channels between individuals within the organization. It fulfils management responsibilities and management functions in the process so as to conduct information, ideas and emotional communication effectively [13]. In addition, the introduction of Big Data technologies is also affected by the strategic match between enterprise and related technologies.

Top leaders usually have the ability to control all aspects in organizational interaction, which is an embodiment of authority resources within organization. The top support has a direct impact on enterprise’s Big Data technologies adoption intention. On the one hand, top leaders can allocate resources through its authority in organization. On the other hand, top support attitude will promote affiliate active use of new technology, thereby reducing the individual tacit boycott [13]. At the same time, Top leaders will help members to clear the significance of Big Data management adoption to enterprises through meetings, process reengineering design, so as to enhance adoption intention of enterprise to Big Data technologies. Resource readiness is an emphasis on the preparation of the organization in terms of material resources and management system before and after adoption of a new technology or service [14]. The interaction between the organization and the innovation technology is the result of diffusion of technologies in the organization through the information channel [12]. The main way of this diffusion is organizational communication. Organizational communication is to achieve the goals of the organization through various media and channels so as to exchange information, views and feelings to new system. Smooth communication environment is conducive to the effective use and promotion of Big Data technologies in the enterprise. In addition, corporate strategic planning, business process and Big Data technology matching also has influence on enterprise Big Data technology adoption intention. If the introduction of Big Data management helps to optimize enterprise business processes and promote the realization of enterprise strategy, Big Data technology adoption is the meaningful. Based on this, the paper proposes the following hypotheses.

H2: Organizational situation has a significant effect on enterprise Big Data technologies adoption intention

H2a: Top support has a significant positive effect on enterprise Big Data
technologies adoption intention

H2b: Resource readiness has a significant positive effect on enterprise Big Data technologies adoption intention

H2c: Organizational communication has a significant positive effect on enterprise Big Data technologies adoption intention

H2d: Strategic match has a significant positive effect on enterprise Big Data technologies adoption intention

2.3 Environmental regulations and adoption intention

From the perspective of institution based theory, social environment and institutional pressures are key factors which influence enterprise technology innovation adoption, meaning that organizations will make the adoption decision according to the social factors instead of economic factors [15,16]. Institution based theory analyses the adoption of innovation in enterprise from a more macro point of view, which makes a good complement for innovation adoption behaviour to the diffusion of innovation theory. The theory considered that organization’s innovation decision-making is determined by innovation return evaluation and trend pressure jointly. Based on this, this paper proposes the dimension of competition pressure and trend influence, social support and maturity of Big Data technology, to discuss the environmental regulations which affect enterprise Big Data technologies adoption. Competition pressure is formed during enterprise operation in order to avoid backward to the industry average level of performance. Trend influence refers that the independent, rational adoption behaviour started the trend of the adoption. Based on this, specification and competition pressure promote the trend further, so as to make the innovation continually diffusion [14]. Social support and Big Data technology market maturity respectively from the national policy level and the industrial development level discuss the environmental factors which influence enterprise Big Data technology adoption.

In the market economy environment, enterprises always face the pressure from various aspects. Innovation of upstream and downstream enterprise, development of competitor's business model and industry standards will bring great pressure to the enterprise. However, this kind of competition pressure is exactly the main motivation for enterprises to introduce Big Data technology to form the competitive advantages. The development trend of enterprise environment will also bring trend pressure for enterprise. Industry associations, government, media and professional organizations will play a positive guiding role on enterprise information system adoption. At the same time, Big Data management is being recognized by more and more enterprises. Enterprise informatization is also affected by the government policies, countries through the development of policies, measures and codes of conduct to guide and promote the development of enterprise informatization. Enterprises will reduce cost of building a platform for Big Data under the government policy. The protection from
relevant laws also makes the application of Big Data more secure and reliable [17]. In addition, due to the rapid development of information industry, there are multiple available Big Data software and application which have been tested by the practice, providing stable and reliable hardware support for enterprises to implement Big Data management. Enterprise Big Data management and application is gradually moving towards universality. Based on this, the paper proposes the following hypotheses.

H3: Environmental regulations have a significant effect on enterprise Big Data technologies adoption intention

H3a: Competition pressure has a significant positive effect on enterprise Big Data technologies adoption intention

H3b: Trend influence has a significant positive effect on enterprise Big Data technologies adoption intention

H3c: Social support has a significant positive effect on enterprise Big Data technologies adoption intention

H3d: Big Data technology market maturity has a significant positive effect on enterprise Big Data technologies adoption intention

2.4 Mediation effect of organizational factors

According to the Adaptive Structuration Theory and Diffusion of Innovation Theory, technology adoption activities is the interaction process between technology and organization, no matter diffusion of technology innovation to the organization inside, or organizational transformation to technology, both of them can only be achieved by organization channels [18]. Under the background of Big Data, business, operation and management activities shows the characteristics of high frequency real-time, deep customization, full cycle immersion interaction, cross organizational data integration and multi-subject decision etc., which brings new opportunities and challenges for enterprise Big Data management and decision. High-frequency real-time decision paradigm, methods and models of cross platform heterogeneous data business intelligence, coordination of multi subjects are the main problems faced by enterprises [19]. Introduction of Big Data technology requires not only the technology matching with subject itself, but also be suitable with tangible or intangible elements such as production equipment, organizational processes, organization culture, organization and management system. Compared to traditional data processing method, mass storage fast processing, various forms and precise analysis are the biggest advantages of Big Data technology, which are also the key factors which promote top leader to make the decision to adopt. At the same time, from the enterprise's own point of view, organization’s business content, business model is also in the dynamic changes, only with good compatibility and flexible information system, enterprises can adapt to the rapid development. To play the
effectiveness of Big Data technology, it is necessary to rely on the formation of IS capability based on certain IS resources. On the one hand, enterprises need to integrate the limited resources and capabilities of organization, so as to implement Big Data management better. On the other hand, enterprises should also make subversive innovation to the existing information management system and balance exploration innovation and exploitation innovation, so as to improve the enterprise's organizational ambidexterity, as well as make resources and capabilities relatively abundant for the Big Data management implementation. Besides, it promotes employee to understand Big Data management and accept the decision model based on Big Data technology better. That is to say, organizational situation plays a mediating role in technology characteristics and enterprise Big Data introduction. Based on this, the paper proposes the following hypotheses.

H4: Positive influence of technical characteristics on enterprise Big Data technologies adoption intention is mediated by organizational situation

H4a: Positive influence of technical characteristics on enterprise Big Data technologies adoption intention is mediated by top support

H4b: Positive influence of technical characteristics on enterprise Big Data technologies adoption intention is mediated by resource readiness

H4c: Positive influence of technical characteristics on enterprise Big Data technologies adoption intention is mediated by organizational communication

H4d: Positive influence of technical characteristics on enterprise Big Data technologies adoption intention is mediated by strategic match

In the case of urgent internal demand and external competitive pressure, enterprises will take more initiative to adopt new information system. On the one hand, development of competitor, cooperation and business model will bring pressure to corporate executives, which will make them take the initiative to understand Big Data and related technologies, and truly understand the advantages of Big Data management. On the other hand, the explosive growth of data makes the enterprise have more and more resources to use, and also put forward higher requirements for the management of resources and related technologies. The growing Big Data industry provides hardware and software support for enterprises to build Big Data management platform, which will not only lead to internal reflections on information system upgrade, communication within the organization will also become more frequent. At the same time, government policy, professional bodies and industry organizations guide and incentive policies also has a positive effect on the adoption of Big Data technology adoption, even in some degree will change the enterprise established the strategic policy and development planning, to help enterprise build the
information platform more efficiently [17]. In view of this, external environment factors have an important impact on enterprise Big Data technology adoption. But as the main body of big data technology adoption, enterprise is the decision makers and implementers of adopting behaviours. Thus, Big Data technology adoption is closely linked with the internal characteristics of the organization. Organizational resources reserves are the guarantee of organization innovation, which enables an organization to conduct innovation based on uncertain results, and according to the external environment changes constantly adjust strategy, finally to achieve enterprise innovation [21]. Based on this, the paper proposes the following hypotheses.

H5: Positive influence of environmental regulations on enterprise Big Data technologies adoption intention is mediated by organizational situation

H5a: Positive influence of environmental regulations on enterprise Big Data technologies adoption intention is mediated by top support

H5b: Positive influence of environmental regulations on enterprise Big Data technologies adoption intention is mediated by resource readiness

H5c: Positive influence of environmental regulations on enterprise Big Data technologies adoption intention is mediated by organizational communication

H5d: Positive influence of environmental regulations on enterprise Big Data technologies adoption intention is mediated by strategic match

3 Research Methods
3.1 Variable design

By theories and literature review above as well as taking the specific characteristics of Big Data technology into consideration, this paper develops research scale with Likert 5 scale, including a total of 15 constructs which is composed by 53 items. Technical characteristics includes relative advantage, compatibility, complexity, observability and economic benefits [10,13]. Organizational situation includes top support, resource readiness, organizational communication and strategic match [9,14]. Environmental regulations are composed by competition pressure, trend influence, social support and Big Data technology maturity [14]. Based on Fishbein and Ajzen’s research [4], this paper proposes adoption intention based on the specific characteristics of Big Data technology. Based on this, pre-test was conducted to 100 samples. After CITC analysis of the initial scale, the variable whose CITC value is less than 0.4 were deleted or modified and the final scale was formed.

3.2 Sampling and instrument

Data for our study were collected using a questionnaire, and sample was selected from middle or senior management personnel in enterprise. Questionnaires were distributed and filled combining targeted online survey and enterprise investigation. Total of 450 questionnaires were distributed and 373 valid questionnaires were
received in the survey, efficiency of 82.89%. Among them, Human resources positions accounted for 13.9%, financial management positions for 12.3%, IT technology positions for 32.2% operating management positions for 9.7% and other positions are 31.9%. In addition, the survey samples are mainly from private enterprises, accounting for about 52.0%, followed by state-owned enterprises and foreign-funded enterprises, respectively was 19.3% and 18.2%, collectively owned enterprises for 10.5%. As for enterprise scale, most of samples are from small and medium-sized enterprises, whose sales are mainly concentrated in 50 million-5 billion yuan, accounting for 64.9%. 75.1% of enterprise’s employee number is less than 1000. In addition, more than three quarters of the enterprise think that Big Data technology has obvious advantages when compared with the traditional data processing method. 82.8% of respondents believe that introduction of Big Data technologies can help enterprises to improve operational efficiency, and 77.2% of the managers expressed their willingness to set up a professional team to support the implementation of Big Data management.

3.3 Scale reliability and validity
With the help of SPSS 19.0, this study has made the reliability and validity analysis of 373 valid samples. This paper uses Cronbach’s $\alpha$ to test the reliability of variables. As is shown in the Table 1, Cronbach's $\alpha$ reliability coefficient of each variable is in the acceptable range, meaning that internal consistency of variables is good.

<table>
<thead>
<tr>
<th>Constructs</th>
<th>Variables</th>
<th>Item numbers</th>
<th>Cronbach’s $\alpha$</th>
<th>KMO</th>
<th>Total Variance Explained (%)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Technical characteristics</td>
<td>Relative advantage ($RS$)</td>
<td>4</td>
<td>0.593</td>
<td>0.659</td>
<td>45.248</td>
</tr>
<tr>
<td></td>
<td>Complexity ($CPL$)</td>
<td>4</td>
<td>0.709</td>
<td>0.749</td>
<td>53.405</td>
</tr>
<tr>
<td></td>
<td>Compatibility ($CPA$)</td>
<td>5</td>
<td>0.775</td>
<td>0.820</td>
<td>52.704</td>
</tr>
<tr>
<td></td>
<td>Observability ($OB$)</td>
<td>3</td>
<td>0.603</td>
<td>0.640</td>
<td>55.804</td>
</tr>
<tr>
<td></td>
<td>Economic benefits ($EB$)</td>
<td>3</td>
<td>0.590</td>
<td>0.627</td>
<td>55.052</td>
</tr>
<tr>
<td>Organizational situation</td>
<td>Top support ($TS$)</td>
<td>5</td>
<td>0.779</td>
<td>0.797</td>
<td>53.332</td>
</tr>
<tr>
<td></td>
<td>Resource readiness ($RR$)</td>
<td>4</td>
<td>0.742</td>
<td>0.750</td>
<td>54.480</td>
</tr>
<tr>
<td></td>
<td>Organizational communication ($OC$)</td>
<td>4</td>
<td>0.733</td>
<td>0.761</td>
<td>55.672</td>
</tr>
<tr>
<td></td>
<td>Strategic match ($SM$)</td>
<td>3</td>
<td>0.576</td>
<td>0.628</td>
<td>54.144</td>
</tr>
<tr>
<td>Environmental regulations</td>
<td>Competition pressure ($CP$)</td>
<td>4</td>
<td>0.636</td>
<td>0.696</td>
<td>47.941</td>
</tr>
<tr>
<td></td>
<td>Trend influence ($TI$)</td>
<td>4</td>
<td>0.683</td>
<td>0.735</td>
<td>51.407</td>
</tr>
<tr>
<td></td>
<td>Social support ($SS$)</td>
<td>3</td>
<td>0.542</td>
<td>0.609</td>
<td>52.220</td>
</tr>
<tr>
<td></td>
<td>Big Data technology</td>
<td>4</td>
<td>0.751</td>
<td>0.773</td>
<td>57.305</td>
</tr>
</tbody>
</table>
The paper takes factor analysis of latent variables with principal component analysis and gets the rotated factor based on the maximum variance method. The results show that all variables’ KMO value is higher than 0.6 and only one common factor is extracted in each latent variable. In addition, total variance explained is almost above 50%, indicating that the hypotheses of this study are reasonable and feasible in mathematical structure.

4 Empirical analysis and hypothesis testing

This paper adopts multiple stepwise regressions to explore the impact of technical, organizational and environmental factors on enterprise Big Data technology adoption intention. Based on this, discuss the mediation effect of organizational situation in technical characteristics and environmental regulations’ influence on Big Data technology adoption. During the testing process, this study give full consideration to the Durbin Watson value (be in 1.5-2.5) and variance inflation factor (VIF) (less than 10), so as to eliminate the collinearity problem to ensure the scientific research results.

4.1 Technical characteristics’ influence on adoption intention

Through multiple stepwise regressions, technical characteristics’ influence on adoption intention is shown in the Table 2.

<table>
<thead>
<tr>
<th>Model</th>
<th>Unstandardized Coefficients</th>
<th>Standardized Coefficients</th>
<th>t</th>
<th>Sig.</th>
<th>Collinearity Statistics</th>
<th>Durbin-Watson</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>B</td>
<td>Std. Error</td>
<td>Beta</td>
<td></td>
<td></td>
<td>Tolerance</td>
</tr>
<tr>
<td>1</td>
<td>(Constant)</td>
<td>2.891</td>
<td>0.356</td>
<td></td>
<td></td>
<td>8.109</td>
</tr>
<tr>
<td>RS</td>
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<td>0.047</td>
<td>0.526</td>
<td>11.919</td>
<td>0</td>
<td>1</td>
</tr>
<tr>
<td>2</td>
<td>(Constant)</td>
<td>1.911</td>
<td>0.363</td>
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<td>5.259</td>
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<td>RS</td>
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<td>0.39</td>
<td>8.491</td>
<td>0</td>
<td>0.82</td>
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<tr>
<td>EB</td>
<td>0.318</td>
<td>0.045</td>
<td>0.322</td>
<td>7.012</td>
<td>0</td>
<td>0.82</td>
</tr>
<tr>
<td>CPA</td>
<td>0.107</td>
<td>0.031</td>
<td>0.178</td>
<td>3.444</td>
<td>0.001</td>
<td>0.629</td>
</tr>
</tbody>
</table>

a. Dependent Variable: Adoption intention

Technical characteristics include relative advantage, complexity, compatibility, observability and economic benefits. As is shown in the Table 2, relative advantage, economic benefits and compatibility enter the model, which means the three variables have a significant positive impact on enterprise Big Data technology adoption.
intention. Therefore, hypothesis H1 is supported partly, in which hypothesis H1a, H1c, H1e are proved, and H1b, H1d has not been validated. On the one hand, developing Big Data technology makes Big Data applications easier to use. On the other hand, difficulty of quantifying the performance of Big Data management also may weaken observability of Big Data application, so as to influence enterprise Big Data technology adoption intention.

4.2 Organizational situation’s influence on adoption intention

Through multiple stepwise regressions, organizational situation’s influence on adoption intention is shown in the Table 3.

<table>
<thead>
<tr>
<th>Model</th>
<th>Unstandardized Coefficients</th>
<th>Standardized Coefficients</th>
<th>t</th>
<th>Sig.</th>
<th>Collinearity Statistics</th>
<th>Durbin-Watson B</th>
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</thead>
<tbody>
<tr>
<td></td>
<td>B</td>
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<td>Beta</td>
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<td>1.964</td>
</tr>
<tr>
<td>1</td>
<td>(Constant)</td>
<td>3.639</td>
<td>0.258</td>
<td>14.118</td>
<td>0</td>
<td></td>
</tr>
<tr>
<td></td>
<td>TS</td>
<td>0.335</td>
<td>0.025</td>
<td>0.578</td>
<td>13.649</td>
<td>1</td>
</tr>
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<td>2</td>
<td>(Constant)</td>
<td>2.258</td>
<td>0.329</td>
<td>6.87</td>
<td>0</td>
<td>0.817</td>
</tr>
<tr>
<td></td>
<td>TS</td>
<td>0.265</td>
<td>0.026</td>
<td>0.458</td>
<td>10.264</td>
<td>1.224</td>
</tr>
<tr>
<td></td>
<td>SM</td>
<td>0.312</td>
<td>0.05</td>
<td>0.281</td>
<td>6.307</td>
<td>1.224</td>
</tr>
<tr>
<td>3</td>
<td>(Constant)</td>
<td>2.079</td>
<td>0.324</td>
<td>6.425</td>
<td>0</td>
<td>0.502</td>
</tr>
<tr>
<td></td>
<td>TS</td>
<td>0.178</td>
<td>0.032</td>
<td>0.308</td>
<td>5.538</td>
<td>1.993</td>
</tr>
<tr>
<td></td>
<td>SM</td>
<td>0.246</td>
<td>0.051</td>
<td>0.222</td>
<td>4.855</td>
<td>1.346</td>
</tr>
<tr>
<td></td>
<td>OC</td>
<td>0.176</td>
<td>0.041</td>
<td>0.251</td>
<td>4.345</td>
<td>2.152</td>
</tr>
</tbody>
</table>

a. Dependent Variable: Adoption intention

Organizational situation includes top support, resource readiness, organizational communication and strategic match. It can be seen from Table 3 that top support, strategic match and organizational communication enter the model, indicating that the three variables have a significant positive impact on enterprise Big Data technology adoption intention. Thus, H2 is partly supported, in which H2a, H2c, H2d are proved, while H2c is not verified. Manpower, financial resources, material resources and IT knowledge are key elements in successful implementation of the information system. However, they are not verified in this paper. The result may be related with trend of Big Data capitalization, industry vertical integration and extensive Internet. Enterprises have already recognized the importance of data thus they make the related resources ready in advance. As a result, resource readiness is no longer decisive factor which influence enterprise Big Data technology adoption intention.

4.3 Environmental regulations’ influence on adoption intention

Through multiple stepwise regressions, environmental regulations’ influence on adoption intention is shown in the Table 4.
<table>
<thead>
<tr>
<th>Model</th>
<th>Unstandardized Coefficients</th>
<th>Standardized Coefficients</th>
<th>t</th>
<th>Sig.</th>
<th>Collinearity Statistics</th>
<th>Durbin-Watson B</th>
</tr>
</thead>
<tbody>
<tr>
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<td>B</td>
<td>Std. Error</td>
<td>Beta</td>
<td>Tolerance</td>
<td>VIF</td>
<td></td>
</tr>
<tr>
<td>1</td>
<td>(Constant)</td>
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<td>.325</td>
<td>10.372</td>
<td>.000</td>
<td>1.958</td>
</tr>
<tr>
<td></td>
<td>TI</td>
<td>.451</td>
<td>.039</td>
<td>.517</td>
<td>11.630</td>
<td>.000</td>
</tr>
<tr>
<td>2</td>
<td>(Constant)</td>
<td>2.311</td>
<td>.353</td>
<td>6.556</td>
<td>.000</td>
<td></td>
</tr>
<tr>
<td></td>
<td>TI</td>
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<td>.041</td>
<td>.383</td>
<td>8.059</td>
<td>.000</td>
</tr>
<tr>
<td></td>
<td>SS</td>
<td>.325</td>
<td>.052</td>
<td>.296</td>
<td>6.238</td>
<td>.000</td>
</tr>
<tr>
<td>3</td>
<td>(Constant)</td>
<td>1.859</td>
<td>.359</td>
<td>5.183</td>
<td>.000</td>
<td></td>
</tr>
<tr>
<td></td>
<td>TI</td>
<td>.253</td>
<td>.044</td>
<td>.290</td>
<td>5.706</td>
<td>.000</td>
</tr>
<tr>
<td></td>
<td>SS</td>
<td>.248</td>
<td>.054</td>
<td>.227</td>
<td>4.637</td>
<td>.000</td>
</tr>
<tr>
<td></td>
<td>CP</td>
<td>.208</td>
<td>.047</td>
<td>.230</td>
<td>4.446</td>
<td>.000</td>
</tr>
<tr>
<td>4</td>
<td>(Constant)</td>
<td>1.769</td>
<td>.356</td>
<td>4.964</td>
<td>.000</td>
<td></td>
</tr>
<tr>
<td></td>
<td>TI</td>
<td>.217</td>
<td>.046</td>
<td>.248</td>
<td>4.746</td>
<td>.000</td>
</tr>
<tr>
<td></td>
<td>SS</td>
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<td>.056</td>
<td>.182</td>
<td>3.574</td>
<td>.000</td>
</tr>
<tr>
<td></td>
<td>CP</td>
<td>.190</td>
<td>.047</td>
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<td>4.085</td>
<td>.000</td>
</tr>
<tr>
<td></td>
<td>TM</td>
<td>.096</td>
<td>.033</td>
<td>.148</td>
<td>2.931</td>
<td>.004</td>
</tr>
</tbody>
</table>

a. Dependent Variable: Adoption intention

Environmental regulations include competition pressure, trend influence, social support and Big Data technology maturity. The Table 4 shows that all the factors of environmental regulations enter the model. Thus, the four variables have significant positive influence on enterprise Big Data technology adoption intention. H3 is supported, as well as H3a, H3b, H3c and H3d. This result shows that Environmental regulation plays an important role in the process of promoting the adoption of Big Data technology and building Big Data management platform.

### 4.4 Mediation effect analysis

This paper tests mediation effect of organizational situation mainly based on Wen Zhonglin’s research, so as to discuss how technical characteristics and environmental regulations affect the adoption of Big Data technology adoption intention through organizational situation. Wen makes the definition of mediator variable that based on the independent variable X’s effect on dependent variable Y, if variable X can affect variable Y through variable M, then M is the mediator variable, which plays the mediating effect between variable X and variable Y \[22\]. In order to test the mediation effect of organizational situation, this paper takes five variables of technical characteristics, four variables of organizational situation, four variables of environmental regulations as independent variables and adoption intention as dependent variables to make multiple regression analysis. On the basis of this, make five variables of technical characteristics and four variables of environmental regulations as independent variables and our variables of organizational situation as
dependent variable for multiple regression analysis, and the results are shown in Table 5.

Table 5 Mediation effect analysis of organizational situation

<table>
<thead>
<tr>
<th>Dimensions</th>
<th>Independent variable</th>
<th>Dependent variable (Standardized Coefficients)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>AI</td>
</tr>
<tr>
<td>Technology</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>RS</td>
<td>0.320***</td>
</tr>
<tr>
<td></td>
<td>CPL</td>
<td>-0.40</td>
</tr>
<tr>
<td></td>
<td>CPA</td>
<td>0.145**</td>
</tr>
<tr>
<td></td>
<td>OB</td>
<td>0.087</td>
</tr>
<tr>
<td></td>
<td>EB</td>
<td>0.206***</td>
</tr>
<tr>
<td>Organization</td>
<td>TS</td>
<td>0.288***</td>
</tr>
<tr>
<td></td>
<td>RR</td>
<td>-0.056</td>
</tr>
<tr>
<td></td>
<td>OC</td>
<td>0.227***</td>
</tr>
<tr>
<td></td>
<td>SM</td>
<td>0.215***</td>
</tr>
<tr>
<td>Environment</td>
<td>CP</td>
<td>0.211***</td>
</tr>
<tr>
<td></td>
<td>TI</td>
<td>0.248***</td>
</tr>
<tr>
<td></td>
<td>SS</td>
<td>0.182***</td>
</tr>
<tr>
<td></td>
<td>TM</td>
<td>0.148**</td>
</tr>
</tbody>
</table>

*: P<0.05; **: P<0.01; ***: P<0.001

According to Wen Zhonglin’s method of testing mediation effect, to test the existence of mediation effect, independent variables should firstly have significant influence on dependent variables. Based on this, independent variable should also have significant effect on mediator variables. Finally, mediator variables should also have a significant effect on dependent variables. According to Table 5, relative advantage, compatibility and economic benefits has a significant positive effect on adoption intention, which also has positive influence on top support, organizational communication, and strategic match respectively. At the same time, top support, organizational communication, and strategic match affect enterprise Big Data technology adoption intention positively. Thus, mediation effect of top support, organizational communication, and strategic match are proved, and hypothesis H4 has been verified partly. In other words, most of the technical characteristics of Big Data can influence the adoption decision of enterprises through the organizational situation, which is consistent with resources integration and strategic planning in enterprise. Organizational technical transformation and innovation diffusion should be achieved through organizational channels. Similarly, competition pressure, trend influence can affect enterprise Big Data technology adoption intention through top support, organizational communication, strategic match. Besides, social support can also influence the adoption intention through strategic match. In addition, top support and
organizational communication play the mediating role between Big Data technology maturity and adoption intention, H5 being verified partially. In view of this, although environmental regulations have an important impact on the enterprise Big Data technology adoption, as a key link between external environment and enterprise, organizational factors also play important role. Top support and organizational communication can keep enterprises informed of changes in the external environment, so as to make full preparation for the introduction of Big Data management.

5 Conclusions and suggestions

5.1 Conclusions

Following the logic of scientific research, this paper uses TOE framework as the basis to explore the factors influencing enterprise Big Data adoption intention. Based on this, the paper takes organizational situation as mediator variable to discuss process and mechanism of enterprise Big Data adoption. According to the results of empirical research, this paper considers that technology, organization and environment are three important dimensions for the adoption of Big Data technology in enterprises. Specifically, compared with the traditional data processing technology, Big Data technology has obvious advantages. Economic benefits brought by Big Data technologies, matching degree of Big Data technology with existing enterprise information systems, enterprise culture are the main technical factors which should be considered in making Big Data technology adoption decision. Support and encourage from top leaders will effectively promote the introduction of Big Data management, and regular organizational communication is the catalyst for Big Data adoption. In addition, strategic planning of enterprises is also the main organizational factors for Big Data adoption. As for the environmental factors, pressure from competitors or partners forms the environmental influence of enterprise adoption decision. The rise of Big Data management urges enterprises to follow the trend to ensure the competitive advantage. Besides, government's preferential policies and increasing maturity of Big Data technology market will further increase the attractiveness of Big Data technology and Big Data management platform for enterprise. The mediation effect of organizational situation has been proved partially. Technical characteristics can influence enterprise Big Data technology adoption indirectly through top support, organizational communication and strategic match. Organizational situation plays mediating role between environmental regulations and enterprise Big Data adoption intention. In general, research conclusion is basically consistent with the research hypotheses. On the one hand, it provides the theoretical basis for the implementation of enterprise Big Data management. On the other hand, it also enriches the application of technology adoption theory.

5.2 Suggestion
5.2.1 Build enterprise Big Data ecosystem to develop technological advantages

Enterprises should construct Big Data ecosystem, to integrate every link of enterprise operation into the ecosystem through the data sharing and cooperative value creation, so as to reflect advantages of Big Data in each link of operation. At the same time, improve the data quality, and upgrade analysis method, in order to enhance the compatibility of Big Data technology and enterprise existing information system, so as to explore the real valuable information to help enterprises to make scientific decisions, and finally improve the economic efficiency of enterprises.

5.2.2 Improve enterprise strategic planning to seize the opportunities in Big Data era

Enterprises can adjust and perfect the existing strategic planning according to Big Data’s characteristics of Volume, Velocity, Variety and Veracity. Firstly, strengthen the monitoring of market environment. Based on this, develop or introduce Big Data storage and analysis technology positively. Give full play to the mediating effect of organization and convey Big Data concepts to the lower level employees from senior managers. At the same time, enterprise should set up a Big Data management personnel cultivation mechanism, to reform and optimize the management mode. Based on this, fully and effectively use data in order to truly grasp the opportunities in the era of Big Data. Based on the improved strategic planning, enterprise should build the Big Data management platform to achieve the goal of promoting enterprise intelligence quotient and breaking down the data gully, so as to make the business decision and strategic development more scientifically.

5.2.3 Create a good industrial environment to cultivate Big Data industry chain

The government should encourage enterprises to carry out the innovation in Big Data related technology application, in order to seek a breakthrough in the massive data crawl, data storage, data mining. At the same time, develop technical standards and operational standards of Big Data, and vigorously strengthen the infrastructure of network to guarantee the development of Big Data industry. Finally, start the relevant legislation to protect information privacy from the legal level, and solve the user privacy issues, so as to provide a good external environment for the introduction of enterprise Big Data technology.

ACKNOWLEDGEMENT
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References
An Empirical Examination of Factors Affecting Consumer Adoption of Health Service based on the Internet of Things

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ABSTRACT

Health service based on the internet of things has just begun to face the market in recent years. The preliminary problem is to get large scale of consumer adoption. Drawing on the UTAUT theory and perceived risk, adding in cost and privacy concern, a model of factors affecting the adoption of health service based on the internet of things was proposed. Structural equation modeling analysis was conducted to test the hypotheses. The results indicated that performance expectancy and social influence can positively affect consumer adoption behavior through increasing adopting intention, whereas cost can negatively affect adoption intention and decries adoption behavior of customers. Perceived risk has direct negative effect on consumer adoption behavior. This research implies that service providers need to focus on performance expectancy, social influence, perceived risk, and service price in order to achieve effective market promotion.

Keywords: the internet of things; health service; consumer adoption

1. Introduction

The health service based on the internet of things (the IoT) is a great attempt of applying IoT technology into health care industry which extended the influence of the IoT largely in terms of affect degree and range of application. This innovation brings consumer lots of benefits and also issues as personal privacy leakage and security threats. The main cause is that this kind of health service works with sensitive information of the customer such as one’s physiological indicators, orientation, and other messages about personal status [1]. The fact leads to it that customers must take great risk to adopt the service. People are increasingly concerned about privacy and security in recent years, which makes it really difficult for health service based on the IoT to occupy the market. Thus it is necessary to research on and facilitate consumer adoption of health service based on the IoT.

The health service based on the IoT is a smart network system. It can collect physiological and athletic information of the human body intelligently through sensing devices and conduct data preprocessing. Then the healthy information will be delivered to the decision center though transmission network for storage and analysis. Finally, it
will achieve a series of health service from health warning to emergency rescue \cite{2-3}. It is capable of provide a pouch of helpful services such as telemedicine, mobile nursing, medical service, Smart pharmacy and intelligent health management. Study on the theoretical problems should play a crucial role in attempt to promote the application of this health service.

As a new type of information of technology, the IoT has drawn the attention of a large number of scholars who have mainly studied from mainly the technical level \cite{4-6}. But recently scholars also conduct research on the management level and focus on the adoption of the core technology of IoT, the RFID technology. Samuel et al. made comment on the papers related to RFID that were published in top journals in the field of information system from year 2000 to 2011 and found out that nearly half of those researches were themed after RFID adoption and use \cite{7}. As for the health service based on the IoT, study from the management perspective theoretically has just started and papers are much less. Lee et al. conducted an exploratory research on the RFID adoption in the medical industry and found that supporters are the most important factors \cite{8}. Fekri et al. pointed out that the future adoption of the RFID technology depends importantly on the acceptance by patients and doctors besides the technical status \cite{9}. Bendavid described the application of RFID technology in the medical system and it is needed to address the privacy and security issues \cite{10}. Fisher et al. took three years to study 23 hospitals in the US and discovered that physical environment and organizational culture of the hospital are crucial for effect of RTLS application \cite{11}. Rosenbaum also suggested that security and privacy concern limit the adoption of RFID in health care \cite{12}. However, these studies mainly come in the hospital perspective and did not solve the problem of consumer adoption.

McCullagh et al. explored the potential application of the Internet of things for health care, and pointed out that the current technical level leads to no obstacles, but there lack the system solutions for facilitating the promotion and application of technology \cite{13}. Aimed for identifying the factors affecting consumer adoption of products and service based on new technology, Venkatesh proposed the Unified Theory of Acceptance and Use of Technology (UTAUT) in 2003 \cite{14}. The UTAUT model was then commonly applied and focused by other scholars. On the basis of the UTAUT, the model, structures and methods of testing was studied \cite{15-16}. Scholars also conducted lots of research to study the consumer adoption of new technology drawing from the UTAUT model. Yuen et al. examined the crucial factors affecting consumer acceptance of Internet banking services in both the developed and developing countries \cite{17}. Thong et al. studied on the consumer adoption of personal information and communication technology services \cite{18}. Miltgen et al. checked the determinants of end-user acceptance of biometrics \cite{19}. According to UTAUT model and previous research, it also applies to explain consumer adoption process of health services based on the IoT. So we take the
UTAUT theory as the foundation to conduct the study on consumer adoption of health service based on the IoT.

Researches on the health services based on the IoT in home and abroad come across the adoption issue, but not from the consumer perspective and lack the fitness for application to this specific industry. In our study, the general consumer adoption model, the UTAUT, was expended with the unique characteristics of this type of health service. The model can provide an advanced fitness and facilitate in the promotion progress of the health service.

2. Theory and hypotheses
2.1 The UTAUT
The UTAUT integrated eight classical models and attributed the psychological conditions that affect people's willingness to use a technology to four determining factors, Performance Expectancy(PE), Effort Expectancy(EE), Social Influence(SI) and Facilitating Conditions(FC), as well as four moderating factors, Gender, Age, Experience and Voluntary\[14\]. “Performance Expectancy”, as the most powerful motivation, refers to users’ belief of the extent to which the use of a certain information technology can improve their work performance. “Effort Expectancy” refers to users’ belief of the extent to which the use of the information technology can reduce their working intensity. “Social Influence” refers to users’ belief of to what extent will the people they care about (friends, colleagues, etc.) agree or support them to use the information technology. “Facilitating Conditions” refers to availability of resources required to use the service. The FC has a direct effect on consumer behavior while the other three work on the intention of use to indirectly affect the use behavior. In addition, the four moderating factors play the role of regulating the impact of the four main factors on use behavior.

The health service based on the IoT is a type of new information technology that suits the application of the UTAUT theory. This study focuses on the impact of the common consumer adoption of health service based on the IoT, the moderating factors are out of concern. Drawing from above theory, we propose H1-H5.

- **H1**: Performance Expectancy positively affects intention to use.
- **H2**: Effort Expectancy positively affects intention to use.
- **H3**: Social Influence positively affects intention to use.
- **H4**: Facilitating Conditions positively affects use behavior.
- **H5**: Intention to use positively affects use behavior.

2.2 Perceived Risk
Perceived Risk(PR) was firstly proposed and implied in the study of consumer behavior by Bauer in 1960\[20\]. He pointed out that the outcome of any action by the consumer is uncertain, and some of the results can bring customer unpleasant feelings. And the perceived risk was divided into two aspects, the uncertainty of behavior results
and the seriousness of the consequences of wrong behavior. Thereafter the scholars have carried on further researches and reclassified perceived risk. The six factor classification proposed by Robert and Kjell was widely used by scholars. With the development of society and advance in technology, the six factor classification can no longer reflect all the risk of consumer, privacy risk was added in by Featherman et al. in the e-commerce environment [21].

Perceived risk brings consumer negative feelings of service experience, and has blocking effect to the adoption of service. For the majority of common customers are not familiar with the health service based on the IoT, there exists great uncertainty about the product effect and the quality of follow-up service. There would be huge amount of relevant perceived risk which will largely reduce the willingness of purchase. Thus we propose that perceived risk, as an important factor, will decrease consumer intention to use the health service based on the IoT.

H6: Perceived risk negatively affects intention to use.

2.3 Cost
Cost refers to the extra charge of money that is needed to use the health service based on the IoT. The type of health service of this study, as the coagulation of numerous research achievements, could be costly. Moreover, the promotion period could be a large consumption of samples leading to a much expensive service price. Common consumers are sensitive to the money expenditure which is relatively higher than general products. Cost is bound to become a major obstacle to consumer adoption of the health services based on the Internet of things. Based on this, we propose H7.

H7: Cost negatively affects intention to use.

2.4 Privacy Concern
Scholars in the field of management introduce the concept of privacy concern in the study of consumer altitude towards privacy. But the definition differs from different scholars. Campbell proposed that privacy concern is the level of the individual’s subjective perception of the corresponding privacy situation which is influenced by personal experience and living environment as well as industry, culture, laws and regulations [22-24]. Dinev and Hart defined the privacy concern as attention paid to the privacy information leaking, that consumer give the B2C internet willingly or inadvertently [25]. The basic function of health service based on the IoT is to collect the physical information of user’s body and take the corresponding treatment. And there exists possibility of information leaking at the same time. As consumers paying more and more attention to personal privacy, privacy issues become particularly important for the adoption of service. As a characteristic of privacy concern, it will decrease the consumer intention to use.

H8: Privacy concern negatively affects intention to use.

Fig.1 presents the research model.
3. Method

The research model includes nine structures each of which was measured with multiple items. All the items were adapted from extant researches in order to improve content validity. Back translation method was used to guarantee the accuracy of language expression because items mainly come from English papers. After the development of instrument, it was tested among a group of people. And according to their comments, we revised some items to improve the clarity and understandability. The instrument items of PE, EE, SI, FC, intention to use and use behavior were adapted from researches [26-30], items of PR came from papers [31-32], items of cost were adapt from researches [33-35] and items of Privacy concern came from researches [36-37].

This research is aimed to study the behavior psychology of the general consumer and the study objects are the general consumer groups with general public consumers and online consumers included. Data were collected separately in two times. The first data collection was conducted by the shopping center and public places in Weihai City, where common customers usually show up frequently. The second part of data was collected through the internet. We got totally 361 questionnaires of which there were 334 valid questionnaires. The service object of health service based on the IoT is mainly aged people, but the purchase decision maker is usually the middle-age consumer. This research object was focused on the middle and young people. Among all the valid responses, 58% were males and 42% were females. Most of them (84%) were between twenty-three to fifty years old, who are the real decision maker. The majority of them (69%) did not know much about the health service based on the IoT which reflects that the service still needs efficient promotion.

Following the two-step approach recommended by Anderson and Gerbing, we examined the measurement model to test reliability and validity firstly. Then the
structural model was examined to test the research hypotheses and model fitness.

4. Results

4.1 Reliability and Validity

The reliability was analyzed through software SPSS, the alpha value and item deleted alpha value was shown in Table 1. Item deleted alpha value refers to the alpha value it can reach to after deleting the item while the number of remaining items for the value is still over two. Most of the alpha value reached 0.7, suggesting a good reliability.

<table>
<thead>
<tr>
<th>Factor</th>
<th>α value</th>
<th>Item deleted α value</th>
</tr>
</thead>
<tbody>
<tr>
<td>Performance Expectancy (PE)</td>
<td>0.714</td>
<td>--</td>
</tr>
<tr>
<td>Effort Expectancy (EE)</td>
<td>0.624</td>
<td>--</td>
</tr>
<tr>
<td>Facilitating Conditions (FC)</td>
<td>0.636</td>
<td>--</td>
</tr>
<tr>
<td>Social Influence (SI)</td>
<td>0.695</td>
<td>0.721</td>
</tr>
<tr>
<td>Perceived risk</td>
<td>0.648</td>
<td>0.735</td>
</tr>
<tr>
<td>Privacy concern</td>
<td>0.671</td>
<td>--</td>
</tr>
<tr>
<td>Cost</td>
<td>0.713</td>
<td>--</td>
</tr>
<tr>
<td>Intention to use</td>
<td>0.706</td>
<td>--</td>
</tr>
<tr>
<td>Use behavior</td>
<td>0.781</td>
<td>--</td>
</tr>
</tbody>
</table>

Then we conducted an exploratory factor analysis (EFA) to examine the validity. KMO and Bartlett test were conducted and the results showed that the KMO value was 0.804, and the Bartlett test was significant at 0.001, indicating that principal component analysis was suitable. After the factor rotation, we deleted the items with the factor load less than 0.5 (EE1, PE5, G1, EE3, SI2, G3), the remaining items showed good construct validity. Then we recalculated the affected alpha value and they were still acceptable (> 0.6). From the factor analysis, the nine 9 principal component factors can explain 70% of the cumulative variance, indicating that the model was convincing. The variation of each factor is not more than 30%, indicating that there is no common method bias in the research according to Harman single-factor test.

4.2 Structural model

Finally, we tested the structural model though software AMOS 17.0. As presented in Fig. 2, the results are unsatisfactory. Some of the item had low factor loadings and CFI, GIF were not up to 0.9. Several path coefficients are not significant. The model needed to be modified.
The Modification Indices (MI) from AMOS is a guideline for model updating. When MI comes across four, the bigger it gets the more in need to be revised. Firstly, Privacy concern, FC and EE were deleted for that their path coefficient being too small and not significant. The effect of perceived risk to intention to use (not significant) was changed to use behavior according to MI (10.09), adding in a new hypothesis (H9). The relations between PI and SI (MI=30.90), Perceived risk and Cost (MI=11.69) were established with two other hypotheses (H10, H11). And the items with factor loading less than 0.6 were deleted with the still fitting reliability and validity.

H9: Perceived risk negatively affects use behavior.
H10: PE and SI are positively related.
H11: Perceived risk and Cost are positively related.

The final structural model is present in fig. 3, with all the fit indices better than the recommended values. This indicates a good fitness.
5. Discussions and conclusion

As shown in fig. 4, hypothesis H1, H3, H5, H7, H9, H10 and H11 are supported. Performance expectancy and social influence are related and the two factors can both increase intention to use. Cost and perceived risk also are related. But cost can decrease intention to use while perceived risk can directly decrease use behavior. Intention to use has positive effect on use behavior.
The most effecting driving power for consumer adoption of the health service based on the IoT is social influence, followed by performance expectancy. If the social influence or performance expectancy of consumer gets improved, their intention to use the service will also get an increase. The most importantly result is that the two factors are positively related. When one is growing, the other will also change in the same direction. Service providers can take actions of improving the two factors at the same time which will help a lot with little effort. Vigorously promotional activities should be carried out for the majority consumer group who are not familiar with this service so that they can get a fully understand of the many charming advantages of this service and improve the performance expectancy of the products. In the progress of service promotion, more opportunities should be provided to the potential customers so that they can get using experience. The good experience from activities like new product launching and rewarding will influence the intention to use the product of people around them and help building social influence though public reputation.

The biggest challenge of consumer adoption is consumer’s perceived risk of the service, the second is cost. Reducing the perceived risk and cost of the service is another efficient way to cover market occupy of the health service. The study shows that the perceived risk and cost are positively related which means if one is growing, the other will also be increasing and then the two factors will cause great resistance to adopting the health service based on the IoT. It is necessary for the service providers to pay amount of attention to control them from growing together. If the two factors are not carefully controlled, the side effect would be destructive. Merchants need to provide introduction of the service and the charges of services and follow-up services in detail comprehensively to reduce consumer perceived risk. In terms of price formation, the service providers may need to try the low price strategy to enter the market.

The research also shows that the negative effect of perceived risk on consumer adoption is more than the motivation provided by performance expectancy, almost the same effect as the positive effect of social influence. The service providers should push the adopting positively while pay no less attention to control the adverse factor from spreading. In addition, the facilitating conditions need more practical application to reflect the effeteness for the health service based on the IoT although it seemed like the most powerful advantage of the service.

From a theoretical perspective, this research identified the factors affecting consumer adoption of health service based on the internet of things. Extant research has
focused on the technology level of the internet of things and the hospital perspective of 
the adoption of health service based on the IoT. This research tries to fill the vacancy 
of adoption from consumer perspective. The UTAUT model is expended with the 
unique characteristics the service to study the driving power and resistance of consumer 
adoption of health service based on the IoT. The perceived risk and cost, which are not 
in the UTAUT model, play great resistance role in the adoption progress and should not 
be ignored. The model in this research can be the foundation of future research on the 
consumer adoption of the health service based on the IoT. The data analysis indicates 
that the biggest driving force of consumer adoption of the service is social influence 
followed by performance expectancy; the biggest resistance is perceived risk followed 
by cost. The social influence and performance expectancy, perceived risk and cost are 
positively related, which is an interesting phenomenon that deserves more attention and 
research on in the future.

From a managerial perspective, our research results imply that service providers 
need to improve social influence and performance expectancy while decrease perceived 
risk and cost. And the driving factors and resistances should be treated together, the 
controlling activity is essential for the promotion work.

This research has the following limitations. First, the survey is conducted with 
the smart wristband to represent the health service based on the IoT, which might be 
not entirely representative. As the service developing, more representative products 
should be included in the survey. Secondly, there are still important variables that sre 
not supported in the model. Future study need to conduct research on those variables 
from other methods to explore the mechanisms of their effect.

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References


Accurate Financial Support for Less Developed Areas’ Micro E-Business Enterprises: Focusing on Free Shipping Effect

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ABSTRACT

This paper contends that E-economy can be regarded as a kind of relationship marketing on the network and it builds a repetitive fixed-interaction relationship between micro e-business enterprises and consumers. With the purchase of the repeat business, it can cultivate the effect of the micro E-business enterprise's own reputation, thereby promoting micro E-business enterprise bigger and stronger, and then the online trading can drive the development of the Offline economic. Finally, both the whole region economy and the real economy will get rapid development. In commodity prices, quality, reputation and similar cases, the postage will be the key factor for consumer purchase decision. And if the electric business enterprise provides the free-shipping service, it will significantly improve the network consumers’ purchase decision. This situation provides a new opportunity for the local governments of the less developed areas to promote regional E-economy. This paper will analyze the inner mechanism of this phenomenon from the view of the behavioral economics. The mechanism is divided into customers make purchasing decisions, local online retailers provide free shipping options, express companies receive transfer payments and local government takes active interventions.

Based on this, the article put forward that if local government in less developed areas can offer accurate financial support to every transaction of local micro E-business enterprise, it will greatly increase the motivation of offering the free-shipping service and it will also provide an opportunity to flourish regional E-economy. This new approach to develop the less developed areas’ E-business is not only a new theoretical exploration of how to offer the accurate support in the age of electricity economy, but also a new attempt to combine behavior economics with regional development economics.

Keyword: less developed areas’ economy, micro e-business enterprises, accurate financial support, free shipping, behavioral economics,

1. Introduction

Nowadays, ecommerce in China domestic is increasing sharply. On the one hand, online sales in Chinese mainland increases and the growth rate speeds up. According to the
data from China Internet Network Information Center (CNNIC), online sales in Chinese mainland increase from 25.8 billion Yuan in 2006 to 1847.7 billion Yuan in 2013. Online retail sales account for 7.9 percent of total retail sales of consumer goods. On the other hand, the market penetration is also increasing. As of December 2013, the number of Chinese online shopping users reached 302 million, increases by 59.87 million, with the growth rate of 24.7%, utilization rate also increase from 42.9% to 48.9% from 2012. The rapid expansion of scale of online users has laid a good customer base for the development of online shopping market, which releases a huge market potential. Meanwhile, as the emergence of O2O (Online to Online) commercial forms, where we can combine offline products or services with Online on the internet, namely, we can generate orders Online and push through a deal for the goods or services offline. This brings a new opportunity to China's online market.

With the growing prosperity of China's Internet market, micro E-business enterprise plays a more and more important role, especially in the less-developed regions. The less-developed regions’ local fiscal revenue is not well-off, and the policy-oriented financial support is relatively scarce. How to give full play to allocated efficiency of the local governments’ limited capital, and how to support local E-business enterprises, are becoming the governments’ proactive innovation way to promote the less-developed regions’ E-economy development. This is the key to this study yet.

Before we analyze how the less-developed government supports the micro E-business enterprises, we can analyze Consumers' purchasing behavior. From the consumer's purchasing behavior, factors that affect consumers’ purchasing behavior have two: commodity prices and free shipping or not. Some studies have shown that the postage is the most important factor that leads to consumers keeping the goods in shopping cart. And if the businessman offers the free-shipping service, consumers generally do not change the original purchasing decisions. Basing on this phenomenon, we can research that what kind of financial support policies the government should take to stimulate the micro e-business enterprises to provide consumers with free-shipping service.

On the other hand, the E-economy can be regarded as a kind of relationship marketing on the network, and it establishes a kind of repetition of fixed interaction relations between the micro E-businesses enterprises and consumers, through which the micro E-business enterprises get stable profits, and the consumers get the consumer surplus. While in addition to the commodity quality, price, reputation and other factors, the building of this relationship is badly affected by offering the free-shipping service or not. Local governments can offer accurate financial support to the E-business enterprises to stimulate them offering free-shipping service.
The remainder of this paper is organized as follows. Section 2 gives a literature review. Section 3 analyzes free shipping effect to customers from behavioral economics. Section 4 shows a chain relation for creating free shipping effect and what kind of promotional policy a local government in less developed areas can provide. The paper ends with a conclusion in Section 5.

2 Literature review

Two kinds of literature on shipping fees are related to our paper. One kind analyzed the influence of shipping fees and the other focused on the conditions which enable E-retailers provide free shipping options to customers.

From customer’s perspective, research found that shipping surcharge has a significant negative effect on the purchase decisions of online buyers. It is found out that when deciding which Internet retailer to buy from, consumers are sensitive to both the base price of a good and the shipping fee. Lewis et al. (2006) showed that consumers are more sensitive to shipping charges than to prices. Empirical studies have repeatedly shown the number one reason for buyers not buying more products online is the high cost of shipping fees and this trend is increasing over the years. The top reason customers abandon their shopping cart is high shipping fees, and around 1/4 of customers give up placing orders due to high shipping fees. Some customers even viewed shipping surcharges as sneaky and unfair strategy used by a retailer to make additional profits. These people are called shipping charge skeptics. They are very reticent when it comes to paying any such charges.

Firms are aware of the fact that consumers can find out whether a firm is charging a higher than expected shipping fee for a given quality, and then abandon that firm. So managing the shipment of goods to consumers is one of the central aspects of retail competition on the Internet. Some firms charged a below-cost shipping fee with the hope of attracting consumers.

Psychological research on pricing found that the relationship between price and purchase behavior is more complex than standard economic principles. Studies have shown that price information can often influence perceptions of value. Consistently with these psychological views, recent studies focused on free shipping effect. It is found that zero pricing of a good not only decreases its cost, but also adds to its benefits. A decrease in price from a nonzero value to zero increases demand more than the same decrease in the positive price range. This is termed the zero price effect which shown that free offers generate much more demand than even a very low price. Taking this effect into account, retailers must carefully trade-off the negative impact of delivery-related expenses on their total costs against the positive effect of not charging for shipping on demand.
Free shipping option is able to prevent customers from abandoning the items added to their online shopping carts. So many free shipping promotions have carried out by online e-retailers. These promotions can be divided into two categories: (i) unconditional free shipping (UFS) policy. (ii) contingent free shipping (CFS) policy, under which a retailer pays for the shipping costs but only for those orders equal to or larger than a pre-defined cutoff level. Although researches are not rich on this direction, CFS policy is deemed as the most effective promotion in increasing the revenues of online is\textsuperscript{19}. So papers on free shipping option concentrate mostly on how to determine CFS threshold.

Several papers explored price and free shipping threshold directly. Yang, Essegaier, and Bell (2005) explored how a product price and a free shipping threshold level interactively affect the purchase behavior of an online consumers\textsuperscript{20}. Leng and Becerril Arreola (2010) examined the impact of an online retailer’s joint pricing and CFS free-shipping decisions on the purchase behavior of consumers, and computed the optimal price and CFS cutoff level for the retailer\textsuperscript{21}.

Others explored free shipping threshold by considering two or three links among consumer, retailer and supplier. Leng & Parlar (2005) provided a model between an E-retailer and a customer. They presented a Stackelberg game model where an e-retailer as the leader of the game determines the threshold level and a customer as the follower decides the order quantity \textsuperscript{22}. Boone & Ganeshan (2011) investigated how an e-retailer optimally determines the free shipping threshold level of a product for its customer and replenishes the product from its supplier simultaneously\textsuperscript{23}. Hua,Wang & Cheng (2012) investigated the optimal lot sizing and the optimal price to the downstream customers under the value-based free shipping promotion by retailer \textsuperscript{24}. Becerril-Arreola, Leng & Parlar (2013) simultaneously consider the optimal pricing, CFS threshold, and inventory decisions for an online retailer\textsuperscript{25}.

The above existing researches have shown that shipping surcharge is important for online sales. Free shipping option can increase sales obviously. But most papers are focused on relationships among e-retailer, customer and supplier and CFS policy. Few of them noticed UFS policy. Few of them noticed express companies’ pricing change in online sale chain. In particular, a kind of new pricing phenomenon is not been noticed. Express companies in some Chinese Mainland area have provided a kind of fix shipping fee for online retailers. The retailers who had got a fixed shipping cost treatment from express company are willing to provide unconditional free shipping for their consumers. But the literature on unconditional free shipping promotions about such phenomenon is scarce. So it is needed to explore the implied policy and behavior meaning behind this kind of phenomenon basis on behavioral economics and microeconomics.
If we extend our view range, we can find the above literature pay close attention to the middle parts of an online shopping chain. Few of them pay attention to what a local government can do to flourish local e-business around free shipping effect. And today the governments’ subsidy for Express logistics industry in China mainly concentrated in the extensive support of tax policy, land policy and so on, but the Effectiveness is not so good. Therefore, to exploring the effective financial support of the less-developed regional government under free-shipping effect becomes the key to this article.

3 Free-shipping effect

Before analyzing local government’s intervention, we need to make clear why online shoppers favorite free shipping. We analyze online shopper’s behavior from traditional economics and behavioral economics respectively. The two kinds of explanations give us a progressive understanding on the importance of online free shipping.

3.1 Traditional view

According to utility theory of traditional economics, people acquire decision utility from their revenue and cost.

\[ u_1(x) = \theta x - p \quad (1) \]
\[ u_2(x) = \theta x - p - c \quad (2) \]

where \( \theta \) represents individual taste. Retailer asks a price \( p \). \( x \) is consumer’s consumption bundle. \( c \) is shipping fee charge. When retailer provides free shipping option, \( c=0 \), equation (1) shows consumer’s decision utility under free shipping situation. When retailer does not provide free shipping option, \( c>0 \), equation (2) shows this state.

\[ u_1(x) > u_2(x) \quad (3) \]

It is obvious that \( u_1(x) \) is bigger than \( u_2(x) \). Equation (3) shows that a consumer will get utility more. A rational buyer will choose a retailer’s product which provides free shipping option in retailers’ competition settings, ceteris paribus.

3.2 Behavioral economics view

Behavioral economist Thaler (1983, 1985) proposed that a consumer's behavior depends not just on the value of goods and services available relative to their respective prices, but also on the consumer’s perception of the quality of the financial terms of the deal. Based on this consideration, Thaler decomposed a utility from a shopping into two parts: acquisition utility and transaction utility.\(^{26, 27}\)

Acquisition value is same with the meaning of traditional consumer surplus. It refers to the physical value of acquiring some good and is related to the good’s price. This utility is determined by the excess value of the good to the consumer minus the value of the money used in acquiring the good. According to Thaler’s view, both \( u_1(x) \) and \( u_2(x) \) in equation (3)
are acquisition utility.

Transaction value is the value one attaches to having a good deal. If the price that one is paying is equal to the mental reference price for the good, the transaction value is zero. If the price is lower than the reference price, the transaction utility is positive. That is transaction utility is the notion that individuals derive some utility from obtaining a good deal on the item.

We add transaction utility in equation (1) and (2), then, get equation (4) and (5). \( v_1(x) \) is the transaction utility when e-retailer provides free shipping option. \( v_2(x) \) is the transaction utility when e-retailer does not provide free shipping option.

\[
U_1(x) = u_1(x) + v_1(x) \tag{4}
\]

\[
U_2(x) = u_2(x) + v_2(x) \tag{5}
\]

At a same time, there are many online retailers provide identical goods in an online market. The consumers in this market will sensible of these goods’ transaction utilities by reference points. If people use the average of zero (free shipping) and \( c \) (shipping fee) as their reference points, as showed in equation (6), they will form their transaction utilities judging by these points.

\[
R = (0+c)/2 \tag{6}
\]

Reference point is \( R=c/2 \) and shipping fee is \( c \). Then, transaction utility in free shipping situation is \( v_1(x) \), in shipping fee situation is \( v_2(x) \). In free shipping situation, because reference point is \( R=c/2\geq 0 \), shipping charge is zero, it means online buyer will get a positive transaction utility. Cost at reference point is high and actual cost is low, so \( v_1(x)>0 \). In nonfree shipping situation, because reference point is \( R=c/2>0 \), shipping charge is \( c \), it means online buyer will get a negative transaction utility. Cost at reference point is low and actual cost is high, so \( v_2(x)<0 \).

According to loss aversion theory in behavioral economics, the transaction utilities of the above two situations are not equal. Their absolute values hold an inequality function \(|v_1(x)|<|v_2(x)|\). The utility difference usually reaches several times. So we have equation (7) obviously.

\[
v_1(x)> v_2(x) \tag{7}
\]

From a whole utility view, we have equation (8):

\[
U_1(x)> U_2(x) \tag{8}
\]

Equation (8) is a stronger expression than equation (3) because of transaction utility and loss aversion trait. This equation means that when facing free shipping and shipping charge option at the same time, free shipping option is much more superior for consumer.
Then, retailers that do not provide free shipping options will lose in a competitive market. Free shipping option has an obvious promotional effect in online market.

4 Key links of free shipping effect

Above analysis shows us why free shipping effect influence online customers’ utilities. In order to infer what measures a local government can play with, we need connect local government with E-economy flourish. Particularly, we incorporate behavioral economics factor and fixed shipping charge phenomenon.

Based upon free shipping effect, we propose that there is a chain to produce online free shipping effect. Several links in this chain are vital. This chain is illustrated in figure 1. The chain’s left end is the goal of online market flourish that is area E-economy development. To a certain extent, this flourish state is owned to free shipping on customers. Free shipping option is provided by e-retailers. The new phenomenon that E-retailers enable to provide this option is because express companies provide fixed shipping fee options to retailers. Express companies provide fixed shipping charge options because they can get benefits from economic scale. At the other end of the chain, express companies’ profits can be adjusted by local governments through taxes and subsidies. Local governments of an area where online business is less developed can exert their influence to promote local area’s e-business and then enhance local economy.

4.1 Retailers’ behavior under fixed shipping fees

Retailer’s behavior is one of the key links in the chain of figure 1. We analyze this link from marginal revenue and transaction utility. Again, our analysis is divided into a traditional one and a behavioral one.

4.1.1 Analysis based on traditional marginal revenue

Fixed pricing is common in many service industries, such as season passes to amenities of golf courses, gyms, subways, and amusement parks.

How does express company’s fixed price in a year influence retailers’ consumption? This pricing method involves a one-price option that provides the consumer with access to the good with zero marginal cost to increased levels of consumption. Such as an all-you-can-eat buffet, this kind of fixed price in a year influence how much a retailer will consume in this year.
For an e-retailer who received fixed shipping charge option will has a profit $\pi_1$ as equation (9). Here we do not consider the other costs of good because they can be thought are all the same. An e-retailer who received a shipping fee by the piece will have a profit $\pi_2$ as equation (10). The $c_f$ is the fixed shipping fee and the $c_v$ is piece fee. $c_v > 0$.

$$\pi_1 = pq - c_f$$  \hspace{1cm} (9)  
$$\pi_2 = pq - c_v q$$ \hspace{1cm} (10)  
$$MR_1 = p$$ \hspace{1cm} (11)  
$$MR_2 = p - c_v$$ \hspace{1cm} (12)

We can calculate out the marginal revenues of the two kinds of states. Thus we have the first order derivative of equation (9) and (10), and we get the results of equation (11) and equation (12). It is obvious that $MR_1 > MR_2$. Marginal revenue in fixed shipping charge is bigger than piece charge. This result shows that an e-retailer who received fixed shipping fee option will have more incentive to enlarge his business.

4.1.2 Analysis based on behavioral economics

Researcher has showed that when a person’s choice is conditioned on a fixed price plan, their desire to get a “good deal” can lead them to consume more [28]. We can analyze the implication of fixed price from the view of retailers. Again, the conception of transaction utility is used.

Thaler’s definition of transaction utility suggests that consumers will feel better off when they have paid a low average price for the goods consumed. This has a hedonic implication for fixed price contexts. Based on the fixed shipping charge they paid, retailer consumers realize that per unit cost drops linearly with consumption quantity immediately. So they believe that consuming more becomes a better bargain (compared to a piece price that varied with good quantity).

We can show this view as follows. After e-retailers paying a fixed shipping charge $c_f$ for a year shipping activities, e-retailers face two kinds of quantity states: $q_1$ and $q_2$. The $q_1$ is the original quantity and the $q_2$ is a increased quantity compare to the $q_1$. Under the original state, an e-retailer’s average cost is $AC_1$ as equation (13) showed. Under the increased state, average cost decreased to $AC_2$ because of $q_2 > q_1$, as equation (14) showed. So $AC_1$ is bigger than $AC_2$. We have equations (15) and (16).

$$AC_1 = c_f / q_1$$ \hspace{1cm} (13)  
$$AC_2 = c_f / q_2$$ \hspace{1cm} (14)  
$$q_1 < q_2$$ \hspace{1cm} (15)  
$$AC_1 > AC_2$$ \hspace{1cm} (16)

Now we can compare the transaction utility $v(q_1)$ in original quantity $q_1$ situation to the transaction utility $v(q_2)$ in increased quantity $q_2$ situation. In $q_1$ situation without any comparison to other quantity, retailer’s reference point is $q_1$. $AC_1$ minus $AC_1$ equals 0. $v(q_1)$
equals 0. There is not a feeling of “good deal”. When $q_2$ emerges, $(q_1 + q_2)/2$ becomes the new reference point, $AC_1$ minus $AC_2$ is bigger than 0 while $AC_2$ minus $AC_1$ is less than 0. According to loss aversion theory, we have $v(q_2)>0$ and $v(q_1)<0$. We can get a bigger transaction utility when choose more consumption quantity. This result is showed in equation (17).

$$v(q_2) > v(q_1)$$  \hspace{1cm} (17)

Equation (17) means increase quantity can add retailer’s transaction utility. If an e-retailer has paid a fixed price for shipping fees, a desire for increasing transaction utility make him increase his consumption. If this motivation is strong enough, it will produce an inner incentive for the E-retailer to enlarge his online business.

4.2 Express companies

Express company’s behavior is another key link in the chain of fig.1. We analyze this link concentrate on why express company is willing to provide a fixed package for E-retailers. We use the theory of price discrimination in microeconomics and transaction utility to accomplish this analysis.

4.2.1 The second degree price discrimination

Express industry is a monopolistic competition market in present China. The monopolistic trait is reflected in the fact that this kind of company has market power in a certain area. The competitive trait is embodied in the fact that there are many express companies in a same area.

How does an express company increase its profit in monopolistic competition market? Price discrimination of microeconomics provides us a feasible means. Express companies are willing to attract more big retailers because big retailers are more important to express company than small ones. An express company knows that he faces different E-retailers with different demand functions but it cannot tell who is who. Under this circumstance the firm can offer a menu of different packages or options designed in such a way that consumers sort themselves out (self-select) by choosing different packages. This price discrimination is also called the second order price discrimination. In the second degree price discrimination, price varies according to quantity demanded. Larger quantities are available at a lower unit price \cite{31}
We can use a simple figure to make clear why firms like this kind of pricing method. As shown in figure 2. Now we suppose an express company faces a demand curve. At the start point, $p1$ is a price to all E-retailers. Express company can get his producer surplus showed as the rectangular area of $P1Oq1C$. Then in order to grasp more profit, express company sets $p2$ and $p3$ for shipping quantity less than $q2$ and $q3$, only quantity is bigger than $q1$ can enjoy the low price $p1$. We can see that after providing several prices packages, express company’s profit increases as rectangular area $P3P2DA$ and rectangular area $P2p1FB$. In a word, the express company’s whole profit is increased by take second order price discrimination.

For the sake of replying competitive pressure, handling convenient, decreasing wagons’ no load ratio and saving negotiation cost, the express company can provide two kinds of pricing options. One is piece rate pricing. The other is a fixed amount charge option to the big E-retailers as a year’s shipping fees no matter how many items the retailers shipped in this year. Different kinds of options form second degree price discrimination. This pricing strategy increase express company’s profit and operating security. This is why so many CFS studies have been carried out.

**4.2.2 Express companies take advantage of behavioral motivations**

Behavioral economics is different from traditional economics. These two schools of economics hold different basic assumptions. Traditional economics considers human as rational man that people are selfish, smart and do not make errors. Behavioral economics regards man as bounded rationality, myopia, usually make mistakes and even irrational.
In reality, people show less rational than traditional assumptions. Their behaviors in the vivid world more consist with behavioral economics assumptions. So they are not perfect. Smart firms often can take advantage of its consumers’ imperfect and make money.

With regard to express companies, e-retailers are their consumers. Many E-retailers are individual companies or small companies; their decision behaviors are alike individuals that are full of irrational traits. This is the truth especially in less developed areas because most e-retailers are small individual enterprises in the beginning. This feature brings many chances which can be taken by express companies. As far as pricing, rational firms can exploit irrational consumers through alternative pricing packages.

Studies have summarized some behavioral motivations for consumers’ choosing a fixed price plan. These behavioral motivations include: consumer ignorance or inexperience, a consumer’s inability to determine the lowest price option given their propensity for use, insurance, consumers simply enjoy flat rate pricing more than piece rate pricing, inconvenience associated with choosing the correct plan etc.

Moreover, consumers’ limited self-control ability and delayed benefits can be affected by express company’s pricing strategies.

After several small successful online sales at the very start, a new e-retailer’s confidence will increase. This increase even reaches over-confidence. An E-retailer who has over-confidence belief will believe that his company’s sale will soar in the future. Then he will treat the fixed shipping fee as good deals.

In shipping business, a fixed whole year charge can provide immediate costs and future benefits. It shortens customers’ loss feeling time while prolongs customers’ gain feeling time. As new individual enterprise’s decision is influenced by behavioral factor greatly, this strategy works in most circumstances.

Evidence showed that individuals fail to fully assess their options when selecting into flat fee pricing. This result means new individual enterprises’ decisions are influenced by behavioral factors. These behavioral factors can be taken advantaged by smart rational express companies.

4.3 Local government’s promotional policy

Competition among areas is deemed as an important incentive power to drive China’s economy booming in the last 3 decades. Local governments in less developed areas always try to make well-fitting-policies to catch up with and surpass other areas. Following we discuss the theoretical foundation from behavior economics on how to make active
4.3.1 Why local governments should intervene

Behavioral economics have proposed the “Nudge” theory. In real life, the individual selection is be characterized by bounded rationality and the status quo bias, etc. In order to help people to choose better, Taylor and Sunstein proposed the "nudge" theory, which is a Libertarian Paternalism theory. Nudge refers to a form of prophecy, in which we can consciously change the way people select or change their behavior through the design of choose, thus make their lives better. Therefore, as designer of "choice architecture", have certain initiative on the design of its options and the establishment of rules they, any change will influence people's choice. And in addition, the behavior of the government is the only way to organize and mobilize the relevant resources. Therefore, for less developed areas, the “nudge” behavior of the local governments will necessarily promote the development of E-economy.

4.3.2 Active intervention

Above all analysis, the less-developed areas’ government can offer accurate financial support to micro E-business enterprises. On the one hand, it can improve their competitiveness. On the other hand, it can also establish a kind of repetition of fixed interaction relations between micro E-business enterprises and consumers, gradually expanding its reputation, enhancing consumers’ trust and continuously attracting more consumers. Finally, it can lead to offline economic development.

There are at least two kinds of efforts can be taken by local governments.

One is guide local express companies to provide fixed shipping fees to local E-retailers. This kind of intervention can be taken by providing advices or suggestions to local express companies. Without direct pecuniary costs, local governments can only ask express companies to provide fixed shipping charges to local E-retailers. This advice usually can be accepted by express companies for the sake of maintaining good relationship with local governments. Express companies would accept it because reciprocity factor exists in this relationship. If express companies do local government a favor, they anticipate that local government will help them in the future. As the proverb said “You scratch my back and I'll scratch yours”. But this social norm works depend on local government’s power and two sides’ former relationship. When making e-business promotion policies, decision makers should take into account of this behavioral reciprocity rule. It would be better for local governments integrating this consideration into their policies.

On the other hand, the government can directly subsidies the micro E-business enterprises by every deal for postage. When the effect of the non-economic means, for
example, advice, is not obvious, the local government must take some direct economic means to expand its influence. Comparing with government departments’ “sprinkle pepper” type of subsidies, government can directly subsidize the micro E-business enterprises by every deal for postage. It can save the cost of the government choosing which micro E-business enterprises need to bolster and makes the subsidy policy more transparent, concrete. In the process of the intervention, if the local government financial resources are limited, we can also introduce private capital to enter the field. The governments’ expenditures will promote the prosperity of local electronic commerce, thus increasing the tax revenue of local government, so as to make the feedback of local government spending, thus forming a virtuous circle of economic development. Therefore, the government's active intervention must develop a plan of a long-term development.

6 Conclusion

This paper focuses on free-shipping effect e-business in less-developed regions. Combining express company with financial support in less-developed regions, it proposes to directly subsidy the micro E-business enterprises by every deal for postage. It can stimulate consume, promote the efficiency of regional financial support and make the local E-business development win in the national competition gradually.

Under the condition that the current economy enters the new normal and less-developed areas continue to face many negative consequences of overly depended on natural resources, this study proposed the innovation path has certain policy value for sustainable healthy development of underdeveloped regions in economy.

References


The Butt-Joint Between Social Capital and Cultural Industry: Current Status, Problems and Countermeasures--Take the Listed Companies in Xi'an as Example

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ABSTRACT

In recent years, Xi'an cultural industry gets rapid development. It has begun to take shape. Social capital has become an important force to investment and financing market of Xi'an cultural industry. However, how to strengthen the development of Xi'an cultural industry effectively by using social capital? This article starts with the current status of the social capital flowing into Xi'an cultural industry and then analyses the problems of the process. At last, it puts forward countermeasures to speed up the participation of social capital in Xi'an cultural industry and to strengthen the fast development of Xi'an cultural industry.

Keywords: Social capital, cultural industry, financing channels

1. Introduction

In recent years, Xi'an government puts more and more emphasis on cultural industry. The support for cultural industry is gradually increasing at the same time. According to the 2009 Xi'an cultural system reform in support of enterprise development, Xi'an government puts forward several measures to promote the reform of cultural system and encourage social capital flowing into Xi'an cultural industries from aspects of fiscal taxation, investment and financing, asset and land disposal, industrial and commercial management. After five years, what is the current situation of social capital flowing into Xi'an cultural industry? Whether social capital has already become the important driving force in Xi'an cultural industry development? This article takes listed companies in Xi'an culture industry as example, analyze the current status of social capital flowing into the listed companies in Xi'an cultural industry, and then

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examines the existing problems in Xi'an cultural industry from the perspective of comparing cultural industry in different cities, at last puts forward countermeasures to speed up the participation of social capital in Xi'an cultural industry and to strengthen the fast development of Xi'an cultural industry.

2. The current status of cultural industry in Xi'an

By September 20, 2014, there are 40 listed companies in Shaanxi, among them the listed companies which relate to cultural industry are Xi'an Qujiang Cultural Tourism Co., Ltd, Xi'an Tourism Co., Ltd., Shaanxi Broadcast & TV Network Intermediary (Group) Co., Ltd., Shaanxi Jinye Science Technology And Education Group Co., Ltd., Ginwa Enterprise (Group) Inc., Xi'an An Catering Co., Ltd., Xi'an International Medical Investment Company Limited, Xi'an Minsheng Group Co., Ltd., inside of the eight companies we find four companies which not only take cultural industry products as their main business but also their headquarters are based in Xi'an. Therefore, this article is about comparative studies by choosing the four listed companies.

2.1 The IPO status of the listed cultural industry companies in Xi'an

Shaanxi Broadcast & TV Network Intermediary (Group) Co., Ltd. (GDWL for short) is a giant state-owned cultural media listed companies, the main business of it includes cable television network operations, advertising agency, and film & television production. The registered capital, time to market and issued amount of GDWL rank the first among the four listed companies. However, the net IPO of it is lower than Shaanxi Jinye Science Technology and Education Group Co., Ltd. (SXJY for short). Xi'an Qujiang Cultural Tourism Co., Ltd (QJWL for short) is a cultural tourism listed company which has food, accommodation, transportation, tour, shopping, entertainment six business sectors. In contrast to GDWL, QJWL is the smallest company in the four listed companies. Xi'an Tourism Co., Ltd. (XALY for short) is a tourist state-controlled listed company which leading industry is about tourism industry and tourism service industry. The main business of it includes scenic spots development, tourism product development and sales, and hotel operation and management, etc. In contrast with QJWL, XALY possesses rich capital resource. Shaanxi Jinye Science Technology And Education Group Co., Ltd. is one company which sets foot in printing, real estate development, education and other industries. Listed in June, 1998, SXJY had raised nearly 150 million yuan which made it become the largest company in the four listed companies. This achievement is inseparable from its multi-industry management style. The four cultural industry listed companies IPO are shown in table 1 for details.
Table 1  The IPO status of the listed cultural industry companies in Xi’an

<table>
<thead>
<tr>
<th>The short name of listed companies</th>
<th>Registered capital (ten thousand yuan)</th>
<th>Time to market</th>
<th>Issued amount (ten thousand shares)</th>
<th>The net IPO (ten thousand yuan)</th>
</tr>
</thead>
<tbody>
<tr>
<td>QJWL</td>
<td>17951</td>
<td>1996-05-16</td>
<td>1431</td>
<td>2432</td>
</tr>
<tr>
<td>XALY</td>
<td>19675</td>
<td>1996-09-26</td>
<td>2236</td>
<td>8050</td>
</tr>
<tr>
<td>GDWL</td>
<td>56344</td>
<td>1994-02-24</td>
<td>14000</td>
<td>14000</td>
</tr>
<tr>
<td>SXJY</td>
<td>44738</td>
<td>1998-06-23</td>
<td>3000</td>
<td>14962</td>
</tr>
</tbody>
</table>

Data sources: Sina finance and economics and Eastmoney

2.2 The current status of the listed cultural industry companies in Xi’an

Figure 1  The current status of the listed cultural industry companies in Xi’an

Data sources: according to annual reports of listed companies

The figure 1 shows the current status of the four cultural industry companies in the first half of 2013. As can be seen from figure 1: GDWL and QJWL have preferable performance in the first half of 2013. Specifically, GDWL is well ahead of the rest three listed companies in the aspects of operating revenue, gross profit rate, and operating profit. In the first half of 2013, GDWL achieves operating revenue about 1.03 billion yuan, operating profit nearly 400 million yuan, gross profit rate reaches 37.96%. From the point of operating revenue, GDWL is nearly 2 times than QJWL, and three times than SXJY, and four times than XALY; From the point of operating profit, QJWL is in the second place, and then is SXJY, XALY is in the end; From the gross profit rate, QJWL is about 31.69%, SXJY is about 33.57%, but XALY is less than 20%.

GDWL takes an absolute lead in the development of the four listed companies in Xi’an, it is also a microcosm of rapid China's cultural media industry development in recent years. However, our country's tourism culture industry encounters greater
difficulties than ever, because of the seasonality in traditional cultural tourism and the convenient travel abroad conditions. Therefore, from the point of gross profit rate, XALY is in the bottom of the four listed companies. With the slowing sales growth in macroeconomic, the increasing competition in the market, and the severe company business development situation, XALY needs to develop deeply, and exercise multiple line operation while developing its main business, in order to create more profit growth point.

3. The current status of the social capital flowing into the listed companies in Xi'an cultural industry from comparative perspective.

3.1 The comparison between the listed cultural industry companies in Xi'an

Figure 2 shows social capital to total capital ratio of the listed cultural industry companies in Xi'an in the end of March 2014. Moreover, we can see the social capital to total capital ratio of SXJY ranks the first in the four Xi'an cultural industry companies. In practical terms, according to the data from largest to smallest, the social capital to total capital ratio of SXJY reaches 83.39%, and then are XALY (67.77%), GDWL (63.93%), QJWL (48.65%), respectively. According to the information of Wind data, by the end of July 2014, the proportion of overseas stocks in the equity structure of the four listed cultural industry companies still is zero. It indicates that the listed cultural industry companies in Xi'an are still not attractive to foreign investment. Meanwhile, it shows that the vitality of the cultural industry innovation development is under certain constraints.

Other studies have shown that social capital has significant positive influence to the independent innovation, and the promoting effect is more significant for high level innovation [1]. On one hand, the introduction of social capital helps large-scale cultural enterprises to deepen the reform of management system. On the other hand, it helps small and medium-sized cultural enterprises to provide diversified products and services [2]. In the development of cultural industry, creativity and innovation is the two essential elements. The listed cultural industry companies in Xi'an should take advantage of the social capital, especially the introduction of foreign social capital, in order to get more management innovation and artistic ideas, and expand the scope of the market, in particular, to expand the international market, for sustained and rapid development momentum.

The owned capital to total capital ratio is the shares of each company’s controlling shareholders over the total equity; social capital to total capital ratio = 1 - owned capital to total capital ratio.
3.2 The comparison between the listed cultural industry companies in Xi'an and the developed cities in China.

From the previous analysis it can be seen under the background of rapid culture media development, the business performance of GDWL is the best in the four listed cultural industry companies in Xi'an, so this article chooses GDWL and the media industry companies in developed cities to make a comparison analysis, the developed cities we choose are Beijing, Shanghai and Guangzhou.

3.2.1 The company size and financial condition
As of September 20, 2014, there are totally 44 listed companies in China's cultural media industry, among them there are totally 14 listed companies in Beijing, Shanghai and Guangzhou*. According to the data released by East money, there are 8 listed companies of cultural media industry in Beijing, they are Beijing Gehua Catv Network Co., Ltd.(GHYX), Beijing Hualu Baina Film &Tv Inc.(HLBN), Bluefocus Communication Group Co., Ltd.(LSGB), Spearhead Integrated Marketing Communication Group(HYJX), Beijing Enlivt Media Co., Ltd.(GXCM), Leshi Internet Information & Technology Corp., Beijing(LSW), Nanhua Bio-Medicine co., Ltd.(*ST CM) and Beijing Tensyn Digital Marketing Technology Joint Stock Company(TXGF). There are 4 listed companies of cultural media industry in Shanghai, they are China Television Media, Ltd.(ZSCM), Shanghai Xinhua Media Co., Ltd.(XHCM), Shanghai New Culture Media Group Co., Ltd.(XWH), Shanghai Yaoji Playing Card Co., Ltd(YJPK). At last, there are 2 listed companies of cultural media industry in Guangzhou, they are Guangdong Advertising Co., Ltd(SGGF) and Guangdong Guangzhou Daily Media Co., Ltd(YCM).

Looking from the total number of listed cultural media industry companies in Xi'an, the only one is GDWL, it shows that the cultural media industry in Xi'an not only has the disadvantage from the number, but also lacks of advantage in the development of industrial clusters; Looking from the company scale (as figure 7 shows), as of September 20, 2014, the total market capitalization of LSW is 31.268 billion yuan, ranked first, GDWL was 5.472 billion yuan, the total market capitalization of LSW is 5.71 times than GDWL; Looking from the short-term repayment abilities (as figure 5 shows), the current ratio of GDWL is 0.22 less than 2, its quick ratio is 0.18 which is less than 100%. These numbers show that the current ratio and quick ratio of GDWL are yet in lower level, it is weak for GDWL to repay the current liabilities; Looking from the operational capabilities (as figure 6 shows), the total property cycling rate of HYJX is 2.11, however GDWL is only 0.48. It is visible to see that the overall assets

* This situation is consistent with the environment which shows less number of listed companies in Shaanxi, because there are only 40 listed companies at present in Shaanxi province, however the listed companies in Beijing, Shanghai and Guangdong are 224, 200 and 195 respectively (as of September 20, 2014).
* Because STCM has been suspended recently, TXGF has just listed in September 2014, so this article will not consider the two of them when we analyze and compare the company scale, financial status and social capital to total capital ratio. In addition, this article will use the relevant financial indexes of each company in 2013, when we analyze and compare the financial position between the listed culture media industry companies in Beijing, Shanghai, Guangdong and Xi'an.
operational capabilities of GDWL is weak; Looking from the profitability (as figure 7 shows), it shows a higher net profit ratio of GXCM and HLBN, the net profit ratio of GXCM is about 36.27% while GDWL is only 6.98%, the net profit ratio of GXCM is nearly 5.20 times than GDWL; Looking from the development ability (as figure 7 shows), the net profit growth rate of LSGB is 86.30% while GDWL is -2.23%, so it is apparent that the development of GDWL lacks motive power. Taken together, the gap between GDWL and the other companies which belong to the same industry is very evident.

**Figure 4** The total market capitalisation of the listed media industry companies in Beijing, Shanghai, Guangzhou and Xi’an

**Figure 5** The current ratio and quick ratio of the listed media industry companies in Beijing, Shanghai, Guangzhou and Xi’an
3.2.2 Social capital to total capital ratio

Figure 8 shows that the social capital to total capital ratio of GDWL and other 12 listed companies from the same industry in Beijing, Shanghai and Guangzhou. From figure 8 we can see, social capital to total capital ratio of LSGB in Beijing is 92.56%, it ranks the first in the list of 13 listed companies. By calculating, the average social capital to total capital ratio of the 12 listed culture media industry companies in Beijing, Shanghai and Guangzhou is about 66.15%. As shown in figure 8, Beijing has three listed companies which social capital to total capital ratio are higher than the average rate, respectively is HLBN (70.00%), LSGB (92.56%) and HYJX (66.20%). There are also three listed companies which social capital to total capital ratio are higher than the
average rate in Shanghai, they are XHCM (76.51%), XWH (68.75%) and YJPK (85.35%). In addition, the social capital ratio of SGGF in Guangzhou is higher than the average, it is nearly 79.40%. However, the social capital ratio of GDWL in Xi'an is only 63.93%, below the average. Therefore, on the whole, from the perspective of social capital, the development of culture media industry in Xi'an lags behind the developed cities such as Beijing, Shanghai and Guangzhou.

Figure 8 The Social capital to total capital ratio of the listed media industry companies in Beijing, Shanghai, Guangzhou and Xi’an
Data sources: Western Securities financial terminal

4. The main problem of the social capital flowing into Xi'an cultural industry
4.1 Unreasonable layout of cultural industry and uneven distribution of social capital

First of all, from the number of listed cultural industry companies, developed cities are far greater than Xi'an. Secondly, the size and profitable of the listed companies in Xi'an are less than the developed cities such as Beijing, Shanghai and Guangzhou. At last, from the point of the whole culture industry in China, there is a high industry concentration degree of listed companies. The listed companies in the area which includes traditional media and new online media have gradually become the largest part in cultural industry. As a new cultural industry, animation and online gaming industry are both in a low financing scale level: this is also an important problem in Xi'an cultural industry.

4.2 It is difficult for cultural industry companies to enter to stock market, and the channel for social capital to flow into Xi'an cultural industry is single

On one hand, from the aspect of the four listed cultural industry companies in Xi'an, the equity structure of them only involves A shares, however B shares, Foreign Shares and Third board shares are not touched. On the other hand, Xi'an cultural industry enterprises are almost small and medium-sized private enterprises, restricted by its own conditions, such as a high degree of specialization in cultural elements, poor
flow property, and it is difficult to transform to tradable financial capital, make listed cultural industry enterprises financing face a big challenge.

4.3 The uncertainty in culture industry market is so high that it is difficult for the social capital to flow into Xi'an cultural industry

The poor cashability of cultural products and high income uncertainty make many investors tend to be daunting. From another side, this restricts the development of cultural industry. It can be found from the preceding part of the text, the scale of the listed cultural industry companies in Xi'an is relatively small among the developed cities, the financial situation is far behind the developed cities too, thus leads to a low ratio of social capital to total capital. This restricts the rapid and sustainable development of Xi'an cultural industry [3].

4.4 The lack of authoritative evaluation criteria and system make it difficult for social capital to flow into cultural industry

Seeking financing by listing on the stock market is a scarce resource for Xi'an cultural industry. However, the social capital of intermediary’s issuance examination committee can improve the success rate of private enterprises to be listed [4]. Therefore, Xi'an culture industry should make full use of social capital intermediary’s issuance examination committee, in order to have more opportunities. Nowadays, cultural assets value assessment has become the focus of cultural enterprises and financial institutions, and it is the key point to control risk. In July 2014, the national copyright administration agreed to set up “Copyright trading center” in Shaanxi province, the establishment of the trading center will be conducive to speed up the participation of social capital in Xi'an cultural industry.

4.5 Cultural products innovation ability is insufficient, lacks the potential value of the social capital

At present, the innovation capability of Xi'an cultural industry is gravely insufficient, such as the lack of design innovation of cultural products concept [5], serious product homogeneity phenomenon, the lack of independent innovation project, not form the unique style and logo of Xi'an, and weak brand influence, etc. Looking from the angle of the four listed cultural industry companies in Xi’an, first of all, because of the lack of careful planning and packaging make a lot of cultural projects lack of cultural creativity, brand value and market promotion; Second, the lack of professional investment team and enterprises in international reputation make it difficult for Xi'an cultural industry to obtain foreign investment approval.

5. The countermeasures to speed up the participation of social capital in Xi'an cultural industry

5.1 The government should strengthen the cultural industry's overall development strategy layout, for the sake of promoting the balanced development of cultural industry

The departments of government should actively develop its functions in cultural
industry development planning, organization, management, coordination, and guidance. Besides, the government should not only support the cultural industry projects which have special advantages, but also formulate relevant preferential policies for shortcomings of cultural industry, in order to make Xi'an cultural industry become bigger and stronger. For instance, the relevant departments should construct cultural information resources sharing platform and key industries association of cultural industry, etc. These measures are conducive to generate competitive corporation in Xi'an cultural enterprises, and guide the cultural enterprises to develop in the direction of diversification, specialization, branding, finally achieve the balanced development of cultural industry.

5.2 Broadening the financing ways, in order to guide the flowing of social capital

At present, Xi'an cultural enterprises get finance mainly through the stock market, insufficient financing channels and instable source of funds restrict the rapid development of Xi'an cultural industry. Therefore, the government should build a bridge for cultural enterprises and financial institutions, for purpose of broadening the financing ways of Xi'an cultural enterprises, and providing more alternative channels for the participation of social capital in Xi'an cultural industry.

First, the cultural industry should get finance from various financial markets. For example, the government should lead the potential Small and Medium Enterprises to get finance through secondary board market and third board market. Secondly, the cultural industry should get finance through government direct financing. The cultural industry has certain public goods attribute, therefore, the government should pay more attention to cultural industry. It is reported that the investment of cultural industry by Korean government in recent years maintains an annual growth rate more than 35% [6]. Again, the cultural industry should develop nonfinancial financing channels. In developed countries, all kinds of foundations have become an important approach to cultural industry corporate financing; Commercial sponsorship and private donations are also an important source for the cultural industry in the developed countries to collect money. So the government should improve citizen and social responsibility by propaganda, encourage direct sponsorships, donations, or buy cultural lottery to support the development of Xi'an cultural industry

5.3 Paying attention to the maneuverability of policies, reducing cultural industry market uncertainty and liberating the worries behind of social capital

According to statistical bulletin for national economic and social development in 2013, at the end of 2013, the rural and urban residents' deposit balance in Xi'an reached 535.705 billion yuan. It can be inferred that there are plenty of idle social capital stock from just the date above. Presently the keystone of the study is how to attract social capital and speed up the participation of social capital in Xi'an cultural industry. In fact, the development of cultural industry in Xi'an would be very difficult without the support
from the government. Therefore, whether the government's laws, regulatory policies, or the policies and measures should be clear, and must have the enforcement regulation. Only by building an orderly competition, stability, and excellent market environment can social capital flow into cultural industry safely.

5.4 Setting up Third-Party Assessment Entity, building a bridge for social capital and cultural industry

The establishment of the Third-Party Assessment Entity can not only solve the problems of intangible assets evaluation and mortgage in cultural industry, but also effectively protect the interests of the investors, creditors and the consumer [7].

The government should establish Third-Party Assessment Entity with special cultural art, encourage to establish financing guarantee institutions for cultural industry and evaluation agency of intellectual property patents which relate to the cultural products, for promoting the establishment of the intermediary service system of Xi’an culture industry, solving the uncertainty of future earnings of Xi’an cultural industry effectively, and attracting more social capital to flow into Xi’an cultural industry.

5.5 Encouraging independent innovation, improving the potential value of cultural industry and attracting high-quality social capital

The future profitability of Xi’an cultural industry depends on the interest and strength of social capital, however, the profitability depends on innovation will and strength largely. By using the talent policy and fiscal policy, the government could attract individuals and companies which have innovation consciousness and ability in cultural industry area, in order to generate a new innovation trend in Xi’an. Furthermore, it will produce a ripple effect when foreign social capital gets into Xi’an cultural industry. The flowing of foreign social capital is beneficial to improve the capital accumulation ability, industrial competitiveness, technical level, brand value [8], management ability [9] and market value of Xi’an culture industry, meanwhile, enhance the core competitiveness of Xi’an culture enterprise.

References
Risk Management Strategy of Credit Rating on Big Data Financing

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ABSTRACT

Based on the four-V characteristics, big data not only covers larger amount of private information of clients but also it faces the data storage security risk and exposes the privacy of the civilians. In this case, the risk management strategy includes the privacy invasion management and system design. Technically there is an urgent need to advocate the standard and authorization of the credit rating, as well as the real time monitoring once alert is detected. Also public administration and government support are the solutions to the data acquisition and sharing on the big data financing.

Keywords: Big data financing, risk management strategy, credit rating, P2P platform

1. Introduction

For China's current credit rating system, the main consideration is risk control of large enterprises, generally enterprises of large amount of loan or business must participate ratings, but ratings of SMEs is equally important. When the government is developing the credit rating system, it also needs to incorporate SMEs. The role of credit rating is to reveal corporate quality, strength of signaling mechanism, which determine the value of credit rating. Since China’s corporate credit rating industry has a short history, the industry is still not mature, in order to compete for the market, some enterprises substantially raise company's credit rating. In the design of credit rating system, if the cost of credit rating is not considered, mandatory credit rating system more efficient than voluntary rating system, and helps to reduce lending risks.

2. Literature review

Borenstein and Lee (Borensztein & Lee, 2002) discuss the credit crunch after the financial crisis in Korea. They conclude that the credit crunch in different sectors should be concluded as the adjustment by enterprises and banks. Mendoza and Terrones present a methodology (Mendoza & Terrones, 2008) to credit booms measurement. Tene and Polonetsky (Tene & Polonetsky, 2012) suggest that the organizations should be requested to disclose the decisional criteria. Levenson and Willard (Levenson & Willard, 2000)
calculate how the small businesses in the US during the late 1980s enter the external credit finance. Atlanasio etc. (Attanasio, Koujianou Goldberg, & Kyriazidou, 2008) study on the borrowing constraints in the consumer loans and find that the results consistent with the binding credit constraints in the auto loan market. Berger and Udell (Berger & Udell, 2002) research on the inner workings of relationship lending and they find that the agency problems are built during the organization which are best resolved by structuring the bank. In Calder’s book, he (Calder, 2009) discusses the a cultural history of consumer credit in financing the American dream. Basurto (Basurto, 2006) uses the case of stress testing under data-restricted environments in his discussion of portfolio credit risk and macroeconomic shocks. Ziane (Ziane, 2003) researches on the empirical results from French small business data on the number of banks and credit relationships. He confirms that the hypotheses relative to availability of credit financing, costs and collateral requirements. The potential lenders extend credit to firms in long term lending relationships. The competitive pressure from the banking sector cannot afford a compensatory behavior of banks granting loans in the first period.

3. Analysis

Currently, the credit rating modes for Internet financing platform is divided by source of rating information, which can be divided into three modes:

3.1 Credit rating based on large operating data.

This mode is used for commercial banks’ online banking, P2P net loan platform and public funding platform, P2P is especially the most active, clients facing are individuals and small businesses with low credit level, and their financing amount ranges from a few thousand to millions yuan, which largely makes up for the traditional financial institutions do not want to provide financing service for such type of client group under asymmetric information circumstance, and therefore it is in a rapid development stage.

3.2 Credit rating based on large transaction data.

This mode is used for matured electronic business platform to provide financing services, such as Ali’s small loans, Jingdong’s Jingbaobei. etc. This type of financing platform has maintained a good development trend in recent years with the development of the electricity supplier market, and the market share rises rapidly.

3.3 Credit rating based on large interaction data.

The model is currently used for some Internet platforms providing personal loans service, and the well-known companies are ZestFinance and WeCash. Such financing platform is still in its infancy, but it is foreseeable that in the future, credit rating based on large interaction data will gradually become the main form of credit rating, and will gradually develop from individual and small micro-enterprise loans to large corporate loans.
"Corporate credit rating" is actually a "body check" of P2P platform under applying, is a comprehensive evaluation of business qualification, risk control, cash flow and management. Investors can use this as an important condition for platform screening. But if net loan platform with access to business rating has no risks and absolute security, it is exaggerated! Any platform has the risk of closed down, some from policy risks, some from operational risks. The former can not be controlled, and the latter come from enterprise’s management and control of risks. The basic situation of a company has a strong correlation with local economic development level, and the situation of a company engaged in infrastructure construction business is also closely related to its position in the regional economy and regional economic development situation and development stage. Therefore, regional economic environment is an important environmental factor for company's development. Currently, foreign well-known P2P network lending platforms follow strict credit evaluation system and related credit interest rates, credit policy. Zopa requires borrowers to have credible evidence of identity, debt repayment credit history and no less than 10,000 pounds of annual income proof, determines borrowing rates of fundraiser according to the level of credit rating. In transactions, aggressive lenders can choose borrowers with high willing to pay higher interest rates but lower credit level, and conservative lenders would choose borrowers with high credit level but low willing to pay high interest rate. Prosper requires registered users to have legal US citizenship, personal credit score of more than 520 scores, social security number, individual tax number and bank account, and approval authentication that can pass platform’s anti-fraud and identity authentication system. Since the developed United States and Europe countries themselves have highly sophisticated national credit systems, so the division of credit rating level in P2P net loan platform is objective and true, while credit rating also has a very important role in the entire credit activity. The level of credit rating directly affects the level of interest rates and credit amount, so website's credit rating will dynamically adjust along with offline personal credit rating changes, combined with user's online activities.

Except those whose initial evaluation are believed to have big risks are listed in E, others P2P program platforms with bid splitting, self-financing suspect, general industrial or real estate background and no investor’s direct investment, are not rated or the ratings to be withheld. In this part, there are a total of 384 platforms refused rating, which are also listed in E, thus causing excessive E-level platforms. Of which, there are 328 bid-splitting platforms. One reason is the highest level of platform rating in 2014 is DD, which means that their current rating is only DD. Second, some are bid splitting, which are refused rating, but since they have passed the initial evaluation, they are listed in E, such platforms will not have formal rating later: Finally, there is a small amount of platforms, with no expressed business entities, a number of complex relationships exist, which is very easily lead to
disputes in the future, that the main responsibility can not be determined. To be clearly, you even can not figure out who to prosecute. "Run away", "difficult to withdraw fund" the most terrible “mines” that P2P investors afraid to step on. As of the first half of 2015, the cumulative number of nationwide problematical P2P platforms reached 895, and there are 53 in Jiangsu; Only in July, the number of platforms going wrong reached 109. For example, Jiangsu P2P platform Suzhou Wealth, two people spent only 60,000 yuan to register the platform, take interest rate of 30% as a bait, cheated 12 million yuan from more than 200 investors, and ultimately made investors lose everything; changed name twice a month, behind the ridiculous Shenzhen P2P platform Rong Yi Rong, is actually high pressure of redemption, they tried to introduce new promotions to attract new investment funds by changing name.

4. Conclusion

State-owned Internet financial enterprises enjoy unique "state-owned" background, but they should also follow the same disciplines and laws, effectively assume social responsibility from capital investment, capital costs, user satisfaction and other different angles. In P2P online loan, double-blind auction does not offer the lowest possible rates for borrowers. In practice, it is even possible that the higher CTR to attract borrowers, the lower interest rates, rather than the higher interest rate, the lower interest rate, such inefficient pricing cases. Some of the large P2P platforms have gradual improved their credit rating through different means, the credit rating system itself, however, is not perfect in a day, especially the personal credit rating is even more difficult.

References

Examining the Relationship between Volunteerism and Public Relations Success: An Empirical Study of Volunteers in the Expo 2010 Shanghai China

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ABSTRACT

This study examined the links between volunteerism and public relations success based on a content analysis of reports on volunteers in the Expo 2010 Shanghai. After reviewing literature on public relations, volunteerism, corporate social responsibility and background information of Expo 2010 Shanghai China, we adopted content analysis on a significant number of online newspaper articles from the official website of Expo 2010 Shanghai China. Based on factor analysis and correlation analysis, it was found that volunteers’ motivation factors included devotion, demand for experiences, spiritual growth, sociality motivation, responsibility, learning and training, social network acquisition self-identity, well organizational treatment, signifying honour for approval, well organized work arrangement, self-commitment, commitment to others, attitude of repayment to society, achievability and creating self-confident. Public relation success factors included enhancing interaction with others, demonstrating quality of the city, internal public relations in human resources, excellent images for organizations or individuals, presenting professional images, transporting concept of happiness lies in giving help to others, presenting internationalization and creating publics to like and approve the organization. The study has indicated the positive correlations between the volunteer motivation and public relations success. Our study has practical value for managing volunteers to achieve public relations success in large-scale events.

Keywords: Volunteerism, Public Relations, Corporate Social Responsibility, Motivation

1. Introduction

Public relations (PR) are an important management function to accomplish organizational goals, define philosophy and provide independent consultants. Public relations staff develops positive and harmonious relationship between firms' goal and society. (Lattimore, Baskin & Heiman, 2007). Public relations refer to the behaviours or activities associated with communication events required to represent and protect the company brand image when establish relationship with the public. Public relations are becoming mature and professional that PR practitioners require escalating PR techniques by integrating extensive subjects. Volunteerism is the typical behaviour for maintaining, organizing and interacting with society that creates beneficial advantages for any organizations that volunteerism can be considered as a competitive strategy approach for PR practitioners increasing its success. Several studies had discussed the relationship between PR and Corporate Social Responsibility (CSR), but little study has concentrated on the relationship and synergy with PR and volunteerism. Shanghai
Expo has been recognized as an important event to enhance Chinese internationalization in 2010. Expo 2010 Shanghai China events had achieved significant awareness by conducted public relations performance. Shanghai Expo volunteers are the important factor of events which providing a variety of public services to audiences. This report will use Shanghai Expo volunteers as the main sample to examine the interrelationship with the success of public relations.

This study argues that public relations practitioners can attain excellent PR performance by integrating volunteerism. The core value of this report is to contribute linkages between public relations and volunteerism which emphasizes the importance of synergy when PR professions organizing any campaigns. The report will use Shanghai Expo volunteerism as a case study that presents the motivation factors of volunteering can lead PR success in Shanghai Expo campaign.

This study considers three important components in literature reviews: public relations, volunteering and Shanghai Expo. The literature review will define public relations as basic understanding, describes functionality of public relations, public relations development in China and introduces what kind of factors are considered the success of public relations. Literature for volunteering is classified into the definition of volunteering, the value of volunteering, motivation for volunteerism and the linkages between corporate social responsibility and volunteering.

The review also presents the relationship between PR and volunteerism, explains the reasons for choosing corporate social responsibility as the main literature review to connect with PR concept and introduces the research approach to examine the PR success by integrating volunteering motivation factors. Finally, this literature review will provide an introduction for Shanghai Expo, Shanghai Expo volunteering and public relations in Shanghai Expo campaign.

The methodology for this study has applied secondary research that specifically utilizes a content analysis approach. The objective of the methodology is to find out the interrelationship between volunteering motivation factors and PR success factors in Shanghai Expo campaign. The independent variables and dependent variables are designed by the researchers according to previous literature reviews. Independent variables are referring to the motivation factors of Shanghai Expo volunteering, while dependent variables represent public relations success in Shanghai Expo campaign. The result is presented on result's finding with factor analysis and correlation analysis. Factor analysis of the result shows several independent variables are interrelated with other independent variables, while dependent variables are also showing common characteristics that classified into less number of columns. Correlation analysis of the result shows volunteering motivation factors (independent variables) are strongly related with public relations factors. This report will refer previous literature reviews to support its finding in result discussion section. The study also identifies several limitations that can influence report's completeness. The report provides conclusions for a summary of the overall contents.

*Expo 2010 Shanghai China*

The Wold exposition had been discussed in several definitions. According to Expo 2010 Shanghai China (2010), Wold Expo is the abbreviation of the World exhibition or exposition that it is a major international exposition event with great histories. The first World Exposition started since 1851 in London (Dynon, 2011).
World Expo is significant capital investment, high demand on infrastructures, landing and manpower which highly important for every nation to presents culture, society, economy and technology in the international stage. Therefore, it also was recognized as 'Socioeconomic Olympics for every country'. The purpose for World Expo is providing opportunity for publics in different nations that to understand and communicate national cultures and society (Expo 2010 Shanghai China, 2010). Other studies defined Expo as a trade show that every participant is tourists, immigrants and customers to present or receive brand message through pavilions (BrandSource, 2010).

Expo 2010 Shanghai China or Shanghai Expo had been started in the first of May, 2010 until end of October, 2010. Chinese Communist Party (CCP) decided to undertake the 41 terms World Exposition that Shanghai Expo was highly constructed in 2010. The land size for Shanghai Expo is about 5.28 square kilometres with 3.93 square kilometres in Shanghai Pudong area and 1.35 square kilometres in Shanghai Puxi area. This Expo event has several objectives including multi-culture integration, technology and innovation presentation, economic stimulation and community interaction (Expo 2010 Shanghai China, 2010).

The theme of Shanghai World Expo is 'Better City, Netter Life' that enforces a core philosophy of Confucian known as 'Harmony'. Shanghai Expo defined this harmony philosophy as a harmonious society that publics involve with an idea of 'peaceful rise' which ultimately achieves success on economy, technology and society. The Expo had presented several actions to strengthen this philosophy. The brand image of Shanghai Expo is based on a Chinese language character of Shi. This image presents three people embrace each-others that represent harmony between the surrounded people and person itself. It also stands for understanding, communication, cooperation and happiness from people-orientated of humanism (Dynon, 2011; Cui, 2010; Expo 2010 Shanghai China, 2010).

The mascot of Shanghai Expo is named as 'Hai-Bao'. The appearance design is based on another Chinese character - Ren. Hai-Bao symbolizes harmony and luck which were considered as high recognition, memorable and useful in brand image. The marketing department of Shanghai Expo utilized this brand image to relevant products such as toy, stationery, clothes and gift. The brand value also was marketing through mass communication tools and Internet (Dynon, 2011; Expo 2010 Shanghai China, 2010).

Shanghai Expo Volunteerism
Shanghai Expo volunteers had contributed significant value during operations. Shanghai Expo Volunteer Shen (2010) indicated that volunteering is a major social asset that it can unite publics for a particular contribution. China is becoming an effective platform for volunteering growth. However, it still required more professional training and completed operational system in order to satisfy audiences' needs. Shu (2010) argued volunteering activities are forming into a social trend or fashion which represents a powerful workforce in Chinese society. Zeng (2010) believed self-identity are the key motivation factor for Chinese volunteered. For instance, the uniform for Shanghai Expo volunteer named as 'Xiao Bai Cai' that the clothes design includes friendly and energetic appearances.

Shanghai Expo and Public relations
In public relations and marketing perspectives, Shanghai Expo had been created a significant platform for brand marketing with at least 700 million international and
local audiences. The marketing for every cooperated firms or organizations can be gained significant attention. However, public relations for the Expo need to consider localization as a key component which almost 90 per cent of audiences come from Mainland China. Mass communication utilized is another challenge for Shanghai Expo PR. Currently, Chinese mass communication is lacking international communication strategy that leads misunderstanding and conflict from foreign nations perspective. Therefore, PR practitioners require considering multi-perspective when conducting any PR events including integrating PR strategy for Shanghai Expo volunteerism (Dynon, 2011; Cui, 2010; Brandamentalist, 2010).

2. Theoretical Background

2.1 Public relations
Public relations agencies establish network with third parties as major tools of promotion, expressing information, companies' representative, brand awareness and crisis management. The relationship includes media, customer, employee, community or government (Wilcox, 2009). As companies' marketing cannot afford the high cost of advertising, public relations practitioners become necessary in marketing (Dominick, 2002).

Public relations had been discussed and defined in different perspectives and authors. The definition of public relations still cannot be precisely confirmed into a uniqueness definition (Khodarahmi, 2009). Prindle (2011) defined public relations as behaviour or activities associated with communication events that public relations required to represent and protect the company brand image when establish relationship with publics. The functionalities of public relations in certain type of organizations had been expanded to build up a synergy with public relations, advertising and marketing promotion.

Another definition from the literature review shows that public relations are representative in every promotion events that integrate promotional mix with variety interested stakeholders includes competitors, media and government state. The main idea about public relations is to provide a particular platform or stage for the corporation to offer a presentation about brand image and personality to own 'public' such as customers, suppliers, shareholders, local community and relative publics. Therefore, a professional PR practitioner requires having strong communication skills and generates advertising campaigns with promotional events (Memeti, 2011).

Bush (2009) defines PR as a specific tool to maximize and advertising utility with low budget when firm position in difficult time of economy. While Khodarahmi (2009) described many academic professors argued that marketing and public relations are different in management approach but cannot be separated or independent. PR is specialized for communication between companies and publics. Additionally, public relations had been defined by scholars as relationship management (Ledingham & Bruning, 1998).

2.2 Public relations functionality
The primary strength for PR is presenting multiple skills on mass media of communication such as journalism management, editing, broadcasting and promotion through a variety media - newspaper, magazine, television and radio (Seitel, 2001). PR communication procedures are categorized into several stages (Well and Spinks,
According to Cline (n.d.) states that public relations enforces internal communications as one of the important functionality. PR practitioner applies several mass media channels as the main platform such as newspapers, magazines, Internet content, communication with management or board director and employees' conferences or interaction to enhance internal communication (Haynes, 2003). This PR function also was recognized as internal public relations that it going to be introduced in further content.

Another important functionality for public relations is to create a positive and professional image for the organization by researching publics' opinions and attitudes. PR professionals need to discover the trends and coming events that can affect the organization's reputation and corporates' image (Haynes, 2003). Public relations practitioners should reply on five behavioural principles to conduct public relations performance including honesty, openness, fairness, continuous communication and continuous image analysis.

Continuous image analysis is to research internal and external publics' opinion about the organization that understands the image is positive or negative, favourable or unfavourable (Asemah & Asogwa, 2010). PR practitioner uses activities, announcement, media communication or launching new products to alter the perception of organization images according to the result of continuous image analysis.

2.3 Public relations success

The report will illustrate the key components of public relations success evaluation. Excellent public relations project management relies on professional communication techniques to support the organization's senior management. Public relations practitioners achieve success by turning organizational daily practices into public interest (Haynes, 2003). The practitioner enhances these activities with a value added that attain public's understanding, acceptance and collective relationship with the organization (Broom & Dozier, 1979). PR practitioner requires establishing clear rules in internal processes in order to communicate effectively in internal public relations among other departments and news release in media relations (Meranus, 2013).

According to Meranus (2013), the public relations strategy mostly related to the relationship with reporters. PR professions spent effort and time to enhance the relationship with reporters which is crucial when the organization's activities promoted by media coverage. The key factor for PR professions is to market own activities or information that the organization can be provided for reporters that creating interest and win-win strategic approach for both parties. Success within reporter relationship is the reporter contact with PR profession directly and proactively. This represents PR professions have created a trusted, credible and valuable sources for journalists who the content is relatively detailed and well-written.

Another factor to evaluate PR success is to enhance brand awareness and
customer preference which similar to the marketing objective. PR needs to achieve a successful brand image for high awareness within organizational activities (Dietrich, 2012). According to Hung (2008), a successful PR campaign supposed to lead a positive influence on public's perception, enhance brand image and increase customer loyalty. The study indicated consumer perceptions of public relations are positively interrelating to brand image. Optimal PR is creating high value of brand images with strong customers' trusts and preference which having admirable reputation.

Cross-national PR activities are another factor to evaluate public relations success. Internationalization engagement benefits the company to increase financial performance, business operation and power of influence by expanded different market (Johanson & Vahlne, 1977). Globalization of business required international public relations practitioners to recognize, analyse and illustrate the international perspective (Ihator, 2000). Sriramesh, Kim & Takasaki (2009) indicated the cultural adaptation and utilization are significant in international public relations. The successful professional uses communication skills in cultural activities promotion toward foreign audiences for internationalization achievement.

2.4 Volunteerism

According to literature reviews, volunteering has different type of definition. It is necessary to understand the definition of volunteering as the first step of the study this field in order to integrate public relations perspective effectively. Literature reviews (Marta, Pozzi & Marzana, 2010; Waikayi et al., 2012) described volunteerism as a typical behaviour for maintaining, organizing and interacting with society that creates beneficial advantages for any organizations. No monetary orientated volunteerism had been recognized as duty commitment rather than enjoyment which involves time consumption.

According to Tikam (2011), volunteering is a system for society performance by utilizing the volunteering program. The program refers recruitment, interviewing, training, program evaluation, sample statements application, job descriptions and data collecting. Burn (2010) believed volunteering is the major platform for people to assist and support in publics which represent the necessity and importance especially in difficult time for society. It is also a channel for paid staff or employees to engage community activities as building reputation or self-fulfilment.

Volunteerism also been defined by many academics into different description. Tomkovick et al (2008) indicates volunteering is a learning behaviour caused by socially and environmentally formulation. Primary sources for volunteering nurturance are based on family and friends who engaged in community service proactively in a long period of time which the relevant individuals involving similar activities by learning behaviour.

Roles of volunteering also based on different volunteering activities and organization type. Young volunteers mostly involve in community development and building infrastructure, providing service within the education and youth organizations. Middle-aged volunteers conduct requirement and employment as the main roles of volunteering and senior adults focused on leadership, tutorial, coaching, motivation and establishing volunteering culture in the organization (Tang, 2006).

Primavera (1999) argued the volunteering is a source of personal growth and competence especially for undergraduate students as main human resources.
Educational experience, enhancing social awareness and commitment to the community is a crucial component of the students' growth. Tikam (2011) shows volunteering organized by students are organized, determined and goal-orientated. Although volunteers performing similar volunteering work for the same community, reasons for volunteering are different among these individuals (Clary & Rhodes, 2006). The main reason for student's volunteering is to achieve personal goals.

Barkay (2012) focused on volunteering in employee's perspective that volunteering is an important platform to establish partnership with target communities. Employee volunteering emphasized on the performance with physical contribution and manual work. Volunteering activities also increase employees' commitment by improving the relationship with managerial staff which directly leading positive effect on the business model.

2.5 Motivation factors of volunteerism

Volunteered motivation Ward & Mckillop (2011) indicated motivation from volunteering perspective been recognized as potential humanistic factor that improves the volunteer's human capital and maintains service continuance by controllable influences. The motivation of volunteering can be managed and evaluated into strategies for implementation. Other researchers (Marta, Pozzi & Marzana, 2010; Jarvis & Blank, 2001;Wilson & Musick, 2009) had discovered the proper way of implementing motivation is short term (six months) for both paid staff and volunteers. The team works cooperation in community and characteristic role play can be active motivation for volunteers. While the volunteering contribution based on job application requirement and social group persuasion are recognized as passive motivation.

Training and Learning. Another important component for volunteering motivation is new skills learning or training. The young participants in volunteer programs can learn variety skills such as teamwork skills, communication skills, leadership skills and management skills that these training or work experience shows benefit for volunteers' future career (Peterson, 2003; Waikayi et al., 2012). Therefore, volunteering training is important. Burns (2010) showed 55.4% employees were unsatisfied because no training offers from organizations. Tikam (2011) stated student volunteers are attracted by the new knowledge and skills attaining provided by the non-profit organization.

Volunteering satisfaction Volunteering satisfaction is one of the key components for volunteering motivation. The studies (Peterson, 2003; Marta, Pozzi & Marzana, 2010) described the employees or volunteers who are highly satisfied in the corporation that the staffs show higher commitment, productivity and contributing effort for a longer time. Volunteered satisfaction is intrinsic motives from job participation which enhance inner growth in volunteers' self-identity or self-definition (Marta, Pozzi & Marzana, 2010; Waikayi et al., 2012). Jamison (2003) argued volunteers can be dissatisfied by poor management skills or inconsistent volunteering a purpose. Satisfaction gained in volunteering is a critical factor for volunteers joining any volunteering projects. The volunteering satisfaction evolved from the self-confidence those individuals overcoming challenges of volunteering tasks and meeting expectations of volunteers (Tikam, 2011).

Commitment Madison, Ward & Royalty (2012) state the organizational
commitment is a major part of volunteering motivation. The commitment based on volunteer is back up by responsibility that encourages employee's contribution for non-profit community. Organizational commitment utilizes social identity that volunteers build up a strong characteristic of the role of volunteering. These volunteers can be motivated by mission statement that states the value of volunteering goes much beyond economic interest in organizational commitment. Strong commitment to voluntary activity motivates the volunteers engaging contribution to society with a longer period of time (Marta, Pozzi and Marzana, 2010).

**Achievability and Devotion** Ward & Mckillop (2011) finds out the volunteers are motivated by a strong requirement on achievability. Above 85% of volunteers believe the contribution to society is valuable, worthwhile and meaningful as main sources of self-motivation. The study also indicates devotion is another motivation factor in society contribution. Many volunteers are motivated because they believe the participation effort is satisfying society's needs or building a better society. The sense of devotion is also recognized as the intrinsic motivation in the study of Haivas, Hofmans & Pepermans (2012). The intrinsic motivation is caused by the volunteers find enjoyment and satisfaction when helping each-other during devotion.

**Social Identity** Tomkovick et al (2008) indicates the social identity is a necessary motivation factor to produce excellent volunteering performance. Non-profit community can acquire significant joint forces and cohesion by creating oneness of organizational belonging for volunteers. Social identity and community identity is defining volunteers' perception of volunteering value. Volunteer social relationship is becoming meaningful that enhances volunteers concentrate on inner growth and self-definition based on own contribution. In the volunteers' perspective, the symbolic identity function of confirmation will become an expression of personal-definition (Medison, Ward & Royalty, 2012).

**Social Network (social needs)** According to Madison, Ward & Royalty (2012), social network is being recognized as valuable motivation factors that leading positive attitudes and behaviour among volunteers in non-profit organizations. Many people are encouraged to expand the social network by participates in volunteering campaign. Social connection can motivate volunteering on relationship building as a compensation for the lack of financial reward (Haivas, Hofmans & Pepermans, 2012). The needs of social relationship are maintaining growth.

### 2.6 Corporate Social Responsibility and Volunteerism

Volunteering has been an important component of corporate social responsibility. Both terms to implement similar concepts, values and motivation factors that the concept of volunteering most of the time can be recognized as a specialization activities of CSR.

Volunteering is recognized a broad topic for description that the term of volunteering can be classified into different categories in CSR perspective. Corporate Volunteerism recognized as the contribution of work forces, time and skills to support the community and non-profit organizations or activities. Corporate volunteering has high initiatives of participation from many corporations. These companies developed programs or projects to encourage own employees to become volunteering (Ali, Nasruddin & Lin, 2010). This type of volunteering brings a positive effect on employee morale and increased productivity.
Company support for employee volunteerism (CSEV) is another approach that businesses achieve the CSR escalating expectation. Company support for employee volunteerism (CSEV) is one mechanism whereby businesses meet the escalating expectation for corporate social responsibility (Runte & Basil, 2010). The companies use emerging techniques on CSEV including charitable donations, sponsorships, campaign marketing, health and safety, environmentalism and employee volunteering application to present the companies' CSR (Basil et al, 2011).

The main human resource for CSR mostly refers to non-profit organizations that volunteers are critical resources in the organizations (Basil et al, 2008). CSEV is also becoming the main work forces in non-profits organizations for CSR expectation achievement. The motivation factors are required for company's employees and organizations itself to engage volunteer program. The individual and organizations who involves volunteering for CSR can attain several benefits. The organization can obtain positive perception in the community and publics improve brand image, adding value for further products and activities development while the employees can acquire additional skills (Sidderhartha & Priyanka, 2012).

Volunteerism also been recognized as a strategic initiative that it is a source of competitive advantage when the company implements CSR. CSR improves performance between the two key stakeholders of the company: customers and employees. Managers have the platform to communicate and share values with its employees by sponsoring volunteering that increasing commitment on workforce which escalating the company's competitive advantage (Madison, Ward & Royalty, 2012). Drivers for volunteering commitment within an organization are social identity and individual perception of the organization which involves obvious self-assessment (Turker, 2009). For example, Post Hoc analysis shows manager sponsored volunteering is strongly related to positive organizational identity (Houghton, Gabel & Williams, 2008).

2.7 Corporate Social Responsibility and Public relations

Repair image, stakeholder relationship and strategy implementation PR utilization in CSR mostly appears in either reactive or proactive approach. Public relations promote a CSR campaign to response publics with a negative attitude that repairing the brand image or reputation (Frynas, 2005). The public relations professional also can engage CSR activities to build relationship with stakeholders in the community (David, 2004). In further study, public relations have recognized CSR is a strategic approach by selecting and designing CSR activities as a business strategy rather than the role of damage management (Capriotti & Moreno, 2007). CSR and public relations can be recognized as acceptable and common strategies for the organization in a broader perspective.

Positive Corporate Identify, according to Porter & Krammer (2006). CSR is no longer identified as a charitable activity. It has been considered as a source of opportunity, innovation and competitive advantage. The competitive advantages of applying professional PR practitioners to integrate with CSR have been identified into several benefits. The coordination between public relations and CSR creates positive corporate identity and purchase preference (David, Kline & Dai, 2005). The corporation can improve its share prices, reduced conflict among stakeholders, enhanced employee efficiency and satisfaction. The company also enjoys a more flexible organizational structure with less regulation and litigation that encouraging
gracious business environment.

**Stakeholder relationship** The Company can be benefited by continuous engaging CSR events; public relations also can exploit the repertoire of professional on communication activities with stakeholder in order to attain PR success. Public relations identify CSR as a tool of transmission to develop interests of organizations and external stakeholders (Benn, Todd & Pendleton, 2010). Public relations practitioner can achieve both internal PR and external PR success by applying CSR campaign with stakeholders. The positive relationship with stakeholders can provide support when creating corporate image for target audiences.

**Reputation and internal motivation** CSR activities create the corporate reputation which motivates public relations practitioner contribute more effort in the organization. Siltaoja (2006) stated that corporate social responsibility can build up a reputation for organization in publics. Many public relations students choose certain firms with complete CSR programs for working career. These highly educated students are sensitive to the reputation of the job which directed relates in terms of organization's CSR activities (Kim & Park, 2011). In addition, Kim and Reber (2006) believed that the high professionalism of public relations is reflected on positive attitude and engagement to CSR events.

3. **Research framework**

Although little study has present the relationship between the subjects of public relations and volunteerism, several factors presented in previous contents demonstrate relevant linkage for both subjects. According to Hoeffler & Keller (2002), CSR program recognized volunteerism as a strategic approach to help administer to conduct non-profit campaign which creating a positive brand image and customer loyalty with publics. The public relations practitioner applies this type of strategy to produce optimal outcomes of reputation.

Volunteering and CSR shares similarity on motivation factors including social identity, social network, work satisfaction, training and learning that public relations practitioners can utilizing these motivation factors in order to create the success of PR campaign (Valentine & Fleischman, 2009; Porter & Krammer, 2006; Tikam, 2011).

**Internal PR and external PR** According to Gill (2011) stated that public relations can focus on internal PR rather limited on external PR. Internal PR represents reputation marketing among satisfied internal stakeholders such as manager or employee. External PR occurs when PR practitioner use mass media, promotion or presentation as tools for objective of expressing information. Since literature shows the relationship corporate social responsibility, volunteering and public relations in both internal PR and external PR perspective, the report also indicates volunteered belong part of corporate social responsibility and has similar motivation factors and value. This report will use these two public relations techniques to analyse, evaluate and discover successful cooperation between PR and volunteering. These two approaches will fulfil research gaps which show in figure 1.
4. Methodology

4.1 Sample

This report conducts coding procedure by collecting data through online newspapers and journals of Shanghai Expo. These journal papers mostly are column for Shanghai Expo campaign that organizing by the local Chinese newspaper office called "Qing Nian" newspaper office. Newspaper office names the column newspapers are specialized for Shanghai Expo as "Xin Weekly Journal". The textual coding procedure relies on about 109 of journal articles and newspapers to consider as representational and reliable data collection.

The online articles are collected by professional journalists that interview significant numbers of Shanghai Expo volunteers, foreign volunteers of Shanghai Expo, organizational leader of volunteering, representative of Shanghai Expo campaign public relations practitioners and public audiences. Volunteers are including different segmentations which have different job positions, health of the bodies, family backgrounds, nationalities, working locations, ages, educational schools and communities, social networks and occasions. Different reporting time, location and journalists are also parts of the online articles.

The samples have several advantages compared with other research sample with different methodologies. The articles written by journalists have the advantage of documentary records that show high practical, precise and detailed format than the other samples based on previous personal experience such as survey and interview. The samples of this report cover most interview records of specialized on Shanghai Expo volunteers that discover deep and meaningful contents with high representatives.

These samples content also contains other audiences' perceptions excluding the volunteers which obtain multi-perspective from relevant stakeholders. Other audiences' perspectives are from relevant public audiences, Shanghai Expo secretary in different departments, promotion managers of Shanghai Expo campaign, reporting journalist itself and employees working in different exhibition sections, internal offices, ticket selling stations and services position. The samples can attain high representational content to illustrate the creation of public relations success by strongly implementing Shanghai Expo volunteerism.
4.2 Procedure

*Content analysis* this report will utilize secondary data analysis by concentrating on content analysis approach specifically. Content analysis is a research technique that presents content of communication with objective, systematic and quantitative description approach (Kassarjian, 1977). Content analysis emphasizes the many words of the text classified into much fewer content categories from sources of report, article or film (Crowley & Delfico, 1996).

According to Crowley & Delfico (1996), the text words classification process called "coding" that uses short alphanumeric codes to mark text passages. This procedure produces "categorical variables" which represent the original verbal information that can be analysed with standard statistical methods during the next textual transition process. The text passages can select different forms as the main source including interviews, focus group discussions, case studies, agency documents or previous evaluations.

Content analysis is a familiar research method in journalism (Kassarjian, 1997). Some researchers apply newspaper content analysis to analyse the trend of social and demographics attitude changes (Levinsen & Wieb, 2011). Online newspaper site is an effective resource approach to reach different sample sizes in content analysis. Some research studies had been conducted by utilizing effectively on online newspaper as main sources of sample (Uribe & Manzur, 2010).

This report will also use online newspapers as the major sources of content analysis. In previous literature review of this report shows that public relations practitioners coordinate with journalists and mass communication professions for information gathering, altering audiences' attitudes and promotion. Therefore, the report argues online newspaper content analysis as data gathering approach can be more representative and convincing than interview or survey techniques.

*Content analysis procedures* the report is consistent with utilize coding technique in consistent and systematic approach that classified each coding newspaper articles into several details. The procedure of coding can be separated into several steps in this report. First, researchers indicate the research problems which require to be answered and research relevant literature reviews to design variables of the sample. The researcher conducts sample resources searching procedures according to design variables. Second, selects typical sample resources which have high representational meaning with the variables. Choose certain amount of keywords, sentences, paragraphs or verbal transcription are compatible with the variables designed by literature review, third, transform the meaning of keywords, sentences, paragraphs or verbal transcription into coding procedures by utilizing dummy argument technique. Fourth, apply Statistical Package for the Social Sciences (SPSS) software to examine the interrelations of variables after coding procedure. Implement correlation analysis and factor analysis methods in SPSS software to present result finding and relationship among these variables including motivation factors of Shanghai Expo volunteering and public relations success factor for Shanghai Expo volunteerism.

*Coding procedure* once researchers finish research on sample sources (online journals) identification by using secondary data research, the next procedure to arrange these contents is to create the organized and systematic categories with computer software. This report uses Microsoft Excel to classify each online journal...
papers into a methodical grouping. The basic components of classification for this report's sample are consistent with first, name of publication that indicates which newspaper offices or organizations published the journal articles. Second, dates of reporting that indicate which dates of the articles' content had been conducted by the journalists. Third, sources of reporting that indicates which weeklies, special columns or sources of the journal article had been reported. Fourth, date of publication that indicates which dates from the journal articles had been published. Fifth, characters of interview that indicates who had accepted the interview with journalists as main representatives of research.

**Dummy argument** this report uses a dummy argument for coding that considers as effective way to examine samples' variables. The dummy argument creates two possibilities which classified into 1 and 0. This report considers the variable description as a guideline to find relevant keywords or contents. If the contents are similar and compatible with the variable description either motivation factors for volunteering in Shanghai Expo or success factors of PR in Shanghai Expo would mark as 1. If the contents are not suitable and incompatible with the variable description would be marked as 0.

**Analysis methods** the result analysis of this report will apply to analysis of correlations and factor analysis to present statistical result discussion. Correlations analysis shows one variable is predictable relationship with the other variable (George & Mallery, 2005). Factors analysis is conducted to identify clusters or groups of related variables into fewer unobserved variables (Zhang, 2004). This report applies correlations analysis to obtain related dependency with independent variables which are motivation factors of volunteering in Shanghai Expo and dependents variables presented as public relations success factors in Shanghai Expo campaign. The relationship between independent variables and dependent variables will be illustrated by a diagram format. The sign of "*" will be marked once the variables show relative dependency to each-other.

This report uses factor analysis to categories of variables into similar clusters that create fewer variables for simplification. Both independent variables and dependent variables will be conducted with factor analysis. The factor analysis classified clusters with the same attribute that the independent variables can-not conducts factor analysis with dependent variables. This report will apply to two separate conducts factor analysis which classified into the factor analysis for independent variables and factor analysis for dependent variables. The factor analysis results will demonstrate as diagrams format. Similar clusters of variables will be present with biggest numbers in each cluster columns.

### 4.3 Variables

This report establishes two major factors as the variable for coding: motivation factors for Shanghai Expo volunteerism as independent variables and the success factors of public relations in Shanghai Expo campaign as dependent variables. There are 25 variables in total designed by this report: the motivation factors Shanghai Expo volunteering is developed into 16 variables, while the success factors of public relations in Shanghai Expo campaign are designed into 8 variables. The variable designs are based on the previous literatures reviews which consider as the representational "coding keywords".
The motivation factors for Shanghai Expo Volunteerism include devotion that the volunteers are motivated based on strong devotion and dedication, demand for experiences that the volunteer wants to obtain personal and extensional experiences as motivation for volunteering participation, spiritual growth which the volunteers want to attain inner growth through volunteering experiences, learning, interaction or participation, sociality motivation which the volunteers are motivated based on the satisfying social needs by participating social interaction, responsibility that the volunteers are motivated because having a strong feeling of responsibility towards volunteering tasks or mission calling, learning and training which the volunteers are motivated based on optimal training programmes or learning platforms provided by the organization, social network acquisition referring the volunteers participate volunteering based on strong desires to build social networks or establish friendship with others, self-identity and approval which the volunteers are motivated by enhancing personal identity and approval through the volunteering performance, job titles, feedbacks from other public or established rules and regulations of volunteering, well organizational treatment that the volunteers' motivation increased that enhances the treatment, compensation and welfare of the volunteering provided by the organization, signifying honour for approval referring the volunteers are motivated based on high satisfaction of honour achievement from the volunteering works, symbols or badge for credit and others' praise, well-organized work arrangement which the volunteers' participation with strong willingness is based on the well-organized work arrangement designed by the organization. The arrangement can be time management, duties delegation or work instruction, self-commitment referring the volunteers are motivated based on strong personal commitment toward volunteering, commitment to others indicating the volunteers are motivated because they make a strong commitment to others, attitude of repayment to society that the volunteers had experience of being benefitted, supported or helped by the society that people participate volunteering works to repay its society, achievability indicating volunteers participate the volunteering based on strong about on achievability by overcoming, conducting and contributing towards volunteering tasks' challenge and creating self-confident and self-respect that the volunteers build self-confident and self-respect from volunteering participation.

The success factors of public relations are classified into enhancing interaction with others which the public relations practitioners attain success by increasing communications among public audiences through Shanghai Expo volunteerism, demonstrating quality of the city which the public relations success is to promote Shanghai city through Shanghai Expo campaign and marketing the concept of 'better city, better life' of Shanghai Expo, internal PR in human resources referring PR practitioners achieve internal PR success in improves the relationship within employees, managers, and participants, excellent images for organizations or individuals that the PR professions create positive and excellent images for organization or individuals as the success of public relations, presenting professional images which the public relations demonstrate professional images that attain high credibility, reliability and trust from publics that recognizes as public relations success, transporting concept of happiness lies in giving help to others that the public relations success relies on creating compatible concept positioning for volunteering activities, presenting internationalization that Public relations practitioners enhance internationalization as the success of cross-national public relations and creating publics to like and approve the organization that public relations success is to attain
high public's preferences, approvals and positive feedbacks successfully by enhancing Shanghai Expo volunteerism.

4.4 Results

The results can be identified into three sections: factor analysis implication for volunteerism, factor analysis implication for public relations and correlation analysis for volunteerism and public relations success. The reliability statistics have shown 0.738 of Alpha score for total 24 variables which represent high reliability for result's finding. The report has determined the frequency of motivation factors of volunteering in that existing in coding procedures shows in figure 2. Figure 2 shows the frequencies of 16 independent variables which determined from online newspapers.

![Figure 2 Frequency Table of Volunteering Motivation](image)

The report also presents frequency of public relations success factor that existing in coding procedures shows in figure 3. Figure 3 shows the frequencies of 8 dependent variables which determined from online newspapers.
Factor analysis implication for volunteerism

Table 1 shows the independent variables as motivation factors of Shanghai Expo volunteering have been classified into three columns: spiritual motivation, material motivation and social motivation. The table illustrates 16 numbers of independent variables as the total has been reduced to 12 numbers of independent variables. 4 variables including devotion, well organizational treatment, responsibility and demand for experiences are presented no relations among all variables that were excluded in Table 1. Although these independent variables do not present in the Table 1, the variables still maintain high relatedness with dependent variables. For example, devotion presents significant relatedness with the dependent variable through correlation analysis includes demonstrating quality of the city, presenting professional images, transporting concept of happiness lies in giving help to others and creating publics to like and approve the organization presenting in Table 3.

First factor names as spiritual motivation which is the classified column for demonstrating Shanghai Expo volunteers can be motivated by satisfying mental needs. The spiritual motivation is different from material motivation. Volunteers can be motivated spiritually by external stimulation or internal self-motivation. For example, commitment factors are the main components for spiritual motivation with strong internal self-motivation. The commitment factors are classified into self-commitment and commitment to others. The two commitments are based on self-decision before conduct any volunteering tasks. Self-commitment towards volunteering task presents 0.941 for loading score at level of compatible towards spiritual motivation. Commitment to others achieves 0.963 for loading score which also the highest score among other components. Spiritual motivation can also have external stimulation. For example, well-organized work arrangement also related to spiritual motivation for volunteering that scores 0.911 in loading. Creating self-confident and self-respect through volunteering work are the lowest relevant factor of spiritual motivation for volunteering which obtains 0.788 loading score.

![Figure 3 Frequency Table of Public Relations Success Factor](image-url)
Second factor names as material motivation which is the column representing Shanghai Expo volunteers can be motivated by satisfying material needs. Material needs do not limit by just providing physical materials, infrastructure or financial rewards as incentive factors. The material motivation also can concentrate on intangible assets including stimulation from external factors, leadership of the organization, symbols or brand names for identification, actual tasks and duties, education program with good tutors and optimal atmosphere created by the community. The material motivation does not contain internal self-motivation factor that external stimulation is major components for volunteering. Learning and training are parts of material motivation which has 0.695 loading score. Spiritual growth through volunteering participation has 0.676 loading score. The loading score for achievability is 0.621. Learning, training, spiritual growth and achievability have similar leading score than other components that these variables have higher relatedness. Signifying honour for approval has similar loading scores 0.476 with self-identity and approval which have 0.419 leading scores. Both variables can also consider as high relatedness with each-other. Attitude of repayment to society is also the component of material motivation, but it has the lowest loading score about 0.247 loading scores. The variable has lower relatedness with other variables in material motivation column.

Third factor names as social motivation that Shanghai Expo volunteers can be motivated by satisfying its social requirement. Two variables are the major component for social motivation: sociality motivation and social network acquisition. Sociality motivation has 0.798 loading scores. Social network acquisition has 0.751 loading scores. Both variables have similar loading scores that the variables are strongly relevant to each-others.

Table 1 Motivation factors of volunteerism in Rotated Component Matrix

<table>
<thead>
<tr>
<th>Variable</th>
<th>Loading</th>
<th>alpha</th>
</tr>
</thead>
<tbody>
<tr>
<td>Factor 1</td>
<td>0.913</td>
<td></td>
</tr>
<tr>
<td>Commitment to others</td>
<td>0.963</td>
<td></td>
</tr>
<tr>
<td>Self-commitment</td>
<td>0.941</td>
<td></td>
</tr>
<tr>
<td>Well-organized work arrangement</td>
<td>0.911</td>
<td></td>
</tr>
<tr>
<td>Creating self-confident and self-respect</td>
<td>0.788</td>
<td></td>
</tr>
<tr>
<td>Factor 2</td>
<td>0.521</td>
<td></td>
</tr>
<tr>
<td>Learning and training</td>
<td>0.695</td>
<td></td>
</tr>
<tr>
<td>Spiritual growth</td>
<td>0.676</td>
<td></td>
</tr>
<tr>
<td>Achievability</td>
<td>0.621</td>
<td></td>
</tr>
<tr>
<td>Signifying honour for approval</td>
<td>0.476</td>
<td></td>
</tr>
<tr>
<td>Self-identity and approval</td>
<td>0.419</td>
<td></td>
</tr>
<tr>
<td>Attitude of repayment to society</td>
<td>0.247</td>
<td></td>
</tr>
<tr>
<td>Factor 3</td>
<td>0.753</td>
<td></td>
</tr>
<tr>
<td>Sociality motivation</td>
<td>0.798</td>
<td></td>
</tr>
<tr>
<td>Social network acquisition</td>
<td>0.751</td>
<td></td>
</tr>
</tbody>
</table>
**Factor analysis implication for public relations**

The report presents public relations success factors as dependent variable that category into two columns by using rotated component matrix in factor analysis. This report contains 8 dependent variables considering as the public relations success factors in Shanghai Expo campaign. The dependent variables have decreased into 6 variables by using rotated component matrix in factor analysis. The two dependent variables are excluded in the table 2 including internal PR in human resources and enhancing interaction with others that both variables consider as low relatedness with other dependent variables. Although these two variables do not present in table 2, the variables still have strong relatedness with the independent variables. For example, PR success of enhancing interaction with others has strong relatedness to the independent variables which are socially motivation and social network acquisition in correlation analysis of this report. The correlation analysis also shows internal PR in human resources are intensely related to the independent variables of spiritual growth, learning and training and well organizational treatment. The correlation analysis result will be demonstrated in further content which supports table 3.

The table 2 presents the result of dependent variable categorizes into two separate columns. The 1 column is conceptual PR success that public relations practitioners achieve success by promoting, changing, and improving publics' perception, idea, impression and preferences towards its organization. Conceptual PR success can be diversified into integrated and heterogeneous pluralism. Conceptual PR success is evaluated with border perspective which has the possibility to show a relevant concept serving different target markets rather than the company itself but presenting relatedness with the organization. For example, demonstrating quality of the city is a component of public relations success. Although the variable enhances promotion on Shanghai city rather than Shanghai Expo itself, it has strong relatedness with the concept of Shanghai Expo which is "better city, better life". This variable is successfully linking with conceptual PR by targeting the Shanghai Expo's main concept than the organization itself.

Presenting internationalization is another conceptual PR success that creating cross-national public relations value. The variable achieves 0.765 loading score that has strong relatedness with demonstrating quality of the city (0.725 loading score). Creating publics to like and approve the organization also recognized as conceptual PR success which increasing customers' preference towards the organization. Transporting concept of happiness, lies in giving help to others is creating cultural value that benefit Shanghai Expo's PR development. It also scores of 0.524 in loading which is intensive related to the variable of creating publics to like and approve the organization (0.514 loading score).

The factor 2 presents in this report is PR image building success. This column describes PR practitioners attain success by improving, enhancing and promoting organizational image to publics. PR image building success is specialized on image development compared with factor 1. Excellent images for organizations or individuals are a major component for PR image building success. The organization attains positive and optimal image through Shanghai Expo campaign and volunteering that the variable has 0.587 loading score. Presenting a professional image is another component of PR image building success that the organization attains higher credibility and trust from audiences by presenting a professional image. This variable has 0.564 loading score which is highly related to the variable of excellent images for
organizations or individuals.

Table 2 Public relations success in rotated component matrix

<table>
<thead>
<tr>
<th>Variable</th>
<th>Loading</th>
<th>alpha</th>
</tr>
</thead>
<tbody>
<tr>
<td>Factor 1 (Conceptual PR success)</td>
<td></td>
<td>0.598</td>
</tr>
<tr>
<td>Presenting internationalization</td>
<td>0.765</td>
<td></td>
</tr>
<tr>
<td>Demonstrating quality of the city</td>
<td>0.725</td>
<td></td>
</tr>
<tr>
<td>Creating publics to like and approve the organization</td>
<td>0.524</td>
<td></td>
</tr>
<tr>
<td>Transporting concept of happiness lies in giving help to others</td>
<td>0.514</td>
<td></td>
</tr>
<tr>
<td>Factor 2 (PR image building success)</td>
<td></td>
<td>0.327</td>
</tr>
<tr>
<td>Excellent images for organizations or individuals</td>
<td>0.587</td>
<td></td>
</tr>
<tr>
<td>Presenting professional image</td>
<td>0.564</td>
<td></td>
</tr>
</tbody>
</table>

Correlation analysis for volunteerism and public relations

The report applies correlation analysis to find out the interrelationship between independent variables and dependent variables. This report presents independent variables into vertical columns that there are 16 independent variables present in Table 3. The report presents the dependent variables into a different format that the variables are organized into the combination of letters and numbers in table 3. The reason to present dependent variables with the numbers and letter combination is that the sizes of report can-not compatible to these variables with full meaning statements. The dependent variables will be presented in the horizontal column of Table 3 that transferring the dependent variables meaning into following content. PR1a refers enhancing interaction with others, PR2a refers demonstrating quality of the city, PR3a is internal PR in human resources, PR4a is Excellent images for organizations or individuals, PR5a refers presenting professional images, PR6a refers transporting concept of happiness lies in giving help to other, PR7a is Presenting internationalization and PR8a represents creating publics to like and approve the organization:

The table 3 has demonstrated the relatedness among independent variables and dependent variables with several signs. The sign of "*" represents actual relatedness between two variables. It also represents the influence of each two variables by changing the value on the one side. The table also shows several numbers according to the contraposition with independent variables in vertical columns and dependent variables in horizontal columns. These numbers do not have the "*" sign that represents unrelated relationship between two variables been chosen. This report will illustrate the interrelationship among independent variables and dependent variables by recognizing independent variables as leading guide of input and the dependent variables as output or affected factors.

Independent variable: Devotion has provided significant influences to number of dependent variables that has been mentioned in previous content of this report. Devotion has strong relatedness with the dependent variable of demonstrating quality of the city which presents as 2a in Table 3. The relatedness of these two variables are presenting with two signs of "*". Signs illustrate that increases or decreases variable of devotion will also influence demonstrating quality of the city factors in a positive
or negative way. The devotion also has two signs of "**" relationship with transporting concept of happiness lies in giving help to other factors presenting as 8a in Table 3. PR success of delivering cultural concept can be improved once organization develops higher devotion for volunteering. Strong devotion can also relate to present professional images (5a) of public relations success that the professional images can be enhanced once the volunteers have significant devotion in volunteering work. Devotion also supports the public relations factor of creating publics to like and approve the organization.

The independent variable of demand for experience in volunteering is related to transporting concept of happiness lies in giving help to other (6a). Public relations practitioners can enhance volunteering experience in order to attain higher efficiency on cultural concept transportation. Another independent variable of commitment to others can also increase the cultural concept delivery.

Spiritual growth as an independent variable has three major relatedness with dependent variables. Spiritual growth shows a strong connection with demonstrating quality of the city (8a). Volunteers are satisfied with spiritual growth during volunteering work that the quality of city promotion can obtain higher efficiency. High satisfaction of spiritual growth in volunteering is strongly related with internal public relations in human resource (3a) which has three signs of "**". The internal public relations can be improved among the staff by focusing on spiritual growth satisfaction in volunteering. Volunteers who are satisfied spiritual growth through volunteering work will have higher willingness to develop transporting concept of happiness lies in giving help to other (6a).

Table 3 shows the independent variables social network acquisition and sociality motivation have high linkage with enhancing interaction with others (1a) in public relations success factor. This shows public relations professional can increase interaction with others by concentrating satisfaction for both sociality motivation and social network acquisition of volunteering. The independent variables also relate with dependent variable of presenting internationalization (7a). Volunteers will create more interactive and value to international publics based on highly driven of motivation on social needs and new friendship acquisition.

Although responsibility as an independent variable did not present in Table 1 that shows low relatedness with other independent variables, responsibility is strongly linked with dependent variable of demonstrating quality of the city (2a). The linkage of these two variables shows three signs of "**" that increases volunteers' responsibility motivation factor will also improve the disposition of city promotion. The table 3 also shows dependent variable of presenting professional images (5a) can be influenced by enhancing volunteers' responsibility.

Learning and training for volunteering can be escalates level of internal public relations in human resource (3a) in Table 3. Additional training and learning program for volunteering brings better communication among internal staff that building a long term relationship easily. Well organizational treatment for volunteers is also related with internal PR that internal staff welfare and beneficial care are the key factors to achieving excellent internal PR success.
Table 3 Correlation analysis for volunteerism and public relations

<table>
<thead>
<tr>
<th>Variables</th>
<th>PR1a</th>
<th>PR2a</th>
<th>PR3a</th>
<th>PR4a</th>
<th>PR5a</th>
<th>PR6a</th>
<th>PR7a</th>
<th>PR8a</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Devotion</td>
<td>0.073</td>
<td>0.260**</td>
<td>-0.034</td>
<td>0.087</td>
<td>0.219*</td>
<td>0.443**</td>
<td>0.05</td>
<td>0.229*</td>
</tr>
<tr>
<td>2. Demand for experiences</td>
<td>0.055</td>
<td>-0.071</td>
<td>0.098</td>
<td>-0.016</td>
<td>0.136</td>
<td>0.221*</td>
<td>0.033</td>
<td>-0.025</td>
</tr>
<tr>
<td>3. Spiritual growth</td>
<td>0.063</td>
<td>0.212*</td>
<td>0.293**</td>
<td>0.092</td>
<td>0.153</td>
<td>0.221*</td>
<td>0.145</td>
<td>0.03</td>
</tr>
<tr>
<td>4. Sociality motivation</td>
<td>0.248**</td>
<td>0.133</td>
<td>0.098</td>
<td>-0.034</td>
<td>0.045</td>
<td>0.07</td>
<td>0.337**</td>
<td>0.03</td>
</tr>
<tr>
<td>5. Responsibility</td>
<td>0.037</td>
<td>0.301**</td>
<td>-0.032</td>
<td>0.12</td>
<td>0.210*</td>
<td>0.109</td>
<td>0.008</td>
<td>-0.067</td>
</tr>
<tr>
<td>6. Learning and training</td>
<td>-0.001</td>
<td>0.157</td>
<td>0.306**</td>
<td>0.065</td>
<td>0.151</td>
<td>0.097</td>
<td>-0.06</td>
<td>0.051</td>
</tr>
<tr>
<td>7. Social network acquisition</td>
<td>0.256**</td>
<td>-0.012</td>
<td>0.06</td>
<td>-0.091</td>
<td>0.001</td>
<td>0.043</td>
<td>0.311**</td>
<td>0.158</td>
</tr>
<tr>
<td>8. Self-identity and approval</td>
<td>0.108</td>
<td>0.145</td>
<td>0.141</td>
<td>0.159</td>
<td>-0.008</td>
<td>0.127</td>
<td>0.063</td>
<td>0.052</td>
</tr>
<tr>
<td>9. Well organizational treatment</td>
<td>-0.083</td>
<td>-0.107</td>
<td>0.194*</td>
<td>-0.151</td>
<td>0.05</td>
<td>-0.058</td>
<td>-0.032</td>
<td>-0.056</td>
</tr>
<tr>
<td>10. Signifying honour for approval</td>
<td>-0.058</td>
<td>0.081</td>
<td>0.112</td>
<td>-0.037</td>
<td>-0.088</td>
<td>0.027</td>
<td>-0.117</td>
<td>0.152</td>
</tr>
<tr>
<td>11. Well-organized work arrangement</td>
<td>0.031</td>
<td>0.112</td>
<td>0.062</td>
<td>-0.02</td>
<td>0.099</td>
<td>0.175</td>
<td>-0.031</td>
<td>-0.102</td>
</tr>
<tr>
<td>12. Self-commitment</td>
<td>0.057</td>
<td>0.119</td>
<td>-0.011</td>
<td>0.059</td>
<td>0.012</td>
<td>0.147</td>
<td>-0.012</td>
<td>-0.093</td>
</tr>
<tr>
<td>13. Commitment to others</td>
<td>0.086</td>
<td>0.133</td>
<td>0.032</td>
<td>0.021</td>
<td>0.027</td>
<td>0.189*</td>
<td>-0.063</td>
<td>-0.096</td>
</tr>
<tr>
<td>14. Attitude of repay to society</td>
<td>-0.106</td>
<td>-0.065</td>
<td>0.064</td>
<td>0.115</td>
<td>0.011</td>
<td>0.06</td>
<td>-0.041</td>
<td>0.031</td>
</tr>
<tr>
<td>15. Achievability</td>
<td>-0.011</td>
<td>0.166</td>
<td>0.138</td>
<td>0.122</td>
<td>0.178</td>
<td>0.186</td>
<td>0.152</td>
<td>0.061</td>
</tr>
<tr>
<td>16. Creating self-confident and self-respect</td>
<td>-0.055</td>
<td>0.032</td>
<td>-0.02</td>
<td>0.055</td>
<td>-0.097</td>
<td>0.075</td>
<td>-0.028</td>
<td>-0.129</td>
</tr>
</tbody>
</table>

*. P<0.05  (two-tailed)
**. P<0.01 (two-tailed)
***. P<0.001 (two-tailed)
5. Discussion and Conclusion

The results of this study present high relatedness among independent variables as volunteering motivation factors and dependent variables as public relations success factors. Table 1 illustrate different motivation factors of volunteering can be interrelated because these variables contain common characteristics. Some independent variables did not show in the classification column of Table 1 referring to lower relatedness with other independent variables. Table 2 demonstrate several public relations success factors can be generalized into two columns. The result of Table 2 shows public relations success factors also have common characteristics among these variables. Some of dependent variables did not present in Table 2 that these variables have relatively lower relevance with other dependent variables. Table 3 presents the independent variables and dependent variables are interrelated. The independent variables which show in Table 1 have strong relatedness with dependent variables. Some independent variables did not present in Table 1 which have lower common characteristics are also strongly related to the dependent variable.

This report had covered theoretical sources which are relevant to the result of reporting. Theoretical sources indicate that volunteering has been treated as duty commitments which require strong self-commitment and well duty arrangement (Marta, Pozzi & Marzana, 2010; Waikayi et al., 2012). Table 1 show volunteering commitment has strong relatedness with well -organized work arrangement that this result finding is compatible with the literature review. The result finding can also be supported by the study of Barkay (2012) that indicates volunteering commitment among employees is required effective management skills and relationship.

Primavera (1999) described the volunteering participation is a personal growth and competence development that the educational experience can produce significant contribution for volunteers' growth. Table 1 present learning and training has high connection with volunteers' spiritual growth which categorizing into factor 2. Table 1 also shows realizability is connected with self-identity and approval. The finding can be approved by Clary & Rhodes's study (2006) that indicates student's volunteering is driven by personal goal achievement with high demand of realizability and self-approval.

Madison, Ward & Royalty (2012) believe a social network is a major component within volunteering. High social demand satisfaction can lead to excellent performance. Table 1 shows sociality motivation is connected with social network acquisition of volunteering. The result can also be supported by Haivas, Hofmans & Pepermans (2012) that indicate sociality motivation and social network creation produce major compensation for the lack of financial reward.

Table 2 classifies public relations success factors into two columns: the conceptual PR success and PR image building success. Conceptual PR success concentrates on promoting, changing and improving publics' perception and idea by enhancing business ideas or concepts in marketing. Conceptual PR can refer to the study of Well and Spinks (1999) that study describes PR communication procedures are required idea development and ideal transportation to implant certain concept toward public receivers. Haynes (2003) introduced the concept that a successful PR campaign is to turn organizational daily practices into public interest. This theory is approved from result finding in Table 2 that PR practitioners can promote daily volunteering work in Shanghai Expo by transporting concept of happiness lies in
giving help to others. This concept approach can increase publics' participation that obtaining higher publics' approval.

Cross-national PR activities promote cultural features and utilization in international public relations (Johanson & Vahlne, 1997; Siramesh, Kim and Takasaki, 2009). Table 2 shows a strong relationship between demonstrating quality of the city and presenting internationalization that support these researchers' study. Enhancing internationalization in an organization can attain high cultural recognition and understanding from foreign audiences (Siramesh, Kim and Takasaki, 2009). Table 2 present PR practitioners can demonstrate quality of the city as a cultural presentation by enhancing internationalization in Shanghai Expo campaign.

Haynes (2003) indicates public relations' functionality is to create a positive and professional image of the organization. The result approves this theory in Table 2 that shows high connection between two public relations success factors: excellent image for the organization and presenting professional image. Public relations practitioner should use continuous image analysis to achieve both PR image building success.

Correlation analysis of this report has shown the positive relationship with motivation factors of volunteers and public relations success in Table 3. The result of correlation analysis can be supported by previous theoretical reviews. This previous contents had indicated the term of corporate social responsibility will be treated the same meaning of volunteering which both terms share common characteristics. David (2004) indicated public relations professionals can build relationship with stakeholders by engaging CSR activities. The previous content mentioned PR practitioner can achieve both internal PR and external PR successfully through CSR campaign. The theory is supported from table 3 that shows internal PR in human resource can be improved by satisfying volunteering needs including spiritual growth, learning and training and well organizational treatment. Benn, Todd & Pendleton (2010) describes CSR is a tool of transmission to develop interests of external stakeholders in PR perspective. Table 3 provides credible evidence that high socially motivation and social network acquisition of volunteering factors can produce high frequency of interaction with other stakeholders.

Public relations can be presents high professionalism based on positive attitude and engagement of CSR activities (Kim and Reber, 2006). For example, the result of table 3 shows volunteers reinforce devotion and responsibility of volunteering can create and presenting professional images of volunteers. Table 3 shows high volunteering devotion also creates positive corporate identity that making publics to like and approve the organization. The research of David, Kline & Dai (2005) provides linkages for this finding that shows corporate identity and purchase preference among the publics can be developed from coordination of public relations and CSR. This coordination has recognized as a source of competitive advantage to the organization rather than a simple charitable campaign (Porter & Krammer, 2006).

The table 3 illustrates further findings that show motivation factors of volunteering can have meaningful interrelationship with success of public relations. Although some findings do not obtain theoretical review as backing, these results still confirm the research hypotheses 1 that shows volunteer motivation is related to public relations success. Finding result of table 1 and table 3 has classified volunteer motivation into material and spiritual motivation that both motivation factors have
strong relatedness with public relations success.

The study focuses on examining the relationship between volunteering and public relations success that some organizations who are interested in related aspects can be utilized the report content as reference. Several studies review the relationship with corporate social responsibility and public relations, but little study specifies the interrelationship between volunteering and public relations which the result content could be benefits to the organizations who are interested to improve its PR performance by coordinating with volunteering.

The study has limited the number of samples that the accountability of the result can be influenced by sample size. Coding errors can be occurred during the coding procedure. The errors include misunderstanding keywords, sentences or paragraph for coding, detailed key words are missing, choosing unsuitable sample resources, typing wrong dummy argument during coding procedure or making a mistake by the condition of the human element. The report also has limitations in finding result that some variables did not present any relatedness between volunteerism and public relations in Table 1, table 2 or table 3. This can refer incompleteness of methodology design.

This report has illustrated the content of examining the relationship between volunteerism and public relations success completely that using Expo 2010 Shanghai China as an empirical study. The report has conducted literature reviews on public relations, volunteerism, the relationship between corporate social responsibility and volunteering, relationship between corporate social responsibility and public relations, Expo 2010 Shanghai China, public relations in Expo 2010 Shanghai China and volunteering of Expo 2010 Shanghai China. The report has created a hypothesis based on previous literature reviews that volunteer motivation will be positively related to public relations success. This report conducts content analysis methodology that gathering data, managing and classifying information through secondary data. The samples are a significant number of online journal articles and newspapers that these samples are mostly specialized into Shanghai Expo volunteerism. Most of online articles are sourced from the official journal columns in the official website of Expo 2010 Shanghai China that has high reliability and representativeness. The finding of this report relies on factor analysis and correlation analysis provided by Statistical Package for the Social Sciences software. The finding of factor analysis for volunteering shows several independent variables have relatedness which can classify into the same columns. The finding of factor analysis for public relations success shows several dependent variables have common characteristics that can be categorized into two columns. The finding of correlation analysis for volunteerism and public relations success shows both independent variables and dependent variables have strong relatedness. The result is compatible with the research hypothesis that volunteering motivation is related to public relations success. The result discussion presents the report's finding can obtain supportive evidences in previous theoretical reviews. The section also shows the implication of this report that some practitioners or audiences can be benefited for improving public relations performance by volunteering. Finally, the report discusses report's limitations which could bring some influences to reports' completeness.

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The Nonlinear Effects of Brand Value on Shareholder Value

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ABSTRACT

Based on the customer equity theory and firm boundary theory, we posit that two conflicting effects may occur as brand value grows. The positive effect is well known which will enhance shareholder value. The negative effect is caused by two forces: the customer heterogeneity and the customer entitlement. Furthermore, the growth of brand value may be constrained by the firm boundary. These factors make great performance differences between China’s companies and global companies ranked in the Interbrand or Fortune’s 500. This paper is designed to explore the nonlinear effects of China’s companies’ brands, which is not similar to the previous studies, since the existing literature mostly focuses on firms from developed economies that have many advantages to overcome the constraining contexts. The results show that for China’s firms, the relationship between brand value and shareholder value adheres to a Cissoid function, and when \( a=6.8 \) (\( a \) is a parameter of the function), brand value will not enhance shareholder value. The results has many implications for marketing practices.

Keywords: Brand Value, Shareholder Value, Cissoid Function, Nonlinear

1 Introduction

It is well known that market-based assets (e.g. brand equity and customer equity) can contribute to shareholder value (Srivastava & Shervani, 1998). A lot of literature has confirmed this proposition (Bharadwaj & Tuli, 2010; Doyle, 2001; Kerin & Sethuraman, 1998). The existing literature often considers that brands have influence on shareholder value through brand value chain (Keller & Lehmann, 2003) or marketing productivity chain (Rust, Ambler, Carpenter, Kumar, & Srivastava, 2004). This rationale focuses on brand’s effects on consumer’s mindset, and through which the market share is affected, and finally on the shareholder value. As for the brand’s effects on shareholder value, most studies list the positive aspects, such as price premium (Farquhar, 1989), efficiency (Keller, 1993), customer loyalty (Russell & Kamakura, 1994), and brand extension (Keller & Aaker, 1992) etc. However, these studies often neglect that brand contributes to shareholder value based on some specific conditions. These conditions are called by Keller and Lehmann as

\[ 1 \text{ The authors acknowledge the financial support for this study by the Ministry of Education of China (Project for Humanities and Social Sciences: 11YJC630088) } \]
marketplace conditions multiplier (Keller et al., 2003).

Firstly, brand success depends on the marketplace conditions such as competitive superiority, channel and other intermediary support, as well as customer size and profile. Secondly, brands succeed in the marketplace conditional on the firm’s ability of leveraging the internal and external resources to improve their cash flows (Srivastava et al., 1998). That is, the development of brand’s potential is conditional on the firm’s capability to integrate its resources and processes. For example, the same brand may bring about different shareholder value when operated by different firms. Finally, brand itself may cause both positive and negative effects on firm’s shareholder value. For instance, a larger customer size may entail more customer heterogeneity, which will bring about higher costs to the firms (RegoMorgan & Fornell, 2013).

In China, there are typical examples that brand may not bring about more shareholder value. For example, China Mobile has gained decreased shareholder value as its brand equity grew during the period of 2008 and 2011 (Figure 1-Figure 4).

Figure 1 China Mobile’s Brand Value
(Source: World Brand Lab)

Figure 2 China Mobile’s Customer Base
(Source: Sina.com)

Figure 3 The Stock Price of China Mobile
(Source: Sina Tech)

Figure 4 China Mobile’s ARPU Value
(Source: Sina Tech²)

In fact, China Mobile is not the only company that experiences this phenomenon. According to some report, it is popular in China’s telecommunication industry (Zhang & Xin, 2007). Moreover, many companies other than telecommunication industry show the similar phenomena. For instance, for the top 50 stocks during the first half

² To see: http://tech.sina.com.cn/t/2012-03-19/09056850076.shtml
year of 2012, most are the small brands.\(^3\)

The “abnormal” performance for many China’s brands is not consistent with the previous literature that brand value can enhance shareholder value, since some brands with much high value show downside movement of stock prices. The reasons may lie in the constraining contexts of brand success. Firstly, the previous literature often studies the firms based on world’s famous ranking datasets, such as Interbrand, Fortune’s 500 etc. Firms on these rankings are often global companies, whose businesses cover the markets all around the world. Consequently, these firms may not be limited by some market conditions, such as market size. Secondly, these global companies often lead in technological innovation, which will help them break through the limitations of technology, as well as that of firm boundary. Finally, some global companies may become the symbol of national image, which may get more assistance from governments. By contrast, most China’s firms have not so many advantages, and they may be enclaved to various conditions. Consequently, studies of China’s brand success may show a different picture.

This paper is designed to explore the intrinsic mechanism that enables brand value affecting shareholder value in a nonlinear way. We adopt the customer portfolio theory and firm boundary theory to explain this phenomenon. We found that the relationship between brand value and shareholder value can be modeled by rotating 90 degrees of the cissoids function anticlockwise. At the same time, the climax of shareholder value is \(2\lambda^4\). Furthermore, we found that when \(\lambda\) reaches the critical value of 6.8, the relationship between brand value and shareholder value will begin to change from linear to nonlinear.

2 Literature Review

To understand the relationship between brand value and shareholder value, it is useful to know the roles of customer and customer equity in the process that brand value creates shareholder value. In fact, it is the customers that make it possible for brand to create shareholder value, since only after customers buying the branded products can the firms obtain cash flows (Keller et al., 2003). At the same time, the investors in the stock market prefer to a particular stock because they expect the cash flow of the firm with many loyal customers would increase (AndersonFornell & Mazvancheryl, 2004). Consequently, it is necessary to identify the role of customer equity to explain the mechanism brand value affects shareholder value. At the same time, each firm’s expansion is constrained by its boundary, that is, theoretically firms can get more and more customers so as to obtain increasing profits. However, the expansion of firms is constrained by their boundaries, which will prevent firms from overexpansion. This paper plans to combine these two theories to explain the relationship between brand value and shareholder value.

2.1 Customer Portfolio Theory

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\(^3\) To see: http://www.gupiaoguzhi.com/Aticle_2617.html

\(^4\) Here “\(\lambda\)” is a parameter concerned with brand equity, customer portfolio, etc.
2.1.1 The Relationship between Brand Value and Brand Equity

The terms of brand value and brand equity are often interchangeably used in previous literature (Leiser, 2004; Yeung & Ramasamy, 2007). However, since brand is a complex concept, it is necessary to differentiate brand value from brand equity to identify the specific mechanism that brand create shareholder value (Raggio & Leone, 2007; Tiwari, 2010). According to existing literature, brand equity is considered as the differentiated recognition in the consumer’s mind for a particular brand (Aaker, 1991; Keller, 1993; Washburn & Plank, 2002), while brand value is the sale or replacement value of a brand (Raggio et al., 2007). Consequently, brand equity represents what the brand means for consumers, and brand value represents what the brand means for firms (Raggio et al., 2007). In other words, brand value is the measurement of brand equity to some extent.

As brand value is different from brand equity, we use the term “brand value” to study the effects of brand on the shareholder value. In our opinions, brand value is an appropriate construct to cover various sources of values created by brand equity, since brand value represents the value that brand creates for the firm (Raggio et al., 2007; Raggio & Leone, 2009). Based on the literature of consumer-based brand equity, we can reasonably conclude that brand equity represents consumer effects associated with brand, while brand value represents financial value associated with brand (Raggio et al., 2009; Srivastava & Shocker, 1991). In a word, brand value covers all the value sources of brand interacting with its stakeholders, or we can say that brand value is the financial measurement of brand equity associated with relationships between brand and its stakeholders. Therefore, we use the construct “brand value” as a tool to explain the effects of brand on shareholder value.

2.1.2 Customer Equity

Customer equity is closely related to brand equity and brand value. Often scholars consider that Customer equity is focused on the financial outcomes that are generated by a firm’s customers, since it is the net present value of the future stream of contribution from all of a firm’s current and future customers (Blattberg & Deighton, 1996; Raggio et al., 2009; RustLemon & Zeithaml, 2004). However, brand value has two features that distinguish it from customer equity (Raggio et al., 2009). For one hand, brand value considers profit from all sources, which may not be directly related to customers. For another, brand value is related to firm’s capability of managing brand, and is accordingly concerned with firm’s distinct characteristics (Raggio et al., 2009).

Whereas both these constructs are company-based concepts, they represent different outcomes of firm’s strategic assets. Customer equity is the discounted value of customer lifetime value, which is the outcome of marketing actions through customer retention. Thus, customer equity measures the contribution the firm can obtain from its customer base, and brand value represents what the firm can get through the combination of its capability and the relationships between the firm and
its customers. That is, even though faced with the same customer bases, firms with different capabilities may get different outcomes or performances.

Therefore, customer equity is an important content of brand value, since only when customer have repeated purchase can the lifetime value be meaningful, otherwise the brand will not have loyal customers and brand value would be very low. Brand value in large part comes from the customer’s repeated behavior. That is, customer equity is the sufficient context for brand value, and brand value is largely the outcome of customer equity. High brand equity means high customer equity, and vice versa.

2.1.3 Customer Portfolio Theory

As abovementioned, Customers act as the basis of a company’s profitability (GuptaLehmann & Stuart, 2004; Rappaport, 1998). However, customers are not only profitable to the firms, but also risky, since customers may switch to the competitive brands (Tarasi, Bolton, Hutt, & Walker, 2011). As there are both returns and risks for the customers, scholars borrow the construct “portfolio” from financial theories to describe the customer base, and coined the term “customer portfolio (Johnson & Selnes, 2004; SackmannKundisch & Ruch, 2010; Tarasi et al., 2011)”.

Customer portfolio assumes that like financial market, customers are both profitable and risky, and marketing managers should make an optimum composition of customer segments (BoltonLemon & Verhoef, 2004; Johnson et al., 2004). A variety of literature confirmed that financial portfolio theory can be applied in customer base and product market (Cardozo & Jr. Smith, 1983; Ryals, 2002). The focus of customer portfolio theory is to find the underlying sources of value derived from current customers and how to increase the revenue streams to enhance firm performance (Hogan et al., 2002; Zeithaml, 2000). Some scholars argue that the value of customer portfolio comes from the customer relationships, which can provide such benefits as stable cash flow, decreased acquisition costs, etc (Bolton & Tarasi, 2006; Zolkiewski & Turnbull, 2002). At the same time, the relationships between customers and the firms can be described in three dimensions: length, depth, and breadth (Bolton et al., 2004). Here the length of customer relationship refers to the duration of a relationship corresponds to customer retention (or defection). It may also be represented by the probability that a customer continues with the organization. The relationship depth refers to the frequency of service usage over time. Finally, the relationship breadth is reflected by cross-buying or “add-on” buying.

As customer relationship can cause both return and risk to the firms, one should note that customer relationships are dynamic (HomburgSteiner & Totzek, 2009). Here the customer dynamics are represented as customers switching between segments of different values, drawing on an extended Markov model (Homburg et al., 2009). Thus, Customers can become either more or less profitable, or churn, in the course of time. At the same time, the customer portfolio management often considers the accumulated effects that the number of customers has on economies of scale and the
resultant cost structure of competing firms (Johnson et al., 2004). This requires that firms should differentiate the customers based on their closeness with the focal firms. In other words, customers with different closeness of relationships may have different returns and risks for the firms. Some scholars identify four levels of customer relationships, such as strangers, acquaintance, friends, and partners (Johnson et al., 2004). As customer relationships develop from stranger to partners, they may bring about increasingly benefits to the firms. However, the total returns for each level of relationship would cease increasing when they reach to a particular summit.

Furthermore, as customer relationships develop, customer demand becomes more and more heterogeneous, since a wider variety of customers (and customer needs) emerges (Dickson, 1992). The heterogeneity of customer demands requires that firms should innovate and integrate their alternative systems, processes, and products to attract customers (Day & Wensley, 1988). Therefore, as a firm’s market grows, there come two important trends from the perspective of customers: customer demand heterogeneity and customer relationships. In response to customer demand heterogeneity, firms should provide more differentiated and customized products and services. For customer relationships, firms should invest more resources to retain customers with closer relationships, such as friends and partners. Both these two trends would cause additional costs and investments for the firms involved.

At the same time, to effectively manage the customer relationship, firms should use information about customers and potential customers to segment them and treat them differently depending on their future long-term profitability (Blattberg, Getz & Thomas, 2001; Peppers & Rogers, 2005; Rust, Zeithaml & Lemon, 2000). This means that as the market expands, firms should integrate and upgrade their information systems to deal with the increasing demands of information about customers. The success of the customer information system depends on at least two variables: to what extent can the system be integrated into firms’ existing processes, and the firm’s preexisting capabilities (Bolton et al., 2006). In other words, to meet the challenges of expanded market, firms should effectively develop their learning capabilities and information processes, which mean that firms should continuously engage in a learning journey—learning about the customer and about the business and how its way of doing business can be improved (Bolton et al., 2006). This transformational and evolutionary process takes time, resources, and patience. For example, Bolton and Tarasi (2006) identified five organizational processes to be integrated, which include making strategic choices that foster organizational learning, creating value for customers and the firm, managing sources of value (acquisition, retention, etc.), investing resources across functions, organizational units, and channels, and globally optimizing product and customer portfolios.

As the firm’s market continuously expands, the strategy to enhance organizational processes and learning capabilities is a dynamic process. Therefore, firms should seek a balance between the external market expansion and internal capability enhancing. When the process of market expansion emerges rapidly, the
enhancement of internal capability and organizational process may lag behind the market expansion to some extent. Consequently, there is a paradox between external market expansion and internal organizational capability advancement, which will constrain the effects that brand value and customer equity have on the firms value and performance.

2.1.4 The Dark Side of Close Relationship

In addition to the issue of customer heterogeneity, close relationship with customers may lead to unintended results, which is called the dark side of close relationships (Anderson & Jap, 2005). As for the brand’s effects on shareholder value, there will be two conflicting effects when customers become more and more loyal to the brands: the gratitude effects and the entitlement effects (WetzelHammerschmidt & Zablah, 2014). The gratitude effect assumes that customers feel obligated to reciprocated supplier-provided benefits, so that they motivated to buy the supplier’s products or services (Morales, 2005). This reflects the reciprocity between firms and customers. The gratitude effects contribute to the shareholder value as brand value grows.

In contrast to the gratitude effects, the entitlement effects refers to the customer’s expressed claims for extra effort from a supplier which is considered deserved by the customers (Fisk, 2010; Magee & Galinsky, 2008; Wetzel et al., 2014). In other words, when customers consider that they are much loyal to the brands, they will ask for more services from the firms, which will cause extra service costs to the firms. This will entail negative effects on shareholder value.

2.2 Theory of Firm’s Boundary

Firm’s boundary is one of the basic features for organizational structure and designing (Coase, 1937; Knight, 1933). The rationale of firm boundary is that based on core competence, firms would forms their particular scope and size in process of interacting with markets (Chandler, 1977; Coase, 1937; TeecePisano & Shuen, 1991). Here the scope refers to the vertical boundary, which is designed to decide the limits between firms and markets. The vertical boundary defines what should be done by firms and what by markets. The scale refers to the horizontal boundary, which defines the size of the firm. Based on the theory of firm boundary, each firm has its limits of scope and scale, and no firm can expand without limit.

While the existence of firm boundary is agreed on, scholars diverge on the causes of firm boundary. Coase (1937) considered transaction costs as the important variable that defines the firm’s boundary. In Coase’s opinion, firm’s expansion could lead to organizational costs. Firms will expand to the extent when transaction costs of internal production are equal to those of market exchange. When the transaction costs of market exchange are high, it may be less costly to coordinate production through a formal organization than through a market. Hereafter, scholars developed the theory of transaction costs, which include theory of team production (Alchian & Demsetz, 1972), theory of asset specificity (Riordan & Williamson, 1985; Williamson, 1991), and so on.

Whereas Coase centers on transaction costs, Chandler argued that the determinant variable of firm boundary is efficiency (Chandler, 1977, 1990). When the
expansion of firm boundary cannot bring about efficiency, firms would cease expanding. Scholars of classic economics put forward production functions to explain the relationships between production efficiency and firm’s scale. When the production scale grows, marginal benefits will diminish. The firms will not expand when the marginal costs equal marginal profits.

The view of dynamic capabilities studied the firm boundary based on the whole processes of production, which requires adapting, integrating, and reconfiguring internal and external organizational skills, resources, and functional competences toward changing environment (Teece, 1980; Teece & Pisano, 1994; Teece et al., 1991). Based on the perspective of dynamic capabilities, firm boundary is dependent on the dynamic capabilities, which requires the match between internal capabilities and external market demands. Therefore, the view of dynamic capabilities integrates the firm’s production and transaction functions with emphasis on the fit between internal and external contexts.

As these alternative theories have frequently been positioned as competing explanations for the boundary choice, Zenger et al put forward a whole theoretical framework which includes four domains (ZengerFelin & Bigelow, 2011). These four domains cover the pros and cons of both market mechanism and hierarchical governance. In other words, a robust of the firm theory should answer four questions: (1) why and when markets work? (2) What are the circumstances that lead markets to fail? (3) Why and when internal organizations succeed? And (4) why and when organizations fail? For the first two questions, it is well discussed in the economic literature. For the third question, it is also discussed in the traditional economics, such as transaction cost economics, etc. Consequently, it is important to explore why and when organizations fail, since it is related to the firm boundary. The early explanations of this question contribute to manager’s ability (Knight, 1921), which considered that the centralized managers have limited cognitive capability and that they cannot manage business enterprise of indefinite size and complexity. Later, Williamson argued that as organizations increase, the communication problems and distortion would be prominent, which will limit firm’s growth (Williamson, 1967). Zenger et al (2010) summarized three key behavioral causes involving the firm’s limit: politics and influence activities (Milgrom & Roberts, 1990), social attachments and overembeddedness (Guler, 2007; Leonard-Barton, 1992; Uzzi, 1997), and social comparison (Nickerson & Zenger, 2008).

For the politics and influence activities, there is a central authority unleashing political behavior (Milgrom & Roberts, 1988). The centralization of authority will to some extent create the potential for intervention and so give rise to costly influence activities and to excessive intervention. This kind of intervention is often favorable to the central managers that may not be fully effective to the firm. Therefore, it is inevitable that the central manager’s intervention would impose political or influence costs—costs not directly absorbed by those creating them.

For the social attachments and overembeddedness, a distinctive feature is the presence of informal relationships that arise as a companion to formal organization. The informal relationships may have important influences on the firm’s strategic decisions. The reason is that within the boundaries of the firm interpersonal relationships are likely to become particularly embedded, often characterized by social attachment and trust (Kogut & Zander, 1996; Zenger et al., 2011). At the same
time, personal relations may create social attachments that often hinder firms engaged in interorganizational exchanges from switching to new exchange relations when exchange efficiency warrants it (Portes & Sensenbrenner, 1993; Uzzi, 1997). Furthermore, the social connections would be more abundant and substantial within the boundaries of the firm, leading to even more distortions to efficient decision-making (Zenger et al., 2011). In a word, the established social connections would prevent managers from discarding existing relationships in favor of new and more efficient ones, regardless of whether they are optimal or suboptimal. This is bound to creating organizational costs inside and outside the firm.

Finally, social comparison is also an important problem causing organizational costs, which involve the perceived fairness among employees, because individuals compare their rewards to others’ rewards and react negatively to perceived inequities (Homans, 1961; Nickerson et al., 2008; Zenger, 1992). The perceived inequality arising from social comparison would lead to individual’s adjusting downward their efforts (Adams, 1963; Milgrom et al., 1988). Some radical individuals may even choose to depart from the group or firm that prompts these perceptions of inequity (Festinger, 1954). As the relationship is more enhanced within the boundaries of the firm, the social comparison costs are larger, which will dampen the firm’s capacity to selectively infuse market-like incentives (Zenger et al., 2011).

2.3 The Nonlinear Relationship between Brand Value and Shareholder value

As growth of shareholder value eventually depends on customer loyalty or customer base, which is highly related to brand value, it is necessary to explore how brand value affects shareholder value through customer equity. The mechanism of brand value’s influence on shareholder value can be explained by customer portfolio theory and the theory of firm boundary (Figure 5).

![Figure 5 the Explanations Combining Customer Portfolio and Firm Boundary](image)

Brand strategy is often realized through customer equity in the end, since the value of a brand ultimately resides with customers (Keller et al., 2003). According to Keller and Lehmann (2003), customers are involved in throughout the brand value chain. For example, brand value creation process begins when the firm invests in a marketing program targeting actual or potential customers. When customers get in touch with the marketing activities associated with the program, their “mindset” with respect to the brand would be influenced to some extent, such as brand recognition, brand awareness, and so on. As customer’s “mindset” is changed by marketing activities, it will result in certain outcomes for the brand in terms of how it performs in the marketplace, such as the aggregated purchase and the price of the branded products. Finally, the shareholder value and brand value will be affected (Keller et al., 2003). In other words, brand strategy is actualized through customer base or customer
relationships associated with the relevant brand throughout the whole brand value chain (Keller et al., 2003; Rust et al., 2004; Srivastava et al., 1998).

Furthermore, based on the customer portfolio theory, there are basically two strategies for firms to make profits or create value through customers (Johnson et al., 2004). The first strategy is a kind of “defensive marketing”, which refers to activities aimed at existing customers, such as customer retention (Fornell & Wernerfelt, 1987) and service recovery efforts (SmithBolton & Wagner, 1999). The defensive marketing approach focuses on the customer loyalty or retention to build more cooperative and long-lasting customer relationships (Day, 2000; Rust et al., 2000). At the same time, defensive marketing works not only to retain current customers but to create additional value with those customers through relationship development. Based on the closeness of relationships, customers can be categorized into three types: Acquaintances, Friends, and Partners (Johnson et al., 2004). These three types of customer relationships have different value creation mechanisms. For example, as customers progress toward a closer relationship with suppliers, the costs of converting customers to an even closer relationship increase, and the revenue premiums increase.

The offensive marketing refers to activities aimed at increasing the size of a firm’s customer base (Fornell et al., 1987). Thus, the offensive strategy focuses on obtaining additional customers, encouraging brand switching, and increasing purchase frequencies. In a word, offensive marketing is designed to increase a customer base, as well as to provide a basis for relationship development. Based on the offensive and defensive marketing, we can find that brand strategy ultimately resides with customers, either through customer base or through customer loyalty. Customer base means the increased number of customers, and the firm involved should expand size to get scale of economy. In contrast, customer loyalty means the increased heterogeneity of customer demands (Johnson et al., 2004), and the related firm should provide more customized products to get the scope of economy. However, both the size and the scope have their limits as firm boundary would constrain the growths of size and scope. Therefore, as brand value grows, the size or scope of the firm will grow accordingly since the firm should meet the increased customer demands in terms of size and scope, which will stop to grow when they get to a certain limits because of firm boundary. When there are no additional growth of size and scope, the firm will not get additional profits since no additional customer needs are met. In other words, brand value will increase shareholder value to some limit when the shareholder value will not increase any more. Consequently, we can get the following hypothesis (Figure 6):

**Hypothesis 1**: brand value would increase shareholder value. When the shareholder value grows to a certain limit, brand value would not increase shareholder value.
Figure 6 The Nonlinear Relationship between Brand Value and Shareholder value

3 Research Method

3.1 Variable Measurement

**Independent Variables.** The independent variable is brand value. A lot of literature measures the variable of brand value based on the evaluation of intermediaries. At present, there are many intermediaries providing the evaluation of brand value, such as Interbrand, Young & Rubicam, and Brandfinance, etc. This paper adopts the data of brand value from the database of The China’s Most Valuable Brands provided by World Brand Lab. We choose World Brand Lab as the source of measurement of brand values because of several reasons. First, World Brand Lab is the strongest institution to measure brand value in China. In China there are basically two institutions measuring brand value: World Brand Lab and Beijing Asset Appraisal Co. Ltd. However, World Brand Lab measures 500 brands each year, as opposed to just 100 brands for Beijing Asset Appraisal. At the same time, World Brand Lab adopts the same method each year so that the brand value it measures can be compared year against year. Since this paper is designed to study the brands in China, we choose World Brand Lab as our data source of brand value measurement. Second, the method adopted by World Brand Lab reflects the consumer’s mind to some extent. This method is designed to employ “Economic Use Method” to evaluate the earnings. Then, it uses its specific “Brand Value Added” tools (BVA Tools) to assess the contribution of brand value to the earnings. These BVA Tools are gotten by investigating consumer’s perception of particular brands. Finally, World Brand Lab evaluated China’s brands ever since 2004. Consequently, there are enough number of brands and panel data for research.

**Dependent Variables.** The dependent variable of this paper is shareholder value. There are various approaches to measure shareholder value. The early measurements include such indicators as return on investment, profits, return on assets, etc. However, these indicators are just accounting indices measuring only the past performance, which do not reflect the future earnings (Anderson et al., 2004). For this paper, we use Tobin’s q as the measurement of shareholder value, which is now a widespread measurement of shareholder value in the literature (Chung & Pruitt, 1994; 5 Please see the website: http://brand.icxo.com/brandmeeting/2013china500/
Control Variables. There are mainly 8 control variables in this paper, which include industry factors, sales profits, firm size, leverage, and corporate governance factors, etc. For the industry factors, a lot of literature has found that industry has important influence on shareholder value (Cooil, Keiningham, Aksoy, & Hsu, 2007). We use the industry profit growth as the industry-level control variable, since it reflects the integrated effects of the industry-level variables like industry concentration, entry barriers, industry-specific purchase behavior, and so on.

In addition to industry-level variables, we employ several firm-level control variables. One important firm-level control variable is sales income, which is an important factor that affects shareholder value (Tuli et al., 2009). Furthermore, we controlled the price to earnings ratio (P/E ratio), which is also considered to affect the discount of the present value. At the same time, some firms may try to make their stocks more attractive by special dividends. Again, some firms may have special market position to guarantee the continuous earnings. These will have influence on P/E ratio and accordingly affect the discount of present value, and finally the shareholder value.

Leverage ratio is also controlled in this paper, which reflects the ratio of equity to liabilities. Leverage ratio could affect the financial liquidity and accordingly the capital costs.

Firm size is also an important variable that affects the profits as well as the shareholder value. However, there are many approaches to measure firm size, such as the number of employees, total assets, and sales income, etc. We use the total assets as the measurement of firm size in this paper.

Finally, corporate governance is an additional factor that may have critical effects on shareholder value (Demsetz & Villalonga, 2001; La PortaLopez-de-Silanes & Shleifer, 1999; Lin & Chang, 2012; Nanka-Bruce, 2011). The effects that corporate governance can have on shareholder value include the agent problem, information asymmetry, etc. At the same time, scholars consider that it is necessary to play stresses on the relationships between conglomerates and subsidiaries for Eastern Asian firms, since many Eastern Asian firms are controlled by their parent corporations (Claessens & Djankov, 1999; ClaessensDjankov & Lang, 2000; La Porta et al., 1999). This paper employed two variables of corporate governance as the control variables: ownership concentration and percentage of state-holding shares.

3.2 Data Collection

The data of this paper are mainly secondary. For the measurement of brand value, we collected the data from the 500 most valuable brands issued by World Brand Lab. There are totally 152 corporate brands in our data, which covers 7 years from 2004 to 2010 with 1064 observations. However, since there is worldwide financial crisis originated from American subprime lending crisis in 2008, we just use the data of 4
years from 2004 to 2007 with 608 observations. The descriptive analysis is shown on table 1.

Table 1 The Descriptive Analysis of The Data

<table>
<thead>
<tr>
<th></th>
<th>Minimum</th>
<th>Maximum</th>
<th>Mean</th>
<th>Standard Error</th>
</tr>
</thead>
<tbody>
<tr>
<td>Brand Equity</td>
<td>5.27</td>
<td>1260.19</td>
<td>104.3705</td>
<td>154.29013</td>
</tr>
<tr>
<td>Sales Income</td>
<td>-26070000000</td>
<td>21450000000</td>
<td>4680073401.04</td>
<td>20390728985.282</td>
</tr>
<tr>
<td>Total Asset</td>
<td>206700000</td>
<td>1656000000000</td>
<td>26959094170.40</td>
<td>115580440184.150</td>
</tr>
<tr>
<td>Stock Concentration</td>
<td>0</td>
<td>1</td>
<td>.22</td>
<td>.156</td>
</tr>
<tr>
<td>Industry Growth</td>
<td>0</td>
<td>6</td>
<td>.00</td>
<td>1.000</td>
</tr>
<tr>
<td>Leverage</td>
<td>-2</td>
<td>1</td>
<td>.00</td>
<td>1.000</td>
</tr>
<tr>
<td>State Share</td>
<td>0</td>
<td>0.86</td>
<td>0.2332</td>
<td>0.258</td>
</tr>
<tr>
<td>P/E Ratio</td>
<td>2.12</td>
<td>1165.00</td>
<td>54.0348</td>
<td>95.01908</td>
</tr>
<tr>
<td>Tobin q</td>
<td>.69</td>
<td>11.18</td>
<td>1.6645</td>
<td>1.17655</td>
</tr>
</tbody>
</table>

3.3 Data Analysis

To eliminate the effects of collinearity, we first normalize the data. At the same time, normalization can also make the coefficients more reasonable, especially for such variables as total asset, sales income, etc. Then we make the panel unit-root test to see if there are unit roots. The test shows that there is no unit root for these panel data (Table 2), since the Chi Square is 368.2924, and the P-value is 0.001. Consequently, the data are stationary sequence, and we need not take the cointegration test.

Table 2 Unit-root Test for Panel Data

<table>
<thead>
<tr>
<th>Statistic</th>
<th>Statistic</th>
<th>p-value</th>
</tr>
</thead>
<tbody>
<tr>
<td>Inverse chi-squared(290)</td>
<td>368.2924</td>
<td>0.0012</td>
</tr>
<tr>
<td>Inverse normal</td>
<td>-0.4472</td>
<td>0.3274</td>
</tr>
<tr>
<td>Inverse logit t(704)</td>
<td>-1.2064</td>
<td>0.114</td>
</tr>
<tr>
<td>Modified inv. chi-squared</td>
<td>3.2509</td>
<td>0.0006</td>
</tr>
</tbody>
</table>

Next, we take the Hausman Test to decide whether we should adopt random effects mode or fixed effects model to estimate the functions. The results of Hausman Test show that it is better we should employ random effects model to estimate the functions (Table 3), since P-value is less than 0.05. Therefore, all the following functions are estimated through random effects models.
Table 3 Hausman Test for the Data

<table>
<thead>
<tr>
<th></th>
<th>fixed</th>
<th>random</th>
<th>Difference</th>
<th>S.E.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Brand Equity</td>
<td>1.2809</td>
<td>0.2218536</td>
<td>1.059046</td>
<td>0.352709</td>
</tr>
<tr>
<td>Sales Income</td>
<td>-1.96E-11</td>
<td>-5.35E-12</td>
<td>-1.42E-11</td>
<td>5.66E-12</td>
</tr>
<tr>
<td>Total Asset</td>
<td>6.304022</td>
<td>1.261708</td>
<td>5.042314</td>
<td>1.538487</td>
</tr>
<tr>
<td>Stock Concentration</td>
<td>-3.90539</td>
<td>-0.881374</td>
<td>-3.024015</td>
<td>0.669461</td>
</tr>
<tr>
<td>Industry Growth</td>
<td>-0.3148888</td>
<td>0.0998471</td>
<td>-0.4147354</td>
<td>0.295812</td>
</tr>
<tr>
<td>Leverage</td>
<td>1.99E-07</td>
<td>-1.76E-08</td>
<td>2.17E-07</td>
<td>5.24E-08</td>
</tr>
<tr>
<td>State Share</td>
<td>0.0024744</td>
<td>0.0012347</td>
<td>0.0012397</td>
<td>0.000598</td>
</tr>
<tr>
<td>P/E Ratio</td>
<td>-0.035295</td>
<td>0.0504436</td>
<td>-0.0857388</td>
<td>0.02754</td>
</tr>
</tbody>
</table>

Chi Square = 103.52
Prob>Chi Square = 0.0000

We then test the nonlinear effects of brand value on shareholder value. We first test the linear relationship between brand value and shareholder value, and then test the nonlinear relationship. To examine the effects of brand value on shareholder value, we adopt three steps. For step one, we just regress the function with only control variables. For step two, we add brand value as an independent variable. And for the third step, we will use the 90° rotated cisoid function to fit the nonlinear relationship between brand value and shareholder value. The estimated results of the function with only control variables show that many factors have influence on shareholder value (Table 4), such as sales income, stock concentration, and P/E ratio.

<table>
<thead>
<tr>
<th></th>
<th>Coefficient</th>
<th>S.E</th>
<th>Z-Value</th>
<th>P-value</th>
<th>95% confidence interval</th>
</tr>
</thead>
<tbody>
<tr>
<td>Industry growth</td>
<td>0.5123952</td>
<td>0.27478</td>
<td>1.86</td>
<td>0.062</td>
<td>-0.026181 - 1.05097</td>
</tr>
<tr>
<td>Leverage</td>
<td>0.0694825</td>
<td>0.04853</td>
<td>1.43</td>
<td>0.152</td>
<td>-0.025634 - 0.1646</td>
</tr>
<tr>
<td>Sales Income</td>
<td>1.283903</td>
<td>0.54747</td>
<td>2.35</td>
<td>0.019</td>
<td>0.2108736 - 2.35693</td>
</tr>
<tr>
<td>Total Assets Stock</td>
<td>-0.39407</td>
<td>0.26900</td>
<td>-1.46</td>
<td>0.143</td>
<td>-0.921315 - 0.13317</td>
</tr>
<tr>
<td>Concentration</td>
<td>-0.6823806</td>
<td>0.33002</td>
<td>-2.07</td>
<td>0.039</td>
<td>-1.329214 - 0.0355</td>
</tr>
<tr>
<td>State Share</td>
<td>-1.98E-08</td>
<td>1.16E-0</td>
<td>-1.70</td>
<td>0.089</td>
<td>-4.26E-08 - 3.02E-0</td>
</tr>
<tr>
<td>P/E Ratio</td>
<td>0.0010609</td>
<td>0.00045</td>
<td>2.32</td>
<td>0.020</td>
<td>0.0001657 - 0.00195</td>
</tr>
<tr>
<td>Constant</td>
<td>1.957595</td>
<td>0.14866</td>
<td>13.17</td>
<td>0.000</td>
<td>1.666228 - 2.24896</td>
</tr>
</tbody>
</table>

R² = 0.1840

We then test the linear effect of brand value on shareholder value. The results show that brand value can have positive effect on shareholder value (Coefficient is
0.2305826, P-value is 0.027), which is consistent with the previous literature (Table 5).

<table>
<thead>
<tr>
<th>Coefficient</th>
<th>S.E</th>
<th>Z-Value</th>
<th>P-value</th>
<th>95% confidence interval</th>
</tr>
</thead>
<tbody>
<tr>
<td>Brand Value</td>
<td>0.2305826</td>
<td>0.104279</td>
<td>2.21</td>
<td>0.027 0.0262001 0.43496</td>
</tr>
<tr>
<td>Industry growth</td>
<td>1.016647</td>
<td>0.42835</td>
<td>2.37</td>
<td>0.018 0.1770964 1.85619</td>
</tr>
<tr>
<td>Leverage</td>
<td>0.1000759</td>
<td>0.069494</td>
<td>1.44</td>
<td>0.15 -0.036129 0.23628</td>
</tr>
<tr>
<td>Sales Income</td>
<td>1.235984</td>
<td>0.669515</td>
<td>1.85</td>
<td>0.065 -0.076241 2.54821</td>
</tr>
<tr>
<td>Total Assets</td>
<td>-0.666857</td>
<td>0.334315</td>
<td>-1.99</td>
<td>0.046 -1.322103 -0.0116</td>
</tr>
<tr>
<td>Stock Concentration</td>
<td>-0.993489</td>
<td>0.446522</td>
<td>-2.22</td>
<td>0.026 -1.868656 -0.1183</td>
</tr>
<tr>
<td>State Share</td>
<td>-1.68E-08</td>
<td>1.40E-08</td>
<td>-1.2</td>
<td>0.229 -4.41E-08 1.06E-08</td>
</tr>
<tr>
<td>P/E Ratio</td>
<td>0.0013728</td>
<td>0.000552</td>
<td>2.49</td>
<td>0.013 0.0002913 0.002454</td>
</tr>
<tr>
<td>Constant</td>
<td>2.246336</td>
<td>0.19274</td>
<td>11.65</td>
<td>0       1.868572 2.624099</td>
</tr>
</tbody>
</table>

R² 0.2072

Finally, we will test the nonlinear effects of brand value on shareholder value. We adopt the cissoids function \( x^2(2a - y) = y^3 \) to fit the relationship between brand value and shareholder value. Here we define the range of brand value as \((0, +\infty)\). The relationship between brand value (denoted as \(x\)) and shareholder value (denoted as \(y\)) is conditioned on \(a\). Here \(a\) is a parameter related to brand equity, competitive conditions, customer loyalty, and entry barrier, etc. Consequently, as \(a\) changes, the significance of brand value will also change. We test the nonlinear relationship through try-and-error. The results show that when \(a\) equals 6.8, P-value is 0.05 (Table 6). When \(a\) reaches 6.7, P-value is 0.051 (Table 7), and when \(a\) reaches 7, P-value becomes 0.049 (Table 8). Consequently, the critical value is 6.8. That is, when \(a\) reaches 6.8, the relationship between brand value and shareholder value will shift from linear to nonlinear.
### Table 6 The Nonlinear Effect of Brand Value (a=6.8)

<table>
<thead>
<tr>
<th></th>
<th>Coefficient</th>
<th>S.E</th>
<th>Z-Value</th>
<th>P-value</th>
<th>95% confidence interval</th>
</tr>
</thead>
<tbody>
<tr>
<td>Brand Value</td>
<td>0.1985311</td>
<td>0.101377</td>
<td>1.96</td>
<td>0.050</td>
<td>-0.000164 - 0.397226</td>
</tr>
<tr>
<td>Industry growth</td>
<td>0.1295385</td>
<td>0.463313</td>
<td>0.28</td>
<td>0.78</td>
<td>-0.778539 - 1.037616</td>
</tr>
<tr>
<td>Leverage</td>
<td>0.0703867</td>
<td>0.066736</td>
<td>1.05</td>
<td>0.292</td>
<td>-0.060413 - 0.201187</td>
</tr>
<tr>
<td>Sales Income</td>
<td>1.668028</td>
<td>0.716182</td>
<td>2.33</td>
<td>0.02</td>
<td>0.2643374 - 3.071719</td>
</tr>
<tr>
<td>Total Assets</td>
<td>-0.4225207</td>
<td>0.356717</td>
<td>-1.18</td>
<td>0.236</td>
<td>-1.121673 - 0.276631</td>
</tr>
<tr>
<td>Stock Concentration</td>
<td>-0.1420869</td>
<td>0.451018</td>
<td>-0.32</td>
<td>0.753</td>
<td>-1.026066 - 0.741892</td>
</tr>
<tr>
<td>State Share</td>
<td>-2.71E-08</td>
<td>1.58E-08</td>
<td>-1.72</td>
<td>0.086</td>
<td>-5.80E-08 - 3.84E-09</td>
</tr>
<tr>
<td>P/E Ratio</td>
<td>0.0008382</td>
<td>0.000581</td>
<td>1.44</td>
<td>0.149</td>
<td>-0.0003 - 0.001976</td>
</tr>
<tr>
<td>Constant</td>
<td>1.04573</td>
<td>0.205527</td>
<td>5.09</td>
<td>0.000</td>
<td>0.642904 - 1.448557</td>
</tr>
<tr>
<td><strong>R²</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>0.086</td>
</tr>
</tbody>
</table>

### Table 7 The Nonlinear Effect of Brand Value (a=6.7)

<table>
<thead>
<tr>
<th></th>
<th>Coefficient</th>
<th>S.E</th>
<th>Z-Value</th>
<th>P-value</th>
<th>95% confidence interval</th>
</tr>
</thead>
<tbody>
<tr>
<td>Brand Value</td>
<td>0.2013027</td>
<td>0.103016</td>
<td>1.95</td>
<td>0.051</td>
<td>-0.000605 - 0.40321</td>
</tr>
<tr>
<td>Industry growth</td>
<td>0.1190516</td>
<td>0.471734</td>
<td>0.25</td>
<td>0.801</td>
<td>-0.805529 - 1.04363</td>
</tr>
<tr>
<td>Leverage</td>
<td>0.0707438</td>
<td>0.067797</td>
<td>1.04</td>
<td>0.297</td>
<td>-0.062136 - 0.20362</td>
</tr>
<tr>
<td>Sales Income</td>
<td>1.703764</td>
<td>0.729236</td>
<td>2.34</td>
<td>0.019</td>
<td>0.274488 - 3.13303</td>
</tr>
<tr>
<td>Total Assets</td>
<td>-0.425725</td>
<td>0.363227</td>
<td>-1.17</td>
<td>0.241</td>
<td>-1.13763 - 0.28618</td>
</tr>
<tr>
<td>Stock Concentration</td>
<td>-0.132502</td>
<td>0.458607</td>
<td>-0.29</td>
<td>0.773</td>
<td>-1.031355 - 0.76635</td>
</tr>
<tr>
<td>State Share</td>
<td>-2.77E-08</td>
<td>1.61E-08</td>
<td>-1.72</td>
<td>0.085</td>
<td>-5.92E-08 - 3.80E-09</td>
</tr>
<tr>
<td>P/E Ratio</td>
<td>0.0008444</td>
<td>0.000591</td>
<td>1.43</td>
<td>0.153</td>
<td>-0.0003136 - 0.002002</td>
</tr>
<tr>
<td>Constant</td>
<td>1.054857</td>
<td>0.209253</td>
<td>5.04</td>
<td>0.000</td>
<td>0.6447288 - 1.464984</td>
</tr>
<tr>
<td><strong>R²</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>0.0843</td>
</tr>
</tbody>
</table>
Table 8 The Nonlinear Effect of Brand Value (a=7)

<table>
<thead>
<tr>
<th>Coefficient</th>
<th>S.E</th>
<th>Z-Value</th>
<th>P-value</th>
<th>95% confidence interval</th>
</tr>
</thead>
<tbody>
<tr>
<td>Brand Value</td>
<td>0.1933668</td>
<td>0.09835</td>
<td>1.97</td>
<td>0.049</td>
</tr>
<tr>
<td>Industry growth</td>
<td>0.1474287</td>
<td>0.44788</td>
<td>0.33</td>
<td>0.742</td>
</tr>
<tr>
<td>Leverage</td>
<td>0.0696078</td>
<td>0.064774</td>
<td>1.07</td>
<td>0.283</td>
</tr>
<tr>
<td>Sales Income</td>
<td>1.603165</td>
<td>0.6982278</td>
<td>2.32</td>
<td>0.021</td>
</tr>
<tr>
<td>Total Assets</td>
<td>-0.4161605</td>
<td>0.344802</td>
<td>-1.21</td>
<td>0.227</td>
</tr>
<tr>
<td>Stock Concentration</td>
<td>-0.158442</td>
<td>0.437039</td>
<td>-0.36</td>
<td>0.717</td>
</tr>
<tr>
<td>State Share</td>
<td>-2.59E-08</td>
<td>1.52E-08</td>
<td>-1.7</td>
<td>0.089</td>
</tr>
<tr>
<td>P/E Ratio</td>
<td>0.0008259</td>
<td>0.000562</td>
<td>1.47</td>
<td>0.141</td>
</tr>
<tr>
<td>Constant</td>
<td>1.028094</td>
<td>0.198703</td>
<td>5.17</td>
<td>0</td>
</tr>
</tbody>
</table>

R$^2$ | 0.0891 |

Based on table 6, table 7, and table 8, we can find that there is a nonlinear relationship between brand value and shareholder value. When the parameter a reaches 6.8, the relationship between brand value and shareholder value will shift from linear to nonlinear. At the same time, the maximum value of the function $x^2(2a-y) = y^3$ is $2a$, that is, when the effect of brand value on shareholder value reaches $2a$, brand value will not increase shareholder value any more. Therefore, hypothesis 1 is confirmed.

4 Results and Discussion

We suppose in this paper that there may be nonlinear relationships between brand value and shareholder value. The results confirmed the hypothesis. The relationship can be fitted by the cissoids function $x^2(2a-y) = y^3$ with a as the parameter. At the same time, the maximum of shareholder value (denoted as Tobin’s q) is $2a$, and when a reaches 6.8, the relationship between brand value and shareholder value will begin to shift from linear to nonlinear. This result is very interesting for firms to implement their brand strategy.

This result is consistent with much literature. For example, Kerin and Sethuraman (1998) found that the relationship between brand value and shareholder value is concave for some products. At the same time, several scholars found that for some products, the relationship between customer satisfaction and shareholder value is also nonlinear (Anderson et al., 2004; Gruca & Rego, 2005). These scholars did not explain the mechanism of brand value’s effects on shareholder value, nor did they found out the critical point when the relationship begins to change from linear to nonlinear. This paper explores the critical point and the mechanism.

The mechanism of the nonlinear effect should boil down to the brand’s customer
relationships and customer base. Each brand should get profits through customers in the end. If customers do not buy their products, the exchange will not be realized. Then all the products will not realize their values. According to the theory of customer portfolio, customers can enhance profits through two approaches: customer loyalty and customer base. However, since the customer demands are heterogeneous in nature and customer relationships have different closeness, the costs to meet customer demands would increase as the loyalty advances and the customer base increase. Furthermore, the boundary of the firm will constrain the growth of firm size and scope because of the decrease of marginal utility. This means that brand value would not increase shareholder value without limits. When shareholder value reaches a particular point (2a in this paper), it will stop growing.

This finding is important to firms to implement brand strategies. According to the finding, firms in the beginning should play stresses on offensive strategies so that they can expand their customer base. However, when customer base get to a particular level, firms should shift their strategies from offensive to defensive ones, since continuous expansion of customer base will bring about little effects on growth of shareholder value.

5 Limitations and Future Studies

This paper plans to study the nonlinear relationship between brand value and shareholder value. However, as the relationship between brand value and shareholder value is complicated, we just focus on the customer loyalty and customer base size. In fact, many other conditions should be considered to explore the brand’s effects, which include the employees, channel membership, etc. At the same time, we did not identify the different effects across industries, which may be an important factor.

In the future studies, we need to explore the moderating effects of industries as well as the customer heterogeneity.

References


Value Chain Extension: Making Sense of Strategic Corporate Social Responsibility Implementation

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Huazhong University of Science and Technology
Richard E. Wokutch
Virginia Tech

ABSTRACT

Strategic corporate social responsibility (strategic CSR) is highly praised by practitioners and academics for creating a potential win-win situation for business and society, yet little is known about its effective implementation. Using the case-study method to reveal the implementation mechanism, we track the strategic CSR activities of two Chinese property enterprises in the area of community involvement. We find that: (1) a clear statement of both commercial and social objectives focusing on customers’ needs in corporate strategies is the first and most significant step; (2) that extending the traditional value chain by adding CSR activities within and beyond the business process (by means of vertical enrichment and horizontal adjunction) is an effective way to implement strategic CSR; (3) such implementing approach will develop cooperative relations between firms and stakeholders through their common engagement and inputs; and (4) it is the cooperative relations that enhances firms’ competitive advantage, and also promotes continuous improvement in their commercial performance due to higher societal expectation. Furthermore, the leading role played by firm in launching CSR activities is significant in value chain extension. In this paper we help fill the gap in knowledge about strategic CSR implementation and contribute to stakeholder management theory. Some implications for corporate community involvement are also provided.

Keywords: Strategic CSR; value chain extension; cooperative relations; stakeholder management; corporate community involvement

Introduction

It has become increasingly an important topic to explore how to effectively implement corporate social responsibility (CSR) to realize the reconciliation of societal and commercial benefits (Maon, Lindgreen, and Swaen, 2009), which is, essentially, a question of strategic CSR implementation.

In defining strategic CSR, Porter and Kramer’s (2006, 2011) declaration that strategic CSR initiatives should focus on addressing social issues closely related to the
corporate value chain and in a context capable of unlocking shared value seems to be widely accepted. Many researchers who held the similar opinions on strategic CSR implementation, argued that such initiatives should be selective and attempt to connect with the core activities of the firm (Lindgreen, Swaen and Moan, 2009; Pruzan, 2001; Vilanova, Lozano and Arenas, 2009). The more closely a social issue is tied to a company’s business, the greater the opportunity to leverage the firm’s resources and capabilities and thus benefit society (Porter and Kramer, 2006). Some have even assumed that, in the future, more and more firms would prefer to adopt strategic CSR than those simple donation-types of CSR (Jamali, 2007; Lantos, 2001). To some extent, the stakeholder theory supports these above viewpoints. For example, in their study of exploring the boundaries of social responsibility, Hillman and Keim (2001) found that effective stakeholder management—good relations with primary stakeholders—can create business value and enhance competitive advantage. In this sense, stakeholder management provides some useful insights toward strategic CSR implementation, such as focusing on primary stakeholders’ interests and to develop good relations with them by addressing social issues that directly affect these stakeholders.

However, in-depth case study research about the process of strategic CSR implementation, an important channel in providing a practical approach for companies to follow, is still far from sufficient (Hillman and Keim, 2001). Although Porter and Kramer (2006) introduced a conceptual framework that helps companies take strategic CSR initiatives by understanding the relationship between business and society, the mechanism of strategic CSR implementation is still unexplored (Maon et al., 2009). Moreover, a lack of study about the implementation process can be partially blamed for the blury relationship between CSR and financial value (Falkenberg and Brunsal, 2011; Hillman and Keim, 2001). Our study thus focuses on strategic CSR activities to help address this gap.

Specifically, we focus on the question of how CSR is connected with the business process and how CSR activities reinforce commercial-value creation in its strategic implementation. We attempt to find the answer from firms in China’s real-estate industry in which strategic CSR implementation has become rather typical. Since 1979 when China undertook the open-door and reform policy to transition to a market economy from a command economy, people living in urban areas have experienced a major change: they have gone from living in friendly residential districts managed by state-owned or collective-owned units to strange and newly built residential areas operated by Property-Management companies originally affiliated with real-estate firms. So they have to bear the situation with many unmeet social needs. And the slow pace of reform in the Chinese social-management system has also resulted in many new social issues. In that sense, community development has become a more urgent and complex issue facing the Chinese government than is the case in Western countries. But helping solve these social issues, which is closely related to business of real-estate firms, has turned out to be a chance for these firms to benefit the society and also to build competitive advantages. So, studying real-estate firms’ activities involving in Chinese community development provides us with opportunities to open the “black box” of strategic CSR implementation process.

In the following section, we first review the literature related to strategic CSR,
stakeholder management, and corporate-community involvement. We then outline the methods of case study and provide details about strategic CSR activities conducted by the two cases. We then propose an overall implementation mechanism of strategic CSR based on structural data analysis. Finally, we discuss the study’s theoretical and practical contributions.

Theoretical Background

Corporate Social Responsibility

The idea that companies should help address social issues by undertaking social responsibility activities (Vilanova et al., 2009; Maon et al., 2009; Lee, 2008; Burke and Logsdon, 1996) has been widely accepted by academics and practitioners. Carroll’s (1991) multi-dimensional CSR construct, which includes four components: economic, legal, ethical and philanthropic responsibility, has provided a useful classification of the types and boundaries of CSR. Based on Carroll’s 1991 model, Lantos (2001) distinguished three types of CSR: ethical, altruistic, and strategic, which has helped to clarify the significance of strategic CSR for business. Lantos also stated that both altruistic CSR and strategic CSR belong to philanthropic responsibility, while the latter is good for business and society and the former is somewhat contradicted with bottom line of corporations. Our study is consistent with Lantos’s statement regarding strategic CSR.

Strategic Corporate Social Responsibility

Strategic CSR has been growing more popular in recent years (Jamali, 2007; Lantos, 2001). In this paper, we adopt the Porter and Kramer (2006) definition of strategic CSR, which refers to activities that firms undertake voluntarily to address special social issues and that, in turn, benefit society as well as the company’s own competitiveness.

Academics have provided many insights into the growth of strategic CSR. For example, Drucker (1984) emphasized that business ought to convert its social responsibilities into business opportunities. Similarly, Porter and Kramer (2006) have suggested a context-focused CSR approach to promote both business and societal interests. Strategic CSR involves a conscious attempt at establishing a connection between a company’s core business competencies and its social contributions (Jamali, 2007). Other researchers agree that each company must select specific issues to address (Porter and Kramer, 2006; Pruzan, 2001) and attempt to connect CSR practices with business processes and objectives (Vilanova et al., 2009; Lindgreen et al., 2009).

However, in practice, few companies know how to implement effective strategic CSR initiatives (Porter and Kramer, 2006) and, in particular, how to manage stakeholder relations (Husted and Allen, 2009; Hillman and Keim, 2001). Some challenges have been identified by scholars for this situation. For example, some scholars stress that the challenge lies in finding interventions that allow for the reconciliation of corporate interests with those of one or more stakeholder groups (Jamali, 2007) and then discovering how to integrate CSR into business processes (Porter and Kramer, 2006; Pruzan, 2001). Some also argue that further studies should focus on framing and interpreting how companies manage this reconciliation rather than merely considering the results generated from CSR policies (Vilanova et al., 2009). This paper aims to help fill these gaps.

Stakeholder Management and strategic CSR
Researches on stakeholder management mainly focus on explaining the relationship between firms and stakeholders and the effect of stakeholder management on firms’ financial performance. According to Clarkson’s declaration, the participation of primary stakeholders is crucial for companies’ survival (Clarkson, 1995), which indicates effective stakeholder management—good relations with primary stakeholders—can enhance a firms’ competitive advantage. Hillman and Keim (2001) emphasized that valuable and longer-term relationships developing between firms and primary stakeholders can be created by interactions, which are relational rather than transactional. Moreover, the relationship developing involves input and engagement in activities by both of them.

In that sense, stakeholder-management perspective throws light on effective strategic CSR practices. Firstly, firms should take some special primary stakeholder-group interests into account when carrying out CSR initiatives. Secondly, targeting at social issues related directly to primary stakeholders to undertake CSR will be helpful to enhance interactions and to build cooperative relationships between firms and primary stakeholders.

**Corporate Community Involvement (CCI) and strategic CSR**

Community involvement strategy is a subset of a firm’s strategic CSR activities that are directed towards special stakeholders (Bowen et al., 2010). Specifically, community-involvement strategy is a pattern of activities implemented by a firm to work collaboratively with and through groups of people to address issues affecting the social well-being of these groups as well as the corporation’s sustainable development (Bowen, 2007; Fawcett et al., 1995).

A useful concept for considering community-engagement activities is that of a “continuum of community engagement” ranging from least to most involvement. Although different expressions of such continuum have been proposed (Morsing and Schultz, 2006), there is a common belief that the most proactive community engagement is more likely to create a win-win outcome for stakeholders and corporations based on frequent interaction and deep trust. Further, Bowen et al. (2010) encouraged more case-based studies going beneath the surface of engagement activities are needed to explore how proactive forms of engagement yield net benefits.

While the situation of community development in Chinese context happens to be a great chance to do such a case study. In the economically transitional location, Chinese firms have been faced with many unique challenges in corporate-community involvement (CCI) that have not been well explored in Western literature. Hence, this paper examines strategic CSR implementation through a case study about community involvement of two Chinese real-estate firms, and attempts to determine how firms connect CSR and business processes in the reconciliation of social and financial values.

**Methods**

The research design is a multiple-case study (two cases) that is suitable for exploring some “how-to” kinds of questions (Yin, 2003). The research setting is the real-estate industry in China. This industrial setting is useful because its development relates to many social issues. And the focal social issue for real-estate firms is community development, which presents salient problems that can potentially be solved through
strategic CSR initiatives. In essence, real-estate firms have played a strategic role in the recent history of China’s community development. So it is necessary to provide a brief historical explanation before describing the two selected cases, Vanke Co., Ltd. and Baibuting Group Co., Ltd.

**The Chinese Context of Community Development**

Since 1979, Chinese society has been undergoing a transitional period along with the country’s market reforms. The most profound event during this time was the disintegration of the “system of unit”, which means all needs in people’s whole life would not be thoroughly satisfied by units but by the society. Unfortunately, the management-system transition of Chinese society lags far behind the country’s economic progress, and such a mismatch has led to many difficult social issues. Mostly people have to move into newly-built residential areas and to face with various issues which are difficult to be handled by people themselves.

Table 1 compares the situation of typical residential areas with two cases which are now harmonious communities transforming from residential areas. On the whole, the current situation of Chinese residential areas is far from the ideal of a harmonious community, because only a community that performs well in all factors of community (see Table 1) could be called a “harmonious community”. From 1979 to 2012, only 20% of the 50000 residential areas built during this period have been transformed into some type of harmonious community. The remaining typical residential areas perform only relatively well on the aspects of commercial services and security provided by Property-Service Company (shorted as PSC) (see Table 1) but rather bad on social service. Specifically, there are many new problems faced by the society, such as increasing internal migration resulting in large numbers of people separated for their “units” and families, high unemployment, a severe poverty problem, increasingly alienated neighborhood, and complications from an aging population. Above all, community development, a significant undertaking for the Chinese government and society, has a more complex and wider content than that of Western countries.

However, these social problems have provided a good opportunity for real-estate firms to develop competitive advantages through CSR activities in community development. The Chinese government and society encourage businesses to become involved in social issues (see the role of government in Table 1). In addition, for real-estate firms whose development would be directly affected by the state of the community in which they build residences, their CSR activities in harmonious community development could be regarded as strategic CSR. The two real-estate companies chosen are exactly one of those aforementioned kinds who seize the great opportunity of community development. They are also referred as the “model” in community development for other Chinese real-estate companies to study by Chinese government, which makes it more significant to deeply analyze the two firms.

**Table 1 Comparison between Typical Residence Areas and Harmonious Communities**

---

274
<table>
<thead>
<tr>
<th>Factors of Community</th>
<th>Example of elements</th>
<th>Role of Government</th>
<th>Typical residence areas</th>
<th>Harmonious communities transformed from residence areas</th>
<th>Case of Vanke</th>
<th>Case of Baibuting Group</th>
</tr>
</thead>
<tbody>
<tr>
<td>Infrastructural</td>
<td>Community centers</td>
<td>Encouraging</td>
<td>Yes. +</td>
<td>Yes. +++++ Activity Center</td>
<td>Yes. +++++</td>
<td>Activity Center</td>
</tr>
<tr>
<td></td>
<td>Community garden</td>
<td>Encouraging</td>
<td>Yes. + Very small</td>
<td>Yes. +++ Medium park</td>
<td>Yes. +++++</td>
<td></td>
</tr>
<tr>
<td></td>
<td>24 hours safeguard</td>
<td>Regulatory</td>
<td>Yes. ++++</td>
<td>By PSC</td>
<td>Yes. +++++</td>
<td>By PSC</td>
</tr>
<tr>
<td></td>
<td>s</td>
<td>requirements</td>
<td></td>
<td></td>
<td>PSC and residents volunteers</td>
<td></td>
</tr>
<tr>
<td>Commercial services and Security</td>
<td>Gardening</td>
<td>Regulatory</td>
<td>Yes. ++++</td>
<td>By PSC</td>
<td>Yes. +++++</td>
<td>By PSC</td>
</tr>
<tr>
<td></td>
<td></td>
<td>requirements</td>
<td></td>
<td></td>
<td>By PSC and residents volunteers</td>
<td></td>
</tr>
<tr>
<td>Hygiene and clearance</td>
<td></td>
<td>Regulatory</td>
<td>Yes. +++</td>
<td>By PSC</td>
<td>Yes. +++++</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>requirements</td>
<td></td>
<td></td>
<td>PSC and residents volunteers</td>
<td></td>
</tr>
<tr>
<td>Non-commercial</td>
<td>Volunteer organizations and activities</td>
<td>Encouraging</td>
<td>Rare</td>
<td>A dozen; 10% residents volunteers; helping the disabled, illness etc.</td>
<td>Yes. +++++</td>
<td></td>
</tr>
<tr>
<td>Commercial Community</td>
<td>Preventative medicine for caring of people in need</td>
<td>Encouraging</td>
<td>Rare</td>
<td>By PSC; Setting up elderly service center</td>
<td>Yes. +++++</td>
<td>By PSC; Establishing non-profit community Hospital and voluntary care teams</td>
</tr>
<tr>
<td>Welfare Service</td>
<td>Caring of poor, unemployment,</td>
<td>Encouraging</td>
<td>Rare</td>
<td>By PSC</td>
<td>Yes. ++++</td>
<td>By headquarter; providing assistance and jobs</td>
</tr>
<tr>
<td>Cultural and</td>
<td>Entertainment organizations and activities</td>
<td>Encouraging</td>
<td>Rare</td>
<td>A number of, in sports, art, music areas</td>
<td>Yes. +++++</td>
<td>Dozens of, in sports, art, music areas</td>
</tr>
<tr>
<td>entertainment</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Cultural activities</td>
<td>Encouraging</td>
<td>Rare</td>
<td>Yes. ++++</td>
<td>By headquarter and PSC; activities in most traditional holidays; involvement of government and society personage</td>
<td></td>
<td></td>
</tr>
<tr>
<td>---------------------</td>
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<td>----------------------------------------------------------------------------------------------------------------------------------</td>
<td></td>
<td></td>
</tr>
<tr>
<td>NGOs</td>
<td>Encouraging</td>
<td>None</td>
<td>None</td>
<td>A few, such as voluntary groups</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Owner committee</td>
<td>Regulatory</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes Contractual and Cooperative relationship with PSC</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>requirements</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Residents self-manage-ment organizations</td>
<td>Encouraging</td>
<td>Yes. +, Inactive</td>
<td>Yes. ++++</td>
<td>Cadres at gate, building and district levels helping enhancing neighborhood interaction and solving disputes</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Community management</td>
<td>Government funded</td>
<td>Partially</td>
<td>Yes. +</td>
<td>Normal services; participation in cultural activities</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Minimun normal services</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Headquarter funded personals aiding government office in organizing cultural activities</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Communist party branches and activities</td>
<td>Encouraging</td>
<td>Yes. +, Inactive</td>
<td>Yes. ++++</td>
<td>Party members acting as residents self-management organization cadres</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Firm leaders involved in community party leadership; Party members acting as community cadres</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Philanthropy funds; Disaster funds</td>
<td>Encouraging</td>
<td>Rare</td>
<td>Yes. ++</td>
<td>Education funds with donation from PSC and residents serving residents in needs</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Education funds and disaster funds with donation from headquarter and residents serving residents in needs</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Notes: In order to distinguish the difference between residence areas and harmonious communities in community development, we assign “+” to represent a positive degree about every element in each factor.

Cases chosen

The two Chinese real-estate firms we studied are Vanke Co., Ltd. and Baibuting group Co., Ltd.. As Table 2 shows, both companies received various awards due to their strategic CSR initiatives in community-development involvement including the "National Harmonious Community Demonstration Community" designation several times by the national government.

<table>
<thead>
<tr>
<th>Firm</th>
<th>Description of Case Backgrounds</th>
</tr>
</thead>
<tbody>
<tr>
<td>Nature of Company</td>
<td>Vanke: A national, large company</td>
</tr>
<tr>
<td>Year Founded</td>
<td>Vanke: 1984 (1993 focused on real-estate)</td>
</tr>
<tr>
<td>Project Scope</td>
<td>Vanke: Covers 53 cities in China with many small and isolated communities.</td>
</tr>
<tr>
<td>Sales in 2011</td>
<td>Vanke: RMB 121.5 billion (China number one) (approximately $18.8 billion)</td>
</tr>
<tr>
<td>Mission</td>
<td>Vanke: Provides more livable housing and participates in urban development.</td>
</tr>
<tr>
<td>Vision</td>
<td>Vanke: “To be the eternal leader in Chinese real-estate and to be a remarkable green business”</td>
</tr>
<tr>
<td>Products/Services Provided</td>
<td>Vanke: Commodity house; small department called SOLO; club; housekeeper-service room; property service company.</td>
</tr>
<tr>
<td>Unique Features</td>
<td>Vanke: The first to establish an affiliated property service company and employ a</td>
</tr>
</tbody>
</table>
third-party for a customer satisfaction survey in China service) of community building.

**Positioning of Property Service**

Maintain customer satisfaction and loyalty to Vanke.

**Concept of Property Service**

“All just for you” that continuously exceeds customer expectations.

Maintains improvements when facing residents’ complaints.

**Performance and Rewards**

Awarded the title of the “Most-Respected Enterprise” for 8 years and China’s Best Corporate Citizen for 7 years; awarded the title of "National Harmonious Community Demonstration Community" by the state in 2009.

Awarded “the first China Habitat Environment Award”; received frequent visits by top government officials to the Baibuting community, including Premier Wen Jiabao. Awarded the title of "National Harmonious Community Demonstration Community" by the state in 2009.

Besides their success in boosting community development, we also choose the two firms according to criteria that fit the definition of strategic CSR. They are real-estate firms that are at least 15 years old and (1) they are proactively involved in the community built through their own property service company; (2) their CSR initiatives are related to the business and primary stakeholders (customers); (3) they leverage both the firms’ resources and capabilities and stakeholders’ resources to solve social issues in the communities; and (4) they provide significant benefits for society and themselves firms resulting from CSR initiatives. In addition, we have taken into account some extra factors. One is the convenience and sufficiency of data collection. The cases and two of the researchers are in the same city (Wuhan, Hubei Province in China). The Baibuting community, started in 1997, is with 150,000 residents. The ShiJiHuaCheng community of Vanke was built in 2000, and the ChengShiHuaYuan community of Vanke was built in 2003. The two Vanke communities are with a combined total of 11,000 residents. In addition, we have considered the diversity of each case selection. The two companies are distinctive in some aspects, such as nature, business scope, target customers, and particularly in their approach to CSR.

**Data Sources**

Our study relies on several data sources including: (1) qualitative data from semi-structured interviews with different people in the described corporations and communities; (2) archival data including corporate documents, press releases, and corporate magazines, combined with community-website information; (3) observations, including field observation and participant observation in several times; and (4) follow-up interviews to fill in gaps in accounts.
The primary data source is 45- to 120-minute, semi-structured interviews. The interviews started in September 2011 and went over the course of one year with each successive interview going into more detail. Seventy interviewees at three levels provided information about social issues and CSR activities in their community (see Appendix A) and included: firm-level participants (e.g., executives, managers, and employees of the company); community-organization-level participants (e.g., neighborhood committee staff members and volunteer-organization members) and resident level (e.g., residents receiving aids from the community). With firm-level informants, we focused on CSR strategies, the evolution of social issues and CSR activities that developed within the community, as well as organization’s roles and responsibilities for CSR. With community organization-level interviewees, we focused on the changing role of the firm around these community-organizations set-up and development, the participants’ own involvement in special social issues and their attitudes to the firm. We read and copied the community-activity notes, voluntary records, and the diaries of volunteers interviewed. Finally, with resident-level informants, we focused on what benefits were derived from those CSR activities. Together, these three types of interviews helped us to understand the strategic CSR implementation through detailed processes and accounts.

In addition, observation, especially participant observation, was another important data source in which to validate interview information and better understand the CSR process. We visited the hardware facilities and activity center, and observed daily life in the community for field observations. Our observations, with the communities’ permission, focused on the donation campaigns and voluntary activities, as well as on festival and cultural events, which were special but frequent occasions during which we conducted interviews. We also added interviews as needed, with some participants being interviewed three or more times. As has been shown, triangulated interview data with observations and archival data can improve accuracy and completeness (Yin, 2003).

**Data Analysis**

Consistent with multiple-case analysis (Eisenhardt, 1989), we began by synthesizing the data for each firm to develop the respective case write-ups. These writings could be used for a thorough understanding of firm histories and operation processes. Then we started to analyze the data structurally.

Firstly, we tried to identify all CSR activities and the social issues they aimed to solve based on these case accounts. This step will help us to understand which stakeholder’s interests are the principal concerns for firms. Secondly, to determine the connection between CSR and business, we explored the content of firms’ strategies and the process of CSR activities development. We mainly focused on the following questions of each activity’s process: who launched the activity and why, which stakeholders and firm’s departments participated in and what roles they played respectively, and what kinds of effect the CSR activity had on business performance. Based on the answers of these questions, we concluded several variables as Appendix B, and they helped us to make some exploratory analysis of the relationship between firms and stakeholders and the connection between CSR activities and business value chain (Porter and Kramer, 2006).

Thirdly, when we had obtained a good understanding of each case, we then began cross-case analysis in which we used tables to look for the emergence of similar themes.
across multiple cases (Eisenhardt, 1989). From the emerging patterns, we formed tentative theoretical propositions about the mechanism of connection between CSR and business and the mediation between CSR and financial performance. We then refined these propositions through replication logic and frequently revisited the data to compare them with existing literature about CSR, stakeholder management and the theory of value chain. The value chain extension in ways of vertical enrichment and horizontal adjunction, the cooperative relations, are the findings in this phase. In general, we combined theory extension and theory generation in our analysis (Eisenhardt, 1989).

Findings

We propose an overall implementation framework of strategic CSR in Fig. 1. As a result of our analysis of the firms’ strategies of focusing on customers and the way to do CSR activities, we conclude that value chain extension is critical to connect CSR with the business process. Moreover, we find that cooperative relations between firms and stakeholders, developing during the simultaneous engagement in CSR activities, acts as a mediator between CSR and firms’ financial performance. In addition, there are some other factors that affect the process of strategic CSR implementation, such as the type of firms, the role of firms in activities operating.

In general, this implementation framework mainly consists four parts: (1) inception: structuring social objective as a part of the overall corporate strategy to guide strategic CSR implementation; (2) implementation: extending value chain by adding CSR activities within and beyond the business process; and (3) the cooperative relations between firms and stakeholders formed in CSR activities engagement, is the antecedent to achieve commercial value; (4) the achieved commercial value creation includes differentiation, efficiency and higher motivation to improve business activities. We discuss these parts in more detail in the next section.

Overall Strategy with commercial and social objectives

Value chain extension:
To address social issues concerned by customers
- Vertical enrichment:
  Adding CSR activities within business process
- Horizontal adjunction:
  Adding CSR activities beyond business process

Cooperative relations:
More resources from firms’ functional departments;
More inputs and involvement from stakeholders

Commercial value creation reinforcement:
- Differentiation
  --Enhanced brand image
  --Extra social value to customers
- Efficiency
  --More resources inputs from outside
  --Low transaction cost
- Higher motivation to improve business activities

Figure 1: The implementing framework of strategic CSR in corporate community involvement

Inception: Overall Strategy with Commercial and Social Objectives

For any company, corporate strategy must go beyond best practices (Porter and
Kramer, 2006). Although a body of literature focuses on the positive relationship between CSR and commercial performance (Griffin and Mahon, 1997), effective CSR projects are not always motivated solely by profits.

Our research shows that strategic CSR implementation often happens when CSR is a part of the overall corporate strategy from the beginning of the enterprise. Such strategy will make firms to target at solving specific social issues related to business and then to avoid a common dilemma between commercial and social objectives. In fact, the corporations we studied clearly stated both commercial and social objectives in their strategies focusing on customers’ needs---their business needs and social needs (see Table 3).

<table>
<thead>
<tr>
<th>Firm</th>
<th>Confirmed Core CSR</th>
<th>Relevance to Business</th>
<th>Corporate Strategy Includes Both Commercial and Social Objectives</th>
<th>CSR Target</th>
</tr>
</thead>
<tbody>
<tr>
<td>Vanke</td>
<td>Provide more comfortable houses for people.</td>
<td>High</td>
<td>Yes.</td>
<td>Customers</td>
</tr>
<tr>
<td></td>
<td>“To be the eternal leader in Chinese real-estate industry and a remarkable green enterprise.”</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>“Stick to customer-orientation and continuously promote the ability to meet customer increasing expectation”</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>“People foremost is the core of Vanke culture.”</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Baibuting Group</td>
<td>To build sustainable, modern, model communities.</td>
<td>High</td>
<td>Yes.</td>
<td>Customers</td>
</tr>
<tr>
<td></td>
<td>The “community strategy” is the group’s core competitive advantage.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>“The benefits we pursue are long-term profits and win-win effects.”</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Vanke

As the leader in the Chinese real estate industry, Vanke has performed exceptionally well in both business and social responsibility undertakings. The company has not only actively undertaken many CSR initiatives, but also confirmed customers’ needs as the target of their CSR activities.

Consistent with its core operational principle—that customers are a scarce resource
and the reason for Vanke existence—the company takes customers as the impetus behind all operations. In an internal speech, according to archival data, the general manager of Vanke Property Service Company stated, “Every time Vanke has to make a selection, we choose to be better rather than to be large..., we should always stick to customer-orientation.”

Vanke’s managers believe that the opportunities of continuous development lie in cultivating and discovering customer needs. There is evidence supporting this belief. When we observed Vanke’s ChengShiHuaYuan community, we found a small department called “SOLO.” This structure is composed of single apartments of 30–40 sqm designed for low-income young people, which makes low-income residents share the infrastructure with wealthier people in the same community. As a result, low-income young people are more likely to choose Vanke when they need to buy a new and large house and get married. Actually, a market gap always means the needs there are tough to meet. For a real-estate firm, these needs may be providing housing for lower-income people, the marginalized poor, the unemployed, and those needing elder-care, and even providing harmonious common living space. Vanke’s inclusive strategy, which includes both commercial and social objectives, helps the company seize the opportunity to meet such demands through strategic CSR.

Baibuting Group

Baibuting Group was founded in 1995 when it won the bid for a piece of remote and desolate land that measured 7 sqkm in the Jiang’ An district of Wuhan on which the government was supposed to build houses. However, there had been many deficiencies in the development of Chinese real-estate industry at that time. Although there was many policy supports from government, the increasingly amounts of commodity housing with poor living conditions had depressed the real-estate market. Faced with the poor condition of the bid land and the rough business market, Baibuting Group decided to build affordable houses for middle- and lower-income people.

Baibuting Group took a long time to decide upon their strategy. The group’s key figure was Chairman MaoYonghong, who had a strong sense of social responsibility. After securing the building rights, Mr. Mao organized a survey team to research some cities in China (e.g., Shanghai, Shenzhen, and Wuhan) and some in Europe to study similar projects. The director of the general manager’s office recalled that there were two significant findings from that survey: the first was learning more about “community” concept, which was very different from a Chinese traditional neighborhood. The second was a deeper awareness of the prevailing poor living conditions due to a lack of community service and management, which become a burden for the local government and a problem for residents. Thus, the company decided on an approach of continuing community development when they began to build.

Ultimately, the company positioned its product as a “sustainable, modern, model community,” and adopted a so-called “community strategy.” With the permission of the government, the company successfully undertook a holistic community agenda including house construction, follow-up management, and daily services. As Mr. Mao said in an interview, “We should provide all the things residents need. The principle is to serve the residents rather than maximize profits.”
Overall, we find that before implementing strategic CSR, the corporate clearly states both commercial and social objectives equally in its strategy, and that these objectives are focused on the customers’ needs. The obvious advantage of such a strategy is to involve all departments and employees in CSR activities. The entire firm will then share the same values and philosophies on social responsibility, which makes the transmission of rapid information possible as well as efficient responsiveness to customers’ needs (Perrini, 2006).

At the same time, it is important to clarify why firms should focus on the needs of customers. One reason may be that customers are the link between business goals and social expectations (Whetten et al., 2002) and are also the focal point of CSR initiatives (Maon et al., 2009). Meanwhile, due to limited resources and capabilities, company must select issues that are important and solvable to some primary stakeholders (Porter and Kramer, 2006). Another practical reason that firms focusing on customers is because they are always in direct contact. Based on frequent and significant interactions, a company can obtain sufficient information and undertake CSR initiatives more timely and effectively. Furthermore, alleviating social problems can satisfy customers as well as the government, which are important for a company’s sustainable development.

In summary, we propose:

Proposition 1: Corporations that clearly state both commercial and social objectives in their strategies and focus on customers’ needs are more likely to undertake strategic CSR.

Implementation: Extending the Value Chain by Adding CSR Activities

In strategic CSR implementation, the critical issue is connecting CSR activities with business processes to realize specific benefits for both the business and society at large (Porter and Kramer, 2006).

This issue may be better addressed by dividing firms’ value-creation activities into two types: commercial-value creation activities and social-value creation activities (CSR activities). However, the widely used value chain concept raised by Porter in 1985 refers to the former, but ignores the role that social-value creation activities play in firms’ value creation. To highlight the coexistence of these two types of activities, we define social-value creation activities as value chain extension, which means a part of the value chain.

In general, we find that the value chain extension is a good way to take strategic CSR. Specifically, strategic CSR activities extend the traditional value chain in two ways: through vertical enrichment and horizontal adjunction (Fig. 2, Appendix B). The former means that each subunit in the whole value chain adds CSR activities within their business to address some particular social concerns of customers. The latter indicates that firms go beyond the traditional value chain and add social-value creation links and activities to address other social concerns of those customers.

Although Vanke and Baibuting have extended the value chain to different degrees (see Fig. 2), they both play a leading role in developing various activities and then participate fully in activities with stakeholders who are appealed by them.
Case of Vanke

1) Vertical Enrichment

The traditional value chain of a real-estate firm consists of four main types of commercial value creation activities: positioning, planning and construction, marketing, and property service. In general, almost all CSR activities undertaken by Vanke (especially its Property-Service Company, V-PSC) are based on these commercial activities, especially the marketing and property service activities (as shown in Appendix B1-1).

In marketing, Vanke prefers to advertise the communal and environmental activities engaged by their customers and employees rather than just showcase their products, which turn out to be an effective way to build a brand. The garbage sorting and collection activity in the community, which was first launched by Vanke in China, is a good example of this strategy. This activity has been elaborately planned to encourage resident participation. There are eight steps taken by V-PSC employees that include publicity in the community propaganda column, door-to-door sponsorship, signing a promise by each family, holding a launch ceremony to distribute numbered trash bags, forming supervised residential groups, rectifying misclassifications, collecting recoverable waste and selling them, offering rewards to residents every weekend and donating the money earned from selling recoverable waste to a charity that aids impoverished children with heart disease. In general, most cultural activities in the community are designed and publicized by the marketing department and V-PSC headquarters.

For the property service, V-PSC undertakes the major responsibility in strategic CSR implementation. First, V-PSC’s chief duty is to solve customer problems rather than to make profits. As the general manager stated, “V-PSC has acted as a brand maintenance role for Vanke for a long time. Although V-PSC makes less profit, it can develop a good relationship with residents (the customers who bought their products) who are in frequent contact from after-sale services.” Second, V-PSC’s approach to solving social problems that customers face with is to establish new projects or organizations. They also try to develop many types of resources, other department inputs, and social resources from Balbuting.
inside and outside the community. For example, the Teenager-Zone project in Vanke’s ChengShiHuaYuan community is an innovative way to enrich community services. This project is a type of CSR activity with a commercial operation. The Teenager-Zone is an area in which children can play and study that is usually co-sponsored with local government and local companies or a street office. But this Teenager-Zone project only serves children living in Vanke’s ChengShiHuaYuan community. To ensure the sustainable operation of this project, the Wuhan branch of V-PSC has also managed to cooperate with other social organizations and entities (universities, students, and residents with teaching experience) to offer courses and tutoring classes after school for a fee.

2) Horizontal Adjunction

Besides vertical-enrichment CSR activities, Vanke has also tried to undertake a few additional CSR activities beyond their business, still focusing on social concerns of customers. Such horizontal adjunction is mainly embodied in community-activity development and community-management enhancement.

In 2008, Vanke established a festival called Community Activity Month. V-PSC headquarters designed the first program series, the “Happy Family Festival,” which was conducted by the V-PSC Wuhan branch and front-line department. In addition, V-PSC held a regular “case sharing” meeting to share those selected exceptional activities from Vanke communities with all of the managers. This reflects full corporate participation and investment in CSR activities, which are critical in the value chain extension.

For community-management enhancement, the V-PSC front-line department contributes in two aspects—by cooperating with the neighborhood committee and supporting the establishment of voluntary organizations, entertainment organizations, and communist party branches. For example, the V-PSC in the ShiJiHuaCheng community provided free working space for the local neighborhood committee to make convenient serving Vanke residents. V-PSC also helps to organize social resources to help residents solve problems (such as free health examinations, as it has government-related status).

Case of Baibuting Group

Unlike Vanke PSC’s dominant role in community development, all departments in the value chain of Baibuting Group has engaged in strategic CSR activities targeted at Baibuting community in the Jiang’an District of Wuhan. Although these CSR activities can be divided into the same facets as those of Vanke, the activities in horizontal adjunction and in vertical enrichment for Baibuting Group are more rich and effective.

1) Vertical Enrichment

Positioning. Based on commercial transaction, Baibuting Group started its strategic CSR implementation by positioning in serving low-income people and applying high standards to affordable housing construction (Appendix B1-2).

Planning and Construction. Due to the community’s remote location and poor conditions, such as no initial basic public facilities, Baibuting Group’s investment in infrastructure went far beyond the normal requirements. A story about building a park on
a prime site within the community illustrates the company’s commitment: Early on, during Mr. Mao’s daily walk, he frequently chatted with residents and heard complaints about the lack of activity space. Immediately, he called a temporary board meeting and suggested a change to build a community park on the prime site that had been intended for house building. Not surprisingly, his suggestion was met with strong opposition from several directors who thought the idea would reduce profits. However, Mr. Mao insisted saying that to satisfy residents’ needs is the Group’s priority. This situation resulted in the departure of two directors. But Mr. Mao persuaded other the directors, and eventually the Group paid $15 million to build a 40,000 square-meter community park. At the end of 2010, the total non-profit investment capital in the company’s infrastructure optimization had exceeded $60 million, with projects such as a community hospital, sports area, offices, and schools (kindergarten, primary school, middle school, and college for the elderly).

Marketing. Like the situation with Vanke, Baibuting’s marketing activities have been mainly focused on designing and publicizing cultural activities and community services, rather than just selling residences. Other CSR activities also play an important role in the company’s marketing.

Property Service. Like Vanke, the Property Service Company of the Baibuting Group (B-PSC) also plays an important role in CSR activities. Its primary goal is to satisfy residents’ needs. As the general manager of B-PSC has stated, “we try to provide everything that residents ask for, except money.” In addition, B-PSC does not pursue maximum profits. It does not need to turn over its profits to the Group and is only required to submit 5% of their revenue to the community administration office for community development. B-PSC has also cooperated with other community organizations (neighborhood committees and voluntary organizations) to solve residents’ social problems. For example, the B-PSC has an arrangement of cross-appointment to the boards of the neighborhood committees. In each community district, the sub-B-PSC manager holds the position of deputy director of the neighborhood committee, and the neighborhood committee director acts as chief inspector of the sub-B-PSC. They have weekly meetings to share information and ensure the same service objectives.

2) Horizontal Adjunction

To align with its community strategy, the Baibuting Group has undertaken many extra social-value creation activities to fully participate in community development. In general, there are three kinds of CSR activities.

The first and most critical CSR activity is participating in community management. At first, B-PSC was in charge of daily operations because of the community’s remote location and few residents. However, as the manager has said, “B-PSC had little legitimacy and ability to cope with all the community affairs, especially as the number of residents has increased. Establishing official community organizations was then critical for the community.” After lobbying the local government for a year, Baibuting was allowed to establish an independent community branch of the Communist Party, which is directly subordinate to the local regional government. A community administration office
was then established, which consists of Mr. Mao, several managers, resident representatives, and one police inspector (government worker). This arrangement signified that business leaders could legitimately manage social affairs within a certain region. Importantly, such a centralized management approach could lead to the full and effective use of all community and business resources in dealing with social problems. In 2001, neighborhood committees were set up under government authority but the personnel and budgets came primarily from the Group. The neighborhood committees and the Communist Party branch and their subunits shared cadres at residential levels. In this way, social issues in the community were dealt with by the respective subunits.

In addition, community-activity development played a critical role in creating a harmonious community. Some cultural and entertainment activities organized in groups were first developed with the help of B-PSC in 1999. For example, the drum dance team was formed with complementary equipment from the community administration office and the guidance of resident key leaders. Other teams were set up the same way. Meanwhile, the company made full use of the role-model effect of good personalities, which served as the inspiration for voluntary-organization development. An older female volunteer said that the community has stressed the publicity of good deeds, and it was a good way to motivate others with some familiar stories. A staff member on a neighborhood committee stated that although a person may just help out a bit, he or she felt great pride when these actions were publicized to the whole community and would have positive influence on other residents’ willingness to perform good deeds. Currently, most residents actively and voluntarily take part in community activities and affairs. Once they decided to be volunteers, they were asked to sign promises to keep up the voluntary initiatives.

Special philanthropic funds are another aspect in solving social issues and also enhance the positive relationship between the firm and its customers. In Baibuting community, the income difference between families is rather great. Specifically, more poor families and families suffering from unemployment are found here than in a usual community. In addition to donating $1.5 million community-charity foundation, the Group also has taken some measures to alleviate unemployment. The B-PSC offers jobs such as cleaning, maintenance and security, as well as renting stores to unemployed residents at low prices. The neighborhood committees also organize the poorer residents to work at housekeeping stations for the rich families in the community.

In general, there are several reasons why the value chain extension could be an effective way to implement strategic CSR. One reason is that it would enable firms to undertake proper CSR activities by making full use of corporate capabilities, creating a natural connection between CSR and the business process. Each division of the firm would focus on special social issues related to its business with appropriate organizational resources. The One-Stop Life Service Store offered by the front-line department of V-PSC is a good example that links social problems with business successfully. In other words, these CSR activities present opportunities in which to create
share value (Porter and Kramer, 2006).

Another reason lies in the resources input by customers and other stakeholders and their involvement in CSR activities. This situation benefits the firms in two ways. First, direct feedback from engaged stakeholders improves all of the firm’s value-creation activities and is provided in a timely manner, and then creates substantial benefits for customers and other stakeholders. Second, the stakeholders’ inputs and involvement also help to solve the problem of limited human and financial resources for firms when engaging in social activities and commercial activities (Lepoutre and Heene, 2006).

In addition, the leading role of the firm’s departments in launching CSR activities is necessary and important. On one hand, that helps to develop various activities and stimulate customers’ participation. On the other hand, that is a good way to embed CSR practices in business (Vidal, Kozak, and Hansen, 2012) and handle social issues effectively with more organizational resources. For example, because of Baibuting Group’s investment, all of the social organizations in the community, as well as B-PSC, can receive sustainable support to deal with social issues. This support promotes a harmony and voluntary atmosphere that is hard to imitate by other firms.

However, we should be aware that the two firms extend their value chain to different degrees, which is partly because of their differing sizes and needs of routinization. According to Fig.2 and other data (Appendix B1-1), Vanke mainly adds paying items in vertical enrichment type of CSR activities, and most activities are arranged by headquarters. As a large national company, all of Vanke’s projects must be of the same approximate quality and it must make enough profit to maintain its massive business spending and CSR activities. In contrast, Baibuting Group, as a local company, could add extra activities in horizontal adjunction with intensive resources.

In summary, we propose:

Proposition 2: Extending the value chain by vertical enrichment and horizontal adjunction would lead to more resource inputs and involvement from firms and stakeholders in strategic CSR implementation.

Proposition 3: For corporate community involvement in China, different types of firms are more likely to adopt different levels of value chain extension.

   Proposition3a: For corporate community involvement in China, national firms would be more likely to adopt more activities in vertical enrichment rather than in horizontal adjunction because of the geographical dispersion of their business operations and the need for routinization in other projects.

   Proposition3b: For corporate community involvement in China, local firms would be more likely to adopt as many activities in vertical enrichment as in horizontal adjunction because of their centralized business.

Proposition4: For corporate community involvement in China, the leading role of firm serves a critical role in implementing the value chain extension.

Cooperative Relations: Making Business Benefit from CSR Activities

A body of literature has examined the relationship between CSR and financial
performance but no clear conclusions have been reached (Falkenberg and Brunsal, 2011; Shen and Chang, 2009; Hillman and Keim, 2001). Our study of strategic CSR implementation unexpectedly reveals an underlying functioning mechanism for a positive relationship between CSR and financial performance. It is the cooperative relations between firms and stakeholders that enable strategic CSR to reinforce financial performance in three aspects: differentiation, efficiency, and higher motivation.

We define the cooperative relation as a kind of supportive and reliable relation between firm and stakeholders when they both engage and input in CSR activities. We also note that the cooperative relation in Baibuting Group is much deeper than that of Vanke, which tends to use a market-orientated approach in strategic CSR implementation.

**Vanke**

To some extent, the social performance created by Vanke has contributed to its leading position in the Chinese real-estate industry. From our collected archives, almost every Chinese property firm has regarded Vanke as a benchmark and tried to imitate its practices, including business operations and CSR activities.

The value chain extension has formed a kind of cooperative relation between firms and customers, which attracts more resource inputs and involvement from customers and other stakeholders. As far as the continued operation of those paying CSR items (such as the oak card, a way to offer special service for the elderly), which are difficult for others to imitate, V-PSC managers have argued that it is mainly due to approval and support from the residents and government. For example, community activities, such as Respect for the Aged Month, have been regularly held with support from voluntary organizations and the neighborhood committee that provides service and hospital resources. Similarly, some residents who teach also offer free courses in the Teenager-Zone.

Meanwhile, cooperative relations with customers has also increased work efficiency and stimulated higher motivation in business for V-PSC. Just as the V-PSC manager said, “Residents and owner committees highly trust us and are willing to cooperate with us in all activities, which is why we can operate well… of course, trust is based on excellent business, and we have to do better to satisfy their increasingly expectations.” However, as we know, this trust can only be accumulated by repeated interactions for a long period of time (Barney and Hansen, 1994) and firms need to offer substantial benefits and excellent services to customers on a continuing pattern over time.

**Baibuting Group**

As a local company, though Baibuting Group prefers to undertake CSR activities free of charge, it still obtains many direct and indirect commercial benefits from these activities.

On one hand, Baibuting Group has built good relations with local government and even the central government in China for its non-profit investment and high performance in community development. According to a report, the management of Baibuting community by the Group helps save $48 million for government per year. Baibuting Group also benefits from the government in several ways. First, the local and national
government has cited it as a positive model in community development a number of times, which has given Baibuting great publicity on the national scale. Second, Baibuting has continued to succeed in bidding for land surrounding the community. Extending the scale of the Baibuting community has become a shared responsibility of the Baibuting Group and the government.

On the other hand, stakeholders’ engagement in CSR activities contributes to the good relations between the firm and these stakeholders. For customers, they have realized their self-worth when participating in voluntary activities. For the Group, it has achieved widely responses in its calls for participating in more voluntary organizations. Up until 2011, there have been more than 30,000 active volunteers in the Baibuting community. Moreover, Baibuting Group has achieved low costs from such relations. For example, the resident-volunteer patrol has reduced the necessary number of employees in B-PSC. The work of volunteers has also reduced the B-PSC workload in community maintenance and troubleshooting, which has also cut costs.

At the same time, firms are motivated to pursue excellence in business to maintain such relations. As a VSP manager said, “Actually, they (government and residents) inspire us to perform better when we try to respond to all of their demands….“Mr. Mao mentioned that “this happy community is developed through our (residents, government and the Group) joint efforts and our Group will work harder to build sustainable and modern model communities.”

In summary, firms could benefit from strategic CSR through cooperative relations and the positive effects on financial performance can be explained in terms of competitive advantage. First, such cooperative relation results in a differentiation advantage for both firm cases. In other words, the good relationship between the firm and stakeholders has created increased opportunities for more social value by partnering in solving special social issues. In addition, when the proper CSR activities in vertical enrichment significantly improve the social benefits of customers and government, those helped will feel grateful and will reciprocate in various ways, such as helping to enhance a corporation’s brand image, recommend the corporation to others, and so on (Yang, Su, and Fam, 2012; Avram and Kuhne,2008; Lantos, 2001).

Second, such cooperative relation also creates business efficiency for both firms. When engaging in community affairs, customers tend to regard their support as their indispensable responsibility in all of the firms’ activities, no matter the CSR activities or the business activities. More importantly, other stakeholders’ support and resource inputs are valuable (Hillman and Keim, 2001) and the source of sustainable competitive advantage. Furthermore, the cooperative relation will result in strong trustworthiness of customers in firms. This helps firms achieve high-efficiency with low-transaction costs in commercial operations (Barney and Hansen, 1994). Baibuting Group, for example, improves their business by adding CSR activities in vertical enrichment and then saves advertising costs through stakeholders’ promotion of its good practices. On the other hand, stakeholders engaging in CSR initiatives of horizontal adjunction also contribute to a
reduction of a firm’s normal management costs.

Finally, the cooperative relation raises firms’ motivation to continuously improve their business activities due to increasingly societal expectations. After all, good business activities are fundamental to social responsibilities (Carroll, 1979). Corporations need to ensure excellence in their business operations while investing in solving social issues.

In summary, we propose:

Proposition 5: The stronger the cooperative relation between firms and stakeholders based on common inputs and engagement in strategic CSR, the more commercial value created in terms of differentiation and efficiency.

Proposition 5a: The stronger the cooperative relation with stakeholders, the more differentiation is achieved by firms in terms of improved brand image and added social value to customers.

Proposition 5b: The stronger the cooperative relation with stakeholders, the more efficiency is achieved by firms in terms of low-transaction costs and increased resources available from stakeholders.

Proposition 6: The stronger the cooperative relation between firms and stakeholders based on common inputs and engagement in strategic CSR, the higher the motivation to continuously improve the firm’s business activities due to increasingly societal expectations.

Contributions and Implications

This research contributes to the study of strategic CSR and stakeholder-management theory. The primary contribution is the new concept of value chain extension to implement strategic CSR. Literature has historically treated CSR as an extrinsic value-creation activity according to the traditional value chain (Porter and Kramer, 2006, 2011), and then indicated that a firm would benefit from the connection between CSR and its core business activities (Vilanova et al., 2009; Lindgreen et al., 2009). Our insight is that by extending the value chain of adding CSR within and beyond business to make it a part of the value chain, a win-win situation can be created. Thus, corporations implementing strategic CSR tend to clearly state the social and commercial objectives in their strategy by focusing on customers’ needs at the beginning of the CSR undertaking. Then, with clear strategic statements and joint participation and inputs from firm and stakeholders, CSR and business activities can be mutually enhanced and integrated to achieve larger social and commercial benefits.

The second contribution is revealing the process of effective stakeholder management. Spurred by the extant research of stakeholder-management (Husted and Allen, 2009; Hillman and Keim, 2001), we focused on CSR activities directly tied to primary stakeholders (customers). We find that the process of value chain extension is successfully conducted by firms and stakeholders simultaneously. It indicates that cooperation and joint engagement between firms and stakeholders is an effective way to manage stakeholders. Furthermore, such cooperative relation, based on joint inputs and engagement in CSR activities from firms and stakeholders, can result in higher social expectations for a good commercial performance and bring competitive advantages for
Implications of our research are mainly in terms of strategic CSR practices. First, the findings shed light on the difficulties in CSR implementation for many firms. When pursuing societal and financial goals, our research indicates that attracting the resources of customers and other related stakeholders’ capabilities into CSR activities is an effective way of reducing costs and improving social benefits. For corporations undertaking community-involvement strategies, our research indicates that helping the establishment and function of community organizations characterizes Chinese corporate-community involvement at the present time. Second, this paper also has implications for real-estate corporations. We discovered that the leading role of firms is necessary and significant in promoting CSR activities in China context at present time. Once stakeholders are aroused to engage actively in these CSR activities, it will become much easier to transform residence areas into harmonious communities for firms undertaking community-involvement strategies. Furthermore, while most CSR studies and literature focus on specific characteristic of large firms (Avram and Kuhne, 2008), this article points out the advantages of SMEs in undertaking strategic CSR. As showed in the case, it would be more feasible to adopt the horizontal adjunction type of strategic CSR activities for SMEs (like Baibuting Group) rather than for large and complex firms (like Vanke).

Some limitations exist in this study. The first is the insufficient number of cases selected for study. In order to make the conclusions much more convincible, we should examine additional cases and get more data about the CSR implementation process. The second limitation exists in the data collection. An interview as a primary data source has inherent disadvantages, such as the subjectivity of the interviewers and inaccurate recollections of interviewees. Although we adopted several data sources to support our results, a more formal data source such as questionnaire is needed for future study, perhaps used in conjunction with interviews.

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Appendix A:

### TABLE A1
Overview of main data sources

<table>
<thead>
<tr>
<th>Firm</th>
<th>Informants interviewed by types</th>
<th>Observations</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Firm</td>
<td>Field observation</td>
</tr>
<tr>
<td>Vanke</td>
<td>General and Deputy General managers of V-PSC: 2 (1, 1)</td>
<td>Elderly activity center in $ShiJiHuaCheng$, such as dancing room and voluntary reading room;</td>
</tr>
<tr>
<td></td>
<td>Employee of Front-line department of V-PSC: 5</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Neighborhood committee staff: 4</td>
<td>Cultural Corridors in $ShiJiHuaCheng$.</td>
</tr>
<tr>
<td></td>
<td>Volunteer from employees and residents: 8 (3, 5)</td>
<td></td>
</tr>
<tr>
<td></td>
<td>The elderly recipients: 10</td>
<td></td>
</tr>
<tr>
<td>Baibuting</td>
<td>Director of general manager’s office: 1</td>
<td>Community Park and daily morning exercises;</td>
</tr>
<tr>
<td>Group</td>
<td>General managers of B-PSC: 1</td>
<td>Cultural Corridor in Park; Meeting room of the first Neighborhood committee; Activity room of the third Neighborhood committee; Office premise of the first and third neighborhood committee;</td>
</tr>
<tr>
<td></td>
<td>Employee of B-PSC: 5</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Neighborhood committee director and staffs: 8 (5, 3)</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Volunteer from employees and residents: 15 (5, 10)</td>
<td></td>
</tr>
<tr>
<td></td>
<td>The elderly and the disabled recipients: 11 (8, 3)</td>
<td></td>
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</tbody>
</table>

Appendix B:
### Table B1-1
Description of Value Chain Extension

<table>
<thead>
<tr>
<th>Business value chain</th>
<th>Related Elements of community development</th>
<th>CSR Activities</th>
<th>Relation types between stakeholders and corporations</th>
<th>Connection pattern between CSR and business</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Example of Activity Types</td>
<td>Commercial Motive, Source of funds and manpower</td>
<td>Firm’s role in developing activities</td>
<td>Transactional relations</td>
</tr>
<tr>
<td>Traditional value chain</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Vanke</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Positioning</td>
<td>Mission of community</td>
<td>Mixed-income housing</td>
<td>High. Undertaken by Vanke</td>
<td>Dominant</td>
</tr>
<tr>
<td>Planning and Construction</td>
<td>Infrastructure</td>
<td>Community center and garden</td>
<td>High. Undertaken by Vanke</td>
<td>Dominant</td>
</tr>
<tr>
<td>Marketing</td>
<td>Culture</td>
<td>Organizing and Advertising large social environment protecting and social charity activities</td>
<td>Low. Hold cooperatively by headquarter, Wuhan branch and Front-line department of V-PSC, as well as residents.</td>
<td>Leading</td>
</tr>
<tr>
<td>Property Service</td>
<td>Infrastructure</td>
<td>Building elderly activity center; Cultural Corridors</td>
<td>Low. From Front-line department of V-PSC and resident volunteers.</td>
<td>Dominant</td>
</tr>
<tr>
<td>Service</td>
<td>Security</td>
<td>Establishing resident voluntary organization to assist V-PSC like “Honor Supervisor”.</td>
<td>Low. Volunteers from residents and supported by V-PSC and local Neighborhood Committee.</td>
<td>Leading</td>
</tr>
<tr>
<td>Beyond the value chain</td>
<td>Culture</td>
<td>Community sports meeting, and Community Activity Month.</td>
<td>Low. Leading and supported by V-PSC and operated by residents.</td>
<td>Leading</td>
</tr>
<tr>
<td>Service</td>
<td>Establishing elderly service Center for paid projects and Respect-for-the-aged Month</td>
<td>Medium. Operated cooperatively by V-PSC and local Neighborhood Committee.</td>
<td>Leading</td>
<td>+</td>
</tr>
<tr>
<td>Community management</td>
<td>Providing free office premise for neighborhood committee; support the party organization and owner committee.</td>
<td>Low. Undertaken by Front-line department of V-PSC and neighborhood committee</td>
<td>Leading</td>
<td>+</td>
</tr>
</tbody>
</table>

### Table B1-2
**Description of Value Chain Extension**

<table>
<thead>
<tr>
<th>Business value chain</th>
<th>Related Elements of community development</th>
<th>CSR Activities</th>
<th>Relation types between primary stakeholders and corporations</th>
<th>Connection pattern between CSR and business</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Activity Type</td>
<td>Commercial Motive, Source of funds and manpower</td>
<td>Firm's role in developing activities</td>
</tr>
<tr>
<td>Traditional value chain</td>
<td>Mission of community</td>
<td>Mixed-income housing with many Low-income groups.</td>
<td>Medium. Undertaken by the Group and Supported by Government</td>
<td>Dominant</td>
</tr>
<tr>
<td></td>
<td>Mission of community</td>
<td>High quality construction in over-standard way.</td>
<td>Medium. Undertaken by the Group</td>
<td>Dominant</td>
</tr>
<tr>
<td></td>
<td>Infrastructure</td>
<td>Building “Sunshine Home” for the disabled.</td>
<td>Low. From Association for The Handicapped, the Group, volunteers and neighborhood committee.</td>
<td>Dominant</td>
</tr>
<tr>
<td></td>
<td>Infrastructure</td>
<td>Various schools and a park</td>
<td>Medium. the Group bears the costs</td>
<td>Dominant</td>
</tr>
<tr>
<td></td>
<td>Marketing</td>
<td>All aspects</td>
<td>All publicized CSR activities</td>
<td>Medium. All mentioned.</td>
</tr>
<tr>
<td></td>
<td>Property Service</td>
<td>Security</td>
<td>Strengthen security system and building voluntary patrol team.</td>
<td>Low. From B-PSC and resident volunteers.</td>
</tr>
<tr>
<td></td>
<td>Property Service</td>
<td>Service</td>
<td>Establishing voluntary property service group and conduct cross appointment with neighborhood</td>
<td>Low. From B-PSC and neighborhood committee</td>
</tr>
<tr>
<td>Beyond the value chain</td>
<td>Infrastructure</td>
<td>Building non-profit community Hospital.</td>
<td>Leading</td>
<td>++</td>
</tr>
<tr>
<td>------------------------</td>
<td>----------------</td>
<td>------------------------------------------</td>
<td>---------</td>
<td>----</td>
</tr>
<tr>
<td>Culture</td>
<td>Establishing resident activity groups and Community Literature and Arts Association; Holding various traditional Festival Activities and large activity show</td>
<td>Low. From the Group and B-PSC, as well as residents.</td>
<td>Leading</td>
<td>+++</td>
</tr>
<tr>
<td>Community management</td>
<td>Establishing Community Party organization, Neighborhood Committee</td>
<td>Low. Composed of the corporation chairman, several managers, local Officials and residents.</td>
<td>Leading</td>
<td>+</td>
</tr>
<tr>
<td></td>
<td>Develop voluntary organizations</td>
<td>Low. From Community Management Committee, Neighborhood Committee, B-PSC and resident volunteers.</td>
<td>Leading</td>
<td>++++</td>
</tr>
<tr>
<td>Charity donation</td>
<td>Establishing three special Community Charity Foundations and conducting Festival greetings to the BOP</td>
<td>Low. From the Group and Chairman, and Community Management Committee.</td>
<td>Dominant</td>
<td>+++</td>
</tr>
</tbody>
</table>

**Note:** In order to measure the strength of social ties between primary stakeholders and corporations, we assign “+” to one kind of primary stakeholders involved in corresponding CSR activities and “++” is also assigned to CSR activities creating substantial social values for stakeholders.
Luxury Consumption of Chinese People for Gaining Face or Protecting Face: Moderating Effect of Individual Regulatory Focus

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Abstract

Based on previous research, face in China has a close relationship with luxury consumption. However, empirical researches in this area are not abundant. This study focuses on the sub-dimensions of face need, that is, “LIAN NEED” and “MIAN NEED” as well as their influences on luxury buying intention of Chinese people. We found that consumers with different level of “LIAN NEED” and “MIAN NEED” have different luxury consumption purposes. Consumers with higher “LIAN NEED” tend to buy luxuries that delivers the “protective face orientation” (PFO) value, while consumers with higher “MIAN NEED” tend to buy luxuries that delivers the “acquisitive face orientation” (AFO) value. Moreover, consumers’ regulatory focus moderates the relationship between their face need and luxury buying intention. Specifically, for consumers with high “LIAN NEED”, prevention-focus oriented consumers are more likely to purchase luxury goods that deliver PFO value than promotion-focus oriented consumers; For consumers with high “MIAN NEED”, promotion-focus oriented consumers are more likely to purchase luxury goods that deliver AFO value than prevention-focus oriented consumers.

Keywords: Face Need, Luxury, Regulatory Focus

1. Introduction

A report released by World Luxury Association shows that by the end of December 2011, annual sales of luxury goods in China’s market had amounted to 12.6 billion USD (excluding private jets, yachts and luxury cars), which accounted for 28%
of the global sales amount. Undoubtedly, China has become one of the biggest luxury consumption nations in the world. Based on previous research, luxury consumption of Chinese people has a close relationship with “face culture” of China. Many studies had done explore the relationship between “face” and luxury consumption behavior of Chinese. However, researchers tend to treat “face” as a whole concept, and few researches have empirically probed into the conceptual connotations of “face” and its influence on consumer behaviors (Shi, 2012). Moreover, no researcher has studied how face need and its sub-dimensions influenced luxury buying intention of consumers, as well as the moderating effect of consumers’ regulatory focus type. Therefore, this study focuses on the sub-dimensions of face need, that is, “LIAN NEED” and “MIAN NEED” as well as their influences on luxury buying intention of Chinese people. Also, this study further explores how individual regulatory focus moderates this relationship.

2. Literature Review

2.1 Face and Face Need

2.1.1 Face

“Face” is originally a concept developed in Chinese Confucian society (Cheng, 1986), and has far-reaching influence on the behaviors and interactions between people and people, people and groups, as well as people and the society. Most of existing researches done by Chinese and Western scholars are based on sociological and psychological perspectives. They probe into the connotation of face as well as its antecedents and consequences. As for the connotation of face, there are two types of definition which are widely accepted by academia. One holds that face is a kind of social respect and social value which emphasis individual reputation, social status, and social influence (Hu, 1944; Stover, 1962; Ho, 1976; Chu, 1987; Huang, 2004). The other believes that face represents self-image or self-concept confirmed by others or public which emphasize individuals’ perception of themselves in the eyes of others or in public (Goffman, 1955; Chen, 1982; Brown, 1987). Although scholars have different opinions toward “what face is”, generally most researchers believe that face is a social and psychological construct deeply rooted in culture. Face in China has a certain chronic persistence and a certain situationally-varying. It is the social esteem or public image of individuals that is gained from others, recognized by others and the society (Zhou, 1994).

The concept of face in China was first conceptualized into two interrelated but different dimensions by Hu (1944), who labeled them as “lian” and “mian.”. Hu (1944) defined that “lian” is the group’s or social respect for a man with a good moral reputation; while “mian” represents a reputation achieved through getting on in life, success and achievement (Hu, 1944). Chu (1987) pointed out that “lian” and “mian” represent two sets of social standard toward conduct or social recognition. One is success, including social status, political influence and academic achievement etc., the
other is personal morality that is based on self-request and self-discipline (Chu, 1987). To avoid confusion, King and Myers (1977) made amendment to the concepts of “lian” and “mian” by defining the former as “moral face” and the latter as “social face”. On this basis, Zhai (1994) further proposed a four dimensional model of face. The model categorizes four personality features of Chinese face, that is “with both lian and mian”, “with lian but without mian”, “with mian but without lian”, and “without both lian and mian”. Shi et al. (2011) empirically found that Chinese consumers displayed recognition of the difference between “lian” and “mian” in both conscious perception and unconscious responses.

2.1.2 Face Need

Face need is a concept extended from face concept. According to previous definitions of “face”, Chen (1986) proposed that face need is a need for social approval. He considered that individuals have different levels of face needs. Compared to those with a low face need, individuals with a higher face need are more sensitive to positive/negative face affairs (Chen, 1982). Bao and Zhao (2009) believe that face need is a stable personality factor which reflects individuals’ desire to enhance, maintain face and avoid losing face when associating with important people. Meanwhile, they that face need at least includes three factors: capacity, interpersonal relationship and morality. Shi et al. (2012) probed into the connotations of face need and defined it as: a need of individuals in a certain social culture to maintain, enhance face, and prevent losing face, which falls into the category of psychological motivation. Face need is specified into four dimensions, that is “LIAN NEED” (moral-oriented), and “MIAN NEED” (ability-oriented, economic-status-oriented, and social-relationship-oriented) (Shi et al., 2012)

This study is based on the four dimensions of face need found by Shi et al. (2012), and aims to further explore the relation between consumers’ “MIAN NEED”, “LIAN NEED” and their luxury buying intension in certain situations.

2.2 Luxury and Luxury Purchase

The word “luxury” comes from “lux” which means “light” in the Latin language. Later it evolved into “luxus” that means “extremely strong fecundity”, with an extended meaning of waste and immoderation. In general, luxury is regarded as a consumer product that features uniqueness, scarcity, preciousness and is not essential for one’s existence and development (Besley, 1989). Consulting company, McKinsey determined the product range of luxury, which includes perfume, jewelry, watch, costume, wine, gift, car and deluxe dishware (Shi and Cao, 2013). Leibenstein (1950), a renowned economist, summarized people’s two different motives of buying goods and divided them into functional needs and nonfunctional needs. Nueno (1998) hold that luxury is a commodity that has the lowest proportion of functional value while highest proportion of nonfunctional value.

To further make distinctions between consumers’ different perception value of luxury, Zeithem (1983) proposed a concept of “Luxury Perceived Value”. Luxury
perceived value is divided by researchers into five dimensions: conspicuous, unique, social, emotional, and quality (Vigneron, 1999; Dubois, 1997). Based on previous research, Zhu (2006) proposed a Chinese Consumer Luxury Consumption Motives Model, which includes society-oriented motives (conspicuous, bandwagon, social status) and individual-oriented motives (perfectionist, hedonist, gift for myself). The value of hedonist and symbolism brought by luxury consumption are much greater than its functional value. Eastern consumers purchase luxury mainly in order to show their own identity and social status, so they emphasize the symbolic value of luxury goods (Vickers, 2003). The reason why Eastern consumers care more about luxury’s social attribute and symbolic value than Western consumers can be explained by the influence of face issues (Joy, 2001). In consumers’ behavioral research, scholars widely accepted that individuals have “gaining face” behaviors and “avoiding losing face” behaviors (Ho, 1976; Chu, 1987; Chen, 1982). Chou (1997) summarized it as protective face orientation (PFO) and acquisitive face orientation (AFO). Zhang (2012) empirically found distinctions of Chinese consumers’ luxury consumption motivations, that is, promotion motives and prevention motives.

2.3 Regulatory Focus Theory

Higgins (1997) proposed the regulatory focus theory based on self-discrepancy theory, which explains the underlying motives of human behaviors. The theory suggests that hedonism is an objective and fundamental need of human beings. When individuals are required to make behavioral decisions, they come up with two kinds of motivated regulatory focus, that is promotion focus and prevention focus. Promotion-focus oriented individuals are more sensitive to the occurrence or nonoccurrence of positive results, and they tend to take aggressive strategies to promote the possibility of positive results. While prevention-focus oriented individuals are more sensitive to the occurrence or nonoccurrence of negative results and tend to be cautious to bring down the possibility of negative results (Higgins, 2001). When individuals with different regulatory focus type choose their preferred behavior strategies, which is called regulatory match between regulatory focus and behavioral strategy (Higgins, 2000). Individuals with promotion focus tend to use the promotion-related eagerness strategy whereas individuals with prevention focus tend to adopt the prevention-related vigilance strategy (Higgins, 2001).

Regulatory focus theory is widely used in marketing research, especially research of consumer behaviors. Consumers’ regulatory focus moderates their impulsive consumption. When facing unhealthy but hedonic foods, high-impulsive consumers have a higher level of promotion focus than low-impulsive consumers. When faced with no hedonic but healthy foods, high-impulsive consumers and low-impulsive consumers have no difference on the degree of regulatory focus. In other words, impulsive unwise food choice is decided by promotion focus (Sengupta, 2007). Compared to prevention-focus oriented individuals, promotion-focus oriented individuals not only have a high level of desire but also can better control their desire (Dholakia, 2006). Another research of consumer information processing suggests that consumers with promotion focus pay more attention to the hedonic value, while
consumers with prevention focus tend to care more about perceived risks (Yeo, 2006). For attaining a goal, individuals with promotion focus emphasize promotion information like benefits that have been attained, while individuals with prevention focus emphasize prevention information like problems that have been avoided (Aaker, 2001). Currently more scholars have paid attention to how individual regulatory focus operates in different situations (Zhu, 2009).

Therefore, this study tries to find out how consumers’ regulatory focus type moderates their luxury buying intention in certain situations.

3. Research Design

3.1 Research framework and Hypotheses

The framework of this study is as shown in Figure 1. Different levels of “LIAN NEED” and “MIAN NEED” have different influence on luxury buying intention. Moreover, consumers’ regulatory focus moderates the relationship between their face need and luxury buying intention. The derived process of research hypothesis can be seen as follow.

![Figure 1: the framework of this study](image)

3.1.1 Influence of Face Need on Luxury Purchasing Intention

Shi et al. (2012) found that face need contained four dimensions, that is, moral-oriented, ability-oriented, economic-status-oriented, and social-relationship-oriented. Moral-oriented face need derived from individuals’ desires for others to recognize their personality and morality, and the internal restriction of themselves; Ability-oriented face need derived from individuals’ desires for others to recognize their own capacity, and desires for all the accessories from ability (such as achievement and identity); Economic-status-oriented face need
derived from individuals’ desires for others to recognize their economic success like wealth and social status; Social-relationship-oriented face need derived from individuals’ desire for harmonious interpersonal relations, wide social network, as well as desire to play an important role in the group. When buying luxury goods, eastern consumers care more about its conspicuous value than western consumers (Guo, 2007; Zhu, 2006). They purchase luxury goods to show their own identity and social status. In other word, they emphasize the symbolic value of luxury goods (Vickers, 2003). People with high face consciousness will pay more attention to the symbolic attributes of products so as to embody their social status, reputation and self-image (Belk, 1997). Individuals with a high “MIAN NEED” have a high desires for others’ identification and recognition of their capacity, social status and social network. Consequently, when buying luxury goods, they pay more attentions on improving their social status, image and thus they tend to buy luxury goods that deliver the AFO value. For Chinese people, “lian” is one thing that they can’t afford to lose or break (Chu, 1987). Everybody, regardless of their social status, needs “lian” (Ho, 1976). As a person, “lian” is the most basic thing and people should maintain, protect it, as well as never allow to lose it (Cheng, 1986). Individuals with a high “LIAN NEED” have a strong desires for others to recognize their personal characters and moral standards. They focus on avoiding negative evaluation and judgments from others and buy luxury in order to keep consistent with their interpersonal circle and avoid losing face. Therefore, they tend to buy luxury goods that deliver the PFO value. As a result, the study comes up with the followings hypotheses:

**H1a:** In the designed scenarios, consumers with higher “LIAN NEED” tend to buy luxuries that delivers the “protective face orientation” (PFO) value.

**H1b:** In the designed scenarios, consumers with higher “MIAN NEED” tend to buy luxuries that delivers the “acquisitive face orientation” (AFO) value.

### 3.1.2 Moderating Effect of Regulatory Focus

To further probe into the relationship between face need and luxury buying intentions, this study used individual regulatory focus as the moderating variable. When approaching task goals, promotion-focus oriented individuals pay more attention to promotion information (like benefits they have achieved) and tend to use the eagerness-approaching tactics, while prevention-focus oriented individuals pay more attention to prevention information (like problems they have avoided) and tend to adopt the vigilance – avoiding tactics (Higgins, 2001; Aaker, 2001). When it comes to consumers’ information processing, consumers with promotion focus pay more attention to the hedonic value, while consumers with prevention focus tend to care more about perceived risks (Yeo, 2006). Therefore, consumers with different regulatory focus have different behavioral strategies when they try to satisfy their face needs. Promotion-focus oriented consumers tend to use active promotion strategy, that is, methods that help them promote social status and image; so they tend to purchase luxury goods that deliver AFO value. In comparison, prevention-focus oriented
consumers tend to adopt cautious strategy, that is, methods that help them avoid others’ negative comments, so they tend to purchase luxury goods that deliver PFO value. Therefore, this study puts forwards the following hypotheses:

**H2**: Consumers’ regulatory focus moderates the relationship between their face need and luxury buying intention.

**H2a**: For consumers with high “LIAN NEED”, prevention-focus oriented consumers are more likely to purchase luxury goods that deliver PFO value than promotion-focus oriented consumers

**H2b**: For consumers with high “MIAN NEED”, promotion-focus oriented consumers are more likely to purchase luxury goods that deliver AFO value than prevention-focus oriented consumers

### 3.2 Measure and Procedure

The questionnaire is divided into four parts. The first part is designed to measure the independent variable, that is, face need. The scale of face need we use in this study is developed by Shi et al. (2012), which 17 items are used to describe the degree of one’s feeling of “Loss face” or “out of face” from 1 to 7. The second part is used to measure one’s regulatory focus type. The maturity scales called regulatory focus questionnaire (RFQ) is developed by Higgins et al. (2001). On this basis, items of the scales were translated, modified and empirically tested by Yao et al. (2008) to adapt Chinese people’s reading and thinking custom. Subjects were asked to describe the level of agreement from 1 to 7. “1” means “strongly disagree”, while “7” means “strongly agree”. The third part is a simulated scenarios assuming that you are going to buy a luxury watch and have found two luxury watches (A and B) in the market. Both of them are in the same price and within your budget. The differences between A and B are brand image, social evaluation and feeling of wearing them. We manipulate these differences to differentiate the perceived value of A and B. Specifically, luxury A delivers the “acquisitive face orientation” (AFO) value through its product description, in which some key words such as “famous brand”, “status symbol” and “feeling glory when wearing” are used. While luxury B delivers the “protective face orientation” (PFO) value through its product description, in which other key words such as “favorite brand”, “social praise” and “feeling genteel when wearing” are used. All the keywords are bold and underlined to emphasize the difference. Meanwhile same interference factors such as price are controlled to be same. After reading the materials, subjects were asked to answer “Which luxury watch would you prefer to buy”. The question was designed as Likert scales from 1 to 7. The closer one’s scoring to “1”, the more preference to luxury A. While the closer one’s scoring to “7”, the more preference to luxury B. The fourth part of the questionnaire is used for collecting demographic characteristics of the sample.
4. Data Analysis

**Pre-survey**

Before the formal survey, we conducted a pre-survey to examine whether the designed scenario materials are understood by the subjects in our predicted way. What we want to manipulate is that in the designed scenarios luxury A delivers the “protective face orientation” value while luxury B delivers the “protective face orientation” (PFO) value. Therefore, in the pre-survey, we asked 40 subjects to read the same scenario materials and then answer a question. 20 of them were asked to answer “Which luxury watch do you think would help you gaining more face in front of my friends”. The other 20 were asked to answer “Which luxury watch do you think would help you avoiding losing face in front of my friends”. The question was evaluated on 7-point scales. The closer one’s scoring to “1”, the more preference to luxury A. While the closer one’s scoring to “7”, the more preference to luxury B.

By comparing the means, we found that subjects preferred to buy luxury A (M gaining face=3.90<4) in order to gain face in front of their friends while they preferred to buy luxury B (M protecting face=5.15>4) in order to avoid losing face in front of their friends. It indicates that we successfully manipulate the designed scenario materials which are understood by the subjects in our expected way.

**Formal-survey**

This study adopted convenience sampling and collected samples on the Internet. The subjects mainly came from university students and alumni. Questionnaires were released in SOJUMP web site (http://www.sojump.com/jq/3308452.aspx). We invited the potential subjects through instant messaging software such as QQ, Wechat which are widely used in China. The one who received the invitation could determine whether to participate in the voluntary and unpaid academic survey.

We received 209 questionnaires. First, we eliminated the unqualified questionnaires such as duplicate IP, same options for 10 consecutive items. Then, those samples whose finishing time is shorter than 180s or longer than 1800s are considered to be invalid. We finally received 171 valid questionnaires. The valid questionnaire response rate is 81.8%, which is within the acceptable range.

From the perspective of the sample distribution, male ratio is 48.5% while female ratio is 51.5%. The male/female ratio is balanced. Samples are mainly at the age of 19 to 25, college or above education. 44.4% of them have been working. Most of them are enterprise employees and annual income is between 60 to 100 thousands yuan. We use chi-square test to examine whether the demographic variable would impact on consumers’ luxury buying intention. The results showed that gender ($F=0.166$, $p=0.684$), age ($F=0.158$, $p=0.691$), education ($F=0.537$, $p=0.585$), annual income ($F=1.007$, $p=0.406$), occupation ($F=0.179$, $p=0.982$) have no significant influence on consumers’ luxury buying intention.
Reliability and Validity

First, we use Cronbach's $\alpha$ coefficient to test scale reliability, including the internal consistency of the overall scale, and the internal consistency of the sub-dimension constructs. For the scale of face need concept, the results showed that Cronbach's $\alpha$ of the overall scale was 0.876. And the Cronbach's $\alpha$ for each construct was acceptably high, and the highest was 0.901 while the lowest was 0.702. The CITI value of each item was between 0.448 and 0.858 (higher than 0.3). Thus it can be seen that the scale of face need concept indicated high levels of internal reliability. For the scale of regulatory focus concept, the resulting values were relatively high. Cronbach's $\alpha$ of the overall scale was 0.738 and Cronbach's $\alpha$ for each construct was 0.670 and 0.797. The CITC value of each item was higher than 0.3 which was considered acceptable. Therefore, the results indicated acceptable levels of internal reliability.

Then we used LISREL to test Discriminate Validity and Convergent Validity of the scale of face need concept. The factor loading of each item was higher than 0.5 as shown in Figure 2. In terms of results of model fitting, except for RMSEA (a bit higher than 0.08), other fit indices showed good fitting degree. To improve the model-fitting degree, we used Adjustment of MI value to modify the model. After that all the fit indices showed good fitting degree, as it can be seen in Table 1. Therefore, this indicated that the scale has an acceptable level of construct validity.
Main Effect

We used the scale developed by Shi et al. (2012) to measure four dimensions of face need, that is, “LIAN NEED” including moral-oriented and “MIAN NEED” including ability-oriented, economic-status-oriented and social-relationship-oriented. Then by adding all the scores of each subject and taking the average, we received the mean scores of “LIAN NEED” and “MIAN NEED”, which were called “LIAN NEED”
value (LNV) and “MIAN NEED” value (MNV). To retain all participants in our analysis and thus increase statistical power, we scored each subject on a net LNV/MNV scale instead of dichotomizing our sample. Specifically, LNV and MNV were combined into a single variable by using the formula (LNV-MNV)/(LNV+MNV). On this combined scale, the higher (lower) the value, the higher “LIAN NEED” (“MIAN NEED”) the subject had. For simplicity, we refer to the value as the net LNV-MNV in the remainder of this article.

Linear regressions were used to examine the effect of net LNV-MNV on the luxury buying intention. A positive main effect of net LNV-MNV was found ($\beta=0.285$, $t=3.589$, $p<0.001$) on luxury buying intention. It means that a higher net LNV-MNV (higher “LIAN NEED”) led to a higher buying intention of Luxury B, which delivers the PFO value while a lower net LNV-MNV (higher “MIAN NEED”) led to a higher buying intention of Luxury A, which delivers AFO value. Therefore, H1a and H1b are empirically supported.

**Moderating Effect**

The scale of regulatory focus had 10 items including 6 items to measure promotion-focus and 4 items to measure prevention-focus. First, we added the items and took the average to calculate the promotion and prevention score. Then we used the formula (promotion-prevention) to compute a single “net regulatory focus” variable. Based on previous research, the subjects whose net regulatory focus was more than 0.08 were considered as promotion-focus individuals while those whose net regulatory focus was less than -0.08 were considered as promotion-focus individuals (Chen, 2009; Wang et al., 2011). As a result, we received 65 promotion-focus subjects, 98 prevention-focus subjects, and 8 subjects without significant regulatory focus which would be deleted in the following data analysis.

Hierarchical regressions were used to examine the moderating effect of regulatory focus. For model 1, independent variable, that is, net LMV-MNV has a main effect on luxury buying intention; On the basis of model 1, we added interaction item between net LNV-MNV and regulatory focus type into model 2. Results showed that $R^2=0.104$, adjusted $R^2=0.093$, $F=9.747$, $p<0.001$ as shown in table 2. Compared with model 1, the degree of fitting was increased. Meanwhile, the interaction item was significant ($\beta=-0.185$, $t=-2.076$, $p<0.05$) thus H2 was supported.

<table>
<thead>
<tr>
<th>Independent variable</th>
<th>Model 1</th>
<th>Model 2</th>
</tr>
</thead>
<tbody>
<tr>
<td>net LNV-MNV</td>
<td>0.285***</td>
<td>0.390***</td>
</tr>
<tr>
<td></td>
<td>(3.859)</td>
<td>(4.384)</td>
</tr>
<tr>
<td>interaction item</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>net LNV-MNV *</td>
<td>Regulatory Focus Type</td>
</tr>
<tr>
<td>----------------</td>
<td>---------------</td>
<td>-----------------------</td>
</tr>
<tr>
<td></td>
<td>-0.185*</td>
<td>(-2.076)</td>
</tr>
<tr>
<td>R²</td>
<td>0.081</td>
<td>0.104</td>
</tr>
<tr>
<td>Adjusted R²</td>
<td>0.076</td>
<td>0.093</td>
</tr>
<tr>
<td>F</td>
<td>14.892***</td>
<td>9.747***</td>
</tr>
</tbody>
</table>

Notes: * means $p<0.05$; ** means $p<0.01$; *** means $p<0.001$; Coefficients have been standardized.

Then we used One-Way ANOVA to further test the moderating effect of regulatory focus. Based on net LNV-MNV, we divided our sample into two groups. The subjects whose net LNV-MNV was more than zero were considered as high “LIAN NEED” group while those whose net LNV-MNV was less than zero were considered as high “MIAN NEED” group. For high “LIAN NEED” group, prevention-focus oriented consumers are more likely to purchase Luxury B that delivers PFO value compared with promotion-focus oriented consumers ($M_{\text{prevention}}=5.66$ vs. $M_{\text{promotion}}=5.00$, $p=0.008<0.01$). For high “MIAN NEED” group, promotion-focus oriented consumers are more likely to purchase Luxury A that delivers AFO value ($M_{\text{promotion}}=3.08$ vs. $M_{\text{prevention}}=4.38$, $p=0.010<0.05$). Therefore, H2a and H2b were supported.

5. Conclusion and Limitations

This study focus on the sub-dimensions of face need, that is, “LIAN NEED” and “MIAN NEED” as well as their influences on luxury buying intention of Chinese people. Meanwhile, we examine the moderating effect of regulatory focus between consumers’ face need and their luxury buying intention. The results can be seen as follow:

First, in the designed scenarios, consumers’ luxury buying intention have significant difference between high “LIAN NEED” consumers and high “MIAN NEED” consumers. Specially, consumers with higher “LIAN NEED” tend to buy luxuries that delivers the “protective face orientation” (PFO) value while consumers with higher “MIAN NEED” tend to buy luxuries that delivers the “acquisitive face orientation” (AFO) value.

Second, we found that consumers’ regulatory focus moderates the relationship between their face need and luxury buying intention. Specifically, for consumers with high “LIAN NEED”, prevention-focus oriented consumers are more likely to purchase luxury goods that deliver PFO value than promotion-focus oriented consumers; For consumers with high “MIAN NEED”, promotion-focus oriented consumers are more likely to purchase luxury goods that deliver AFO value than prevention-focus oriented consumers.
Theoretically, we found that face in China has a close relationship with luxury consumption and consumers buy luxury goods for different motivations. Except for buying luxury to gaining face, some consumers purchase luxury in order to protect face. Specifically, on the one hand, consumers with high “MIAN NEED” pay more attentions on improving their social status and image and thus they buy luxury in order to gain face. On the other hand, consumers with high “LIAN NEED” focus on avoiding negative evaluation and judgments from others. They buy luxury in order to keep consistent with their interpersonal circle and avoid losing face. Furthermore, this phenomenon is similar to Regulatory Focus Theory (Higgins, 1998). We empirically proved that consumers’ regulatory focus type moderates the relationship between consumers’ face need and their luxury buying intention. To some degree, the findings provide reference value for further research on the sub-dimensions of face need, and its consequence variables in the future.

The findings of this research have important practical implications for marketers and managers, which would help to understand Chinese consumers’ behavioral tendencies and rules of luxury consumption. First of all, for those consumers with different face need, marketers are expected to use different brand, advertising and communication strategies to match consumers’ “LIAN NEED” or “MIAN NEED” precisely. Secondly, for luxury brand positioning, currently lots of luxury brand on the market emphasize their brand of AFO value such as status symbol. Marketers did not pay enough attention on luxury brand with PFO value. Therefore, marketers should have more tries to appropriately adjust, update and develop new luxury brand based on face need of Chinese consumers and their luxury buying behaviors. Finally, for those consumers with different regulatory focus, different advertising and communication strategies should be used. Meanwhile, marketers could adjust the purchasing environment to manipulate consumers’ regulatory focus type to control consumers in their expected ways.

The limitations of this study are that due to objective conditions, the subjects selected was based on the principle of convenience. The subjects mainly came from university students and alumni, which may lead to the limitation of representativeness. Secondly, the model fitting of face need is not completely good fitting as RMSEA is more than 0.08. We used Adjustment of MI value to modify the model fitting. Thirdly, the simulated scenarios materials we used in the study may have limitations of reliability and validity. Although we conducted a pre-survey to examine whether the designed scenario materials are manipulated successfully understood, we didn’t examine it again in the formal survey as for avoiding interference with consumers’ luxury buying intention. Finally, the applicability of research findings may have some limitations.

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Study on the Influence of Marketing Shi over Purchasing Drive of Customers

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ABSTRACT

Based on the principle of the Shi science, this article analyses the essence, origin, appearance and application strategy of the marketing Shi, proposing strategic suggestions for enhancing the purchasing drive of customers with the help of marketing Shi.

Keywords: marketing Shi, Shi science, customer, purchasing drive

1. Introduction

In the era of big data, corporation marketing has brought both opportunity and challenge. From the positive point of view, with more and more usable marketing resources, enterprises have gained better and faster channels for acquisition of information, development of cooperation and spreading of information. On the other hand, being in the same era has driven more and more of customers to become marketing activists. Faced with “smarter” customers and increasing competitors, it has become a very important subject in the area of marketing to study how to increase purchasing drive of customer, how to build loyal customer group, how to enhance market competitiveness, and thus achieving the marketing goal.

2. Shi and Shi Science

2.1 The Essence of Shi

The concept of Shi has a long historical root, as it represents multiple meanings in Chinese language: (1) Right, power; (2) Pose or action; (3) Situation or trend. In this article, the first and the third meanings are taken for the name Shi.

As an important concept in Chinese philosophy, “Shi” intrinsically has an inseparable relationship with the action and practice of human being. As the representational domain of the action and practice of human being, “Shi” can be interpreted as the integrated background or conditions, based on which the actions and practices can be conducted by the human subject.

According to the earliest interpretation, “Shi” refers to the certain relationship generated by the natural consanguinity as well as the special position of social ethics. Later on, as the reflection of natural consanguinity and social ethical relationship, the
effect of “Shi” is not limited to the area of political practice. “Shi” is further related with the environment of the action or practice. Such environment is different from social political status or ethical status, but is expressed as a special realm, where “Shi” refers to the external background and circumstance which cannot be altered or dominated by the individual in the action. As a practical force, “Shi” is not only a preconditioned term that exists outside of the action, but also infiltrates and participates in the action. Thus the interaction between human being and “Shi” can be further revealed: the human being acts as “Shi” through the action, while “Shi” is expressed as a practical force that enhances the action, when it is aligned with the purpose and method of the action. As the solid background of action and practice, “Shi” demonstrates the property of being realistic: when the action is inspected from the point of view of “Shi”, it traces back to the realistic background based on which the action can be implemented. Following “Shi” represents creating and capturing the opportunity during the process of action, and depending on the conditions provided by the opportunity, achieving its value and goal. [1]

This article states the following points: (1) “Shi” is an invisible force, a driving force. (2) Bigger “Shi” generates larger driving force. (3) “Shi” exists everywhere and in everything; yet it is very difficult for human beings to discover “Shi”, to borrow “Shi”, or ever to create “Shi”. (4) Generating, borrowing, and manipulating “Shi” could help multiply the effect of the effort.

2.2 Principle of Shi Science

Based on the logical definition of the Shi concept, Prof. Dechang Li from Xi’an Jiaotong University published the book, “Information Person Sociology”, in October 2007. Thus, he founded the science which studies the generation and operation mechanisms of “Shi”, the Shi Science, and based on the concept and theory of Shi science which were presented for the first time, he emphasized the sixth-dimensional living, e.g. creative living.

Prof. Li states that “Shi” is the physical concept which describes a physical phenomenon. The Shi in physics could turn into potential energy. From the logic of modern science, “Shi” represents a gradient, which can be mathematically expressed as: gradient = difference / distance. Since distance and connection are reciprocal to each other, gradient also equals to the product of difference and connection. Therefore, the fundamental principle of generating Shi systematically is to maximize the differences while intensify the connection between various elements inside a system. The bigger the gradients are between elements in the system, the higher “Shi” will be. The higher “Shi” is, the easier it is to achieve the target to be changed. Meanwhile, Shi science points out that symmetrical elements in the universe have the largest difference and the tightest connection. The symmetrical property of the element could facilitate to generate original and powerful Shi. According to the fundamental principle of generating Shi, construction of powerful Shi in the system requires the elements to have largest differences and tightest connection. Such elements can only be symmetrical elements. [2]

3. Marketing and Marketing Shi

3.1 Marketing
Marketing is an indispensable managerial functionality of modern enterprises. For better and more economical operation of the organization, and in order to yield twice the result with half the effort, each and every organization has to think and practice marketing. Peter F. Drucker has stated that: marketing makes sales superfluous; ideally, marketing should result in a customer who is ready to buy; business enterprise has two and only two functions of marketing and innovation; marketing and innovation produce results, all the rest are costs.

Marketing is a task to achieve the business target efficiently, which mainly involves organizing the communication with the customers: understanding the need of customer, sending commodity information to the customer, facilitating customer in making purchasing decisions, collecting feedbacks from the customer and making preparation for the next communication.

3.2 Marketing Shi

The practice has proven that in the process of marketing, no elements can be more symmetrical than seller and buyer. Seller and buyer are absolutely a pair of “quarrelsome lovers”. Neither side of the party can live without the other, since without either side, the market cannot be formed and they will not be able to win the profit, thus the tight connection. Meanwhile, successful quantity and quality of the trading is anywhere and anytime influenced by the magnitude of difference between the commodity, service and even advertisement information provided by the seller and the real need, potential need and psychological need of the buyer. This phenomenon can be interpreted as the influence of the distance between elements over their connection. If the enterprise does not have a full and accurate understanding of the customers’ need, the “difference” between the enterprise and the customer is commonly not very large, resulting in loose connections. Such not large “difference” refers to: the customer is very familiar with the commodity or service the enterprise is selling; or the need has been satisfied; or the customer has the feeling that the commodity or service of the particular enterprise has no difference from any other enterprises. This results in a lack of “marketing Shi” between customer and enterprise or a smaller “marketing Shi”. Customer is not attracted by the enterprise or its commodity, and thus the purchasing of the commodity or service will not be performed. If the commodity or service launched into the market by the enterprise has not been seen or familiarized by the customer, has an apparent advantage over other enterprises, and matches the potential need of the customer (especially the objective need that has not been realized subjectively), the marketing Shi will be higher. And a higher marketing Shi has the following effects: (1) high “marketing Shi” can increase the purchasing desire of the customer; (2) high “marketing Shi” can reduce shifted purchasing; (3) high “marketing Shi” can attract customer with higher purchasing capability; (4) high “marketing Shi” can reduce the opportunity cost of customer transfer; (5) high “marketing Shi” can transform satisfied customer to loyal customer by providing “charming characteristics” of the commodity or service. Most importantly, high “marketing Shi” can develop vital influence over “marketing effectiveness”.

Thus, in the process of marketing, it is of great importance for the guidance of practice to study how to search for “marketing Shi”, how to utilize “marketing Shi” and how to generate “marketing Shi”, according to the thoughts, principle and method of the “Shi science”. Following the principle of “generation of Shi in business leads to
prosperous economy”, it is reasonable to believe that “generation of marketing Shi leads to prosperous customers”.

4. Origin of Marketing Shi
4.1 Origin in Emotion

In the marketing process, if intrinsic connection and unity can be found between the seller and buyer which have huge difference, e.g. common preference, common target, and the win-win situation is achieved accordingly, then a powerful emotional gradient (emotional Shi) can be generated. Driven by emotional Shi, marketing process can prompt the customer to rationally perform the realization process regarding the commodity, e.g. process of recognizing commodity, acknowledging commodity, liking commodity and purchasing commodity, and thus enhancing the purchasing drive, making purchasing decision swiftly and putting it into action.

4.2 Origin in Information

Different enterprises apply different marketing strategies, which generate and transmit different marketing information, thus develop different information Shi, which attract customers to a different extent. Eventually, the effects of marketing will be different, and thus the different marketing benefits. The more information the enterprise possesses and publishes compared to the information known to the customer, the larger the difference between each other and thus the tighter connection. The more information one enterprise possesses and publishes compared to its competitors, the tighter connection it will have with the customers.

4.3 Origin in Technology

As a sharp weapon for creative commodity, advanced technology is capable of increasing the difference between customer perception and the technology of the commodity, which generates feeling of mystery and attractiveness. The more advance the technology is, the higher such difference will be, which attracts the customer by allowing them to feel the innovation and uniqueness of the commodity. Meanwhile, the customer will get a feeling that commodity with new technology could better satisfy their need, and thus having a tighter connection with themselves. Additionally, possible reduction of cost could be achieved, which leads to the reduction of price and the generation of price Shi.

4.4 Origin in Cost

In the process of marketing, pricing strategy is often applied in sales, which in most markets takes the form of reduction in price. This is due to the fact that most customers are still most sensitive to price, which is an element influencing purchasing drive. The economical consideration of the commodity to be purchased from most customers commonly originates from how much the price reduction is, instead of how much profit is gained from other aspects.

5. Form and Application Strategy of Marketing Shi
5.1 Emotional Shi: Service Provision Strategy and Brand Establishment Strategy

To build the connection between customer and to bring customer relationship closer rely on service provision and brand establishment.

Service provision includes service attitude, service skill, service content and so on. If service attitude is friendly and passionate, service skill is adept and service content matches the need, humane emotions can be built with the customer before the commodity, which allows the customer to easily trust the product being sold based on the trust of the seller, thus increasing the purchasing drive extensively and guaranteeing successful execution of purchase afterwards. Some customer could even become marketing activists driven by emotional Shi.

Brand establishment includes brand design, brand promotion, brand reputation establishment and so on. It is the most important method to help customer establish emotion with the enterprise and the commodity, and further cultivate emotional dependence of relationship and behavioral purchasing momentum. Therefore, the enterprise as the seller must place attention onto brand establishment.

5.2 Information Shi: Advertisement Strategy

Advertisement includes processes of advertisement idea, production, publication, etc. It serves as a major channel for publication of commodity information and communication with the customer.

In the era of big data, the media channels for advertisement publication has become broader, more diverse and more personalized, for example, Weibo, Weixin (friends and circles), QQ. The way customers receive information has become faster, more convenient, complete, more objective, more active and more interactive. Connections can be established and enhanced anytime. In order to fully utilize all internet media in the era of big data to publish and transmit commodity information, innovation had to be made in terms of form, content, and media of the commodity information.

5.3 Technology Shi: Strategy of providing attractive quality characteristic of the commodity

Technology is the basis of design and production of the commodity and the condition for guarantee and improvement of commodity quality.

Inspired by the two-factor theory of the behavioral science specialist, Frederick Herzberg, the Japanese quality management specialist, Noriaki Kano, has proposed the Kano Model. According to this model, based on sufficiently deep market research, the three kinds of quality properties of the commodity recognized by customer should be clarified clearly. Apart from the effort of providing must-be quality and one-dimensional quality, the potential need of the customer should be mined, especially the objective need which has not jet realized subjectively, or the need which cannot be expressed or proposed by the customer. With novel commodity designed and produced with innovation, attractive quality can be provided to the customer, which surprises the customer. This would enhance purchasing drive intensively while guaranteeing and improving satisfaction after purchase, thus maintaining purchasing drive and creating loyal customer.
5.4 Cost Shi: Cost Strategy

According to principle of microeconomics, the market demand of common commodity will increase with decreasing commodity price. The precondition of commodity price reduction is the reduction of cost. Therefore, the enterprise should reduce costs in areas such as technology, material, management organization, create cost Shi, which facilitates low-price strategy to increase the purchasing drive of customer.

6. Application of Marketing Shi in Improvement of Purchasing Drive

Prof. Dechang Li holds that, Shi = Difference × Connection = Difference ÷ Distance, and therefore, Shi = Gradient = Slope = Derivative = Ratio. The significance of the theory of Shi science is to truly unify natural science and social science on the logical level.

Consumption is the motive power for the development of economics. The need for consumption is a major drive to enhance economical growth. So where does the drive for consumption come from? And how to increase it?

According to the theory of Shi science by Prof. Dechang Li, we have reasons to believe that: the generation of marketing Shi leads to prosperous customers. Generating Shi during marketing and utilizing Shi for marketing are capable of increasing the purchasing drive of customers.

The effect mechanism of Shi is that difference increases connection and connection enlarges difference. According to the effect mechanism principle of Shi in Shi science, in the marketing process, the seller (enterprise) and the buyer (customer) are a pair of symmetric elements of successful transaction, which is the process that the seller through marketing Shi (external Shi) pushes the drive Shi (internal Shi) of the buyer. Marketing Shi = marketing difference × marketing connection, which means that the marketing strategy with larger difference and the tighter connection has a larger marketing Shi, and such marketing strategy will have a higher attraction for the customer. Once the customer sees the commodity, the impulse to purchase will originate, which generates and enhances the drive Shi for purchasing. Drive Shi is an internal Shi residing in human consciousness, which originates from internal purchasing need and external marketing Shi. The condition for increasing the (purchasing) drive Shi is that practical need and potential need exist in the mind of the customer, which are generated through the stimulation of nature and society. On one hand, marketing Shi is able to intensify the practical need and clarify the purchasing direction. On the other hand, it could also tern potential need into practical need, especially the objective need that hasn’t been realized subjectively. Therefore, exerting marketing Shi to the customer makes them generate purchasing consciousness and increase purchasing drive. [3]

Larger difference leads to tighter connection. Various kinds of price reduction strategies make customer generate huge psychological price gap, and the larger the gap is, the larger the difference will be, the larger the Shi will be, the better it will be to attract the customer, thus the tighter the connection. Advertisement with better innovation and more unique presentational form creates larger gap to the existing knowledge, experience and information of the customer, which is better capable of
attracting customer to watch, and additionally to understand and purchase the commodity. Commodity with newer functionality and more interesting media exceeds the psychological expectation to a further extent, and thus there will be a larger difference and larger Shi.

In conclusion, Shi science has launched a brand new direction for filling the logical explanation of marketing management theory, and is able to reveal fundamentally the dynamic mechanisms behind how customers make purchasing decisions and perform purchasing actions.

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In-situ Urbanization Promoted by the Development of “Taobao Village”

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ABSTRACT
Starting from the important role of "Taobao village" in the economic development, the thesis analyzed the subjective and objective reasons and promoting group and draw the general process of urbanization. It discussed the different characteristics of "Taobao village" in different economic areas and roles played in urbanizing. It also propounded some constructive suggestions to activate the industry, including strengthening industry supervision, adjusting development patterns, and emphasizing innovation. The paper consists of literature analysis, case analysis and comparative analysis to complement the demonstration.

Keywords: electronic commerce, country, in-situ urbanization, Taobao village

1 Introduction
At present, with the development of reform in the market economic system, the economic development lacks constructive power. The existing demographic dividend has gradually vanished. The traditional development patterns, which rely on the advantage of labor force, isn’t sustainable and China's economic development needs new power. Obviously, urbanization is the new growth pole. According to calculations of economists, every one percentage point rise in urbanization means 120 billion yuan increase in resident consumption and 140 billion yuan in urban infrastructure investment, which can consequently increase 336 billion yuan in GDP and create plenty of employment opportunities. However, compared with developed countries, China still has a long way to go. The urbanization rate of medium-developed countries is around 85%, which is around 95% in western developed countries (97% in America). Therefore, it's potential to regard urbanization as new economic growth pole. Although it's still discussed in academic world that which way to choose for urbanization, undeniably, the practices of masses have been extensively developed. With the continuous development of Pearl River Delta, Yangtze River Delta and Beijing-Tianjin-Hebei Metropolitan Region and powered by electronic commerce, the in-situ urbanization is on the rise in "Taobao villages", represented by Wantou Village, Dinglou Village and Gujia Village. According to author's investigation, more or less do these villages have urban properties and are transforming from "Taobao village" to "Taobao town". The key point of this paper is that how to promote urbanization by
electronic commerce in rural areas. The discussion are mainly about four aspects: the subjective and objective reasons for urbanization of "Taobao village"; its different promotion in different areas; the increased urbanization rate caused by "Taobao village" and the potential risks.

2 Literature Review

In-situ urbanization refers to non-agricultural employment and citizenization of peasants relying on core villages and small towns around where they live after regional economic society developing to a certain degree. (Ma Qingbin 2011) It also refers to that people in rural areas rely on medium and small towns rather than migrating to larger and medium sized cities. They can live the same life as people in countries through developing production to increase income, developing social undertaking, improving individual quality, and changing lifestyle. (Pan Haisheng, etc 2010) Here are three significant symbols of in-situ urbanization. The first is the development of rural economy and high income of peasants. Secondly, peasants can enjoy the same social insurance and public service facility as citizens do. Thirdly, peasants have the similar lifestyle as citizens. (Yu Changliang 2014) And "Taobao villages" have these features. According to the definition of Ali institute, "Taobao village" is Internet business clustering with scale and synergy, caused by a large number of electronic retailers, who make Taobao main trading platform and rely on Taobao electronic ecosystem. The defining standards of "Taobao village" are listed as follows. Firstly, they are operated in rural areas based on administrative village. Secondly, the annual turnover is more than 10 million. Thirdly, the number of active online stores are more than 100 or more than 10% of the number of households. As the combination of rural economy and electronic commerce, "Taobao village" plays a significant role in economic transformation and upgrading in Chinese countryside, entrepreneurship and employment of peasants and social harmony and stability. In 2014, the development of "Taobao village" was phenomenal, and influence are more extensive and deeper than before. [1]

3 The objective and subjective reasons for urbanization of “Taobao village”

3.1 The subjective reason for “Taobao village” developing

Electronic commerce is a young concept, which is also developed by the young generation. During field investigation of the author, it happens in coincide that electronic commerce is driven by students according to the principals of villages. The specialty industries have already been existing, some of which even have a history of hundreds of years, but they aren't marketable until the great development of electronic commerce. According to the statistical date of author, more than 50% of Taobao

sellers are between 26 to 35 years old, which are also the training participants in Taobao college. It's queried 6, 7 years ago because the villagers confused pyramid selling with electronic commerce. It was these people who first realized this industry in outside world, and shared the same fate with world. They received the baptism of new thinking and got new skills. They moved steadily and became the first ones to try tomatoes. According to investigation, more than half of Taobao sellers indicated that the participation of electronic commerce is the grasp of business opportunity. Obviously, the generation after 80s are the main force of electronic commerce. However, the Taobao sellers have no higher education background in general, and more than 70% of sellers graduated from middle school or high school, which is also connected with the educational level and view of life. But undoubtedly, it’s a restriction of their further development. Many managers said that the turnover are faced with bottleneck, and difficult to have great breakthrough.

![Figure 1](image1.png)

**Figure 1** The statistic on age of sellers in Taobao Village

**Data sources:** according to field survey datas got by the author.

![Figure 2](image2.png)

**Figure 2** The statistic on educational background of sellers in Taobao Village
Data sources: according to field survey datas got by the author.

3.2 The objective reason for “Taobao village” developing

3.2.1 The beginning stage of urbanization of “Taobao village”

There are various reasons for the urbanization of “Taobao village”. According to author’s observation, the more Taobao developing in villages, the less original employment choice they have, which can greatly promote the development of electronic commerce. Secondly, there are a little culturable or fertile field in these places.

Under traditional development situation, the information, traffic and production in the villages where the surplus labor in are inconvenient. Although people are in county town, they still cannot get a job or obtain higher remuneration. On the premise that they are unwilling to migrate for work, lack of other employment choice and the land can't meet people's living demands as well, once people have new employment choice, they will assemble to work on this. And at present, electronic commerce is the point of release of employment pressure.

3.2.2 The extending stage of urbanization of “Taobao village”

The network solved information interaction problem rather than logistics problem. As the market opening, production and delivery expanding, Taobao sellers need to speed up delivery and lower the cost. Logistics company thought it profitable to enter and station in the villages. On the one hand, with the expansion of scale of production, some financial credit facilitating agency emerged to meet fund requirements and some middlemen appeared to set up trading company for circulation of goods. On the other hand, the scale of already existed family-style production can't meet the need of new situation and wage labor emerges. During the author’s interview, it's normal to see wage labor in Wantou village, and daily life is gradually separated from work.
3.2.3 The bivalent stimulus stage of urbanization of “Taobao village”

The expansion of production stimulates the development of supporting service, such as catering service. With the continuous development of “Taobao village”, the government will intervene to develop it through collecting land, ratifying electronic commerce demonstration district and inviting investment. The demonstration district of Wantou village is in construction. And Gujia village has become a demonstration district with multifunction including wholesale, online selling, residence. The improvement of infrastructure and the formation of related industry chain promotes the in-situ urbanization of "Taobao village", which also provides a good condition for the further development of local industry. It stimulates the further expansion of production, which simultaneously stimulates auxiliary service industry. It powers for perfecting infrastructure and provides capital source for improving social insurance. It consolidates the development position of electronic commerce and thus gets more attention of government, enlarging government prop dynamic, forming a interactive and virtuous circle.

4 Different influence caused by urbanization of “Taobao village” in different economic areas
4.1 Traditional non-center areas

During interview, the author found that in traditional non-center areas, the number of Taobao sellers has a high ratio to total villagers. Take Wantou village, Gujia village and Dinglou village, which are far away from Jiaozhou-Jinan urban belt [1] for example, the external transportation is inconvenient, so the ratio is up to 80%-90%, almost being national Taobao.

![Figure 4 Cold hot spot pattern of regional economic development in Shandong Province](image)

**Legend**
- Colder spot area
- Cold spot area
- Hot spot area
- Hotter spot area

**Data resources**: Drawn by Zhao Minghua, Zheng Yuanwen according to relevant data.

4.2 The traditional developed areas

There are significant differences between "Taobao villages" developed in traditional developed areas and in non-center areas. Take Yima village, Tongxiang County for example, although the turnover, which supplements the economy inside village, has reached a considerable scale, only 11%—12% of villagers are Taobao sellers. The high economic development level results in high cost of labor to operate online stores. In order to save cost, quite a number of sellers set the storage in Jiangsu Province and online sales inside village. The silk quilt is luxury and the selling of it is

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obviously seasonal, so it's still a family-style production in village and few people are hired.

The picture below shows that between 2005 to 2010, the urbanization of population and land in Zhejiang Province have been in relative coordination stage and relatively mature. The constructing region will no longer expand extensively and connect with economic growth.

![Spatial differences of urbanization level on Population, Land and Industry in Yangtza River Delta Area in 2011](image)

**Figure 5**  Spatial differences of urbanization level on Population, Land and Industry in Yangtza River Delta Area in 2011 [3]

**Data resources:** Drawn by Qizilong according to relevant data.

5 The embodiment of "Taobao village" development based on related metrics of urbanization

As mentioned, urbanization refers to land urbanization and population urbanization as well, including change of people's career and income level, and transformation of industrial structure and regional space, etc. The urbanization can't be simply measured by this date as in-situ urbanization is special that there is no immigrant for villagers and no change on rural residence registration. We can only roughly estimate it through the proportion of people who engage in relative industry, coordinated with the proportion of the tertiary industry, annual acreage of built up area and net income of rural households.

Figure 6  Employment percentage of rural related industries in Binzhou and Heze from 2003 to 2013[^4]

Data resources: Drawn by the author according to Shandong Provincial Bureau of statistics data.

[^4]: Refer to Statistical yearbooks of Shandong Province from 2003 to 2014 published by Shandong Province.

Figure 7  Third industry accounted for the proportion of the national economy in Binzhou, Heze, Jiaxing from 2005 to 2013[^5]

Data resources: Drawn by the author according to Shandong and Zhejiang Provincial Bureau of statistics data.

Electronic commerce has developed in Binzhou City and Heze City since 2006. The image above shows that the proportion of people engaged in related industry increased apace but not obviously from 2006, which has connection with imperfect popularization of electronic commerce and even Internet. According to interview, the

[^5]: Refer to Statistical yearbooks of Shandong and Zhejiang Province from 2003 to 2014 published by ShandongProvince.
featured product in all districts didn't open the market and form scales from 2006 to 2009.

Figure 8  Land area of built-up area in Binzhou, Heze, Jiaxing from 2005 to 2013[6]

Data resources: Drawn by the author according to Shandong and Zhejiang Provincial Bureau of statistics data.

Figure 9 Annual per capita net income in rural areas in Binzhou, Heze and Jiaxing from 2005 to 2013[7]

Data resources: Drawn by the author according to Shandong and Zhejiang Provincial Bureau of statistics data.

It didn't really start new development until 2010. Especially after 2013, the electronic commerce in Shandong Province turn into a gusher, the proportion of related industry increasing rapidly. In 2014, because of stagnant economic

environment and pressure of the economic downturn, the absolute figures reduced. The original economic development level of Jiaxing City is relatively high, and the ratio of tertiary industry to national economy is steadily around 35%. Reflecting from Binzhou City and Heze City, there was a tendency to increase tertiary industry from 2007. Heze, especially, started steady development in 2010. By the end of 2013, the proportion of tertiary industry of Heze City, which is increasing at a higher speed than Jiaxing City, has closed to that of Jiaxing City, according with the appearance and great development of electronic commerce. The built up area of Jiaxing City is special. Around 2008, Jiaxing municipal government carried out bold and resolute reformation and started "exchanging homestead for apartment" pattern, which greatly promoted urbanization. In Binzhou City, the substantial expansion around 2011 had connection with government and mainly with electronic commerce. It was in 2011, the pivotal year when Binzhou municipal government started to pay attention to intervening electronic commerce, and examined and approved a batch of typical electronic commerce industries demonstration zones. For example, Gujia village, the homespun industry demonstration zone, was constructed in 2011 and occupied in 2012. However, because of the restriction of arable land minimum, the industries demonstration zones are difficult to be examined and approved. For example, the electronic commerce industry demonstration zone in Wantou village is still in examination and approval.

6 The risks in urbanization driven by Taobao

A profound sense I had during interview was that "Taobao village" has great effects on in-situ urbanization, which, however, potential risks. It's easy to form single-industry structure and suffer from the market by simply relying on Taobao to promote urbanization.

The next problem is the lack of talents. At present, it's not the operating personnel but the workers at production line who are urgently needed. Although the workers are mostly the middle-aged and the urbanization is greatly developing, the development of these villages will get into trouble and the urbanization unsustainable if the special industries can't be taken over after several decades and single-industry structure not be changed.

In the concrete operations, the incompatibility of basic related infrastructure and chaotic management will also restrict the further development of "Taobao village". Next, in online shopping, the proportion of C2C (Customer-to-Customer) pattern, represented by Taobao, is gradually reducing while that of B2C (Business-to-Customer) pattern, represented by Tianmao, Jingdong and Suning, is continuously increasing. Recently, the "marriage" of Ali and Suning produces a new wave of consolidation of online and offline transaction. The competitive environment of electronic commerce are more and more complicated; the living space of other electronic commerce platform and traditional channel are severely squeezed; and the competition of small and medium-sized Taobao seller are increasingly severe. Only a small number of villagers can gain profit in electronic commerce, and the sustainability of which remains to be checked.
7 Conclusion

In fact, the electronic commerce influences urbanization through indirect stimulating production and consumption of counties and villages. It can drive local economy and promote household consumption level and living quality. According to research, the process is driven by the young generation with government intervention. Different forms appear in different economic areas and some features of towns in transition phase appears. However, some potential risks still exist in this pattern and some problems remain to be solved.

Reference

Matching Analysis of the Influence of the Combination of Moral Marketing and Relationship Marketing on Enterprise Performance in Chinese Culture Context

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ABSTRACT
Combined with Chinese local market, this paper predicts the enterprise performance and its stability with the combination of moral marketing and relationship marketing. This study focuses on business activities between purchasers and the suppliers. The data is collected by according to suppliers’ evaluation. The empirical results show that although the relationship marketing can lead to high performance and sales growth, this advantage is difficult to sustain owing to its dependence on individuals. And moral marketing strategy will not only significantly bring higher commitment of customers, but help maintain the stability of long-term performance for enterprises. The conclusion warns us that enterprises should be careful when choosing a market strategy and they should find the priority of moral marketing and relationship marketing for sequence and selection.

Keywords: Moral; Relationship; Enterprise performance; Chinese localization

Introduction
In the face of the fierce market competition, insiders meet with a challenge about

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how to open up a new way and find a new driver of growth. Enterprises need to choose the most appropriate marketing strategy to achieve their business goals. They may be aiming for the short-term interest with increased profit or the long-term interest by sustaining the loyalty of customers. The survival of enterprises directly related to enterprise performance and its stability, so scholars use sorts of variables to predict the two factors from different angles. Then what impact will the combination of moral marketing and relationship marketing strategies have on the enterprise performance and its stability? Based on the local characteristics of China, this paper predicts the enterprise performance and its stability with the combination of moral marketing and relationship marketing strategies. This study can help enterprises have a better understanding of the influence of moral strategy and relationship strategy on enterprise performance and hopes to play a role in improving the marketing theory.

1. Literature review and research hypothesis

Relationship is an important variable in Chinese cultural context. Some scholars even think China is full of relationship and nothing will be done without relationship. [1] Many companies think “relationship” sometimes is more important than the quality of products. Sometimes, even if enterprises pay all efforts to improve 4P, they cannot get as good effects as those who use relationship.[2] So enterprises think this kind of “special treatment” brought by the “relationship” has a more immediate impact on enterprise performance than moral marketing strategy.[3] Therefore, compared with moral marketing with high quality, high valuable products and high service standard, Chinese salesmen will spend more time and energy in establishing and maintaining relationship. [4] After all, moral marketing is not always able to bring profits. [5] However, some companies believe that the contributions that moral marketing brings to society will make them operate more conveniently. And they also think it beneficial to maintain the enterprise brand and social interest.[6] Hosmer(1994) pointed that enterprises can achieve more customer trust and enterprise long-term performance if they add moral strategy beyond economic factors during the marketing strategy choice process.[7] Dunfee and other scholars also pointed that customers will and show their stable loyalty to those companies with active moral marketing strategies and even recommend them to others.[8] Active moral capital will avoid the loss of enterprise relationship assets.[9] Moral marketing can contribute to
society and make enterprises operate more conveniently, which is beneficial to enterprise brand and social interest.[10] and will bring about potential competitive advantage.[11] Moral marketing will develop potential positive effects.[12] Companies moral reputation may bring increased financial performance, which is positively related to the social performance got by moral marketing.[13] The idea that enterprises can obtain positive financial profits through moral marketing has been supported, because a company’s moral behaviors will affect the long-term interest through moral image.[14] However, enterprises should aware that under the background of relationship orientation, customers’ purchase decision would not be so direct and simple. In rural areas, first of all, if customers have no difference in purchase conditions, they tend to choose a supplier with strong ties. And the second level is that under the same relation ties, customers are likely to choose products with high quality. [15] As a result, it can be seen that under the Chinese cultural background of relationship orientation, it is not enough for enterprises to deliver customers products of high quality, high value and high standard service only by means of fair and just moral marketing strategies. And under the same conditions, they would be replaced by competitors with strong relationship. So the results are that:

**H1**: Enterprise marketing strategy (high moral marketing, low relationship marketing) leads to low and unstable enterprise performance.

Relationship would bring companies high performance and increased sales, but it is unrelated to earnings growth. [16] Chinese relationship marketing stresses the roles of individuals, which means companies build and develop the relationship of organizations by using relationship between individuals. [17] The quality of the relationship between individuals would have a great impact on that between organizations. “Special treatment” coming with “relationship” has a more immediate impact on enterprise performance than moral marketing strategy that only emphasizes quality and service of products. The benefits of relationship are tactical and temporary, not strategic. Attached to individual, relationship has a character of fluidity. Like stock value, the value of relationship lack stability. And once the rights of related party are lost, relationship will be worthless, which makes it difficult to maintain the advantage of relationship. [18] Sometimes if a key person leaves, that will cause the
end of relationship between one organization and another one. Therefore, in the long run, if everyone constantly pays attention to the relationship strategy without stressing moral marketing and moral products, enterprises will face unfair competitions, worse competitive environment and spoil social atmosphere, which will promote the popularity of fake and inferior products. Finally, the results will generate a support effect or fallacy of composition, and that will eventually harm others and themselves. But if everyone just takes relationship strategy and ignore the moral marketing, this case is neither truly expanding market demand nor bringing profits for anyone, and that is so-called fallacy of composition. So we can conclude:

**H2:** Enterprise relationship marketing (low moral marketing, high relationship marketing) leads to high but unstable performance.

Chinese people pay more attention to something reasonable. If an enterprise can combine “moral” and “relationship” both inside and outside, its competitive advantage will be strong enough to get the favor of customers. Under the background of Chinese culture, customers tend to choose products with strong relationship, but under the same condition of relationship, they are likely to buy products with higher quality. So under the same condition, enterprises attaching great importance to both moral and relationship can really inspire customers to choose their products. If a company depends on some kind of immoral behavior to sell its products, it may damage its own image and affect the future development. Numerous scandals also prove the fact that the cost of immoral marketing is expensive. [20] Today, in the intensely competitive market, if a company neither has its own core products of high quality, high value and good service nor provides customers relational benefits, it is difficult for it to get more customers. So the conclusion is that:

**H3:** Enterprise compatibility strategy (high moral marketing, high relationship marketing) leads to good and stable performance.

**H4:** No marketing strategy (low moral marketing, low relationship marketing) leads to low and unstable performance.

According to related literature review, this thesis constructs a marketing strategy related to both moral strategy and relation marketing strategy, and the predictions of enterprise performance and its stability are shown in the conceptual models followed. (as shown in Figure 1):
2 Research Design

2.1 Selection of sample

Relationship marketing orientation is closely related to inter-organizational relationships of channels, [21] so channel members would consider more interdependent degree, interdependent asymmetry and interpersonal emotional relationship. Compared with ordinary consumers’ purchase behavior, business activities of channel members will be more obviously affected by “relationship marketing orientation”. Therefore, in order to reflect the reality, this thesis takes business activities of channel relationship between the purchaser and supplier as the research object. And data, from the angle of the purchasers’ evaluation to suppliers, is collected from the surveyed enterprise managers who are familiar with the purchase situation. In view of the regional differences and value divergence existing in economic development of China, this paper adopts a survey across provinces. To avoid the influence of regional differences and improve sample representativeness, the sample data in the confirmatory factor analysis is collected in the area of Sichuan, Shandong, Guangxi, Anhui, and Fujian. 500 questionnaires are issued since the mid-November, 2014, lasting four months until February, 2015 and 398 questionnaires are taken back with a take-back rate of 79.6%. In the recycled
questionnaires, some invalid ones are eliminated according to whether there are incompleteness, repeated scores of one same item, big difference before and after filling or obviously casual scores. After that, there are valid 310 questionnaires left with a valid take-back rate of 62%.

2.2 Scale development and design

In order to better reflect the research purpose, this thesis designs the scale according to the following steps: (1) find a suitable maturity scale to be the first draft scale, with the consideration of the initial research framework, literature review and theories of authoritative research. [22] Relationship marketing questions are adopted from Smith and Barelay (1997); [23] moral marketing questions are referred to the definition of Fu Zeping (2004). To ensure the validity of the scale and in need of conceptual framework, this article combined with Chinese local research background adjusts words of some questions and increases and decreases part of them on the basis of the original scale. This research adds two relationship marketing questions combined with Chinese cultural background. While in terms of moral marketing, questions about fair and reasonable price are concluded. The final effective scale for large-scale distribution is made from 29 main items that are picked out by a small preliminary investigation held in Sichuan. During the investigation, the reliability and validity are tested and factors are analyzed.

3. Empirical results and analysis

This thesis using the iterative clustering method (K-Means Cluster) divides the samples into four clusters according to enterprise performance and performance stability. The basic idea of K-means is that centering on the K point in space the closest objects to K point are classified. Through iterative method, the value of each cluster centers will be updated until the best clustering results are obtained. After the iterative arithmetic, the results of variable values are obtained so that samples can be divided into four enterprise performance models: good performance and stability; poor performance and stability; good performance and poor stability; poor performance and good stability. The conclusion reveals that it is reasonable to classify samples into four clusters by two dimensions of enterprise performance and performance stability (cooperation time between buyers and sellers $F=306.453$, $P<0.01$; purchase quantity $F=341.657$, $P<0.01$). The results also show the method
works well. Among the 310 samples, 172 samples show good enterprise performance and stability, and 51 ones reveal poor performance and stability. 22 of them show good performance and poor stability and 65 show low performance and good stability. The analysis results are shown in Table 1.

Table 1: Enterprise performance model from two dimensions of enterprise performance and performance stability

<table>
<thead>
<tr>
<th>Variable</th>
<th>Cluster</th>
<th>F</th>
<th>Sig.</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>good performance and good stability</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Poor performance and poor stability</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Good performance and poor stability</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>Poor performance and good stability</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>3.64</td>
<td>1.57</td>
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<tr>
<td></td>
<td></td>
<td>1.86</td>
<td>3.31</td>
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<td></td>
<td>306.453</td>
<td>.000</td>
<td></td>
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<tr>
<td>Enterprise performance</td>
<td></td>
<td>1.45</td>
<td>3.25</td>
</tr>
<tr>
<td></td>
<td></td>
<td>1.55</td>
<td>3.20</td>
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<tr>
<td></td>
<td>341.657</td>
<td>.000</td>
<td></td>
</tr>
<tr>
<td>Sample size</td>
<td></td>
<td>172</td>
<td>51</td>
</tr>
<tr>
<td></td>
<td></td>
<td>65</td>
<td>22</td>
</tr>
<tr>
<td></td>
<td>310</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

P<0.1 means it is obvious on 0.01 level (not standard data)

As shown in Table 2, the observed value (84.345) in chi-square test and its corresponding probability P values (p<0.01) show that there is a significant correlation between the combination of moral marketing and relationship marketing strategies and performance stability. According to the results of corresponding analysis, 101 company samples with compatibility strategy correspond good performance and good stability, with 68.2% degree of interpretation; 24 company samples with relationship strategy correspond good performance but poor stability, with 50% degree of interpretation; 10 company samples with moral strategy correspond poor performance but good stability, with 13.5% degree of interpretation; 15 company samples with no strategy correspond poor performance and poor stability, with 39.5% degree of interpretation. So it can be seen that these hypotheses are proved: H2: marketing strategy leads to poor enterprise performance but good stability; H3: compatible strategy leads to good business performance and stability; H4: no strategy leads to poor enterprise performance and poor stability. But H1: moral strategy leading to poor enterprise performance but good stability does not get proved.

Table 2: Enterprise strategies and the corresponding analysis results of
In Table 2, the combination of moral marketing and relationship marketing and enterprise performance are shown by a distribution diagram of the first and second dimensions. From the diagram, difference between different customer emotions and difference of customer loyalty can be seen. There is significant difference of enterprise performance among the four enterprises of good performance and stability, good performance but poor stability, poor performance but good stability, and poor performance and stability. So the four kinds of enterprises can be a category of their own. There are also obvious differences among enterprises using compatible strategy, relationship strategy, moral strategy or no strategy. So they can also be a category of their own. In Table 2, based on the different strategy combinations of moral marketing and relationship marketing and the tendency of different enterprise performance, it can be concluded: enterprises with relationship strategy would lead to good performance but poor stability; enterprises with compatible strategy would lead to good enterprise performance and good stability; enterprises with no strategy would lead to poor enterprise performance and poor stability. While moral strategy would bring enterprises poor performance but good stability. The analysis results in Figure2 also prove that enterprise relationship strategy is corresponding to good enterprise performance but poor stability, and compatible strategy is corresponding to good enterprise performance and good stability, and no strategy is corresponding to poor enterprise performance and poor stability. Therefore, Hypothesis 2, Hypothesis 3, and Hypothesis 4 get proved, but Hypothesis not.

The results show that only 13.5% of moral strategy samples are corresponding to poor enterprise performance, good stability. But 67.6% of moral strategy samples are corresponding to good enterprise performance and stability. Although the result does not agree with the preliminary idea, but it can be seen that if companies that have less
relationship pay attention to strengthening quality of product and moral marketing with full social responsibility, they can still obtain good and stable enterprise performance. And this is worthy learning for other enterprises in the marketing practice.

Table 3 analysis schedule of different marketing strategies and the corresponding enterprise performance

<table>
<thead>
<tr>
<th>Marketing strategy category</th>
<th>Good performance, good stability</th>
<th>Poor performance, poor stability</th>
<th>Poor performance, good stability</th>
<th>Good performance, poor stability</th>
<th>Fussy</th>
</tr>
</thead>
<tbody>
<tr>
<td>Moral strategy</td>
<td>50</td>
<td>10</td>
<td>10</td>
<td>4</td>
<td>74</td>
</tr>
<tr>
<td>Compatible category</td>
<td>101</td>
<td>12</td>
<td>5</td>
<td>30</td>
<td>148</td>
</tr>
<tr>
<td>Relationship category</td>
<td>11</td>
<td>14</td>
<td>1</td>
<td>24</td>
<td>50</td>
</tr>
<tr>
<td>No category</td>
<td>10</td>
<td>15</td>
<td>6</td>
<td>7</td>
<td>38</td>
</tr>
<tr>
<td>Fussy classification</td>
<td>172</td>
<td>51</td>
<td>22</td>
<td>65</td>
<td>310</td>
</tr>
</tbody>
</table>

4. Conclusion

With the method of cluster analysis and correspondence analysis, this thesis verifies related hypotheses about the influence of the combination strategy of moral marketing and relationship marketing on enterprise performance. The conclusion shows the relationship between the combination of moral marketing and relationship marketing and enterprise different performance. The results reveal that relationship marketing leads to good performance but poor stability, compatible strategy leads to good performance and good stability, and no strategy leads to poor performance and poor stability. According to the results, points of Park and Luo (2001) are also verified. And enterprises are supposed to realize that although relationship can bring companies good performance and sales growth, it is attached to individuals. This kind of advantage is hard to maintain because once the rights of related party are lost, relationship will be worthless. And good performance is temporary if enterprises only stress relationship and ignore moral strategy. Meanwhile, this kind of short-term behavior without moral guarantee would also lead to unstable enterprise performance. Although the corresponding relationship between moral strategy and low performance
and good stability, 67.6% of companies adopting moral strategy lead to good performance and good stability according to the research results. Although this does not agree with the preliminary idea, it verifies the opinion of Hosmer (1994). Hosmer (1994) clearly pointed that in the process of marketing decision, moral strategy should be considered beyond economic factors and this will significantly bring about customers higher commitment and long-term high performance stability. [7] The conclusion warns us that enterprises should be careful when choosing a market strategy and they should find the priority of moral marketing and relationship marketing for sequence and selection. If enterprises, restricted by the cost, can only make a choice between moral marketing and relationship marketing, they should choose moral marketing in the long run. Similar to the policy of resisting foreign aggression after stabilizing the country, enterprise should first deal with internal factors and then deal with external ones, slowly but surely. With the foundation of moral marketing, enterprises can further develop the relationship marketing in the right time to achieve good enterprise performance and good stability with compatible strategy.

References


The Effect of Perceived Value on Purchase Intention of Counterfeit Luxury Products

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ABSTRACT

Compared with normal products, luxury products are richer in symbolic meaning. Former studies on counterfeit luxury products mainly focus on the social value of luxury products and anticipating risk, as well as customers’ decisive process after they weigh the benefit and risk. However, counterfeit luxury products have the feature of both luxury products and normal products, which means the research on the perceived value of counterfeit luxury products should not only focus on social value and individual emotional value based on the feature of luxury products, but also functional value based on the feature of normal products. This research innovatively builds a perceived value model that can be applied to counterfeit luxury products after the integration of perceived value of both luxury products and normal products, and studies the impact that the four dimensions of perceived value (functional value, social value, emotional value and economic value) have on three kinds of purchase intention according to survey data. Through regression analysis, the study finds that the key dimension of perceived value that influences purchase intention is emotional value, followed by functional value, which reflects core demand for products from counterfeit luxury goods among their consumers. Also, past purchase experiences have significant influence on purchase intention. This research provides legal companies with guidance on how to develop new products in order to meet this part of market demand. At the same time, it offers effective theoretical support to restrain the trade of counterfeit luxury goods from demand end.

Keywords: Counterfeit luxury, Perceived value, Purchase intention.

1. Introduction

In recent years, under the luxury universal buying spree, the price awareness and sensitivity of consumers has been improved gradually, as the expansion of consumer group represented by white-collar workers, consumers become more sensitive to cost efficiency of luxury products. At the same time, due to the rapid development of information technology, global purchasing and production outsourcing policy of luxury brands, the appearance gap between counterfeit luxury products and genuine ones is narrowing, which makes it difficult for ordinary consumers or even experts to
distinguish their authenticity. Many counterfeited luxury goods have almost the same design, material and accessories with genuine ones. Also, global purchasing and production outsourcing policy of luxury brands makes it harder to guarantee the exquisite crafts, materials of high standards and cultural value attached to historical and cultural accumulation derived from origin country, which has decreased the perceived value of luxury brands of quite a number of consumers.

In addition, the spread of information about counterfeit luxury goods through WeChat helps speed up the transaction of counterfeit luxury goods. According to relevant provisions of trademark law, selling counterfeit goods and counterfeit registered trademark are criminal acts. But due to the concealment of online communication, enforcement efforts are inadequate.

Research on the demand side of counterfeit luxury products can provide effective guidance to inhibit its trading. Former studies on the demand side of counterfeit luxury goods are mainly based on three aspects: consumer characteristics (e.g., consumer values, materialism, attitude towards novelty, self consciousness, etc.), product features (e.g., the prominence of logo, similarity to genuine products, price discount, etc.) and the social cultural background (e.g., collectivism in oriental culture, face consciousness) (Hoon Ang, Sim Cheng, Lim, & Kuan Tambyah, 2001; Bian & Moutinho, 2009; Chen, Zhu, Le, & Wu, 2014; Lee, 2012). However, few scholars focus on perceived value of counterfeit luxury goods. Corporations make profits via creating value to customers and deliver value to them. Before buying counterfeit luxury products, consumers have an evaluation on their value, which affects the level of price and sales volume. Also, we note that when consumer buy counterfeit luxury goods based on different value orientation: some consumers pursue their conspicuous social value, while some consumers pursue their material quality.

This paper studies perceived value dimension that have significant effect to purchase intention of counterfeit luxury goods. Based on the research of the different dimensions of perceived value, the key value point of counterfeit luxury goods, which reflects core demand for the product, can be concluded, and it provides guidance for legitimate businesses to develop new products, using market rule to restrain counterfeit luxury goods transactions. The framework of this paper is as follows: 1.Integrate perceived value models of both luxury products and normal products, build a model of perceived value applied to counterfeit luxury goods; 2.Research on different dimensions of perceived value of counterfeit luxury products that have impact on purchase intention, and conclude key dimensions affecting consumer purchase intention; 3.Discuss core requirements through purchasing counterfeit luxury consumer product.

2. Literature review and hypothesis

2.1 Luxury products

Luxury is defined as “a unique, scarce and rare kind of consumer goods which is beyond survival and development needs”. In economics, Nueno and Quelch (1998) argue that luxury goods refer to the products with low “functional value-price” ratio, which means low “tangible value-intangible value” ratio. This definition highlights
that the intangible part forms a large proportion of value of luxury goods.

Luxury involves clothing, watches, jewelry, transportation, real estate, a variety of high-end services, or even food. Designer bags, garment and luxury cars, private jets and yachts also belong to luxury goods. Yoo and Lee (2012) divided luxury into handbags, shoes, fashion clothes, sunglasses, jewelry (including watches, earrings, necklaces, rings, etc.). McKinsey Company defines luxury as products of higher pricing than general public consumer goods, and believes that luxury market includes perfume, jewelry, watches and clocks, clothing, wine, gift products, automobile, and senior tableware.

2.2 Counterfeit luxury products

Wilcox (2009) defined counterfeit luxury goods as illegal copies that have the same packaging, trademarks, logo with genuine luxury goods. In recent years, due to the rapid development of information technology, global purchasing and production outsourcing policy of luxury brands, the appearance gap between counterfeit luxury products and genuine ones is narrowing, and many counterfeit luxury goods have almost the same design, material and accessories with genuine ones. Luxury goods have both social value related to social environment and individual value related to the self-perfection, while counterfeit luxury goods do not have features involving high price, scarcity, uniqueness and exclusive labor time, exquisite crafts, instead, they only copied symbolic characteristics of luxury products (such as design, quality, durability, etc.) (Lisa Maria Turunen & Laaksonen, 2011) Compared with ordinary goods, luxury brands are rich in symbolic meanings, and people have the need to associate themselves with higher class, thus they may choose to buy products that can improve their status and build a wealthy image. However, with limited wealth, some are likely to choose counterfeit luxury goods if social value and symbolic meaning of luxury goods is important enough to them.

Counterfeit goods purchase is divided into deceptive purchase and non-deceptive purchase (Grossman, 1988). Deceptive purchase refers to the situation where consumer does not know the fact when they buy counterfeit. In this case, counterfeit goods are sold as real ones in similar prices. On the country, non-deceptive counterfeit purchase refers to the situation where consumers are able to recognize that the products are not the real with information about place, price and quality. Counterfeit luxury goods purchase is more likely to be non-deceptive; as a result, knowingly buying consumers provide large profit space for counterfeit producers. So in this study, counterfeit luxury goods refer to non-deceptive ones.

2.3 Perceived value

2.3.1 Perceived value

Perceived value refers to the evaluation of overall utility for products made by consumers on the basis of the gain and pay (Zeithaml, 1988). Similarly, Woodruff (1997) defined perceived value as consumers’ preference and evaluation based on function, performance and using experience that help achieve (or obstruct) their purchase intention.

2.3.2 Dimensions of perceived value

Currently, it is highly recognized that perceived value contains 4 dimensions:
emotional value, social value, economic value and functional value, which can be measured through 19 items (Sweeney & Soutar, 2001). Emotional value refers to the utility of emotional infection, such as letting people feel confident and cheerful. Social value refers to the utility that promotes social self-concept, such as increasing the degree of identity from others, being accepted by certain group of people, being admired by others. Economic value is also called perceived cost, which refers to price-value ratio, maintenance costs and the possibility of appreciation in the long term. Functional value refers to the utility of quality and performance. Before this, Zeithaml (1988) proposes a more complex model of perceived value, and creatively forms a perception that involves price, quality and value, and put forward the propositions about these concepts. In this model, product attribute and objective price affect perceived value and perceived loss through perceived quality and perceived monetary price. Meanwhile, perceived loss, perceived non-monetary price and high-level abstract conceptions influence perceived value, which affects purchase intention. The concept of perceived value here is in accordance with valence (Peter and Tarpey, 1975), which means net value after perceived risk is subtracted.

For luxury goods, the concept of perceived value develops from three dimensions including conformity, uniqueness, showing off (Leibenstein, 1950) to Vigneron & Johnson (2004) to showing off, uniqueness, quality, enjoyment, extending self, and can be measured by reliable scale.

2.3.3 Perceived value of counterfeit luxury goods

While using counterfeit luxury goods, consumers are faced with the risk that counterfeit fail to meet their functional needs, the risk on their social relationship when others find out the luxury goods they hold are not real, which means their identity and status will be under threat. Meanwhile, due to increasing similarity of counterfeiting, counterfeit customers may get more functional value and emotional value than products in the same price, therefore blend in with certain groups or become appreciated by others. So While using counterfeit luxury goods, consumers have to estimate its functional value, emotional value and social value.

For perceived value of counterfeit luxury goods, some scholars believe that luxury goods have both social value and individual value at the same time, while counterfeit luxury goods have little personal value. Individual value means value that is related to self-confidence, self-improvement, self expression, social value means value that can be respected, admired and blended in with certain groups (Lisa Maria Turunen & Laaksonen, 2011). However, Bloch (1993) argues that the consumers can get free prestige via buying counterfeit luxury goods. Some studies (Li, 2012) show that for consumers whose past purchase experience only involve counterfeit luxury goods, practical value is more important than social and emotional value. Consumers of value orientation are more likely to buy counterfeit luxury goods than consumers of social orientation (Wilcox, 2009). However, for consumers who only have past purchase experience with luxury goods, perceived social/emotional value is almost at the same level as practical value. In comparison, for consumers who only have past purchase experience with counterfeit luxury goods, perceived practical value is higher than social/emotional value (Kim, Kim, & Lee, 2010).
2.4 Purchase intention

Purchase intention is a kind of desire that refers to the degree of subjective intensity of consumers to make certain buying behavior (Fishbein, 1975). Other scholars have given the similar definition, which indicates that purchase intention refers to the willing of consumers to buy a product (Dodds, etc., 1991). According to the theory of planned behavior, consumers' attitude affects purchase intention, which affects purchasing behavior. Therefore, it is convinced that the purchase intention can predict consumer purchasing behavior well.

2.5 Hypothesis

According to former research, perceived value can influence consumer's purchase intention. Studies (Peter and Tarpey, 1975) show that perceived valence is able to predict brand preference; Sweeney and Soutar (1999) prove through empirical study that perceived value influences consumers' purchase intention; Zhu Ge (2010) proved that perceived value have an impact on adopting intention. In studies of purchase intention, it is found that perceived value, customer satisfaction has positive correlation to the repeat purchase intention, there is positive correlation between perceived value and customer satisfaction (Dongjin Li, etc., 2007). In earlier studies, Oliver (1980) also tested the effect of perceived performance on customer satisfaction through disconfirmation. Therefore we put forward the following hypothesis:

H1: For counterfeit luxury products, perceived value relates positively to purchase intention;

H1a: For counterfeit luxury products, perceived functional value relates positively to purchase intention;

H1b: For counterfeit luxury products, perceived economic value relates positively to purchase intention;

H1c: For counterfeit luxury products, perceived emotional value relates positively to purchase intention;

H1d: For counterfeit luxury products, perceived social value relates positively to purchase intention.

Studies have shown that when the environment is relatively stable, compared with the will of behavior, the effect of past behavior on follow-up actions is significant. Yoo and Lee, based on the research on five types of luxury goods, find that the experiences of possessing or purchasing counterfeit luxury are positively related to future purchasing intention significantly. Therefore we put forward the following hypothesis:

H2: Past purchasing experiences with counterfeit luxury products relate positively to purchase intention;

H3: Past purchasing experiences with luxury products relate positively to purchase intention.

Furthermore, studies (Chen, etc., 2014) suggest that attitudes toward counterfeit luxury of public and private use are different, so further tests are added by dividing purchase intention into purchase intention of counterfeit luxury products for public occasions and private occasions. Therefore we put forward the following hypothesis:

H4: Perceived value relates positively to purchase intention of counterfeit luxury
products for public occasions;

H4a: Perceived functional value relates positively to purchase intention of counterfeit luxury products for public occasions;

H4b: Perceived economic value relates positively to purchase intention of counterfeit luxury products for public occasions;

H4c: Perceived emotional value relates positively to purchase intention of counterfeit luxury products for public occasions;

H4d: Perceived social value relates positively to purchase intention of counterfeit luxury products for public occasions.

H5: Past purchasing experiences with counterfeit luxury products relate positively to purchase intention of counterfeit luxury products for public occasions.

H6: Past purchasing experiences with luxury products relate positively to purchase intention of counterfeit luxury products for public occasions.

H7: Perceived value relates positively to purchase intention of counterfeit luxury products for public occasions;

H7a: Perceived functional value relates positively to purchase intention of counterfeit luxury products for private occasions;

H7b: Perceived economic value relates positively to purchase intention of counterfeit luxury products for private occasions;

H7c: Perceived emotional value relates positively to purchase intention of counterfeit luxury products for private occasions;

H7d: Perceived social value relates positively to purchase intention of counterfeit luxury products for private occasions.

H8: Past purchasing experiences with counterfeit luxury products relate positively to purchase intention of counterfeit luxury products for private occasions.

H9: Past purchasing experiences with luxury products relate positively to purchase intention of counterfeit luxury products for private occasions.

In the study of luxury purchase behavior of middle class, there is a cluster analysis of middle class based on income, education, marital status, occupation, face consciousness and perception of luxury goods value, the study finds significant difference with value orientation among four groups (social, conservative, conspicuous and experience) (Li, Li, & Kambele, 2012; Shi, 2013). So, gender, age, income, education, income and years of career are adopted as control variables.

3. Method
Consumers in China tend to buy different category of luxuries compared with western consumer. The latter focus on clothing, handbags, watches, perfume and other personal items, while the former also buy a large number of cars, houses, family travel, etc. In addition, according to China luxury market research in 2013, a report launched by Bain Company, On Taobao global purchasing platform, where items are often sold at discount prices, the number of sellers of apparel, handbags and accessories accounted for about 45% of total, which indicates that price-sensitive consumers tend to buy products in these categories. As one of the reasons to buy counterfeit luxury goods is its lower price, and counterfeit luxury transaction in
handbags, clothing and accessories in China is in a considerable scale, data for empirical research is representative, counterfeit luxury in this research refers to counterfeit luxury handbags, clothing, and accessories.

We sent 200 questionnaires through the internet and large shopping malls, 192 participants completed the questionnaire. Eliminated invalid questionnaire, we got 174 valid questionnaires, with a valid return rate of 90.63%.

Sweeney and Soutar (2001) put forward a perceived value model of four dimensions including social value, emotional value, functional value and economic value, and developed a 7-point scale to measure perceived value applied to all kinds of products. Vigneron and Johnson (2004) developed a 7-point scale to measure perceived value applied to luxury goods including conspicuousness, uniqueness, quality, hedonism and extended self. Li (2012) used measured perceived brand value with the scale from Kim (2010), which involves perceived social value, emotional value, functional value and economic value, but according to the result of factor analysis, social value and emotional value merged into one dimension. In this research, we integrate the four-dimension model (Sweeney and Soutar, 2001) with symbolic value related to luxury, and then form an effective scale applied to counterfeit luxury products.

Former studies measure participants' purchase intention by one 7-point item, such as "I'd like to buy this product" or "how much you want to buy the following product?" (Cordell, Wongtada & Kieschnick Jr., 1996; Wilcox, Kim & Sen, 2009; Yoo & Lee, 2012). As long as the testing purpose and attributes are specific and single, an item is adequate (Poddar, Foreman, Banerjee, & Ellen, 2012). In this study, the purpose is to measure purchase intention to specify product, which is relatively simple without any need to imagine situations, so one item is adopted to ask purchase intention directly ("I will consider buying counterfeit luxury goods"). A similar way is adopted to measure purchase intention of counterfeit luxury products for public and private occasions ("I want to buy public use of counterfeit luxury products for public occasions, such as bags, clothing, glasses, etc. ", "I want to buy counterfeit luxury goods for private occasions, such as underwear, socks, cosmetic bag, etc.").

4. Empirical analysis

4.1 Dimensions of perceived value for counterfeit luxury products

We combine the perceived value scale for luxury (Vigneron and Johnson, 2004) and the four-dimension model (Sweeney and Soutar, 2001) consists of social value and emotional value, with items of comparisons with luxury goods or legal goods at similar price added. The preliminary scale is examined in pre-test. We sent 60 questionnaires in large shopping malls, 52 participants completed the questionnaire. Eliminated invalid questionnaire, we got 47 valid questionnaires, with a valid return rate of 90.38%.

Exploratory factor analysis on pre-test data indicates that the new scale for counterfeit luxury perceived value has good reliability and validity (KMO = 0.782, Bartlett spherical test p = 0.000. We get a counterfeit luxury goods perceived value scale of 4 factors, 12 items. Cumulative explained variance is 78.74%, rotating
component matrix is shown in table 1 (CLPs for counterfeit luxury products, and GLPs for genuine luxury products). Overall Cronbach's alpha value is 0.898, Cronbach's alpha of functional value, economic value, social value and emotional value are 0.837, 0.776, 0.923, 0.820 respectively. The scale is able to reflect variables consistently.

Table 1  Factor analysis

<table>
<thead>
<tr>
<th>factor</th>
<th>item</th>
<th>component</th>
</tr>
</thead>
<tbody>
<tr>
<td>functional</td>
<td>1. CLPs are well made.</td>
<td>.869</td>
</tr>
<tr>
<td>value</td>
<td>2. CLPs have an acceptable standard of quality.</td>
<td>.848</td>
</tr>
<tr>
<td></td>
<td>3. CLPs have the same quality as genuine ones.</td>
<td>.698</td>
</tr>
<tr>
<td>economic</td>
<td>4. CLPs can offer value for money.</td>
<td>.809</td>
</tr>
<tr>
<td>value</td>
<td>5. CLPs are worthier buying than other products at the same price.</td>
<td>.696</td>
</tr>
<tr>
<td></td>
<td>6. CLPs would be more economical than genuine ones.</td>
<td>.812</td>
</tr>
<tr>
<td>social</td>
<td>7. CLPs help me to feel acceptable if others fail to distinguish authenticity.</td>
<td>.869</td>
</tr>
<tr>
<td>value</td>
<td>8. CLPs make me more influential among friends if others fail to distinguish authenticity</td>
<td>.860</td>
</tr>
<tr>
<td></td>
<td>9. CLPs help me get more social approval if others fail to distinguish authenticity</td>
<td>.831</td>
</tr>
<tr>
<td>emotional</td>
<td>10. Objectively, to wear CLPs make me look fashion.</td>
<td>.757</td>
</tr>
<tr>
<td>value</td>
<td>11. CLPs is a reward to myself.</td>
<td>.748</td>
</tr>
<tr>
<td></td>
<td>12. CLPs makes me more pleasant than non-luxury ones if others fail to distinguish authenticity</td>
<td>.751</td>
</tr>
</tbody>
</table>

4.2 The effect of perceived value on purchase intention of counterfeit luxury products

The descriptive statistics is shown in Table 2. The number of sample is 174, with 51.7% males and 48.3% females. 52.5% of all participants are between 26 to 35 years old.

Table 2 Descriptive statistics

<table>
<thead>
<tr>
<th></th>
<th>N</th>
<th>min</th>
<th>max</th>
<th>average</th>
<th>SD</th>
</tr>
</thead>
<tbody>
<tr>
<td>functional value</td>
<td>174</td>
<td>1</td>
<td>7</td>
<td>3.24</td>
<td>1.489</td>
</tr>
<tr>
<td>economic value</td>
<td>174</td>
<td>1</td>
<td>7</td>
<td>3.76</td>
<td>1.571</td>
</tr>
<tr>
<td>emotional value</td>
<td>174</td>
<td>1</td>
<td>7</td>
<td>2.70</td>
<td>1.561</td>
</tr>
<tr>
<td>social value</td>
<td>174</td>
<td>1</td>
<td>7</td>
<td>2.87</td>
<td>1.772</td>
</tr>
<tr>
<td>purchase intention</td>
<td>174</td>
<td>1</td>
<td>7</td>
<td>2.96</td>
<td>1.957</td>
</tr>
<tr>
<td>purchase intention-public</td>
<td>174</td>
<td>1</td>
<td>7</td>
<td>2.97</td>
<td>1.946</td>
</tr>
</tbody>
</table>
We measured perceived value of counterfeit luxury products with the scale in Table 1, and studied the influence on purchase intention of counterfeit luxury goods by regression analysis. Adjusted $R^2 = 0.516$, $F = 15.170$ ($p = 0.000$), VIF of every variable is less than 10, there is no problem of multicollinearity. Regression analysis results are shown in Table 3.

It can be found from Table 3 that three out of four dimensions of perceived value (function value, economic value and emotional value) have significant positive influence on purchase intention ($p = 0.029, 0.004, 0.000$), and social value does not significantly affect purchase intention, H1 is tested partly (H1a, H1b, H1c, while H1d fails). Past purchase experience with CLPs and past purchase experience with GLPs have significant influence on purchase intention at 0.1 level ($p = 0.060, 0.093$) (H2, H3).

By comparing regression coefficients of variables, emotion value and past experience with CLPs have the most impact to purchase intention of CLPs, followed

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By comparing regression coefficients of variables, emotion value and past experience with CLPs have the most impact to purchase intention of CLPs, followed
by economic value.

Specifically, we studied the impact on purchase intention of CLPs for both public and private occasions changing dependent variable respectively, the results as shown in table 4 and table 5. Purchase intention of CLPs for public occasions has significant relation with function value, economic value, emotional value, and past experience with GLPs (p = 0.067, 0.026, 0.000, 0.026) (H4a, H4b, H4c proved, H1d not proved), and have no significant relations with social value and past experience with GLPs (H5, H6 not proved).

<table>
<thead>
<tr>
<th>Table 4 Regression analysis on Purchase intention of CLPs for public occasions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Model 2</td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td>(constant)</td>
</tr>
<tr>
<td>functional value</td>
</tr>
<tr>
<td>economic value</td>
</tr>
<tr>
<td>emotional value</td>
</tr>
<tr>
<td>social value</td>
</tr>
<tr>
<td>past experience with CLPs</td>
</tr>
<tr>
<td>past experience with GLPs</td>
</tr>
<tr>
<td>Control variables:</td>
</tr>
<tr>
<td>using occasion</td>
</tr>
<tr>
<td>surroundings with CLPs</td>
</tr>
<tr>
<td>gender</td>
</tr>
<tr>
<td>age</td>
</tr>
<tr>
<td>education</td>
</tr>
<tr>
<td>income</td>
</tr>
<tr>
<td>occupation</td>
</tr>
</tbody>
</table>

In table 5, purchase intention of CLPs for private occasions is significantly correlated with functional value, emotional value and past experience with CLPs (p = 0.012, 0.008, 0.072), and has no significant relations with economic value, social value, past experience with GLPs. Accordingly, H7 is partly proved (H7a, H7c proved, H7b, H7d fails), H8 and H9 proved.
Table 5 Regression analysis on Purchase intention of CLPs for private occasions

<table>
<thead>
<tr>
<th>Model 3</th>
<th>unstandardized coefficients</th>
<th>standardized coefficients</th>
<th>t</th>
<th>Sig.</th>
<th>multicollinearity</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>B</td>
<td>SD</td>
<td>(constant)</td>
<td>.363</td>
<td>.812</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>functional value</td>
<td>.286</td>
<td>.112</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>economic value</td>
<td>.058</td>
<td>.110</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>emotional value</td>
<td>.332</td>
<td>.124</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>social value</td>
<td>.014</td>
<td>.099</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>past experience with CLPs</td>
<td>.525</td>
<td>.290</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>past experience with GLPs</td>
<td>.082</td>
<td>.158</td>
</tr>
<tr>
<td>Control variables:</td>
<td></td>
<td></td>
<td>using occasion</td>
<td>-.204</td>
<td>.223</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>surroundings with CLPs</td>
<td>.024</td>
<td>.122</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>gender</td>
<td>.128</td>
<td>.270</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>age</td>
<td>-.018</td>
<td>.142</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>education</td>
<td>-.079</td>
<td>.125</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>income</td>
<td>-.072</td>
<td>.110</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>occupation</td>
<td>-.057</td>
<td>.076</td>
</tr>
</tbody>
</table>

5. Discussions

Based on the results of regression analysis, perceived emotional value and past experience with CLPs are main factors to CLP purchase intention, followed by economic value, functional value and past experience with GLPs. Perceived social value cannot influence CLP purchase intention. It indicates that CLP purchase intention is more likely to derive from demand for self-confidence and pleasant instead of improve social status or get involved in a group, which makes consumers focus on visible value of products.

For public CLP purchase intention, the most important factor is emotional value, followed by economic value and past experience with GLPs. It can be referred that besides enjoying pleasant brought by CLP, CLPs can offer more value for money. The more times consumers buy GLPs, the more likely they are to buy CLPs. It can be explained as false consequence of luxury universal buying spree. Limited to present income, some inadequate consumers cannot afford their enthusiastic need for luxuries. Hoping to satisfy self-appreciative demand, they turn to CLPs as alternatives.

For private CLP purchase intention, the most important factor is past experience with CLPs, followed by emotional value and functional value. It can be referred that
this kind of purchase intention is out of influence of economic value. Instead, consumers pursue their function, and the purchase behavior tends to be inertial.

6. Marketing implications and further research

To deal with intention to buy counterfeit luxuries, on one hand, government should take facilitate measures to help consumers building positive consumption view; on the other hand, legal producers are supposed to build powerful brands in pursuit of self-appreciation, self-pleasant and self-perfection in order to meet this part of needs.

To deal with inertia function-oriented purchase intention, legal producers may develop products of better performance and function than average.

Counterfeit luxury products are conspicuous to some degree because of their symbolic characteristics. One of our guesses is that perceived social value tend to affect purchase intention in complex mechanisms. There may be mediating variables in this process. Further research may explore the influential path of perceived social value.

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The analysis of Business Ethics Based on the Evolution of the Business Culture

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ABSTRACT

From the evolution of business culture, this paper has sorted out the origin and evolution of business culture, and elaborated three connotations of business culture and Characteristic Culture dominated by Confucian culture; Then from the time and space angles, has explored the connotation of business ethics, compared the similarities and differences between Chinese and Western business ethics, analyzed the lack of business ethics and its reasons. Especially when China’s economy is facing the new normal, the worldwide reshaping and restructuring of business ethics is essential for enterprises to change from processing model to brand management model. The enterprises should restructure their business ethics accordingly to build global business ethics to adapt to globalization and the internet trend and adhere to the principle of “to balance the profit and righteousness” as a prerequisite for commercial transactions, the principle of “honest and trustworthy, fair trade” as the basis for commercial transactions, the principle of “harmony” and “mutual benefit” as the purpose for business transactions.

Keywords: Business Culture Business Ethics Evolving

1. Analysis Background

Business ethics becomes more and more important along with the globalization of economy and application of internet technology, and the focuses of business circles, educational circles and societies. Moreover, business ethics tie up with business culture, and relate to new technology too. Bases on the development of business culture, the paper discusses the evolution and restructuring of business ethics.

2. The Origin and Evolution of Business Culture

The origin and evolution of business culture has close relationship with the history of business development, as well as culture especially the Chinese traditional culture. Traditional culture refers to those living styles and pleasures that existed or happened in
the past and been remembered and used ever since or been changed and developed nowadays. By Chinese traditional culture, it means not only today’s China geologically, but also ancient China and the regions and nations influenced by China. Business culture originated from commodity exchange, is the culture shaped by Chinese long-term business practices and be of national characteristics, such as the business spirit and culture, business culture, brand, firm name, trademark culture, marketing culture, business ethics culture and business environment culture, etc.

2.1 Connotation and characters of business culture

As a social-cultural phenomenon, business culture is a particular cultural phenomenon produced by economic activities in commodity production and circulation. It appears due to the exchanges of goods and with the business activities. In two thousands years of business practices, our Chinese accumulated abundant material wealth and formed the business culture with national characteristics. Those business ethics concepts and strategies are full of classical significance, known as patriotic, law-abiding, valuing righteousness over money, honesty and faithfulness, thrift, looking far ahead and aiming high, paying attention to talents, being optimistic to changes and so on. The business culture, in this paper, mainly includes the creation of excellent modern business spirit, the construction of perfect business system and the promotion of lofty business ethics.

(1) Business Spirit

Any enterprise or businessman should follow a kind of value, spirit or thought in business practices, which has close relationship with one’s view of world and life. The spiritual culture once sublimed to be the highest criterion. In modern business, it followed “employee first” but not “profit-oriented” rule. Profit comes from the staff spirit which determines the survival and development of the enterprise. To build the people-oriented business spirit should understand, admit and protect the employee’s reasonable self-profit, the needs of so-called “realistic humanness”.

(2) Business Terms and Conditions

For a long period of time, Chinese pay attention to “emotion” but not “rules” in trading because of being affected by Confucian concepts, which resulted in the lack of serious contractual spirit. In market economy nowadays, it should be changed to the relationship of rights and duties, assured by law and rules.

(3) Business Ethics

The core of business ethics is the relationship of righteousness and profit. As the Chinese saying: gentleman for reputation while businessman for profit, it is normal for a businessman to make profit. The phenomena as to trade integrity for profits are
sometimes common occurrences. However, as one of important rule of ethics, righteousness had been practiced by businessman all ages. There are lots of moral creeds, such as “Making profit with righteousness makes a gentleman”, “Being honest to all customs and being righteous for wealth from all places”, “A gentleman can seek for money but in a right way”, “Goods with high quality at a fair price, fair trade to everyone” and so on.

2.2 Chinese regional business culture with Confucian merchants as main body

(1) Culture of Shanxi merchants: Loyalty and Honesty

Culture of Shanxi merchants is the spiritual values created by Shanxi merchants. They worship Guan Gong who fulfilled the practice of loyalty and righteousness all his life. Chinese hold deep respect to him and named him The Emperor Guan that is in charge of win and wealth. In such historical and environmental condition, Culture of Shanxi merchants developed into a relatively stable business culture system to guide their business practice. In the system which played an unparalleled role in formation and development of Shanxi merchants, the business ethics concept is stated in three aspects: the “credit and honesty first, the unity of profit and righteousness” used as practice principles, the “the unity of ethics and law, to learn more before starting a business” used as management standard, the “thrift, coexistence and sharing glory” used as moral value.

(2) Culture of Wenzhou merchants: “learning for practice” and “attaching importance to both righteousness and profit”

Culture of Wenzhou merchants rooted in resource endowment and the characteristics of its economic development. The development of Wenzhou business originated from the lack of agricultural economy and also has an outward-oriented sea spirit. In order to earn a living, Wenzhou merchants give up physiocracy, and start their businesses outside hometown, which formed certain business culture as “learning for practice” and “attaching importance to both righteousness and profit”.

(3) Culture of Anhui merchants: Businessman with Confucian concept

Business in Anhui had a long history. There are records about the activities of Xin’an (a place in Anhui) merchants far early in Dongjin Dynasty. During the reign of Chenghua and Hongzhi in Ming Danasty, it developed into Anhui merchants business group. And During the reign of Jiajing in Ming Danasty and the reign of Qianlong and Jiaqing in Qing Danasty, it prospered to their highest level. Their business scope spread all over China, ever to the Japan, the ancient Siam, countries in Southeast Asia and Portugal. Such success mainly dues to the excellent business culture and business ethics set up in business practice. Influenced by traditional culture, Anhui merchants try to behave themselves by Confucian concept, and balance the profit and
righteousness. They trust that businessman should do business honestly and pay more attention to professional self-cultivation and reputation otherwise will become a businessman who seeks nothing but profits.

3. The Connotation and Evolution of Business Ethics

Business ethics\(^2\) is not only a kind of moral order, but also a kind of values. It represents a country’s moral progress and civilization level in economic field, and has negative reinforcement in economic and social development.

3.1 Views about Business ethics

Business ethics\(^3\) is the ethical standards that any commercial organization or production institution should comply in legal operating activities. Wang Xin\(^4\) believes that business ethics is the norms and guidelines by which the individual or organization in the business process deals with the interrelation. Li Cunchao\(^5\) et al believe that the scope of business ethics is mainly in business activities. It involves the commercial interests of the businessman, the relationship between people in business activities and the standard of business behavior. It is the concrete extension of general ethics in business activities field. Although there is no consistent view of business ethics, I think that business ethics\(^6\) should be the ethical standards and guidelines which should be followed by any business group in legal business activities.

3.2 Effects by Confucian Ethics

There are three distinct characteristics of the traditional Confucian ethics as follows: Firstly, Confucian ethics pay attention to view of kindheartedness as “people-oriented” and humanism management thought. Secondly, Confucian ethics emphasize “virtue first” when facing benefit and righteousness, self-discipline consciousness as “cultivating oneself to love people”, and the spirit of “etiquette compatible with law”. Lastly, Confucian ethics advocated the thought of “peace-cherished”, the spirit of “man should be in harmony with nature” and the concept of “Harmony but not sameness”.

(1) people-oriented

Confucian concept is characterized by “human-oriented management” which is featured by “people-oriented”. The basic meaning of “view of kindheartedness” is to love people. The way how to love people is the way to practice “view of kindheartedness”, which is the so-called “loyalty and forbearance”. By “loyalty”, Confucian concept means that you’d have to be kind to others before you want others to be kind to you. By “forbearance”, Confucian concept means that treat others the way you would like to be treated. They all emphasis on the love and forgiveness to
others, are the thoughts of “benefiting others”.

(2) **virtue-first**

The thought of “virtue-first” originated from one of the sayings of Confucius, “to cultivate oneself, regulate the family, then govern the state and lead the world to peace”. And he also said “virtue is the base of all things”, by which he put virtue in the first place. Confucius’ thoughts can sum up as so. For that Confucian ethics pays great attention to the cultivation of morality, concepts as “the unity of profit and righteousness”, “credit and honesty first” and “requirement of the law and etiquette” can all be used for references in construction of modern business ethics.

(3) **peace-cherished**

Confucian concepts advocate “etiquette and peace-cherished”. Mencius said: “Favorable geographical position is better than proper time, coordination and cooperation best”. The Chinese traditional culture about “harmony” is broad and profound, which can be summarized as the following three aspects: Firstly, it advocates “peace-cherished” and “to love everybody”, by which emphasized on the buildup of harmonious social order and interpersonal relationship. Secondly, it advocates “man should be in harmony with nature”, by which emphasized on being harmony with nature and adapting to the evolution and development of the objective regulations. At last, it advocates “Harmony but not sameness”, by which emphasized on seeking common ground while reserving differences and complementing each other to pursue common development. With the aggravating of global competition and bring forward of aim to construct a harmonious society, the traditional value of “harmony” culture is more and more widely recognized by society.

### 3.3 Comparison with China and Western Country

Chinese business ethics arose in a historical environment of “emphasizing agriculture but restraining commerce”, while Western business ethics was born in a social culture that commercial is noble. These two attitudes to business resulted in the different focuses on development of business ethics in China and the West.

<table>
<thead>
<tr>
<th>ITEM</th>
<th>CHINA</th>
<th>WESTERN COUNTRY</th>
</tr>
</thead>
<tbody>
<tr>
<td>CRADLE</td>
<td>China Central Plains region</td>
<td>Ancient Greece and ancient Rome</td>
</tr>
<tr>
<td>SOCIAL ORIENTATION</td>
<td>Pay attention to the rule by man, political or</td>
<td>Pay attention to the rule by law,</td>
</tr>
<tr>
<td>OF VALUE</td>
<td>patriarchal ethics</td>
<td>religious or economic ethics</td>
</tr>
<tr>
<td>----------</td>
<td>-------------------</td>
<td>-----------------------------</td>
</tr>
<tr>
<td>EFFECTS</td>
<td>Pay attention to agriculture and restraining business</td>
<td>Consider business is a noble, moral occupation</td>
</tr>
<tr>
<td>MODERN TIME (twenty-first Century so far)</td>
<td>The ethical development stopped because of foreign invades, civil war and the “Cultural Revolution”. Since the reform and opening up, China formed a unique ethics of china by introducing western ideas and the integration of three Chinese traditional culture: Confucianism, Buddhism, Taoism.</td>
<td>Moral philosophy, philosophy of life and God formed a situation of tripartite confrontation. The main theories are meta ethics, value theory, the theory of life, relativism, emotion, scientism, humanism.</td>
</tr>
<tr>
<td>BUSINESS LAW</td>
<td>The principle of “to balance the profit and righteousness”, “honest and trustworthy, fair trade”, “friendliness is conducive to business success” and the thrifty principle.</td>
<td>Human nature hypothesis of “economic man”</td>
</tr>
<tr>
<td>SIMILARITIES</td>
<td>Advocating thrift and self-discipline. Honesty is the Chinese traditional thinking, and the moral premise of perfect personality.</td>
<td>Making money is not for personal enjoyment, but to prove himself to god. Paying attention to credit and honesty.</td>
</tr>
<tr>
<td>DIFFERENCES</td>
<td>Chinese pursuit profit mainly for themselves, but also for the community.</td>
<td>Westerners, as God’s money agent, make money for their own, for the community, but mainly for God.</td>
</tr>
</tbody>
</table>

Chinese business ethics mainly originated from three philosophies: Confucianism, Taoism and Buddhism. Among these, the influence of Confucianism on Chinese business ethics is the most far-reaching. The Confucian Economic Ethics is about the theme of management of the country. Its social value is to make the country and people rich. That is to say, the Confucian associate business activities with governing the country before which one should cultivate oneself, regulate the family. Therefore, the Confucian does not regard the ethical issues in economic activities as a special proposition, but as a fusion of humanity, righteousness, economy, education and so on.

Western business ethics mainly originated from moral philosophy, philosophy of life and Theology. Among them, the Protestantism has the greatest influence on the Western business ethics. The idea “pursuit of wealth is the piety to God” and
“absolute reason” advocated by Protestantism promoted the development of Western capitalism. Being different from China's idea “cultivating oneself is a part of business ethics”, Western business ethics more emphasis on operability of ethics. It set up the company's code of ethics, the specialized ethics organization and supervisor, carried on the specialized ethics training, so it has the distinguishing features of “tool-oriented” and “utility-oriented”.

4. The Lack of Business Ethics and Its Causes

Along with the rapid rise of China's economy and the comprehensive promotion of economic globalization, the Chinese and western economic and cultural communication and fusion also increased. At the same time, the Western utilitarianism thought infiltrated increasingly, the lack of business ethics has become increasingly prominent phenomenon. In particular, the contradiction between stakeholders is getting deeper. The outstanding lack of business ethics are as follows:

4.1 The manifestations of the lack of business ethics

(1) Weak social responsibility

Corporate social responsibility refers to the responsibilities to customers, consumers, employees, communities and environment with creation of profit making at the same time. It includes the compliance with business ethics, safety production, occupational health, protection of workers' legitimate rights and interests, support for social welfare, protection of vulnerable groups, saving resources, etc. According to the definition of Carol, corporate social responsibility = economic responsibility + legal responsibility + ethical responsibility + charitable responsibility. The relationship between business ethics and corporate social responsibilities is the relationship between the whole and part. Business ethics is one part of corporate social responsibilities. At first, the enterprise is not willing to take social responsibilities initatively. Some enterprises lack the ability to bear social responsibility due to their small size and less strength while some enterprises, especially foreign trade enterprises and export enterprises, are not willing to do so for profit pursuing. Moreover, some enterprises believe that social responsibility taking will reduce the competitiveness. The most direct impact on corporate social responsibility taking is to change the comparative advantage of labor costs in Chinese enterprises. The low labor costs are the biggest comparative advantage of Chinese enterprises. To take social responsibilities will inevitably increase labor costs.

However, many entrepreneurs lack the sense of social responsibility. They owe their success to themselves and ignore public welfare. Some enterprises used charity donation as the propaganda to enhance their reputation. Some even cheat by not delivering their donations while trumpeting their donation amount. What is more, a few enterprises reap extravagant profits at the expense of breaking the law, such as
Shanxi illegal coal pit event and Hebei Sanlu poisonous milk powder incident. In the relationship between enterprises and government, some companies make financial fraud, make and sell fakes, evade tax and are in cahoots with officials by power corruption, commercial bribery, local protectionism and the phenomenon of "internal person" control in the reform of state owned enterprises.

(2) Honesty and trustworthiness to be strengthened

Honesty and trustworthiness is the inherent requirement of market economy and is also the fundamental guarantee for the realization of the transaction. Some enterprises play the gangster by exploiting loopholes in law and management. Things against the credit and ethics happened frequently, such as defaulting payment and loan, tax evasion, fraud and breach of contract, making and selling fakes, infringement of registered trademark rights and patents, disclosure of false information, obtaining foreign currency under smuggling and so on. The phenomenon of such unscrupulous dishonesty or even illegal behavior did great harm to the society. They not only increased transaction costs, but also seriously affected the production and operation of high-credit enterprises.

(3) Serious environmental pollution

Enterprise ecological ethics requires them to respect nature, protect the environment, reduce consumption and waste, develop green products, and implement green marketing, in order to form a mutually supportive evolutionary relationship with the business environment. This symbolized the progress of social civilization. However, because of the loss of business ethics, the relationship between the enterprise and the environment is a bad trend: the extreme use of environmental resources by egoism, such as the sustained discharge of waste water, gas and residue without governance for high profit. To the enterprises that have caused serious pollution, the government is also short of effective accountability mechanisms. As a result, the natural function of the environment as natural purification and self-repairing has been destroyed. Environmental quality and capacity were rapidly declining. Air pollution, the greenhouse effect, ozone layer destruction, water pollution, marine ecological crisis, less and less “green barrier”, land desertification, “three wastes” accelerating, species endangerment are all, to a large extent, blame the serious loss of business ethics.

(4) Improper competition occurred frequently

Market economy promotes fair competition and mutual benefit, but prohibits all kinds of unfair competition. Unfair competitions not only violate the law, but also should be condemned morally. The unfair competition acts be banned by China's “Anti Unfair Competition Law” mainly include: Commercial infringement, restricting competition, commercial bribery, resort to deceit, illegal dumping, slander goodwill and so on. However, among some enterprises of mutual competition still exists vicious
competitions. They may take monopoly measures to control the supply of raw materials, or annex small companies, and even deliberately reduce the price of goods to obtain most market and earn extra profits. They gradually move toward the vicious competition at the expense of their own reputation. The means of vicious competition between some enterprises are constant, such as the “Intercept” Tencent VS Qihoo 360, “Violence incident” Midea VS Gree: the rat race made GREE's sales staff beat Midea’s sales staff to death, “Libelling” dairy giant involved in vicious marketing. These unfair competitions destroyed marketing principles that based on honesty and trustworthiness, and interfered with the normal order of market transactions.

(5) Maltreat to employees occurred

In order to pursue profit, some enterprises ignore the staff survival and work environment and even violate the employee's health rights; Some enterprises take gender and age discrimination in the recruitment, promotion and remuneration which is the violation of privacy; The enterprise without high technical requirements reduce the cost of human resources by constant recruiting and then firing people. That is to say, they give a very low wages to people during the probation period, and find reasons to dismiss them at the end of probation period; The job evaluation to the staff in some enterprises is not fair, honest, and timely. They may deduct their wages, treat arbitrarily or unfairly to their complaints etc. For example, The Foxconn successive jumping event in 2010 shocked the world. And some enterprises did not timely pay or deduct the corresponding pension insurance, housing provident fund and other employee benefits in accordance with the labor contract. One of such examples is the “Guangdong Yue Yuen shoes strike” in 2013, which is because the Group uses the basic salary but not the payment of workers to calculate the pension insurance. According to the Wall Street Journal, the strike caused huge losses of $ sixty million.

(6) Betray consumers’ trust

Under the influence of the narrow utilitarianism, some businesses confused the market with fake and inferior products. There are a variety of gorgeous false advertising on the screen, kinds of highly or lower imitation flooding the market. Consumers can not buy the satisfied products but spent a lot of money. Some food producers even unconscionably use inferior oil, toxic additives and preservatives to process foods. With the exposure of “swill-cooked dirty oil for cook”, “pesticide residues in fruits and vegetables exceed”, “poor-quality milk source” and “magdala incident”, the poor business ethics behind these is worrying, and will result in the trust losing by consumers.

4.2 The causes of lack of business ethics

(1) Imperfect system and regulations
When the old system was broken and the new system was not yet established, especially in transformation and reforming period of economic, it was most likely to lead to the moral disorder and heart imbalance in commercial area, which resulted in social disorder. Meanwhile, the immoral behaviors by enterprises are not restricted by the old order, and not been punished by the new rules too, which lead to a lack of business ethics. The introduction of lots of laws and regulations, such as “Consumer protection law”, “Anti Unfair Competition Law”, “Food Sanitation Law”, “Trademark law”, “Price law”, “Advertising law”, “Drug Administration Law” and so on, has played a certain role in regulating the operation of the market, and maintaining the business ethics. But it can not be denied that with the development of the economy, a variety of new marketing areas, marketing methods and means are constantly emerged, a lot of enterprises get money through the loopholes not been fully taken into account by the laws and regulations.

(2) Weak awareness for Consumer rights

Compared with foreign consumers, Chinese consumers are naiver and weak, with poor awareness of rights which is an important reason that some enterprises ignore the ethics and social responsibility. Chinese traditional virtues as “tolerance” and “forbearance” now became the block for people to safeguard their legitimate rights and to blame the enterprises related. The thought of “trouble-avoided” and complex procedure of liabilities identification also give the opportunity for such anti-ethics activities by those enterprises. In addition, the ability to perform their duties by “consumer rights and interests protection association” is still unsatisfactory. Limited by manpower and finance, the long period to solve problems without effective results can not reach the expectations of consumers. The weaknesses above all connive the unscrupulous companies to seek nothing but profits.

(3) Lack of ethical awareness by Enterprises

In the construction of enterprise ethics, there are three problems as: the low moral quality of managers, the lack of ethics education for staff, and the backward enterprise culture. For the low moral quality, the decision and behavior of the manager determined the behavior and development direction of the enterprise, and also had a profound influence on the behavior of the employees. The ethical management, ethical decision and the moral level of the enterprise are directly influenced by the main leaders' moral behavior. At present, the lack of corporate leadership ethics became an inherent reason for the lack of corporate ethics. Moreover, the lack of ethical education is an important reason for the lack of corporate ethics. The enterprise emphasizes on the training for skills, while ignoring the cultivation of ethical awareness. The immoral behaviors in the business activities will not be blamed as long as the interests of enterprise not involved. This led to the weak ethical consciousness, and lack of responsibility and morality of employees, which resulted in the low level of the enterprise's ethics. The backward cultural construction of the
tertiary industry is the important reason for the lack of enterprise ethics. Excellent enterprise should have a strong cohesion and at the same time with deep enterprise culture. But in fact, some enterprise’s culture means only the empty slogan that can not been implemented, while some others enterprises had no consideration to add the content of enterprise ethics into their culture. All these made the effort for the construction of business ethics useless.

(4) Excessive pursuit of profit by Enterprises

Under the condition of market economy, economic behaviors of the economic entity depended on whether such behaviors can bring the maximum profit. The pursuit of profit maximization is the primary purpose of the economic subject, so the existence of the enterprise should be for the purpose of making profits. Therefore, the enterprise did contribution to the society as long as its economic function realized. The unilateral pursuit for corporate profits directly led to continuous anti-ethical behaviors, such as: environmental pollution, ecological imbalance, fraud, bribery, counterfeiting, and so on. Even more sadly, many companies believe that these are inevitable phenomena in the process of market economy development. Under the guidance of such immoral thought, the behavior of the enterprise will inevitably be a deviation.

5. The Restructuring of Business Ethics

China is in the shift period of growth rate, the transition period of economic and social development, crucial period of a comprehensive deepening reform. It is extremely important to maintain a proper economic growth rate for transformation and upgrading support, deepening reform, protect the people’s livelihood. The growth of China's economy is bound to slow down from high speed to medium-to-high speed, with the structure changed from irrational state to optimization. And the implied risks changed to challenges. The new normal, which is characterized by medium-to-high speed, excellent structure, new power and multi challenges, has become the main feature of China's economic development. For enterprises, it is possible to serve as a world-class enterprise only by adhering to corporate social responsibility. So the enterprise must make a balance between the profit and the responsibility, and adhere to the principle of “to balance the profit and righteousness” as a prerequisite for commercial transactions, the principle of “honest and trustworthy, fair trade” as the basis for commercial transactions, the principle of “harmony” and “mutual benefit” as the purpose for business transactions. The enterprises should restructure their business ethics accordingly to build global business ethics to adapt to globalization and the internet trend.

5.1 Restructuring of “people-oriented” Chinese business ethics

Confucianists thought “human is the most intelligent in universe”. Confucius thought: man can propagate morality, but not vice versa. That is to say, people are the core of
management, and both the subject and object of management are people. The Confucian ethics of people-oriented management had historical value for the restructuring of Chinese business ethics, so it should be inherited and propagated, and be used to reconstruct the basis of “People-oriented” Chinese business ethics.

(1) “Benevolence”, to establish people-oriented values

The Confucian doctrine of “benevolence” and proposition of “Humans are the most valuable among all the things in natural world” embodied the Confucian humanism management thought. Enterprises should apply the Confucian thought of “benevolence” to attract and retain talent, and form the management ethics that all take staff as a starting point. Furthermore, enterprises should maximize the development of human resources by caring about, understanding, paying attention to, relying on, respecting for, uniting, and cultivating the staff.

(2) “behave oneself”, to establish the management team with both ability and integrity

Confucius said: “a leader of integrity even if not issued a command, people will follow. But a leader without integrity even if ordered a command, people will not obey.” Confucius also advocated the thought of loyalty and forbearance as: “To treat others the way you would like to be treated”. Therefore, the managers should be strict with themselves while be broad-minded toward others when dealing with interpersonal relationship. The thoughts “behave oneself” from ancient sages advocated making oneself an example, and taking the lead. The way of thinking as considering others in their position is conducive to the establishment of an excellent management team in modern enterprise.

(3) “Take from the people”, to take customers service as responsibility

In the external business activities of the enterprise, the basic requirement of “people-oriented” enterprise ethics values is “to take from the people” and “to serve the people”. “To take from the people” means the fundamental source of the profit of an enterprise, as a profit organization, came from the consumers. So enterprises must follow the idea of “to serve the people” to stand on the consumer's position for the sake of customers and take consumers' demands as the core to determine the operating direction and business strategy by which the consumers could satisfy with the products and services, so as to enhance the visibility and reputation of the enterprise.

5.2 Restructuring the Chinese business ethics principle of “virtue first”

“Kindness” is the manifestation of virtue. The embodiment of kindness mainly depends on self-discipline. Its subject can be individuals or enterprises. To restructure
the Chinese business ethics principle of “virtue first”, we should practice the moral standards of the Confucian virtue ethics such as “unity of profit and righteousness”, “credit and honesty first” and “unity of ethics and law”.

(1)“unity of profit and righteousness”, to take social responsibility

Confucian merchants carry out the ethical thought of “unity of profit and righteousness” in business activities. They thought that commercial activities should not only be confined to making profit, but also show the pursuit of virtue. Enterprises should conform to the ethical principles which mean to take social responsibilities. As the economic organization and subject of the market economy, enterprises should not only create material wealth, but also consciously fulfill their social responsibilities. Corporate social responsibility played an invisible, potential, and lasting role for the development of enterprises. By fulfilling the social responsibilities, it is conducive for the enterprises to establish a good corporate image, increase the intangible assets, and improve the economic benefits, which can help to realize the “unity of profit and righteousness”.

(2)“credit and honesty first”

Honesty is the ethical criterion of the Confucian ethics. Confucius said: “It is unthinkable for a man to lose his credibility”, which emphasized keeping one's words. The core of business ethics is honesty: no cheating and keeping promises. Credit is essential for man and enterprise also and is the sense of responsibility and justice for customers and partners. Market economy is a contract economy, credit economy, and is the economy based on credit. Trustworthiness and honesty are essential occupation moral and the basis of Fair and orderly competition.

(3)“unity of ethics and law”, to establish an orderly environment

Confucianists advocated “unity of ethics and law”, and management of alternate leniency with severity. Confucius said: “A man should be polite to make a foothold in the society and family.” As a moral norm, “courtesy” has more rich connotations under modern market economy conditions. “Courtesy” is not only the public guidelines for the society but also laws and regulations to form a harmonious society. In modern business competition, enterprises can realize coexistence and harmonious development only by following both “courtesy” and “law”. Let “courtesy” become the institutional mechanisms for employees' consciousness, by which employee self management system established. The cohesion of the enterprise strengthened through realization of employee's dignity and individual value.

5.3 Restructuring the Chinese business ethics goal of “peace-cherished”

The Confucian cultural values such as “peace-cherished”, “man should be in harmony
with nature”, and “seeking common ground while reserving differences” had rich social and cultural foundation. Because of the restructuring of business ethics had the inheritance and continuity, Confucian cultural values became the object of the restructuring.

(1)“peace-cherished”, the basis of high-efficiency team

Team spirit based on the concept of “peace-cherished” had great effect on internal team spirit promotion, enterprise performance and vicissitude. Taking Confucianism as the leading values, a company should make effort in three aspects as followings: Firstly, a company should cultivate the spirit of teamwork to form harmonious group relationship. Secondly, a company should encourage employees to work wholeheartedly in order to realize the goal of enterprise. Lastly, a company should insure the master position of staff to truly integrate enterprise and employee for cooperation.

(2)“man should be in harmony with nature” to achieve sustainable development

Confucianism advocates respect for all life values. It respected the nature of the law and took friendly and harmonious development between man and nature as the highest moral point. Ecological environment directly affects the business activities of enterprises, and promotes the enterprise to integrate environmental issues into the enterprise management activities. This requires companies to take on social responsibility, and combine the economic and social benefits to achieve scientific development, sustainable development based on the coordination of enterprise, society and nature.

(3)“harmony but not sameness”, to create a harmonious enterprise competitive environment

Confucianism advocates the idea of “harmony but not sameness”. For enterprises, we should pay attention to cooperation based on mutual benefit between different operators in order to promote both the competition and cooperation. The competition of the modern market economy is different from the traditional one. It should not only conform to the basic regulation of economic competition, but also involve in the Confucian concept of “harmony but not sameness”. In order to survive in the fierce competition, enterprises must understand the importance of cooperation, handle all business activities in friendly manner, and strive to create a harmonious market environment. Only in this way can enterprises achieve a win-win situation and the goal of development.

6. The Conclusion

The same as commercial culture, business ethics is an eternal existence. As long as the
existence of the transaction, there may be a business ethics problem which developed with the continuous development of social economy and going by of time. Similarly, the loss of business ethics can also lead to the academic and business community to rethink, and restructure the business ethics. This is because the enterprises broke through the legal framework even framework of the business ethics. People always reflect on how to govern and control the current business pattern with business ethics in order to find better solution of the business ethics problems in the market economy. However, business ethics and business culture, is bound to be influenced by social culture. The social and cultural differences among countries and regions resulted in the national characteristics of business ethics culture in various regions of the world. Therefore, business ethics should have different characteristics, but also the commonness. There should be restructuring of business ethics to build global business ethics which can adapt to the globalization and the internet trend. Such business ethics system should adhere to the principle of “to balance the profit and righteousness” as a prerequisite for commercial transactions, the principle of “honest and trustworthy, fair trade” as the basis for commercial transactions, the principle of “harmony” and “mutual benefit” as the purpose for business transactions.

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The linkage effect between the index of stock market industry sectors and RMB exchange rate

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**ABSTRACT**

By using the research methods of combination of wavelet analysis and multivariate GARCH - BEKK mode to measure the fluctuation correlation and linkage effect between the Chinese strategic emerging industries plate and stock index. The empirical results show that the index between the RMB exchange rate and information technology and the biomedical sector all have different extent and cycle properties interaction effect,

**Key words:** wavelet analysis, RMB exchange rate, industry stock, linkage effect

**Preface**

In recent years, the RMB exchange rate he U. S. dollar continues to decline, with the increase in bilateral transaction volatility. The Chinese stock market also shows a trend of shock. The Shanghai Composite Index in March 2014 even fell below 2000 points on the board. The linkage effect of the domestic currency market and the stock market becomes obvious. About the study of the linkage effect between the RMB exchange rate and stock market industry plate index, the domestic scholars conducted few studies, mostly confined to the single effect study of the exchange rate changes and the industry plate index but insufficient studies on the unilateral linkage effect. The research on use of the method by combining multivariate GARCH-BEKK model and wavelet analysis to carry out the wavelet multi-discrimination analysis on RMB exchange rate and the primitive interest rate data of the industry index stock and establish then the multi-element GARCH (1, 1) -BEKK model to measure the linkage rate between the two, focusing on the interactive influence between the exchange rate fluctuation and strategic emerging industry listing Corporation board's stock price performance.
1. Research methods and design ideas

1.1 Wavelet analysis

Wavelet analysis is a special time-frequency analysis method, both important and practical, and wavelet analysis based on Fu Liye transform. The main principle of wavelet multi-resolution is to decompose a complex signal into different scales. The time series $S$ as a signal can be decomposed into low-frequency information $A_1$ and high frequency information $D_1$ two parts, the specific decomposition of the low frequency $A_1$ in the loss of information is captured by high frequency $A_1$; in the next lower level can be decomposed into low-frequency $A_2$ and high frequency $D_2$ two parts, the loss of information in the low frequency $D_2$ $A_2$ capture,

\[ S = a_1 + d_1 = a_2 + d_2 + d_1 = \ldots = a_n + d_n + d_{n-1} + \ldots + d_1 \quad (1) \]

Using wavelet multi-resolution analysis, the time series can be decomposed in different amplitude and frequency period, and the different correlation and delay of the financial time series are analyzed. In this paper, we use the wavelet multi-resolution analysis to analyze the exchange rate of RMB exchange rate and the stock index of the industry, and get the sequence data of the yield under different transaction periods. The decomposition level of the original time series $S$ is corresponding to the decomposition scale of wavelet analysis model. This paper is divided into 4 layers, which is because the original data is in the daily, weekly and monthly observation time of the linkage effect after the 4-layer decomposition. Its corresponding scale parameters and economic meaning are: $D_1$ represents $21 = 2$ days ($22 = 4$ days (Zhou Yi) fluctuations in short-term changes, $D_4, D_3$, respectively, on behalf of the high frequency part of the fluctuations in the $23 = 8$ days, $24 = 16$ days (Zhou Zhiyue spillover effect), $A_4$ represents the long-term trend of the 4 layer of the original sequence.

1.2 The structure and estimation of multivariate GARCH-BEKK model

This paper adopts multivariate GARCH-BEKK model to observe the linkage effect and volatility spillover of the RMB exchange rate and the strategic emerging industries plate stock index with the time change. Specifically, the conditional mean equation of the multivariate GARCH-BEKK model is:

\[ R_t = \left( \frac{R_{1,t}}{R_{2,t}} \right) = \left( \begin{array}{c} C_1 \\ C_2 \end{array} \right) + \left( \begin{array}{cc} A_{11} & A_{12} \\ A_{21} & A_{22} \end{array} \right) \left( \begin{array}{c} R_{1,t-1} \\ R_{2,t-1} \end{array} \right) + \left( \begin{array}{c} \varepsilon_{1,t} \\ \varepsilon_{2,t} \end{array} \right) \quad (2) \]

$R_t$ on behalf of daily return rate of the exchange rate and the industry index at time $t$ is a $2 \times 1$ dimensional vector sequences; $\varepsilon_t$ represents on behalf of market
impact at time $t$ is $\varepsilon_t | \sigma_{t-1} \sim N(0, \ h_t)$, namely a 2 dimension random error vector sequence and there exists. Conditional covariance matrix of BEKK-GARCH model is written as:

$$
\begin{pmatrix}
\sigma_{11} & \sigma_{12} \\
\sigma_{21} & \sigma_{22}
\end{pmatrix}
= \begin{pmatrix}
\alpha_{11} + \alpha_{12} \sigma_{11,-1} + \alpha_{21} \sigma_{21,-1} & \alpha_{12} \sigma_{11,-1} + \alpha_{22} \sigma_{22,-1} \\
\alpha_{21} \sigma_{11,-1} + \alpha_{22} \sigma_{22,-1} & \alpha_{22} \sigma_{22,-1}
\end{pmatrix}
\begin{pmatrix}
\varepsilon_{1,t-1} & \varepsilon_{2,t-1}
\end{pmatrix}
+ \begin{pmatrix}
a_{11} \varepsilon_{1,t-1} \\
a_{22} \varepsilon_{2,t-1}
\end{pmatrix}
$$

Here, $H_{11,t}$ is on behalf of the conditional variance of the industry index return rate, and $H_{22,t}$ on behalf of the conditional variance of the industry index return rate and $H_{12,t}$ on behalf of the conditional variance of the exchange rate and industry index return rate. In particular, what $\alpha_{11}$, $\beta_{11}$ describe is ARCH and GARCH volatility effect of exchange rate itself, what $\alpha_{22}$, $\beta_{22}$ describe is ARCH and GARCH volatility effect of the industry index return rate itself; what $\alpha_{21}$, $\beta_{21}$ describe is ARCH and GARCH volatility effect of exchange rate on the industry index return rate (which is the occurred change of the past abnormal impact of exchange rate and the volatility spillover of industry index on the exchange rate); what $\alpha_{21}$, $\beta_{21}$ describe is ARCH and GARCH volatility effect of the industry index return rate on exchange rate (which is the occurred change of the past abnormal impact of the industry index on the conditions of the exchange rate and the volatility spillover of industry index on the exchange rate.

For the further study on the significance of spillover effect between the exchange rate and strategic emerging industry stock indexes, this paper carries out the Wald test in view of the volatility spillover effect of the matrix elements, namely joint inspection on the significance of model coefficients. Using Wald statistics to test the linkage effect of RMB exchange rate and stock index returns, it includes three hypotheses: When inspecting that industry stock index does not have a direct spillover effect on RMB exchange rate (that is, the one-way volatility spillover effect), the former hypothesis is $H_0$: $\alpha_{21} = \beta_{21} = 0$; When inspecting that RMB exchange rate does not have a direct spillover effect on industry stock index (that is, the one-way volatility spillover effect), the former hypothesis is $H_0$: $\alpha_{21} = \beta_{21} = 0$; When inspecting that industry stock index and RMB exchange rate do not have a mutual spillover effect (that is, the dual-way volatility spillover effect), the former hypothesis is $H_0$: $\alpha_{21} = \beta_{21} = 0$.

2. Empirical research process

2.1 Selecting sample data

In order to enhance the comparability with other related studies, this paper selects the direct pricing method to represent the named exchange rate change rate of
RMB against the U.S. dollar in the name of exchange rate profit rate. In the choices of industry sector stock index, taking into account the seven sectors covered by the strategic new industry, electronic information technology industry has a significant advantage in the industrial structure optimization and the radiation promotion role, and bio pharmaceutical industry has an important position in the national economy and life in the field. The above two industries in the stock market in general is divided into class-A industry. Through the comparative analysis of industry representativeness and other industry object selection samples in research literatures, this paper finally selects 2 industry sector indexes--information technology and bio pharmacy as the research object of listing Corporation stock plate in strategic emerging industry, with the data from the State Administration of foreign exchange and Shenyin Wanguo Securities website. In order to meet the requirements of data stability, this paper will do the following transformation on the original data:

$$R_{t,i} = \ln \frac{P_{i,t}}{P_{i,t-1}} \times 100$$

(4)

Wherein, Rt represents the earnings lemon sequence during the t trading day; Pt the closing price during the t trading day; I = 1, 2, 3 is respectively on behalf of the RMB exchange rate against the dollar, information tech industry index and bio pharmaceutical industry stock index.

2.2 Data and basic statistical analysis

It can be seen from the data in the table, information technology index and biological pharmaceutical index return rate series mean are greater than the exchange rate’s yield rate livestock column mean, with standard deviation also relatively large, indicating that phase compared with the foreign exchange market, the high yield rate in domestic stock market is also associated with a high risk; the mean of bio pharmaceutical industry stock index is higher than the information technology industry stock index, but its standard deviation is slightly lower than that of the latter, indicating that although they are situated in domestic similar macroeconomic environment and the political and social background, importance different enterprise's grow ability and share price performance in the sub industry and industry categories cross strategic emerging industries still exist differences, with profitability and risk degree distribution asymmetry. Three sequences are of non-normal distribution, showing the left or right skewed distribution, with the kurtosis values greater than 3, indicating that the sequence distribution is steep, showing the characteristics of peak thick tail distribution. The statistics of Q (n), Q2 (5), Q2 (10) and Q2 (20) with the combined lag autocorrelation coefficient as zero shows that, original sequence and sequence square value for exchange rate and stock return rate are mostly auto correlated, with volatility clustering and obvious arch effect. AdF test results show
that the sequence does not exist unit root, but all are stationary series, consistent with the requirements of establishing the GARCH model to measure the fluctuation.

3. The estimated results and analysis for the linkage effect

Empirical model estimation adopts WinRatS8.0 software to achieve to obtain that based on multiple GARCH (1, 1) -BEKK model, the exchange rate of the RMB exchange rate in the information technology industry and the stock index of the biological medicine industry, and the test results of the linkage effects of the yield sequence of the different periods after the wavelet multi-resolution processing.

Information equipment is the goods type for a large number of domestically concerned import and export trade. The manufacturing communications equipment, computers and other electronic equipment manufacturing industry in the information technology industry are the main industries in recent years to promote China's import and export growth. The results show that S represents the original sequence of RMB exchange rate and information technology industry stock index yield rate. About the mean spillover effect, a11 and a22 are significant, which indicates that there is correlation between RMB exchange rate and information technology industry stock index yield rate; exchange a11 and a22 refuse the original hypothesis under 5% noticeable level, which indicates that there is dual-way spillover effect between RMB exchange rate and information technology industry stock index yield rate. In the volatility spillover effect, the diagonal elements of parameter matrix A and B are very significant, which indicates that the volatility of the exchange rate and information technology industry is significantly affected by the original volatility of the series, with volatility aggregation; the non-diagonal elements are also very significant, and the results show that there is a two-way and one-way volatility spillover effect between the exchange rate and the information technology index based on the original yield data analysis, and the Wald test results reject the original hypothesis all to confirm the above conclusions.

There is a significant first order lagged autocorrelation among the sequences in the mean spillover effect under the periodic distribution, the diagonal elements of parameter matrix A and B are noticeable under the 1% test level: that is both the exchange rate and the information technology industry index show noticeable GARCH and ARCH effects, with with volatility aggregation and the two are both affected by the external shocks and their own memory. Overall, there exists bi-directional spillover effect between the exchange rate and information technology index and spillover intensity of exchange rate in each cycle to information technology sector is greater \( \alpha_{a12} < \alpha_{a21} \), \( \beta_{a12} > \beta_{a21} \). However, from the non-diagonal elements of parameter matrix A and B, the two demonstrate in different periods the transfer relationship both in different mean spillover effects and volatility spillover effects, and the exchange rate of the ARCH spillover effects and GARCH volatility spillover effects show a more and more weak trend (two volatility spillover coefficients \( \alpha_{12} \) and \( \beta_{12} \) decrease with the length of the cycle). China's technology-import dependent high-tech industries have no advantage in the key technology intellectual property and in a certain period of time will also
maintain a large number of imports. Under the conditions of the exchange rate improvement, in the short-term they can maintain their own advantages in terms of cost, that is, the RMB appreciation and the yield rate in information technology sector rises. But under the long-term trend what the yield rate of exchange rate plays on the information technology sector is a positive leading role, that is, the RMB appreciation and the yield rate of the industry sector index decreases. Information technology industry can be divided into low value products and high value products. In recent years, China's information technology exports become more and more, especially for the domestic communication manufacturing industry, the RMB appreciation means that the price of China telecom enterprise products in the international market also gradually rises, and has a negative impact on China’s communication enterprise export and the implementation of the going-out strategy producing communication hardware facilities (mobile phone and other terminal equipment, program control equipment, computer and so on).

The building process of the linkage effect model among RMB exchange rate biological medicine indexes and the analysis method of the parameter estimation results are consistent with the above. Also mean spillover effect and the arch spillover effects do not appear in D2 and D3 level, namely during the weekly and monthly trading period, especially the spillover effect of exchange rate on bio pharmaceutical sector is mainly reflected in the longer period (D4), and with the periodic changes, the spillover coefficient becomes larger and larger, the biopharmaceutical sector is just the opposite, with the spillover effects only occurred in D1 level and long-term trend of the exchange rate, also namely the volatility spillover period of the plate on the exchange rate is very short (2 days). On the whole, because the pharmaceutical industry generally has no foreign exchange losses due to borrow large amounts of foreign currency debt and the cost change risk relying on imported raw materials or production equipment, in the short term exchange rate changes have not affected the trend of bio pharmaceutical sector index. From a long period of view, RMB appreciation will affect the growth rate and the growth pattern of the domestic economy, consumer goods will gradually replace the invested products to promote the first driving force for economic growth, and the Chinese medicine and biological medicine industry has very good consumer bases in our country. In particular, those traditional Chinese medicine with limited resources and strong monopoly, have fewer impacts from imported substitution goods, and driven by the increase in the income level of residents, it will show the sustained and stable growth characteristics, and will also play a role on the stock price of the relevant enterprises.

**Summary**

Stock market and exchange market are both of the subsystem of the financial market, and they are likely to have a causal relationship of mutual correlation and mutual promotion, and the relationship between the exchange rate and stock price will
appear differences on the correlation size and the linkage effect based on different import and export trade volumes, international pricing and capital structure in the stock market’s belonged industry. Strategic emerging industries, as the representative industry with high technology content and large growth potential, not only play an important role in the stock market in China’s industrial structure upgrading and economic development mode change process, but also its listing Corporation's performance is also very active. At this stage, the decisive role the market plays in the allocation of resources has become increasingly obvious, and the information flow between the market is becoming more and more frequent. The real economy and the financial assets appear interactive influence. The study on the linkage effect between foreign exchange market and emerging industry sector has practical significance and reference value.

Reference


The Research on Effect Factors of Mobile Bank Use
Intention Based on Perceived Risk

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ABSTRACT

Mobile bank, as an emerging form of financial service, has received widespread attention, and its development is strongly decided by customers’ use intention. This paper deals with the effect factors of use intention of mobile bank according to the characteristics of perceived risk. This paper adopts the methods of interview, the construction of theoretical models and questionnaire survey to analyze the data. The results show that perceived risk, technology convenience and service quality of operators significantly affect the use intention and attitude of mobile bank. The research conclusions also find that to promote the population of mobile bank, strengthening technological innovation, enhancing usability and usefulness of mobile bank, deepening cooperation with mobile operators are necessities. And also,
improving safety and service quality has practical significance on the promotion of mobile service.

**Keywords:** Mobile bank, Perceived risk, Use intention, Mobile Operator

As a typical mobile financial service, mobile bank satisfies customers’ need of dealing with financial businesses whenever and wherever necessary while also reduces costs of banks as well as increases their marketing competence. Till now, most researches done before by researchers both at home and abroad focused majorly on the aspects of technology, cost and service quality of mobile bank. Given the lack of such researches on perceived risk in this field, the paper conducted a study of costumers’ use intention pioneering in such angle and using customer trust as intermediate variable.

1 **RESEARCH SITUATION**

Mobile bank is an emerging financial service which provides customers with a platform to deal with various sorts of on-line banking businesses.

Here are some brief introductions of previous researches conducted in this field:

The research of Elke (2003) studied various banks in Europe and suggested banks to build sound safety mechanisms, for example, risk managing information system;

The research of Ahrraf (2004), from the angle of value orientation, elaborated the differences between mobile bank and other kinds of banking in satisfying various needs of customers;

The research of Wanghao (2013) analyzed initial trust of customers and build a model of initial trust of mobile bank customers based on effect factors of customers’ trust and cognition, risks, technology, image and reputation of banks and trading system;

And the research of Zhongchunfang (2011) and his team, from the angle of consumer behavior, elaborated how factors such as customers’ consumption habits and concepts as well as attitudes, risks and costs affect the use of mobile bank.

All researches mentioned above have limitations of region and stage to some degree, so further studies on use activities of mobile bank are required.

2 **RESEARCH HYPOTHESIS**

2.1 Perceived Risk
Perceived risk has long been a key point of mobile bank use research. It is probable that customers’ trust of mobile bank sharply decrease as risk grows. Given that perceived risk has much effect on customers’ attitude on and trust in mobile bank, the following hypotheses were made:

H1a: perceived risk negatively affects customer trust
H1b: perceived risk negatively affects use attitude

2.2 Technology Convenience

Technology convenience includes perceived usability and perceived usefulness. It is recorded that technology convenience is significantly correlated with customers’ use intention and it also has significant effect on customer trust. So the following hypotheses were made:

H2a: technology convenience positively affects customer trust
H2b: technology convenience positively affects use attitude

2.3 Use Ability

Customers having no trouble in using new technology is the precondition of the technology being adopted. If customers believe that they are unable to use mobile bank, even if the technology is easy-to-use, little will be the chance that they will trust and accept it. So the following hypotheses were made:

H3a: use ability positively affects customer trust
H3b: use ability positively affects use attitude

2.4 Service Quality of Operators

The use of mobile bank relies on mobile communication devices, so the service quality of operators also affects use activities and attitudes of customers. On the other hand, high degree of trust in mobile bank will push customers to use it in spite of poor service quality. So the following hypotheses were made:

H4a: service quality of operators positively affects customer trust
H4b: service quality of operators positively affects use attitude

2.5 Financial Cost

Financial cost does exist in any kinds of business, but it’s still controversial that
whether it has significant effect on use intention of mobile bank. For now, the application of mobile bank is still in the primary stage with wide gaps among places, which contributes to the uncertainty. So in this paper, financial cost was taken into consideration and the following hypotheses were made:

H5a: financial cost negatively affects customer trust
H5b: financial cost negatively affects use attitude

2.6 Customer Trust

During the use of mobile bank, customers can not witness the operating procedures, which gives rise to their worry about risks and uncertainties of doing business online. Therefore, building sound customer trust is essential to remove their worries. After that, the satisfaction and confidence of such new technology will efficiently push them to keep using mobile bank in the long run. So the following hypothesis was made:

H6: customer trust positively affects use attitude

2.7 The Mediation of Customer Trust

Customer trust has some relations with use intention of mobile bank, acting as an intermediary. On the other hand, from the perspective of cognitive psychology, use ability and financial cost both affects the credit of mobile bank, which decided the use attitude in turn. So the following hypotheses were made:

H7a: customer trust serves as a mediation between perceived risk and use attitude
H7b: customer trust serves as a mediation between use ability and use attitude
H7c: customer trust serves as a mediation between technology convenience and use attitude
H7d: customer trust serves as a mediation between service quality of operators and use attitude
H7e: customer trust serves as a mediation between financial cost and use attitude

3 RESEARCH DESIGN

3.1 Sample Design and Research Objects

In this paper, three groups of people are selected as research objects:

Mobile bank customers in financial institutions. This group of people are key objects
of the research for they have some knowledge of mobile bank and have direct access to it.

Officials of public institutions and employees of enterprises. This group of people, aged between 20 and 45 and majorly well-educated, are perfect potential customers of mobile bank because they have no trouble in using and affording it.

College students. This group of people are also important potential customers for their high frequency of using mobile phones and doing online shopping.

In this survey, 300 pieces of questionnaires were sent through e-mails or handed out to passers-by, of which 277 has been collected, forming a collecting rate of 92.33%. 265 out of 277 pieces of questionnaires were finally chose as valid ones according to the standards of the quality and completeness, forming a validity rate of 88.33%. The sex distribution is relatively even. 93.96% of people surveyed aged between 21-40, and most of them are officials of government or institution, employees of enterprises and students. The percentage of people who got a Bachelor degree or above is also 93.96%. Most people chosen in this survey use mobile phone frequently and spend 50-100 yuan on it every month. In all, the selection of sample is reasonable.

3.2 Evaluation of Reliability and Validity

To evaluate the reliability of variable groups, the method of internal consistency reliability was adopted, in which the Cronbach's alpha coefficient was calculated.

The result proves that the reliability is acceptable as Cronbach's alpha coefficient of all groups reach 0.791.

And here are the results of data analysis by SPSS: KMO is 0.874, frequency of Bartlett Sphericity test is 0. The results prove the data to be a applicable basement to factor analysis.

3.3 Evaluation of Hypotheses

3.3.1 Correlation Analysis of Variables

To analyze correlation of interval variables, Pearson correlation coefficient was adopted. The results are showed in the following Chart3.1:

**Chart3.1** Correlation of interval variables
3.3.2 Evaluation of Relation between Five Factors and Use attitude

Chart 3.1 shows that there is a negative correlation between use attitude and perceived risk as well as financial cost, and there is a positive correlation between use attitude and technology convenience as well as service quality of operators. Therefore, an analysis of regression was conducted regarding use attitude as dependent variable and five factors as independent variables to further illustrate the relations of all factors. The results are showed in the following Chart 3.2-3.4:

**Chart 3.2** The Abstract Form of Regression Models of Five Factors and Use Attitude

<table>
<thead>
<tr>
<th>model</th>
<th>R</th>
<th>R²</th>
<th>Adjusted R²</th>
<th>Estimated standard error</th>
</tr>
</thead>
</table>

The multiple correlation coefficient of five factors is 0.748, 55% of the total variation of regression equation explanation. As goodness of fit is high, the conclusion proves the model to be valid.
**Chart 3.3** The Analysis Form of Regression Variance of Five Factors and Use Attitude

<table>
<thead>
<tr>
<th>model</th>
<th>quadratic sum</th>
<th>degree of freedom</th>
<th>mean square sum</th>
<th>F evaluation</th>
<th>significance</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>regression</td>
<td>96.826</td>
<td>5</td>
<td>19.363</td>
<td>65.415</td>
</tr>
<tr>
<td></td>
<td>residual</td>
<td>76.376</td>
<td>258</td>
<td>.296</td>
<td></td>
</tr>
<tr>
<td></td>
<td>sum</td>
<td>173.202</td>
<td>263</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

The significance level $P=0<0.05$, therefore, the model is valid.

**Chart 3.4** The evaluation form of regression coefficient estimation and significance of five factors and use attitude

<table>
<thead>
<tr>
<th>model</th>
<th>Unstandardized Coefficient</th>
<th>standard error</th>
<th>standardized coefficient</th>
<th>Beta curve</th>
<th>t</th>
<th>significance</th>
</tr>
</thead>
<tbody>
<tr>
<td>(constant)</td>
<td>.969</td>
<td>.314</td>
<td>.510</td>
<td></td>
<td>3.088</td>
<td>.002</td>
</tr>
<tr>
<td>Technology convenience</td>
<td>.503</td>
<td>.064</td>
<td></td>
<td>.510</td>
<td>7.883</td>
<td>.000</td>
</tr>
<tr>
<td>Perceived risk</td>
<td>-.056</td>
<td>.036</td>
<td>-.097</td>
<td></td>
<td>-.1.547</td>
<td>.012</td>
</tr>
<tr>
<td>Financial cost</td>
<td>-.054</td>
<td>.050</td>
<td>-.076</td>
<td></td>
<td>-.1.077</td>
<td>.282</td>
</tr>
<tr>
<td>Use ability</td>
<td>.027</td>
<td>.055</td>
<td>.028</td>
<td></td>
<td>.473</td>
<td>.622</td>
</tr>
<tr>
<td>Service quality</td>
<td>.214</td>
<td>.053</td>
<td>.191</td>
<td></td>
<td>4.034</td>
<td>.000</td>
</tr>
</tbody>
</table>

The significance level of technology convenience variable is $P=0<0.05$; the significance level of service quality of operators variable is $P=0<0.05$ and the significance level of perceived risk variable is $P=0.012<0.05$. Therefore, there are significant linear correlations between the three factors and use attitude.

The conclusion also shows that the standardized regression coefficients of service quality of operators and technology convenience are 0.191 and 0.510 respectively, which proves that there are positive correlations between the two factors and use attitude; while the coefficient of perceived risk variable is -0.097, which proves there is negative correlations between the factor and use attitude.

However, the significance level of variables of financial cost and use ability are both over 0.05($P>0.05$), proving there is no significant correlation between the two factors and use attitude.
To sum up, H1b, H2b and H4b hypotheses are correct, while H3b and H5b are incorrect.

3.3.3 Evaluation of Relation between Five Factors and Customer Trust

Chart3.1 shows that there are positive correlations between customer trust and use ability, technology convenience as well as service quality of operators and there are negative correlations between customer trust and financial cost as well as perceived risk. Therefore, an analysis of regression was conducted, regarding customer trust as dependent variable and five factors as independent variables to further illustrate the relations of between use attitude and all factors. The results are showed in the following Chart3.5-3.7

**Chart3.5** The Abstract Form of Regression Models of Five Factors and Customer Trust

<table>
<thead>
<tr>
<th>model</th>
<th>R</th>
<th>R²</th>
<th>Adjusted R²</th>
<th>Estimated standard error</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>.750n</td>
<td>.562</td>
<td>.555</td>
<td>.501</td>
</tr>
</tbody>
</table>

The multiple correlation coefficient of five factors is 0.75, 55.4% of the total variation of regression equation explanation. As goodness of fit is high, the conclusion proves the model to be valid.

**Chart3.6** The Analysis Form of Regression Variance of Five Factors and Customer Trust

<table>
<thead>
<tr>
<th>model</th>
<th>quadratic sum</th>
<th>degree of freedom</th>
<th>mean square sum</th>
<th>F evaluation</th>
<th>significance</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>regression</td>
<td>5</td>
<td>5</td>
<td>16.676</td>
<td>.000n</td>
</tr>
<tr>
<td></td>
<td>residual</td>
<td>258</td>
<td>258</td>
<td>.251</td>
<td></td>
</tr>
<tr>
<td></td>
<td>sum</td>
<td>263</td>
<td>263</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

The significance level P=0<0.05, therefore, the model is valid.

**Chart3.7** The evaluation form of regression coefficient estimation and significance of five factors and customer trust
<table>
<thead>
<tr>
<th>Model</th>
<th>Unstandardized Coefficient</th>
<th>Standardized Coefficient</th>
<th>t</th>
<th>Significance</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>B</td>
<td>Standard error</td>
<td>Beta curve</td>
<td></td>
</tr>
<tr>
<td>1</td>
<td>(constant)</td>
<td>1.068</td>
<td>.289</td>
<td>3.691</td>
</tr>
<tr>
<td>Technology convenience</td>
<td>.410</td>
<td>.059</td>
<td>.448</td>
<td>6.964</td>
</tr>
<tr>
<td>Perceived risk</td>
<td>-.083</td>
<td>.034</td>
<td>-.154</td>
<td>-2.463</td>
</tr>
<tr>
<td>Financial cost</td>
<td>-.008</td>
<td>.046</td>
<td>-.014</td>
<td>-1.986</td>
</tr>
<tr>
<td>Use ability</td>
<td>.079</td>
<td>.051</td>
<td>.087</td>
<td>1.545</td>
</tr>
<tr>
<td>Service quality</td>
<td>.240</td>
<td>.049</td>
<td>.232</td>
<td>4.910</td>
</tr>
</tbody>
</table>

The significance level of variables of technology convenience, service quality of operators and perceived risk are all below 0.05. Therefore, there are significant linear correlation between the three factors and customer trust.

The conclusion also shows that the standardized regression coefficients of service quality of operators and technology convenience are 0.232 and 0.448 respectively, which proves that there are positive correlations between the two factors and customer trust; while the coefficient of perceived risk variable is -0.154, which proves there is negative correlations between the factor and use attitude.

However, the significance level of variables of financial cost and use ability are both over 0.05 (P>0.05), proving there is no significant correlation between the two factors and customer trust.

To sum up, H1a, H2a and H4a hypotheses are correct, while H3a and H5a are incorrect.

3.3.4 Evaluation of Mediation of Customer Trust

The method of multiple regression was adopted to evaluate the mediation of customer trust. Former evaluation of hypotheses has reached the conclusion that H3a, H3b, H5a and H5b are incorrect, while H1a, H1b, H2a, H2b, H4a and H4b are correct, therefore a regression analysis of perceived risk, technology convenience service quality of operators, use attitude and customer trust was conducted. The results are showed in the following Chart3.8-3.10:

**Chart 3.8** The Abstract Form of Regression Models of Mediation Evaluation
67.8% of the total variation of regression equation explanation. As goodness of fit is high, the conclusion proves the model to be valid.

**Chart 3.9** The Analysis Form of Regression Variance of Mediation Evaluation

<table>
<thead>
<tr>
<th>model</th>
<th>quadratic sum</th>
<th>Degree of freedom</th>
<th>mean square</th>
<th>F evaluation</th>
<th>significance</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>118.199</td>
<td>4</td>
<td>29.550</td>
<td>139.144</td>
<td>.000&lt;sup&gt;a&lt;/sup&gt;</td>
</tr>
<tr>
<td>residual</td>
<td>55.003</td>
<td>259</td>
<td>.212</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>173.202</td>
<td>263</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

The significance level P=0<0.05, therefore, the model is valid.

**Chart 3.10** The evaluation form of regression coefficient estimation and significance of mediation evaluation

<table>
<thead>
<tr>
<th>model</th>
<th>Unstandardized Coefficient</th>
<th>standardized coefficient</th>
<th>t</th>
<th>significance</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>B</td>
<td>standard error</td>
<td>Beta curve</td>
<td></td>
</tr>
<tr>
<td>1 (constant)</td>
<td>.178</td>
<td>.229</td>
<td>.776</td>
<td>.438</td>
</tr>
<tr>
<td>Technology convenience</td>
<td>.276</td>
<td>.051</td>
<td>.279</td>
<td>5.366</td>
</tr>
<tr>
<td>Perceived risk</td>
<td>-.031</td>
<td>.024</td>
<td>-.053</td>
<td>-1.247</td>
</tr>
<tr>
<td>Financial cost</td>
<td>.082</td>
<td>.046</td>
<td>.073</td>
<td>1.775</td>
</tr>
<tr>
<td>Use ability</td>
<td>.577</td>
<td>.057</td>
<td>.534</td>
<td>10.137</td>
</tr>
<tr>
<td>Service quality</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

The significance level of variables of technology convenience, customer trust, service quality of operators is all below 0.05. Therefore, there are significant linear correlation between the three factors and use attitude.

The standardized coefficient of customer trust is 0.543, proving that there is a positive
correlation between customer trust and use attitude and the H11 hypothesis is correct; the standardized coefficient of technology convenience is 0.279, proving that customer trust serves as a partial mediation in the positive correlation between technology convenience and use attitude to some degree and the H14 hypothesis is correct; and the standardized coefficient of service quality of operators is 0.073, proving that customer trust serves as a partial mediation in the positive correlation between service quality of operators and use attitude to some degree and the H15 hypothesis is correct.

However, the index of perceived risk is no longer significant, proving that customer trust serves as a Full mediation in the correlation between perceived risk and use attitude to some degree and the H12 hypothesis is correct.

3.4 Analysis of Evaluation Results

3.4.1 Relations between five factors and use attitude

The analysis results show that technology convenience and service quality of operators and use attitude are positively related while perceived risk and use attitude are negatively related.

Technology convenience has a much greater effect on use attitude than service quality of operators, while perceived risk has least effect on it. The reason possibly lies in inadequate familiarity of mobile bank of customers. Only after they found out the convenience, usefulness and safety of mobile internet will they hold a positive attitude toward mobile bank.

It has been proved that customers do taken safety into account to avoid possible risk, while whether financial cost and use ability affect their use attitude are still leaved unknown. The reasons are: firstly, research objects generally have relatively high degree and education level, so they have little trouble in using the technology; secondly, peoples’ price sensitiveness are getting lower as their income raised with advancement of society and development of economy.

3.4.2 Relations between five factors and customer trust

The analysis results show that technology convenience and service quality of operators and customer trust are positively related while perceived risk and customer trust are negatively related. Technology convenience has a much greater effect on customer trust than service quality of operators, while perceived risk has least effect on it. However, whether financial cost and use ability affect customer trust are still leaved unknown. In conclusion, customer trust of mobile bank has no relation with factors such as financial cost and use ability.
3.4.3 The mediation of customer trust

The analysis results show that customer trust serves as a partial mediation to some degree in the correlation between use attitude and both technology convenience and service quality of operators, and as a full mediation in the correlation between perceived risk and use attitude to some degree. In other words, as customers, they will place trust in it, thus generating their positive attitude over mobile bank.

On the other hand, even if customers don’t have originate trust in mobile bank, there is the possibility for them to have positive attitude over it as they likewise found out the usability and perceived usefulness of mobile bank and satisfied with the service quality of operators.

On the contrary, if they perceived risk, the distrust will thus draw negative attitude over mobile bank.

4 CONCLUSION AND REVELATION

4.1 research conclusion

Through the research, following conclusions were reached:

1) Perceived risk negatively effects use attitude and use intention of mobile bank. However, the effect is not as great as technology convenience. And in the correlation between perceived risk and use attitude, there are both direct effect as well as the mediation of customer trust.

2) The factor of technology convenience, which are composed by perceived usability and usefulness of a new technology, has a positive effect on use attitude of mobile bank, thus deciding use intention of customers. And in the correlation between technology convenience and use attitude, there are both direct effect as well as the mediation of customer trust.

3) The factor of service quality of operators has a positive effect on use attitude and use intention of mobile bank. And in the correlation between service quality of operators and use attitude, there are both direct effect as well as the mediation of customer trust.

4.2 Management revelations

1) Avoid risk and improve safety of mobile bank. To solve the problem of safety, banks should attach importance to technology and perfect system platform of mobile bank, and also enhance the cooperation with operators.
2) Strengthen technology innovation and improve usability and usefulness of mobile bank. Banks should upgrade the technology of mobile bank, such as enriching its functions, adding new services to it, improving convenience and easiness of it, thus proving more diversified and personalized services to customers.

3) Deepen cooperation with operators and improve their service quality. Banks should deepen their cooperation with operators to promote mobile bank through completing network system and improving their service quality.

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An empirical Study on the Gap between Employment Requirements and Undergraduate Perception based on market orientation theory

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Abstract

Based on market orientation theory, universities should educate their students according to firm’s requirements. This is why hiring qualified employee and finding suitable job are sometimes not easy for both firm and college students, for there are "employment gap" between them. This study focuses on firms in Guangzhou, and aimed at college students majoring in economy and management, to determine the employment requirements though data collection and in-depth interviews. Questionnaires are issued to firms and undergraduates and data is collected and analyzed to test their perceptions gap. The research results show that there are perception gap between firms and students on both factors and items.

Firms and undergraduates view background and capability components differently based on factor and reliability analysis; they view 6 items significant different based on independent sample T-test.

Keywords: market orientation; employment requirement; undergraduates; perception; gap

I Introduction

Common phenomenon of job market is that college graduates are “hard” to find jobs; on the other hand, enterprises are in need but could not find the right talent. One possible reason is that "employment gap" between them. To narrow the "gap" between enterprise and college graduates, many scholars have made a meaningful exploration.
But the existing conclusions about enterprise talent demand for college graduates is not consistent, one reason may be there is no demand difference for enterprise's position and college students ‘major difference. So it is necessary to on specific major or position, to make the conclusion more targeted and more practical and guiding significance. 

Chinese enterprises’ general management level is lower than foreign advanced enterprises in developed countries, by attracting excellent talents of administration to improve enterprise management level, enhance market competitiveness has important significance. Studies have shown that enterprises reflect graduates majored at administration appear dislocation of supply and demand and demand increase trend is slowing. At the same time, with the rapid development of economy, management class of professional quality and comprehensive quality competition intensified (Song Ma-lin, Huang Gong-sheng, Yang Li, 2009). In 2007 in Ningbo 18 colleges graduate student survey showed that nearly sixty percent were lack of a clear goal, the situation have adverse effect on their career choice and career adjustment. Guangzhou as the center of the Pearl River delta city has grown into the strong industry foundation, the tertiary industry developed, and a model of urban comprehensive coordination of the national economy development. From the point of employment and unemployment, economy and administration undergraduate students’ return of learning rate is worrying.

II Standard of enterprises employment requirement

Research on the enterprise needs and college students' perception mainly divided into the following three aspects.

Firstly, it is about standard of enterprise employment requirement. On the whole, the existing research focuses on qualitative discussion, through on-the-spot investigation and statistical analysis of the conclusion of literature is relatively small, and the majority from the perspective of competency standards. Such as Li Ying, Liu Shan-shi, Weng Sai-zhu (2003) through the survey college students' employment ability structure is divided into inner quality, processing ability, social leadership three dimensions. Wang Jing-bo and Liu Shan-shi (2003) by enterprise recruitment ads on the media and research, found that the ability to enterprise is recruiting graduates standard comparison on college students' sense of responsibility, honest, professional

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dedication and teamwork spirit, initiative, expect a minimum of leadership skills. Zhong Yi-biao (2006) of 500 enterprises feedback empirical data analysis results show that the factors of enterprise value most when recruiting graduates basis of professional knowledge and correct work attitude, sense of responsibility, team cooperation spirit, graduate school's reputation, and so on. Xu Xiao-bo (2007) of our country of the east and Midwest survey results show that enterprise of the personal qualities of college graduates requirements including integrity, bears hardships and stands hard work, work sense of responsibility, teamwork, loyalty, modesty; To the requirement of ability including actual beginning ability and learning ability, social ability, strain ability and innovation ability. Li Kang (2009) for five consecutive years of college students' employment ability and professional market demand survey results show that the comprehensive ability and professional consciousness and good professional ethics is the enterprise value most factors in turn.

Secondly, it is about college students’ perception on standard of enterprise employment requirement. Some research on college students’ employability, but few on perception. Luo Ming-zhong (2007) study shows that the surveyed students think professional quality, academic performance, organization and coordination ability is an important factor affecting employment, but other factors like literature and art, sports and other specialty is limited. Liu Li-ling and Wu Jiao (2010) based on the management and economy college graduates survey results show that university graduates and previous college graduates generally overestimated their abilities, and there are big difference between enterprise and students on important ability and quality that enterprise needs.

Thirdly, it is about the difference between college students and enterprise on employment requirement. According to Ge Jing (2009) that for enterprise the importance sequence of employment ability are communication ability, team cooperation ability, problem solving ability, self-management ability and organizing ability, and for students the importance sequence of employment ability are team work, management ability, problem solving ability, communication ability, planning ability of organization, in another word, there are differences between them. According to Xiao Yun, Du Yi, Liu Xi (2007), main difference between enterprises and students in Chongqing is in three aspects as basic practical ability, knowledge development ability, and innovation ability. Gao Rui-xia, Li Xiao (2010) focus on tax professional student’s employment ability and the social demand difference, results show that the students lack of practical ability become major problems.

In conclusion, the existing research mainly on the standard of employability, lack of systematic standard of enterprise employment requirement, students’ perception, and the gap between them. Existing research focus on gap between enterprise and students are qualitative, lack of quantitative comparison. To make up for it, this study aimed enterprises at Guangzhou area and the college students of administration, through the relevant data collection and sorting, and in-depth interviews to enterprises, summed up the enterprise employment requirement, questionnaire issuing to
collection data and analysis enterprise and students separately, find out the gap between them quantitatively.

At first, this study checks enterprises recruitment information both in South China University of Technology Job Online and Guangdong New Graduates Online from January 3 to March 1, and lists the 20 enterprises recruitment requirement for management students. This 20 companies can be divided into four categories: state-owned enterprises, private, joint venture and joint stock company, covering manufacturing, finance, real estate, culture, wholesale and retail, services and other industries, covers a variety of management positions at the same time, has certain representativeness. Secondly, directors of a high-tech enterprise and a foreign trade company are in-depth interviewed, to understand their enterprise recruitment standards. Based on literature, data and the interview results, this study summarized 29 enterprise standard of employment requirement, as shown in table 1. The enterprise standard of employment requirement mainly includes three aspects as background, personality and ability.

### Table 1 standard of enterprises employment requirement

<table>
<thead>
<tr>
<th>Background</th>
<th>Personality</th>
<th>Ability</th>
</tr>
</thead>
<tbody>
<tr>
<td>Q1 Graduated University</td>
<td>Q11 Psychological health</td>
<td>Q20 Team working ability</td>
</tr>
<tr>
<td>Q2 Professional counterparts</td>
<td>Q12 Responsibility</td>
<td>Q21 Interpersonal coordination ability</td>
</tr>
<tr>
<td>Q3 Gender</td>
<td>Q13 Professional ethics</td>
<td>Q22 Expression ability</td>
</tr>
<tr>
<td>Q4 Student cadres</td>
<td>Q14 Honesty</td>
<td>Q23 Learning ability</td>
</tr>
<tr>
<td>Q5 Party member</td>
<td>Q15 Character (introverted or extroverted)</td>
<td>Q24 Communication ability</td>
</tr>
<tr>
<td>Q6 Internship experience</td>
<td>Q16 Dedication to work</td>
<td>Q25 Enduring pressures ability</td>
</tr>
<tr>
<td>Q7 Professional knowledge</td>
<td>Q17 Working attitude</td>
<td>Q26 Comprehensive analysis ability</td>
</tr>
<tr>
<td>Q8 Professional skill</td>
<td>Q18 Job interest</td>
<td>Q27 Ability to accept new things</td>
</tr>
<tr>
<td>Q9 Computer skill</td>
<td>Q19 Company values recognition</td>
<td>Q28 Adaptive ability</td>
</tr>
<tr>
<td>Q10 English Level</td>
<td>--</td>
<td>Q29 Leadership</td>
</tr>
</tbody>
</table>

III Data collection and analysis

29 items of this questionnaire are formulated as Likert 7-point scale with endpoints of very important=7 and not very important=1. 200 Students questionnaires are issued, 142 are collected, a 71% response rate; 110 enterprises questionnaires are
issued and 68 are collected, a 61% response rate.

1. Descriptive analysis and item analysis

The sampling companies mainly come from Guangzhou, represented private, state-owned and foreign capital. Composed of nine industries including manufacturing, wholesale and retail, transportation, warehouse and postal; Enterprises set up fixed number of year is given priority to with more than 10 years, 64.7% of the total; And about 38.2% of the company more than 1000 people.

The sampling students mainly come from SCUT, represented 13 majors including electronic commerce (35.9%), finance (9.2%), and marketing (8.5%); Majority are sophomore (71.8%), Gender distribution of boys (45.8%), girls (54.2%), the two are flat; For party members, 21.1% to 68.3% as the student cadre, 45.8% of students with internship experience.

In order to ensure data analysis, item analysis including Q1 to Q29 is conducted (Wu Ming-long, 2003, p47) through independent sample T test, remove the item T value which are not significant. Enterprise data and students data are conducted item analysis separately, the result shows that Q4 (student cadre) and Q6 (Internship experience) t value are not significant for enterprise data, Q3 (sex) t value is not significant for students data.

2. Exploratory factor analysis and reliability analysis

After item analysis, factor analysis is conducted to confirm scale validity (Wu Ming-long, 2003). Exploratory factor analysis is conducted in this study to find out the scale validity. Then reliability analysis is conducted to test the consistency, the stability and reliability of the measured results. In general, for the purpose of developing measurement, the reliability coefficient should be above 0.70 (Wu Ming-long, 2003). Based on factor analysis and reliability analysis, final factor structure is determined. The followings are factor analysis and reliability analysis of enterprise data and student data, finally the gap between them can be found.

(1) Enterprises data

In order to have reliable results for factor analysis, the tested sample size is assumed to be more than item number of the scale (Wu Ming-long, 2003); this study enterprises sample size is 68, more than the scale item number 29. 27 item left removing Q4 and Q6, KMO test result that for enterprise data KMO = 0.673 (> 0.5), Bartlett test concomitant probability 0.000 (< 0.05), that the enterprise group data suitable for factor analysis.

Factor analysis results show that for the first time, rotated component matrix consists of 7 components; accumulative total variance is 69.933% (>50%). 10 items
load is greater than 0.4 on more than two components at the same time. In order to avoid the influence of cross load, remove Q27 and conduct factor analysis again. Second factor analysis results show that the cumulative variance accounted to 70.665%, there are still 11 items are cross loaded, so continue to remove Q11. Totally 16 times factor analysis is conducted, three components are left and the cumulative variance accounted to 60.838%, as shown in table 2. The first factor consists of 4 items as Q8, Q12, Q13, Q14, the second factor consists of 4 items as Q21, Q24, Q26, Q28, the last factor consists of 4 items as Q1, Q2, Q3 and Q5.

Table 2 Rotated Component Matrix

<table>
<thead>
<tr>
<th>Component</th>
<th>1</th>
<th>2</th>
<th>3</th>
</tr>
</thead>
<tbody>
<tr>
<td>Q8</td>
<td>.516</td>
<td>.209</td>
<td>.318</td>
</tr>
<tr>
<td>Q12</td>
<td>.800</td>
<td>.045</td>
<td>.095</td>
</tr>
<tr>
<td>Q13</td>
<td>.881</td>
<td>.023</td>
<td>.116</td>
</tr>
<tr>
<td>Q14</td>
<td>.811</td>
<td>.216</td>
<td>.077</td>
</tr>
<tr>
<td>Q21</td>
<td>.237</td>
<td>.762</td>
<td>-.106</td>
</tr>
<tr>
<td>Q24</td>
<td>.051</td>
<td>.834</td>
<td>-.125</td>
</tr>
<tr>
<td>Q26</td>
<td>.335</td>
<td>.687</td>
<td>.246</td>
</tr>
<tr>
<td>Q28</td>
<td>.022</td>
<td>.778</td>
<td>.175</td>
</tr>
<tr>
<td>Q1</td>
<td>.136</td>
<td>-.033</td>
<td>.780</td>
</tr>
<tr>
<td>Q2</td>
<td>.089</td>
<td>.054</td>
<td>.735</td>
</tr>
<tr>
<td>Q3</td>
<td>.091</td>
<td>.046</td>
<td>.635</td>
</tr>
<tr>
<td>Q5</td>
<td>-.054</td>
<td>.023</td>
<td>.798</td>
</tr>
</tbody>
</table>

Extraction Method: Principal Component Analysis.

Rotation Method: Varimax with Kaiser Normalization.

a. Rotation converged in 5 iterations.

Reliability analysis is conducted respectively according to the three factors. Coefficient of the first factor is 0.765 (> 0.70). But reliability coefficient of Q8 is 0.372 (<0.4), and reliability coefficient of this factor is increase from 0.765 to 0.820 if Q8 is deleted. Furthermore, according to the theoretical enterprise employment requirement standard, Q8 belongs to background variables but the other three items belong to personality variables. Considering the above two aspects, remove Q8, do reliability analysis again, the results show that reliability coefficient of Q12 (0.603), Q13 (0.784), Q14 (0.661) are all qualified. The second and the third factor of reliability coefficient are 0.780 and 0.780, respectively, to meet the requirements of the reliability test.

Based on exploratory factor analysis and reliability analysis, factor structure of enterprises data is achieved, the first factor is consisted of Q12, Q13, Q14 compares to personality variables of the theoretical model; Q21, Q24 Q26, Q28 consists of the
second factor, compares to ability variables of the theoretical model; Q1, Q2, Q3 and Q5 consists of the third factor, compares to background variables of the theoretical model. In another word, the factor structure is completely consistent with the original standard.

(2) Students Data

The same way for student data, 28 items left removing Q3 and totally 15 times factor analysis is conducted, three components are left. The first factor consists of 8 items as Q22, Q23, Q24, Q25, Q26, Q27, Q28, Q29, the second factor consists of 3 items as Q12, Q13, Q14, the last factor consists of 3 items as Q4, Q5 and Q6.

Reliability analysis is conducted respectively according to the three factors. Coefficients of their factor are 0.900, 0.836 and 0.699 basic meet the requirements of more than 0.70. It means exploratory factor analysis results through reliability test, and further confirms the stability of the student data factor structure. Finally, factor structure of students data is achieved, the first factor is consisted of Q22, Q23, Q24, Q25, Q26, Q27, Q28, Q29 compares to ability variables of the theoretical model; Q12, Q13, Q14 consists of the second factor, compares to personality variables of the theoretical model; Q4, Q5, Q6 consists of the third factor, compares to background variables of the theoretical model. In another word, the factor structure is completely consistent with the original standard.

According to final factor structures of enterprises and students, basically, they are consistent on 3-factor structure as background, personality and ability. Furthermore, personality variables are all composed of Q12 (responsibility), Q13 (professional ethics), Q14 (honesty).

The difference between them is components of personality and ability. Firstly, according to enterprises background variable is composed of Q1 (graduated university), Q2 (professional counterparts), Q3 (gender), Q5 (party member), but for students are Q4 (student cadre), Q5 (party member), Q6 (internship experience). It means that compare with the students awareness of student cadres and the internship experience, enterprise value graduated universities, professional counterparts, and gender. Secondly, enterprise assume ability variables are consisted of Q21 (interpersonal coordinated ability), Q24 (communication ability), Q26 (comprehensive analysis ability), Q28 (adaptive ability), but students percept Q22 (expression ability), Q23 (learning ability), Q24 (communication ability), Q25 (enduring pressures ability), Q26 (comprehensive analysis ability), Q27 (ability to accept new things), Q28 (adaptive ability), Q29 (leadership). The good news is that Q24 (communication ability), Q26 (comprehensive analysis ability), Q28 (adaptive ability) are all attended. But it is a pity that Q21 (interpersonal coordinated ability) that enterprises pay attention to does not get the attention of students.

3. Independent samples T test of enterprises data and students data
On the factor level, there are differences between students’ perception and enterprises standard on employment requirement. The following continue to analyze whether there is the cognitive gap on item level by independent sample T test. Item analysis result of enterprises data that Q4 and Q6 are removed, students data Q3 is removed. For comparing the difference between the two groups of data, Q3 and Q4 and Q6 are all removed, 26 items left to do independent samples T test compare the two groups of mean value as shown in table 3.

Table 3 means of enterprises data and students data

<table>
<thead>
<tr>
<th>item</th>
<th>group</th>
<th>mean</th>
<th>enterpris e</th>
<th>student</th>
<th>student</th>
</tr>
</thead>
<tbody>
<tr>
<td>Q1 Graded University</td>
<td>68</td>
<td>5.0147</td>
<td>5.6690</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Q2 Professional counterparts</td>
<td>68</td>
<td>5.2941</td>
<td>4.8873</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Q5 Party member</td>
<td>68</td>
<td>3.0882</td>
<td>3.5704</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Q7 Professional knowledge</td>
<td>68</td>
<td>5.5294</td>
<td>5.6831</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Q8 Professional skill</td>
<td>68</td>
<td>5.8088</td>
<td>5.9930</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Q9 Computer skill</td>
<td>68</td>
<td>5.0588</td>
<td>5.1620</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Q10 English Level</td>
<td>68</td>
<td>4.7647</td>
<td>5.7535</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Q11 Psychological health</td>
<td>68</td>
<td>6.0588</td>
<td>5.9718</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Q12 Responsibility</td>
<td>68</td>
<td>6.4118</td>
<td>6.3310</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Q13 Professional ethics</td>
<td>68</td>
<td>6.2500</td>
<td>6.2113</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Q14 Honesty</td>
<td>68</td>
<td>6.1765</td>
<td>6.1620</td>
<td></td>
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</tr>
<tr>
<td>Q15 Character (introverted or extroverted)</td>
<td>68</td>
<td>5.2500</td>
<td>5.3873</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Q16 Dedication to work</td>
<td>68</td>
<td>5.4118</td>
<td>5.6549</td>
<td></td>
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<tr>
<td>Q17 Working attitude</td>
<td>68</td>
<td>6.1471</td>
<td>6.1620</td>
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<tr>
<td>Q18 Job interest</td>
<td>68</td>
<td>5.4412</td>
<td>5.6268</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Q19 Company values recognition</td>
<td>68</td>
<td>5.6471</td>
<td>5.4296</td>
<td></td>
<td></td>
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<tr>
<td>Q20 Team working ability</td>
<td>68</td>
<td>6.0147</td>
<td>5.9296</td>
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<td></td>
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<tr>
<td>Q21 Interpersonal coordination ability</td>
<td>68</td>
<td>6.0882</td>
<td>6.0775</td>
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<tr>
<td>Q22 Expression ability</td>
<td>68</td>
<td>5.8088</td>
<td>5.7254</td>
<td></td>
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</tr>
<tr>
<td>Q23 Learning ability</td>
<td>68</td>
<td>6.0735</td>
<td>6.0282</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Q24 Communication ability</td>
<td>68</td>
<td>6.1176</td>
<td>6.0563</td>
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<tr>
<td>Q25 Enduring pressures ability</td>
<td>68</td>
<td>5.7353</td>
<td>5.9437</td>
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<tr>
<td>Q26 Comprehensive analysis ability</td>
<td>68</td>
<td>5.6324</td>
<td>5.8662</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Q27 Ability to accept new things</td>
<td>68</td>
<td>5.6176</td>
<td>5.7324</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Q28 Adaptive ability</td>
<td>68</td>
<td>5.4706</td>
<td>5.8662</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Q29 Leadership</td>
<td>68</td>
<td>4.8529</td>
<td>5.3944</td>
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</tr>
</tbody>
</table>

The result is that there are 6 items are significant different as shown in table 4. They are Q1 (graduated university), Q2 (professional counterparts), Q5 (party member), Q10 (English level), Q28 (adaptive ability), Q29 (leadership). Based on item mean of table 3, except Q2 (professional counterparts) enterprises pay much less
attention than students on Q1 (graduated university), Q5 (party member), Q10 (English level), Q28 (adaptive ability), Q29 (leadership). It means that enterprises pay more attention on Q2 (professional counterparts) than students do. But students pay much more attention on Q1 (graduated university), Q5 (party member), Q10 (English level), Q28 (adaptive ability), Q29 (leadership) than enterprises do. There are no significant difference between enterprises and students on other 20 items.

Table 4 Independent Samples Test

<table>
<thead>
<tr>
<th></th>
<th>Levene’s Test for Equality of Variances</th>
<th>t-test for Equality of Means</th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>F</td>
<td>Sig.</td>
<td>t</td>
<td>Sig.(2-tailed)</td>
</tr>
<tr>
<td>Graduated University</td>
<td>.001</td>
<td>.981</td>
<td>-4.686</td>
<td>.000</td>
</tr>
<tr>
<td>Equal variances assumed</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Equal variances not assumed</td>
<td>-4.443</td>
<td>.000</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Professional counterparts</td>
<td>.186</td>
<td>.667</td>
<td>2.327</td>
<td>.021</td>
</tr>
<tr>
<td>Equal variances assumed</td>
<td></td>
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</tr>
<tr>
<td>Equal variances not assumed</td>
<td>2.302</td>
<td>.023</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Party member</td>
<td>.417</td>
<td>.519</td>
<td>-2.431</td>
<td>.016</td>
</tr>
<tr>
<td>Equal variances assumed</td>
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<td>Equal variances not assumed</td>
<td>-2.451</td>
<td>.016</td>
<td></td>
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</tr>
<tr>
<td>English Level</td>
<td>5.615</td>
<td>.019</td>
<td>-5.541</td>
<td>.000</td>
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<td>Equal variances assumed</td>
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<tr>
<td>Equal variances not assumed</td>
<td>-4.965</td>
<td>.000</td>
<td></td>
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<tr>
<td>Adaptive ability</td>
<td>7.542</td>
<td>.007</td>
<td>-2.624</td>
<td>.009</td>
</tr>
<tr>
<td>Equal variances assumed</td>
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<td>Equal variances not assumed</td>
<td>-2.425</td>
<td>.017</td>
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<tr>
<td>Leadership</td>
<td>1.524</td>
<td>.218</td>
<td>-3.075</td>
<td>.002</td>
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<td>Equal variances assumed</td>
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<tr>
<td>Equal variances not assumed</td>
<td>-3.067</td>
<td>.003</td>
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</tr>
</tbody>
</table>

IV Conclusion and future research
Based on literature review, information collection, depth interview and questionnaire survey, this study build and test enterprises employment requirement and test gap between enterprises and students. Results show that the gap between enterprises and students perception is included in factor level and item level.

**Firstly factor level.** They have something in common. At first, they are consistent on 3-factor structure as background, personality and ability. Furthermore, personality variables are all composed of Q12 (responsibility), Q13 (professional ethics), Q14 (honesty).

But they also have something different. At first it concerns component of background variable. Comparing with the students awareness of student cadre and the internship experience, enterprises value graduated universities, professional counterparts, and gender. Suggests that students to exercise their own at the same time it still cannot ignore to professional learning; Furthermore it concerns component of ability. Students perceive enterprises’ focus on communication skills, comprehensive analysis ability, adaptive ability, but fail on interpersonal coordination ability, therefore students’ better pay attention on it; Students focus on expression ability, learning ability, enduring pressure ability, ability to accept new things, leadership is beyond enterprises focus. May be it is not suitable for graduates to talk about leadership yet.

**Secondly item level.** There are no significant difference between enterprises and students on 20 items including professional knowledge, professional skills, computer skill; Psychological health, responsibility, professional ethics, honesty, character, dedication to work, working attitude, job interest, company values recognition; Team working ability, interpersonal coordination ability, expression ability, learning ability, communication ability, enduring pressure ability, comprehensive analysis ability, ability to accept new things.

But there are 6 items are significant different between enterprises and students. Enterprises pay significant higher expectation on professional counterparts than students but significant lower expectation on other 5 items. So students should work hard on professional knowledge learning and ability improving instead of on English, adaptive ability, leadership etc. Universities should direct students on professional knowledge to make their students qualified for enterprises’ need.

This study is an exploratory which contributes on research gap and draws some meaningful conclusions. But due to relatively fewer enterprise sample size and larger students sample size, factor structure may be not stable and conclusion is limited general. Future research can further expand samples size, and increase in both Chinese and English literature, in order to further find out the gap between enterprises and students, reduce the "employment gap". 
References

ABSTRACT (IN ENGLISH)
Dynamic Effect of Unexposed Enterprises’ Response on Consumer Purchase Intention in Cluster Product-harm Crisis: From the Explanation of the Construal Level Theory

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ABSTRACT

Following the basic logic of construal level theory, this article systematically analyzes the dynamic change process and inner mechanism of unexposed enterprises’ response influencing consumer purchase intention in and after cluster product-harm crisis. Through two experiments we find that in the dynamic change process of cluster product-harm crisis, concerning intervention time, compared with passive intervention after being reported by media, when the relevant enterprise actively intervenes before being reported, consumers show higher brand purchase intention in and after the crisis. Concerning coping styles, unexposed enterprise compensation strategy and service strategy can make a difference in consumer purchase intention. Concerning scope of the crisis, different intervention time and coping styles of unexposed enterprises will have different effects on consumer purchase intention.

Keywords: Cluster Product-harm Crisis, Construal Level Theory, Intervention Evaluation, Consumer Purchase Intention
Research on the Impact of Scapegoat Effect on Industrial Trust in Multi-Brand Crisis

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Project supported by the National Natural Science Foundation of China
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ABSTRACT

This paper analyzes deeply the influence and internal mechanism of scapegoat effect on industrial trust, which is peculiar in multi-brand crisis. In terms of crisis accidents in dairy industry, we find out the following results through experiments. Firstly, on the background of multi-brand, customers have more trust on other brands within industry when there is a scapegoat than there is no one. Secondly, the scapegoat brand within industry can transfer customers’ anger, which can increase customers’ industrial trust. Thirdly, customer involvement and the original country of brands can mediate the impact of scapegoat effect on industrial trust after the multi-brand crisis.

Keywords: Multi-brand crisis, Scapegoat effect, involvement, Original country of brands, Industrial trust
Geographical Incongruence Effects on Brand Philanthropic Behaviors and Coping Strategies

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ABSTRACT

This study investigates the impact of geographical incongruence of philanthropic activities on consumer brand evaluation. We find that geographical incongruence results in negative brand evaluation. Due to the influence of differential mode of association in the Chinese culture, a national brand that engages in national philanthropic activities across regions is considered appropriate and creates a feeling of Daoyi or morality to all people, while a local brand that engages local philanthropic activities is considered appropriate and creates a feeling of Qingyi or morality only to local people. Otherwise, the philanthropic activities would be considered geographically incongruent and result in negative brand evaluation. However, under special circumstances such as a natural disaster, the feeling of geographic incongruence would be reversed, and the consumer brand evaluation would become positive.

Keywords: Brand, Philanthropy, Geographical incongruence, Qingyi, Daoyi
Are Monetary Incentives always the Best? The Effects of Incentive Type on Purchase Intention

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ABSTRACT

Monetary incentives (either directly or indirectly related to money), such as discounts and extra products, are generally used in sales promotion and believed to be efficient techniques to generate consumer awareness and response. The intensified competition between brands has made sales promotion more pervasive than ever, which results in a huge amount of pressure on costs and little return for companies. Thus the authors wonder whether giving these kinds of monetary incentives is the best technique to generate benefits for companies. Motivated by this question, the current research hypothesized that spiritual incentives, such as wishes of good fortune, which cost less, could be more effective to increase consumers’ purchase intentions. Moreover, this effect was test to be true only for consumers with higher childhood socioeconomic status (SES). Conversely, consumers with lower childhood SES were more likely to purchase products after they got monetary incentives rather than spiritual incentives. Across two studies, the authors demonstrated the hypothetical effects of incentive type (monetary vs. spiritual) and SES (high vs. low) on purchase intentions of consumers. Implications for designing more effective promotion strategies and research on exploring the mechanism of consumer responses to sales promotion were discussed.

Keywords: incentive type, evolutionary psychology, sales promotion, purchase intention
Remove the Shadow of Distrust in E-Commerce: Apology or Denial?

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ABSTRACT
In e-commerce, negative reviews on a product or a seller is a ubiquitous problem. It occurs when the seller violate customer’s expectations during the transaction. Previous research indicates that negative review can increase potential customers’ distrust. Specially, the public nature of the customer feedback aggravate the negative influences of customer complaints in e-commerce. However, how to mitigate distrust of potential customer has been neglected by past research in e-commerce. This research aims to examine how social account can help mitigate the distrust caused by a violation or customer complaint. Is apology always the best strategy? Does the type of violation matter? If so, when should a firm take the responsibility and apologize, and when would denial be more effective in mitigating distrust. We propose and test the role of perceived stability of the violation as the underlying mechanism. Furthermore, we study how remedial action stated in the firm response can affect the choice of social accounts, as well as the nature of the violation. We also try to investigate how should the firm response when the violation is actual stability. Four experimental studies were used to test the hypotheses. Study1 shows that apology be better if violation is competence based, and denial be better if violation is integrity based, and perceived stability as the mediating mechanism. Study 2 finds that remedial action plan can increase both the perceived intent to change and the changeability of the violation, thus apology is the better response strategy. Study 3 examines the moderate effect of violation domain, when the violation is relatively changeable, the findings are consistent with Study 1. However, if the violations is difficult to change, denial is more effective in mitigating distrust and increasing purchase intention. Finally, Study 4 investigates the actual stability of the violation, and showed a consistent result as the perceived stability inferred from the violation type.

Keywords: Distrust, Integrity-based violation, Competence-based violation, Stability
Consumer Adoption Behavior of Mobile Payment: Based on Network Externality

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ABSTRACT

With the development of the Internet technology and communication technology, and the popularity of handheld mobile equipment, people gradually realize that mobile payment has become increasingly common in our daily life. However, the mobile payment is still not to be universally accepted. So the research is try to analyze the characteristics of mobile payment system and the factors on mobile payment usage across different types of mobile payment users. More exactly, to propose and test an integrative theoretical model that allows to determine the relative influence of the determining factors (expected utility, risk perception, social influence, compatibility, network externality, ease of use) for the acceptance of a new mobile payment system.

To carry out this research, the paper used the questionnaire analysis. The empirical results show that the expected utility, risk perception, social influence, compatibility, network externality will have an effect on consumers’ adoptions. And at last the paper provides some suggestions for managers in regards to marketing mobile payment solutions to increase consumer’s adoption of mobile payment.

Keywords: Mobile Payment, Network Externality, Consumer Behavior
ABSTRACT

The Middle East region is not only interesting from an academic perspective due to the scarcity of research in the area. The region also provides a productive ground for the development and testing of new theory due to several unique characteristics. The features that make the regional in comparison unique in this situation are the presence of large natural resource foundation in around half the countries in the region and the presence of high levels of environmental risk. These elements make the Middle East region particularly suitable for enforcing the understanding the role of oil natural resources and environmental, economic and political risk in determining Oil FDI and International Business flows.

The objectives and scope for the research have been determined on the basis of the growing interest in Oil FDI in the Middle East region among policy makers and investors, the lack of academic research that has been carried out on the excitation area and the specific characteristics of the region. As a result, the research presented in the aims to contribute to the understanding of Oil FDI, International Business in the Middle East region. What are the determinants of Oil FDI and production of crude oil in the MENA region?

The overall question can therefore be divided again into the following large scale and small scale level sub-questions:

(i) What is the role played by different potential determinants of Oil FDI flows in the MENA region?

(ii) What is the role played by different environmental, economic and political risk factors in attracting Oil FDI?

(iii) Why do companies choose to invest in particular countries in the MENA region?

(iv) Why do companies choose for particular entry operation modes or work processes when investing in the MENA region?

It is possible to test and expand existing theory that has been developed on the topic of Oil FDI for regions in the MENA countries, as well as to develop new theory related to the role of OLI factors environmental, economic, political risk and energy or oil resource properties in Oil FDI flows and investment decision making.
The research is defined as the period 1987 – 2008. In this way, the period is long enough to include a number of years of low and high Oil FDI flows as well as a variety of scores on the various potential determinants of Oil FDI during the period.

Political Stability and Oil FDI: why is political stability needed to attract Oil FDI? FDI = Foreign Direct investment. If BP invested in Venezuela or Iraq to produce oil. This would be an example of foreign direct investment into Venezuela and Iraq.

The political situation is going to be important for determining whether investing in these countries is a good idea. The political turmoil has disrupted economic activity the most in oil-importing countries such as Egypt and Tunisia, argued Ahmed. Generally, oil-importing countries are facing a number of pressures arising from sharp increases in international fuel and food prices, declines in tourism, lower Oil foreign direct investments (FDI), and higher borrowing costs.

The determinants of inward Oil FDI flows include all articles identified on the determinants of Oil FDI flows that have been published since 1995, John Dunning’s original test of Ownership, Location and Internalisation (OLI) factors of 1980. With respect to oil entry, investment and operation mode theory, the case study research demonstrates that in the MENA region, multinational companies with significant international experience in the MENA region within their core business, don’t see joint ventures as an effective way of managing environmental risk.

In summary, the research adds to International Business theories related to the relevant oil exporting, production, OL factors, environmental and economic risk, political variables and the role of transaction costs (TC) in determining location and operation processes decisions in the MENA region. These factors in turn are reflected in a model of the determinants of Oil Investment in the MENA region.
Examining the Effect of a Firm’s Product Recall on Financial Values of Its Competitors

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EXTENDED ABSTRACT

Research Question

Product-harm crises are defined as “discrete, well publicized occurrences wherein products are found to be defective or dangerous” (Dawar and Pillutla, 2000). Usually product-harm crises may involve product recalls. Generally, scholars examine the effect of product recall on the recall firms from two different perspectives. One is from a consumer’s perspective, which looks at how product recall affects consumers’ quality perception, and loyalty. The other stream focuses on the impact of product recall on sales, market share, or stock prices (e.g., Chen and Nguyen 2013). In this research, we follow the second stream of research and focus on the effect of product recall on financial values. Specifically, we are interested in how competitors’ stock prices are affected by a firm’s product recall.

Chen et al (2009)’s result shows that a firm’s proactive recall strategy has negative impact on its financial value compared with passive strategy. Following this result, we expect that a firm’s recall strategy may also impact the competitors’ abnormal returns. If a proactive strategy signals to the market that a product may have severe problems, competitors may gain from consumers’ switching demand (positive competitive effect). So we get H1.

H1: Competitors will experience more positive abnormal returns for a proactive recall strategy than for a passive recall strategy.

Alternatively, a proactive strategy may raise concerns for the whole industry, which results in negative spillover effect.
**H1 alternative:** Competitors will experience more negative abnormal returns for a proactive recall strategy than for a passive recall strategy.

**Method and Data**

We collected 14 years (from January 1996 to December 2009) of CPSC product recalls to test the hypothesis. We collected product characteristics from the original CPSC recall announcements. These include RECALL VOLUME, HAZARD, SELL TIME, PRICE, CHILD, and BRAND ORIGIN.

We were able to gather the following information for the competitors of a firm recalled product: FIRM SIZE, REPUTATION and RANK POSITION. FIRM SIZE is measured in terms of sales revenue of the firm in the year before the recall event. REPUTATION data were from Fortune’s annual survey of “America’s Most Admired Companies.” Finally, we obtained product RECALL STRATEGY information from CPSC recall announcements.

We use event study to examine the impact of firm’s product recall strategy on the abnormal stock return of its competitors. We examine competitors’ stock price changes during a six-day [0, 5] recall event window, including the initial announcement date as day 0, and five days onward. To test the hypothesis, we conduct multivariable regression and the t-test to examine abnormal returns of competitors for different recall strategies.

**Summary of Findings**

The regression result shows that a firm’s recall strategy has significant effect on its competitors’ financial value ($\beta=0.009$, $p<0.05$). T-test result shows that proactive recall triggers significant positive abnormal returns for the competitors (car_mean=0.010, $t=3.70$, $p<0.00$) and passive recall has no impact (car_mean=−0.001, $t=-0.41$, $p>0.05$). Competitors experience moderately positive abnormal returns for proactive recall than for passive recall, which supports H1 (competitive effect), and rejects $H1_{alternative}$.

**Key Contributions**

The current literature suggests that from a consumer’s perspective, a firm is perceived as more socially responsible if it takes early actions such as proactive recall (Dawar and Pillutla 2000). Contrary to this conventional view, Chen et al. (2009) find that proactive recall has a significant negative impact on stock returns than passive recall. They offer the explanation that different from consumers, investors may interpret proactive recall as a signal of severe product safety problems and substantial financial loss to the firm. Following Chen et al. (2009)’ research, our study takes a step further and examines the impact of different recall strategies on competitors’ financial values. Our results show that competitors experience significant positive abnormal returns when the firm employs proactive recall strategy. In other words, competitors benefit from the proactive recall announcement (positive competitive effect) which may be due to consumers’ switching from the recall product to other close substitutes for consumer
products. Therefore, a firm should carefully employ proactive recall strategy and communicate appropriately to stakeholders and investors in crisis management to avoid misinterpretation of the signal.

Our finding makes an important theoretical contribution to the existing literature. Past research on the effect of negative events (including product recall) on competitors’ financial values has revealed mixed results for either positive competitive effect or negative spill-over effect. Based on the sample of a wide range of consumer products, our study provides a strong support for the positive competitive effect. It makes logical sense that consumer products are usually highly competitive and many products are fairly close to each other in terms of functionality. When a product is defective or potentially dangerous, consumers can rather easily switch to its close substitutes and increase the demand for competitors’ products, which generates more positive abnormal returns for competitors.

References are available upon request

**Keywords:** product recalls, financial value, proactive and passive strategies, event study

**Notes:** This research is sponsored by China National Science Foundation (No. 71272014)
Flag Branding: How and When the Presence of American Flag Influences Product Evaluation and Choice

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ABSTRACT

The American flag is often incorporated into product branding. However, little research has investigated how the use of American flag imagery as a marketing tool influences consumer behavior. In the present research, we examine 1) how the presence of the American flag impacts consumers’ evaluation of products and 2) the social cognitive mechanisms underlying the flag’s effect on product-related judgments. We first present evidence that American flag imagery induces relatively positive thoughts (Study 1a and Study 1b). This positivity of the American flag is effortlessly transferred to evaluation of unfamiliar brands when the flag image is present as an unobtrusive prime within the context (Study 2). However, by contrast, when this positivity of the American flag is purposely used as a persuasion tactic, that is, when the American flag is blatantly tied to, or merged with, the product, consumers express the negative attitude toward the product (Study 3). This negative effect is found to be moderated by participants’ trait level of psychological reactance (Study 4) and be mediated by participants’ outrange (Study 5).

Keywords: Flag, Psychological Reactance, Outrange, Brand Evaluation
When Hugs Lead to Fake Rolexes: The Effect of Social Support and Social Norms on Counterfeit Consumption

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ABSTRACT

In the present research, we investigate the role of social support on counterfeit behavior, focusing on the mediating role of internalized social norms. Across several studies we test and find evidence for the hypothesis that social support serves to internalize relevant social norms, which are, in turn, used to guide counterfeit behaviors. We also highlight two boundary conditions of this effect, relativism and cultural norms. For individuals who are high on relativism, we demonstrate that social support does not affect counterfeit behavior. We also find that social support differentially impacts counterfeit consumption depending upon the relevant cultural norms. In an anti-counterfeit culture, social support reduces counterfeit consumption behavior, whereas in a pro-counterfeit culture, there is a reversal of the effect such that social support increases counterfeit consumption behavior. The present research contributes to the literature on social support, social norms, and counterfeit consumption.

Keywords: Social Support, Social Norm, Counterfeit Consumption, Personal Norm.
Consumers’ Dissociation Responses to Incidental Similarity of Products in Different Product Domains

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ABSTRACT

In light of the need for uniqueness theory and optimal distinctiveness theory, the current study intends to examine how incidental similarity of products in different product domains influences consumers’ dissociation responses (i.e., possession disposal intentions), especially when consumers involved in the incidental similarity context belong to the same or different social groups (in-group vs. out-group). We propose that (1) incidental similarity of high symbolic products leads to higher possession disposal intentions (PDI) than that of low symbolic products; (2) consumers’ group belongingness moderates the effect of incidental similarity of products on consumers’ PDI. In the in-group condition, the effect of incidental similarity of products on consumers’ PDI is strengthened, while the effect will be eliminated in the out-group condition. Moreover, we speculate that (3) embarrassment elicited from incidental similarity is the underlying mechanism of the main effect. Three experiments were conducted to test the assumptions. In study 1, the main effect of incidental similarity of products with different symbolism on consumers’ PDI is verified. The moderation effect of consumers’ group belongingness is supported by study 2. In study 3, embarrassment is proved to be the mediator between incidental similarity of products and consumers’ PDI. Our findings indicate that consumers’ need for distinctiveness is so sensitive that even incidental similarity of products with others will lead to possession disposal intentions, which has some meaningful implications for marketing practices.

Keywords: Incidental similarity, dissociation responses, possession disposal intentions, group belongingness, embarrassment
A Study on Mask Development by Conjoint Analysis: A Case Study on College Girls in China

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ABSTRACT

Over the past decade China's cosmetics market have excavate more values of mask. Dominate the cosmetics market have been the strategic priority for cosmetics companies. As a new force, the market of college girls has been rapidly growing. Development the mask with characteristics of college girls can lay the foundation for establishing a brand image for the cosmetics companies. To development the products which are suit the college girls better, the study found the mask product profiles by using conjoint analysis.

Through the relative importance of consumer behavior, the results show that the most important factor is product benefit, the second factor is manufacturing form, the third is price, the fourth is ingredient in the four kinds of product attributes for the college girls in Qiqihar.

Through the cost one month the conjoint analysis’s result show that the collage girls who cost less 1200yuan one month like the mask product attribute of “Tearing-type & Moisturizing & 180yuan-360yuan & Plant extracts”; the collage girls who cost 1200yuan-1800yuan one month like the mask product attribute of “Sleep-type & Moisturizing & 180yuan-360yuan & Plant extracts”; the collage girls who cost 1800yuan-3000yuan like the mask product attribute of “Sticker-type & Whitening & 180yuan-360yuan & Mineral extracts”.

Through the brand preferences the conjoint analysis’s result show that the collage girls who chose the Chinese brands like the product attribute of “Tearing-type & Moisturizing & 180yuan-360yuan & Plant extracts”; the collage girls who chose the Korean brands like the product attribute of “Sleep-type & Moisturizing & 180yuan-360yuan & Plant extracts”; the collage girls who chose the two country’s brands like the product attribute of “Tearing-type & Moisturizing & 180yuan-360yuan & Mineral extracts”.

Keywords: Mask Development, Conjoint Analysis, product attributes
Research and Analyzing of the Current Sales Promotion Plan and Countermeasure of Automobile 4S Shop - Taking an Example of ShiYan

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ABSTRACT

This paper, aimed at the problems existing in the domestic current promotions are analyzed, studies the marketing status quo of domestic automobile 4s shop, and the car sales across the country for the time series analysis. And this paper, aimer at the Auto 4s shop of Shiyan promotion mode, has carried on the investigation and analysis, On the basis of the investigation of promotion current situation and way of promotion in Shiyan automobile 4s shop, this paper analyzes current problems of the promotion in Shiyan auto 4s shop, finally puts forward the mode innovation, integration of restructuring, diversification of response.

Keywords: automobile 4s shop, promotion, Time series analysis, resource

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Analysis of Jetta Brand Sales Competition Based on Multi Factors

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ABSTRACT

Annual brand car sales list is China’s Auto Industry Association released the auto industry sales data. Based on 2004 to 2013 car brand sales ranking data collection, collation and analysis, the sales charts show the car market leading car, integrated sales champion brand, robust brand and dark horse brand. On sales champion brand to the Jetta as an example, collecting Jetta ten years strategic models, sales prices and other factors, using statistical classification methods of data collection presents a chart, Jetta brand ten years sales price fluctuation range of small, price range is very stable. Using GNP approximate substitution price range of factors, the regression analysis of the Jetta car sales and gross national product, completed the quantification of economic factors impact on the Jetta sales, and reference to the authority of the domestic automobile market research institutions published industry reports, to complete the brand car sales ranking multi-dimensional display and sales champion brand models of competitive advantages and disadvantages analysis, puts forward improvement suggestions.

Keywords: Regression analysis; quantitative; brand car sales list

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ABSTRACT

Customer complaints has been a study focus for quite a long time, however, previous research are mainly based on the level of individual customer. Group customer complaints remain unclear. Based on the perspective of Chinese interpersonal Guanxi, the present work divides customer-to-customer interaction under the context of group service failure into instrumental Guanxi interaction and emotional Guanxi interaction. The present study investigates the mechanism on complaints imposed by the customer interaction under the condition of service failure by using tourism service failure simulation experiment. Results show that: customer-to-customer instrumental Guanxi interaction affects direct complaints through group polarization and individualization, and the mediation effect of group polarization is more apparent; similarly, group polarization and individualization play an important role in the effect of emotional Guanxi interaction on direct complaints, but the mediation effect of individualization is more apparent. To conclude, this research helps to enrich theory of complaints from customer-to-customer influence, perfect theoretical framework of group customer’s complaints, and also provides decision references for group customer complaint settlement.

Keywords: group service failure; customer-to-customer interaction; Guanxi; Group Polarization; Individualization
The Use of Children’s eWOM in Marketing Communications

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EXTENDED ABSTRACT

Online electronic word of mouth (eWOM) has become an important issue among firms that are in need to improve marketing communications for business growth. By using message-based approach, firms can identify opinion leaders from social media as disseminators for seeding strategy in their marketing communication campaigns (Bao & Chang, 2014). Given the vital role of children in marketing products and services (Zimmy, 2010; Rideout, Foehr, & Roberts, 2010), digital companies such as Amazon, Apple, Face Book and Google have shown a strong interest in enabling children to send eWOM in recent years (Goel, 2013; Barr & Winkler, 2014). However, involving children in any business activity is a highly sensitive issue for all companies (Waytt, 2014). In the online space, a federal law effective in 2000—the Children’s Online Privacy Protection Act of 1998 (COPPA)—regulates the collection of digital information of children under 13 years of age by any company. While the aforementioned industry leaders have made significant developments in spite of the compliance cost to COPPA, there is a lack of understanding about three unique questions to children’s eWOM: 1) whether children’s eWOM conveys meaningful information when compared to adult’s eWOM; 2) if children’s eWOM generates marketing impact; and, 3) how children’s eWOM is perceived by eWOM receivers.

By using Amazon’s consumer reviews posted during July 1998 - August 2005, we collected “A Kid’s” (children’s) reviews on 21,283 Amazon products in the book, DVD, VHS, and music categories in this study. For each product, we collect three numerical review statistics: number of reviews (volume), average rating (valence) and variance in ratings (variance) for reviews written by children and adults separately, as well as the number of total feedback votes and the number of “helpful” votes. We also collect sales rank for each product which has a linear relationship with actual sales after logarithm transformation (Chevalier & Goolsbee, 2003). A total of 10 measures are used for this study including volume, valence, variance, total feedback votes, “helpful” votes, sales rank, and four dummy variables: book, DVD, Music and VHS.
The main findings are as follows. First, we find an evidence showing that children under 13 create eWOM for both children and non-children products, and that their eWOM is different from that created by adults. Particularly, consistent with prior findings that children have not fully developed evaluation and communication skills, we find that eWOM receivers generally consider children’s eWOM less helpful than adult’s. In spite of the less positive perception to the helpfulness of children’s eWOM, we find that children’s eWOM has a level of intelligence similar to what adult’s eWOM conveys. Second, we find that children’s eWOM is positively associated with sales in children’s product category. Thus, children’s eWOM has marketing implication. Finally, eWOM receivers are less likely to criticize eWOM written by children, and such unwillingness is more pronounced when extra cue is present to signal that the eWOM is communicated among children. Hence, we demonstrate an underlying behavior skewed towards empathy, which suggests a protecting environment be present in online communities. Overall, our findings provide the first empirical evidence to understand the impact of children’s eWOM on product performance and the difference between children’s and adult’s eWOM.

**Keywords:** children’s electronic word-of-mouth, word-of-mouth, online user reviews, marketing and public policy, children’s marketing

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Global Brand Strategy - A Resource-Based View: Critical Differences Between Asia, Europe and the US

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ABSTRACT

The fundamental argument of the resource-based view of strategy is that firms have different resources which explain differences in their performance. Initially this view’s focus was on the resources which firms own or to which they have access. More recently, the view has broadened to consider how resources are managed to work in concert (Holcomb et al., 2009). Critical questions are how do managers create and sustain the value of these resources? How do these actions impact performance? How do managers synchronize across bundles of resources (interdependent activities) to improve firm performance? Past research has identified the role of managerial ability and experience, leading to a positive effect on resource productivity. The reasoning is that managerial ability is in itself an important resource and it develops from managerial experience. It is not easy to imitate so it leads to sustainable competitive advantage. Managerial ability implies that managers can effectively deploy resources and synchronize activities across resources so that performance is enhanced.

One indication of effectively synchronizing different resources is the level of agreement within an organization (i.e., global, regional and local managers) as to whether different levels of the organization understand and feel well-prepared to cope with the strategic challenge of managing global brands. The underlying difficulty is the realization that there is no single global market or global strategy (Rugman and Moore, 2001). Further, there is a tension between employing global best practice and giving local management enough flexibility to respond quickly (Wickman, 2008).

We explore this topic using a database of 2800 marketing managers in Asia, Europe and the US. The data contain information on marketing capabilities, the role of marketing in the firm, branding, and marketing performance. Using the resource-based view, we develop a model of the link between marketing capabilities and marketing performance. There are significant differences between Asian, European and US respondents with respect to their roles and capabilities as well as the relationship between local and global management. Likewise there are significant differences in performance. We explore these differences to see how they affect the resource-based view with respect to our model and how global branding strategies vary across regions.
Integrating Big Data Marketing to the Diffusion of Product Innovation in the Social Network Context

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ABSTRACT

The diffusion of product innovation has long been recognized as essentially a process by which the product innovation is communicated among members of a social system through certain channels over time (Roger, 2004a). However, the link between social structure and diffusion parameters remains largely unexplored in the extant literature (Rogers, 2004b; Burt, 1987; Iacobucci, 1996). Liu, Madhavan & Sudharshan (2005) proposed a comprehensive model called DiffuNET describing how various social network properties interacting with marketing action provides the fundamental environment for the innovation and imitation effects to take place and result in the diffusion of product innovation. Due to the complexity of the relationships described in this model, DiffuNET has not been subjected to empirical test yet. It has been noted that “Big Data” is transforming marketing practices (e.g., Maklan, Peppard & Klaus, 2015; Bao & Chang, 2014; Rust & Huang, 2014; Yang, Pan & Song, 2014). The key to a firm’s competitiveness in a dynamic, changing environment is to unleash the power of big data in quality decision-making with measurable marketing implications. This study intends to integrate the strengths of Big Data Marketing and the complexity in social network property required to empirically test the relationships between structural network characteristics and innovation as well as between structural network characteristics and imitation to examine both the “innovation” and “imitation” potentials of individual actors in a social network context. The findings of this study could be used to strengthen the theoretical grounds of the social network applied in the diffusion of innovations by either supporting the hypotheses as depicted in the DiffuNET model or challenging the theoretical reasoning where the hypotheses are falsified. Further more, the results may reveal important marketing and managerial implications of the impact of word-of-mouth communications in a network on diffusion of product innovations.

Keywords: Diffusion, Innovation, New Product, Marketing, Social Network, Big Data
1. Introduction

As formulated in the DiffuNET model (Liu, Madhavan & Sudharshan, 2005), there are six postulates. The first three postulates depict the relationship between three individual-level social network properties and the Innovation Potential:

P1: The network centrality of an individual node will be positively related to its innovation potential.

P2: The network constraint of an individual node will be negatively related to its innovation potential.

P3: The network range of an individual node will be positively related to its innovation potential.

Based on postulates 1 to 3, the innovation potential of an individual \( i \) (\( \text{INP}_i \)) may be expressed as:

\[
\text{INP}_i = \beta_{p0} + \beta_{p1}x_{i1} + \beta_{p2}x_{i2} + \beta_{p3}x_{i3} + \varepsilon_i
\]  

(1)

where 
- \( x_{i1} \): centrality of individual \( i \) in the network
- \( x_{i2} \): constraint of individual \( i \) in the network
- \( x_{i3} \): range of individual \( i \) in the network.
- \( \beta_{pk} \): regression coefficients to be estimated.
- \( \varepsilon_i \): random error

The next three postulates depict the relationship between three network-level social network properties and the Imitation Potential.

P4: Network density will be positively related to the imitation potential of the network.

P5: Centralization will be positively related to the imitation potential of the network.

P6: Embeddedness will be positively related to the imitation potential of the network.

Similarly, the relationship between the imitation potential of the network (\( \text{IMP} \)) and these three network structural variables (density, centralization, and embeddedness) can be modeled based on postulates 4, 5, and 6 as follows:

\[
\text{IMP} = \beta_{q0} + \beta_{q4}x_4 + \beta_{q5}x_5 + \beta_{q6}x_6 + \sigma
\]  

(4*)

where
- \( \text{IMP} \): imitation potential of the network
- \( x_4 \): Density of the network
- \( x_5 \): Centralization of the network
$x_6$: Embeddedness of the network

$\beta_{qk}$: regression coefficients to be estimated.

$\sigma$: random error

* Equation number directly adopted from the original model to be consistent with that shown in the Figure 1 below.

The relationships between network characteristics, innovation, imitation, and marketing actions are shown as Figure 1. While the original model includes intermediate constructs and relationships, our research aims to focus on testing the six postulates summarized above which are shown in the left hand part of the Figure 1.

2. Empirical Work by Big Data Marketing

Since these six postulates include three individual-level social network variables and three network-level structural variables, we need to find data both in the individual level as well as in the aggregate level. We foresee the potential of applying the strengths of Big Data Marketing to empirically test complex relationships postulated in such model as DiffuNET for the managerial implications and theoretical advancement that may be derived from the testing results.

References

Figure 1
DiffuNET Model Linking Network Structure to Diffusion Effects

Marketing Action to Re-structure Network

- Centrality ($X_{1i}$)
- Constraint ($X_{2i}$)
- Range ($X_{3i}$)
- Density ($X_{4}$)
- Centralization ($X_{5}$)
- Embeddedness ($X_{6}$)

Network Properties

Eq. 1
Individual Innovation Potential (INP)

Eq. 2
Network Innovation Potential (INP)

Eq. 3
Network Imitation Potential (IMP)

Eqns. 3a, 3b

Eq. 4
Innovation Coefficient ($\beta$)

Eq. 5
Imitation Coefficient ($\gamma$)

Eq. 6
Time to Peak Sales ($T^*$)

Eq. 7
Peak Sales ($Q^*$)

Traditional Marketing Action

Intermediate equations have not been shown.
Impact of Material Vs. Experiential Purchase Types on Happiness - The Moderating Role of Self-Discrepancy

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ABSTRACT

Most literature suggests that consumers are happier when they spend their money on experience, rather than material purchases, on the premise that consumers may evaluate material possessions largely on the basis of their functional utility and ability to fulfill basic human needs; experiential consumption reportedly fulfills mainly psychological needs. The present research addresses material purchases that fulfill not only functional but also psychological needs (e.g., status purchase). The results reveal that consumers with high self-discrepancy are more apt to derive happiness from material status purchases than those with low self-discrepancy (Experiments 1 and 2); this effect is mediated by the motives for goal pursuit (Experiment 3), as triggered by the desire to narrow the gap between the actual self and an ideal self.

Keywords: Purchase type; Happiness; Self-discrepancy; Motivation intensity.
Guanxi and Donation: Preliminary Findings

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ABSTRACT

Guanxi is a complex phenomenon that allows to understand how interpersonal connections and reciprocal exchange of favors work in various spheres of Chinese people’s life (Chen, Chen and Huang, 2013). In marketing, the concept of guanxi has been applied mainly in order to understand the challenges of entering the Chinese market (e.g. Chuang, Gonegan, Ganon and Wei, 2011), to apply and extend the concept of relationship marketing (e.g. Arias, 1998; Leung, Lai, Chan and Wong, 2005), and in the study of consumer behavior (e.g. Jap, 2010; Qian, Razzaque and Keng, 2007). One major marketing domain in which the role of guanxi has yet to be explored is in the realm of non-profit organizations. More particularly, besides the fact that guanxi can be used in order to create a relationship between donors and beneficiaries of a non-profit organization (Hsu, 2008), little else is known about how guanxi can be mobilized in order to generate or explain charitable donation. The goal of this research is therefore to provide such insights.

To do so, we conducted exploratory long interviews (McCracken, 1988) with 20 Chinese donors from three major cities (Beijing, Dalian, and Chongqing). We organized the interview discussion around four main themes. First, we asked grand tour questions regarding their life in order to get to know them. Second, we asked them to recall their most significant donation and talk and reflect about it. Third, we asked the informants to imagine that they were organizing a fundraising event for a non-profit organization or for a cause and asked them how they would proceed. Alternatively, when applicable, we asked them to reflect on a real fundraising event they have organized. Finally, we asked them to reveal their general perceptions of non-profit organizations in China.

While the analysis is still underway, some preliminary findings are presented here. Primarily, we have found that our informants are donating for various reasons. For some, donation is a matter of civic duty, a task one is expected to perform. For others, donation should be voluntary and should come from one’s own initiative. From the latter perspective, a donation should not be made as a favor or under the pressure of someone else’s asking. It should not be done in order to expect something in return. In that sense, charity and guanxi could be seen as inherently contradictory in nature.

The relationship between guanxi and donation is experienced in a more complex way though. If one should not make a donation with the expectation of receiving something in return, some
informants reported that they would feel indebted if someone was making a donation on their behalf. Soliciting money for a charity or a cause from one’s own guanxi would lead to contracting renqing, or unpaid obligations (Luo, 2007). Four “renging-avoidance strategies” have so far been identified for soliciting money in one’s guanxi: 1) Do not solicit your close circle (jiaren), 2) do not collect money yourself, 3) do not follow up after making a solicitation, and 4) do not consider the solicitation as a solicitation.

Xinren, or trust (Luo, 2007), is another important element stemming from the interviews in link with guanxi and donations. Many informants admitted not trusting non-profit organizations in China. Some would rather donate money directly to people close to them to be able to witness the results of their donation. Others mentioned that being solicited from a stranger will receive a skeptical attention from them. Therefore, generating donation through a familiar exchange network (guanxi) could receive a more positive attention than through an unfamiliar request from a non-profit organization.

**Keywords:** Non-profit Marketing, Charitable Donation, Guanxi

**References**

How to do Better? The Role of Strategic CSR Attributes, Cognitive and Affective Consumer-Company Identification on Brand Equity

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ABSTRACT

The purpose of this paper is to explore the role of strategic attributes of CSR on brand equity from consumer perspective. The strategic attributes of CSR we focused are centrality, proactivity, voluntarism and visibility. We build a conceptual model that integrates the hypothesized relationship between strategic attributes of CSR and consumer brand equity, and also the mediating effect of consumer-company identification (CCI) which can be divided into affective identification and cognitive identification. Using surveys to select 125 valid respondents in China and through SEM analysis, it reveals that: 1) the visibility is significant for the consumer-company identification; 2) the proactivity has a significant direct effect on the consumer brand equity enhancement by arising greater affective consumer-company identification and cognitive consumer-company identification. But the centrality and voluntarism have no significant effect on any other constructs which may indicate that consumers have some difficulties in perceiving the two attributes. Thereby, Companies have to make consumers learn more about their CSR initiatives. More managerial implications are also discussed based on the findings.

Keywords: Strategic CSR, brand equity; affective consumer-company identification; cognitive consumer-company identification
The Roles of Donation Framing and Product Price in Cause-Related Marketing

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ABSTRACT

Cause-related marketing (CRM) is a powerful marketing tool for building positive corporate image and generating favorable consumers’ responses. With a 2 (donation framing: absolute monetary value vs. percentage term) X 2 (product price: low vs. high) between-subjects factorial design, this research examines the impacts of corporations’ donation framing and product price on consumers’ attitude toward and purchase intention of corporations’ products. The results indicate that product price moderates the impacts of donation framing on customer attitude and purchase intention. More specifically, consumers respond to CRM more positively when the donations are in absolute monetary value than in percentage term for low-priced products; while consumers’ responses are more positive when percentage term rather than absolute monetary value is used for high-priced products. The results of the current research shed light on the effective design of a CRM campaign.

Keywords: Cause-related marketing, donation framing, product price, attitude, purchase intention

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Vision Change of China's Top 500 Enterprises: Stakeholder Change, Leadership Succession and Chinese Context

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ABSTRACT

Academia tend to keep the view that vision is a long-term expression for enterprise and it will not change, but whether the vision is really immutable? This study used content analysis to make a comparison of the vision expression of China's top 500 enterprises in 2008 and 2012. We found that more than half of China's top 500 enterprises’s vision expression changed, but this change is not the completely change of the development direction of enterprises, but only the change of some of the structural elements. The core elements will still keep in the vision expression. We also found that the enterprise ownership, corporate profitability and leadership changes were significantly associated with vision change. State-owned or low profitability enterprises is more likely to change their vision. And the leader of the enterprise changed, the vision is more likely to change.

Keywords: Vision Change, co-word analysis, stakeholder, leadership succession
FULL PAPER (IN CHINESE)
Base Concept of Entertainment Marketing and Form of Expression

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ABSTRACT

Twenty-first Century comes out “playing”. It is an inevitable trend to combine of entertainment and marketing. With the hot broadcast of “super girls” at Hunan TV in 2005 as well as a great success of cooperation with Mengniu, the entertainments such as “If you are the one”, “The Voice of China”, “Where is the father”, “I am a singer” shows frequently. The phenomenon of entertainment marketing has aroused great concern of the whole society. This paper aimed to conclude the concept of entertainment marketing from systematic point which is on the basis of summarizing and analyzing of a series of successful cases. Trying to extract the basic form of entertainment marketing, analyzing the influence of different entertainment marketing for consumers with evidence. In practice, the research can be a scientific and effective way for the enterprise to choose the appropriate entertainment marketing activities that can sponsor and promote brand identity. Meanwhile, it can choose appropriate entertainment marketing activities for advertising agency or celebrity stars and provide best practices and theoretical guidance for us.

Keywords: Super girls, entertainment marketing, concept definition, advertising sponsorship, best practices
娱乐营销基本概念及其表现形式研究

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摘要
21 世纪是“玩”出来的，娱乐和营销的结合是必然趋势。随着 05 年湖南卫视“超级女声”的热播，以及与蒙牛合作的巨大成功，“非诚勿扰”、“中国好声音”、“爸爸去哪儿”和“我是歌手”等一大批超级娱乐节目频频登台亮相并被超级追捧，娱乐营销现象引起了全社会的高度关注。本研究旨在总结和借鉴已有国内外相关学术研究成果和分析案例的基础上，进一步对“娱乐营销”这一概念进行系统的总结、梳理和规范界定，试图提炼出娱乐营销的基本概念以及其表现形式。本研究实践上可以为企业科学有效地选择恰当的娱乐营销活动进行赞助和品牌形象推广，为名人明星或广告代理公司正确选择并参与合适的娱乐营销活动，提供最佳实践和理论指导。

关键词：超级女声；娱乐营销；概念界定；广告赞助；最佳实践

1. 引言
“娱乐经济”已成为新的世界通货，21 世纪的货币不是美元，而是娱乐。“爸爸去哪儿”，一部成功的电视节目，由它刮起的娱乐营销热风是很多其他电视节目模仿的对象。出现在该节目的商品也成为许多观众追捧小明星和奶爸的象征，很多观众因为这节目喜欢上里面出现的商品；当下正热播的综艺节目“奔跑吧，兄弟”，其赞助商安慕希酸奶，凭借出色的广告植入模式，成功将产品植入消费者心中；在“中国好声音”这一节目中，加多宝成为了最大的赢家，该品牌以独特的娱乐营销方式，再一次吸引了全国观众的眼球。百事可乐公司主席罗杰思瑞克曾说：“饮料之战没有永远的赢家，输赢并不重要，重要的是一定要有趣。”为了这种境界，百事可乐总是为其“新一代的选择”提供了超大阵容、超流行的明星和演艺活动，让目标消费群在娱乐的享受中感受到了百事可乐的文化和理念。传统的营销方式对消费者的影响正在逐渐减弱，现在世界上大部分优秀品牌塑造者们主要考虑的已不再是影响力和影响频率的问题，它们更关心的是找到有
效的途径，使消费者将品牌融入到自己的生活中，将宣传推广与内容紧密的结合在一起，成为一种行之有效的娱乐营销手段。

然而，娱乐营销和传统营销有什么不同？娱乐营销究竟是怎样运用的？娱乐营销对品牌推广和产品销量的提高，能否起到作用？这些都是值得去研究的。

2. 理论回顾
2.1 娱乐营销的基本概念
    究竟什么是娱乐营销?娱乐营销又是从什么时候开始受到人们的注意的?沃尔夫认为:“当代美国乃至西方社会,传媒和娱乐产业正渗透到经济增长、文化演出以及人们社会生活的所有层面。绝大部分的消费品产业都在竭力吸引消费者的注意力,而娱乐因素则是利器之一”。他指出一条与众不同的商业出路，就是用娱乐因素改造我们的经济[1]。

    所谓娱乐营销，就是借助娱乐活动，通过各种形式与消费者的情感建立联系实现互动，将娱乐因素融入产品或服务，从而达到销售产品，建立忠诚客户的营销方式。即借助各种娱乐活动形式与消费者实现互动，将娱乐因素融入产品或服务，从而促进产品或服务取得良好的市场表现[2]。

    娱乐是当今一种以感官刺激为基础的体验，营销是专注于消费者的需求，通过满足消费者而实现目标的活动。综合两者，娱乐营销便是以消费者的娱乐体验为诉求，通过愉悦消费者而有效地达到营销目标的一种营销方式[3]。

    类似与“蒙牛+超女”这种将娱乐因素与产品联姻的演出“秀”活动就是娱乐营销。娱乐营销的最大特点是摒弃和削弱传统营销中严肃、呆板、凝重、单方面运作、信息交流渠道不畅的一面，变得亲和、轻松、互动起来，更具有针对性和可操作性。它利用人们日益增长的精神消费需求，将娱乐因素融入产品或服务，通过各种各样活动形式与消费者实现情感和心灵的互动，为产品或企业确立更为广泛的知名度和认可度，从而促进产品或服务取得良好的市场表现力[4]。

2.2 娱乐营销理念的发展
    娱乐营销最早是起源于20世纪90年代末，由美国知名学者Pine和Gilmore在《哈佛商业周刊》中刊登的一篇名为《体验经济时代来临》的文章中阐述人们生产及消费行为的变化，从传统物质上的满足上升到情感的需求，提出新消费时代即将来临。而随着资深营销人冉文乐系统研究，娱乐营销理论逐步完善并逐步应用于中国市场。对于中国市场而言，娱乐营销真正在市场经济下普及开来，是从2005年的“超女”超级女声中正式开始的。

    从历史发展过程来看，娱乐营销是在市场竞争白热化情况下营销创新的产物;
从表现形式上看，娱乐营销表现极为生动活泼，基本要素在于形象、生动、时尚、个性和互动，最终体现在人性化上[3]。娱乐因素不仅渗透了营销界，而且娱乐营销成为市场竞争的主要手段。娱乐营销的研究也上升到战略水平上。埃尔·李普曼提出了娱乐营销的4C理论，即从内容(Content)、传播渠道(Conduit)、消费(Consume)、整合(Convergence)四个方面全面概括娱乐产业的框架；同时指出娱乐营销的核心环节包括：从业人员、领导力和领导者[6]。肯·卡瑟从两种维度阐释娱乐营销的含义，并介绍现代娱乐营销的发展史，也论述娱乐营销的产品定制策略和娱乐技术与娱乐营销之间的关系[6]。

如今，娱乐营销不仅指娱乐休闲业本身所创造的效益及相关产业，更广泛的是指各行各业的娱乐形式和趋势，包括广告娱乐形式、营销传播娱乐形式、产品本身娱乐互动形式等。今天，是属于体验经济的时代，企业想要获得成功，就必须立足于服务这一个平台上面。现在，商品大多处于同质化的阶段，企业想要让消费者买你的产品，主要取决于对消费者消费心理的捕抓上。每个人都喜欢快乐、都喜欢娱乐，而娱乐营销正是满足消费者需要快乐、需要娱乐的需求。

3. 娱乐营销的特点
3.1 “三位一体”
所谓“三位一体”，就是指产品、媒体、消费者三者在娱乐营销中融为一
体。在这里，企业以消费者为出发点，让消费者参与到企业与媒体的娱乐活动中来，并且非常注重与消费者的互动，在欢乐中有效宣传企业品牌或产品。这三者的关系也可以理解为，企业努力创造出高品质的商品，媒体通过对公众的详细了解和准确定位，进行强有力的合作意的宣传，让消费者愉快地接受该商品[7]。

3.2 互动性
现代消费者在购买时比较注重参与和体验。而娱乐营销的互动性正好能让消费者参与到企业发起的娱乐活动中来，让其掌握自主权，在互动中得到从未有过的体验，在互动中对企业产品产生了认识。互动性是娱乐营销的本质，也是其魅力所在，失去互动性，娱乐营销也就无从谈起。众多实践经验告诉我们，现在的营销，特别是娱乐营销，互动性是成功的前提。企业在实施营销时要加上互动的要素，使得消费者在互动中了解产品并进行消费。有效的互动方式，无论是采取何种方法，只要能够让消费者在参与中保持轻松愉悦的感受，实现与消费者间的联系，那么就是一次成功的娱乐营销。

3.3 人性化
在这个产品同质化日益严重的市场上，企业必须把更多的精力放在“人”身上，即更加关注消费者，关注消费者的个性化，为目标提供符合其口味的消费环境和商品。对于小孩来说，肯德基不仅仅是一个就餐的地方，它更是一个
娱乐场所。肯德基提供美味可口的食物，得小孩的心，但更重要的是，小孩喜欢这种欢乐的氛围，他们可以自由自在玩耍，尽情吃东西的同时还有礼物赠送。这就是肯德基基于孩子人性化的娱乐营销方式，使得众多小孩开口就赞扬着“好喜欢肯德基”，“要去肯德基玩滑滑梯”，“要去肯德基的游乐园”。做到人性化的营销，是通往娱乐营销的有效途径。

3.4 时尚性
现今社会是一个经济、文化传播发展的时代，物质上的充裕使得人们开始逐渐转向于追求个性化。源于经济的快速发展，带来了快节奏的生活和工作方式，人们的压力也陡增。此时，人们就更加渴求潮流个性化的东西来放松自己，来压抑的情感全盘放纵。而企业就应该抓住这点，合理运用娱乐营销来满足消费者的情感需求，带动潮流个性化的发展。经济的飞速发展，特别是网络信息时代的到来，使得时尚已经成为了人们的一种追求。比如中国移动的“动感地带”业务，把目标客户锁定为15-25 岁的时尚年轻人，努力创建一个独一无二的年轻通讯社区，竭力营造一个专属于年轻人的“时尚、好玩、探索”的地盘。于是请了有“亚洲流行天王”之称的周杰伦进行代言，一个充满时尚感的大明星，加上那首专属的歌曲《我的地盘》以及那句“我的地盘听我的”，立刻就让 M-zone 成为年轻一代追求的时尚品牌[8]。

4. 表现形式
4.1 明星代言
作为21世纪新兴起的营销方式，娱乐营销涉及了众多的领域。而“明星代言”则是娱乐营销的核心技能之一。绝大多数的企业都渴望用明星的名人效应，来把消费者对名人的喜爱转变成对品牌的喜爱，对产品的喜爱，从而进一步的扩大产品的销最，占据更多的市场份额。营销策略就是如何抓住顾客需求为出发点，根据经验获得顾客需求量以及购买力的信息，商业界的期望值，有计划地组织各项经营活动，通过相互协调一致的产品策略，价格策略，渠道策略和促销策略，为顾客提供满意的商品和服务而实现企业目标的过程。通过明星的活动宣传造成媒体组合策划，将宣传品牌的明星各类广告媒体按适当的比例合理地组合使用，刺激消费者购买欲望，树立和提升企业品牌形象，达到娱乐营销的效果[9]。

在现实生活中，明星代言究竟是否独代好，还是多多益善？何测等人通过实验研究得出的研究发现：即随着名代代言规模的逐渐增大，消费者对代言的评价先提升，然后下降。大致成倒“U”型曲线关系：代言品牌产品组合相似性程度越大，消费者的代言感知评价则越高，倒“U”型曲线将向上移动[10]。所以企业在请明星代言时，要想明星代言取得一个好的结果就需要考虑很多的因素。如：明星的个人气质形象、明星的特点、明星与企业的关联度及匹配度、明星的特质与产品是否相符以及代言战略等等。21世纪产品基本处于一个同质化的时代，无

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论是哪一个企业的产品，在市场上的表现形式都是大致相同的。因此，企业在进行明星代言活动时，应当选取符合企业品牌特性，与所代言的企业产品相吻合的明星。比如百事可乐就邀请了黄晓明，罗志祥等新生代明星为之代言，与百事可乐年轻有活力的品牌形象是相吻合的。

4.2 话题营销

所谓的话题营销就是运用媒体的力量以及消费者的口碑，让媒体的产品或服务成为消费者谈论的话题，就此形成关注以达到营销推广的效果。通过多种媒体渠道传播给受众，让受众关注该节目并产生情感反应，继而向他人或群体扩散该节目。比如贴吧，它是一个结合搜索引擎建立起来的在线交流平台，它让那些对同一个话题感兴趣的人们聚集在一起，方便地展开交流和互相帮助。贴吧也是一种基于关键词的主题交流社区，它准确把握用户需求，通过用户输入的关键词，自动生成讨论区，使用户能立即参与交流，发布自己所拥有的信息和对其所感兴趣的话题看法。

《非诚勿扰》这一档节目，节目的粉丝或者是嘉宾、主持人，他们都会主动地参与到话题的建构和传播的过程中来，他们会根据自己的社会经验或偏好发表自己对节目、嘉宾、主持人的看法。由于对自己观点的执着他们还会与其他持不同观点的人进行激励的论辩。他们在制造属于自己的话题的同时，也实现了节目的推广，达到了话题营销的效果。

4.3 广告植入

广告植入也称之为营销植入，它是将企业的品牌或者生产出来的产品通过一系列的手段融入到了电视、电影或者各类节目中去。娱乐营销的强大之处不仅局限于明星代言，在广告植入方面也是有较大建树的。植入营销的使用，很好的满足了消费者在心理上的内在需求。在这样一种环境之下，产品就不尽是产品，更多时候就是一种广告，而广告不仅是广告更多是一种产品。消费者如果接受了产品就意味着接受了广告，接受了广告就等于接受了产品，两者是相互相成的。消费者在观看相关节目时可以看到或者接触到产品和品牌，增强消费者对品牌以及产品的印象，从而引起消费者今后的消费，扩大影响力和产品销量。

植入营销在一定程度上是利用了消费者对客体的信赖和认同感，在不知不觉中逐渐改变消费者的消费心理和消费习惯。因为，它是在娱乐的环境中完成的，所以它是在舒适中对消费者进行改造、引起共鸣。作为这样一种新颖独特的营销方式，它对企业品牌形象以及产品的销售都起到积极的作用，会带来较高的附加价值。

电视剧《编辑部的故事》，被认为是国内首次应用植入式广告手法，“百龙矿
4.4 体验营销
体验营销是企业从感官、情感、思考、行动及关联诸方面设计营销理念，以产品或服务为道具，激发并满足顾客体验需求，从而达到企业目标的一种营销模式[12]。娱乐营销中的体验营销是企业从五个方面来满足消费者体验需求而设计的，它们分别是情感需求、感官感受、思考、行动和关联。体验营销事实上是一种以体验来进行的营销模式。体验营销和娱乐节目是有密切的关系的，娱乐企业把营销空间作为舞台，把产品和服务作为载体，使得消费者在体验的过程中获得情感上的满足，认同并接受企业的品牌和产品，以此来达到增加产品的销售。消费者体验是娱乐营销的最为重要的环节，娱乐营销可以使品牌传播与消费者互动结合起来。通过消费者的体验，建立与品牌及产品的体验，转变消费者的态度。消费者在快乐、愉悦的体验环境中渐渐地接受企业的品牌和产品，同时，企业也实现了品牌和产品的营销。

娱乐体验能使消费者产生参与感。如观众在看《中国好声音》时发送短信投票，与节目进行互动，这将会改变传统的评委点评、观众观看的局面。同时也充分体现出了观众的参与性[13]。娱乐营销其核心的意义是通过互动，感性来打动消费者，而不是用理性说教来促使消费者购买产品，而“互动”“的意义就是通过这样一种体验营销来影响消费者的消费心理，用感性带动消费者的行为从而达到营销产品的目的。一旦消费者与品牌、产品有互动，就会在互动的环境中对品牌信息进行理解和认知。这也就要求企业在设计体验营销的活动时要注意消费者体验中的互动性是否充足和有效。一旦消费者在体验时能够充分理解品牌产品，品牌产品通过消费者的体验而获得好感，企业就可以实现体验营销的真正价值。

4.5 旅游营销
将旅游和娱乐营销结合，是娱乐营销的新形式。通过电视节目、电影、电视剧等手段，把城市的风土人情、地理环境展现在观众眼前，可以将原本固守的风景变成富有情结和心灵对话的场景，扩大城市知名度。将旅游寄予于娱乐元素，通过旅游的人文、景物、景情等，植入观众、消费者心中，能达到一种很好的营销效果。在节目《爸爸去哪儿》的影响下，父了们去过每一个地方都成了新晋的旅游景点，旅客蜂拥而至。只有旅游与当地文化相结合，旅游营销才能赋予其独特的文化内涵和品牌效应。比如《千里走单骑》，我们印象最深刻的就是云南
丽江束河古镇的“四方街食品一条街”和那一眼看不到尽头的“流水席”，播出后即变成了旅游的新焦点，包括2006热播的《大长今》更是如此。

4.6 冠名赞助

冠名赞助是指通过商业赞助这样一种营销手段来买断一个名字，活动方有权决定是否把冠名权给予赞助方。有些冠名赞助是全程的赞助，由节目开始筹备开始直到完全结束都是冠名方全程负责的，而更多时候，冠名方只需赞助大部分资金而非全部资金。随着冠名带来巨大的收益，冠名赞助已经逐渐品牌建设中的重要环节，多数的品牌都希望通过大型的具有影响力的节目来扩大自己的品牌、提升知名度。冠名赞助在消费者生活中的不断渗入，冠名一词也已经开始被广泛的研究。

从营销学来看，冠名的实质就是一种营销活动，是企业通过出资赞助活动或节目，把企业的品牌置于活动及节目上，随节目一起出现。由此来提高企业的品牌、产品、知名度以及影响力。一个完整的冠名分为两部分，分别是冠名方和节目方。如：加多宝中国好声音，他的冠名是冠名方加多宝，还冠名就是节目方在中国好声音，这样就构成了完整的冠名品牌。以加多宝为例，在节目开始时，主持人会在在播时通过语言来告诉观众这个节目的冠名商是加多宝。同时，在节目整个进程中加多宝的LOGO总会出现在屏幕的右上方，从而不断的提醒观众。加多宝正是凭借独到的眼光，找到了《中国好声音》这个娱乐营销的支点，从而实现了王老吉到加多宝的完美转身，并通过创意方式把娱乐营销做到极致，全方位、多平台地与娱乐节目合作、互动，充分调动消费者的消费热情，强化与消费者的感情沟通，从而达成了其娱乐营销的目的[14]。

5. 娱乐营销实践性

国内许多研究文章,从不同角度探讨娱乐营销在中国的效用效果，包括娱乐营销战略的研究，娱乐营销模式的研究，品牌媒体的研究，娱乐营销案例的分析和经验的总结。除此之外很多企业家已经投身于娱乐营销，并获得收益。比如翁向东，上海杰信咨询有限公司总经理，他称娱乐营销就是将销售和新闻热点结合起来，通过利用消费者的心理提高品牌的知名度，为品牌积累一些正能量。产品要结合新闻的热点和大型活动。翁向东对自己蜂蜜品牌的作出的娱乐营销就是结合第一位黑人总统奥巴马的上任的热点新闻。黑人当选总统，独特的黑蜂蜜出现非常吸引大众的目光。于是他在奥巴马就职当天通过在报纸上登出关于黑人总统和黑蜂蜜的广告，在完成了娱乐营销的同时，加强了产品的宣传。

现代营销学之父菲利普•科特勒曾说过“在一个产品泛滥而客户短缺的世界里，以客户为中心是成功的关键”。的确如此，只有了解你的目标受众，精准地把握他们的需求，才能做好娱乐营销。在网络经济时代和娱乐经济时代，做好娱
乐营销更是要关注用户的感受。现在的网民，特别是80、90后的年轻人，都极其有个性，在消费时注重自己的感官体验和内心。娱乐营销与其他营销方式最大不同之一，就在于强调在营销过程中与消费者的互动。只有互动中，才能加深消费者对品牌与产品的了解，引发观众的参与热情。所以企业必须从消费者出发，时刻关注用户的感受，深入挖掘他们的需求，第一时间带去消费者他们想了解的信息。当用户感觉到被重视，当用户的需求被满足，当用户与企业产生情感共鸣，当用户在娱乐中体验到乐趣，顾客满意度和忠诚度还会低吗？

从宏观的角度来看，娱乐活动前，企业应该了解清楚目标消费者的娱乐兴趣点，分析产品和娱乐兴趣点之间的联系。企业要成功运用娱乐营销，应该对时尚潮流、消费者娱乐心理保持高度主动性和敏感性，密切关注社会潮流的发展动态、焦点事件及新生现象，整合电影、电视、音乐、体育等各方面的娱乐资源，找准娱乐载体与企业品牌的嫁接性，打好娱乐营销的基础。

6. 结论

简单而守旧的传统营销方式已经远远不可以满足社会的发展需求，新型的娱乐营销应运而生，娱乐营销也将是未来营销的一大亮点。体验经济的时代下，娱乐营销将取得优异的成果。明星代言、广告植入、冠名赞助、体验营销等作为娱乐营销的中坚力量，将贡献出各自不同的力量。然而，由于娱乐营销的发展历程并不长，其自身尚未成熟，同时也存在着不少的缺陷。随着时间的不断发展，我们切身感受到工作和生活的节奏变得越来越快，收入水平也在不断的提高，人们对娱乐的渴望是越来越高涨的，特别是现在的青年一代。在传统营销方式下，娱乐营销主要对未来的营销发展有着一定程度的推动作用，同时有利于企业更好地运用娱乐营销，找到自己的优势获得更大的收益。

通过全文的论述，在此提出一些关于娱乐营销发展方向的建议。随着网络媒体和新媒体的逐渐成熟，它们给出了娱乐营销一个全新的发展方向。企业在运用娱乐营销的时候需要运用好网络媒体和新媒体，同时开拓更多的娱乐营销渠道，把社会化媒体的特点和娱乐营销的特性结合起来。让大家更加深入理解娱乐营销的同时，为娱乐营销未来在中国的发展寻求一条准确、有效的道路。
参考文献

   （http://baike.haosou.com/doc/3594115-3779122.html#3594115-3779122）
The Factors of Communication and Empathic Marketing Model

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ABSTRACT

This paper expounds the key media into production elements and elements of innovation, the new environment of media economy under the new marketing environment, great changes have taken place in the consumer characteristics and demand and consumption characteristics. Based on the analysis of the mainstream marketing methods as the starting point, introduced the empathic marketing concept, starting with the analysis of the mainstream marketing method for point, introduced the empathic marketing idea, in the analysis of necessity of empathic marketing on the basis of the study, through the empirical data research, constructs DEMATEL model test marketing based on the enterprise, the existing problem and countermeasure strategies and methods should be taken to the new marketing environment, the proposed ideas. Aimed at the industry or business management, product marketing and provide reference.

Keywords: factors of communication; empathic marketing; internet+; business management; new ecology of marketing
传媒要素作用与感验营销模式

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摘要

本文在重点阐述了传媒转变为生产要素和创新要素后，传媒经济新环境下的新营销生态中，消费者特征及其需求和消费特点发生了巨大变化。文章以目前主流营销方法的分析为出发点，引入了感验营销理念，在对感验营销进行研究的必要性分析基础上，通过实证数据研究，构建了基于感验营销的DEMATEL模型，就企业在当前新营销生态中应采取的策略与方式、存在的问题及对策提出了思路。旨在为行业或企业管理、产品营销提供参考和建议。

关键词：传媒要素；感验营销；互联网+；新营销生态

技术革命从其大爆发开始，经过剧增繁殖和狂热，逐渐成熟，开始进入了协同效应期。以“互联网+”为符号，以大数据和交互传播为特征的新兴传媒业态，促使人类进入了全媒体时代，正在实现着任何人、任何时间、任何地点、以任何终端获得任何想要的信息。数字技术把传播对象由瞬息即变、无差别的大众，变成了身份清晰、个性鲜明的个体；信息需求的多样化导致信息产品多样化同时，信息产品形态和服务方式都发生了改变。传媒成为互联网、电信网和广电网架构中的融合体，传统媒体被迫由宣传平台变成了公共话语平台。“权威媒体”正在成为信息内容的制作商和供应商。由此，传媒已脱离了其产业、行业或工具的概念，成为一种全生产要素，参与于市场的资源配置并发挥着积极作用，积极促进现代市场经济实现着产业重构和资本重构。与此相适应，商业活动中要的一环——营销，也开始进入了“感验”时代，“感验营销”已在不自觉中渐成趋势。

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2“感验”一词出处有二，一为《后汉书·西域传论》“神迹诡怪，则理绝人区；感验明显，则事出天外。”二是宋代宋哲隐《上河东公启》之一：“伏以《妙法莲华经》者，诸经中王，最尊最胜，始自童幼，常所护持，或公干左右，有时频访，或谢安海上，此日风波，恍惚之间，感验为少。”此处意为“人在某个情境中的情感体验和感知”，特用于“感验营销”。此处“感验”的英文释义为“Empathic”。
1.传媒要素及其作用

以云计算、移动互联、社交媒体和大数据为代表的技术进步及其引发的传播革命，使传媒从 Media 蜕变为 Communication，它除了既有的传播、行业和产业属性外，已经成为生产要素和创新要素。传媒生产要素可能参与并影响资源配置，传媒创新要素已全浸入经济社会运行。传媒已经完全融入人类的社会生活，控制和影响着人们的所见所闻、所思所想、所作所为。传媒与经济、文化、政治、法律等产生互动，改变着人们日常生活的习惯和观念，并在某种程度上实现着对社会、经济、文化的影响和控制。

作为生产要素的传媒，除了本身参与市场配置外，还实现着对资源配置的影响；作为创新要素的传媒，则体现于传媒在市场实现、资源配置和经济发展中的创新驱动和创新繁殖。从生产要素角度讲，基于自由交换可以使资源得到最充分利用，资源配置可以在理论上实现最优，但交易成本会对资源的优化配置有所限制，而传媒能够使生产与消费间的联系更直接、协调，使资源配置更有效，从而极大降低经济与社会活动成本，提高运行效率。从创新要素角度讲，传媒除了固有的创新功能外，还有明显的个体群系统功能。当个人或组织发生创新时，传媒会驱动该创新被学习和模仿，并引发新的创新，变个体创新为系统创新。因此，作为创新要素的传媒，在当今以知识经济为主体的经济社会领域中的作用日益重要。

不断成长的数字及新媒体技术，在世界范围内改变了传统的媒体发展脉络与格局，使得处理数据与数据、数据与人、数据与业务、数据与价值的过程成为经济社会的主体之一。所以，作为基于互联网、电信网和广电网平台的信息传递主体的传媒，既是作为介质、产品、组织、行业和产业的传媒，也是作为生态的传媒，更是作为生产要素和创新要素的传媒。传媒在发展中形成的要素属性，从解决经济稀缺问题的角度突破了以其固有属性诠释的传媒经济概念，成为最具活力的经济范畴之一，成为国民经济的重要组成部分。

由上，传媒经济新的概念可定义为：传媒经济一方面体现为经济规律和经济理论应用于传媒行业、产业和组织，以解析经济影响力如何指导传媒活动；另一方面体现为传媒要素在渗透和融合中应用于经济、社会、政治、文化，并发挥引导、引领、促进、实现、创新和持续等作用。因此，传媒经济应包括两层含义：一是传媒以组织、行业或产业形态，通过融入社会、经济、产业和组织进行的从宏观到微观的经济活动总称；二是传媒以生产要素和创新要素形态，通过市场配置和资源配置，在经济、产业、组织和社会各层面进行的经济活动总称。
传媒要素作用于传媒经济最直接的体现，就是通过三网平台对产业和资本的重构。首先是产业重构，集中度高、占优势地位的行业一直占据着垄断溢价。由于传媒要素作用的发挥，基于互联网的联通作用和要素配置效用的提升，原有的产业链渠道和品牌成本被逐渐消除，服务被更有效地提供给了需求方。于是，传媒对行业形成颠覆，出现了“破坏性创新”和“去中心化”现象。而集中度低的行业，由于原有服务痛点多，信息不透明，缺乏信用体系，或存在政策限制，导致整个行业发展不成熟，传媒要素作用将有效改善原有的行业痛点，使其实现反转。其次是资本重构。当前，处于经济转型中的中国产业资本亟需出口。最能发挥传媒要素作用的互联网、电信网和广电网成为最有未来的产业方向，成为资本最追捧的投资热点。这将有效刺激创新、助长全民创业潮，最终培育出经济转型新模式。

2.感验营销概念

在传统的 ERP3营销模式中，客户只能被动地接受企业的理念和产品，自己主动了解的成分则很难获取。而与注重 ERP 产品特色、功效的的传统营销相比，感验营销4更注重用户的情境体验。这些基于情境中的体验产生于客户在信息交互传播中的经历及其情感、感觉、内心和思想的触动。感验营销有效地将企业品牌和客户深层有效需求联系起来，感验所带来的高针对性的感觉、感情、认知和关系价值最终将取代产品的功能价值，最终实现用户需求至尚。

感验营销（Empathic Marketing）是在当今精准信息处理、交互模式和信息病毒式传播等影响下的的新营销生态5中，生成的一种新兴营销模式。具体来讲，感验营销是通过引发消费者观感（Impressions）、声感（Phonoreceptor）、触感（Touch）、味感（Taste）、嗅感（Smell）、情感（Affection）等，充分刺激和调动消费者的感官（Sense organ）、感情（Emotion）、思考（Thinking）、行为（Behavior）、联想（Association）和体验（Experience）等感性、理性及情境（Situation）因素，重新定义、设计和实施，通过实现消费者自我满足，促使消费者对社会做出更大的贡献的同时，实现企业营销目标的营销模式。

3 企业资源计划（Enterprise Resources Planning），它将企业的财务、采购、生产、销售、库存和其它业务功能整合到一个信息管理平台上，从而实现信息数据标准化，系统运行集成化、业务流程合理化、绩效监控动态化、管理改善持续化。
4 “感验营销”系本文作者首次提出的概念，针对在传统的 ERP 营销模式中，客户很难主动获取企业的理念和产品状况提出，与注重 ERP 产品特色、功效的的传统营销模式相比，感验营销更注重用户的情感和情境体验以及即时自我实现满足。
5 新营销生态：由于信息传播模式的变革，基于信息传播的市场营销，也正发生变革，由以生产、销售、质量、顾客、服务、体验为中心的传统营销生态，转变为以消费者“感验”为中心的新营销生态。
感验营销以消除企业（品牌）和消费者之间的距离为重要经营手段，是营销概念演生产中心论、质量中心论、服务中心论、体验中心论以后的必然发展趋势。感验营销要求企业必须从消费者的感官、感情、思考、行为、联想和体验等六方面重新定义，设计营销策略。此营销方式既突出了“理论性消费者”的传统假设，也突出了体验营销将消费情境互动和消费者自我价值实现营造屏蔽在外的局限，认为消费者的消费行为除了包含知识、智力、思考等理性因素，感官、情感、情绪等感性因素外，还必须有以其情感需求和自我满足为基点的情境互动。

2.1 现代消费者特征分析

今天的消费者，每天都不得不主动或被动面对海量信息，不得不同时间兼做多项事情，其心理、情感和行为、习惯等方面都发生了诸多改变。无论是主动改变或是被迫适应，其核心表现是专注特征的逐渐趋弱，而消费者专注力的衰减，无疑会极大提升营销难度，对于营销目标来讲，则产生了严重影响。因此，对于营销来讲，聚焦消费者的注意力越来越难，锁定目标客户越来越难，使消费者产生感知共鸣越来越难，所以，实现营销目标就越来越难。消费者同时进行多重任务处理，已经成为一种习惯，这种对人的思维、心理和情感产生的巨大影响，严重影响着消费行为。

2.1.1 消费者的有限注意力获取分析

人脑在瞬间或一段时间内接收和处理的信息的能力有限，由于当今信息传播的海量、交互等特点，需要对信息进行相关思考和处理，严重分散了消费者的关注力。所以，消费者的注意力的碎片化成为常态。由此可知，今天营销难题的实质，是消费者面对多重任务处理，且不得不随时进行任务切换。

通过不同介质进行信息传播的效果并无太大差别，而真正影响消费者接受信息效果的原因是个人移动终端。由于移动终端的主动权为消费者所有，所以凭借移动终端进行信息传播并保证有效，就必须大大提升信息内容的相关性和内容表达的趣味性，还必须让接收者觉得有意义，甚至是针对其本人的传播。更重要的是，如果传播有效，可以让消费者产生共鸣，进而实现对其消费行为的影响。

综上，今天的营销对象，只能是随时进行多重任务处理的消费者，因而，迫于营销生态改变而进行的营销变革，就必须是营销模式的变革，而不仅仅是营销方法的变革。从生理层面分析，感验营销模式对于消费者的影响基础，是激发其大脑释放多巴胺，与人们在玩游戏时大脑释放多巴胺，会兴奋、会上瘾，并产生成就感。

6 多巴胺的化学分子式是 C6H3(OH)2-CH2-CH2-NH2，由脑内分泌，可影响一个人的情绪。它正式的化学名称为 4-(2-羟基苯基)-1,2-二酚，简称“DA”。多巴胺是一种神经传导物质，用来帮助细胞传送脉冲，这种脑内分泌物

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一样，成功的感验营销可以让消费者分泌多巴胺，从而产生高度偏好感和高度互动性，实现最为重要的结果——即时满意。

2.1.2 消费者被需心理满足分析

相关研究表明，人们喜欢社交媒体的主要原因，是社交媒体能给人被认可的感觉，能感觉到自己存在的意义。也就是说，人们通过社交媒体交流，在本能上并非为了交朋识友，而是体验被需要的感觉，想知道有没有人，有多少人想和自己交往，即“社交关联心理需求”。

虽然“感验”有可能让消费者对产品或品牌产生兴奋感，但这种现象在大脑转变的过程中会被一些因素影响。比如，现在的青少年和儿童的同质化现象越来越严重，个性化特征趋弱的主要原因，就是其生活以游戏、电脑和社交媒体为中心。因此，未来的消费者如果遇到能够吸引自己注意力的产品或服务，将会比现代人更兴奋，而且，这种兴奋可能代表一批人甚于一代人。因此，通过社交媒体开展相关的活动是不错选择。因为针对消费者希望被肯定的需求开展营销活动，必然会使营销效果最大化。

由上可知，通过社交媒体捕捉消费者的反应并搜集市场数据，对其价值给予肯定，也就是让他们觉得自己“被需要”非常重要，而营销成功的关键则是实现与消费者的互动，因为它可以满足他们沟通过关联性的心理需求。这样，消费者和品牌之间关系就不单是纯粹的业务关系，还会进一步发展。另外，在通过社交媒体为消费者提出建议时，相关性也非常重要。从生理学上讲，当人看到自己熟悉的人或事物时，大脑便会释放一种被称为“拥抱荷尔蒙”的化学物质，叫后叶催产素7。所以，当消费者看到自己熟悉的人或事物（名字、影像或符号），“拥抱荷尔蒙”会促使营销效果大大提升。

2.2 感验营销模式研究的必要性分析

今天的消费者，需要的是对自己特殊性和与众不同的感觉，是“被需要”、“重要性”和“个性化”的感觉，是自我价值实现的感觉，是他们和品牌的相互尊重和认可。从消费结构看，产品和服务中情感要素的比重在逐渐增加，而消费本身所追求的就是获得心理愉悦。所以，消费者在注重产品质量的同时，越来越注重情感的愉
悦和满足。

在营销活动中，无论是 4P 理论（Place、Promotion、Price、Product）、4C 理论（Customer、Cost、Convenience、Communication），还是 4R 理论（Relevance、Reaction、Relationship、Reward），其模式虽然都是基于与消费者的沟通，但当我们深入了解全媒体情境中针对于消费者的产品（服务）本质和内涵，尤其是文化消费、个性消费已经成为产品和服务内核的时候，就会感觉到，感验营销几乎是对既有营销思维模式的一种颠覆，更是一种眼界和胸怀的延伸（见表 1）。因此，感验营销应该是以消除企业（品牌）和消费者之间的距离为重要目标，从消费者的感官、感情、思考、行为、联想和体验等方面重新定义、设计营销策略。当前的消费行为除了包含知识、智力、思考等理性因素，以及感官、情感、情绪等感性因素外，还必须有以其情感需求和自我价值实现满足为基点的情境互动。

表 1 传统营销与感验营销比较

<table>
<thead>
<tr>
<th></th>
<th>传统营销</th>
<th>感验营销</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>营销重点</strong></td>
<td>专注于功能上的性能与效能</td>
<td>专注于消费者的感验</td>
</tr>
<tr>
<td><strong>对消费者的认知</strong></td>
<td>视消费者为理性决策者</td>
<td>消费者是理性和情感的个体</td>
</tr>
<tr>
<td><strong>对产品定义/分类</strong></td>
<td>定义狭隘的产品分类与竞争</td>
<td>检验与营造消费情境</td>
</tr>
<tr>
<td><strong>分析方法</strong></td>
<td>分析的、定量的</td>
<td>多源与多种</td>
</tr>
</tbody>
</table>

本文总结归纳出针对营销的五个感验主体内容，并构成了感验营销评价指标体系（如表 2 所示），五大感验内容包括感官感验（感官）、感验感验（感）思考感验（感思）、行动感验（感行）和关联感验（感联）。那么，如何对这些主体感内容进行论证并实际有效运用呢？

表 2 感验营销评价指标体系

<table>
<thead>
<tr>
<th>类别</th>
<th>内容</th>
<th>评价指标</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>感官</strong></td>
<td>视觉</td>
<td>通过视觉吸引并留住消费者</td>
</tr>
<tr>
<td></td>
<td>听觉</td>
<td>通过听觉吸引并留住消费者</td>
</tr>
<tr>
<td></td>
<td>触觉</td>
<td>通过触觉吸引并留住消费者</td>
</tr>
<tr>
<td></td>
<td>嗅觉</td>
<td>通过嗅觉吸引并留住消费者</td>
</tr>
<tr>
<td></td>
<td>味觉</td>
<td>通过味觉吸引并留住消费者</td>
</tr>
</tbody>
</table>

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### 3.感验营销和对策

#### 3.1 感验营销 DEMATEL 模型

由于感验营销的特殊性，运用决策试验与评价实验实验室法（DEMATEL）8，通过呈现其系统因素性质显著性和因素关联度进行建模研究较为恰当。

1. **DEMATEL 运算步骤**

DEMATEL 的运算步骤主要包括建立初始直接关系矩阵、转换为正规化直接影响矩阵、获得总影响的关系矩阵和建立网络关联图。

步骤 1：建立初始直接关系矩阵。根据消费现实感受经验，通过李克特五尺度（0 无影响，1 低影响，2 中影响，3 高影响，4 极高影响）9，转换为因素间直接影响程度，并整合主要专家共识，即可构成 n × n 非负值初始直接影响矩阵 K。n 为受访者总数量。yij 表示第 i 因素影响第 j 因素的影响程度。公式如下：

$$K = \frac{1}{n} \sum_{g=1}^{n} y_{ij}$$

步骤 2：转换为正规化直接影响矩阵。从初始直接关系矩阵（K）取行列各最小值为正规化转换因子（m），让初始直接关系矩阵保持相同质量转换为介于 0～1 间，最终获得正规化后直接关系矩阵（N），其行列值最小为 0，最大为 1。公式如下：

### 参考文献

8 Decison Making Trial And Evaluation Laboratory（Decision Making Trial And Evaluation Laboratory）起源于日内瓦研究中心在乔治亚大学的 Battelle 协会（Battelle Memorial Institute of Geneva）。1971～1976 年，为了解决科学与人类事务计划针对呈现真实社会中因素关联性的一种基于矩阵相关数学理论的方法。该方法能有效呈现因性质显著性及因素关联影响结构与程度，并有利于将真实社会的复杂结构简化，并提供改善方向。

\[ m = \max \left( \max_{l=0}^{n} \sum_{j=0}^{n} k_{lj}, \max_{l=0}^{n} \sum_{j=0}^{n} k_{lj} \right) \quad (2) \]

\[ N = \frac{K}{m} \quad (3) \]

步骤 3：获得总影响关系矩阵。真实社会中因素之间的关系是单次影响，然而，因素影响也会受到本身及其他因素的直接与间接的综合影响，当 \( u \) 达到无限次的影响时，矩阵影响值为 0，将会达到稳定状态，即 \( N^u = \left[ 0 \right] \)。获得总影响关系矩阵 \( T \)，其中 \( I \) 为单位矩阵。公式如下：

\[ T = N + N^2 + N^3 + \ldots + N^u, u \rightarrow \infty, N^u = \left[ 0 \right]_{\text{max}} \]

\[ = N(I + N + N^2 + \ldots + N^{k-1})(I - N)(I - N)^{-1} \]

\[ = N(I - N^{k-1})(I - N)^{-1} \]

\[ = N(I - N)^{-1} \quad (4) \]

步骤 4：建立网络关系图（Network relationship map，NRM）。总影响关系矩阵 \( T \) 行列加总，可获得因素影响程度之总额 \( r_i \)；列为因素被影响程度之总额 \( d_i \)，
\( r_i + d_i \) 为因素总影响程度，即中心度； \( r_i - d_i \) 为因素性质显著程度，即原因度。

3.2 系统结构分析

为了将验证感验营销的有效性，本文通过问卷进行实证研究，整理出相关评价指标体系（如表 2 所示），并用 DEMATEL 建立感验营销评价体系系统结构模型（网络关系图）。表 3 表明了影响度 \( r_i \) 为因素影响性程度，被影响度 \( d_i \) 为因素被影响程度，中心度 \( r_i + d_i \) 为因素关联性程度，原因度 \( r_i - d_i \) 为因素影响显著性程度。

| 表 3 感验营销系统结构模型实证数据分析 |
|-----|-----|-----|-----|-----|
| 构面层级 | \( r_i \) | \( d_i \) | \( r_i + d_i \) | \( r_i - d_i \) |
| \( C_1 \) | 0.580 | 0.532 | 1.111 | 0.048 |
| \( C_{11} \) | 2.706 | 2.481 | 5.187 | 0.225 |
| \( C_{12} \) | 2.022 | 1.828 | 3.849 | 0.194 |
| \( C_{13} \) | 1.977 | 2.772 | 4.748 | -0.795 |
| \( C_{14} \) | 2.178 | 1.637 | 3.815 | 0.542 |
| \( C_{15} \) | 2.483 | 1.793 | 4.276 | 0.691 |
| \( C_2 \) | 0.609 | 0.596 | 1.206 | 0.013 |
| \( C_{21} \) | 2.422 | 2.742 | 5.164 | -0.321 |
| \( C_{22} \) | 2.217 | 2.378 | 4.594 | -0.161 |
| \( C_{23} \) | 2.818 | 2.546 | 5.364 | 0.272 |

---

456
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<th>$C_3$</th>
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<td>4.167</td>
<td>0.978</td>
</tr>
<tr>
<td>$C_{54}$</td>
<td>2.793</td>
<td>1.717</td>
<td>4.510</td>
<td>1.076</td>
</tr>
</tbody>
</table>

3.3 实证结果讨论
针对表 3 实证计算结果，可以分别建立构面及准则的网络关系图，如图 1～图 6 所示。

3.3.1 感验营销系统结构模型。由表 3 计算的结果可以建立感验营销构面网络关系图（图 1）。构面 C5（感联：关联感验）是总影响源，影响了其他感验构面，而构面 C3（感思：思考感验）是最终受影响源，受到其他构面的影响。消费者开始认识产品，是通过五种感知知觉感验，进而建立起对于产品的基本认识。各种感知经验的刺激，能使消费者产生情感，或者想进一步影响其生活。各种感验能引起消费者的兴趣及好奇心，使其产生感思。感联主要是透过感官、感情、感思与感行等层面，将个人与品牌及文化相联结，进而让消费者认同产品或品牌。如果消费者产生好感，产品各项元素也能让消费者满意并接受。

![图像1: 感验营销系统结构模型](image1)

图1 感验营销系统结构模型

3.3.2 感验构面准则结构模型。图 2 显示，因素 C13（感触）是最终受影响因素，当消费者接受各种感触吸引后，最后才会进行触觉感验，而其他四种感触知觉（味觉、
听觉、嗅觉、视觉）则互相影响。

![图2 感官影响关系结构模型](image)

3.3.3 感官影响关系结构模型。图 3 说明，因素 C24（外向且负面情绪）影响了其他感验因素，而因素 C21（内向且正面的情绪）则受其他因素的影响。当进行情感感验时，产生的情绪会由外向逐渐转化为内向情绪。如果消费者一开始就产生负面情绪，则需要进行深入、费时的针对性感验营销才可能让消费者转变成内向且正面的情绪。

![图3 情感感验构面准则影响关系结构模型](image)

3.3.4 思考感验构面准则结构模型。图 4 指出，因素 C31（惊奇思考）是主要影响因素，影响 C33（刺激因素）后，也同时影响 C32（诱发思考）。因此，在进行思考感验时，最重要的是要先引起消费者对产品（服务）的兴趣。当兴趣或者好奇心被引发，许多人会与身边的人进行讨论，进行相互刺激思考后，有时会改变既有对该产品的固有观念与想法。
3.3.5 行动感验构面准则结构模型。图 5 的行动感验构面中，因素 C43（产生自我认知）是最终影响源，影响了其他因素，而因素 C42（生活型态的改变）则受到其他因素的影响。所以，在行动感验营销过程中，提供产品的正向信息会令消费者产生对产品（服务）的认同感，也就是自我认知。因为有认同感，所以，会有可能让消费成为生活的一部分。也因为认同感与实际的生活感验，会让消费者有可能产生想修正自己生活中对消费（该产品或服务）的看法和行为，进而改变其生活型态。

3.3.6 关联感验构面准则结构模型。图 6 的关联感验构面准则结构模型中，因素 C53（社会识别）是主要影响源，而因素 C52（群体关系）是最终被影响源。所以，在关联感验营销过程中，产品会最先使消费者感受或联想到其身份地位（社会识别）。当产品的定位与识别定位一致或相近时，消费者就会感验到与社会认同的关系，并使之想与家人或亲属共同感验。
3.4 感验营销对策

根据上文分析可知，当前消费者最看重的是自身的即时满意见，而即时满意见与消费者固有的人性特征紧密相关。消费者所体现的贪婪、好奇、自负、娱乐、贪食、偷窥、虚荣、色欲、懒惰、妒忌、善良、健康、愤怒、成长、分享等人性特征都是需要在感验营销中进行关注的，抓住消费者的人性特征并促使其通过感验实现满足，并进行有效引导，正是感验营销的长处。所以在感验营销实践中，应以消费者的即时满意为出发点，使其实现购买前、购中和购后的全过程满意。具体来讲，感验营销对策主要有以下几点：

3.4.1 感官满意营销对策。感官满意营销即通过满足消费者视觉、嗅觉、触觉、味觉和听觉需求而实现营销目标。它的主要目的是通过创造知觉体验让消费者满意，引发消费者出游和购买动机，以增加产品和服务的附加值。

视觉满意营销是指通过视觉要素影响消费者的视觉感受，吸引消费者对品牌和产品的关注，并在感受中对色、形、图、文、貌等产生美感共鸣：嗅觉满意营销是通过消费者喜欢的气味，产生与特定产品的匹配与联想。相关脑部实验研究证实，气味和外观所激起的脑部区域是相同的，它和视觉感官是产生感官联想的主导力量；触觉满意营销是让消费者在接触产品时产生满意的感觉，并留下难以忘怀的、美好的“触觉印象”；味觉满意营销在一些特定产品营销中必不可少，与营销环境相匹配的美食能给予消费者口感上的刺激，使其产生独特的记忆和联想；听觉则是通过设计人工的和自然的音场，使消费者醉心于美妙的环境之中，产生满足感。

3.4.2 情感满意营销对策。情感满意营销是在营销过程中，通过触动消费者的内心情感而提升其情感满意度（需要真正了解消费者情感需求），并针对性地创造消费者情感满意方法，使其自然地受到感染，并融入到相关情景，达到营销目的。

情感满意营销须通过感观满意营销介入，主要包括服务的温情，消费者间的友
情、爱情和亲情，消费者对大自然和文化的感情，以及爱国热情等。温情服务通过
营销人员提升服务水平和自身服务素养实现；消费者间的友情、爱情和亲情激发，
需要在营销过程中，通过产品的设计和营销服务来实现；对大自然和文化的感情和
爱国热情，除了需在产品设计和营销服务等方面下功夫外，还需通过思考、行动、
文化及关联满意营销手段辅助实现。通过精心设计以激发消费者的情感，是情感满
意营销成功的关键。

3.4.3 思考满意营销对策。思考满意营销是创造性地让消费者获得认识和解决问题
的体验，并在成就感中实现自我满足，从而实现营销目的。产品内涵的注入和产品
推介、感验中的巧妙设计，可以使本来单一的产品内容进一步丰富化、趣味化。最
重要的是在营销中通过引发消费者的思考，达到自我价值体现的满足。

思考满意营销的介入点为感观满意营销，相对于情感满意营销，思考满意营销
对产品设计和营销人员素质的要求更高。该营销对策需要营销人员对每一位消费者的
文化素养、兴趣所在、职业特征、自身特点等情况能在短时间内有较为详细的观
察和了解，并能针对性地开展营销活动。

3.4.4 行动满意营销对策。行动满意营销是通过消费者喜欢的偶像或角色来激发生
满足感，使消费者的生活形态发生改变，从而实现产品的销售。偶像主要是消费者的
某种憧憬，通过消费使其憧憬实现，无疑是使消费者满意的最佳方式。随着消费
者自我意识的逐渐增强，引入角色扮演模式无疑是对行动满意营销的一种良好补充。
角色扮演要脱离低俗情景设计，达到消费者在自我憧憬方面的满足与实现。

行动满意营销需要辅之以思考满意营销、娱乐满意营销及娱乐满意营销为手段，
并提进行产品营销方案设计和论证的基础上加以实施。

3.4.5 娱乐满意营销对策。娱乐满意营销是以消费者的娱乐满足为诉求，以为消费者
制造快乐、开心为出发点和归宿点，通过使消费者愉悦来达到营销目标。

对于某类商品或服务，娱乐可以成为产品的主线。娱乐满意营销需变自发无控
娱乐为自觉有控娱乐，在消费全过程引入娱乐因素，激发消费者的自我满足感。娱
乐满意营销是实现感观、情感、思考、行动及文化满意营销的纵贯性营销主线，是
实现产品整体营销效果的关键对策。

3.4.6 文化满意营销对策。文化对于消费者而言，往往会显得高端和远离，而通过
独具匠心的文化满意营销，将艺术、文学、音乐等高雅的文化活动通过营销植入消
费者的心目中，使之感受到富于文化的独特韵味，实现自我满足，从而达到营销目的。

文化营销除了发掘产品本身的文化内涵外，重点是消费者的文化实现和文化满意，变用产品本身的文化感染消费者为通过消费者的努力去发现、延伸、享受文化。从更深层次来讲，文化满意营销是实现产品深度挖掘和实现产品口碑宣传的重要方式，也是培育高端客户和忠诚客户的重要方式。

3.4.7 关联满意营销对策。关联满意营销包含感官、情感、娱乐、文化、思考和行动满意营销的综合。通过消费者身份或群体的品牌化而激发其自豪感和满意度，从而实现营销目的。

关联满意营销对策是感受营销的集中体现和高层次运用，在感情满意营销、情感满意营销、娱乐满意营销、文化满意营销、思考满意营销和行动满意营销等对策运用到一定程度并取得良好效果后方能形成的一种高端模式。

4. 结论

感验营销可以说是当前最佳的营销思路和营销模式，它是把产品鲜活化、内涵化、定制化和个性化的优质工具。但是，当信息在较高程度上实现传播聚合的时候，随着新型传播活动所带来的弊端，感验营销也会面临诸多困境。

首先，信息贫富差距的日趋扩大，影响着产品的感验营销效果。信息移动终端持有与使用的不平等，严重影响着信息知情权和传播参与权的享有与行使，这使得消费者在信息获取和信息传递的均衡性上存在较大问题，从而会影响消费者的实际感验效果。

其次，由于人们往往只选择与自己的喜好相似或有共同点的网络站点平台，这很容易导致消费者分离为大量的小群体，形成一个个小的“信息茧房”，而“信息茧房”效应，会导致感验营销效果弱化。从而影响了获取、传递信息的数量与质量，进而影响感验营销效果。

第三，信息垃圾和信息过剩，致使感验营销目标受阻。信息技术使人们可以在对话中实现决策参与，原来的主导信息日趋弱化，来自不同传播节点的“传播中心”却可以将信息源源不断地发送。同时，由于个人的好奇心、表现欲望以及志愿精神的推动，产生了大量的信息垃圾和过剩信息。所以，必然会产生很多信息杂音对营销目标形成干扰，致使营销目标受阻。
总之，传媒在转变为一种全新生产要素，参与于市场的资源配置并发挥积极作用的基础上，“感验营销”成为趋势已成必然。在感验营销实践中，外部感验须以内部营销为基础，产品的心里属性开发是重点，感验主题是否明确是关键。感验营销的研究是全媒体时代导致的新营销生态中现代经济发展、产业升级和企业运营管理的客观需求。随着研究的深入和感验营销实践的开展，消费者会越来越受益于斯，企业会越来越受益于斯，社会也会越来越受益于斯。

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Influence of Perceived Value of Mobile Advertising on the Consumers’ Mobile Shopping Intention

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ABSTRACT

In this paper, from the perspective of perceived value, the Short Message Service (SMS), the common form of mobile advertising, as the research object, we combined with the value of reception theory model and uses and gratifications, explored the influencing factors of SMS on the perceived value and its effect on the mobile shopping intention. Through the questionnaire survey method and Structural Equation Model, we examined our hypothesized model. The results show that the infotainment, product involvement and self-efficacy have the positive impacts on the perceived value, while irritation has a negative impact on it, and the attitude mediates the influence of perceived value on the consumers’ mobile shopping intention. The theoretical and practical implications are also discussed in this paper.

Keywords: Short Message Service (SMS) advertising; self-efficacy; product involvement; perceived value; mobile shopping intention
移动广告感知价值对用户移动购物意愿的影响研究

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摘要

本文从感知价值角度，以移动广告中比较常见的短信息服务（SMS）广告为研究对象，结合价值接受模型和使用与满足理论，探究SMS广告感知价值的影响因素及其对用户移动购物意愿的影响过程，并通过问卷调查法和结构方程模型进行了实证检验。结果显示信息娱乐性、产品涉入度和自我效能感对感知价值具有正向影响，刺激性对感知价值具有负向影响，态度中介了感知价值对用户移动购物意愿的影响。这一结果的理论和实践意义也在文中进行了讨论。

关键词：短信息服务广告；自我效能感；产品涉入度；感知价值；购物意愿

伴随计算机网络技术的发展和智能手机的普及，我国使用移动互联网的手机用户已达2.36亿。面对移动网络带来的巨大市场，各商家投入了大量资金开展移动营销活动，据统计2014年全球移动广告的投入额已达到262.6亿美元，到2017年将达到628亿美元，移动广告已成为移动商务活动中吸引新顾客和保留老顾客的主要方式，对移动广告的研究成为各方关注的焦点。

然而，移动广告越多越好吗？又有研究认为，超负荷的信息让消费者形成负面情绪，进而对广告内容表示怀疑，并形成对广告的排斥心理，更加不愿意购买广告信息涉及的商品了。事实证明唯有符合用户需求的适度广告才能达到预期的广告效果。目前，移动广告的研究尚处于初级阶段。近年来，国内学者已开始关注移动服务的相关研究，并取得一定成果，但是对移动广告的研究却相对较少，从感知价值角度的探究就更匮乏了，故而在我国开展移动广告感知价值及其对移动用户行为意愿影响的相关研究很有必要。

社会学的相关研究表明，价值是态度、行为和判断的基础，消费者通过对支付成本和所得利益感知，形成对服务效用的整体性评估。既然广告感知价值是对整体广告服务的一种主观评价，因而它不仅受到外部因素的影响，也会因个体特征的差异而产生不同的评价结果，这一点在传统广告价值研究中已得到证实。但是，有关于移动广告的研究所多以技术接受模型（Technology Acceptance Mode，TAM）为基础，着重分析移动广告对用户采纳意愿的影响，对于来自用户的个体特征则较少考虑。本研究拟以移动广告中最为普遍的形式——短信息服务（Short

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Message Service，SMS）广告为研究对象，从感知价值角度出发，以价值接受模型（Value-based Model，VAM）和使用与满足理论（Uses and Gratification Theories，U&G）为基础，全面考虑内外部特征的影响，探究 SMS 广告感知价值对用户移动购物意愿的影响过程。这里的外部特征考虑信息性、娱乐性和刺激性这三个被学者普遍认可的特征，内部特征则考虑产品特性度和自我效能感对个体评价和决策的影响。

1 理论基础
1.1 SMS 广告

所谓 SMS 广告，就是将特定广告信息以文本形式发送至用户的移动设备。由于其具有精确性、分众性、蔓延性、存储性、时效性、互动性和低成本等优点，很多企业把发送 SMS 广告作为提高品牌知名度和保持顾客忠诚度的重要措施，并已在一些国家取得良好的效果，预计未来的使用量会持续增加。值得一提的是，虽然移动广告可以分为基于允许、基于激励和基于位置三维不同类型，但是依据我国广告法的最新规定，“未经当事人同意不得向其移动电话发送广告”，这意味着今后我国 SMS 广告都必须在“基于允许的”前提下才能发送，本文就以这一类型的 SMS 广告为研究对象展开相关研究。

1.2 感知价值

价值通常是关于质量和价格之间的权衡或比率，用户在选择决策时会根据整体价值进行综合评估。具体来说，一旦某一价值被内化，它就成为发展和维持对某一事物或情况的一个准则。广告价值“可以作为消费者对组织通信服务满意的一个指标”，它是对广告有效性的一种测量。

已有研究中学者对感知价值的理解，主要包括两种不同的观点：第一种观点认为感知价值是一个多维度的概念，如 Sheth 等（1991）提出消费者感知价值包括功能价值、社会价值、情感价值、认知价值和情景价值共 5 个维度；第二种观点认为感知价值是一个单维度概念，可以通过多个指标来测量，如 Kim 等（2007）在对移动商务接纳的研究中，从感知成本和感知收益两方面测度感知价值。

我国移动商务采纳率和传统广告价值的相关研究中，多数把感知价值作为一个单维度概念进行测量，本研究将延续这一观点，用外部和内部多个指标测度单一维度的感知价值。

1.3 U&G 理论

U&G 理论是站在受众的立场上，通过分析受众对媒介的使用动机和获得需求来考察大众传播给人类带来的心理和行为上的效用。20 世纪 40 年代，U&G 理论研究首次被用来研究无线电介质的效用，此后被用于解释来自如电视、电子公告牌和有线互联网等各种大众传播媒体的心理动机。现有研究一致地认为，U&G 理论中重要和最严谨的维度，包括娱乐性、信息性和刺激。在传统媒体情景下，U&G 理论已被广泛用于消费者动机方面的研究，并取得了丰富的成果。根据 U&G 理论，Ducoffe(1996)对网页广告展开了研究，认为娱乐性、信息性和刺激是广告价值的影响因素。因而，本文探讨在移动环境下 SMS 广告的娱乐性、信息性和刺激性对感知价值的影响是 U&G 理论的合理延伸。

1.4 VAM 模型

根据价值理论，Kim 等（2007）提出移动环境下用户感知价值的影响因素来自成本和收益两个方面，成本是用户感知到的正向效用，包括感知有用性和娱乐
性：收益是用户感知到的负向效用，包括感知费用和技术性。感知价值正是对这两个方面的综合评价。Kuo 等（2009）的研究结果也显示，移动服务的感知价值对用户购后意愿具有正向影响。通过进一步的对比分析，学者们还发现 VAM 模型甚至比 TAM 模型的解释程度还要高。

尽管学者们已经注意到移动广告感知价值对行为意愿的影响，但尚未从外部特征和内部个体特征两个方面展开对用户移动购物意愿影响因素的探究。事实上，在移动商务活动出现的早期，我国学者注意到价值接受模型对用户行为意愿的影响，周涛等（2009）从成本和收益两个方面探讨了我国用户对移动商务接受的影响因素。本研究将 VAM 模型为基础，考虑用户感知到的正负效用，以及他们对行为意愿的影响。

1.5 产品涉入度与自我效能感

产品涉入度主要指对个体来说产品的重要程度。学者 Sherif 和 Cantril 早在 1947 年就对涉入度进行了研究。直到二十世纪六十年代，Krugman（1965）才将其引入消费者行为研究领域，主要用于电视广告效果的研究，后来被广泛用于产品以及购买决策中。社会心理学认为，有争论的信息在高涉入度水平下更具有说服力，这是因为高涉入度情况下，人们更有动机集中所需的认知精力去评价某一观点或产品的价值[3]。因而，移动环境中用户对产品涉入度的高低，也会影响其感知价值的大小。

根据社会认知理论，自我效能感是“人们对自己组织或执行某种行为进而达到期望效果的能力的自我判断”，它影响个体的行为选择、努力程度和内外困境时能够坚持多久。当被应用于不同领域的研究对象时，自我效能感可以更好地解释行为意愿。同时，个体对自我效能的信心也决定了环境中的机遇或阻力是如何被感知的。由此可见，移动环境下自我效能感对个体感知价值的影响不容忽视。

2. 研究模型与假设

基于 VAM 模型、U&G 理论、自我效能感和产品涉入度的相关研究，本文认为 SMS 广告的外部特征和内部特征共同影响感知价值；感知价值对用户移动购物意愿的影响受到态度的中介，我们的研究模型如图 1 所示。

2.1 外部特征

根据已有文献和 U&G 理论，本研究关注的外部特征主要有三个，即信息性、娱乐性和刺激性，他们被学者们反复提及。在移动广告的研究中，由于信息和娱乐价值在新技术世界里是互相渗透的，因此，两者不必分为两个概念，可以把信息性和娱乐性可以整合为一个概念，即信息娱乐性。

信息性主要指广告媒介向用户提供丰富和有用信息的程度。广告公司的营销经理倾向于通过广告信息传递信息。在享受移动网络提供的服务时，消费者期望的广告内容是既能够适合他们兴趣，又能与自己的喜和兴趣相关的信息。相应地，通过移动设备传递给消费者的信息也需要显示定性特点，如对消费者的准确性，及时性和有用性。Chowdhury 等 (2006) 发现，消费者不会因为移动广告商提供合适的信息而感到生气。
娱乐性主要指具有满足用户逃避现实、消遣、审美享受和情感释放需求的能力。早期研究中，有兴趣和令人喜欢的广告，会给消费者对品牌的态度带来正面影响。人们享受的感觉，在观看广告的整体态度中，扮演着最重要的角色。Scharl等 (2005)的研究表明，当广告提供商提供令人愉快的，与目标群相关且信息量大的SMS广告信息时，消费者有可能增加他们购买广告商品的意图。由于广告的内容（信息量）和形式（娱乐性）是广告价值的重要预测因子，也是保证网络广告有效性的关键，因此，我们提出如下假设：

H1：SMS 广告的信息娱乐性正向影响感知价值

刺激性主要指引起消费者恼怒的程度。Bauer 和 Greyser (1968)通过对美国消费者的实验，结果显示人们批评广告的主要原因，同广告引起的刺激和烦恼相关。刺激可以导致广告效果的一般性降低和被观众感知的价值降低，这是因为部分消费者仍然对移动商务的概念很不习惯，怀疑移动广告中的商务信息是否安全可靠。“当广告采用的技术惹恼、冒犯、侮辱或过于操控消费者时，消费者很有可能感觉这是一个不受欢迎的和令人愤怒的影响”。由于移动广告可以提供令人分散注意力的信息，并成功牵制消费者，因而被认为是移动用户隐私的一种侵犯。移动网络环境下，发送者直接将 SMS 广告发送至用户的私人手机，用户在接受广告的同时，就面临其个人信息可能被泄露的风险，这是用户需要考虑的主要成本。据此，我们做出如下假设：

H2：SMS 广告的刺激性负向影响感知价值

2.2 内部特征

认知对价值的影响正逐渐引起学者的重视，在我国感知价值的相关研究中，社会认知变量的作用得到了一定的验证。本研究把与情景有关的认知变量——产品涉入度和自我效能感作为内部特征，分析两者对感知价值的影响。

Kapferer 和 Laurent (1985) 认为消费者与广告信息的沟通程度，以及对广告信息的反映方式是积极的或消极的，主要取决于人们对该产品的涉入度。Drossos 等 (2007) 认为不同移动手机用户，对不同类型产品的反应存在差异性。随着产品涉入度水平的增加，人们更有动机去理解那些突出的信息，并评价其价值。据
此，我们推测用户接收到 SMS 广告后，具有高产品涉入度水平的用户，更有动
机理解信息，更容易被劝服，感知的价值更高些，具体假设如下：

H3：产品涉入度正向影响感知价值
在信息技术领域，自我效能感是用户对自己使用信息技术能力的一种自我判
断，它对用户的行为和意愿具有显著影响。本研究中自我效能感是指用户对自己
通过移动广告购物能力的判断，由于对移动购物环境的怀疑或不确定性，可能导
致用户对移动广告价值的怀疑或不确定。据此，我们推测自我效能感与感知价值
之间存在相关关系，提出如下假设：

H4：自我效能感正向影响感知价值
2.3 感知价值、态度与购物意愿
价值被认为是态度的一个关键决定因素，其在态度形成上的重要性已在网页
广告的研究中被证明。态度是情感和认知评估形成的内在价值对个体的影响，对
广告的态度被定义为消费者“学会在一般情况下，对广告一贯有利或不利的方式，
进行回应的易感性”并对消费者行为产生重大影响。

一则广告信息被认为该广告发布商同消费者的一次潜在信息交换。为了使
得交换有效，从交易双方的角度考虑是很重要的。对于消费者而言，成功的交换
是由广告价值本身能否被认为满足了他们的期望来判断的。缺少价值的广告很可
能产生负面效应，促使对广告持负面态度消费者的形成。据此，我们推测 SMS
广告的感知价值越高，用户的态度就越积极，提出如下假设：

H5：SMS 广告感知价值正向影响态度
购物意愿是消费者选择购买某一产品的主观倾向程度，态度是个体行为意愿
最好的预测因子。已有研究表明消费者对传统广告的态度会显著影响他们的购物
意愿，网络购物环境下态度与在线购物意愿之间具有显著关系。据此，我们推测
移动环境下用户接收 SMS 广告后，愿意购买广告产品的意愿受到态度的影响，
提出如下假设：

H6：态度正向影响移动购物意愿

3. 研究设计
3.1 研究样本
我们采用问卷调查法收集数据，它是我国管理研究中最为普遍的数据收集方
式。本研究的所有问卷全部采用现场随机发放的形式，共收回问卷 500 份，其中
有效问卷 356 份，回收率 71.2%。样本概况如表 1 所示，这些被调查者的样本特
征基本符合 CNNIC（2015）最新统计数据中关于网民结构的描述，保证所得样
本数据符合我们的研究目的。
表 1 样本统计概况

<table>
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<tr>
<th>题目</th>
<th>类别</th>
<th>人数</th>
<th>百分比</th>
</tr>
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<td></td>
<td>女</td>
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<td>49.03%</td>
</tr>
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<td></td>
<td>26-30岁</td>
<td>108</td>
<td>30.34%</td>
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<tr>
<td></td>
<td>31-35岁</td>
<td>66</td>
<td>18.54%</td>
</tr>
<tr>
<td></td>
<td>36-39岁</td>
<td>15</td>
<td>4.21%</td>
</tr>
<tr>
<td>职业</td>
<td>政府/事业单位</td>
<td>43</td>
<td>12.08%</td>
</tr>
<tr>
<td></td>
<td>人员</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>企业员工</td>
<td>50</td>
<td>14.04%</td>
</tr>
<tr>
<td></td>
<td>在校大学生</td>
<td>263</td>
<td>73.88%</td>
</tr>
<tr>
<td>受教育程度</td>
<td>本科生</td>
<td>331</td>
<td>92.98%</td>
</tr>
<tr>
<td></td>
<td>研究生</td>
<td>25</td>
<td>7.02%</td>
</tr>
<tr>
<td>网络购物经历</td>
<td>从未</td>
<td>0</td>
<td>0.00%</td>
</tr>
<tr>
<td></td>
<td>小于 1 年</td>
<td>90</td>
<td>25.28%</td>
</tr>
<tr>
<td></td>
<td>1-5 年</td>
<td>138</td>
<td>38.77%</td>
</tr>
<tr>
<td></td>
<td>4-6 年</td>
<td>101</td>
<td>28.37%</td>
</tr>
<tr>
<td></td>
<td>7 年以上</td>
<td>27</td>
<td>7.58%</td>
</tr>
<tr>
<td>移动互联网接入</td>
<td>从未</td>
<td>22</td>
<td>6.18%</td>
</tr>
<tr>
<td></td>
<td>有时</td>
<td>53</td>
<td>14.89%</td>
</tr>
<tr>
<td></td>
<td>经常</td>
<td>281</td>
<td>78.93%</td>
</tr>
<tr>
<td>移动互联网购物经历</td>
<td>从未</td>
<td>27</td>
<td>7.58%</td>
</tr>
<tr>
<td></td>
<td>小于 6 个月</td>
<td>106</td>
<td>29.78%</td>
</tr>
<tr>
<td></td>
<td>7-12 个月</td>
<td>111</td>
<td>31.18%</td>
</tr>
<tr>
<td></td>
<td>1 年以上</td>
<td>112</td>
<td>31.46%</td>
</tr>
</tbody>
</table>

3.2 变量测量

为确保测量工具的效度及信度，本研究的所有量表都是成熟量表，在相关文献中已经被使用过。在信息性、娱乐性、刺激性、产品涉入度、自我效能感、广告感知价值、态度和移动购物意愿等概念的操作性定义及衡量方法上，参考国内外学者的已有定义和方法。

量表在翻译过程中充分考虑语言的差异，首先由两名高校的英语教师把国外成熟的英语量表翻译成中文，再由另一名来自另一高校的英语教师把中文量表翻译成英文，充分考虑中国人的语言习惯。在开展调查前，与 2 名管理专业的教师和 2 名博士研究生就题项的合理性进行讨论，进一步修改了 4 个题项的措辞。在正式调查前，为保证问卷设计的合理性和准确性，对问卷进行了预测试，根据预测试者提供的意见修改了相关题项的表述，合并了语义相近的 2 个题项，使问卷更加符合中国人的语言习惯。
此外，相关研究表明，消费者的背景变量（性别、年龄、教育程度和职业）是影响消费者对广告感知的重要因素之一。因此，本研究将消费者的背景变量（性别、年龄、教育程度和职业）作为控制变量。
3.3 统计检验
在模型检验之前，需要检验数据的信度和效度。总体信度（Cronbach’s Alpha）等于 0.86，表明该量表整体上具有良好的信度。为了确保量表具有较高的内容效度，所有量表均有文献支持并由专业教师审核，对语义混乱的题目都进行了修改。
在此基础上，我们对模型的整体适配情况进行检验。采用 AMOS 19.0 对进行验证性因子分析（confirmatory factor analyses, CFA），结果如表 2 所示，各项拟合指标均在标准范围内，表明样本数据与假设模型适配良好。

为进一步，检验模型内部结构的适配指标。聚合效度（convergent validity）要求每个题目的标准因子载荷值（factor loading）需要大于 0.5，各构念的平均方差提取值（average variance extracted, AVE）大于 0.5；每个构念的综合效度（composite reliability，C.R.）值都要大于 0.7。各主要变量的因子载荷值、AVE 值和 C.R.值如表 3 所示，从表 3 中可以看出各题项具有良好的聚合效度和综合效度。

区分效度（discriminate validity）的检验方法中 AVE 法的检验效果最佳，即各构念 AVE 值的平方根一定要大于潜在构念之间的相关系数，各主要变量的相关关系和 AVE 的平方根如表 4 所示。
从表 4 中可知，对角线上的值均大于任意因素行或列的值，表明各构念具有足够的区分效度。

<table>
<thead>
<tr>
<th>表 2 验证性因子分析模型拟合参数</th>
</tr>
</thead>
<tbody>
<tr>
<td>CMIN</td>
</tr>
<tr>
<td>544.639</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>表 4 主要变量的均值、方差、相关系数和 AVE 平方根</th>
</tr>
</thead>
<tbody>
<tr>
<td>IF</td>
</tr>
<tr>
<td>信息娱乐性 IF</td>
</tr>
<tr>
<td>刺激性 IR</td>
</tr>
<tr>
<td>产品涉入度 PI</td>
</tr>
<tr>
<td>自我效能感 SE</td>
</tr>
<tr>
<td>感知价值 PA</td>
</tr>
<tr>
<td>态度 AT</td>
</tr>
<tr>
<td>购物意愿 ITP</td>
</tr>
</tbody>
</table>
4. 假设检验

本研究首先采用结构方程模型 (SEM) 检验假设模型，模型中的所有变量被
同时检验，结果显示假设模型与数据间具有较好的适配性，如表 5 所示。

其次，我们采用卡方值的变化法比较假设模型与部分中介模型。部分中介模
型就是假设模型中从感知价值到移动购物意愿之间的直接路径连接起来，通过
比较卡方值变化的显著情况来判断哪一模型更为合理，比较结果如表 5 所示。从
表 5 中可知，部分中介模型的各指标没有变得比假设模型更显著 ($\Delta \chi^2 (\Delta df) =
0.919(1)$, $p = 0.34 < 0.05$)，因此，我们设定的假设模型（即完全中介模型）
是最简洁模型。

<table>
<thead>
<tr>
<th>模型</th>
<th>$\chi^2$</th>
<th>df</th>
<th>CFI</th>
<th>IFI</th>
<th>RMSEA</th>
<th>$\Delta \chi^2 (\Delta df)$</th>
</tr>
</thead>
<tbody>
<tr>
<td>假设模型（完全中介）</td>
<td>609.648</td>
<td>240</td>
<td>0.9</td>
<td>0.9</td>
<td>0.066</td>
<td>-</td>
</tr>
<tr>
<td>部分中介模型（增加）</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>感知价值与移动购物</td>
<td>608.729</td>
<td>239</td>
<td>0.9</td>
<td>0.9</td>
<td>0.066</td>
<td>0.919(1)</td>
</tr>
<tr>
<td>意愿之间的路径</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

最后，结构模型的检验结果支持了前述所有假设，各变量间的路径系数如图
1 所示。信息娱乐性、产品涉入度和自我效能感对感知价值具有显著正向影响（$\beta_1
=0.14$, $p < 0.05$; $\beta_3 = 0.26$, $p < 0.001$; $\beta_4 = 0.15$, $p < 0.05$), H1、H3 和 H4 成
立；刺激性对感知价值具有显著负向影响（$\beta_2 = -0.21$, $p < 0.01$), H2 成立；感
知价值对态度具有显著影响（$\beta_5 = 0.42$, $p < 0.001$), H5 成立；态度对移动购物
意愿的正向影响显著（$\beta_6 = 0.46$, $p < 0.001$), H6 成立。

5. 研究结论与意义

本研究基于价值接受模型和 U&G 理论，通过问卷调查法和结构方程模型，
探究了基于允许 SMS 广告感知价值对移动用户行为意愿的影响过程，所有研究
假设都通过了实证检验。

在感知价值前因的研究中，本研究首先考虑了外部特征——信息娱乐性和刺
激性对 SMS 广告价值的影响。研究结果显示，收到信息娱乐性较高的 SMS 广
告，用户感知到较高的正效用（$\beta_1 = 0.14$, $p < 0.05$）；面对引发用户愤怒的 SMS
广告则令用户感知到大量的负效用（$\beta_2 = -0.21$, $p < 0.01$），该结果与已有学者
的研究结果一致（Xu 等，2009；Liu 等，2012）。其次，我们还首次探讨了用户
个体特征——产品涉入度和自我效能感的影响。研究结果显示，对 SMS 广告产品
持续关注的用户对 SMS 广告的感知价值较高，因而移动购物能力的自我判断较
高的用户也可以感知到较高的 SMS 广告价值（$\beta_3 = 0.26$, $p < 0.001$; $\beta_4 = 0.15$,
$p < 0.05$），既在感知价值的研究中极少考虑个体特征对总体评价的影响，本
研究结果为后续相关研究提供了参考。

在对用户购物意愿的影响过程研究中，研究结果显示感知价值对移动购物
意愿具有显著影响，态度起完全中介作用（$\beta_5 = 0.42$, $p < 0.001$; $\beta_6 = 0.46$, $p <
0.001$）。用户对 SMS 广告的价值评价会影响其对该广告回应的易感性，这与已
有学者的观点一致（Xu 等，2009），同时，态度对用户的移动购物意愿具有显
著影响，这与传统互联网环境中的研究结论一致（Hansen 等，2004），但是在移动环境中还较少得到实证研究的支持。

本研究的结论具有一定的理论和实践意义。理论方面，本研究提出并验证了个体特征——产品涉入度和自我效能感对 SMS 广告感知价值具有显著影响的观点，丰富了感知价值的已有研究内容，后续相关研究的开展；同时，我们的研究结果从实证角度支持了感知价值对行为意愿具有影响的观点，对于后续开展其他行为意愿变化如分享意愿等的研究是一个有效参考。实践方面，本研究的结果对企业的营销实践具有重要意义。首先，在 SMS 广告的设计方面，通过增加信息内容的有用性和形式的娱乐性，并减少对用户隐私的刺激性，能够大幅度提高用户购买 SMS 广告产品的意愿，提高产品销量；其次，在发送对象的选择上，要选择那些对 SMS 广告产品持续关注的用户，因为他们对 SMS 广告的评价更高，更愿意购买 SMS 广告产品。

6. 研究不足与展望

本研究尚存在一些不足，有待进一步完善。首先，本研究仅采用一种方法——问卷调查法收集数据，为了得到更加稳健和科学的研究结果，未来考虑选用其他心理学方法展开相关研究；其次，本研究中的样本仅选自厦门及周边城市的调查数据，且以学生群体为主，研究结论的适用性特别是在非城市地区是否依然成立还有待进一步验证；最后，本研究仅就个体特征中的产品涉入度和自我效能感对价值的影响进行了探讨，其他个体特征的研究还有待于进一步开展。

参考文献
13. Bentler P. M., Bonett D. G. Significance tests and goodness of fit in the analysis of covariance
The Impact of Corporate Product Harm Crisis Response on Consumer Satisfaction/Dissatisfaction under Ambiguous Situation: The Mediating Role of Psychological Contract

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ABSTRACT

Corporate responses via various media might be the only factor that firms can resort to immediately after product harm crises. For that reason, incorporating social exchange theory, needs hierarchy theory and two-factor theory etc., this research develops the conceptual framework that suggests the impact of product harm crisis response on consumer satisfaction/dissatisfaction and the mediating role of psychological contract. The research utilizes experimental method and fictitious beverage and automobile product harm crises are created as imaginary scenario. Regression analysis etc. is used to analyze data. The results of study one indicate functional response negatively affects consumer dissatisfaction, and functional response combining with emotional response positively affects satisfaction and negatively affects dissatisfaction. The results also indicate that functional response doesn’t affect satisfaction and purely emotional response affects neither transactional contract nor relational contract. The results of study two indicate psychological contract fully mediates the impact of product harm crisis response on consumer satisfaction and dissatisfaction. The results also indicate functional response positively affects transactional contract and doesn’t affect relational contract. Transactional contract negatively affects dissatisfaction, but doesn’t affect satisfaction. At the same time, functional response combining with emotional response positively affects both relational contract and transactional contract. Relational contract is found to affect satisfaction positively, but not to affect dissatisfaction. Furthermore, purely emotional response affects neither transactional contract nor relational contract. The findings of this research further enrich the literature of product harm crises and also provide guidelines for management to deal with product harm crises.

Keywords: product harm crisis; relational contract; transactional contract; satisfaction; dissatisfaction
产品伤害危机模糊情境下基于心理契约机制的公司响应对
满意与不满意影响

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摘要

产品伤害危机发生后经由各种媒体沟通的公司信息可能是唯一公司即刻控制影响危机结果的要素。鉴于此，以社会交易理论、需要层次论及双因素理论等为基础，形成了基于心理契约机制的产品伤害危机响应对消费者满意和不满意影响的概念框架。研究采用实验方法，以虚拟的饮料和轿车产品伤害危机为想象场景，利用回归分析等对数据进行处理。研究一结果表明：功能响应消极影响不满意，功能响应加情感响应积极影响满意并且消极影响影响不满意。研究一结果还表明，功能响应不加情感满意，情感响应不加影响满意而不满意。研究二结果进一步验证了研究一的发现，同时表明心理契约完全中介产品伤害危机响应对满意和不满意的影响。研究二结果还表明，功能响应积极影响交易契约，交易契约消极影响不满意；功能加情感响应积极影响交易契约和关系契约，交易契约积极影响满意。另外，研究二表明，功能响应不加影响交易契约；情感响应不加影响交易契约和关系契约；交易契约不加影响满意；关系契约不加影响不满意。研究发现进一步丰富了有关产品伤害危机响应文献，同时也提供给管理者应对产品伤害危机有据的指导原则。

关键词：产品伤害危机响应，关系契约，交易契约，满意，不满意

1. 引言

产品伤害危机为产品被发现是有缺陷的或危险的广为宣传事件（Dawar & Pillutla, 2000）。有关产品伤害危机的一个情境属性是模糊性。通常，产品伤害危机的肇事方对于观察者（他们很多是产品的用户或潜在用户）并不清楚，当产品伤害危机最初由媒体报道的时候，这特别普遍(Laufer & Coombs, 2006)。Laufer & Coombs (2006)认为，尽管这些类型情境中固有的模糊性，关于谁将受到谴责，观察者仍然会下结论。对于产品伤害危机，如果消费者谴责公司，这将负面影响他们未来购买意向。随着产品伤害危机初期阶段过失日益模糊，对于企业理解是否和何时观察者可能给企业无过失推定或许是有用的（Laufer & Gillespie et al., 2009）。在这种情况下，管理者必须学习理解模糊的产品伤害危机，并且选择适当的危机响应。
危机响应（危机沟通策略、形象恢复策略、危机后信息披露）研究已经超越案例研究，进入到设计实验以系统地评价人们如何感知危机响应（Coombs & Holladay, 2008）。尽管产品伤害危机响应作为顾客关系管理策略的一个重要因素而为研究者和管理者所认识，并且围绕这个主题进行了相关研究，但仍然存在多方面需要澄清。有关产品伤害危机实证研究表明，主动的响应策略会积极影响消费者情绪反应及行为意向或行为，而被动的响应策略则反之（Siomkos，1989; Dawar & Pillutla，2000; Siomkos & Kurzbard，1994; Laufer & Coombs，2006; Chen & Ganesan et al., 2009; Souiden & Pons, 2009; Vasilikopoulou & Lepetsos et al., 2009; Vasilikopoulou Siomkos et al., 2009; Xie & Peng, 2009; Siomkos & Triantafillidou et al., 2010; Zhao & Zhao et al., 2011）。但是对于构成产品伤害危机响应的具体要素，比如赔偿、道歉等，它们分别对消费者情绪及行为意向或行为等的影响是什么，以及如何影响，这方面需要进一步的研究探索。特别是在危机模糊情境下，这方面研究更为重要。

考虑到上述关切，本文汲取社会交易理论、资源交换的行为准则、需要层次论、双因素理论及心理账户理论等，整合危机响应、心理契约、消费者满意和不满意概念，形成了基于心理契约机制的产品伤害危机响应对消费者满意和不满意影响的概念框架。研究具体目的有三方面：（1）检验产品伤害危机模糊情境下功能响应及情感响应对消费者满意和不满意的影响；（2）揭示产品伤害危机模糊情境下功能响应及情感响应对满意和不满意的影响机制，具体就本研究而言是检验心理契约的中介效应；（3）为管理者有效应对产品伤害危机提供指南。

2. 文献回顾

2.1 危机及产品伤害危机响应

危机响应是危机管理的一个视角，这个视角被称为符号方法，因为它强调沟通如何被用作符号资源来试图保护组织的形象（Coombs, 1998）。组织对危机的响应有多种（Siomkos，1989）。产品伤害危机作为组织危机的一种类型，其响应方式与组织危机响应方式存在共同之处，但也有更为具体的表述。在产品伤害危机情境下，学者们诸多研究涉及到组织危机响应，并且提出了产品伤害危机情境下的具体响应策略。

Dawar & Pillutla (2000)从实践和理论的角度对产品伤害危机响应响应进行了阐述。在实践中，企业响应危机从否认到承担责任、无条件产品召回和沟通。然而，企业响应大多数实例可以置于两个极端之间。理论上，企业响应可以被认为是沿着从明确支持到明确否认一个连续统一体。明确支持包括承担责任，向消费者或其他受影响方道歉，及某种形式的补偿，例如自愿召回产品和自由更换。明确否认包括否认责任，缺少补救措施，或者根本没有沟通。在这两个极端之间是模糊响应，一些维度支持，一些没有。例如企业可能通过广告表明采取补救措施，但没有承担责任，提供道歉，或发起产品召回。

Siomkos(1989)认为产品伤害危机响应是一个连续统一体，并且提出四种具体响应策略：否认、非自愿召回、自愿召回、超级努力。Siomkos等学者后来在多个实验研究中检验他们提出的产品伤害危机响应对于消费者行为意向等的影响（如：Siomkos，1989; Siomkos & Kurzbard，1994; Souiden & Pons, 2009; Vasilikopoulou & Lepetsos et al., 2009; Vasilikopoulou Siomkos et al., 2009;
Siomkos & Triantafillidou et al., 2010）。Laufer & Coombs（2006）对Siomkos（1989）提出的产品伤害危机响应策略重新进行诠释，使其更具有一般性。他们将四种策略命名为：否认、强制承诺、自愿承诺、超级努力。否认涉及到公司声称他们的产品没有危险。强制承诺指政府强制产品召回或其它补救努力。自愿承诺包括公司自愿召回产品或采取补救努力，清除危险，并且向消费者表达关切。公司仅需要向主要的媒体提供关于召回或补救努力的新闻稿，在它的网站上张贴信息及向它的分销商发送警报。超级努力涉及到自愿召回加上赔偿及广泛的沟通活动以提升努力。公司在法律要求外，通过提供赔偿和增加沟通努力来表示对于公众的额外关切。


2.2 心理契约


契约涉及到开放的、更为不具体的建立和保持关系的协定（Macneil, 1980）。这些契约既涉及到货币化的也涉及到非货币化的交易，在关系契约中的诱因典型地包括在企业中的培训、发展机会和长期职业生涯（Macneil, 1980）。

在营销情境下，学者们也对心理契约概念进行了研究。例如，Kingshott (2006)，就供应商和买者的关系检验了心理契约对信任和承诺的影响。结果表明，心理契约本质上是感知的，并且发现包括互惠的义务，它直接源自于供应商和分销商间关系导向。这个概念也表明对于关系内的信任和承诺水平有一个积极的影响。又如，Kingshott & Pecotich(2007)研究探索在企业和顾客关系中心理契约的角色以及它对信任的影响。研究表明，心理契约本质上是感知的，并且包括源自供应商和分销商间互惠的义务。

2.3 双因素理论与需要层次论

1960 年代 Herzberg 有影响力的双因素理论表明，人类拥有两组不同的需要，并且工作情境的不同因素满足或不满足这些需要 (Lundberg & Gudmundson et al., 2009)。第一组因素关涉到个人基本的生存需要，它们被称为保健因素 (Lundberg & Gudmundson et al., 2009)。这些因素不直接与工作本身有关，但是关涉到围绕履行工作的条件。这些因素是公司政策，比如奖励系统、薪水和人际关系。根据 Herzberg，当这些因素没有被满足，会导致不满意。然而，当满足这些因素时，并不激励或导致满意，它们仅仅是防止了不满意。

第二组需要是成长需要，指的是工作本身所固有的因素，比如，完成工作的赞誉、成就、责任、进步和工作本身 (Lundberg & Gudmundson et al., 2009)。根据 Herzberg，这些因素是激励因素，它暗示人们努力成为所有他们能够成为的。并且，当满足的时候，它们作为激励因素。根据 Herzberg，工作内容（比如有机会承担责任和进步）是唯一的增加满意的途径，并且因此增强工作动机。然而，当成长因素缺失，这不导致不满意，只是没有了满意。

利用 Herzberg 双因素理论的一些研究对其进行了改编以更好地适应具体的研究情境，比如在零售、学校、医院情境下等。结果表明，Herzberg 双因素理论获得了实证支持 (Lundberg & Gudmundson et al., 2009)。

Maslow 将所有的人类努力划分成为满足五种需要之一的一种试图 (Hagerty, 1999)。第一种需要被他称为生理需要，比如空气、水，以及足够的热量和营养以生存。第二种需要是安全需要，比如免于攻击、谋杀及混乱的安全。第三种需要是归属和爱的需要，包括朋友、家庭、社区和归宿。第四种需要是尊重需要，个人被珍视为明智的决策者、拥有某种身份和信心。第五种需要是自我实现需要，每个个体充分利用他 / 她的天赋和兴趣，以成为他 / 她能够成为的。

Maslow 将这些需要按等级排列，它们按固定次序来实现 (Hagerty, 1999)。生存需要首先被满足（当他们缺失的时候，几乎所有的努力用来满足这些更为基本的需要）。一旦这些接近完全满足，努力被分配到下一个等级水平：安全。一旦安全接近满足，努力被分配到下一个水平。对于每一个更高层次需要，依次类推。

Herzberg 的双因素理论与 Maslow 的需要层次理论是相吻合的。Maslow 理论中低层次的需要，也就是生理需要、安全需要，相当于保健因素；而高层次的
需要，也就是归属需要、尊重需要及自我实现需要，相当于激励因素。

3. 概念框架与研究假设

社会交换理论可以追溯为最古老的社会行为理论之一，它提出，个体间任何的互动是一种资源交换(Homans, 1958)。Liao (2008)回顾研究表明，与经济交易不同，社会交换涉及到无形的社会成本和利益（比如爱、尊重和知识），并且社会交换不保证将会有个互惠的结果，因为没有规则或协议来引导互动。在消费情境下，除经济交换外，消费者还会根据消费者体验等进行情绪的、行为意向的或行为的交换，比如满意、喜悦、信任、承诺等。

消费者对于产品伤害危机经常强烈反应，因此公司的响应努力能同等有力和有效是十分关键的。产品伤害危机响应作为一个重要的研究主题，学者们进行了相关研究。但是，危机响应的具体要素，也就是经济补偿承诺或功能响应以及情感补偿或情感响应，它们对消费者认知活动、情绪反应及行为意向或行为的影响是什么，以及如何影响，特别是在产品伤害危机模糊情境下，这方面还存在研究空白。

根据社会交易理论，可以合理地认为，在产品伤害危机模糊情境下，消费者以满意或不满意水平来交换感知的组织产品伤害危机响应努力。基于此，形成了本研究的概念框架 A（见图 1）。通过检验组织产品伤害危机功能响应与情感响应对消费者满意和不满意情感的影响，将为上述命题提供初步洞察。

在概念框架 A 的基础上，需要进一步澄清这种交换的内在机制，即解释不同的危机响应要素影响消费者满意和不满意的内在机制。本研究的概念框架 B（见图 2）认为，心理契约中介了产品伤害危机响应对于消费者满意和不满意的影响，或者说，它作为组织产品伤害危机响应与消费者满意及不满意交换的基础。
3.1 组织响应与满意、不满意

Herzberg 激励双因素理论表明，在工作场所有两种因素驱动员工满意：激励因素和保健因素（Hyun & Oh, 2011）。如果职业环境缺少保健因素，可能导致员工工作不满意，保健因素的角色只是简单地防止员工不满意（Hyun & Oh, 2011）。换言之，这些因素不导致更高水平的动机，但是没有它们，员工就会不满意。与保健因素不同，激励因素能真正激励员工努力工作并且享受他们的工作（Hyun & Oh, 2011）。

在产品伤害危机发生后，经济补偿是一种基本形式的功能响应。根据双因素理论，经济补偿应该属于保健因素。因此，它们不会导致消费者满意，但是可以影响消费者不满意。而公司道歉等表达企业对消费者尊重的情感响应则应该属于激励因素，因此，它们与消费者满意相关。但是根据需要层次论，人们只有在低层次的需要得到满足后，才会追求更高层次的需要。根据这个观点，满意出现之前，保健因素应首先得到满足。


因此，本研究认为，在产品伤害危机模糊情境下，物质补偿等的功能响应会<br>
不会导致消费者满意和不满意。在物质补偿等满足前提下，公司进行情感响应才会影响到消费者满意。

基于上述，提出如下假设：

H1：产品伤害危机模糊情境下，组织功能响应消极影响消费者不满意。即，消费者感知组织功能响应水平越高，则消费者不满意水平越低，否则反之。

H2a：产品伤害危机模糊情境下，组织功能加情感响应消极影响消费者不满意。即，消费者感知组织功能响应加情感响应水平越高，则消费者不满意水平越低，否则反之。

H2b：产品伤害危机模糊情境下，组织功能响应加情感响应积极影响消费者满意。即，消费者感知组织功能响应加情感响应水平越高，则消费者满意水平越高，否则反之。

H3a：产品伤害危机模糊情境下，单纯的组织情感响应不影响消费者不满意。 

H3b：产品伤害危机模糊情境下，单纯的组织情感响应不影响消费者满意。

3.2 组织响应与心理契约

根据资源交换理论（resource exchange theory），人们更喜欢交换同类的资源（Smith & Bolton et al., 1999; Chuang & Cheng et al., 2012）。根据心理帐户原则（mental accounting principles），人们使用各种暗含的方法将资源分配到不同的心理帐户（Smith & Bolton et al., 1999; Chuang & Cheng et al., 2012）。从而可以推断，人们将经济和社会资源分配到不同的心理帐户（Smith & Bolton et al., 1999）。前景理论（prospect theory）也表明，在个体的决策中，资源根据它们的效用被赋予不同的权重（Smith & Bolton et al., 1999）。所有这些理论都表明，与涉及远端的（不相似的）资源相比，对于涉及到邻近的（相似的）资源交易，顾客将赋予更大的价值。

交易契约是具体的和切实的协议，本质上是短期的，纯粹经济的或物质的聚焦，并且需要双方有限的介入（Aggarwal & Bhargava, 2010）。关系契约不是明确界定的，而是长期的和宽泛的，因为它们不局限于纯经济的交易，也包括忠诚以换取在组织中安全或成长的条款（Aggarwal & Bhargava, 2010）。因此，根据资源交换理论、心理帐户原则、前景理论以及对于交易契约的界定，功能响应更可能影响交易契约，而单纯的情感响应则不会影响交易契约。同样根据需要层次理论等及对于关系契约的界定等，单纯的情感响应也不会影响关系契约，而功能响应与情感响应共同则会对交易契约产生影响。

基于上述，提出如下假设：

H4：产品伤害危机模糊情境下，组织功能响应积极影响消费者交易契约。即，消费者感知功能响应水平越高，则消费者交易契约水平越高，否则反之。

H5a：产品伤害危机模糊情境下，组织功能响应加情感响应积极影响消费者交易契约。即，消费者感知功能响应加情感响应水平越高，则消费者交易契约水平越高，否则反之。
H5b：产品伤害危机模糊情境下，组织功能响应加情感响应积极影响消费者关系契约。即，消费者感知功能响应加情感响应水平越高，则消费者关系契约水平越高，否则反之。

H6a：产品伤害危机模糊情境下，单纯的组织情感响应不影响消费者交易契约。

H6b：产品伤害危机模糊情境下，单纯的组织情感响应不影响消费者关系契约。

3.3 心理契约与不满意及满意

对于心理契约，有两个基础理论，即互惠规范和社会交易理论（Aggarwal & Bhargava，2010; Abdullah & Hamzah et al., 2011）。社会系统内互惠在保持稳定和承认中是重要的，因为互惠建立了相互持久的关联，在其中，双方有一致的义务和权利（Macneil, 1980; Aggarwal & Bhargava, 2010; Abdullah & Hamzah et al., 2011）。另一方面，社会交易理论假定，当个体自愿提供给另一方一种利益，这种行为将引起另一方一种义务——通过回报某物来酬答（Macneil, 1980; Aggarwal & Bhargava, 2010; Abdullah & Hamzah et al., 2011）。

交易契约被描述为经济的、短期导向的心理契约（Aggarwal & Bhargava, 2010; Chaudhry & Tekleab, 2013）。根据双因素理论，这些属于保健因素范畴，因此，交易契约的达成，会在不同程度上影响消费者不满意，但是不会导致消费者满意。而关系契约则为开放的、长期导向的契约（Aggarwal & Bhargava, 2010; Chaudhry & Tekleab, 2013）。根据双因素理论，这些属于激励因素范畴。因此，关系契约的达成，会在不同程度上影响消费者满意，但是不会影响消费者不满意。

基于上述，提出如下假设：

H7：产品伤害危机模糊情境下，消费者交易契约消极影响消费者不满意。即，感知交易契约水平越高，则不满意水平越低，否则反之。

H8：产品伤害危机模糊情境下，消费者关系契约积极影响消费者满意。即，感知交易契约水平越高，则满意水平越高，否则反之。

4. 研究一

4.1 实验场景

研究一的目的是初步检验组织产品伤害危机对消费者满意和不满意的影响。

本研究采用实验方法，并利用结构化问卷收集数据。研究以虚拟的 A 品牌桔子汁饮料中毒事件为想象场景, 模糊情境根据 Laufer（2002）、Laufer & Gillespie et al（2005, 2009）对产品伤害危机模糊情境的描述译编。包含在场景中的是与产品伤害危机过失相关联的不同项目信息。这些包含的项目表明公司过失、消费者过失及中性过失信息。不同类型的过失信息包括在场景中目的是模拟模糊的产品伤害危机—危机过失典型地不明确，特别是当产品伤害危机最初被媒体报道的时候（Laufer，2002; Laufer & Gillespie et al., 2005; Laufer & Gillespie et al.,
2009）。使用想象场景而不是要求应答者回忆真实的事件可以帮助控制各种外生变量，比如产品或服务类别、时间、品牌化等等，因此被认为是一种更为可靠的方法，从而增加研究的内部效度。

基于不同的企业响应方式（功能响应、情感响应、功能响应加情感响应）形成三种不同的场景，实验采用组间设计。选择饮料产品是由于被试为学生，他们非常熟悉这些产品，并且可能会经常消费这些产品，从而增加研究的外效度。同时饮料公司经常会遭受在各种媒体上的负面宣传，如农夫果园果蔬饮料爆炸事件（2003）、统一云霄事件（2011）、长春可可乐美汁源事件（2011）等等。（实验场景及产品伤害危机响应描述见表1）

表1 实验场景及产品伤害危机响应描述

<table>
<thead>
<tr>
<th>实验场景</th>
<th>二十九人在饮用从超市购买的A品牌桔子汁饮料后，出现了不同程度的恶心、呕吐、腹痛、腹泻等为主的临床症状，但无危重患者。</th>
</tr>
</thead>
<tbody>
<tr>
<td>响应：功能响应</td>
<td>事件发生后，A品牌饮料公司表示危机原因尚不清楚，待危机原因明确后，公司会承担相应的法律责任，“消费者损失多少，公司就赔多少”。同时，公司承诺企业方便消费者退换产品，以及免费更换相关的产品。</td>
</tr>
<tr>
<td>响应：情感响应</td>
<td>事件发生后，A品牌饮料公司对于消费者的响应表明，它真诚向消费者表达了关切以及同情，真诚向消费者表达了歉意，真诚向消费者表示了懊悔。</td>
</tr>
<tr>
<td>响应：功能响应+情感响应</td>
<td>事件发生后，A品牌饮料公司表示危机原因尚不清楚，待危机原因明确后，公司会承担相应的法律责任，“消费者损失多少，公司就赔多少”。同时，公司承诺企业方便消费者退换产品，以及免费更换相关的产品。事件发生后，A品牌饮料公司对于消费者的响应也表明，它真诚向消费者表达了关切以及同情，真诚向消费者表达了歉意，真诚向消费者表示了懊悔。</td>
</tr>
</tbody>
</table>

4.2 项目测量

产品伤害危机响应构成采用了Xie & Peng（2009）所使用的量表，根据研究具体情况，进行了相应改编。功能响应共四个测量项目（企业对消费者进行了赔偿；企业方便消费者退换产品；企业免费更换相关的产品；公司做出了对于产品伤害危机损失的经济赔偿承诺），情感响应共五个测量项目（公司已经做出了明显的道歉；企业真诚向消费者表达了关切；企业真诚向消费者表达了同情；企业......）
真诚向消费者表达了歉意；企业真诚向消费者表达了懊悔。危机响应构念项目通过 likert 七点量表来测量（如 1 为非常不同意，7 为非常同意）。不满意使用 Singh & Pandya（1991）所采用的单项目量表来测量；在您对这个问题做任何事之前，您总体上的不满意水平如何？相应地，满意量表为：在您对这个问题做任何事之前，您总体上的满意水平如何？构念项目通过 likert 七点量表来测量：不满意量表从不满意到没有不满意分为七个等级；满意量表从没有满意到满意分为七个等级。

在场景开发和确定测量项目的基础上，最终形成结构化问卷。

4.3 前测

为了确保问卷中使用的场景和各种响应操控的有效性，进行了前测。前测包括对危机模糊情境的操控检验。利用两个问题来对模糊情境进行检验：消费者饮用桔子汁中毒事件的结果是明确的；消费者饮用桔子汁中毒事件的结果是不明确的。通过访谈等的测试结果表明，对模糊情境的操控是成功的。同样也对功能响应、情感响应及功能响应加情感响应进行操控检验，测试结果表明被试能够区分不同的响应，并且能够明确响应所要表达的意图，说明对不同产品伤害危机响应的操控是成功的。

4.4 主实验

在主实验中，被试填写三种场景（功能响应、情感响应、功能响应加情感响应）问卷之一。问卷的第一部分包括研究目的简要介绍及如果回答问卷的指导，接下来是 A 品牌产品伤害危机事件的描述，然后是公司对该事件响应；随后，被试回答一系列关于关键构念和项目的问题；最后，被试提供他们的个人信息，并提交问卷，结束实验。

4.5 样本

本研究共回收有效问卷 73。实验场景方面：功能响应场景有效问卷 23 份，占 31.5%；情感响应场景有效问卷 24，占 32.9%；功能响应加情感响应场景有效问卷 26 份，占 35.6%。性别方面：其中男性 45 人，占 61.6%；女性 28 人，占 38.4%。年龄方面：被试均为 90 后。学历方面：本次调查对象均为在校本科生。

4.6 结果

对于四项目的情感响应量表信度分析表明 Cronbach’s alpha 为 0.927，因子分析结果生成了单一的因子，解释了 89.6% 的方差。对于五项目的情感响应量表信度分析表明 Cronbach’s alpha 为 0.946，因子分析结果生成了单一的因子，解释了 91.2% 的方差。

4.6.1 功能响应影响的检验

做因变量不满意对功能响应的线性回归。结果表明，回归方程复相关系数平方为 0.599，预测变量的估计标准误为 0.447。ANOVA 表中，F＝33.872，p＝0.000。表明预测变量与因变量间有明显的线性关系。功能响应的未标准化回归系数为 -1.994，表明当功能响应增加 1 单位时，不满意减少 1.994 个单位。标准化的回归系数为 -0.786，表明当功能响应增加 1 个标准差时，不满意减少 0.786 个标准差。功能响应的回归系数显著性检验结果为：p＝0.000，统计检验显著。从而
H1 得到支持。（详细情况见表 2、表 3）

表 2 ANOVA

<table>
<thead>
<tr>
<th>模型</th>
<th>平方和</th>
<th>自由度</th>
<th>均方</th>
<th>F</th>
<th>Sig.</th>
</tr>
</thead>
<tbody>
<tr>
<td>回归</td>
<td>6.763</td>
<td>1</td>
<td>6.763</td>
<td>33.872</td>
<td>0.000a</td>
</tr>
<tr>
<td>残差</td>
<td>4.193</td>
<td>21</td>
<td>0.200</td>
<td></td>
<td></td>
</tr>
<tr>
<td>总计</td>
<td>10.957</td>
<td>22</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

a. 预测变量：(常数项)、功能响应

b. 因变量：不满意

表 3 回归系数

<table>
<thead>
<tr>
<th>模型</th>
<th>未标准化系数</th>
<th>标准化系数</th>
<th>t</th>
<th>Sig.</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>B</td>
<td>Std. Error</td>
<td>Beta</td>
<td></td>
</tr>
<tr>
<td>(常数项)</td>
<td>1.643</td>
<td>0.570</td>
<td></td>
<td>2.883</td>
</tr>
<tr>
<td>功能响应</td>
<td>0.056</td>
<td>0.010</td>
<td>0.436</td>
<td>5.609</td>
</tr>
</tbody>
</table>

a. 因变量：不满意

做因变量满意对功能响应的线性回归。结果表明，回归方程复相关系数平方为 0.015，预测变量的估计标准误为 0.700。ANOVA 表中，F＝1.342，p＝0.260，表明预测变量与因变量间没有明显的线性关系。（详细情况见表 4、表 5）

表 4 ANOVA

<table>
<thead>
<tr>
<th>模型</th>
<th>平方和</th>
<th>自由度</th>
<th>均方</th>
<th>F</th>
<th>Sig.</th>
</tr>
</thead>
<tbody>
<tr>
<td>回归</td>
<td>0.658</td>
<td>1</td>
<td>0.658</td>
<td>1.342</td>
<td>0.260a</td>
</tr>
<tr>
<td>残差</td>
<td>10.298</td>
<td>21</td>
<td>0.490</td>
<td></td>
<td></td>
</tr>
<tr>
<td>总计</td>
<td>10.957</td>
<td>22</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

a. 预测变量：(常数项)、功能响应

b. 因变量：满意
表 5 回归系数

<table>
<thead>
<tr>
<th>模型</th>
<th>未标准化系数</th>
<th>标准化系数</th>
<th>t</th>
<th>Sig.</th>
</tr>
</thead>
<tbody>
<tr>
<td>(常数项)</td>
<td>5.605</td>
<td>3.078</td>
<td>1.821</td>
<td>0.083</td>
</tr>
<tr>
<td>功能响应</td>
<td>-0.622</td>
<td>0.537</td>
<td>-0.245</td>
<td>0.260</td>
</tr>
</tbody>
</table>

a. 因变量：满意

4.6.2 功能响应加情感响应影响的检验

做因变量不满意对功能响应加情感响应的线性回归。结果表明，回归方程复相关系数平方为 0.696，预测变量的估计标准误为 0.338。ANOVA 表中，F = 58.358，p = 0.000，表明预测变量与因变量间有明显的线性关系。功能响应加情感响应的未标准化回归系数为-1.325，表明当功能响应加情感响应增加 1 单位时，不满意减少 1.325 个单位。标准化的回归系数为-0.842，表明当功能响应加情感响应增加 1 个标准差时，不满意减少 0.842 个标准差。功能响应加情感响应的回归系数显著性检验结果为： p = 0.000，统计检验显著。从而 H2a 得到支持。（详细情况见表 6、表 7）

表 6 ANOVA

<table>
<thead>
<tr>
<th>模型</th>
<th>平方和</th>
<th>自由度</th>
<th>均方</th>
<th>F</th>
<th>Sig.</th>
</tr>
</thead>
<tbody>
<tr>
<td>回归</td>
<td>6.650</td>
<td>1</td>
<td>6.650</td>
<td>58.358</td>
<td>0.000a</td>
</tr>
<tr>
<td>残差</td>
<td>2.735</td>
<td>24</td>
<td>0.114</td>
<td></td>
<td></td>
</tr>
<tr>
<td>总计</td>
<td>9.385</td>
<td>25</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

a. 预测变量：(常数项)、功能响应加情感响应

b. 因变量：不满意

表 7 回归系数

<table>
<thead>
<tr>
<th>模型</th>
<th>未标准化系数</th>
<th>标准化系数</th>
<th>t</th>
<th>Sig.</th>
</tr>
</thead>
<tbody>
<tr>
<td>(常数项)</td>
<td>10.027</td>
<td>1.033</td>
<td>9.709</td>
<td>0.000</td>
</tr>
<tr>
<td>功能响应</td>
<td>-1.325</td>
<td>0.173</td>
<td>-7.639</td>
<td>0.000</td>
</tr>
<tr>
<td>加情感响应</td>
<td>-13.25</td>
<td>-0.842</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

a. 因变量：不满意
做因变量满意对功能响应加情感响应的线性回归。结果表明，回归方程复相关系数平方为 0.654，预测变量的估计标准误为 0.37854。ANOVA 表中，F = 48.202, p = 0.000，表明预测变量与因变量间有明显的线性关系。功能响应加情感响应的未标准化回归系数为 1.350, 表明当功能响应加情感响应增加 1 单位时，满意增加 1.350 个单位。标准化的回归系数为 0.817，表明当功能响应加情感响应增加 1 个标准差时，满意增加 0.817。功能响应加情感响应的回归系数显著性检验结果为： p = 0.000，统计检验显著。从而 H2b 得到支持。（详细情况见表 8、表 9）

表 8 ANOVA

<table>
<thead>
<tr>
<th>模型</th>
<th>平方和</th>
<th>自由度</th>
<th>均方</th>
<th>F</th>
<th>Sig.</th>
</tr>
</thead>
<tbody>
<tr>
<td>回归</td>
<td>6.907</td>
<td>1</td>
<td>6.907</td>
<td>48.202</td>
<td>0.000a</td>
</tr>
<tr>
<td>残差</td>
<td>3.439</td>
<td>24</td>
<td>0.143</td>
<td></td>
<td></td>
</tr>
<tr>
<td>总计</td>
<td>10.346</td>
<td>25</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

a. 预测变量：(常数项)、功能响应加情感响应

b. 因变量：满意

表 9 回归系数

<table>
<thead>
<tr>
<th>模型</th>
<th>未标准化系数</th>
<th>标准化系数</th>
<th>t</th>
<th>Sig.</th>
</tr>
</thead>
<tbody>
<tr>
<td>(常数项)</td>
<td>-2.447</td>
<td>1.158</td>
<td>-2.113</td>
<td>0.045</td>
</tr>
<tr>
<td>功能响应</td>
<td>1.350</td>
<td>0.194</td>
<td>0.817</td>
<td>6.943</td>
</tr>
<tr>
<td>加情感响应</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

a. 因变量：满意

4.6.3 情感响应影响的检验

做因变量不满意对情感响应的线性回归。结果表明，回归方程复相关系数平方为 -0.018，预测变量的估计标准误为 0.643。ANOVA 表中，F = 0.593, p = 0.450，表明预测变量与因变量间没有明显的线性关系。从而 H3a 得到支持。（详细情况见表 10、表 11）
### 表 10 ANOVA

<table>
<thead>
<tr>
<th>模型</th>
<th>平方和</th>
<th>自由度</th>
<th>均方</th>
<th>F</th>
<th>Sig.</th>
</tr>
</thead>
<tbody>
<tr>
<td>回归</td>
<td>0.245</td>
<td>1</td>
<td>0.245</td>
<td>0.593</td>
<td>0.450a</td>
</tr>
<tr>
<td>残差</td>
<td>9.089</td>
<td>22</td>
<td>0.413</td>
<td></td>
<td></td>
</tr>
<tr>
<td>总计</td>
<td>9.333</td>
<td>23</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

a. 预测变量：(常数项)、情感响应

b. 因变量：不满意

### 表 11 回归系数

<table>
<thead>
<tr>
<th>模型</th>
<th>未标准化系数</th>
<th>标准化系数</th>
<th>t</th>
<th>Sig.</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>B</td>
<td>Std. Error</td>
<td>Beta</td>
<td></td>
</tr>
<tr>
<td>(常数项)</td>
<td>0.744</td>
<td>2.068</td>
<td>0.360</td>
<td>0.722</td>
</tr>
<tr>
<td>情感响应</td>
<td>0.262</td>
<td>0.341</td>
<td>0.162</td>
<td>0.770</td>
</tr>
</tbody>
</table>

a. 因变量：不满意

做因变量满意对情感响应的线性回归。结果表明，回归方程相关系数平方为0.035，预测变量的估计标准误为0.586。ANOVA 表中，F=0.226，p=0.639，表明预测变量与因变量间没有明显的线性关系。从而 H3b 得到支持。（详细情况见表 12、表 13）

### 表 12 ANOVA

<table>
<thead>
<tr>
<th>模型</th>
<th>平方和</th>
<th>自由度</th>
<th>均方</th>
<th>F</th>
<th>Sig.</th>
</tr>
</thead>
<tbody>
<tr>
<td>回归</td>
<td>0.077</td>
<td>1</td>
<td>0.077</td>
<td>0.226</td>
<td>0.639a</td>
</tr>
<tr>
<td>残差</td>
<td>7.548</td>
<td>22</td>
<td>0.343</td>
<td></td>
<td></td>
</tr>
<tr>
<td>总计</td>
<td>7.625</td>
<td>23</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

a. 预测变量：(常数项)、情感响应

b. 因变量：满意
4.7 小结

研究一的结果表明，功能响应影响不满意，功能响应加情感响应影响满意和不满意，情感响应对满意和不满意均不产生影响。从而，研究证实了相关假设，但这其中的内在机制是什么，还需要进一步的探究，研究二对此提供了洞察。同时为了增加研究的外部效度，研究二在另一种产品伤害危机场景下进行。

5. 研究二

5.1 实验场景

研究二的目的是在研究一的基础上，进一步检验产品伤害危机响应对消费者满意和不满意的影响，同时更为重要地，检验心理契约在这种影响中的中介作用。

本研究采用实验方法，并利用结构化问卷收集数据。研究以虚拟的驾驶 X 公司 A 品牌轿车消费者受到伤害事件为想象场景。轿车伤害危机及其相应的模糊情境根据 Laufer（2002）及 Laufer & Gillespie et al（2009）所描述的译编。包含在场景中的是与产品伤害危机过失相关联的不同项目的信息。这些包括的项目表明公司过失，消费者过失及中介过失信息。不同类型的过失信息包括在场景中目的是模拟模糊的产品伤害危机—过失典型地不明确，特别是当产品伤害危机最初被媒体报道的时候（Laufer, 2002; Laufer & Gillespie et al., 2005; Laufer & Gillespie et al., 2009）。

以下为 X 公司 A 品牌轿车伤害危机事件场景描述：

消费者保护机构调查在驾驶 X 公司 A 品牌轿车后一些驾驶者背部受到伤害的投诉。在与一些驾驶 A 品牌轿车的司机访谈中，消费者保护机构发现在，一些司机没有遵循轿车手册中所规定的指令。例如一些司机没有校准他们的座位以调整位置：不正确地调整他们的安全带；将枕头置于他们的座位上，尽管警告这样可能导致背痛。消费者保护机构也发现，在驾驶 A 品牌轿车前，一些消费者有背部问题的历史。尽管这些发现在，调查也也发现了轿车的问题。座位的倾斜功能不总是有效，A 品牌轿车的方向盘不象这个类别其它轿车方向盘那样可调节。对于轿车的座位和方向盘，X 公司最近开始利用了新的供应商。生产新型轿车工厂的人员流动与行业持平，但是质量控制人员少于行业中其他可比较的工厂。

到目前为止，尽管有很多推测，但导致事件发生的具体原因仍不清楚。

对于公司危机响应（功能响应、情感响应、功能响应加情感响应）的描述，同研究一。
5.2 项目测量

产品伤害危机响应构念的测量，以及满意和不满意的测量同研究一。关系契约和交易契约借鉴了 Rousseau (2000) 对这两个构念所开发的量表。交易契约采用四个测量项目（公司的响应表明，公司会做到基本的公平交易；公司的响应表明，公司不会为了赚钱而履行赔偿；公司的响应表明，公司不会推卸责任拒绝承担经济责任等）；关系契约采用五个测量项目（公司的响应表明，公司会以顾客利益为中心；公司的响应表明，公司会致力于作出长期的质量和信誉保证；公司的响应表明，公司会真正关心顾客；公司的响应表明，公司会重视与顾客的友谊关系等）。心理契约两个构念项目均通过 likert 七点量表来测量（如 1 为非常不同意，7 为非常同意）。

在场景开发和确定测量项目的基础上，最终形成结构化问卷。

5.3 前测

为了确保问卷中使用的场景和各种响应操控的有效性，进行了前测。前测包括对危机模糊情境的操控检测。利用两个问题来对模糊情境进行检验：消费者驾驶轿车受到伤害事件的原因是明确的；消费者驾驶轿车受到伤害事件原因的原因是不明确的。通过访谈等的测试结果表明，对模糊情境的操控是成功的。同样也对功能响应、情感响应及功能响应加情绪响应进行操控检验，测试结果表明被试能够区分不同的响应，但是明确响应所要表达的意图，说明对不同产品伤害危机响应的操控是成功的。

5.4 主实验

在主实验中，被试填写三种场景问卷之一。问卷的第一部分包括研究目的简要介绍及如何回答问卷的指导，接下来是 A 品牌产品伤害危机事件的描述，然后是公司对于该事件的响应。随后，被试回答一系列关于关键构念和项目的问题。最后，被试提供他们的个人信息，并提交问卷，结束实验。

5.5 样本

本研究共回收有效问卷 134 份。实验场景分组方面，功能响应场景有效问卷 47 份，占 35.1%；情感响应场景有效问卷 45 份，占 33.6%；功能响应加情感响应场景有效问卷 42 份，占 31.3%。性别方面：其中男性 83 人，占 61.9%；女性 51 人，占 38.1%。年龄方面：被试均为 90 后。学历方面：本次调查对像均为在校本科生。

5.6 结果

对于四项目的功能响应量表信度分析表明 Cronbach’s alpha 为 0.933，因子分析结果生成了单一的因子，解释了 88.7% 的方差。对于五项目的情感响应量表信度分析表明 Cronbach’s alpha 为 0.912，因子分析结果生成了单一的因子，解释了 83.1% 的方差。对于四项目的交易契约量表信度分析表明 Cronbach’s alpha 为 0.949，因子分析结果生成了单一的因子，解释了 90.8% 的方差。对于五项目的关系契约量表信度分析表明 Cronbach’s alpha 为 0.931，因子分析结果生成了单一的因子，解释了 85.9% 的方差。

5.6.1 交易契约中介效应检验
为验证交易契约的中介效应，进行如下四重回归：

（1）不满意=f（功能响应）。结果表明，回归方程复相关系数平方为 0.795，预测变量的估计标准误为 0.287。ANOVA 表明，F=179.147，p=0.000，表明预测变量与因变量间有明显的线性关系。标准化回归系数 Beta=-0.894，t=-13.385，p=0.000。

（2）交易契约=f（功能响应）。结果表明，回归方程复相关系数平方为 0.864，预测变量的估计标准误为 0.242。ANOVA 表明，F=293.121，p=0.000，表明预测变量与因变量间有明显的线性关系。标准化回归系数 Beta=-0.931，t=-17.121，p=0.000。

（3）不满意=f（交易契约）。结果表明，回归方程复相关系数平方为 0.860，预测变量的估计标准误为 0.237。ANOVA 表明，F=283.358，p=0.000，表明预测变量与因变量间有明显的线性关系。标准化回归系数 Beta=-0.929，t=-16.833，p=0.000。

（4）不满意=f（功能响应，交易契约）。结果表明，回归方程复相关系数平方为 0.863，预测变量的估计标准误为 0.234。ANOVA 表明，F=146.330，p=0.000，表明预测变量与因变量间有明显的线性关系。自愿承诺的标准化回归系数 Beta=-0.218，t=-1.462，p=0.151；交易契约的标准化回归系数 Beta=-0.726，t=-4.857，p=0.000。

结合以上结果，根据 Baron & Kenny（1986）中介效应检验程序，说明交易契约的中介效应显著，并且全部中介了功能响应对于不满意的影响。

5.6.2 功能响应影响的检验

根据 5.6.1 交易契约中介效应检验，交易契约对功能响应的回归分析结果表明，这两个变量间存在明显的线性关系，回归系数为正并且统计显著，也就是说功能响应积极影响交易契约，从而 H4 得到支持。

做因变量满意对功能响应的线性回归。结果表明，回归方程复相关系数平方为 0.028，预测变量的估计标准误为 0.786。ANOVA 表中，F=2.338，p=0.133，表明预测变量与因变量间没有明显的线性关系。（详细情况见表 14、表 15）

<table>
<thead>
<tr>
<th>表 14 ANOVAb</th>
</tr>
</thead>
<tbody>
<tr>
<td>模型</td>
</tr>
<tr>
<td>回归</td>
</tr>
<tr>
<td>残差</td>
</tr>
<tr>
<td>总计</td>
</tr>
</tbody>
</table>

a. 预测变量：（常数项）、功能响应
b. 因变量：满意
表 15  回归系数

<table>
<thead>
<tr>
<th>模型</th>
<th>未标准化系数</th>
<th>标准化系数</th>
<th>t</th>
<th>Sig.</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>B</td>
<td>Std. Error</td>
<td>Beta</td>
<td></td>
</tr>
<tr>
<td>(常数项)</td>
<td>3.817</td>
<td>1.319</td>
<td>2.895</td>
<td>0.006</td>
</tr>
<tr>
<td>功能响应</td>
<td>-0.329</td>
<td>0.215</td>
<td>-0.222</td>
<td>-1.529</td>
</tr>
</tbody>
</table>

a. 因变量：满意

做因变量关系契约对功能响应的线性回归。结果表明，回归方程复相关系数平方为 0.017，预测变量的估计标准误为 0.399。ANOVA 表中，F＝1.796，p＝0.187，表明预测变量与因变量间没有明显的线性关系。（详细情况见表 16、表 17）

表 16  ANOVA

<table>
<thead>
<tr>
<th>模型</th>
<th>平方和</th>
<th>自由度</th>
<th>均方</th>
<th>F</th>
<th>Sig.</th>
</tr>
</thead>
<tbody>
<tr>
<td>回归</td>
<td>0.285</td>
<td>1</td>
<td>0.285</td>
<td>1.796</td>
<td>0.187a</td>
</tr>
<tr>
<td>残差</td>
<td>7.155</td>
<td>45</td>
<td>0.159</td>
<td></td>
<td></td>
</tr>
<tr>
<td>总计</td>
<td>7.440</td>
<td>46</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

a. 预测变量：(常数项)、功能响应

b. 因变量：关系契约

表 17  回归系数

<table>
<thead>
<tr>
<th>模型</th>
<th>未标准化系数</th>
<th>标准化系数</th>
<th>t</th>
<th>Sig.</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>B</td>
<td>Std. Error</td>
<td>Beta</td>
<td></td>
</tr>
<tr>
<td>(常数项)</td>
<td>6.492</td>
<td>0.669</td>
<td></td>
<td></td>
</tr>
<tr>
<td>关系契约</td>
<td>-0.146</td>
<td>0.109</td>
<td>-0.196</td>
<td>-1.340</td>
</tr>
</tbody>
</table>

a. 因变量：关系契约

5.6.3 交易契约影响的检验

根据 5.6.1 交易契约中介效应检验，不满意对交易契约的回归分析结果表明，这两个变量间存在明显的线性关系，回归系数为负并且统计检验显著，也就是说交易契约消极影响不满意。从而 H7 得到支持。
做因变量满意对交易契约的线性回归。结果表明，回归方程复相关系数平方为 0.024，预测变量的估计标准误为 0.682。ANOVA 表中，F=0.996，p=0.324，表明预测变量与因变量间没有明显的线性关系。（详细情况见表 18、表 19）

表 18 ANOVA

<table>
<thead>
<tr>
<th>模型</th>
<th>平方和</th>
<th>自由度</th>
<th>均方</th>
<th>F</th>
<th>Sig.</th>
</tr>
</thead>
<tbody>
<tr>
<td>回归</td>
<td>0.463</td>
<td>1</td>
<td>0.463</td>
<td>0.996</td>
<td>0.324a</td>
</tr>
<tr>
<td>残差</td>
<td>18.608</td>
<td>40</td>
<td>0.465</td>
<td></td>
<td></td>
</tr>
<tr>
<td>总计</td>
<td>19.071</td>
<td>41</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

a. 预测变量：(常数项)、交易契约
b. 因变量：满意

表 19 回归系数

<table>
<thead>
<tr>
<th>模型</th>
<th>未标准化系数</th>
<th>标准化系数</th>
<th>t</th>
<th>Sig.</th>
</tr>
</thead>
<tbody>
<tr>
<td>(常数项)</td>
<td>4.404</td>
<td>1.388</td>
<td>3.173</td>
<td>0.003</td>
</tr>
<tr>
<td>交易契约</td>
<td>0.252</td>
<td>0.252</td>
<td>0.156</td>
<td>0.998</td>
</tr>
</tbody>
</table>

a. 因变量：满意

5.6.4 关系契约和交易契约中介效应检验

为验证关系契约在功能响应叠加情感响应与满意关系间的中介效应，进行如下四重回归：

（1）满意=f（功能响应叠加情感响应）。结果表明，回归方程复相关系数平方为 0.751，预测变量的估计标准误为 0.340。ANOVA 表中，F=124.667，p=0.000，表明预测变量与因变量间有明显的线性关系。标准化回归系数 Beta=0.870，t=11.165，p=0.000。

（2）关系契约=f（功能响应叠加情感响应）。结果表明，回归方程复相关系数平方为 0.891，预测变量的估计标准误为 0.153。ANOVA 表中，F=336.890，p=0.000，表明预测变量与因变量间有明显的线性关系。标准化回归系数 Beta=0.902，t=13.237，p=0.000。

（3）满意=f（关系契约）。结果表明，回归方程复相关系数平方为 0.809，预测变量的估计标准误为 0.298。ANOVA 表中，F=283.358，p=0.000，表明预测变量与因变量间有明显的线性关系。标准化回归系数 Beta=0.902，t=13.237，p=0.000。
（4）满意=f（功能响应加情感响应，关系契约）。结果表明，回归方程复相关系数平方为0.807，预测变量的估计标准误为0.299。ANOVA表明，F=86.982，p=0.000，表明预测变量与因变量间有明显的线性关系。超级努力的标准化回归系数Beta=0.161，t=0.450；关系契约的标准化回归系数Beta=0.161，t=0.450。

结合以上结果，根据Baron & Kenny（1986）中介效应检验程序，说明关系契约的中介效应显著，并且全部中介了功能响应加情感响应对于满意的影响。

为验证交易契约在功能响应加情感响应与不满意关系间的中介效应，进行如下四重回归：

（1）不满意=f（功能响应加情感响应）。结果表明，回归方程复相关系数平方为0.835，预测变量的估计标准误为0.314。ANOVA表明，F=208.646，p=0.000，表明预测变量与因变量间有明显的线性关系。标准化回归系数Beta=-0.916，t=-14.445。

（2）交易契约=f（功能响应加情感响应）。结果表明，回归方程复相关系数平方为0.885，预测变量的估计标准误为0.143。ANOVA表明，F=317.858，p=0.000，表明预测变量与因变量间有明显的线性关系。标准化回归系数Beta=-0.942，t=17.829。

（3）不满意=f（交易契约）。结果表明，回归方程复相关系数平方为0.887，预测变量的估计标准误为0.260。ANOVA表明，F=322.487，p=0.000，表明预测变量与因变量间有明显的线性关系。标准化回归系数Beta=-0.943，t=-17.958。

（4）不满意=f（功能响应加情感响应，交易契约）。结果表明，回归方程复相关系数平方为0.8891，预测变量的估计标准误为0.255。ANOVA表明，F=168.403，p=0.000，表明预测变量与因变量间有明显的线性关系。超级努力的标准化回归系数Beta=-0.242，t=-1.572，p=0.124；关系契约的标准化回归系数Beta=-0.715，t=-4.632，p=0.000。

结合以上结果，根据Baron & Kenny（1986）中介效应检验程序，说明关系契约的中介效应显著，并且全部中介了功能响应加情感响应对于不满意的影响。

5.6.5 功能响应加情感响应影响的检验

根据5.6.4 关系契约和交易契约中介效应检验，交易契约对功能响应加情感响应的回归分析结果表明，这两个变量间存在明显的线性关系，回归系数为正并且统计显著，也就是说功能响应加情感响应积极影响交易契约，从而H5a得到支持。关系契约对功能响应加情感响应的回归结果表明，这两个变量间存在明显的线性关系，回归系数为正并且统计显著，也就是说功能响应加情感响应积极影响关系契约，从而H5b得到支持。同时，不满意对交易契约的回归结果表明，这两个变量间存在明显的线性关系，回归系数为负并且统计显著，也就是说交易契约消极影响不满意。从而H7得到支持。

5.6.6 关系契约影响的检验

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根据 5.6.4 关系契约和交易契约中介效应检验，满意对关系契约的回归分析结果表明，这两个变量间存在明显的线性关系，回归系数为正并且统计显著，也就是说关系契约积极影响不满意。从而 H8 得到支持。

做因变量不满意对关系契约的线性回归。结果表明，回归方程复相关系数平方为 0.002，预测变量的估计标准误为 0.772。ANOVA 表中，F=1.096，p=0.301，表明预测变量与因变量间没有明显的线性关系。（详细情况见表 20，表 21）

| 表 20 | ANOVA
<table>
<thead>
<tr>
<th>模型</th>
<th>平方和</th>
<th>自由度</th>
<th>均方</th>
<th>F</th>
<th>Sig.</th>
</tr>
</thead>
<tbody>
<tr>
<td>回归</td>
<td>0.653</td>
<td>1</td>
<td>0.653</td>
<td>1.096</td>
<td>0.301a</td>
</tr>
<tr>
<td>残差</td>
<td>23.823</td>
<td>40</td>
<td>0.596</td>
<td></td>
<td></td>
</tr>
<tr>
<td>总计</td>
<td>24.476</td>
<td>41</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

a. 预测变量：(常数项)、关系契约

b. 因变量：不满意

| 表 21 | 回归系数
<table>
<thead>
<tr>
<th>模型</th>
<th>未标准化系数</th>
<th>标准化系数</th>
<th>t</th>
<th>Sig.</th>
</tr>
</thead>
<tbody>
<tr>
<td>(常数项)</td>
<td>3.798</td>
<td>1.540</td>
<td>2.466</td>
<td>0.018</td>
</tr>
<tr>
<td>关系契约</td>
<td>-0.289</td>
<td>0.276</td>
<td>-1.047</td>
<td>0.301</td>
</tr>
</tbody>
</table>

a. 因变量：不满意

5.6.7 情感响应对心理契约影响的检验

做因变量交易契约对情感响应的线性回归。结果表明，回归方程复相关系数平方为-0.010，预测变量的估计标准误为 0.341。ANOVA 表中，F=0.576，p=0.452，表明预测变量与因变量间没有明显的线性关系。从而 H6a 得到支持。（详细情况见表 22，表 23）
表 22 ANOVAb

<table>
<thead>
<tr>
<th>模型</th>
<th>平方和</th>
<th>自由度</th>
<th>均方</th>
<th>F</th>
<th>Sig.</th>
</tr>
</thead>
<tbody>
<tr>
<td>回归</td>
<td>0.067</td>
<td>1</td>
<td>0.067</td>
<td>0.576</td>
<td>0.452</td>
</tr>
<tr>
<td>残差</td>
<td>4.994</td>
<td>43</td>
<td>0.116</td>
<td></td>
<td></td>
</tr>
<tr>
<td>总计</td>
<td>5.061</td>
<td>44</td>
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<td></td>
</tr>
</tbody>
</table>

a. 预测变量：(常数项)、情感响应
b. 因变量：交易契约

表 23 回归系数a

<table>
<thead>
<tr>
<th>模型</th>
<th>未标准化系数</th>
<th>标准化系数</th>
<th>t</th>
<th>Sig.</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>B</td>
<td>Std. Error</td>
<td>Beta</td>
<td></td>
</tr>
<tr>
<td>(常数项)</td>
<td>5.271</td>
<td>0.772</td>
<td></td>
<td>6.828</td>
</tr>
<tr>
<td>情感响应</td>
<td>0.100</td>
<td>0.132</td>
<td>0.115</td>
<td>0.759</td>
</tr>
</tbody>
</table>

a. 因变量：交易契约

做因变量关系契约对情感响应的线性回归。结果表明，回归方程复相关系数平方为 0.017，预测变量的估计标准误为 0.432。ANOVA 表中，F = 1.779，p = 0.189，表明预测变量与因变量间没有明显的线性关系。从而 H6b 得到支持。（详细情况见表 24、表 25）

表 24 ANOVAb

<table>
<thead>
<tr>
<th>模型</th>
<th>平方和</th>
<th>自由度</th>
<th>均方</th>
<th>F</th>
<th>Sig.</th>
</tr>
</thead>
<tbody>
<tr>
<td>回归</td>
<td>0.332</td>
<td>1</td>
<td>0.332</td>
<td>1.779</td>
<td>0.189</td>
</tr>
<tr>
<td>残差</td>
<td>8.020</td>
<td>43</td>
<td>0.187</td>
<td></td>
<td></td>
</tr>
<tr>
<td>总计</td>
<td>8.352</td>
<td>44</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

a. 预测变量：(常数项)、情感响应
b. 因变量：关系契约
表 25 回归系数 a

<table>
<thead>
<tr>
<th>模型</th>
<th>未标准化系数</th>
<th>标准化系数</th>
<th>t</th>
<th>Sig.</th>
</tr>
</thead>
<tbody>
<tr>
<td>(常数项)</td>
<td>4.645</td>
<td>0.978</td>
<td>4.748</td>
<td>0.000</td>
</tr>
<tr>
<td>情感响应</td>
<td>0.224</td>
<td>0.168</td>
<td>1.334</td>
<td>0.189</td>
</tr>
</tbody>
</table>

a. 因变量：关系契约

5.6.8 情感响应对满意和不满意影响的检验

做因变量不满意对情感响应的线性回归。结果表明，回归方程复相关系数平方为-0.002，预测变量的估计标准误为 0.576。ANOVA 表中，F=0.934, p=0.339, 表明预测变量与因变量间没有明显的线性关系。从而 H3a 得到支持。（详细情况见表 26、表 27）

表 26 ANOVA b

<table>
<thead>
<tr>
<th>模型</th>
<th>平方和</th>
<th>自由度</th>
<th>均方</th>
<th>F</th>
<th>Sig.</th>
</tr>
</thead>
<tbody>
<tr>
<td>回归</td>
<td>0.310</td>
<td>1</td>
<td>0.310</td>
<td>0.934</td>
<td>0.339 a</td>
</tr>
<tr>
<td>残差</td>
<td>14.268</td>
<td>43</td>
<td>0.332</td>
<td></td>
<td></td>
</tr>
<tr>
<td>总计</td>
<td>14.578</td>
<td>44</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

a. 预测变量：(常数项)、情感响应

b. 因变量：不满意

表 27 回归系数 a

<table>
<thead>
<tr>
<th>模型</th>
<th>未标准化系数</th>
<th>标准化系数</th>
<th>t</th>
<th>Sig.</th>
</tr>
</thead>
<tbody>
<tr>
<td>(常数项)</td>
<td>6.973</td>
<td>0.827</td>
<td>8.430</td>
<td>0.000</td>
</tr>
<tr>
<td>情感响应</td>
<td>-0.132</td>
<td>-0.146</td>
<td>-0.966</td>
<td>0.339</td>
</tr>
</tbody>
</table>

a. 因变量：不满意

做因变量满意对情感响应的线性回归。结果表明，回归方程复相关系数平方为-0.006，预测变量的估计标准误为 0.340。ANOVA 表中，F=0.754, p=0.390, 表明预测变量与因变量间没有明显的线性关系。从而 H3b 得到支持。（详细情况见表 28、表 29）
### 表 28 ANOVA

<table>
<thead>
<tr>
<th>模型</th>
<th>平方和</th>
<th>自由度</th>
<th>均方</th>
<th>F</th>
<th>Sig.</th>
</tr>
</thead>
<tbody>
<tr>
<td>回归</td>
<td>0.087</td>
<td>1</td>
<td>0.087</td>
<td>0.754</td>
<td>0.390a</td>
</tr>
<tr>
<td>残差</td>
<td>4.974</td>
<td>43</td>
<td>0.116</td>
<td>0.116</td>
<td>0.116</td>
</tr>
<tr>
<td>总计</td>
<td>5.061</td>
<td>44</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

a. 预测变量：(常数项)、情感响应

b. 因变量：满意

### 表 29 回归系数

<table>
<thead>
<tr>
<th>模型</th>
<th>未标准化系数</th>
<th>标准化系数</th>
<th>t</th>
<th>Sig.</th>
</tr>
</thead>
<tbody>
<tr>
<td>(常数项)</td>
<td>5.248</td>
<td>0.702</td>
<td>7.479</td>
<td>0.000</td>
</tr>
<tr>
<td>情感响应</td>
<td>0.102</td>
<td>0.118</td>
<td>0.131</td>
<td>0.868</td>
</tr>
</tbody>
</table>

a. 因变量：满意

### 6. 结论及管理含义


#### 6.1 管理含义

研究结果表明，企业产品伤害危机响应的不同要素对于消费者满意和不满意情感有不同影响。功能响应影响消费者不满意，感知功能响应水平越高，则消费者不满意水平越低，否则反之；功能响应加情感响应影响消费者满意，感知功能响应加情感响应水平越高，则消费者满意水平越高，否则反之；单纯的情感响应既不会影响满意也不会影响不满意。这表明，组织在应对产品伤害危机时，应该首先解决消费者的基本关切，也就是首先要保证基本的经济等方面的物质补偿，从而消除的不满意情绪，但基本的物质补偿并不能促使消费者满意，为此，在此基础上还应该进行情感补偿。但是，缺乏特质补偿的前提下，情感补偿既不能消除消费者的不满意，也不能保证消费者的满意。只有满意的顾客才可能会重
复购买公司产品，进而可能会成为忠诚顾客（Kotler & Keller, 2011）。就产品伤害危机而言，满意的顾客才可能在危机发生后再次成为企业产品的购买者。根据本研究结果，在产品伤害危机模糊情境下，企业应该采用功能响应加情感响应方式来应对产品伤害危机，从而使消除消费者不满意情绪，同时促进消费者满意。

6.2 理论含义

本研究的结果进一步充实了产品伤害危机响应文献。首先，本研究在产品伤害危机模糊情境下检验了构成危机响应的影响因素对消费者的影响。结果表明，危机响应的不同要素（情感响应、功能响应）对消费者的认知活动及情绪反应有不同影响。其次，本研究首次在产品伤害危机情境下检验了双因素理论。根据双因素理论，满意与不满意受到不同因素的影响。本研究在产品伤害危机模糊情境下对此进行检验，并且对于这个理论给予了支持。功能响应类似于保健因素，与消费者不满意关联；功能响应满足后，情感响应类似于激励因素，与消费者满意相关联。最后，本研究揭示了产品伤害危机响应对不满意和不满意影响的影响机制。本研究将心理契约构成首次应用到产品伤害危机情境下，一方面揭示了产品伤害危机响应对消费者情绪反应的影响机制，也就是心理契约中介了危机响应对消费者满意和不满意的影响；另一方面，将此构成扩展到危机情境下，丰富了产品伤害危机文献，从而为未来研究提供了新的视角。

7. 局限性及未来研究方向

本研究仍然存在局限性，未来在一些方面仍需要进一步深入研究。首先，一些调节或控制变量没有考察。本研究采用实验方法，排除了诸多变量的影响，虽然确保了研究的内部效度，但研究的外部效度会受到影响。未来研究可以检验上述一些变量的影响，这可能会得到更富有意义的结论。其次，本研究被试均为在校本科生，虽然是一种有效的研究实践，但是被试的年龄、教育等人口统计特征构成并不反应整体人口相应属性的分布。未来的研究可以进一步在不同消费者细分及不同的产品类别下进行，从而得到更为全面、客观的结论。

参考文献

The Change and Innovation of STP Marketing Theory from the Big Data Perspective

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ABSTRACT

The development of big data technology has been taken a far-reaching influence on traditional marketing theory. In enterprise marketing management, how to converting big data to be basic and strategic resources, and implementation the data driven marketing strategy, has become a focus in the study of enterprise marketing management. This paper, based on the big data perspective, discusses the transformation and realization form of the traditional STP marketing theory, in big data environment. Research on the ways, that the enterprise how to transformation marketing thinking, and how to constructing the STP marketing strategy.

Keywords: Big data, STP marketing, marketing strategy
大数据视角下 STP 营销理论的变革与创新

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摘要

大数据技术的发展对传统的市场营销理论产生了深远的影响。将大数据转化为企业营销管理中基础性、战略性资源，制定实施基于数据驱动的营销战略已经成为企业营销管理研究的重点。本文基于大数据视角，探讨传统 STP 营销理论的变革与实现形式，探究大数据环境下，企业转变营销思维构建 STP 营销战略的途径。

关键词：大数据；STP 营销；营销战略

1. 引言

大数据作为互联网行业新一轮的技术浪潮，已经成为当前理论研究的新热点，它不仅变革了信息技术行业本身，也对企业管理理念、流程、决策模式等方面带来了深刻的影响。大数据环境下，企业的经营决策将更多地倾向于数据的挖掘与分析，有效的提升管理的科学性。市场营销作为企业经营管理的重要环节，不可避免地会受到大数据的冲击，将大数据的特征与市场营销理论有机结合，推动大数据视角下的营销理论与实践研究具有重要价值。

2.“大数据”的涵义和特征

“信息爆炸”的说法由来已久，但近年来人们愈发感觉“大数据”的来势凶猛。在过去的几年中，互联网的发展加快了信息技术在社会、经济、生活等各个领域渗透，在移动计算、物联网、云计算等一系列新兴技术的支持下，社交媒体、协同创造、虚拟服务等新型应用模式持续拓展着人类创造和利用信息的范围和形式。自从人类有印刷术以来，过往上千年所有的印刷材料只相当于 200PB，而在 2011 年全球数据使用量已达到了 1.8ZB（1ZB 约为 1PB 的 100 万倍）。根据市场研究公司 IDC 的统计，全球数字信息在未来几年将呈现惊人增长，预计到 2020 年总量将是现在的 44 倍，全球数据使用量将达到大约 35.2 ZB。全面基于信息和网络的生产和创新模式，正在将人类社会带入第三次工业革命时代。

2.1 大数据的涵义

2008 年 9 月，《自然》推出大数据专辑，从互联网技术、超级计算、网络经济学、环境科学等多学科视角探讨了大数据带来的价值与挑战。2011 年由国家两大计算机构的 EEM 等众多国外机构相继发布大数据相关研究报告，2012 年大数据成
为达沃斯世界经济论坛的主题之一。至此，“大数据”成为一个正式的概念，逐步映入公众眼帘，并引发了一系列后续社会影响。

目前，对于大数据的定义还没有达成一致的认识，国内外学者、研究机构分别从数据体量、复杂程度、分析价值三个角度对大数据进行界定。麦肯锡在其研究报告《大数据：创新、竞争和生产力的下一个新领域》中从数据集的“大体量”入手，对大数据进行了界定，提出大数据是指那些规模大到传统的数据库工具已经无法采集、存储、管理和分析的数据集。Manyika等将大数界定为无法在一定时间内运用传统数据库软件对其进行生成、管理和处理的数据集合。而MacAfee和Brynjolfsson则从商业管理视角认为大数据是“分析”的另一种表述，是探寻从数据中获取知识，并将其转化为商业优势的智能的管理活动。

2.2 大数据的特征

尽管“大数据”的涵义存在不同的表述，但普遍的观点是大数据与“海量”数据和“大规模”数据的概念一脉相承，只是在数据体量、数据产生速度和复杂性三个方面远远超出了传统的数据形态，也超出了现有技术的处理能力，并带来了巨大产业创新的机遇。对大数据特性的理解已形成较为统一的观点：规模化（Volume）、多样化（Variety）、快速化（Velocity）、价值化（Value）是大数据具有四项典型特点，即“4V”。（1）规模化。60秒——Flicker上会有3125张照片上传，Facebook上新发布70万条信息，YouTube有200万次观赏——图片、声音、文字以及这背后用户的习惯和轨迹构成了互联网上的数据资源，数据规模不断扩大。（2）多样化。大数据涵盖的数据类型包括以数据仓库或关系数据库形式存在结构化数据，也包括以非结构化形式存在的文字、图片、语音、视频等感知数据以及各种社会网络服务数据。（3）快速化。在网络时代，传播环节缩短，数据生产和传播近乎同步，数据产生、利用、处理、分析过程高效率，使用户的实时需求可以得到满足，数据价值大大提高。（4）价值化。大数据的巨大商业价值已经初露端倪，通过对数据进行精确的分析，大数据必将产生大作用。

3.大数据时代 STP 营销战略的变革

纵观社会的发展历程，每一次重大的科技革命，必将带来相应的产业革命，从而造成相应的市场革命和消费革命。大数据时代，人们的生活方式、生产方式、思维方式已经发生了极大地改变，这一方面带来了“大数据”的市场化，同时也必将带来市场主体、客体和市场关系的“大数据”化。为了适应“大数据”市场发展的趋势，企业的营销活动也必须采取相应的“大数据”营销战略。

3.1 STP 营销战略的内涵

STP 是现代企业战略营销的核心内容。温德尔·史密斯(Wended Smith)在1956年提出了市场细分的概念，菲利浦·科特勒进一步发展和完善了温德尔·史密斯的理论并最终形成了成熟的STP营销理论。该理论的主要内容是：面对庞大、复杂的市场，在这个市场上存在着不同的顾客需求和偏好。受到资源有限性和其他因素的制约，任何一个企业都不可能满足市场上所有顾客的需求，也不可能在市场营销的过程中始终占有绝对的优势。面对激烈的市场竞争，企业为了求生存、谋发展，必须进行市场需求分析，识别各个不同的顾客群，并且从中选择一个或几个作为自己的目标市场。然后运用市场营销组合，集中力量满足目标市场的需
求。目标市场营销战略由三个紧密联系不可分割的环节完成：一是市场细分（Segmenting），二是选择目标市场（Targeting），三是市场定位（Positioning），即 STP 营销战略。

3.2 大数据时代市场细分的变革

市场细分是指营销者通过市场调研，依据消费者的需要、欲望、购买行为、购买习惯等方面差异，把某一产品的市场整体划分为若干消费者群的市场分类过程。市场细分的实质是对消费者进行分类，把具有某些共同特征的消费者鉴别出来，并使之显性化，“聚合”在一起，形成一个个的“子市场”。市场细分是选择目标市场和市场定位的基础和前提，对于企业市场营销活动的成败有着至关重要的作用。

大数据时代的市场细分表现出超细分化的特点。信息技术的发展，使得信息的传递更为高速、便捷、低成本，过去困扰消费者的“信息不对称”问题，正在逐步减少和消除。自媒体（We Media）的出现也为大众意见的表达与传播提供了有效的平台。博客、微博、微信、贴吧、论坛等大量由普通大众主导的信息传播活动盛行，人们能够接收到来自四面八方的信息，“主流媒体”的传播效果逐渐减弱，正在很大程度上影响了大众理解和思考的习惯，大众不再接受被一个“统一的声音”告知对或错，每一个人都在从独立获得的资讯中，对事物做出自己的判断。在这样的背景下，消费者“个性化消费”的意识逐步上升，个体需求的细分化、差异化越来越明显，“市场”正在瓦解成一个个的“碎片”，形成了巨大的“长尾”，从而带来了市场的超细分化。

3.3 大数据时代目标市场选择的变革

目标市场是指企业在市场细分的基础上，选择要进入的最佳细分市场。目标市场选择是 STP 战略的第二个步骤，是企业明确自身具体服务对象的过程。关系到企业营销战略目标的落实，也是制定营销策略的根本出发点。对于企业而言，并非所有的细分市场都具有相同的吸引力，只有那些与企业自身的资源条件相适应、能够发挥自身优势的细分市场才具有较强的吸引力，才是最佳的细分市场。

在大数据时代，企业目标市场的选择将面临更多的不确定性。市场的碎片化和消费者的个性化将使得目标市场的规模和成长潜力难以分析和评估，即使原来在细分市场中占有优势的企业对消费者的吸引力也难于长期把握。大数据的市场 化和市场的大数据化将使得市场竞争更加透明、激烈，购买者的议价能力提高，潜在竞争者和替代品出现的周期更短。将碎片化的市场重新“聚合”将对大数据时代的营销具有重要的意义。

3.4 大数据时代企业市场定位的变革

市场定位就是企业根据目标市场上同类产品的竞争状况，针对顾客对这类产品某些属性或特征的重视程度，塑造本企业或产品强有力的、与众不同的鲜明个性或形象，并将其生动地传递给目标顾客，求得顾客认同。市场定位的实质是使本企业与其他企业严格区分开来，使顾客明显感觉和认识到这种差别，从而在顾客心目中占有特殊的位置，取得目标市场的竞争优势。

在大数据时代，企业或产品定位差异化变量的选择将会发生比较大的变化，曾经行之有效的因素，如价格便宜、产品经久耐用、广告投入多、网店密集等等，
可能都会失去其原有的效果，消费者的个性化趋势要求企业必须更多地关注他的目标顾客，媒体环境的变化对企业市场地位的传播提出了新的要求。

4. 大数据视角下 STP 营销理论的创新

利用大数据进行营销是时代发展的必然，启动大数据营销关键不是在于技术而是在于思想和理念。把 STP 营销理论镶嵌于大数据这首都章之上，必将使其大放异彩。在大数据时代，庞大的数据资源为 STP 营销理论的应用奠定了数量化的基础，增强了该理论应用的科学性，也必将其艺术性的发挥提升到新的高度。

4.1 大数据视角下的市场细分

大数据时代，基于大数据的市场细分，将成为企业市场细分的必然途径，这也将加速市场细分的科学化进程。对消费者的了解和把握是企业市场细分的重要基础，尤其是在市场碎片化和消费者个性化的趋势下，脱离了数据支撑的市场细分将寸步难行。

以往关于消费者心理和行为的数据大都是以问卷调查和直接观察法获取，这导致有些重要信息无法获取或获取成本较高。但在新的数据环境下，我们则有机会把数据聚集起来。人们行为的很多信息通过监控探头、网络日志等途径被记录下来，虽然这些信息大都是分散的，但越来越多的“拼图”数据公司蓬勃发展，帮助企业利用数据信息充分的理解消费者。理解商机，即使暂时“拼图”不能被全部拼出，拼出的部分图案也会产生一定的价值，有效数据驱动将如同 DNA 测序一样反映出现实的消费者。比如，跨渠道、跨零售商的数据集合起来可以反映出顾客的完整购买过程，POS 软件可以采集到丰富的商品信息，移动终端反馈出顾客的位置信息，社交媒体软件则可以监测到顾客的情绪信息，顾客的信息搜寻行为和交易行为都会被完整记录。通过这些信息可以分析出消费者的喜好与购买习惯，对企业的市场细分起到非常重要的作用，提高了市场细分的实用性和有效性，进而实现对市场的多元细分，并且对细分市场做出即时的动态调整。

4.2 大数据视角下的目标市场选择

大数据视角下企业目标市场的把握更加精准。运用大数据挖掘技术能够实现对细分市场更为精确的分析和评估，能够更好地把握细分市场的规模、成长潜力以及市场的吸引力。例如，运用大数据技术，能够更快捷地监测竞争对手、供应商以及顾客的动态。

大数据时代，企业的目标市场选择将趋于“精准”。精准的个性化商品推介已成为企业营销发展的新方向，“大数据”为精准的个性化商品推介提供了可持续发展的沃土和充足的养分。信息量的飞速增长是科技进步的结果，但自然人本身在体力、智力、精力等方面却很难快速得到相应的提高，因此，大数据将导致消费者淹没在浩瀚的信息海洋之中。对企业而言，赢得消费者的最好办法就是将及时、准确地为消费者提供其所需商品的信息。例如，在电子商务平台上产生的顾客流量、结构、点击率、购买周期、兴趣等等大量数据，可以通过对大数据的搜集、整合和分析，将消费者的品味和消费意愿进行准确识别，为其提供精准的个性化的产品和服务，以提高企业的营业额和利润。目前在电商领域，亚马逊已经通过个性化技术支持为顾客进行智能导购，大幅提升了用户满意度和销售业
4.3 大数据视角下的市场定位

大数据将提升企业市场定位的效果和效率。运用大数据技术可以更为精准的把握消费者，了解潜在用户达到主要特征，分析他们的喜好，引导产品成功定位，赢得市场。大数据时代，市场信息传播的速度和透明度显著提升，但这种“速度”、“透明度”至少在短时期之内在各企业之间还不会是公平的，这也正是各大企业争相占领大数据这一制高点的重要原因。

同时，伴随着大数据时代全媒体环境的爆发，企业传播自身定位的方式也从“媒体导向”向“受众导向”转变。以往的营销活动须以媒体为导向，选择知名度高浏览量大的媒体进行投放。如今，广告主可以通过大数据知晓目标受众身处何方，关注着什么位置的屏幕。可以做到当不同用户关注同一媒体的相同界面时，广告内容有所不同，实现了对网民的个性化营销。和传统广告“一半的广告费被浪费掉”相比，大数据营销在最大程度上，让广告主的投放做到有的放矢，并可以根据实时性的品牌传播效果反馈，及时对广告投放策略进行调整。

4.4 大数据视角下 STP 营销战略模型构建

市场营销学是科学与艺术的结合，是一门研究通过满足别人来获的利润的科学与艺术。营销学的“科学”部分依赖于数据的收集、处理、分析和各种营销数据库的建立。在大数据时代，庞大的数据资源为市场营销学的量化进程奠定了基础，以大数据为依托的 STP 营销战略模型构建（图 1），对企业的营销实践具有重要的参考价值。

![大数据为依托的 STP 营销战略模型构建](image)
参考文献

The Influential Mechanism of Perceived Product Innovativeness on Customer-Based Brand Equity

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ABSTRACT

Product innovation is an important driving force of enterprise to obtain competitive advantage, but the success rate of new product is very low, how should enterprises innovation ability is easier to let consumers to accept has become important practical problems in front of every enterprise. Different from previous research, this paper explores the influence on consumers’ purchase behavior from the consumer perspective. Based on the information economics theory and innovation diffusion theory, this paper explores the influential mechanism of Perceived Product Innovativeness (PPI) on new product purchase intention through an empirical study. The results show different dimensions of PPI have different impact on consumers, Perceived Newness (PN) has inverted U-shaped influence on product liking, which mediates PN and purchase intention; Perceived Meaningfulness (PM) has a positive influence on product liking, which play a partial intermediary role between PM purchase intention; consumer innovativeness proves to be a moderator variable between product liking and purchase intention. The findings can not only improve the related theory of PPI, but also help to promote new product diffusion for tech enterprises.

Keywords: Perceived Product Innovativeness; Perceived Newness; Perceived Meaningfulness; product liking; purchase intention; consumer innovativeness
企业该如何创新才更容易让顾客接受——感知产品创新对新新产品购买意愿的影响作用研究

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摘要

产品创新是企业获取竞争优势的重要推动力，但新产品成功率却很低，企业该如何创新才更容易让消费者接受已成为摆在每一个企业面前的重大现实问题。与以往研究不同，本文从消费者视角探讨产品创新对消费者购买行为的影响作用，以信息经济学理论和创新扩散理论为基础，构建了感知产品创新对新产品购买意愿的影响机制模型，并以科技类产品为例，通过为期 15 周实验验证了所构建模型的合理性。实证结果表明：感知产品创新的不同维度对消费者产生不同的影响，其中，感知新颖性与产品喜爱度之间存在倒 U 型关系，产品喜爱度在感知新颖性与新产品购买意愿之间发挥完全中介作用；感知创新意义则会正向影响产品喜爱度，产品喜爱度在两者之间发挥部分中介作用，且消费者创新性在产品喜爱度与购买意愿之间起正向调节作用。本文研究不仅可以进一步完善感知产品创新的相关理论，有助于指导企业有效地进行新产品推广和扩散。

关键词：感知产品创新；感知新颖性；感知创新意义；产品喜爱度；购买意愿；消费者创新性

1. 引言

在激烈的市场竞争环境下，产品创新是企业获取竞争优势的重要推动力。每年许多企业都会投入大量资金进行产品研发，但新产品成功率却很低。据统计，1/3 以上的新产品在产品引入阶段失败，服务行业每年新服务引入失败的比例甚至高达 95%以上（Stevens 和 Dimitriadis, 2005），而且新产品开发失败的比率还呈现逐年上升的趋势（Goode 等, 2013）。造成新产品高失败率的一个重要原因是营销者对产品创新性的认识并不能被消费者所接受（Calantone 等, 2006）。那么，企业该如何创新才更容易让消费者接受已成为摆在每一个企业面前的重大现实问题。感知产品创新性（Perceived product innovativeness）是继消费者创新性之后从消费者视角研究创新的另一重要概念，指的是消费者对产品或服务创新的主观感知。与企业客观视角的创新研究不同，该领域研究强调以顾客为创新判断的主体，要求企业站在消费者视角上判断产品或服务的创新性。此概念一经提出，就受到了西方学者的广泛关注，并逐渐成为创新研究中的一个独立分支，而我国相关研究还非常少。学者们普遍认为，与传统企业层面的创新性变量相比，感知产品创新
性对新产品开发绩效和企业创新绩效等具有更强的解释力和预测力(Kunz等，2011)。


2. 文献回顾

2.1 感知产品创新


2.2 感知产品创新的影响作用


综上，尽管这些研究探索了感知产品创新的影响作用，但仍存在三方面的局限性：（1）目前研究主要关注了感知产品创新对消费者态度的影响，而直接研究感知产品创新与消费者行为之间关系的还很少；（2）现有研究主要关注了感知产品创新对各结果变量（如消费者态度、偏好、购买意愿和品牌等）的直接影响作用，很少探讨感知产品创新对各结果变量的具体作用机制和影响路径，且很少从理论角度解释存在复杂影响的原因；（3）现有研究在考察影响作用时，大都从单一维度衡量感知产品创新，这并不足以体现感知产品创新的完整内容，也不足以揭示感知产品创新对消费者的复杂作用机制。

3. 概念模型与研究假设

3.1 概念模型

本文认为导致感知产品创新与消费者行为之间存在复杂关系的原因在于：
（1）感知产品创新是一个多维变量，其不同维度可能会对消费者购买行为产生不同的影响；（2）新产品购买是一个复杂的过程，感知产品创新并不会直接作用于新产品购买意愿，而是通过某些中介变量间接影响新产品购买意愿；（3）面对同一种新产品，不同消费者所做出的创新性反应可能存在着显著差异，因此需要关注消费者个体特征对二者关系的影响。基于此，本文依据 Rogers(2003) 的研究成果，采用感知新颖性和感知创新意义两个维度来表征感知产品创新，并依据态度理论中的“认知-情感-行为”框架，构建了感知产品创新对新产品购买意愿的作用机制模型（如图 1 所示）。

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图 1 概念模型

3.2 感知产品创新与产品喜爱度

在消费者行为文献中，产品喜爱度(Product Liking)是表征消费者态度的重要变量，当消费者对产品喜爱度越高时，他们对产品态度也就会越积极。信息经济学理论可以为我们解释感知产品创新与产品喜爱度之间的复杂关系提供重要的理论基础。该理论认为，一方面，消费者会依据各种信号帮助其做出产品评估，其中产品创新性就是一种有效的信号。它在一定程度上显示了公司所生产的产品能够满足消费者需求的能力(Fang, 2008)。消费者所感受到的信号强度会积极影响消费者对产品预期效用的评估(Shankar 等, 2003)，而预期效用则会进一步提升产品喜爱度。另一方面，买卖双方之间信息分配方式也能够影响消费者购买决策活动。在通常情况下，消费者对产品的了解是不完全的，这种信息不对称会增加消费者购买产品的不确定性(Kirmani 和 Rao, 2000)。当消费者评估复杂性产品效用时，这种不确定性会更高(Hoeffler, 2003)。消费者对产品不确定性越高，他们相信该产品满足其需求的能力会降低(Magnusson 等, 2003)，进而会对产品喜爱度造成不利影响。由此可见，信息经济学可以为感知产品创新的影响及潜在机制提供理论解释。下面分别从感知新颖性和感知创新意义两方面阐述感知产品创新与产品喜爱度之间的关系。

（1）感知新颖性与产品喜爱度

性会负向影响顾客忠诚。


H1：感知新颖性与产品喜爱度之间呈现倒U型关系

（2）感知创新意义与产品喜爱度


H2：感知创新意义会正向影响产品喜爱度

3.3 产品喜爱度与购买意愿


虽然现有文献中直接关注产品喜爱度与购买意愿之间关系的研究并不多，但是大量研究证实消费者对产品的态度会积极影响其对该产品的购买意愿。由此，本文提出以下假设：

H3：产品喜爱度会正向影响购买意愿

3.4 产品喜爱度的中介作用

客满意间接影响顾客行为意向。Eggert与Ulaga(2002)在他们的研究中，比较了顾客感知价值对行为意愿的直接影响作用模型和顾客感知价值、顾客满意和顾客行为意愿三者关系模型，结果发现将顾客满意作为中介作用的间接影响作用模型的拟合度优于直接影响作用模型更好。罗勇等（2013）在考察产品创新性对新产品采纳态度和购买意愿的影响时，也发现产品创新性会正向影响新产品采纳态度和购买意愿，且新产品采纳态度在产品创新性与购买意愿之间起完全中介作用。消费者对新产品的购买过程较为复杂，需要做好利益与风险之间的平衡。因此，本文认为，感知产品创新会通过某些中介变量间接影响购买意愿。由此，本文提出如下假设：

H4：产品喜爱度在感知产品创新与购买意愿之间起中介作用
H4a：产品喜爱度在感知新颖性与购买意愿之间起中介作用
H4b：产品喜爱度在感知创新意义与购买意愿之间起中介作用

3.5 消费者创新性的调节作用


H5：消费者创新性会在产品喜爱度和购买意愿之间起正向调节作用

4. 研究方法

4.1 研究设计与数据收集

为了更好地模拟消费者购买和选择新产品的环境，本研究采用实验法进行数据收集，实验周期为 15 周。鉴于实验周期较长，为确保实验质量，本研究采用便利抽样的方法，选择的实验对象是西安外国语大学和西北大学两所高校在2014年9月到2015年1月所开设的两门选修课程上的212位本科生。选择选修课程上的学生作为实验对象主要是出于以下几个方面的考虑：（1）相较于必修课程，该类课程上的学生专业、年级分布更广泛，能够尽可能地满足实验对象的差异性；（2）各学校对该类课程也有学分和成绩的考核，学生上课较积极，能够保
证在较长的实验周期内实验对象的稳定性。

具体的实验操作方法是：每周在课堂上向被试呈现一个新产品，被试在实验人员的指导下，阅读完新产品的介绍和图片后，根据自己的理解并感受回答相应的问题。本研究选择在课堂上进行实验，主要是为了确保实验质量。采用该种实验方法，实验人员还可以根据研究设计有效地组织被试完成各项实验步骤，并及时地解答被试提出的各种疑问。

本研究所选 15 种实验产品全部来自易迅发现频道，该网站是一个专门发布国内外新产品的平台，该平台每天都会面向公众发布一款以上的新产品，其发布的产品种类遍及家电、食品、生活用品类等多个方面。对于新产品的选择，本研究遵循了以下两条原则：（1）选择实验产品的首要原则就是该产品是否以本研究实验对象为目标受众，如果不是，则不能作为实验产品；（2）所选择的产品都是在实验前一周之内发布的新产品，以确保被试是第一次见到该产品；（3）本研究所选择的实验产品种类广泛，包括钱包、智能笔、情境灯和照相机等多个产品种类，这样可以在一定程度上保证所选择产品在新颖性和创新意义上的差异性；（4）为了便于被试对这些产品的新颖性和创新意义做出有效的评估，所选择的产品主要是功能性较强的科技类产品。

在整个实验过程中，有 138 位被试参与了 10 次实验，有 74 位被试参与了 6 次实验。经过为期 15 周的实验，共收集到了 1826 份问卷，删除无效问卷 241 份，最终得到有效调查问卷为 1585 份，问卷的有效回收率为 86.9%。

4.2 变量测量


另外，为了克服同源偏差的问题，本文采用随机顺序排列自变量和因变量的问项，并用无关问项将自变量与因变量分开，且在整个问卷设计上采用了不同的量表回答形式，即某些量表采用标准的 Likert 量表，某些量表则要求被试将合适的数字填写到相应的方格中。并且，实验过程中每隔 2-3 周会测量问项的顺序进行一次重新调整，并撤换一些无关问项。

5. 实证结果分析

5.1 信度和效度检验

在正式数据分析之前，本文采用 Harman 的单因子检测方法检验了共同方法
偏差。结果发现未进行旋转的情况下得到第一个主成分的方差贡献率为 28.51%，
并未占到大多数，说明共同方法偏差不严重，符合研究要求。

本文利用 SPSS19.0 和 Lisera8.7 统计软件对信度、聚合度和区分度进行了检验。信度检验
ted 克隆巴奇（Cronbach’s α）系数实现，感知产品创新性（PPI）、产品
喜爱度（PL）、消费者创新性（CI）和购买愿望（PI）四个变量的 α 系数分别为 0.881、
0.864、0.901 和 0.905，均超过 0.7，说明问卷测量具有较高的可信度。所有测量
指标都通过了 Bartlett 球形检验，因子载荷都大于 0.7，PPI、PL、CI 和 PI 能解
释的方差百分比分别为 65.76%、75.72%、62.66% 和 70.50%，均大于 60%，说明
量表具有较好的聚合度。另外，感知新颖性（PN）、感知创新意义（PM）、PL、
CI 和 PI 的 AVE 平方根分别为 0.714、0.762、0.783、0.815、0.809，均大于与其他
变量的相关系数，说明具有较好的区分度（如表 1 所示）。

5.2 相关分析

表 1 给出了数据的描述性统计分析结果。一般而言，相关系数在 0.75 以上
则可能存在多重共线性，而本研究相关系数最高值 0.469，因此，可以初步判断
本研究各变量之间不存在多重共线性问题。本研究进一步通过计算每一个变量的
方差膨胀因子（VIF）来排除多重共线性问题，结果表明，VIF 值最高的变量是产品
喜爱度，其值为 1.925，远低于 10。因此，本文认为各变量之间不存在多重共线性
现象。

<table>
<thead>
<tr>
<th></th>
<th>均值</th>
<th>标准差</th>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
<th>5</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.感知新颖性</td>
<td>4.83</td>
<td>0.991</td>
<td>0.714</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.感知创新意义</td>
<td>4.88</td>
<td>1.077</td>
<td>0.247</td>
<td>0.762</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.产品喜爱度</td>
<td>4.62</td>
<td>1.058</td>
<td>0.309''</td>
<td>0.293''</td>
<td>0.783</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.购买愿望</td>
<td>4.36</td>
<td>1.302</td>
<td>0.235''</td>
<td>0.218''</td>
<td>0.469''</td>
<td>0.809</td>
<td></td>
</tr>
<tr>
<td>5.消费者创新性</td>
<td>3.15</td>
<td>0.893</td>
<td>0.220</td>
<td>0.221</td>
<td>0.066''</td>
<td>0.272</td>
<td>0.815</td>
</tr>
</tbody>
</table>

注：** * * 在 0.001 水平（双侧）显著相关， ** * 在 0.01 水平（双侧）上显著相关， * 在 0.05 水平上（双
侧）显著相关（下同）。

5.3 回归分析

本文利用 SPSS19.0 软件对概念模型进行了回归检验，回归分析结果如表 2
所示。为了避免自变量与交叉乘积项可能产生的多重共线性问题，本文首先对各
变量进行了数据中心化处理。模型 1a 表明感知新颖性与产品喜爱度之间呈现倒
U 型关系（β= -0.044，p < 0.001），从而验证了 H1。模型 1b 表明感知创新意义对
产品喜爱度产生显著的正向影响（β= -0.381，p < 0.001），H2 也到了支持。模型 2a
验证了产品喜爱度会对购买愿望产生显著的正向影响（β= 0.401，p < 0.001），从而
验证了 H3。模型 2b 在模型 2a 的基础上加入了感知新颖性的平方项，数据分析
结果显示，产品喜爱度对购买意愿影响仍显著，但感知新颖性的平方项则对购买
意愿影响不显著。模型 1a、模型 2a 和模型 2b 共同验证了产品喜爱度在感知新颖性和购买意愿之间发挥完全中介作用，从而验证了 H4a。

模型 2c 在模型 2a 的基础上加入感知创新意义，结果表明感知创新意义和产品喜爱度均会对购买意愿产生显著的正向影响(β=0.321, p<0.05；β=0.433, p<0.001)，模型 1b、模型 2a 和模型 2c 共同验证了产品喜爱度在感知创新意义和购买意愿之间发挥部分中介作用，从而部分支持了 H4b。模型 2d 在模型 2a 的基础上加上了 PL×CI，数据分析结果表明，PL×CI 项的回归系数为 0.132，且在 0.001 水平上显著，从而验证了 H5。如表 2 所示，加入调节变量消费者创新性后，拟合指数 R² 都有不同程度的增加，说明在产品喜爱度与购买意愿之间的关系中加入消费者创新性作为调节变量是合理的。

### 表 2 回归分析结果

<table>
<thead>
<tr>
<th></th>
<th>PL</th>
<th>PI</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>模型 1a</td>
<td>模型 1b</td>
</tr>
<tr>
<td>constant</td>
<td>3.543</td>
<td>1.303</td>
</tr>
<tr>
<td>PN²</td>
<td>-0.044</td>
<td>-0.011</td>
</tr>
<tr>
<td>PM</td>
<td>0.401</td>
<td>0.404</td>
</tr>
<tr>
<td>PL×CI</td>
<td>1.718</td>
<td>1.872</td>
</tr>
<tr>
<td>DW 值</td>
<td>0.161</td>
<td>0.481</td>
</tr>
<tr>
<td>调整后的 R²</td>
<td>0.159</td>
<td>0.480</td>
</tr>
<tr>
<td>F 值</td>
<td>12.166</td>
<td>59.285</td>
</tr>
</tbody>
</table>

### 6. 结论与讨论

本文采用实验法，利用多元回归分析方法，实证分析了感知产品创新对新产品购买意愿的作用机制，主要形成了以下的研究结论：(1) 感知产品创新不会直接作用于新产品购买意愿，而是通过产品喜爱度间接影响消费者对新产品的购买意愿。(2) 感知产品创新作为一个复杂的多维度概念，不同维度对消费者的影响作用也是有差异的，其中感知新颖性与产品喜爱度之间存在倒 U 型关系，产品喜爱度在感知新颖性与新产品购买意愿之间发挥完全中介作用；感知创新意义则会正向影响产品喜爱度，产品喜爱度在两者之间发挥部分中介作用。(3) 消费者创新性在产品喜爱度与购买意愿之间起正向调节作用，也就是说，创新性越高的消费者在购买新产品时受其态度影响更为强烈。

本文研究结论不仅丰富了感知产品创新的相关研究，明确了其对消费者行为的影响路径及作用机制，也为企业提升新产品开发绩效具有一定的现实指导意
义。（1）企业在创新实践中必须关注消费者对创新的主观感知，已有研究多次指出技术领域专家和消费者看待创新的方式是不同的。因此，企业不能仅埋头进行技术创新，还需要研究消费者对产品创新的主观感知，其的协同配合才能确保创新价值的有效实现。（2）为确保消费者对新产品的偏好，企业应采取一定措施努力把新产品促销度控制在目标消费者所能接受的“适中”水平上，如在宣传方法上融入类比、心理模拟等方式，以便让消费者更好地理解新产品的功能，降低因新颖度较高而产生的不确定性。（3）企业在新产品开发中应通过细致的市场调研、客户观察和一线销售人员反馈等途径了解消费者对产品需求信息和特征，以便使新产品的契合消费者的期望。（4）个体创新性较高的消费者极有可能是新产品的早期购买者和传播者，企业在新产品推广中应格外关注此类消费群体，并通过他们拉动和影响更多的消费者购买和使用该产品。

需要指出的是，本文还存在一定的不足：首先，本文从消费者行为角度探讨感知产品创新影响作用时，仅关注了感知产品创新对新产品购买意愿的作用机制，未来研究还需进一步深入探讨其对消费者的行为方式的影响作用，如口碑行为等。其次，本研究仅为科技类产品为先进行了调查和实证研究，同时在调查样本的选择方面也有一定的地域局限，未来研究应结合不同的研究对象展开，引入更多的产品类别（如娱乐型产品、服务等）以进一步考察感知产品创新的影响作用。以提高研究的效度和信度。再次，本研究主要关注了消费者对产品创新的感知，未来研究还需探讨组织层面，或企业的其他创新力如全面创新、开发性创新、探索性创新、模仿性创新等方面的感知创新性问题。

参考文献
The Mechanism Analysis of Building WeChat Business Platform

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ABSTRACT

One of the greatest feature of the Internet era, is to promote the development of the social innovation speed, make the business model is undergoing a profound revolution of thoroughly remould oneself, the deep revolution made drab and weakness of the traditional business model out gradually, has taken on a diversified development trend of flowers bloom, is becoming to promote industrial upgrading, promote innovation drive the development of new sources of power. Especially WeChat appear, not only become the new way for influence and change people access to information, but also gradually show a huge commercial potential and evolved into a kind of zhuo for effective commercial operation of the new platform. Related theory, based on the platform of WeChat specific analysis of the core value of business platform, and how to build a perfect WeChat business platform mechanism after thinking, think WeChat as containing the bilateral market platform ecosystem, its internal are born with a user community development, will naturally traction of the development of the other users benign circulation mechanism, this mechanism has a powerful business transactions. Therefore, this article aims to explore how to build a perfect WeChat business platform mechanism, so as to make the WeChat circle can fully like online shopping, shopping for online shopping, consumer better and activist, become people's consumption norm and important marketing channel.

Keywords: WeChat; Consumption norm; Marketing channels; mechanism
构建微信商业平台的机制探析

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摘要

互联网时代最大的特征之一，就是推进了社会创新的发展速度，使得商业运作模式正在发生着一场脱胎换骨的深刻革命。这场深刻革命使得单调乏力的传统商业模式逐渐摆脱了困境，呈现出了一种百花争艳的多元化发展趋势，正在成为推进产业优化升级，推进创新驱动发展的新动力源。特别是微信的出现，不仅成为影响与改变人们获取信息的新方式，而且也逐渐展现出巨大的商业潜力，演变成为一种卓有成效的商业运行新平台。

本文结合平台相关理论，通过对微信商业平台核心价值的具体分析，以及如何构建一个完善的微信商业平台机制的思考之后，认为微信作为包含双边用户市场的平台生态系统，其内部天生具有一个用户群体发展壮大的自然牵引另一方用户群发展壮大的良性循环机制，而这个机制具有强大的商业交易功能。因此，本文意在探讨如何有效构建一个完善的微信商业平台机制，从而使得微信圈购物完全能够与网购一样，让网络民众更好地购物、消费与维权，成为人们的消费常态与重要的营销渠道。

关键词：微信；消费常态；营销渠道；机制

1. 微信发展的趋势分析

近年来，随着移动社交媒体的快速发展，人们接触信息的途径在不断膨胀，商业运作模式也在迅速变化，其营销手段的触角不断延伸。市场的这种巨大变化，使得传统互联网商业运作模式，越来越不能满足企业日益扩大的生产需求，以及民众日益增长的消费需求。企业与消费者所具有的挑剔眼光，导致传统互联网商业模式已抓不住企业与消费者的心，社会影响力在不断下滑，陷入了高成本的运营困境，其商业地位遭受到巨大的挑战。而随着移动互联网的快速发展，以及移动智能终端的不断普及，越来越多的移动应用软件应运而生，占据了广大用户的碎片化时间。美国《纽约时报》曾撰文指出，微信的用户增长速度超过了 Facebook，这也让这款应用在如今全球最大的智能手机市场占有了统治地位。据相关资料统计，截止 2014 年 6 月，中国的手机网民规模首次超越了传统 PC 网民的规模，使得人们对于手机的依赖，已经大大超越了传统 PC 端的社交媒体①。因此，移动互联网不仅成为了影响人们获取信息的一种新方式，而且逐渐展露出了巨大的商业潜力，再一次改变了人们的消费习惯，使得许多网络民众逐渐利用微信圈
购物，将其作为一种自己日常生活中无限依赖的消费常态，以至于重要的购物渠道，形成了具有创新意义的新商业运作模式。

2011年1月，腾讯公司在经多年辛勤劳之后，隆重推出一款具有革命性的即时通讯软件——微信。微信是一种囊括多种工具的平台型产品，主要以移动平台为载体，其传受者角色经常互换，传播方式主要有三种，即个人传播、群体传播和大众传播。微信自诞生之日起，便抢先占据了移动互联网即时通讯领域的一方市场，并占据着举足轻重的位置，给移动互联网发展带来了一场深刻的商业革命。因为微信是最具未来性的社会性媒体平台，不仅具备媒体传播的属性，而且更具商业服务的属性。尤其是微信作为一种更快速的即时社交工具，信息传播到达率基本上为100%，从而使当今商业社会沟通与交流变得更加灵活、更加智能、更加便捷。总之一，微信这一具有强大社交色彩的移动互联网新产品的出现，正在逐渐打破商业信息传播的传统模式，改变着当下社会的人们生活方式、购买行为、消费心理与商业文化。

一般来说，微信与传统的短信互动沟通方式相比，表现出了更多的智能性、灵活性、广泛性与节省资费等特点，因而在的日常生活中，微信完全成为了兼顾多种功能的一款人们无限依赖的通讯工具。微信这款通讯软件的最大特点，就是完全依附于手机上，不仅具有支持发送语音消息、视频、图片、文字等功能，而且具有多名好友同时进行群聊的强大社会沟通功能，一举打通了电信通信和移动互联网的界限，极大满足了人们交换寂寞与互动交流的需求。特别是随着微信用户群体的日益庞大，“朋友圈”成为人们日常生活、交友互动的重要平台。例如，“扫一扫、摇一摇”已成为人们日常生活中的一种方式，正在孕育并衍生着巨大的市场商机，开创出一种全新的商业营销理念。消费者只要手握手机，扫一扫二维码关注微信公众号，就能足不出户地了解各种商业最新动态。因而不少业内人士纷纷表示，在未来市场的发展中，微信在赢得广大消费者的好感方面，其意义是非凡的。

正是由于微信不存在距离限制，用户在注册微信后，可与周围同样注册的“朋友”形成联系，用户相互订阅自己所需信息，而商家则可通过提供用户所需信息，大力推广自己的产品，从而实现了点对点的营销。例如，优拓互动的微信营销，包括微信平台基本构成搭建、微官网开发、营销功能扩展；另外还有一些微信会员卡，以及针对不同行业，如微餐饮、微外卖、微房产、微汽车、微电商、微婚庆、微酒店、微服务等个性化营销功能的开发，极大地促进了市场消费的繁荣，使得消费者接受商业信息的渠道越来越多元化，有利提高了消费者如何分辨商业信息的能力，这样也就要求商家在传播商业信息中，努力做到独特新颖，推陈出新。总之，微信营销这种新型商业运行模式，是网络经济时代营销模式的一种创新，是伴随着微信火热而兴起的一种网络营销方式，具有很高的商业开发价值。

据中国互联网信息中心的研究，直至2014年5月，大约有65%的中国网民使用微信。中国社科院发布的《2014年新媒体蓝皮书》指出，目前微信用户已达6亿，覆盖全国200多个国家和地区，国内外月活跃用户超过2.7亿。调查显示，使用率最高的用户群体为24岁以下，占比33.7%。收入结构中占比最高的是月收入3000元至5000元的中产阶层，占比32.0%。从微信的用户结构看，主体为社会大众消费主体，消费潜力较大，适宜开展普适性的大众营销。
活动。根据中国媒介市场的“亿效应”之说，当某个媒介用户规模达到了1亿以上的时候，该媒介将迎来发展的重大转折点。实际上，未来社会的竞争，不再是传统意义上的产品竞争，不再是营销渠道的竞争，而是资源整合的竞争，是终端消费者的竞争，谁能拥有更多的优质资源，持有广大的消费者用户，不管他消费什么产品，消费什么样的服务，你都能够盈利的时候，才能够保证你的利益，才能够在激烈的市场竞争中立于不败之地。

总之，近年来，随着微信相继推出了开放平台、二维码服务与公共账号之后，逐步加速了构建移动互联网商业平台的步伐，逐渐形成了一个人与物、物与物的社会沟通主基调，使得移动互联网开始进入了一个商业平台化运营的重要发展阶段。而微信的出现，不仅使得消费者使用媒体的时间更加碎片化，而且其注意力也被形形色色的媒体和信息所瓜分，这无疑为社会提供了一个崭新的商业发展契机。因此，人们在充分利用微信商业平台，建立庞大用户群体的同时，也使得如何构建一个完善的微信商业平台运行机制的探索势在必行。

2. 微信的优劣势与特征分析

微信商业平台主要体现在以安卓系统、苹果系统的手机，或者平板电脑中的移动客户端进行的区域定位营销，商家一般通过微信公众号平台，结合转介率微信会员卡管理系统展示商家微官网、微会员、微推送、微支付、微活动，现已形成了一种主流的线上线下微信互动商业新平台。特别是微信利用自身的创新、智慧与速度等特点，逐步深入并改变着人们的思维、观念与生活习惯，开创了一个新的社会化商务环境与营销模式，引领着社会经济发展的潮流与趋势。目前，市场上需用的微信营销模式主要有如下五种：其一，草根广告式微信营销模式；其二，品牌活动式微信营销模式；其三，O2O 折扣式的微信营销模式；其四，社交分享微信营销模式；其五，互动营销式微信营销模式。此外，微信作为一种主流的线上线下互动商业新平台，所具有的长处与优点归纳起来，主要体现在以下几点：

第一，微信互动商业平台，在本质上是一种点对点的精准营销方式，并具有位置签名的优势。微信拥有庞大用户群，可借助移动终端、天然社交和位置定位等优势，使每个商业信息都可推送到，完全让每个个体都有机会接触到这个商业信息，继而帮助商家实现点对点的精准化营销，极大提高了营销效率。此外，商家可充分利用“用户签名档”免费广告，为自己做商业宣传，而附近微信用户此时就能看到商家信息。如二维码，用户可通过扫描识别二维码身份，来添加朋友圈、关注企业账号。企业则可设定自己品牌的二维码，用折扣和优惠来吸引用户关注，从而开拓 O2O 的营销模式。通过微信开放平台，应用开发者既可接入第三方应用，也可将应用的 LOGO 放入微信附件栏，使用户可方便在会话中，调用第三方应用进行内容选择与分享。例如，美丽说的用户可将自己在美丽说中的内容分享到微信中，可使一件美丽说的商品得到不断传播，进而实现口碑营销。而在微信公众平台上，每人都可用一个 QQ 号码，打造自己的微信公众账号，并在微信平台上实现：第二，完全是实时推送，是一种一对一的营销模式。在移动互联网发展过程中，微博营销、人人营销虽然比微信互动商业平台先一步发展了起来，但作为后起之秀的微信互动商业平台，则更具有较强的实时性。因为在微博营销和人人营销上发布商业信息是被动的，用户完全不是实时在线，而就是因用户很可能不能及时浏览微博和人人页面，所以就完全失去了在第一时间内，有效获取商业信息的最佳时机，而那些过时的商业信息也将淹没在茫茫的微博信息海洋。
中。而微信互动商业平台则不同，微信互动商业平台可以实时在线，通过微信推送的商业信息到达手机后，用户会在第一时间得到手机的提醒，这就保证了商业信息的时效性。此外，那种对商业信息的实时推送，就好像朋友间的信息交流与沟通，当对方发过来信息时，就能及时查看他的信息，并且每次只能查看他一人
的信息，这就可有效保证与提高用户在查看商业信息时的专注度；第三，具有百分之百的商业信息到达率，功能形式多种多样。通过其他的手机平台，如微博与人
人进行营销，虽然受众者比较广泛，但是到达率则完全不高，商业信息很容易被淹没在茫茫的信息海洋中，而微信互动商业平台这种一对一的营销新方式，则可有效保证每个用户都能看到他的信息，从而实现百分之百的到达率。此外，微
信所具有的漂流瓶、签名栏、官方账号、公共平台等丰富的社交功能，为商家企业的营销提供了灵活多变的渠道，使得商家企业完全可根据自己的特点和财力情
况，选择适合自己的营销方式；第四，具有用户主导的理念，商业信息传播具有
高接受率。微信互动商业平台的最大特征，就是完全基于用户的许可，除非用户主动
通过扫描二维码或者输入帐号的方式，来添加品牌的官方微博，否则决不能收到来自这个品牌的所有微信信息，所以微信的粉丝质量远高于微博的粉丝质量。
因而只要微信互动商业平台发送信息的频次不要太高，发送的信息内容非常得当，就有可能获得广泛的忠诚客户。此外，根据相关部门的统计，由于手机
用户不断增加，目前微信用户已达 3 亿多之众。这么庞大的用户数量，给微信创
新提供了很好地发展空间，也是微信互动商业平台的最大优势。微信已经成为或者
将超过类似手机短信和电子邮件的主流信息接收工具，其所具有的广泛性和普
及性特征，成为了互动商业平台的坚实基础。特别是由于公众号的粉丝，都是
主动订阅而来，因而商业信息也是主动获取，完全不存在垃圾信息导致客户抵触
的情况发生；第五，具有庞大的客户数量，运行成本较低，具有高到达率与高曝光
率的特性，具有多元化的营销特征。传统的商业营销模式，一般需要借助大众媒
体或开展落地活动，因而商业营销推广的成本极高。而微信互动商业平台本身
就是免费使用的，因而团队组建、商业运营、监控管理的运行成本也相对较低。
此外，到达率和曝光率是衡量商业营销效果很重要的两个指标，而手机短信和邮
件群发极容易遭到被屏蔽，一般微信公众号群所发的信息内容，都能够
100%到达所有用户。微信互动商业平台还具有摇一摇、漂流瓶、附近的人、二
维码、朋友圈等特殊功能，而这些特殊功能，都能够成为每个企业营销的新方式。
这种多元化的营销方式与社会氛围，则可以有效拉近和用户的情感与心理距离，
使营销活动方式变得更加生动，更加有趣，更加利于商业营销活动的广泛开展；
第六，用户具有较强的黏性与高精度，使得 CRM 便利。微信互动商业平台
完全是建立在互信的基础上，是朋友间的交流与关注，因而对于推送的信息内容
更容易被接受，使得传播与推广的效果非常好，特别是便于忠诚用户向他人推荐
分享，一般黏性较强。尤其微信公众平台如果是用户主动添加的，黏性则更
强，流失率极低。此外，微信互动商业平台的用户，都是建立在许可式主动订阅
基础上，因而每个用户都是商家潜在客户，推送的信息也极易被接受。特别
是用户在关注微信互动商业平台时，商家就可有效获取到用户的性别、年龄、区
域等相关资料，这样就能根据用户的这些相关资料，按照消费需求投放不同的商
业信息。目前，微信公众号分为订阅号和服务号，尤其服务号适合做 CRM。由
于通过微信平台可以获得很多用户资料，所以非常便于建立客户关系管理，为后
续的微信营销推广做好了准备。

当然，任何事物都是一分为二的，有利有弊，有优势就有缺点与不足，是
一把双刃剑。微信互动商业平台诞生于网络社交高速发展的时代，由于该发展还处于起步阶段，所以就等同于淘宝电商起步阶段一样，仍然存在一些不足与许多弊端，表面的繁荣掩盖不了背后的危机，这也是为什么微信互动商业平台在转发活动也时常受到排斥的根本原因。导致这些问题产生的原因，分析与归纳以来，主要体现在以下几点：

第一，同质化的竞争越来越严重，使得商家企业迫切想通过嫁接进行营销，但垃圾信息由于被过分地渲染，加之商家企业频繁传递一些无聊、繁杂的商业信得到用户产生了心理排斥，造成了负面的商业影响。在这种情况下，商家企业要想与受众建立和睦的感情就比较不现实；第二，用户的体验感较低。微信的用户一般都是青年人，而越来越多的商家企业在实施微信营销时，由于过度热情，给用户带来许多干扰，加之无法满足顾客的个性需求，可能就减少了用户与商家企业的互动，使得用户的体验感下降；第三，无法有效保证用户的隐私安全。由于微信自身功能，如朋友圈、二维码都存在安全隐患，所以很有可能在使用中，用户不留意就会泄露了个人信息，如果管理不善，这些个人信息完全会被不法分子加以利用，用以传播不良信息，引发各种犯罪。这必然使用户无法确定网站的安全性，根本无法对商业信息做出正确判断，很可能导致用户企业上当受骗，遭受各种损失；第四，认证一直存在问题。一般公众号要求验证时，需有营业执照等证件或者 1000 个粉丝，但现在大家在朋友圈所见到的大多数是个人微信号，完全没有权威性，所以时常不被广泛接受。

通过以上微信具有的优势，以及微信核心价值的具体分析，可得出这样一个结论，即微信较之传统 PC 端的社会化媒体，其最大特征，就是让人们的社会关系从“弱关系”转向为“强关系”，通过好友的引入形成了一帮朋友圈，以及庞大的“在线”社交网络，将人们在现实生活中的关系延伸到了虚拟世界中。因而微信作为包含双边用户市场的平台生态系统，其内部天生具有一个用户群体发展壮大的自然前景，会自然牵引另一方用户群发展壮大的良性循环机制，而这个机制具有强大的商业交易功能。目前，微信的出现为各界商家、营销人士在微信上展开商业传播，进行交易互动等商业行为，提供了巨大的想象与发展空间，带来了无限的盈利商机。

3. 构建微信商业平台机制的思考

在移动互联网时代，将一个已有的盈利方式，植入到一个全新的媒体之中，既有的经验可循，也有多的探索之处。实际上，微信最有价值的东西，除了聊天的功能之外，就是朋友圈了。而微信到了这一点，微信营销就更是在朋友圈如此的疯狂，使其不仅拥有了巨大的社会价值与传播价值，同时也蕴含着极其可观的商业价值。目前，微信虽然已开始投入了市场的创新开发，步入了商业发展的新进程，其商业平台的机制并不鲜明，且面临着市场营销创新的瓶颈。微信作为一个以即时通讯功能为核心，主要融合包括了社交平台、开放平台、游戏平台、公共平台与电子商务平台等在内的五大业务模块，而这五大业务模块中，如何构建一个完善的商业平台机制，做出自己独有的特色，则是微信是否能够实现可持续发展的关键性要素，因而研究如何构建一个完善的微信商业平台机制，具有重大的理论价值与现实意义。

机制泛指一个系统中，各要素之间相互作用的过程与功能。在移动互联网发展中，用户基数广，成长快，是微信的内在要素，而微信就是用来营销的这一趋
势，成为构建微信商业平台机制的强大动力。构建完善的微信商业平台机制，在于通过优胜劣汰的竞争，着力推进我国产业优化升级，着力推进我国创新驱动发展，不断提高企业的服务效率，为经济社会的深入发展探寻新的增长点，为一步改善民生打下基础。因而此举可以上升到国家创新、探索新的经济增长点的层面与高度来思考，具有重大的现实意义与鲜明的政治目的。微信作为重要的社交平台，目前在互联网市场中关注度最高，具有较高的市场价值和巨大的产品营销潜力。虽然众多的企业纷纷尝试开展微信营销，但目前企业微信营销还仅停留在初级探索阶段，完全不具备规划性和战略性，特别是需要构建一个完善的微信商业平台运行机制。

目前，微信凭借着庞大的原始用户群，已展开的商业化领域，主要包括增值服务、移动游戏、移动营销、移动电子商务和移动支付等五个部分。此外，在这整个微信商业平台的生态系统中，还包括媒体、营销公司、企业、电子商务、应用开发者等企业用户群。而微信通过搭建社交平台和开放平台，将这两类用户群体之间的需求打通，并建立强大的互联网系统，就形成了一个“连接人与人”和“连接人与服务”的微信商业平台运行机制。在这个商业平台的运行机制中，微信直接连接了“个人用户”和“企业用户”，弯曲了原本垂直的价值链条，激发出双边市场的网络效应，满足了人际沟通、信息接收与传递的需求，达到了人们有效使用信息产品的目的。而作为微信的使用者，双方对于微信商业平台运行机制的发展，具有着等量贡献，维持着微信商业平台的可持续发展，并从中实现着商业的巨大盈利。

在市场运行的现实中，微信商业平台运行机制在不断扩大的过程中，会逐渐布局多地的盈利途径，使用不同的方式向市场各方群体收费，从而形成了多变性与盈利点多元化的特点。微信商业平台运行机制的根基，源自于双边市场体系的每个用户群体之间的需求互联所激发出来的网络效应。在这种机制下，微信的每个业务模块都会催生不同的赢利方式，而微信一方面需要为该群体提供更加完善的功能与服务，另一方面则需要找到在用户与企业用户之间建立连接的关键环节，从而设置一个合理的获利关卡。

构建一个完善的微信商业平台运行机制研究，虽然在未来有着广阔的空间与创新空间，但也面临着诸如怎样有效处理微信的商业化需求与用户体验之间的矛盾，以及个性化服务与用户隐私之间矛盾的问题。要想有效解决好这些问题，为构建一个完善的微信商业平台机制打好基础，创造良好的社会发展条件，需要建立一个以政府主导，企业为主体，民众积极参与的创新机制。

首先，作为机制中的主导，政府需要做好的工作，主要体现在以下几点：

其一，制定相关的政策法规，克服当前法律、法规间的矛盾，建立完善的运营制度，通过相应政策法规的支持来促进微信商业平台的发展，发挥政府宏观调控的作用。努力营造良好的政策与法制环境，积极鼓励微信的创新发展；其二，应发挥强大的大数据思维，加大财政投入的力度，加强公共基础设施的建设，提供覆盖全社会的免费 wifi，以及全面推动与发展 5G 网络系统，早日建立一个完善的连接人与物、物与物的开放性商业互动平台，不断提高全社会的公共服务效率；其三，提高安全防范意识，坚决打击网络犯罪，不断加强信息传播的安全性，保护好个人的隐私。因为要想让微信商业平台得到健康与良性的发展，只有防止不法分子诈骗钱财才是硬道理；其次，要严格依法行政，处理好政府与市场、政
府与企业、政府与公民的关系，为传统企业拥抱移动互联网提供闭环的解决方案，
发挥构建微信商业平台的积极作用，解决好微信商业平台运行过程中投诉多，维
权难，发展超重，监管缺位的问题，创造一个推动微信商业平台健康发展的社会
环境，把微信商业平台建成一个推动中国社会经济发展的强大引擎。

其次，作为机制中的主体，企业需要充分利用微信营销的精准性、互动性
与专业性等特长，有效解决消费者注意力稀缺、双方互动乏力、营销方式单一的
问题。因此，企业要想充分发挥微信的作用，有效解决如上的问题，就必须做
好以下几点：

其一，通过健全企业的参与以及利益表达机制，借助政府公共财政的转移
平台，做好中长期战略规划，不仅建立一个合理的补偿机制，而且积极开展企业
之间的合作，探索“成本共担，利益共享”的协助机制，构建一个低成本高精准的
商业互动营销平台，让微信营销与品牌运营同步拓展，积极分享竞争对手的市场
资源，全面推动我国的产业升级，早日建成信息社会；其二，在构建微信商业平
台的过程中，要求企业用户加强自律，勇于承担社会责任，以公众利益为重，积
极探索更多流量变现的路径，通过不断创新，完善微信作为“连接器”的互动环
境和公平交易机制，建立一个统一高效的第三方支付平台，形成强大的社会诚信机
制，将用户、微信平台的运营者与监督者联合起来，建立健全全面协调的治理机
制。

最后，作为机制中的积极参与者，公民需要努力提升网民媒介的素养，抵
制利益的诱惑，不做造谣者与传谣者，坚守法律底线，自觉遵守国家的各项规章
制度，实施理性消费与公平交易，在提供的商品或者服务信息中要真实准确，决
不虚假宣传与虚假表示，控制暴力刷屏，防止微信成为恶性销售平台，做一个
守法的公民，努力整合强弱关系链的多元化社会体系，不断完善网民的自律与评
判监督机制。

总之，在构建一个完善的微信商业平台过程中，只有把政府、企业与网民
三个层面的事情做好，在其放大效应的驱动下，让其各负其责，发挥不同的功能，
从而实现微信商业平台机制要素的重组与重构，以及资金流、物流信息流与知识
流的价值传递，最终形成一个政府合理引导，企业自发参与，网民多方认可的相
互依赖、互助合作的社会体系，使其微信商业平台模式得以创新。只有这样，才
能够在未来的移动互联网时代，有效构建一个完善的微信商业平台运行机制，全
面推进我国微信事业规范化与秩序化的健康发展，为我国经济社会的深入发展奠
定牢固的基础。

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Opinion Leadership Evolution in Consumer Advice Network
- The Role of Expectancy Cues and Network Structure

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ABSTRACT

Opinion leaders are influential nodes in networks, possessing more links than others. While previous research mainly focuses on identification and consequences of opinion leaders, surprisingly rare research addresses their emergence. To resolve this question, we divide the networks in which opinion leaders thrive into two categories, namely social networks and consumer advice network. Compare with social networks (e.g. Wechat), consumer advice networks (e.g. Meilishuo, Mogujie) have more prominent properties of information sharing and acquisition with network links reflecting information flow instead of interpersonal relations. Based on this context, we investigated the effect of information generating and network structure on link formation and opinion leadership emergence. Empirical analysis derived from 13-year-long network evolution data indicates that (1) information generating and sharing can positively improve the probability of link formation and thus the accumulation of links, resulting in higher opinion leadership; (2) high-quality negative information exerts stronger influence than positive information; (3) network structure variables, such as preferential attachment, structural equivalence, reciprocity and similarity are also good predictors of link formation; (4) the magnitude of effect brought by information generating and network structure varies for opinion leaders and non-opinion leaders.

Keywords: opinion leader; consumer advice network; expectancy; network structure
消费咨询网络中意见领袖的演化机制研究——预期线索与网络结构

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摘要

意见领袖是社会网络中具有重要影响力的节点。比其他人拥有更多的网络关系，以往的研究主要关注的是意见领袖的识别和影响。而对于意见领袖的形成机制却少有探讨。为了回答这一问题，本文首先将意见领袖的网络化为社交网络和消费咨询网络；与社交网络（微信）相比，消费咨询网络（美丽说、蘑菇街）信息分享和获取的特点更为突出，并且网络关系不再是现实人际关系反映，而是代表了信息的流动。在这种研究背景下，本文分析了网络节点的信息创造和网络结构对于网络关系构建以及意见领袖形成的影响。基于十三年的网络演化数据的实证分析显示：（1）创造和提供信息能够显著地提升关系构建的概率和关系数量的累积，从而推动意见领袖的形成；（2）并且高质量的负面信息所带来的效果更大；（3）偏好连接、结构等价、互惠性和相似性等网络结构变量也能够很好地预测潜在关系建立的概率；（4）从最终网络关系演化的结果看，信息创造和网络结构对意见领袖和非意见领袖的关系构建影响力大小存在差异。

关键词：意见领袖；消费咨询网络；预期；网络结构

1. 引言

随着web2.0技术和社交网络SNS（social network site）的兴起，人们之间的联系越来越密切，互联网中种类繁多、规模庞大的虚拟社会网络应运而生，例如注重社交互动的微信、注重信息分享的微博、注重购物分享的蘑菇街等，这大大改变了人们交流和沟通方式。在这些虚拟社会网络中，往往存在着一类用户，他们拥有数量众多的粉丝，其发布的言论影响广泛，往往被称为意见领袖（opinion leaders）。例如新浪微博中的“大V”，粉丝少则几百万，多则几千万，其发布信息的覆盖人数甚至超过了主流报纸的发行数量。为此，很多企业对虚拟社交网络上的意见领袖也非常关注，一是试图通过关注意见领袖的信息传播来了解消费形
态和舆论趋势，二是希望借助意见领袖的影响力来影响其粉丝，激发口碑传播的社会化营销。

意见领袖最早由 Katz and Lazarsfeld（1955）提出，用以解释媒体传播和大众观念形成的关系，而社会学、营销学等学科也早在上世纪七八十年代就对其进行了研究（King and Summers，1970；Levy，1978）。随着互联网的发展，对这一概念的研究也越来越深入，相关研究主要集中在识别社会网络中的意见领袖以及意见领袖会带来什么样的影响。在识别意见领袖方面，以往研究主要关注了在社会网络中那些用户是具有影响力的，这些以及影响者与被影响者之间的互动关系（Trusov and Bodapati，2010），而在意见领袖产生影响方面的研究非常多，比如意见领袖对新产品扩散的作用（Iyengar and Van den Bulte，2010）、对新技术采纳的影响（Miller and Mobarak，2014）、对社会观点形成的作用（Watts and Dodds，2007）等等。然而，对于意见领袖本身是如何形成的，也就是它的前因却少有关注。问题是，在社会网络中意见领袖并不是从来就有的，而是存在一个从有到无、从小到大的动态演化过程，如果不能深入理解意见领袖的形成机理，企业就很难利用意见领袖开展所谓的社会化营销。

为什么之前的文献较少涉及到意见领袖的形成机制研究呢？一个很重要的原因是，在以往文献中研究的网络是一种与现实生活紧密联系的社交网络，网络关系往往是现实人际关系反映（例如微信），意见领袖影响力的大小是个人的资源禀赋和社会地位等内生因素所决定的，其演化过程比较缓慢（Myers and Robertson，1972），因此很难观察和研究意见领袖的形成机理。但是在互联网环境下，存在另一类网络，在这种网络中网络关系不再是人际关系的反映，而主要代表了信息的流动，在本文中我们将其定义为消费咨询网络（美丽说、蘑菇街、微博）。这种脱离现实人际关系的消费咨询网络具有快速演变的特性，在这样的网络中意见领袖的形成更多是与用户在网中的活动紧密相关的，例如微博中很多依靠创造有趣内容而成为“网红”的“大 V”（Kossinets and Watts，2006；Palla et al.，2007）。

为了进一步理解意见领袖的形成这一问题，本文首先对不同的网络形态进行了划分，提出了消费咨询网络这一概念，突出了咨询网络中生人关系和信息导向的特点。在消费咨询网络的背景下，本文提出了两类影响意见领袖形成的因素，分别是基于预期的网络节点的信息创造和网络结构，信息创造突出的是意见领袖作为网络中信息的提供者，其提供信息的量和质量推动关系的建立，吸引“粉丝”；而网络结构的影响则凸显的是两个节点现有结构关系对新关系建立的影响。最后，本文利用真实网络演化数据对意见领袖的形成和上述因素的影响进行了实证分析。

2. 相关研究和研究假设

2.1. 相关研究：意见领袖的识别及其影响

意见领袖作为社会网络中有影响力的节点，对于网络其他成员的行为和网络整体变化具有重要作用，所以以往对于意见领袖的研究关注较多的是意见领袖在网络中的识别和意见领袖带来的影响。对于意见领袖的识别而言，主要是依靠某些指标来判断网络节点的影响力，影响力较大的则被认为是意见领袖；而对于意
意见领袖的影响，以往学者主要研究的是意见领袖的行为对其他人的示范和带动作用。

意见领袖的识别。一般而言，意见领袖包含三个层次：首先，意见领袖具有一些人格上的特质，例如是让人信服的，甚至是充满魅力的；其次，意见领袖必须在某一或某些方面具有丰富的专业知识，成为这方面的专家；最后，与其他网络相比，意见领袖拥有更多的网络关系（Goldenberg et al., 2009）。显然，在识别意见领袖的时候，前两种属性是很难被观测到的，他们是意见领袖所具有的内在特质。而第三种属性，也就是网络关系的数量则很容易观测、计算和划分，因此也被用于很多研究作为划分意见领袖的标准。在确定意见领袖时，以往用到的关系包括网络中节点的度（degree）、现实中的朋友关系、咨询参考关系等等（Goldenberg et al., 2009; Iyengar and Van den Bulte, 2011）。用这种方法确定识别意见领袖的合理性在于，虽然网络关系的数量只反映了意见领袖的一个方面，但是在大部分情况下，其它两个方面与其的相关性是非常高的，那些在社会网络中占据大量网络关系的节点也是网络中最有声望和能力的节点。除此之外，一些研究中还用到了自我报告（self-reported）的方法识别意见领袖，即被研究对象对自己在群体中多大程度上是意见领袖做出评价；还有一些学者则是从网络节点的实际影响力出发，计算出所有节点的影响力，选取一定比例的最高影响力的节点作为意见领袖（Trusov and Bodapati, 2010; Aral and Walker, 2012）。

意见领袖带来的影响。在社会网络中，意见领袖最为显著的作用是推动创新的扩散和采用。这主要是因为如果意见领袖采用了某项新产品或新技术，就会起到重要的示范带动作用，进而刺激其他网络成员也采用该项创新（Iyengar and Van den Bulte, 2011; Watts and Dodd, 2007; Van den Bulte and Joshi, 2007; Goldenberg et al., 2009）。需要指出的是，意见领袖对社会网络中其他人所带来的影响主要是通过网络关系来实现的，即只有与意见领袖建立了关系才会受到其影响，例如社会网络中的社会学习（social learning）就是与中心节点基于与意见领袖的关系进而学习其行为，再如扩散模型中的门槛模型（threshold model）的基本假设也是基于中心节点与其他节点的网络关系。由此可以看出，网络关系不仅仅是识别意见领袖的重要标准，也是意见领袖影响力的基础和本质体现（Ho and Dempsey, 2010）。除此之外，还有其他学者研究了意见领袖对于公众舆论涌现的作用，这类研究认为社会舆论的传播存在两阶段特征，意见领袖会首先接受某些舆论观点，进而传播给更广泛的社会大众，因此意见领袖具有引导社会舆论的重要作用（Watts and Dodds, 2007）。
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<td>2010</td>
<td>社交网络</td>
<td>社交网络用户 20%的用户对其存在影响</td>
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<tr>
<td>Aral S. &amp; Walker D.</td>
<td>2012</td>
<td>社交网络</td>
<td>男性比女性更有影响力，意见领袖与非意见领袖相比不易受到影响</td>
</tr>
<tr>
<td>Bulte C. et al</td>
<td>2007</td>
<td>仿真网络</td>
<td>意见领袖和模仿者组合的市场结构造成扩展曲线早起的波谷</td>
</tr>
<tr>
<td>Watts D. &amp; Dodds P.</td>
<td>2007</td>
<td>仿真网络</td>
<td>社会舆论的涌现主要是受大规模易受影响群体的驱动，而不是意见领袖</td>
</tr>
<tr>
<td>Goldenberg J. et al</td>
<td>2010</td>
<td>社交网络</td>
<td>意见领袖分为创新型和跟随型两种，创新型提高扩散速度，跟随型扩大总体市场</td>
</tr>
<tr>
<td>Iyengar R. et al</td>
<td>2011</td>
<td>社交网络</td>
<td>意见领袖的新产品用量和其他人对意见领袖的感知推动了新产品扩散</td>
</tr>
</tbody>
</table>

资料来源：本文作者根据文献研究整理

综上可以看出，网络关系是区别意见领袖和非意见领袖的重要依据，也是意见领袖与其他网络节点产生影响的重要途径。而在社会网络中，尤其是在虚拟社会网络中，意见领袖这种网络关系的累积和影响力的递增不是一蹴而就的，有一个不断演化的过程（Kossinets and Watts，2006；Palla et al.，2007）。那么哪些因素在这个过程中发挥了重要作用，影响了意见领袖关系的构建，以往研究并没有给与明确回答。对于网络关系的形成，以往的研究多从链路预测（link prediction）的角度来考虑，即根据某些指标计算所有潜在关系在未来构建的概率，并且根据概率进行排序，那些概率最高的潜在关系被认为最有可能建立，而用于计算的指标多为结构性指标，例如结构相似性、网络闭包等（Lü and Zhou，2011）。然而对于企业而言，尤其是企业在进行社会化媒体营销时，需要知道企业自身能够通过哪些努力来吸引粉丝关注，增加自身影响力。因此，我们需要从意见领袖本身的视角来回答这一问题，即意见领袖本身做了什么从而获得了大量的“粉丝”。

2.2. 研究背景：消费者咨询网络和意见领袖的形成

以往针对意见领袖的大部分研究都是以社交网络为基础，网络关系反映了现实生活中的社会关系，关系双方在现实生活中相互认识，网络关系的建立则是为了满足社会交互和情感支持的需要(Myers and Robertson，1972；Borgatti and Mehra，2009)。在这样的环境下，意见领袖的形成往往依赖于其原有的社会资源和社会地位，例如在一个组织中的意见领袖往往是职位较高的领导，而在一个社区中的意见领袖则是社区中资历较高的成员，因此这种内生的因素决定了社会网络中的意见领袖的形成。并且由于社会结构变化比较缓慢，进而也造成了嵌入式的意见领袖比较稳定(Childers，1986)。
但是，在互联网虚拟环境下，还存在着与社交网络有着巨大差异的网络。在这里我们将其定义为消费咨询网络（advice network）。咨询网络这一网络概念最初来源于组织行为学，其描述的是组织成员之间的信息交流关系，因而被叫做咨询网络（Stokman and Doreian, 1997）。与传统社交网络相比，消费咨询网络最大的特点在于其网络关系是与现实生活相分离的，网络成员具有匿名性，之间互不认识，是一种生人关系。更为重要的是，在消费咨询网络中，关系的构建主要不是为了满足社交的需要，而更多的是通过网络关系获取有价值的信息，因此关系本质上是一种流关系（flow），代表了信息的流动（Borgatti and Mehra, 2009）。

目前已经有相当多这样的网络，有线下企业自主打造的在线社区，如小米论坛；还有在线消费平台自创的社交网络，如淘宝网的来往、淘宝帮派；还有独立的第三方平台网址，如美丽说、蘑菇街等。在这些网络中，网络成员通常具有匿名性，网络成员在现实生活中的角色和社群资源也无法进入到社区中。并且网络成员也热衷于在匿名的方式下分享自己的购物和生活经验，与其他成员进行交流，积极参与到整个网络社区中。同时，消费者也会主动投入到这样的咨询网络中，搜索关于产品和服务的UGC信息，从而为自己的消费决策提供支持（Chevalier and Mayzlin，2007；Ludwig et al.，2013）。

表2 两种网络比较

<table>
<thead>
<tr>
<th>社交网络</th>
<th>消费咨询网络</th>
</tr>
</thead>
<tbody>
<tr>
<td>连接类型</td>
<td>社会关系，如朋友、血缘等</td>
</tr>
<tr>
<td>关系双方</td>
<td>相互认识，熟人关系</td>
</tr>
<tr>
<td>关系稳定性</td>
<td>关系较为稳定，变化较小</td>
</tr>
<tr>
<td>网络活动</td>
<td>社会交互，信息分享</td>
</tr>
<tr>
<td>成员需求</td>
<td>满足社交需求，获得情感支持</td>
</tr>
<tr>
<td>产生的影响</td>
<td>规范性影响，信息性影响</td>
</tr>
<tr>
<td>例子</td>
<td>微信、QQ、Facebook等</td>
</tr>
</tbody>
</table>

所以，在消费咨询网络中，意见领袖实际上承担了信息提供者的角色。这充分体现了意见领袖的第二个维度，也就是在某些方面，意见领袖应该具有更多的专业知识。例如当消费者面对新产品时，会寻找与新产品相关的意见领袖，寻求专业意见。在传统的社交网络中，这种关系表现为面对面的交谈或者通过其他方式的实际沟通（Iyengar and Van den Bulte, 2011）。在消费咨询网络中，消费者则会直接搜索相关产品的评论，以及网络中的意见领袖。例如在淘宝于2010年开发上线的淘女郎，就是一个典型的以消费意见领袖为主要传播载体的消费信息分享网络，这些意见领袖在网络中分享产品和服务的信息，并进行推荐，而作为普通消费者也会主动去寻找有价值的信息。所以从中不难看出，在消费咨询网络中，信息的创造和供给是意见领袖价值所在，也是其形成的核心要素。
意见领袖能够提供大量有用的信息时，其他节点才会对其关注，成为意见领袖的“粉丝”。从理论上来看，这体现的是网络节点生成内容和网络关系建立的互动，网络节点贡献的内容越多，就越能够吸引他人与自己建立关系；而关注粉丝越多，越能够激发网络节点贡献内容（Lu et al., 2013; Shriver et al., 2013; Goes et al., 2014）。所以在消费咨询网络中，信息是网络的核心，网络成员参与到网络社区的目的是为了获取有用的信息，而那些能够提供丰富有用信息的用户更能够吸引别人的关注，成为网络中意见领袖，由此而产生了意见领袖和信息之间的循环。

![意见领袖与信息分享](image)

图 1 意见领袖与信息分享

2.3. 网络关系的构建模式：预期线索与网络结构

**预期线索**

如前所述，在消费咨询网络中意见领袖的形成就是关系的构建和累积，那么从理论上来说网络节点为什么会与他人构建关系呢？在以往关于社会网络的研究中，网络节点被认为是资源或利益（benefit）的来源，而这种资源又可以被其他节点通过关系的构建所利用（Bala, V. and Goyal, 2000; Goyal and Vega-Redondo 2005）。例如某人在一个组织中是很有地位的，那么这个组织中的其他成员就可以通过与之建立关系，从而有可能利用这个人掌握的资源。例如，在我们所研究的消费咨询网络中，网络关系构建带来的好处是从从他人那里获得关于产品和服务的信息，帮助网络节点消除购买过程中的信息不对称。所以在网络节点考虑要不要建立关系时，他会基于对关系所带来资源的预期来做出决策（Schmidt 1973）。在消费咨询网络中，这种预期主要是针对信息，如果网络节点认为这条网络关系能够给其带来丰富而有价值的信息，那么其构建关系的可能性就比较大。

因此在消费咨询网络中，从关注节点的角度看，他们之所以选择关注其他节点，是因为他们可以自己所关注的节点那里获得所需要有价值的信息。而从被关注节点的角度看，他们之所以获得了他人的关注，是因为他们成变成了一个有价值的信息源，能够足够有质量的信息来吸引这些“粉丝”。这种信息贡献和网络关系构建的互动已经得到了一些实证研究的验证，一般而言用户的所发布的内容越多，与之建立关系的其他用户也越多；并且反过来，更多的关系也会激励网络内容的创造(Shriver et al., 2013; Goes et al., 2014)。更进一步来说，一些网络用户之所以会主动地无偿地向网络社区中贡献信息，一方面是因为有些人可以从
这种信息分享行为本身获得乐趣；另一方面，信息分享也是网络用户在社区中进行自我形象构建的重要手段，这些信息往往会增加他们在社区中声誉（reputation）和影响力（Wasko and Faraj, 2005）。例如某些新浪微博草根用户在成为“大 V”之前，他们并不具有知名度，但是通过提供大量的有价值的内容，他们也成功地积累了属于自己的粉丝群体，成为这个群体的意见领袖。可见用户发布的信息是吸引其他人关注的重要原因，因此我们假设：

**H1a：** 网络用户发布的内容越多，与之建立关系的就越多，就越有可能成为意见领袖。

除了信息的数量对关系的构建产生影响外，信息的质量会不会也存在一定的作用呢？以往对用户创造内容的研究表明，文字内容的数量很重要，内容的具体特征也同样具有很大的影响力，例如网上评论的文本特征会对消费者的购买决策产生显著影响，这些文本特征包括效价(valence)、语言风格(inguistic style)、情绪(sentimentality)等(Ludwig et al., 2013)。其中研究较多的是网络评论的效价所带来的影响，Chevalier and Mayzlin (2007) 对亚马逊的研究表明负面的网络评论会显著地减少消费者的购买，并且负面的评论影响力往往比正面的评论更大。从心理学方面的机制来看，批评性的、负面的言论往往会被感知为更聪明、更有知识以及更有用(Moe and Trusov, 2011)。以往的研究情境主要是针对网络购物，因此负面的内容可能对消费者评价商品更为重要。在这里我们考虑是网络关系的建立，所以内容的正或负面可能都会产生的影响，因为其代表了一种观点的鲜明程度。因此我们假设：

**H1b：** 网络用户发布内容的观点越鲜明，与之建立关系的就越多，就越有可能成为意见领袖。

**网络结构**

以往文献中对于网络关系的构建多从网络结构角度来考虑，即利用当前网络结构变量来预测未来潜在关系的可能性，从而寻出这些在未来最有可能建立的网络关系。这种研究视角对于我们理解网络关系的演化非常重要，但是对于企业而言，尤其是当企业要主动地来吸引“粉丝”，提高自身影响力时，这些网络结构变量显然很难回答企业的问题，因为企业无法人为地去改变网络结构。但是作为嵌入网络结构的节点在构建关系时必然会受到其周围网络结构特点的影响，这种影响是客观存在的，所以我们在分析网络关系构建时也将以往文献中提出的网络结构变量纳入分析范畴，这些变量主要包括偏好连接（preferential attachment）、相似性（similarity）、结构等价（structural equivalence）和互惠性（reciprocity）（姚铮等，2013；杨震宇等，2013）。

偏好连接描述的是在社会网络中那些具有更多关系的网络节点更可能吸引其他节点与之建立关系，类似于“强者愈强，弱者愈弱”。这种现象已经在很多不同的网络中得到证实，例如学者合作网络、互联网网站等（Barabási 2012；Barabási and Albert 1999）。出现偏好连接这种现象的主要原因是因为网络节点在构建关系时会搜寻网络中的明星节点（star），与这样的明星节点构建关系所带来的价值要高于与普通节点构建关系所带来的价值，而网络关系数量的多寡则成为了判断明星节点的重要标准（Goeree et al., 2009）。结合到意见领袖的形成，这种偏好连接的现象似乎更为普遍，例如我们在加入到某个网络中时（如新浪微博），
首先都会搜寻那些最知名的最有影响力的 (Wasko and Fara, 2005)。因此我们假设：

**H2a：** 网络用户的已有关系越多，与之建立新的关系的就越多，意见领袖水平也越高。

除此之外，网络成员之间的相似性（similarity）也会成为预期形成的重要因素。网络成员会由于处于相似的网络位置而产生在不同维度的相似性，例如行为、观念等(Cpherson et al., 2001)；同时这种相似性也会带来成员之间的信任，往往相似的网络成员之间更容易发生交往和建立关系。在消费咨询网络中，网络用户越相似，那么说明用户在网络行为上有很多共同点，例如他们有着相似的兴趣点，因此网络用户更有可能从相似的其他用户中获得其感兴趣的信息。因此我们假设：

**H2b：** 网络用户之间的相似性越高，建立关系的可能性也越大。

结构等价这一概念则描述的是两个网络节点在网络结构上的相似性，具体地说就是两个成员与哪些共同的其他网络成员相连接(Burt，1987)。结构上的等价反映了网络结构的闭包特征（network closure），也就是网络节点之间紧密相连，这样的网络结构不仅有利于信息的传播，同时也能够推动网络中信任的形成，促进关系的建立(Yang et al., 2011；Burt，1992)。因此我们假设：

**H2c：** 网络节点间的结构等价会推动网络关系的建立，从而带来更高的意见领袖水平。

互惠性是社会关系的基本原则之一。互惠性意味着作为对友好行为的回应，人们会比一般人为的更加友好；相反的，在回应敌对行为时，也会态度更加恶劣，前者叫做积极的互惠性（positive reciprocity），后者叫做消极的互惠性（negative reciprocity）(Ernst and Gächter，2000)。在社会网络中，尤其是在有向网络（directed network）中，例如微博、Twitter 等，会存在一种连接互惠性（link reciprocity）(Wasserman and Faust，1994)，这是互惠性在社会网络中最直接的表现之一。具体来说对于节点 Vi 和节点 Vj，如果节点 Vi 与节点 Vj 建立了连接，那么这会增大节点 Vj 与节点 Vi 建立关系的可能性(Garlaschelli and Loffredo，2004)。据此我们得出以下假设，

**H2d：** 网络节点间的互惠性会推动网络关系的建立，从而带来更高的意见领袖水平。

本文总体假设研究模型如下：
图 2 意见领袖形成模型

3. 研究设计

3.1. 研究对象

为了验证本文所提出的假设，我们选取了 epinion.com 这一网站作为我们的研究背景，该网站由美国 eBay 公司创办，网站注册会员可以在其上面匿名发表关于各种商品和服务的评论，网站的性质类似于中国的蘑菇街、美丽说类似的购物分享网站，因此其特征符合我们对消费咨询网络的定义。该网站的用户可以关注其他用户，也可以被其他用户关注，关注后就可以优先看到其所关注用户发表的评论，所以对于该网站的用户而言，参与其中的主要目的就是为了获取关于产品和服务的相关信息。

数据收集

为了研究网中关系建立和意见领袖的形成过程，我们需要选取一定的网络用户，然后观察他们之间网络关系的建立。在这样的思路下，我们首先利用滚雪球的方法从 Epinion.com 的网站中抽取一定数量的节点，形成有 7000 个用户的用户样本库；然后从中随机抽取 200 个用户，形成我们的研究对象；最后抓取这 200 个用户的关系建立、网上活动和其他信息。

我们的数据收集时间是 2014 年 3 月，数据可以追溯到 2001 年 1 月，因此数据的时间跨度约为 13 年。时间跨度较长的时间序列数据为我们分析关系建立模式提供了丰富的数据点，同时也保证了研究结论的稳健性，这对于研究社会网络关系的形成变化至关重要。数据抓取完成后，剔除一个无效用户剩余 199 个有效用户。每个网络用户理论上都可以与其他用户建立 198 条关系。所以总体来说，我们的研究对象是这 199*198=39402 条潜在关系，研究问题是这些潜在关系是否建立，以及那些因素会影响关系的建立。

3.2. 变量构建

依据所收集的数据我们构建了一个面板数据，由于数据跨度时间较长，所以我们将每条观测的时间跨度设定为一个自然季度。数据中的应变量为关系建立的状态，如果在该季度关系未建立，该变量取值为 0；如果在该季度建立，取值为 1。
数据的另一部分为自变量，下面详细介绍自变量构建过程。为了标记方便，现做如下假设：用 $G(V, E)$ 表示所研究的网络，其中 $V$ 表示网络中的节点，$E$ 节点已存在的关系。现考虑某一潜在关系 $(v_i, v_j)$，其中 $v_i$ 是关注节点，$v_j$ 是被关注节点。

1. 预期线索。在前面的分析中，网络用户在关注意见领袖，建立关系时主要是受信息性影响，这主要包含两个方面，一个是意见领袖另一方发布信息的数量，另一个是信息中观点的鲜明程度。在 Epinion 网站上，对于每一个用户所发布的评论都有记录，因此这里我们用评论的数量表示网络用户发布信息的数量。此外，用户的每条评论都会在一个五分量表对产品和服务进行打分，一分表示最不满意，五分表示最满意，所以我们用打分来代表信息观点的鲜明程度，我们分别计算出打分等于五分和小于等于两分的评论数量，以此来代表正面观点和负面观点，并对打分求平均，来代表信息的整体观点偏向。

2. 网络结构。除此之外，我们还将以往文献中提出的影响关系建立的网络结构变量纳入分析。首先是偏好连接，这一概念反映的是网络节点已有的关系数量越多，那么其他节点与之建立关系的可能性也就越大，因此沿用以往的研究方法，这里我们用网络节点的度（degree）来表示已有关系的数量，来反映偏好连接这一因素带来的影响。

其次，对于相似性，以往的文献多用人口统计变量等指标来计算节点之间的相似性，例如性别、年龄等。但是我们在没有这些数据，不过在 Epinion.com 中，网站将发布的评论按照产品类别进行了分类，有的用户在某些类别评论数量更多，这反映了其兴趣点。因此我们计算了两个用户之间在不同产品类别上发布评论数量的欧氏距离，以此来测量相似性。

最后是网络节点之间的结构等价和互惠性。对于网络节点 $v_i, v_j$ 来说，如果二者有着结构等价，那么意味着两个节点与相同的其他节点相连接。而网络的互惠性是指两个节点之间一方建立与另一方的关系会促进反向关系的形成。其具体表示如下。假设网络中与某一节点 $v \in V$ 直接连接的点为 $N(v)$，其中 $N(v) = \{ v \mid \exists e \in E \ (v, v) \}$，令 $d(N(v))$ 为与 $v$ 直接连接的点的数量，所以结构等价就可以表示为：

$$ StruEquiv_t(v_i, v_j) = d(N_t(v_i) \cap N_t(v_j)) $$

$t$ 表示时间。而对于互惠性而言

$$ Rec_t(v_i, v_j) = \begin{cases} 1, & \text{if } (v_j, v_i) \in E \\ 0, & \text{else} \end{cases} $$

3. 控制变量。为了控制其他可能混淆的变量，我们尽可能多的将其他可能影响到消费者咨询关系建立的变量纳入考虑范围。具体来说包含以下变量：首先是关注节点的活跃度，因为更活跃的节点本身就更有可能建立关系，该活跃度我们用两个变量表示，一个是关注节点的活跃总数，另一个是关注节点在 $t$ 时刻的活跃总数；其次关注者的自身所具有的信息水平，也就是关注节点在 $t$ 时刻所发布的评论数量，这反映了关注节点的对专业知识的兴趣。

综合以上，我们给出了各个变量的含义和计算方法：
### 表 3 变量综述

<table>
<thead>
<tr>
<th>变量名称</th>
<th>变量计算方法</th>
</tr>
</thead>
<tbody>
<tr>
<td>关系建立_{t}</td>
<td>如果该潜在关系没有在 t 时刻建立，取值为 0；反之，取值为 1</td>
</tr>
<tr>
<td>评论数量_{t}</td>
<td>对被关注节点在 t 时刻的评论数进行加总</td>
</tr>
<tr>
<td>打分平均_{t}</td>
<td>将被关注节点在 t 时刻的评论打分求平均数</td>
</tr>
<tr>
<td>打分 ≤ 2_{t}</td>
<td>将被关注节点在 t 时刻的评论打分小于 2 的数量加总</td>
</tr>
<tr>
<td>打分 = 5_{t}</td>
<td>将被关注节点在 t 时刻的评论打分等于 5 的数量加总</td>
</tr>
<tr>
<td>度_{t}</td>
<td>将被关注节点截止 t 时刻的关注数加总</td>
</tr>
<tr>
<td>相似性_{t}</td>
<td>关注节点和被关注节点评论数量在不同类别上的欧氏距离</td>
</tr>
<tr>
<td>结构等价</td>
<td>与关注节点和被关注节点共同建立关系的节点数量</td>
</tr>
<tr>
<td>互惠性</td>
<td>如果被关注节点已关注关注节点，取值为 1；反之，取值为 0</td>
</tr>
<tr>
<td>关注节点关注总数</td>
<td>将关注节点截止 t 时刻的关注数加总</td>
</tr>
<tr>
<td>关注节点 t 时刻关注数</td>
<td>将关注节点在 t 时刻的关注数加总</td>
</tr>
<tr>
<td>关注节点 t 时刻评论数</td>
<td>将关注节点在 t 时刻发布的评论数加总</td>
</tr>
</tbody>
</table>

4. 实证分析

4.1. 模型

由于我们要研究的是潜在的关系是否建立，并且自变量又是随时间不断变化的，所以传统的线性模型或 logit 模型很难应用，因此我们主要使用了生存模型（survival model）。生存分析最初主要用于生物医学和可靠性分析，关注的是某一特定事件（event）发生时间的长短，在本文中事件则是指网络关系的建立。这一模型由于在处理时间变量时的优越性，后来被广泛运用到其他领域，例如犯罪学、经济学、社会学等等。生存分析在营销领域也有广泛的应用，多用来分析消费者决策和产品扩散 (Sinha and Chandrashekaran, 1992; Seetharaman and chintaguntasource, 2003)。

生存分析中应用比较广泛的是 Cox Proportional Hazard Model（Cox PHM），本文也主要用这种模型形式，其主要形式如下：

$$ h_{i}(t, X_{i}) = h_{0}(t) * \exp(\beta X_{i}) $$

(3)
这里 $h_i(t, X_i)$ 代表研究对象 i 在时间 $t-1$ 事件（event）未发生，而在时间 $t$ 发生的条件概率，$h_0(t)$ 代表事件在时间 $t$ 发生的基准概率，类似于线性模型中的常数项。$X_i$ 表示影响事件发生概率大小的协变量向量，在本文中主要是指中心线索、外围线索、关系规范和控制变量，$\beta_i$ 是协变量对应的待估参数。$\exp(\beta X_i)$ 表示变量对事件发生概率的影响，如果取值大于 1，表示变量会提高事件发生的可能性，如果取值小于 1，表示变量会降低事件发生的可能性。

4.2. 一般关系建立

首先我们对意见领袖形成过程中关系建立的一般模式进行了分析。为了更加直观的展示网络中关系的形成过程，我们将整个网络演进通过网络图方式呈现出来。我们将网络的演进分成了四个阶段，即网络建立初期（2001 年），然后每四年呈现一次。虽然这只是一个粗略的展示，但是从图中还是可以得出一些简单的观察结论：随着新的节点不断加入网络以及新的关系的形成，网络呈现出动态变化的过程；此外可以看出图中网络关系的形成是不均匀的，即有的节点建立的关系多，有的节点关系建立的少。我们将网络用户的网络关系入度（in-degree）进行了简单的频率统计。从频数分布图中可以看出，样本中的 199 个用户中，大部分建立的关系数量都小于 10，只有少部分用户建立了大量的关系，成为这个网络社区中的意见领袖。而我们的研究问题就是为什么是这些用户成为意见领袖。

![网络图示](image)
为了进一步量化地分析数据，我们基于生存模型对数据集进行了回归。本文使用了 R 软件（版本 3.1.0）对各变量的系数进行估计，使用的软件包为“KMSurv”和“survival”，一下是得出的各变量对消费者咨询关系建立的影响。我们首先估计的是 KM 生存曲线图，该生存曲线反映的是研究对象累计“生存”概率，生存表示事件未发生。截止我们数据收集，在 39402 条潜在关系中，建立了 847 条，建立的比率为 2.15%。从图中可以看出，随着时间的推移，累计生存率呈现不断下降的趋势，也就是潜在关系建立的累计可能性越来越大。但是这种下降的趋势是不断减小的，这意味着 Epinion.com 中的用户关系大部分是在用户注册后的短时间内建立的。根据这样一个关系建立过程，在整个研究的时间段末尾估计累计生存概率为 97.5%，即关系累计建立的概率为 1-97.5%=2.5%。

图 3 2001-2014 年网络演化及最终网络度分布图

图 4 关系建立概率估计

\(^{1}\)为了展示方便，截取了少量度大于 250 的用户
接着我们对影响关系建立的自变量的系数进行了估计，以下是估计结果：

<table>
<thead>
<tr>
<th>变量</th>
<th>模型 1</th>
<th>模型 2</th>
<th>模型 3</th>
</tr>
</thead>
<tbody>
<tr>
<td>评论数量</td>
<td>0.0048**</td>
<td>1.006</td>
<td>0.0017</td>
</tr>
<tr>
<td>打分平均</td>
<td>-0.0303</td>
<td>0.970</td>
<td>-0.0276</td>
</tr>
<tr>
<td>打分 ≤ 2</td>
<td>0.0479**</td>
<td>1.049</td>
<td>-0.0195</td>
</tr>
<tr>
<td>打分 = 5</td>
<td>0.0099***</td>
<td>1.010</td>
<td>0.0197**</td>
</tr>
<tr>
<td>度平方</td>
<td>0.0091***</td>
<td>1.010</td>
<td>0.0089***</td>
</tr>
<tr>
<td>度平方</td>
<td>-0.0000***</td>
<td>1.000</td>
<td>-0.0000***</td>
</tr>
<tr>
<td>相似性</td>
<td>0.0010***</td>
<td>1.001</td>
<td>0.0009**</td>
</tr>
<tr>
<td>结构等价</td>
<td>0.0062***</td>
<td>1.017</td>
<td>0.0059***</td>
</tr>
<tr>
<td>互惠性</td>
<td>4.2000***</td>
<td>66.49</td>
<td>4.2500***</td>
</tr>
</tbody>
</table>

注：*、**、***分别表示在 0.1、0.05、0.001 的置信水平上显著

在模型一中我们首先考虑了评论带来的影响，从回归结果可以看出评论数量对于关系的建立有显著的正向影响（hazard rate=1.006，P<0.05），这说明那些发布更多评论的节点会吸引更多的人与之建立关系，因此假设 1a 得到了支持。从网络结构来看，已经建立的关系会带来新的关系的建立（hazard rate=1.010，P<0.001），这与 2a 是一致的，即网络关系的建立存在偏好连接（preferential attachment）的特点。但是在将关系数量去平方项后，系数变为了负数，这说明这种影响并不是线性的，而是呈现边际递减的效果。除此之外用，户之间的相似性也对关系的建立产生了正向的影响（hazard rate=1.001，P<0.001），这说明两个相似的节点之间更有可能建立网络关系，因此意见领袖的“粉丝”一般都会与其拥有相似的兴趣。从关系规范的角度来看，结构等价之间的节点之间更有可能建
立关系 (hazard rate=1.017, P<0.001)，这体现了网络结构上的重合对于网络关系建立的促进作用，并且网络关系的互惠性对网络关系的建立具有很大的影响 (hazard rate=66.49, P<0.001)，其影响力远远大于其他因素的作用，这说明如果节点 A 关注了节点 B，那么节点 B 则非常有可能关注节点 A。为了检验这种互惠性影响力过高是否会对研究结果带来偏差，我们在后面对初次关系建立进行了稳健性检验。

在模型二中，我们进一步分析了网络节点评论的具体特征，并且将控制变量纳入回归，在对评论的特征分析方面，我们主要考虑了内容中所表达观点的鲜明程度，这主要反映在网络用户所发表的每个评论中的评分，这里我们把打分小于等于 2 分的评论视为表达的是负面的观点，打分大于 5 分的评论视为表达的是正面的观点。从分析结果来看，无论是负面还是正面内容对于关系建立的都有显著的差异，并且负面内容所带来的影响要大于正面的内容 (hazard rate 打分 <2=1.049> hazard rate 打分 >5=1.010)，这与以往的研究是一致的，并且将这两个变量纳入分析后，评论总量这一变量变化不显著，这说明评论的影响力完全可以分解为正面和负面两个方面，那些偏中性的评论影响非常小。并且将控制变量纳入回归后，以上这些系数的大小和显著性都没有较大变化。

在模型三中，我们对以上的分析结果进行了稳健性检验。因为通过分析发现，关系的互惠性会对关系的形成造成很大的影响。为了检验这一因素是否会对分析结果带来偏差，我们在模型三中只分析了初次关系的建立，也就是说关系双方之前未建立任何关系，这样就不存在互惠性的作用。从分析结果来看，在模型一、模型二中得出的结论在模型三中大部分成立。

4.3. 意见领袖与非意见领袖的对比分析

从一般的关系建立的分析可以看出，除了以往文献提到的一些网络结构变量会对关系构建产生影响，网络节点的发布内容和信息贡献也会吸引其他节点来关注自己，这充分说明了在信息咨询网络中，意见领袖可以通过提供丰富有用的信息来吸引关注、增加粉丝。为了进一步证明节点的发布内容和意见领袖形成的关系，我们对意见领袖和非意见领袖进行了对比分析。


接着，我们对意见领袖和非意见领袖评论的差异以及其与网络关系累计的联系进行了分析。为了直观展示发布内容数量和关系构建之间的关系，我们分别挑选了一个意见领袖节点和非意见领袖节点，将节点从注册开始后每个季度增加的关系数量 (关系增量) 和评论数量进行了统计，其中意见领袖节点 ID 为 “Majenta”，非意见领袖节点 ID 为 “Steven9988”，两个用户均于 2001 年 2 月注册，最终 “Majenta” 粉丝数量为 472，“Steven9988” 粉丝数量为 76。从柱状图可以看出，在时间维度上，网络节点单位时间内的关系增量与其评论数量存在非常明显的相关
关系，评论数量的增加伴随着关系数量的增加，并且评论还会存在一定的滞后效应，即当期的评论会带来下一期的关系。将所有节点的数据纳入分析后，我们发现评论数量和关系增量的相关系数为 0.49（p<0.001），评论数量和滞后一期的关系增量相关系数也达到 0.41（p<0.001）。

从上图也可以看出对于意见领袖而言，其评论数量要明显多于非意见领袖。为了检验意见领袖和非意见领袖的评论行为之间是否有显著差异，我们对这两类节点每个季度的评论数量进行了方差分析，从方差分析结果可以看出意见领袖每个季度的评论数量要显著的多于非意见领袖的发帖数量（M 意见领袖=2.98> M 非意见领袖=0.78，p<0.001）。
然后我们对意见领袖和非意见领袖两类节点的关系构建模式差异进行了分析，这里我们是将所有潜在关系按照被关注节点是是意见领袖还是非意见领袖分为两类，分别进行生存分析，以此来检验影响关系建立的因素在这两类节点关系构建中存在的差异，以下是分析结果：

从生存模型的回归分析来看，总体来说发表评论对关系构建的影响（信息性影响）意见领袖要强于非意见领袖，而网络结构对关系构建的影响非意见领袖要强于意见领袖。

对于信息性影响而言，1&2分评论和5分评论数量对于意见领袖的关系建立均有积极影响（hazard rate意领袖打分=2 =1.054，hazard rate意领袖打分=5 =1.008，p<0.01），但是对于非意见领袖而言，只有5分评论数量对于意见领袖的关系建立有积极影响（hazard rate非意见领袖打分=5 =1.022，p<0.01）。

对于网络影响而言，相似性对于意见领袖关系构建没有显著影响，但是对于非意见领袖有显著影响（hazard rate非意见领袖相似性 =1.001，p<0.001）；结构等价对于意见领袖和非意见领袖关系构建均有积极显著影响，但是非意见领袖影响系数大于意见领袖（hazard rate非意见领袖结构等价 =1.016，hazard rate意领袖相似性 =1.004）。

<table>
<thead>
<tr>
<th>变量</th>
<th>意见领袖</th>
<th>非意见领袖</th>
</tr>
</thead>
<tbody>
<tr>
<td>估计系数</td>
<td>hazard比率</td>
<td>估计系数</td>
</tr>
<tr>
<td>评论数量</td>
<td>-2.63e-03</td>
<td>0.997</td>
</tr>
<tr>
<td>预期线索</td>
<td>-9.42e-03</td>
<td>0.991</td>
</tr>
<tr>
<td>打分平均</td>
<td>5.24e-02**</td>
<td>1.054</td>
</tr>
<tr>
<td>打分 ≤ 2</td>
<td>7.85e-03**</td>
<td>1.008</td>
</tr>
<tr>
<td>打分 = 5</td>
<td>7.71e-03***</td>
<td>1.008</td>
</tr>
<tr>
<td>网络结构</td>
<td>-6.54e-06***</td>
<td>1.000</td>
</tr>
<tr>
<td>相似性</td>
<td>5.15e-04</td>
<td>1.001</td>
</tr>
<tr>
<td>结构等价</td>
<td>4.22e-03***</td>
<td>1.004</td>
</tr>
<tr>
<td>互惠性</td>
<td>3.74e+00***</td>
<td>42.166</td>
</tr>
</tbody>
</table>

注：*、**、***分别表示在0.1、0.05、0.001的置信水平上显著

2 由于在非意见领袖中，因存在互惠性影响的潜在关系较少，所以无法估计
并且从不同类型节点内部来看，对于意见领袖而言，负面评论对于关系构建具有更大的影响力（hazard rate_{意见领袖} = 1.054，hazard rate_{非意见领袖} = 1.008）；而对于非意见领袖而言，正面评论对于关系构建影响力更大（hazard rate_{非意见领袖} = 0.984，hazard rate_{意见领袖} = 1.022）。

从上面的分析结果可以看出，负面评论对于意见领袖的关系构建发挥了主要作用，但是对于非意见领袖的关系构建却没有显著影响。因此，这两种节点发布的负面评论是否有差异呢？因此最后我们对意见领袖和非意见领袖负面评论的文本质量进行了分析。参照以往文献，我们主要考虑了文本的全面性（comprehensiveness）和文本的可读性（readability）（Lu et al. 2013）。文本的全面性用每个文本中句子的个数表示，因此可以假设文本全面性取值越高，那么文本中所包含的信息也就越多。而文本的可读性则表示为：

\[ \text{可读性} = 0.4 \times (\text{句子平均长度} + \text{每百词难词数}) \]

这里的难词为包含三个及以上音节的词汇。从分析的结果看意见领袖节点所发表帖子的文本质量要显著的高于非意见领袖的帖子，这主要表现在帖子的全面性更高（M_{意见领袖} = 18.5 > M_{非意见领袖} = 15.5，p < 0.001），可读性更强（M_{意见领袖} = 17.1 > M_{非意见领袖} = 14.4，p < 0.01）。

4.4. 数据分析小结

基于以上数据分析，我们可以看出在消费咨询网络中网络节点发布内容、贡献信息对于吸引关系构建起和意见领袖的形成到了至关重要的作用。这种作用首先表现在，那些发布评论越多的网络节点更吸引其他节点对其关注，提升其影响力；并且从时间序列的角度看，网络节点发布内容的数量和其关系的累计存在明显的相关关系，而具有更多关系的意见领袖比非意见领袖发布了更多的内容，这充分说明了在消费咨询网络中，网络节点的内容创造是意见领袖形成的重要前因变量。除此之外，相比于中立或正面的内容，高质量的负面内容对于关系的构建影响力更大，这种影响机制在意见领袖上表现得更为显著。通过进一步分析可以
5. 结果讨论与管理启示

5.1. 理论价值

首先，本文丰富了社会网络的研究，将社会网络划分为传统的社交网络和消费咨询网络两类，二者最本质的区别在于社交网络的网络关系是一种社会嵌入关系，反映了人们在真实生活中的联系，因而是一种强关系；而消费咨询网络中的关系是一种虚拟关系，独立于现实生活而存在，因而是弱关系。并且在社交网络中，网络节点建立关系主要是为了进行社会交互，进而获得情感支持，而在消费咨询网络中，网络关系的建立主要是为了获取信息，网络关系承载的是信息的流动。

其次，本文深入探讨了社会网络中的关系构建，展现了网络的形成机制。网络关系是社会网络存在的基础，并且网络关系是一个不断演化的过程，而在不同的网络中，关系的形成有其内在的逻辑。对于消费咨询网络而言，网络的关系承担了信息获取的作用，因此网络用户最有可能和那些能提供丰富信息的人来建立关系，进而实现关系的价值。

再者，研究还丰富了我们对意见领袖的认知。基于现有的研究，我们探究了在消费咨询网络中意见领袖本身是如何形成的。我们发现那些最能提供丰富而有价值信息的网络节点最有可能成为意见领袖，越有可能提供充足信息的网络节点，则越有可能被关注，进而影响力也就越大。除此之外，网络结构也会对意见领袖的形成产生影响。

最后，我们还丰富了对于用户产生内容的研究，以往对于用户产生内容的研究更多的是关注其对消费者的购买决策的影响。而我们的研究显示，用户产生内容对于网络关系的建立和意见领袖的形成同样会产生作用。实际上，在社会网络中用户产生内容是一种重要的信息载体，那些提供大量用户产生内容的网络节点承担着信息供给的角色，是重要的信息源。

5.2. 企业启示

互联网从 Web1.0 进入 2.0，现在又进入移动互联网时代，消费者行为的 SoLoMo 化，即社交化 (Social)、位置化 (Location) 和移动化 (Mobile)，推动着消费决策的社会化，有 70% 的消费者依赖网络口碑信息作为信息来源和决策参考。为此，很多企业从传统的广告促销模式转向基于社交媒体的口碑传播模式，因此企业需要深刻理解消费咨询网络的演化机制和洞察意见领袖形成机制。

首先，可尽早地与潜在消费意见领袖建立信任关系，利用意见领袖的社会影响力扩大企业传播效果。消费意见领袖一旦形成很大影响力后，就会比较独立和
表现出专业性，这时的企业很难与其建立关系和介入影响这些意见领袖的信息表达，有时甚至对企业的信息表达出质疑和负面评价传播。这就要求企业尽早通过社会网络分析能够识别出潜在消费意见领袖，提前与其建立互动和信任关系。比如小米手机不断从社区活跃成员中聘任其作为论坛版主发挥其影响力，甚至招聘他们作为公司的内部员工。

其次，企业可以从消费者角度培养自己代理的意见领袖。意见领袖有其形成机制，企业完全可以本研究揭示的形成规律来培养自己的意见领袖，目前很多企业在新浪微博或者微信公众号，通过提供丰富而有趣的信息来吸引粉丝注意并建立关注。比如，小米手机将公司董事长雷军作为公司意见领袖代言人，并成立专门团队来运作其粉丝账号的日常信息发布和粉丝互动。

再次，企业应该适应社会化媒体特征，按照意见领袖的需求提供合适的信息，借助其影响力来为企业的营销活动服务。意见领袖作为消费咨询网络中重要的信息源，其发布的信息对其他网络成员存在重要影响。目前企业经常会借助这些意见领袖来为企业做宣传，例如依靠微博大V来转发企业微博。但是这些做法都略显生硬，且成效有限。正确的做法应该是企业了解意见领袖关注什么样的信息，从而可以主动提供相应的信息，借助意见领袖的流量进行信息的扩散，扩大企业的影响。这种从控制意见领袖到服务意见领袖的转变能够让意见领袖发布的信息更能迎合其粉丝的口味，自然效果事半功倍。比如，小米有专门创作团队，以社会化媒体形式对公司进行故事性创作，以满足意见领袖传播信息内容的需求。

最后，企业可以借助社会化媒体营造属于自己的消费者网络，建立企业的粉丝团。意见领袖的形成本质上来看实际上是一个圈子的构建，拥有共同兴趣的一群人围绕某些有影响力的意见领袖建立的属于自己的圈子，是网络模块化的体现。而企业可以利用这些网络用户的独特需求和行为模式，建立依附于自身品牌的网络圈子。例如目前小米构建小米粉丝社区就是一种圈子的构建，小米将自己的忠诚顾客集合起来，纳入到小米论坛中，建立一个以小米消费者为主的网络，一方面可以巩固其顾客群，另一方面又可以借助这一网络来扩散企业的营销信息，打造企业品牌。
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Service Quality Gap Model is Applied in Order to Improve the Teaching Quality in Private University

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ABSTRACT

Teaching quality is the lifeline of the survival and development of Private University, to strengthen the management of teaching quality is always the top priority in the work of Private University. As the teaching of University has four basic characteristics of service, in this paper, we construct the teaching quality gap model of Private University from the service quality gap model of service management. By this way, Private University can improve the quality of students' perception of the teaching service by reducing the 4 big gaps in the process of teaching management, and promote the improvement of the teaching quality of itself.

Keywords: Service quality gap model; Private University’s teaching; Perceived service quality
服务质量差距模型在提高民办高校教学质量中的应用

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摘要
教学质量是民办高校生存与发展的生命线，加强教学质量管理始终是民办高校工作的重中之重。由于高校教学具有服务的四大基本特征，本文借鉴服务领域质量差距模型，构建民办高校教学质量差距模型。文中民办高校可以通过缩减教学管理过程中的 4 大差距提高学生感知的教学服务质量水平，进而促进民办高校教学质量的提高。

关键词: 服务质量差距模型；民办高校教学；感知服务质量

早在 2007 年中国教育报刊发过著名民办高校校长的署名文章——走内涵式发展道路，这标志着民办高校在新形势下的战略选择。内涵式发展模式的本质是充分发挥民办高校的办学主体意识，遵循科学发展观，实现民办高校的可持续发展。其中明确民办高校的首要任务是提高教育质量。本文拟将服务管理领域的服务质量差距模型应用到民办高校教学质量管理中来，希望能为提高民办高校教学质量水平提供新思路。

1. 民办高校教学服务特性分析
服务是一种本质上无形的活动或过程，它在服务提供者与顾客的互动过程中同步生产和消费。大多数研究者认为服务具有四大基本特征，一是无形性，高校教学是由一系列教学活动构成的过程，无法直观展示或沟通，评价困难，一般都是以主观方式感知；二是差异性，高校教学活动受多种因素影响，教学过程和教学结果不固定、易变，如何保证教学质量始终如一是一项困难的挑战；三是不可分离性，高校教学中学生作为一种资源配置亲自参与，与学生的良好互动是教学中值得关注的事情；四是不可储存性，现场教学不能提前集中生产和储存，如果教师表现不佳不可重来。高校教学活动具有服务的四大基本特征，将服务管理领域的服务质量差距模型应用到民办高校教学质量管理中具有适用性。
2. 民办高校教学质量服务质量差距模型

图1 民办高校教学质量服务质量差距模型

服务质量差距模型是1985年由Parasuraman, Zeithaml and Berry[1]在《服务质量的概念模式及其对未来研究的意义》一文中首次提出，该模型作为服务组织改进服务质量和营利的基本框架，有助于分析服务质量问题产生的原因并帮助管理者了解如何改进服务质量。它是目前应用最广、最典型的一种服务质量分析模型。

在图1中，学生差距（差距5）是学生的期望服务和感知服务之间的差距，这种学生方面的差距是由学校方面的4个差距引起并决定的。差距1是学生期望与民办高校管理人员认识之间的差距，造成这一差距的主要原因在于民办高校还没有普遍重视学生期望或虽重视但不具备认知学生偏好的能力。差距2是民办高校管理人员的认识与其制定的教学设计（标准）之间的差距，产生这一问题的原因集中于教学管理人员对教学服务规范（标准）的重视不够。差距3是民办高校教学服务质量与提供的教学质量之间的差距，部分民办高校制定的教学服务规范（标准）过于苛刻，教师难以达到；相反有的民办高校制定的教学服务规范（标准）过于宽松，对教师和学生都缺乏吸引力。差距4是民办高校提供的教学质量与沟通之间的差距，对民办高校而言，这个差距的原因主要体现在内外沟通的脱节，招生宣传是民办高校重要的活动，招生部门如果不能把对学生的承诺及时传递给教学规范制定部门，承诺会因缺乏内部支持而难以兑现，这种现象目前在民办高校的沟通宣传中比较常见。

3. 民办高校教学质量服务质量差距改进途径

民办高校可以通过缩小教学工作中的四种差距以达到改善教学质量的目的，如图2所示：
图2：民办高校教学质量差距弥补目标

3.1 准确了解学生期望的措施

当代大学生最突出的特点是需求多样化和个性化，这给民办高校的教学管理带来很大的挑战，弥补差距1的主要途径是了解学生对教学质量的期望，可以从两方面入手。一是系统开展学生的需求调查。比如新生入学，除了新生家长报告会和对新生的入学教育以外，还可以持续开展新生学习需求调查。2013年，西安一民办高校采取问卷调查对本校9个教学系（部、院）28个专业3000名学生进行了本科生教学情况调查，统计结果显示，学生对本科教学的满意度整体上呈满意和较满意状态。在这样的调查中，除了保证信息的真实以外，关键是关注学生对教学不满意的地方法，认真倾听学生对教学活动的抱怨，学生的抱怨之处恰恰是我们提高教学质量的机会。二是保证顺畅的向上沟通渠道。向上沟通是了解学生期望的有效方式，有的民办高校专门设置校长接待日，校长亲自接待，每次选择不同院系的不同专业学生代表在餐厅边吃边聊，在完全放松的氛围下了解学生对教学活动的要求。

3.2 使制定的教学规范（标准）体现学生期望的措施

民办高校普遍每周召开一次教学工作例会，一般由分管教学工作的校领导、教务处、各教学系（部、院）分管教学工作的负责人、教学辅助部门负责人等参加，交流总结教学工作经验，集体研讨教学工作中存在的问题，寻求解决措施和办法。这样的举措可以加强教学管理，但是否能够提高教学质量？民办高校制定的教学规范（标准）应该建立在充分了解学生需求的基础上。这样才能保证教学规范（标准）的可行性和有效性，之后才是严格的执行。以学生为中心是教学规范（标准）的出发点，当教学规范不具体或采用的标准不能反映学生期望时，学生感受到的服务很可能非常糟糕[2]。各民办高校对此都有一致观点，差别体现在执行中。

3.3 使教学实绩达到教学规范（标准）的措施

教学实绩要达到教学规范（标准）体现在教师的能力、学校的设备和技术支
持三方面。教师的能力是关键，所以首先要让教师认可和理解教学规范（标准），尽量让教师对教学规范的理解准确一致。其次是对教师能力的培养，对教师进行培训，很多民办高校强调教师队伍的“双师型”，鼓励教师到企业锻炼实习，尤其是到一线去体验。现在越来越多的民办高校重视对教师的培训，不惜重金培养教师队伍。同时要完善对教师的管理制度，目前各个民办高校都把管理的重心放在教师身上，除了不断规范管理之外，对教师的激励办法也在不断调整。总之，民办高校正在采取各种办法提高教师队伍的整体素质。研究表明有许多关键因素不利于弥补此差距，这些因素包括员工不能准确理解自己在学校扮演的角色，教师不能处理好与学生的关系，学校不合理的奖惩制度和不完善的技术等。

3.4 使教学质量承诺符合教学实绩的措施

教学质量承诺符合教学实绩的关键是内外沟通的效果，向外的沟通影响新生和家长的期望水平，向内的沟通影响在校学生对教学质量的评价。要使教学质量承诺符合教学实绩就要诚信宣传，避免过度承诺。高校的口碑和形象由准确的定位和办学的特色和水平决定，绝不是来自自我的夸大。无论是招生宣传还是对内沟通，夸大的承诺会导致学生更高的期望，最终的结果是差距越来越大。

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Study on the Communication Content and Influence of Microblog Used by Liquor Enterprises based on Content Research

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ABSTRACT

With the development of mobile Internet technology, the contact of consumer and brand has the characteristics of diversity and fragmentation. Many liquor enterprises have opened the official microblog to expand the contact path. While, there is no theory guidance availed for practical campaign for liquor Enterprises. This research conducts an empirical study based on the communication content of liquor Enterprises microblog and examines the difference among strategies. The results showed that, there is difference in communication frequency and effect among enterprises: Yang he and Wu liangye do better. There is an apparent preference of microblog content for liquor enterprises, the most is community construction, and the least is action guidance. Although many liquor companies prefer community construction twitter, compared to the other two kinds of twitter, its communication effect is the worst, and the best is information providing. Therefore, liquor enterprises should release more twitters about information providing and increase the information value, so as to improve the communication Influence.

Keywords: Official Microblog; Communication Content Strategy; Microblog Influence
基于内容分析的白酒企业微博沟通内容类型与效果研究

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摘要

随着移动互联技术的发展，消费者与品牌的接触呈现多样化与碎片化的特征，众多白酒企业顺应环境变化，纷纷开通官方微博，拓展品牌与消费者之间沟通路径。然而，白酒企业的微博沟通实践活动中存在诸多问题，本研究以白酒企业官方微博为研究对象，运用内容分析法，探索白酒企业微博沟通内容类型与效果差异。研究结果显示：不同企业的微博沟通频率和沟通效果存在差异，江苏洋河和五粮液的沟通频率和效果较好；白酒企业官方微博在沟通内容上存在偏好，更青睐于发布关系建构型微博，其次是行为引导型，再次是信息提供型；从微博类型的角度看，尽管关系建构型微博频数最高，但沟通效果却最差，信息提供型微博最优，行为引导型居中。因此，企业官方微博应增加信息提供型微博，为粉丝用户提供更多信息价值，提高官方微博的沟通效果。

关键词：官方微博；沟通内容类型；沟通效果

微博等新媒体赋予企业面向消费者进行品牌沟通的新渠道（杨学成、兰泳，2014），越来越多的企业开通官方微博，实现品牌与消费者之间的对话，以提升品牌声誉（Eberle 等，2010），改善营销绩效（Tayal 等，2009）。《2014 年中国企业家新媒体白皮书》显示，中国 500 强企业和中央企业中，共有 211 家开通了微博，189 家开通了微信。过去十年，白酒企业主要通过电视媒体与消费者进行沟通，沟通形式以广告为主。然而，随着移动互联技术的发展，PC、手机占据了消费者大量时间，消费者与品牌的接触呈现多样化与碎片化的特征，众多白酒企业顺应环境变化，纷纷开通官方微博，拓展品牌与消费者之间沟通路径，实现与消费者的即时互动。

白酒企业官方微博沟通内容有哪些类型？不同类型内容沟通效果是否存在

1. 文献回顾

1.1 微博沟通内容研究

微博是一种基于互联网的社交工具，允许用户之间交换短篇内容，如句子、图像和视频链接等（Kaplan & Haenlein，2010），实现信息的实时分享。学者们从不同角度对微博沟通内容进行了分类。Lin&Pena基于贝尔（Bale）提出的互动过程分析法，对电视网络微博进行内容分析的基础上，将微博内容分为任务型信息和社交情感型信息，而任务型微博信息较社交型信息更多。我国学者阎幸、常亚平（2011），余伟萍，常亚平（2015）均采用了该分类标准。Lovejoy&Saxton（2012）对非营利性组织的微博内容进行了研究，并提出了ICA（Information，Communication，Action）分类框架，将微博分为信息提供型、关系建构型和行为引导型。信息提供型是指与企业动态、焦点事件以及利益相关者相关的信息；关系建构型又分为答谢与问候、时事新闻、回复公众问题及提问互动四个子类，其目的是与粉丝进行情感沟通以构建和维护关系；行为引导型信息包括宣传活动、捐款呼吁、销售产品、志愿者招募、投票、游说和倡导以及捐款事项等七个子类。该分类方式得到了杨学祥等（2014）的沿用和拓展，对不同行业的微博沟通内容进行了细分。

1.2 微博沟通效果研究

微博沟通效果是衡量沟通内容是否合理的标准，也是检验沟通策略是否有效的依据。那么如何衡量微博沟通效果？学者们主要从基于消费主观的感知和基于行为数据的分析进行衡量。阎幸、常亚平（2011）基于新浪微博，进行扎根分析，研究显示微博互动策略对品牌关系具有正面影响。因此，可将品牌关系作为衡量微博沟通效果的指标。金永生等（2011）研究发现，企业微博营销影响力效果与发布微博数量和粉丝数量正相关。薛健平等（2013）将转发数和评论数作为衡量微博沟通效果的指标，研究发现电商企业微博传播策略影响微博沟通效果。此外，余伟萍等（2015）也用转发数和评论数衡量微博沟通效果，研究发现，实用性产品和享乐性产品在企业微博沟通内容策略及效果上存在差异。杨学成等（2014）亦选择转发数和评论数评价微博沟通效果，研究发现：行为引导型微博
最容易获得更高的转发和评论机会，关系构建型相反，信息提供型最低。由于微博内容会引起粉丝的关注，转发与点赞行为，且众多学者都采用该指标测量效果，所以本研究也采用关注数、转发数和点赞数作为微博效果评价指标。

2. 研究设计
2.1 样本选取与数据收集
    本研究以《2014年中国50大白酒公司排名》为基础，选取了排行榜中的典型白酒品牌，包括五粮液、茅台、泸州老窖、江苏洋河、郎酒、剑南春、仙潭酒业、沱牌舍得、衡水老白干等9家白酒企业在新浪的官方微博作为数据采集平台，以保证样本选择的科学性。由于微博发布一段时间后转发数和评论数才会稳定（薛健平、余伟萍、牛永革，2013），因此，本研究搜集了以上企业3个月前的微博数据，即2015年3月1日至2015年3月25日之间的9家企业所有官方微博数据，包括微博内容、微博转发数、评论数和点赞数，共计772条微博数据。

2.2 研究方法

表1：白酒企业官方微博内容分类框架

<table>
<thead>
<tr>
<th>微博沟通类型</th>
<th>内容实例</th>
<th>定义</th>
</tr>
</thead>
<tbody>
<tr>
<td>信息提供型</td>
<td>企业信息</td>
<td>企业理念、管理层、合作伙伴等动态</td>
</tr>
<tr>
<td>关系建构型</td>
<td>问候感谢</td>
<td>节日或日常问候、表达对粉丝的感谢、祝福和爱等</td>
</tr>
<tr>
<td></td>
<td>新闻趣事</td>
<td>实事新闻、幽默笑话等</td>
</tr>
</tbody>
</table>

#五掌柜说事儿##五粮液牵手爱乐乐团，助推品牌国际化【春节】期间，
五粮液正式成为英国爱乐乐团国际首席合作伙伴啦！作为民族企业的代表，五掌柜希望借中国优质白酒与西方古典音乐的融合，激发大家找到品尝白酒和聆听世界级古典音乐间的和谐平衡，推动酒文化与音乐艺术的繁荣！此次牵手不同凡响哦！

听一首歌，不为旋律有多婉转，只为迎合心情，写一段文字，不为让谁读懂，只为一种记录。各位早安[心][阳光]

2015中国国际酒业博览会即将在泸州市举办。酒客们，还不快打好行囊过来品尝美酒。
| 反馈回复 | 针对粉丝的提问进行反馈 | 回复@小酒版收集: 仁者见仁[嘻嘻]  //@小酒版收集: 杜康最为有名 #醉里挑灯见月“明明是连机器人都懂得的事情，人们却为何总是忘记。” 暖暖的大白(●--●)，你爱上了吗? [爱你] O 微博视频 |
| 提问互动 | 提出问题，供粉丝讨论 |
| 知识哲理 | 生活常识、科学知识、人生哲理 |
| 产品或品牌推广 | 推广产品或宣传品牌 |
| 行为引导型 | 参与有奖 |
| 招聘或招聘信息 | 寻求商业合作伙伴，招聘人才 |
| 社会责任 | 发布企业的公益活动信息，倡导粉丝参与公益活动 |

#酒五之樽# 【五粮液-金壁圣宴】俗话说“才子配佳人，美酒赠英雄”，五粮液今儿特意带来专为“成功人士”打造的高端文化名酒——五粮液金壁圣宴! 它浓缩古窖精华，深选五粮真酿，饮之爽心神，回味余香飘溢。五粮液不得不称赞其为酒中珍品，点滴间尽显名门风范！

#衡水老白干 好礼闹元宵# 10点整的谜面来喽！能吃没有嘴 能跳没有腿 有河没有水 走路不后悔（打二字娱乐项目）呼唤你的小伙伴猜灯谜，30元话费等您拿哦！

沱牌舍得酒业 2015年春季糖酒交易会 洽谈地址：成都市武侯祠大街83号：太成宾馆 时间：2015年3月21日——2015年3月26日 联系人：张先生 联系电话：15982593388

#首选喜酒六年头# 作为第五届明星公民颁奖盛典晚宴唯一指定用酒，泸州老窖【六年头】将续助爱回家，陪伴，让家更温暖，于此同时也希望号召更多的企业或个人加入到公益事业中来。
果的信度。第四，正式编码，请两名编码人员进行正式编码，并评估编码结果
的信度。为了避免编码人员因疲倦而导致的编码错误，要求编码人员工作 1 小时
后休息 10 分钟，且每天的编码时间不超过 4 小时。本研究中，由于采取的两阶
段编码，编码结果的信度最低为 89%，最高为 92%，超过了 85%的阈限，因此，
本研究具有较高的信度。

3. 数据分析与结果

3.1 描述性分析

3.1.1 白酒企业官方微博沟通频率分析

描述性统计结果发现，在 9 家企业中，剑南春通过微博进行沟通的频率最高，
为 156 次；其次是茅台，沟通频率为 130 次；再次是衡水老白干和沱牌舍得，沟
通频率为 123 次和 116 次；江苏洋河和郎酒的沟通频率最低，分别为 25 次和
6 次。从沟通效果看，江苏洋河和五粮液的沟通效果相对较好，江苏洋河官方微博
平均转发数、评论数和点赞数分别为 184.83，17.83 和 15.08；五粮液官方微博
平均转发数、评论数和点赞数分别为 82.14，30.20，22.35。沱牌舍得、泸州老
窖、四川仙潭和郎酒的沟通效果相对较差。

<table>
<thead>
<tr>
<th>品牌名称</th>
<th>频率</th>
<th>百分比</th>
<th>平均转发数</th>
<th>平均评论数</th>
<th>平均点赞数</th>
</tr>
</thead>
<tbody>
<tr>
<td>剑南春</td>
<td>156</td>
<td>20.2</td>
<td>3.06</td>
<td>5.10</td>
<td>4.42</td>
</tr>
<tr>
<td>茅台</td>
<td>130</td>
<td>16.8</td>
<td>31.42</td>
<td>35.68</td>
<td>8.52</td>
</tr>
<tr>
<td>衡水老白干</td>
<td>123</td>
<td>15.9</td>
<td>11.28</td>
<td>12.02</td>
<td>2.99</td>
</tr>
<tr>
<td>沱牌舍得</td>
<td>116</td>
<td>15.0</td>
<td>0.69</td>
<td>0.86</td>
<td>0.99</td>
</tr>
<tr>
<td>五粮液</td>
<td>94</td>
<td>12.2</td>
<td>82.14</td>
<td>30.20</td>
<td>22.35</td>
</tr>
<tr>
<td>泸州老窖</td>
<td>74</td>
<td>9.6</td>
<td>0.69</td>
<td>0.43</td>
<td>1.30</td>
</tr>
<tr>
<td>四川仙潭</td>
<td>48</td>
<td>6.2</td>
<td>0.17</td>
<td>0.23</td>
<td>0.58</td>
</tr>
<tr>
<td>江苏洋河</td>
<td>25</td>
<td>3.1</td>
<td>184.83</td>
<td>17.83</td>
<td>15.08</td>
</tr>
<tr>
<td>郎酒</td>
<td>6</td>
<td>0.8</td>
<td>0.50</td>
<td>1.50</td>
<td>2.33</td>
</tr>
</tbody>
</table>

合计        | 772  | 100    | 23.80      | 13.39      | 6.33       |

3.1.2 白酒企业官方微博沟通内容偏好分析

白酒企业的官方微博发布内容存在偏好。在 9 家样本企业中，关系建构型微
博更受白酒企业青睐，其次是行为引导型，再次是信息提供型。其中，衡水老白
干、茅台和五粮液官方微博中，三种类型的品牌微博分布较为均衡，其他 6 家企
业更加关注关系建构型微博，如表 3 所示。
表3 公司名称* 微博类型 交叉制表

<table>
<thead>
<tr>
<th>公司名称</th>
<th>微博类型</th>
<th>合计</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>1</td>
<td>2</td>
</tr>
<tr>
<td>衡水老白干</td>
<td>22</td>
<td>61</td>
</tr>
<tr>
<td>剑南春</td>
<td>1</td>
<td>147</td>
</tr>
<tr>
<td>江苏洋河</td>
<td>2</td>
<td>18</td>
</tr>
<tr>
<td>郴酒</td>
<td>0</td>
<td>5</td>
</tr>
<tr>
<td>泸州老窖</td>
<td>4</td>
<td>68</td>
</tr>
<tr>
<td>茅台</td>
<td>47</td>
<td>65</td>
</tr>
<tr>
<td>沱牌舍得</td>
<td>7</td>
<td>103</td>
</tr>
<tr>
<td>五粮液</td>
<td>19</td>
<td>50</td>
</tr>
<tr>
<td>中国四川仙潭酒厂</td>
<td>1</td>
<td>46</td>
</tr>
<tr>
<td>合计</td>
<td>103</td>
<td>563</td>
</tr>
</tbody>
</table>

注：1为信息提供型；2为关系建构型；3为行为引导型。

从发布类型类看，白酒企业聚焦于关系建构型微博的发布，占总微博数量的73%，信息提供型和行为引导型的发布比例相当。在关系建构型中，知识哲理所占的比率为高，为总体的39.3%；其次是新闻趣事，为总体的15%；提问互动和问候感谢的发布比例相当，反馈回复的占比最少。在行为引导型微博中，产品或品牌推广所占的比率最高，为总体的9.7%；其次为参与有奖，占总体的3.2%。

表4: 白酒企业官方微博沟通类型及效果

<table>
<thead>
<tr>
<th>微博沟通内容分类</th>
<th>类型细分</th>
<th>频数</th>
<th>频率(%)</th>
</tr>
</thead>
<tbody>
<tr>
<td>信息提供型</td>
<td>104</td>
<td>13.3</td>
<td></td>
</tr>
<tr>
<td>关系建构型</td>
<td>563</td>
<td>73</td>
<td></td>
</tr>
<tr>
<td>问候感谢</td>
<td>60</td>
<td>7.8</td>
<td></td>
</tr>
<tr>
<td>新闻趣事</td>
<td>116</td>
<td>15</td>
<td></td>
</tr>
<tr>
<td>反馈回复</td>
<td>13</td>
<td>1.7</td>
<td></td>
</tr>
<tr>
<td>提问互动</td>
<td>71</td>
<td>9.2</td>
<td></td>
</tr>
<tr>
<td>知识哲理</td>
<td>303</td>
<td>39.3</td>
<td></td>
</tr>
<tr>
<td>行为引导型</td>
<td>106</td>
<td>13.7</td>
<td></td>
</tr>
<tr>
<td>产品或品牌推广</td>
<td>75</td>
<td>9.7</td>
<td></td>
</tr>
<tr>
<td>参与有奖</td>
<td>25</td>
<td>3.2</td>
<td></td>
</tr>
<tr>
<td>招商信息</td>
<td>2</td>
<td>0.3</td>
<td></td>
</tr>
<tr>
<td>社会责任</td>
<td>4</td>
<td>0.5</td>
<td></td>
</tr>
<tr>
<td>合计</td>
<td>772</td>
<td>100%</td>
<td></td>
</tr>
</tbody>
</table>
3.2 剔除奇异值

奇异值是由偶然因素干扰产生，使得数值发生非正常变化，从而导致研究结果发生偏颇。可采用两种方法剔除奇异值：第一种是“均值±3 倍标准差”，即大于或小于“均值±3 倍标准差”的值被判定为奇异值；第二种是盒形图，认为 1.5倍四分位距以外的数据为奇异值。由于以上两种方法各有千秋，本研究综合上述两种方法剔除各组转发数、评论数和点赞数的奇异值。当转发数、评论数和点赞数的各组数据均出现大于“均值±3 倍标准差”和 1.5 倍四分位距以外的数值，且标准差较大，将判定该类数据为奇异值。由于不同类型微博内容产生的转发数、评论数和点赞数可能存在差异，为了保证均值的稳定性，本研究将分别剔除各组转发数、评论数和点赞数的奇异值。剔除奇异值后，白酒企业微博不同沟通内容类型的转发数、评论数和点赞数的描述性统计分析如表 5 所示。从表 5 可以看出，剔除奇异值后各组转发数、评论数和点赞数的均值、标准差和全距均出现了大幅下降，表明剔除奇异值效果明显。

| 表5：提出奇异值前后描述性统计表 |
|-----------------|-------|-------|-------|
| 微博内容类型 | 剔除奇异值 | 转发 | 评论 | 点赞 |
|                | 均值 | 后 | 后 | 后 | 均值 | 后 | 后 | 后 | 均值 | 后 | 后 | 后 |
| 信息提供型 | | | | | | | | | | | | |
| N | | | | | | | | | | | | |
| 标准差 | 64.785 | 21.439 | 15.727 |
| 全距 | 63.121 | 20.270 | 15.557 |
| 均值 | 294 | 97 | 74 |
| 标准差 | 17.94 | 8.88 | 4.62 |
| 全距 | 16.90 | 8.08 | 4.43 |
| 均值 | 563 | 563 | 563 |
| 标准差 | 556 | 556 | 556 |
| 关系建构型 | | | | | | | | | | | | |
| N | | | | | | | | | | | | |
| 标准差 | 58.077 | 15.197 | 5.454 |
| 全距 | 57.569 | 12.467 | 5.193 |
| 均值 | 464 | 158 | 27 |
| 标准差 | 36.78 | 27.02 | 9.78 |
| 全距 | 29.90 | 19.92 | 9.44 |
| 均值 | 106 | 106 | 106 |
| 行为引导型 | | | | | | | | | | | | |
| N | | | | | | | | | | | | |
| 标准差 | 80.669 | 75.711 | 11.426 |
| 全距 | 38.639 | 19.999 | 10.912 |
| 均值 | 760 | 772 | 92 |
| 标准差 | 272 | 96 | 92 |
### 3.3 方差分析

本研究采用单因素方差分析探索四川白酒企业官网微博沟通类型对转发数、评论数和点赞数的影响。首先，对三组数据进行方差齐性检验。检验结果显示：转发数、评论数和点赞数的 Levene 统计量分别为 4.531, 36.193, 54.310, P 值均小于 0.05, 即各组数据方差不齐。其次，以微博沟通类型为自变量，以转发数、评论数和点赞数为因变量做单因素方差分析，分析结果如表 6 所示，转发数、评论数和点赞数的 P 值均小于 0.05，表明：在 95%的置信水平上，不同类型微博，沟通效果存在显著差异。

<table>
<thead>
<tr>
<th>表6: 单因素方差分析</th>
<th>平方和</th>
<th>df</th>
<th>均方</th>
<th>F</th>
<th>显著性</th>
</tr>
</thead>
<tbody>
<tr>
<td>转发</td>
<td>组间</td>
<td>56862.088</td>
<td>2</td>
<td>28431.044</td>
<td>9.012</td>
</tr>
<tr>
<td>总数</td>
<td>2454564.430</td>
<td>762</td>
<td>3154.872</td>
<td></td>
<td></td>
</tr>
<tr>
<td>组间</td>
<td>27930.602</td>
<td>2</td>
<td>13965.301</td>
<td>62.647</td>
<td>.000</td>
</tr>
<tr>
<td>评论</td>
<td>组内</td>
<td>169419.920</td>
<td>760</td>
<td>222.921</td>
<td></td>
</tr>
<tr>
<td>总数</td>
<td>197350.522</td>
<td>762</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>组间</td>
<td>6068.901</td>
<td>2</td>
<td>3034.451</td>
<td>44.506</td>
<td>.000</td>
</tr>
<tr>
<td>点赞</td>
<td>组内</td>
<td>51817.405</td>
<td>760</td>
<td>68.181</td>
<td></td>
</tr>
<tr>
<td>总数</td>
<td>57886.307</td>
<td>762</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

由于方差不齐，所以多重比较的统计方法应采用 Tamhane 检验进行组间分析，分析结果如表 7 所示：不同类型微博对转发数、评论数和点赞数的影响是一致的。在转发数方面，信息提供型显著高于关系建构型（Mean 信息提供型=42.08, Mean 关系建构型=17.93, P=0.002）；信息提供型与行为引导型不存在显著差异（Mean 信息提供型=42.08, Mean 行为引导型=37.17, P=0.404）；行为引导型亦显著高于关系建构型 (Mean 行为引导型=37.17, Mean 关系建构型=17.93, P=0.010)。在评论数方面：信息提供型显著高于关系建构型（Mean 信息提供型=23.73, Mean 关系建构型=8.88, P=0.000）；信息提供型与行为引导型不存在显著差异（Mean 信息提供型=23.73, Mean 行为引导型=27.30, P=0.665）；行为引导型亦显著高于关系建构型（Mean 行为引导型=27.30, Mean 关系建构型=8.88, P=0.000）。在评论数方面：信息提供型显著高于关系建构型（Mean 信息提供型=12.02, Mean 关系建构型=4.62, P=0.000）；信息提供型与行为引导型不存在显著差异（Mean 信息提供型=12.02, Mean 行为引导型=6.33, P=0.558）；行为引导型亦显著高于关系建构型（Mean 行为引导型=6.33, Mean 关系建构型=4.62, P=0.000）。由此可见，信息提供型微博和行为引导型微博的沟通效果均高于关系建构型，而信息提供型与行为引导型微博的沟通效果不存在显著差异。
表7：多重比较

<table>
<thead>
<tr>
<th>因变量</th>
<th>(I) 微博类型</th>
<th>(J) 微博类型</th>
<th>(I-J) 均值差</th>
<th>标准误</th>
<th>显著性</th>
<th>95% 置信区间下限</th>
<th>95% 置信区间上限</th>
</tr>
</thead>
<tbody>
<tr>
<td>转发数</td>
<td>Tamhan e 1</td>
<td>2</td>
<td>23.630*</td>
<td>6.665</td>
<td>.002</td>
<td>17.52</td>
<td>29.74</td>
</tr>
<tr>
<td></td>
<td>Tamhan e 3</td>
<td>2</td>
<td>10.303</td>
<td>7.270</td>
<td>.404</td>
<td>-7.23</td>
<td>24.84</td>
</tr>
<tr>
<td></td>
<td>Tamhan e 1</td>
<td>3</td>
<td>-23.630*</td>
<td>6.665</td>
<td>.002</td>
<td>-39.74</td>
<td>-7.52</td>
</tr>
<tr>
<td></td>
<td>Tamhan e 3</td>
<td>1</td>
<td>-10.303</td>
<td>7.270</td>
<td>.404</td>
<td>-24.19</td>
<td>7.23</td>
</tr>
<tr>
<td></td>
<td>Tamhan e 1</td>
<td>2</td>
<td>13.327*</td>
<td>4.511</td>
<td>.010</td>
<td>2.46</td>
<td>24.19</td>
</tr>
<tr>
<td></td>
<td>Tamhan e 3</td>
<td>2</td>
<td>14.947*</td>
<td>2.069</td>
<td>.000</td>
<td>9.94</td>
<td>19.96</td>
</tr>
<tr>
<td>评论数</td>
<td>Tamhan e 3</td>
<td>1</td>
<td>-14.947*</td>
<td>2.069</td>
<td>.000</td>
<td>-19.96</td>
<td>-9.94</td>
</tr>
<tr>
<td></td>
<td>Tamhan e 2</td>
<td>3</td>
<td>-12.072*</td>
<td>2.029</td>
<td>.000</td>
<td>-16.99</td>
<td>-7.16</td>
</tr>
<tr>
<td></td>
<td>Tamhan e 1</td>
<td>2</td>
<td>-2.875</td>
<td>2.799</td>
<td>.665</td>
<td>-9.61</td>
<td>3.86</td>
</tr>
<tr>
<td></td>
<td>Tamhan e 3</td>
<td>2</td>
<td>12.072*</td>
<td>2.029</td>
<td>.000</td>
<td>7.16</td>
<td>16.99</td>
</tr>
<tr>
<td></td>
<td>Tamhan e 1</td>
<td>2</td>
<td>7.320*</td>
<td>1.545</td>
<td>.000</td>
<td>3.57</td>
<td>11.07</td>
</tr>
<tr>
<td></td>
<td>Tamhan e 3</td>
<td>2</td>
<td>3.209</td>
<td>1.867</td>
<td>.558</td>
<td>-2.29</td>
<td>6.71</td>
</tr>
<tr>
<td>点赞数</td>
<td>Tamhan e 3</td>
<td>1</td>
<td>-7.320*</td>
<td>1.545</td>
<td>.000</td>
<td>-11.07</td>
<td>-3.57</td>
</tr>
<tr>
<td></td>
<td>Tamhan e 2</td>
<td>3</td>
<td>-5.110*</td>
<td>1.094</td>
<td>.000</td>
<td>-7.76</td>
<td>-2.46</td>
</tr>
<tr>
<td></td>
<td>Tamhan e 1</td>
<td>2</td>
<td>-2.209</td>
<td>1.867</td>
<td>.558</td>
<td>-2.46</td>
<td>2.29</td>
</tr>
<tr>
<td></td>
<td>Tamhan e 3</td>
<td>2</td>
<td>5.110*</td>
<td>1.094</td>
<td>.000</td>
<td>2.46</td>
<td>7.76</td>
</tr>
</tbody>
</table>

*表示均值差的显著性水平为 0.05。1为信息提供型；2为关系建构型；3为行为引导型。

4. 研究结论及管理应用

本研究以信息沟通理论为基础，以白酒企业官方微博为研究对象，采用内容分析法，构建了白酒企业官方微博沟通内容类型分类框架，在此基础上探索新常态下新媒体沟通策略与效果差异。研究结论如下：第一，不同企业官方微博沟通频率和沟通效果存在差异，江苏洋河和五粮液的沟通频率和效果较好。第二，白酒企业官方微博内容存在偏好：白酒企业青睐于发布关系建构型微博，其次是行为引导型，再次是信息提供型。第三，从微博沟通效果来看，虽然众多白酒企业倾向发关系建构型微博，然而，相对于其他两类微博，其沟通效果却最差。研究结果显示，信息提供型微博沟通效果最优，行为引导型次之。该研究结论与杨学成，兰冰（2014）的研究存在背离，其研究发现，行为引导型微博最容易获得更高的转发和评论机会，关系构建型次之，信息提供型最低。研究结论一致的原因可能是研究对象所属的产品类别不同，即实用性和享乐性产品在企业微博沟通内容策略及效果上存在差异（余伟萍，祖旭等，2014）。

随着新媒体的繁荣和白酒新常态的持续，白酒企业应拓展品牌与消费者的沟通渠道，从以往主要借助于传统媒体——电视广告来打动消费者，拓展至运用新媒体渠道实现品牌与消费者之间的互联。首先，白酒企业应加强与消费者的新媒体互动，提升官方微博沟通频率，吸引粉丝的关注，调动粉丝的自媒体作用，实现品牌信息的传播扩散，从而提升品牌影响力。其次，白酒企业在进行微博沟通
时，应提高信息提供型和行为引导型微博的发布频率，从而增加消费者与企业、品牌和产品的接触，避免企业因侧重于关系建构型微博而产生的单调性，且弱化了品牌与消费者之间的连接。再次，随着微信的广泛应用，以及沟通内容的深入性和多样性，企业可建立微信公众号，作为与官方微博沟通的补充，促进消费者更全面的了解品牌。

本研究仅探究了知名白酒企业的官方微博沟通类型、偏好和效果差异，品牌声誉、品牌资产等企业特征变量对白酒企业微博沟通效果是否产生影响，以及产生什么方向的影响，有待于进一步验证。

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Exploration and Research of Way for Constructing Marketing Course Diversified Assessment System

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ABSTRACT

Due to the teacher’s old-fashioned assessment concept and lack of motivation of reform and innovation involved in course assessment, existing assessment method of Marketing course has some problems such as paying great attention to knowledge but looking down on skills, paying attention to result but looking down on process, and single assessment method and assessment subject. For the course diversified assessment system constructed based on constructivism theory, multi-intelligence theory, and postmodernism theory, after researching of learning target of course, it concludes assessment content, and introduces diversified assessment method and assessment subject so as to carry out multi-dimensional assessment for students. Experience has proved that to adopt course diversified assessment can evaluate students’ learning effect comprehensively, justly and objectively.

Keywords: Marketing, diversified assessment, assessment system
构建《市场营销学》课程多元化考核评价体系的路径探析

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摘要
教师考核评价理念落后，参与课程考核改革创新缺乏动力，导致《市场营销学》课程现有的考核方式存在重知识轻技能，重结果轻过程，考核方式与评价主体单一等问题。基于建构主义理论、多元智能理论和后现代主义理论构建的课程多元化考核评价体系，在探究课程的学习目标后，归纳出考核评价内容，引入多元的考核方式与评价主体，对学生进行多维的考核评价。实践证明，采取课程多元化考核能对学生学习效果进行更加全面、公正、客观的评价。

关键词：市场营销学；多元化考核；评价体系

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1. 构建《市场营销学》课程多元化考核评价体系的意义

党的十八届三中全会通过的《中共中央关于全面深化改革若干重大问题的决定》提出要深化教育领域的综合改革，增强学生社会责任感、创新精神与实践能力，为中国高等教育的全面发展指明了前进的方向。《市场营销学》是市场营销专业的核心基础课，也是管理类专业中一门应用性很强的学科。然而，课程现有的考核模式，已远远不能适应深化教育领域综合改革的需求，难以达到市场经济对于人才的特定需求。因此，在教学实践中需要大胆改革这门课程现有的考核模式，以培养富有创新精神与实践能力、适应市场经济发展高素质人才。当前，该课程考核模式改革的核心问题，是在现有考核模式的基础上构建一个科学、公正、全面的多元化考核评价体系，激发学生学习的积极性，促进学生的全面发展，推动教师开展教学改革，提高教学质量。构建课程多元化考核评价体系的意义，主要体现在以下几点。

第一，有利于培养与发挥学生学习的主动性。构建与实施《市场营销学》课程多元化考核评价体系，可以结合教学目标与学生学习实践的结果，对于学生的学习效果和学习质量进行多角度、多层次的评价。首先，实施多元化考核评价体
系，可以充分了解学生对课程基本理论知识及其应用的掌握情况，及时发现学生在学习过程中存在的问题与不足，从而引导学生自发的改善学习方法，提高学习效率。其次，实施多元化考核评价体系，可以使学生及时关注到自己与其他同学在课程学习过程中存在的差距，形成学生之间相互比拼的学习氛围。最后，实施多元化考核评价体系，可以激发学生的创新思维，提高其学习的积极主动，达到培养学生发现问题、分析问题与解决问题的能力，不断激发学生的求知欲望与学习兴趣，从而调动学生学习的积极性和主动性，增强学生自主学习的能力与信心。第二，有利于培养与提高学生的综合素质。构建与实施《市场营销学》课程多元化考核评价体系，可以对学生的专业知识、基本素质、实践技能、创新能力，以及学生素养等考核要素进行全面的评价。课程多元化考核评价体系的最大特点，就是不仅重视对学生专业知识和技能的考核，也重视对学生学习过程与方法的考核，同时重视对学生情感、态度与价值观的考核。在多元化考核评价过程中让学生感受、理解与掌握知识产生和发展过程，培养学生创新思维习惯，使学生的收集与处理信息的能力，获取专业新知识的能力，发现、分析与解决问题的能力，以及语言文字表达、团队协作沟通的能力等得到锻炼和提高，从而培养与提高学生的综合素质。

第三，有利于推动教学改革的全面深化与创新。构建与实施《市场营销学》课程多元化考核评价体系，可以起到推动教学改革的全面深化与创新的积极作用。在整个教学实践中，课程考核是教学体系中的重要环节和促进教学发展的重要手段，是引导教师完成教学内容，实现教学目标的“指挥棒”，是一个可以牵一发而动全身的关键环节。一个具有科学性的课程多元化考核评价体系，可以有效地检验教与学的质量，反映完成教学目标、内容、方法和效果等方面的综合信息，可以对其他教学环节起到纲举目张、事半功倍的效果，从而有利于推动教学改革的全面深化与创新。

第四，有利于提升教师的教学水平与科研能力。构建与实施《市场营销学》课程多元化考核评价体系，可以促使教师积极研究课程特点和教学规律，自主更新教学内容，改进教学方法，真正发挥以考促教的积极作用。作为教学实践中主导，教师参与课程考核模式的改革与创新，必然要具有先进的教育理念，正确制订改革方案与创新原则，这就要求教师对教学现象和规律进行重新认识和探索。因此，构建与实施课程多元化考核评价体系的过程，也是实现教师自身教育观念转变的过程。同时，构建与实施多元化考核评价体系，可以使得教师及时了解教学中存在的问题与不足，促使教师不断反思自己的教学工作，认真研究教学规律，从而不断提升教师的教学水平与科研能力。

2. 《市场营销学》课程现有考核评价模式存在的问题与成因分析

2.1 存在的问题

结合笔者多年的教学经验，通过对《市场营销学》课程现有考核评价模式的分析，其存在的问题归纳起来主要表现为以下几个方面。

第一，考核内容注重知识与技能，忽视综合素质。课程现有的考核模式，比较偏重对专业知识与技能的考核，而忽视对学生学习态度、习惯和积极性的评价，更忽视了对学生创新意识和思维习惯的评价，特别是在考核实践中忽视了对学生人文精神和情感智慧的综合了解。《市场营销学》是一门综合性、应用性和技巧
性非常强的课程，其课程考核模式应该突出对学生实践能力、创新能力、人文素养以及综合素质的培养。

第二，考核方式单一，缺乏多种方式的综合应用。目前，课程的考核方式单一问题比较突出。据调查，我国大部分高校《市场营销学》课程考核方式，是采取单一的试卷或论文形式：少部分高校则要求学生应用所学的理论知识，结合社会热点营销事件，整理编写案例，并按一定的标准对案例给予评价考核；像课堂演讲、实地考察、创意视频、情境模拟等课程考核方式更是少用；而结合以上多种考核方式对学生进行综合考核的高校更是寥寥无几。然而，每种考核方式都具有优缺点，所以单独采用某种考核方式，并不能对学生的学习效果和质量进行科学、公正、全面的评价。

第三，重结果性考核，轻过程性考核。《市场营销学》课程现有的考核模式，比较注重终结性评价，而忽视对学生学习过程的全程性评价。现有的考核模式最典型的做法是平时成绩占30%，期末成绩占70%，平时成绩一般包括课堂考勤和课后作业两部分，而期末成绩以闭卷考试形式最为常见。这种考核模式对学生学习过程的评价主要体现在平时成绩部分，而仅凭课堂考勤和课后作业两种方式很难对学生学习过程中的知识、技能、态度、情感、方法等要素，进行科学、公正与全面的客观评价，也导致教师不能及时、动态的了解学生发展中的需求和个性化的需求，不能适时地对教学策略与步骤进行调整，最终影响了教学效果。同时，也使得学生不能及时了解自己学习中的进步、优势与不足，也必然会影响到学习的效果。因此，现有考核评价模式，忽视对学生学习过程的评价，很难对学生的全面发展，真正起到一种诊断、激励和强化的积极作用。

第四，评价主体单一，缺乏多种主体的共同参与。在《市场营销学》课程现有的考核模式中，由于坚持的是一种教师是主体，学生是客体的教学理念，所以使得学生在考核评价中几乎没有任何话语权。这种单向的评价模式，不仅抑制了学生的参与意识，而且也不利于学生对其学习过程进行回顾、反思和评价，更不利于学生认识自我、评价自我、反省自我和约束自我能力的培养。同时，由于评价主体缺乏学生、企业专家、同行教师等的多方参与，这种单一的评价主体，很难保证评价过程的科学性、公正性和全面性，不利于对学生进行多角度、多层次的自我评价，导致学生自我发展受阻和自主建构能力的不足。

2.2 成因分析

现有课程考核模式之所以会存在以上问题，结合文献资料，笔者认为主要有两大原因。

第一，考核评价理念传统落后。在传统教育理念的影响下，长期以来在教学实践中，教师自觉或不自觉地形成了一种重理论知识传授、轻实践能力和创新精神培养的思维定式与教学模式，导致课程考核，往往被看成考评学生学习成绩的主要工具和重要手段。因此，教师非常重视考试的公平性和标准化，而对课程的教学目标和教学要求缺少深入的探讨，忽视人才培养的根本目标、课程教学的基本要求与考核内容及形式是否一致。在这种考核理念的指导下，学生更注重最终的考核结果而忽视过程的学习和综合素质的提升，缺乏学习的主动性和积极性。教师应充分认识到课程考核在学生学习过程中的引领作用，把课程考核作为培养全面发展的人的重要手段和方式的层面上来思考。因此，《市场营销学》课程多元化考核改革要树立以人为本的原则，采用科学的考核方式多角度、多层次地对学生学习过程进行全面、客观的评价。
第二，多元化考核改革与创新的动力不足。在多年的教学实践中，教师对以期末闭卷考试作为课程考核的方式早已习惯和熟悉，如果把以期末闭卷考试为主的考核方式，转变为包含课程论文、小组讨论、课堂演讲比赛、调查报告、实地考察、创新视频等多方式的多元化考核，教师的工作量必然大幅增加，同时也对教师的教学能力和水平形成一个挑战。然而，工作量的增加，工作报酬回报率的不对等，以及面对一些新的挑战，必然会导致教师工作积极性和主动性的下降。考核方式与工作薪酬的脱节，以及面对的新挑战，如果没有政策性的保障，就会很容易使得教师形成一种“多一事不如少一事”的思想，在实际工作中把熟悉的、简单的考核方式作为首选。

3. 构建《市场营销学》课程多元化考核评价体系的基本思路

3.1 构建多元化考核评价体系的理论基础

第一，建构主义理论。建构主义也译作结构主义，其最早提出者可追溯至瑞士的皮亚杰。建构主义理论是认知学习理论的一个重要分支，要求以学生为中心，强调学习是一个主动的过程，重视学生对知识的主动探索、主动发现和对所学知识意义的主动构建。建构主义认为，知识不是通过教师传授得到，而是学习者在一定的环境中即社会文化背景下，借助其他人（包括教师和学习伙伴）的帮助，利用必要的学习资料，通过意义建构的方式而获得。依据这一理论，我们在构建课程多元化考核评价体系时，应以学生为中心，充分调动学生参与多元化考核的积极性与主动性，让学生成为考核评价的主体，加强学生之间、师生之间的协作与交流，通过给学生创设某种真实的考核情境，评价学生是知建构知识的。

第二，多元智能理论。多元智能理论是由美国哈佛大学教授霍华德·加德纳于1983年提出。多元智能理论认为人的智能是多元的，每个人都具有八种智能，即语言智能、数理逻辑智能、音乐智能、空间智能、身体运动智能、人际智能、内省智能和自然智能。人的智能不是单一的，而是多元的，而且这八种智能在每个人身上的表现程度和形式不尽相同，每个人都有可供发展的潜力，每个人潜力表现的领域并不一定相同。人与人之间，不存在谁比谁更聪明的问题，只存在谁在哪个领域、哪个方面更擅长的问题。依据这一理论，我们在构建课程多元化考核评价体系时要以人为本，应充分认识到每个学生都有其强势智能和弱势智能，关注学生的差异性和不均衡性，通过设计多元化的考核评价方式，让每个学生的优势智能体现出来，找到自己的优点与发展潜能，明确自己努力的方向，体验成功的乐趣。

第三，后现代主义理论。后现代主义是20世纪60、70年代，在西方国家开始广泛出现的一种反对或修正现代主义的社会文化思潮。这一变革潮流深刻地影响着文学、艺术、哲学等社会文化和意识形态诸多领域。后现代教育思想阵营内学派林立，观点相异，有时甚至相互冲突，但是他们反对同一，崇尚差异和多元的主张是统一的。后现代主义教育思想摆脱了现代主义对教育所带来的弊端，强调尊重个性，强调学生之间的差异性，重视人的创造性的发挥，强调要质疑传统教育中一些真理。依据这一理论，我们在构建课程多元化考核评价体系时，应树立多元化的评价机制，注重学生的创造性和差异性，通过多种方式，对学生进行多角度的评价。同时，应摒弃标准、稳定、封闭和简单的考核评价标准，建立模糊、动态、开放和复杂的考核评价标准，使多元化评价成为促进每一个学生自由、充分、个性发展的有效手段。
3.2 构建多元化考核评价体系的基本思路

笔者基于构建主义理论、多元智能理论和后现代主义理论所构建《市场营销学》课程多元化考核评价体系，是对现有考核评价模式的简单否定，而是一种合理的超越与创新。笔者提出的所谓多元化考核新模式，主要是指对课程的考核方式进行一种多维度、多层次的考察和审核。多元化考核并不是简单的将评卷考试改为开卷考试、半开半闭考试、课程论文、口试或调查报告等其他单一的考核形式，而是采取多次累计加分的方法，强调对学生进行多维度、多层次的全方位考核，提倡综合性，因而多元化考核评价体系的最大特点，就是体现在评价价值，评价内容、评价方式和评价主体的多元化。总之，构建课程的多元化考核评价体系，就是要在深入研究与分析这门课程的本质特征后，归纳出一些重要的考核评价内容，引入多元化的评价主体，采用科学、有效的评价方法、方式与手段，设计具有可操作性的评分标准和评分权重，多维度、多层次对学生学习过程进行全面、公正、客观的评价。当然，要想最终实现这一目标，必须认真做好以下几个点。

第一，评价内容多元化。在制定课程多元化考核评价体系的评价内容时，不能仅仅局限于对该学科知识与技能的一般理解与简单掌握，还要重点关注学生的学习过程与方法，更要全面关注学生情感、态度与价值观的形成和发展。具体来讲，该考核评价体系的内容，主要包括专业知识考核、基本素质考核、实践技能考核、创新能力考核以及人文素养考核等基本要点。一般来说，专业知识主要是考核学生对基本理论的掌握情况，而基本素质则是考核学生学习的态度、学习成绩、学习主动性等，实践技能则是考核学生对综合技能的掌握情况、分析与解决问题的能力、语言文字表达能力，以及团队协作的能力等，创新能力则是考核学生开展工作的创新意识、创新思维习惯等，人文素养则是考核学生在课程学习过程中所表现出来的人文精神和情感智慧。

第二，评价方式多元化。一般来说，评价方式的探讨是为实现对课程多元化考核这一目标而采取的方法和手段。现有的考核评价模式倾向于终结性评价，其最大的不足就是忽视了形成性评价、表现性评价和发展性评价。终结性评价重视考核的甄别与选拔功能，例如闭卷考试，在人才评价考核选拔方面具有标准化、统一化、成本低、易操作等优点，但又因此学生消极、被动力适应而饱受争议。相比之下，形成性评价、表现性评价和发展性评价，更多地糅合了考核的诊断、导向和激励等功能，通过课程论文、小组讨论、课堂演讲比赛、调查报告、实地考察、创意视频等具体方法，实现对学生学业表现的及时性、持续性和系统的反馈性。为了不断增加评价的信度，在课程多元化考核评价体系中，还应高度重视多种评价方式的综合性应用，使课程考核评价从封闭走向开放，从单一走向多元，成为促进学生全面发展，提高教学质量，推动教学改革的重要手段。

第三，评价主体多元化。在教学实践中，评价主体主要探讨的是谁对学生的课程多元化考核结果进行价值判断的问题。根据课程多元化考核新模式的基本要求，不仅评价的内容是多元的，评价的角度是多维的，而且评价的主体也应该是多元的，因为不同评价主体的价值取向和评价功能各不相同，有利于取长补短。一般来说，评价主体的价值取向和评价功能，是评价主体在特定教学情景下基于学生的知识、能力、态度、价值观等信息的反馈所做出的一种价值判断。作者所倡导的多元化评价主体，主要包括学生自评、学生互评、任课教师、同行教师和
企业专家等。学生自评是学生对自己学习效果的主观评价；学生互评是同学之间对同伴的学习态度、学习效果、合作精神等进行评价；任课教师评价是教师对学生在学习过程中表现出来的学习态度、学习主动性、语言文字表达能力、实践技能和创新能力等进行评价；同行教师和企业专家主要是对学生的综合情况进行评价。通过上述群体共同发挥作用，不仅可以减少考核的主观性和随意性，而且还可以对学生完成的学业，做到较为客观、全面和公正的评价。

4. 完善《市场营销学》课程多元化考核评价体系的基本框架

构建一个科学的课程多元化考核评价体系，是深化改革传统课程考核评价模式的基础。因此，必须要不断完善课程多元化考核评价体系，做好以下几个方面的工作。

第一，完善多元化考核评价体系的基本框架。通过多个教学周期的实践，笔者逐步制作出一个操作性与参与性强的课程多元化考核评价体系框架，见表1。它将课程多元化考核评价体系设置为平时成绩、实践成绩和期末成绩三大部分，学生该课程的总评成绩=平时成绩×30%+实践成绩×40%+期末成绩×30%。平时成绩由课堂出勤、课堂纪律、学习积极性及平时作业四个部分构成；实践成绩由编写案例、演讲能力、营销策划方案、实地考察和创造性视频等五个部分组成；期末成绩由闭卷考试一个部分构成。从而，将《市场营销学》现有的考核模式改革为多种考核方式相结合的过程型多元化考核评价体系。教师应在第一次上课时，向学生公布本课程的多元化考核评价体系，让学生有一个心理准备和行动方向。


<table>
<thead>
<tr>
<th>表1 《市场营销学》课程多元化考核评价体系</th>
</tr>
</thead>
<tbody>
<tr>
<td>评价指标</td>
</tr>
<tr>
<td>评价因子</td>
</tr>
<tr>
<td>比重</td>
</tr>
<tr>
<td>占总成绩的比重</td>
</tr>
</tbody>
</table>

第二，完善平时成绩的考核基本框架。平时成绩部分的考核指标、评分权重、评分标准及评价主体见表2。一般来说，课堂考勤考核的目的，主要是督促学生按时出勤，养成良好的学习态度和学习习惯。因此，一个严格的课堂纪律考核，可以有效地避免学生上课玩手机、聊天、睡觉、随意出入等行为，提高学生课堂的注意力，保证课堂正常的教学秩序处于良好的状态。学习积极性主要是依据学生在课堂上的互动表现进行考核，这一指标设置的出发点，主要是为了激发学生学习的主动性和在课堂上形成一个学生争先恐后发言的机制，同时也帮助教师及时了解学生的学习情况，以便适时调整教学策略和方法。平时作业的考核，则主要是监督学生养成守时的好习惯，并考察学生的独创性思维。平时成绩的四个部分，均主要由任课教师进行评价。
表 2  平时成绩考核

<table>
<thead>
<tr>
<th>评价指标</th>
<th>权重 / %</th>
<th>评分标准</th>
</tr>
</thead>
<tbody>
<tr>
<td>课堂考勤</td>
<td>30</td>
<td>旷课一次扣 2 分；迟到、早退每次扣 1 分；缺勤三分之一时成绩为 0 分。</td>
</tr>
<tr>
<td>课堂纪律</td>
<td>20</td>
<td>上课做与课堂无关的事情每次扣 1 分。</td>
</tr>
<tr>
<td>学习积极性</td>
<td>30</td>
<td>积极参与师生互动，每次计 1 分。</td>
</tr>
<tr>
<td>平时作业</td>
<td>20</td>
<td>按时完成作业，有个人独立的见解，平时作业三分之一未完成平时成绩为 0 分。</td>
</tr>
</tbody>
</table>

备 注  平时成绩由任课教师进行评价

第三，完善实践成绩考核的基本框架。实践成绩部分的考核指标、评分权重、评分标准及评价主体见表 3。根据笔者的教学经验，实践成绩重在考核学生的实践技能和创新能力，所选取的评价指标主要突出了这门课程的应用性、技能性和操作性。实践成绩的考核要以小组的形式进行，倡导合作学习，要求各小组将自己的所有成果在全班进行展示，旨在推动师生间、学生间的多向交流与沟通，在各种信息的反馈中，逐步锻炼和提高学生的洞察力和分析力，促进学生团队协作能力和人文素养的提升，促使学生成为知识建构的主动者。

在编写案例时，要求学生选择当前的社会热点营销事件，结合所学知识，编写一个课程案例并配有 PPT，同时要在班内进行讲解。要求学生在案例编写时，要注重原创性，重点是考查学生运用所学知识解决实际问题的能力。演讲比赛一般选择学生关心的话题，以班级为单位开展，重点是考查学生的语言文字表达能力。营销策划方案要求学生立足于某种真实的情境，结合所学知识，设计一套完整的方案，并要在班级内部进行展示，重点是考查学生的语言文字表达能力、解决实际问题的能力和创新能力。实地考察要求学生亲身参与真实营销活动，结合所学知识撰写一篇 1000 字以上的观后感，并要求学生至少提交 1 张本人参与活动的相关照片，重点是考查学生的思辨能力和文字表达能力。创意视频要求学生制作一段 5—10 分钟的宣传片，展示小组的形象，重点是考查学生的创新能力。实践成绩部分的评价主体由任课教师、学生、同行教师和企业专家共同构成。为杜绝小组内成员搭便车的现象，每个成员的每次实践成绩均由小组成绩和组内贡献成绩两部分构成，且组内贡献当中的组内互评成绩必须是有差异的，不允许大家组内互评成绩都一样的现象出现。

表 3  实践成绩考核

<table>
<thead>
<tr>
<th>评价指标</th>
<th>权重 / %</th>
<th>评分标准</th>
</tr>
</thead>
<tbody>
<tr>
<td>生成案例</td>
<td>20</td>
<td>风采占 40%，对各小组表现进行评分。内容占 60%，对各小组选题、内容、创新性等进行评分。</td>
</tr>
<tr>
<td>演讲比赛</td>
<td>20</td>
<td>风采占 40%，对各小组表现进行评分。内容占 60%，对各小组选题、内容、创新性等进行评分。</td>
</tr>
<tr>
<td>营销策划方案</td>
<td>20</td>
<td>风采占 40%，对各小组表现进行评分。内容占 60%，对各小组选题、内容、创新性等进行评分。</td>
</tr>
</tbody>
</table>

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### 实地考察

<p>| | | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>20</td>
<td>风采占 40%，对各小组表现进行评分。</td>
<td>内容占 60%，对各小组选题、内容、创新性等进行评分。</td>
</tr>
</tbody>
</table>

### 创意视频

<p>| | | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>20</td>
<td>风采占 40%，对各小组表现进行评分。</td>
<td>内容占 60%，对各小组选题、内容、创新性等进行评分。</td>
</tr>
</tbody>
</table>

### 备注

小组成绩由任课教师（30%）、其它小组（20%）、企业专家（30%）和同行教师（20%）共同评定。小组成员成绩由小组成绩（50%）和组内贡献（50%）两部分构成。组内贡献成绩由学生自评（40%）和组内互评（60%）两部分构成。

### 第四，完善期末成绩考核的基本框架。期末成绩部分的考核指标、评分权重、评分标准及评价主体见表 4。期末成绩考核作为考核的重要手段，必须采取闭卷考试的形式，可以由单选题、多选题、简答题、案例分析题和创意策划题等多种题型组成。重点是要考查学生对理论知识和技能的掌握程度。《市场营销学》是一门应用性、技能性、操作性非常强的课程，很多主观题往往一题多解，答案具有模糊性。因此，教师在编写答案的时候，对主观题尽量不要设置唯一的标准答案，允许学生对同一问题有不同的见解，鼓励与保护学生的发散性思维，对学生成果当中有价值的部分予以充分的肯定。

### 表 4  期末成绩评分标准

<table>
<thead>
<tr>
<th>评价指标</th>
<th>权重/％</th>
<th>评分标准</th>
</tr>
</thead>
<tbody>
<tr>
<td>闭卷考试</td>
<td>100</td>
<td>对基本知识和技能的掌握程度。</td>
</tr>
<tr>
<td>备注</td>
<td></td>
<td>平时成绩由任课教师进行评价</td>
</tr>
</tbody>
</table>

## 5. 构建《市场营销学》课程多元化考核评价体系的保障措施

为了取得课程多元化考核评价体系的预期效果，完善《市场营销学》课程多元化考核评价体系的基本框架，需要采取以下的一些保障措施。

第一，形成一个多元化考核改革管理规章制度。课程多元化考核评价体系，如果想要取得预期的效果，则需要学校管理部门从宏观层面进行规划和设计，在制度上确保多元化考核改革的顺利开展。学校管理部门应建立完善的教学管理与质量监控机制，使多元化考核工作的各个环节科学规范、可操作性强，容易把握。考核机制应以提升学生的综合能力为目标，为教学质量的稳步提高和培养具有创新精神的人才服务。同时，通过召开教学例会、教师座谈会、教研室专题会议等多种形式，号召相关教师统一思想、提高认识、积极探索符合实际、可操作性强的课程多元化考核评价体系。

第二，提高教师教书育人的责任意识。教学是教师的首要任务，崇尚科学、精通业务、更新观念和改革创新是教师的必备素质。在教学过程中，教师要增强自身的责任意识，要充分认识到多元化考核是提升课程考核水平的方法之一，是提升大学生综合能力的途径之一，也是提升教师自身业务水平与业务能力渠道之一。特别是教师要充分认识到多元化考核模式与传统考核模式的差异性，因而在每一个考核模块的制定过程中，要具体到每一项考核内容和标准的制定，要对每一考核过程进行有效的监控，这一切都需要教师仔细的斟酌。因此，要求教师把多元化考核改革放在教学工作的重要位置，要求教师参与到具体环节的制定与实
施的整个过程，由于这种多层次的考核方式必然增加教师的工作量，这就要求教
师提高自身教书育人的责任意识，提倡无私奉献。

第三，建立多元化考核改革的激励机制。推行课程多元化考核评价改革，极
大地增加了教师的工作量，因为每个考核环节都需要教师精心设计，所以非常消
耗精力，必然导致部分教师对探索课程多元化考核的热情不高。学校管理部门应
建立多元化考核改革的激励机制，鼓励教师的创造性活动，营造一种教师敢于创
新、勇于创新和不断创新的环境和氛围。例如，可以设立关于多元化考核改革研
究课题专项基金，资助积极参与多元化考核改革的教师。对于多元化考核改革效
果突出的优秀教师，其成果甚至可以视为校级教学成果奖，给予适当的物质奖励。
另外，在鼓励教师创新的同时，还需要在多元化考核改革的过程中建立容错机制，
即允许教师在多元化考核的改革中犯错和迅速改正错误的机制，充分发挥教师的
积极性和创造性，使改革具有长久不衰的动力源泉。

第四，积极总结与推广多元化考核改革经验。学校管理部门应跟踪该课程多
元化考核评价体系的效果，每学期末可以通过召开学生和同行教师座谈会等形式，
对多元化考核评价体系进行评估，及时总结多元化考核评价体系在实施过程中取
得的成绩和存在的问题，并对具有代表性的多元化考核评价体系及时推广，使得
其它相似课程性质的教师相互借鉴和学习。

6. 结语

多年的教学探索与研究实践使笔者认识到，《市场营销学》课程多元化考核
评价体系，能够有效激发学生学习的积极性，能够真正提高学生的能力、创
新精神和综合素质，从而促进学生的发展。同时，多元化评价体系的实施，
也将会对提升教师的教学水平、促进教学改革、提高教学质量具有较大的推动
作用。在今后的深入实践中，笔者还会将这种多元化考核评价体系进一步完善，使
其能更好地为《市场营销学》课程教学服务。

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Research on Marketing Capabilities on Innovation Performance - Based on the KBV

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ABSTRACT

Based on knowledge-based view, we integrate the organizational learning theory, knowledge integration theory to construct a theoretical model of the relationship between marketing capability and innovation performance. High-tech enterprises in China are taken for the empirical samples. We use multiple regression analysis to test the model. Empirical studies confirm that marketing capabilities play an intermediary role in the relationship across marketing learning, marketing integration and marketing management. The field of marketing theory and knowledge management theory are enriched.

Keywords: Knowledge-based View (KBV); Marketing Capabilities; Innovation Performance
知识基础观视角下营销能力对创新绩效的影响

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摘要
从知识基础观出发，融合组织学习、知识整合理论，构建了知识基础观视角下营销能力与创新绩效的理论模型，以我国高新技术企业为实证样本，经过样本收集，采用多元回归分析对模型进行了验证。结果表明，营销能力在营销学习、营销整合及营销管理与创新绩效间起到了中介作用。研究旨在丰富营销能力的研究领域。推动营销理论与知识管理理论的融合与发展，为我国企业构建营销能力及提升竞争优势提供切实可行的理论支撑与现实借鉴。

关键词：知识基础观；营销能力；创新绩效

1. 引言
长期来看，理论界和企业界一直都在探求企业如何才能获取竞争能力和提升竞争优势，在企业的所有资源和能力中，营销能力被认为是最重要的能力之一。只有那些通过有效运用市场营销能力创造出优异顾客价值的企业，才能在激烈的竞争中立于不败之地[11]。

根据Barney(1991)[2]的观点，资源只有具备四个特征，才可能为企业带来持续的竞争优势，包括价值性、稀缺性、不可完全模仿性和不可等效替代性，否则，所具备的竞争优势就会很快消失。企业所具备的独特知识，如生产性知识、制度性知识和管理性知识等，符合上述特征，知识基础观(Knowledge-Based View)便由资源基础理论进一步发展而来。由此营销能力被界定为运用集体知识、技能和企业的资源于相关的市场需求而来增加企业价值。在竞争越来越激烈的市场中，企业只有在动态环境中把握和发展营销能力，才能适应快速变化的市场环境，并使竞争对手获得更好的企业绩效和竞争优势[11][3]。营销能力只有基于个人与组织的学习，才能不断积累。企业通过营销知识的学习可以掌握关于动态环境的信息，对于企业制定战略，提升企业绩效具有重要的意义，尤其是创新绩效的提升，不仅能帮助企业明确创新目标，强化创新沟通，营销知识还可以参与创新过程[4]。
现有研究已指出营销能力对创新绩效的重要性，随着知识基础观的提出及动态环境的变化，该研究有所发展与深化，然而，在营销与创新绩效关系研究中，从营销“知识基础观”出发，关于“知识视角的营销-绩效”这一作用机制的研究较少，尤其缺乏对我国高新技术企业创新绩效的相关研究，也就无法更加深入讨论这些变量与创新绩效的关系，因此不能为企业提升营销能力与创新优势提供有效借鉴。基于此，本研究将“知识基础观”与营销能力的发展相结合，深入探索这些变量间关系，丰富营销能力的研究领域，推动营销理论与知识管理理论的融合与发展。

2. 理论基础及研究假设

2.1 理论基础

2.1.1 营销“知识基础观”

知识基础观（KBV）兴起于20世纪90年代，该理论认为，企业的竞争力源于对知识的吸收、创造和应用，企业能力的本质是知识整合[5]，企业是由异质性的知识组成，知识资源的异质性造成企业间绩效的差异[6]。随着市场环境变动性增大，企业面临的外部环境不断变化，尤其在创新压力较大的情况下，企业应具备适时学习、更新知识、发展能力的技巧与意向[7]。营销“知识基础观”是建立在对营销知识属性的深入理解和把握基础上的，本文认为营销是建立在知识基础上的营销，营销新的本质属性是其知识属性，没有或缺乏基于知识的影响，营销能力的成长和发展就会停滞不前、就不能保持营销能力的优势，这就是营销的“知识基础观”(Knowledge-Based View of Marketing)，如图1所示。当企业营销人员不断应用营销知识或技能来服务于营销决策和活动时，基于知识的营销通过知识学习过程就形成了。本文依据知识基础观，将营销“知识基础观”分为三个部分：营销学习，营销整合，营销管理。

![知识基础观](image)

图1 营销“知识基础观”

1. 营销学习

着重要作用。在市场需求和技术发展不断加速变化的动态环境下，只有坚持持续学习，注重知识的传递与分享，才能促进高新技术企业的创新的能力，获取并保持市场竞争优势[11]。Stata(1989)[12]的研究也表明，组织学习是创新发生的基本过程，特别是在知识密集型行业中。

因此，通过组织学习企业可以协调组织内外部环境之间的关系，保持它们之间的动态相宜性，从而可以达到降低危机，把握机会的效。营销学习是组织学习能力的重要组成部分，是一项有特定意义的组织学习能力，根据Garvin(1993)[13]对组织学习内容的界定，本研究认为营销学习活动包括系统地解决问题、试验、从自己的过去与经验中学习，向他人学习以及促进组织内的知识扩散等五项内容，并且企业必须同时进行利用学习和探索学习两种方式。

（2）营销整合

Grant(1996)[6]认为在能力的建构方面，“整合”是一个关键。企业营销活动是企业所面临环境因素和企业自身各种营销因素的系统整合过程。营销活动的整合性，一方面表现为对外整合，主要指企业为了适应环境的变化，从利益相关者身上识别知识、筛选知识、吸收知识并应用到企业的营销决策和实践中，主要包括营销与顾客，供应商的整合；另一方面表现为对内的整合，主要指职能间整合，部门之间的整合与协同是一种存在于企业环境中的发生在两个或多个组织机构之间的一系列行为，是一种社会行为系统，也是市场导向内容中不可或缺的重要组成部分，成功的营销活动需要动态地整合市场营销、研发和制造等职能，因此，跨职能整合(Cross-Functional Integration, CFI )被认为是提高产品开发绩效的关键因素[14]。企业各部门间达成一致，传播共享市场信息，共同致力于满足目标市场的需要，企业的营销能力才能持续发展。部门间的协同度越高，效率越好，越能充分考虑营销计划与其他职能计划的相互匹配与协调，越能做到4Ps间及其与企业战略之间的协调，从而实现企业的营销目的，获得市场竞争优势。

（3）营销管理


2.1.2 Marketing Ability

Foreign scholars on marketing ability differ in terms of definition and structure. The first type of marketing ability is based on the perspective of Day [18], which considers marketing ability as the sum of all the resources and capabilities required for a company to achieve a competitive advantage. This type of marketing ability includes strategic planning, marketing management, and market research. The second type of marketing ability is based on the perspective of Greenley [17], which emphasizes the importance of marketing strategy and marketing management in achieving a competitive advantage. This type of marketing ability includes strategic marketing, market research, and marketing management.

2.1.3 Innovation Effect

Innovation is considered as an essential component of marketing ability. Innovation effectiveness is defined as the achievement of a specific goal or objective, such as increased sales, market share, or customer satisfaction. Innovation effectiveness can be measured by various indicators, such as the number of new products or services introduced, the percentage of revenue generated from new products or services, or the return on investment (ROI) of innovation. Innovation effectiveness is critical for business success, as it allows companies to differentiate themselves from competitors and meet the changing needs of customers. Innovation effectiveness is also closely related to marketing ability, as it is achieved through effective marketing strategies and tactics.
中个体的专业知识，因而组织的学习和知识的积累呈现出一种从基层到高层的过程，涉及对组织内隐性营销知识、显性营销知识和外部组织知识的积累。在企业员工所拥有的隐性营销知识持续解决营销问题的过程中，内部员工、外部员工相互之间频繁交流与沟通，可以不断形成许多有关本企业特有的营销理论、市场信息和营销过程的新的理解，从而使隐性营销知识上升为包含员工个人应用心得的隐性营销知识，进而影响企业新产品开发的过程，之后便进入到新一轮的营销知识的转化循环。同时，内部员工在与外部组织进行营销的过程中，把自己的营销知识传播给外部组织，增加了外部组织对企业的信息的理解，同时也促进了企业的品牌形象提升，增加了市场对企业创新方面的认同。Vorhies（1998）[21]针对677家美国样本企业进行分析，实证显示，拥有高营销学习能力的企业能比竞争对手更有效地获得市场份额的增长，获得理想的市场定位以及更高的获利性。因此，本研究提出假设H1a：

H1a：营销学习对企业创新绩效有积极的正向影响

2.2.2 营销整合与创新绩效的关系

大量有关产品研发的研究表明，产品研发的成功关键在于动态地整合设计、制造和营销等多项职能。因此，营销整合被认为是提高产品开发绩效的关键因素。创新往往能在跨职能合作中发生，基于彼此不同的背景更容易看出对方知识的不同用途，可以改善各种职能之间的交流，加速产品开发周期，降低产品开发的不确定性，增加创新的机会，是决定新产品成功的重要因素。Langerak（2003）[26]研究了市场导向与组织绩效之间的关系，发现在市场导向的三个组成要素中，顾客导向和竞争导向促使企业为获得差异化优势而整合资源，而职能间协调则有利于企业获得低成本优势，强化创新沟通，从而增进顾客感知的收益。通过营销整合，不同来源、不同层次、不同结构和内容的营销知识，实现再建构，从而有助于企业提升创新效率，把握变化中的机会。熊伟（2005）[27]在对高新技术企业的营销能力研究中，采用营销-研发契合度来描述在新产品研发过程中，市场营销部门和研究开发部门沟通合作的形式和程度，通过对150家企业实证分析，证明了营销-研发契合度对新产品开发绩效的影响，从而影响了企业绩效。因此，本研究提出假设H1b：

H1b：营销整合对企业创新绩效有积极的正向影响

2.3 营销管理与创新绩效的关系

创新绩效不仅包括产品、工艺等，还包括管理创新。Vorhies（2005）[16]在研究中指出营销管理聚焦在顾客获得管理，营销计划的管理以及协调企业内部需要执行营销计划的不同要素。营销管理通过获得顾客知识，从而提高顾客参与创新过程的程度；通过营销计划管理，企业结合自身资源与所在市场，拟定最优配制的市场战略的能力；通过营销的执行过程，将营销战略有目的地转换成可创造价值的资源配置。通过对澳大利亚的制造企业的实证分析，证明了有效营销管理的市场驱动型企业要比他们的竞争对手有更好的绩效表现，该结论与Hunt &Morgan的研究结论相印证。因此，本研究提出假设H1c：

H1c：营销管理能力对企业创新绩效有积极的正向影响

2.4 营销能力的中介作用

H2a: 营销能力在营销学习与创新绩效之间起的中介作用
H2b: 营销能力在营销整合与创新绩效之间起中介作用
H2c: 营销能力在市场知识管理能力与创新绩效之间起中介作用

综上，提出本研究的理论假设模型如图 2 所示。

图 2 关系假设模型图

3.研究设计

3.1 研究样本

本研究主要针对高新技术企业进行的实证研究，所以调查的范围主要集中在西安、北京、南京、合肥、深圳的高新技术产业开发区。由于研究内容是针对企业的营销能力与创新绩效间关系，因此调查对象选择为高新技术企业的中高层经理。调查方法主要采用了面访调查与邮件调查。面访主要集中在西安、北京和深圳的高新区企业进行。由经过培训的硕士研究生担任调查者，调查者在事先与高新区的主管部门沟通过后，由主管部门介绍，亲自拜访企业的被调查者，此类问卷占全部发出问卷的15.0%，由于此类问卷调查对象明确，并有专人负责，因而问卷回收率为100%；邮寄调查主要通过Email的方式在西北工业大学校友圈进行，此次调查得到校友会的大力协助与支持，为了提高问卷的回收率，都会有经过培训的硕士研究生负责问卷的发放与回收和问卷的问题解答，此类问卷占全部发出
问卷的85.0％，回收率25.5％。发放问卷300份，有效问卷104份，回收率为36.7％。

3.2 变量测量

为确保测量工具的效度及信度，本研究尽量采用现有文献已使用过的量表，
根据本研究的目的加以适当修改，在问卷正式定稿与调查之前，先根据预试者提
供的意见对问卷进行了修订，以评估问卷设计及用词的恰当性。

营销学习，来源于Gold（2001）[30]的研究，包括“公司员工之间经常的相互
学习和交流经验”等6个题项，该量表在本研究中的信度系数Cronbach’s Alpha为
0.847；营销整合来源与Fredrik Von Corswant et al.(2002)[31]研究，包括“研发部门
和营销部门共同研究顾客的需要”等6个题项，该量表在本研究中的信度系数
Cronbach’s Alpha为0.835；营销管理来自Vorhies（2005）[16]的研究，包括“公司
能有效地配置营销资源”等3个题项，该量表在本研究中的信度系数Cronbach’s Alpha为0.813；营销能力采用了Vorhies（1998，2005）[16][21]的9个题项，主要包括
对定价、促销、产品开发、分销渠道及市场研究等方面测量，该量表在本研究中
的信度系数Cronbach’s Alpha为0.944；创新绩效来源于Homburg et al.(2000)[32]测
项，主要包括“公司采用的新技术或新流程同行业中处于优势”等4个题项，该量
表在本研究中的信度系数Cronbach’s Alpha为0.864。以上题项的信度系数均大于
管理学研究中常用的0.70，这表明量表具有良好的信度。研究问卷采用5级李克特
量表，询问被访者的实际情况是否与所描述的相符合，答案从1“根本不符合”到
5“完全符合”。

4.数据分析和结果

4.1 变量之间的区分效度的验证性因素分析

针对营销学习、知识整合和营销管理能力，按照预先设定的维度进行验证性
因子分析，本研究采用 AMOS 17.0 对关键变量进行验证性因素分析（confirmatory
factor analyses, CFA）分析，再两两合并所形成的两因子模型与原模型相比，结
果如表1所示，每次合并因子，使得自由度 df 增加 3，而卡方值增加都在 446.74
以上，均大于 11.3 的临界值（11.3 为 df=3,α =0.01 时的卡方值），说明原先设定
三因子模型具有良好区分效度。

<table>
<thead>
<tr>
<th></th>
<th>模型卡方值 df=卡方值</th>
</tr>
</thead>
<tbody>
<tr>
<td>原模型（三因子）</td>
<td>2171.95</td>
</tr>
<tr>
<td>营销学习与营销整合合并</td>
<td>3179.68</td>
</tr>
<tr>
<td>营销学习与营销管理合并</td>
<td>3699.83</td>
</tr>
<tr>
<td>营销整合与营销管理合并</td>
<td>2882.55</td>
</tr>
</tbody>
</table>
4.2 描述性统计和相关分析

表2 各主要变量的均值、标准差和相关关系

<table>
<thead>
<tr>
<th>变量</th>
<th>平均值</th>
<th>标准差</th>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
<th>5</th>
<th>6</th>
<th>7</th>
<th>8</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. 公司规模 a</td>
<td>2.35</td>
<td>1.62</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2. 年均营业收入 b</td>
<td>2.73</td>
<td>1.59</td>
<td>0.78**</td>
<td>1.00</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. 组织层级 c</td>
<td>3.21</td>
<td>1.14</td>
<td>-0.13</td>
<td>-0.10</td>
<td>1.00</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4. 营销学习</td>
<td>3.56</td>
<td>0.74</td>
<td>0.20</td>
<td>0.17</td>
<td>-0.35</td>
<td>1.00</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5. 营销整合</td>
<td>3.48</td>
<td>0.78</td>
<td>0.11</td>
<td>0.05</td>
<td>-0.16</td>
<td>0.68**</td>
<td>1.00</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>6. 营销管理</td>
<td>3.65</td>
<td>0.82</td>
<td>0.24</td>
<td>0.20</td>
<td>-0.14</td>
<td>0.66**</td>
<td>0.64**</td>
<td>1.00</td>
<td></td>
<td></td>
</tr>
<tr>
<td>7. 营销能力</td>
<td>3.56</td>
<td>0.67</td>
<td>0.26</td>
<td>0.09</td>
<td>-0.20</td>
<td>0.68**</td>
<td>0.76**</td>
<td>0.76**</td>
<td>1.00</td>
<td></td>
</tr>
<tr>
<td>8. 创新绩效</td>
<td>3.29</td>
<td>0.86</td>
<td>0.20</td>
<td>0.10</td>
<td>-0.24</td>
<td>0.55**</td>
<td>0.58**</td>
<td>0.40**</td>
<td>0.59**</td>
<td>1.00</td>
</tr>
</tbody>
</table>

注：n = 104; ** p < 0.01, * p < 0.05


b 年均营业收入：1.1000万以下 2.1001万-5000万 3.5001万-1亿 4.1亿-5亿 5.5亿以上；

c 组织层级：1.普通员工 2.基层管理/技术人员 3.中层管理/技术人员 4.高层管理/技术人员 5.总经理 6.董事长。

表2总结了变量的平均值、标准差以及相关系数。从表2可以看出营销学习与营销能力（r=0.68,p<0.01）、创新绩效（r=0.55,p<0.01）呈现出的正相关关系；营销整合与营销能力（r=0.76,p<0.01）、创新绩效（r=0.58,p<0.01）呈现出的正相关关系；营销管理分别与营销能力和创新绩效（r=0.40,p<0.01）呈现出正相关关系。同时，营销能力与创新绩效（r=0.59,p<0.01）呈现出正相关关系。

此外，公司规模、年均营业收入和组织层级分别与营销学习、营销整合以及营销管理都没有显著的相关关系，这表明营销学习、营销整合以及营销管理在不同公司规模、年均营业收入和组织层级的员工中差异不大。

4.3 假设验证

本研究主要采用多元回归的方法来进行假设的验证。

主效应：H1a、H1b和H1c提出营销学习、营销整合和营销管理对企业创新绩效有正向影响。为了验证这两个假设，我们首先将创新绩效设为因变量，其次加入控制变量（公司规模、企业年均营业收入和组织层级），最后将自变量（营销学习、营销整合和营销管理）分别放回回归方程。从表3层次回归的结果中可知，营销学习（M6, β = 0.53, p< 0.01）、营销整合（M7, β = 0.53, p< 0.01）和营销管理（M8, β = 0.35, p< 0.05）对企业的创新绩效有显著的正向影响。因此，假设H1a、H1b和H1c得到了研究数据的支持。
中介效应：参照Baron和Kenny(1986)的分析步骤，运用层次回归法检验营销能力分别在营销学习、营销整合和营销管理与企业创新绩效之间所起的中介作用。由表3我们可知，营销学习（M6, β = 0.53，p< 0.01）、营销整合（M7, β = 0.53，p< 0.01）和营销管理（M8, β = 0.35，p< 0.05）对创新绩效都有显著的正向影响。同时，营销能力对创新绩效（M9, β = 0.55, p< 0.01）也具有显著的正向影响。在加入了中介变量营销能力后，营销整合（M11, β = 0.32）和营销管理（M12, β = 0.13）对创新绩效的影响变为不显著，营销学习（M10, β = 0.32, p< 0.05）对创新绩效的影响仍有显著正向影响，而营销能力对创新绩效具有显著的正向影响。由此，我们可以得出：营销能力分别在营销学习、营销整合和营销管理与创新绩效之间所起的中介作用，支持了H2a、H2b和H2c。其中，营销能力在营销学习与创新绩效之间所起部分中介作用，在营销整合、营销管理与创新绩效之间所起完全中介作用。

表 3 假设检验结果

<table>
<thead>
<tr>
<th></th>
<th>营销能力</th>
<th>创新绩效</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>模型1</td>
<td>模型2</td>
</tr>
<tr>
<td><strong>控制变量</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>公司规模</td>
<td>0.45*</td>
<td>0.34*</td>
</tr>
<tr>
<td>年均营业收入</td>
<td>-0.27</td>
<td>-0.29</td>
</tr>
<tr>
<td>组织层级</td>
<td>-0.17</td>
<td>-0.16</td>
</tr>
<tr>
<td><strong>自变量</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>营销学习</td>
<td>0.66**</td>
<td>0.73**</td>
</tr>
<tr>
<td>营销整合</td>
<td></td>
<td></td>
</tr>
<tr>
<td>营销管理</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>中介变量</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>营销能力</td>
<td></td>
<td></td>
</tr>
<tr>
<td>R²</td>
<td>0.13</td>
<td>0.54</td>
</tr>
<tr>
<td>F值</td>
<td>2.29</td>
<td>13.97**</td>
</tr>
<tr>
<td>ΔR²</td>
<td>0.13</td>
<td>0.42</td>
</tr>
<tr>
<td>ΔF</td>
<td>42.98**</td>
<td>42.98</td>
</tr>
</tbody>
</table>

注：n = 104；** p < 0.01；* p < 0.05

5. 结论与局限

本研究以知识基础观为切入点，在对营销能力分析基础上，融合组织学习理论、知识整合论，构建了营销“知识基础观”下营销能力与创新绩效关系的理论模型，并以中国高新技术企业为实证样本，经过样本收集，数据分析，采用多元
回归分析模型方法对理论模型进行了验证。结果如表2和表3所示，检验结果表明，6个假设都获得了支持。从整体上使得理论模型获得验证。本研究通过实证研究，证实营销学习、营销整合及营销管理对高新技术企业创新绩效有正向的显著影响，而营销能力在“知识基础观”的驱动因素与创新绩效间起到了中介作用。本研究通过对知识视角下的营销能力驱动因素与创新绩效的关系分析，解析了“知识基础观”下的营销能力与高新技术企业创新绩效的机制，丰富营销能力的研究领域，推动营销理论与管理理论的融合与发展。为同企业构建营销能力及提升竞争优势提供了切实可行的思路与参考。

虽然本文在研究设计上力求符合科学的原则，但仍受到实证数据、研究模型及度量方法等方面限制，使得研究结果的一般化解释及普适化结论受到了制约。针对上述研究局限，在未来的研究中，可以进一步拓展研究样本、丰富研究模型等，首先可以考察营销能力与绩效间的中介变量的作用，其次，可以综合考察企业的营销能力、技术创新能力、营销能力等概念如何共同作用而影响绩效，比较它们对绩效的影响作用的大小，并解释其对组织绩效不同的作用机理。同时，还可以加入营销能力前因变量进行分析，即能够对企业营销能力产生直接影响的变量，这一研究会为培育营销能力提供理论依据，从而为我国企业不断培育和提升营销能力奠定理论基础。

参考文献

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A Study of Consumption Circles

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ABSTRACT

Circles are the products of Chinese people in social activities which constitute the social structure with local characteristics. The study of the consumption circles is the key to understand the group behavior in China and to promote marketing theory localization. At first, the author defines the concept of the consumption circle under the marketing research field, analyzing their differences and relations with the concept of consumption community. Four stages of circles consumption including preparation, decision, joint consumption, evaluation, and four kinds of interactions including physical interaction, information interaction, GuanXi interaction and emotional interaction are proposed, based on the theory of Group Dynamics, Social Interaction and GuanXi theory. Combine with the existing consumer research and analysis on the groups level, the utility of social interaction is divided into five dimensions: resource sharing, consensus, resonance, social linking and group memory. Finally, the results of circle consumption are presented that forming ritual consumption, group preference congruence and group polarization.

Keywords: Consumption circles; consumption process; social interactions; interactive utility
简论消费圈子

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摘要

圈子是中国人社会活动的产物，是具有本土特色的社会结构。探索消费圈子的消费动机机制是理解中国人消费行为和推进营销学本土化的关键问题。本文首先对消费圈子的概念进行营销理论领域的界定，辨析其与消费社群的联系与区别。

以群体动力学、社会互动理论和人情关系理论为基础，分析圈子消费活动的四个阶段（准备阶段、决策阶段、共同消费阶段和评价阶段）和四种互动内容（物理互动、信息互动、人情互动和情感互动）。结合现有研究分析基于群体层面的人际互动形成的效用，包括资源共享、共识效用、情感共鸣、社会连接以及群体记忆。最后得出圈子消费活动的作用结果，即形成惯例消费，群体偏好一致和群体态度极化。

关键词：消费圈子；消费过程；社会互动；互动效用

1. 引言

社交媒体的迅速发展使消费者间的关系空前紧密起来，加入社群、微信群成为消费者的现代生活方式，每个人都或多或少地参与消费活动。尤其在中国本土，日常生活中随处可见消费者结伴而行，从购物、餐饮、健身运动、休闲娱乐，再到最近兴起的海外团购、办公室团购等，中国人似乎热衷于在消费过程中与他人进行互动，甚至彼此间关系越是紧密，消费活动越是频繁，形成一个个消费圈子。

这些消费圈子不同于西方传统研究中的消费社群，究其原因，我们不得不从中国文化的根本上溯源。中国人看待和处理人际关系的方式与西方消费者有着本质上的不同，圈子就是华人文化人际关系的实体表现。圈子在中国语境中是一个复杂的概念，圈子可以很大很抽象，如同事圈，也可以很小很具体，比如一个编辑部；圈子可以与名利有关，如总裁班；也可以与名利无关，如莫逆之交。同一个体可以
属于不同的圈子，在某一时间某一地点与某一个圈子发生一定联系（费孝通，1948）。那么，经常发生消费联系的圈子是什么样的圈子？消费圈子与消费社群有何异同？


本文着眼于群体层面，以消费圈子为研究对象，通过现有相关研究的梳理，探讨消费圈子的内涵，对消费圈子和消费社群这两个概念进行区分，并以群体动力学、社会互动理论和人情关系理论为基础，解析圈子的消费行为，分析圈子消费过程的4个阶段和这一过程中发生的社会互动。进而以互动的视角考察消费者之间的相互作用所产生的效用和群体层面的消费结果，跳出个体分析层面主流观点和理论的局限（如产品利益最大化），更好地理解和分析消费者如何从群体行为的体验中获得效用以及产生态度。现有研究也表明，圈子化/社群化是构成未来营销的三大基础之一，对圈子效用的研究可以为群体消费行为研究和企业价值主张创新提供一种新颖的视角（科特勒，2011）。

2. 圈子的内涵

2.1 圈子的概念界定

一提到圈子，国人大多心领神会，它是华人社会的基础结构，在中国的传统文化中具有重要地位，可以说有中国人的地方就有圈子。学者们从社会学和管理学等不同视角对圈子做出了定义。《说文解字》将圈子比喻为“一伙人为了混口饭吃而蜷缩在一起”。《汉语大词典》对圈子的解释是“集体的范围或生活的范围”。张健鹏（2006）认为圈子一说，在百姓而言只是个生活范围的概念，而在政治领域则是派系。王如鹏（2009）认为圈子是具有相同利益或相同成分的群落，人们以一定的相似性结合在一起，比如职业、兴趣、特长、个性、年龄、情感等。肖学周（2006）将圈子定义为由志向、趣味、年龄甚至居住地点都比较相近的人自动形成的团体。在管理学领域，组织中的圈子现象也成为近几年的关注焦点。梁钧平（1998）发现
圈子是界于正式组织与非正式组织之间的一种组织现象，是领导对部分下属的特殊信任与关照而建立起的特殊关系。蔡宁伟（2008）认为圈子就是“派系”、“嫡系”、“小团体”等组织现象。罗家德（2012）从“情境中心”的角度将工作场域的圈子定义为“一个相对封闭的和小规模的行动集，其内部成员进行着强烈的情感交换和工具交换。它是一个从个人自我中心向发展而来的非正式团体”。

上述不同领域的学者在对圈子定义时侧重点有所不同，现有的圈子定义共同反映出圈子概念的三个层面。第一，圈子是一个范围。中国人生活或工作在一个个圈子里，圈子里是个体熟悉的人和事，这种范围的形成可能由于外在因素比如同一个村落、居住社区，也可能是由于职业、兴趣等个体因素比如同一个班级、社团。把圈子作为一个范围理解时，圈子的概念可以非常大，一个行业、一个政党都可以称之为圈子，像娱乐圈、学术圈。第二，圈子是关系的结合体。圈子中有亲属关系、朋友关系、同学关系、上下级关系、同事关系等，个体如何看待这些关系便触及中国文化的根本。黄光国（2010）指出中国人的关系可分为工具性关系、混合性关系、情感性关系，不同的关系对以不同的人际法则。一个圈子可以包含多种强度各异的人际关系，因而圈子中往往又会出现若干以强关系为基础的小圈子。第三，圈子是一个行动集。并不只是有关系就可以归为一个圈子，没有交往行动的关系集合只能称之为社会结构，比如我们很难将不常走动的亲戚看作自己圈子里的人，而原本不熟悉的人通过一定的社会活动接触可能成为自己人。圈子成员通过一定的方式进行感情交换和工具交换，从而维持或加强成员间关系强度，形成对圈子的认同。不同学者就各自研究领域强调了圈子的某个层面，本文则聚焦圈子中的消费行为，综合圈子概念的三个层面，提出本研究中消费圈子（下称圈子）的定义：指具有相似兴趣、特长、身份等特征的，经常进行信息和情感交流并进行消费活动的强关系群体。

2.2 圈子与消费社群的关系

圈子和消费社群都是由消费者间关系构成的群体，有必要对二者间的联系与区别进行辨析。本文从形式逻辑的角度对这两个概念进行梳理，以解释圈子与消费社群两个概念所反映的不同本质。形式逻辑对概念的界定是将被界定的概念包括在其属概念之中，并揭示其与该属概念下其他概念间的差别（即种差）（董大海，）。因此，我们应首先关注圈子与消费社群的属概念，再关注它们的种差。

消费社群的属概念是社群，社群（community）最初以地域为基础形成，指居住在某一特定地域中的一群人，其生活围绕日常的互动模式进行组织（波普顿，2007）。Hillery（1955）提出判断社群的三个标准：地区，反映社群形成的范围；社会互动，反映社群成员发展人际关系的方式；凝聚力，反映成员对社群的归属感。圈子的属概念是小群体，小群体是成员彼此间进行直接互动并具有情感联系的小规模群体（米尔斯，1988）。在属概念上，消费社群和圈子反映出3种共同的属性：1.圈子和消费社群是特定范围内的行动群体；2.以社会互动为基础发展出一定的社
会关系和情感联结，而不是单纯的个体集合；3. 具有一定的凝聚力。另一方面，社群与小群体的差异体现在消费社群与圈子在属概念层面上的差异。小群体更强调成员间的感情连带和心理联系，并且人数一般较少（米尔斯，1988）。社群的资源流动结构包括星状、池状、网状三种：星状社群中的消费者则围绕某一特殊人物形成类似粉丝的组织，由某一领袖式人物引导，资源中心向某一中心流动，成员间的资源流动则非常少；池状社群如同一个党派，他们有着共同的信仰但是成员间很少互动，因此资源的流向十分分散，没有形成结构，比如对某一消费价值观或某一品牌持有相同态度的消费者会形成一个池状社群；网状社群的成员间存在较强的互动关系，他们通过不同的方式影响彼此（Fournier，2009）。与之相对的，小群体的资源流动结构是网状，成员间彼此是强关系。

在种差的区别辨析中，本文从消费社群和圈子的特征入手进行对比。消费社群是人们在决定消费什么以及如何消费的过程中形成的群体（Boorstin，1974），人们共享对某类产品、品牌、消费行为或消费理念的承（Cova & Cova，2002；Schouten & McAlexander，1995）。本文首先借鉴 Thomas（2013）总结的消费社群的特征维度，将消费社群和消费圈子进行一一比较，如表 1。

表 1：消费社群与消费圈子特征对比

<table>
<thead>
<tr>
<th>特征维度</th>
<th>消费社群</th>
<th>消费圈子</th>
</tr>
</thead>
<tbody>
<tr>
<td>聚焦点</td>
<td>以品牌为中心：萨布汽车社群（Muñiz &amp; O’Guinn，2001）</td>
<td>情感关系：圈子以成员间的情感关系，通过某种“缘”比如品位、兴趣和个性等结合在在一起，圈子的形成与维持基于成员间情感与信息的沟通，圈内成员对圈子的依赖和主要表现为对情感、社会资源的需要。</td>
</tr>
<tr>
<td>行动周期，行为存在的时间长度</td>
<td>临时型：快闪族（Barnes，2006）；持久型：苹果粉社群（Muñiz &amp; Schau，2005）</td>
<td>持久型：圈子成员间关系稳定，表现出长期的行动周期</td>
</tr>
<tr>
<td>进入壁垒，参与的最低条件和群体欢迎行为</td>
<td>低门槛型：网络注册即可参与（Mathwick et al., 2008）</td>
<td>门槛模糊：中国社会的圈子则没有清晰的边界，圈子成员并不确定，也没有固定的成员资格（罗家德，2012）。圈子里的关系并不明确，而是论交情讲关系。随着关系的远近变化，圈子的边界可变化自如。比如中国人的“自家人”可以包容任何要加入自己的圈子，以表现出关系的亲近的对象，自家人可出面协调（费孝通，1948）。</td>
</tr>
<tr>
<td>号召型：积极发展消费群体，鼓励新成员加入（Schau et al., 2009）</td>
<td>高门槛型：哈雷机车俱乐部，需要大量资金投入（Schouten &amp; McAlexander，1995）</td>
<td></td>
</tr>
<tr>
<td>交往渠道：参与者的互动是线上</td>
<td>聚合型：漂流社群，进行集体行动（Arnould &amp; Price，1993）</td>
<td>聚合型：自己人，共同的消费行为，如聚餐、休闲运动</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
通过比较我们发现，圈子和消费社群在聚焦点、行动周期和进入壁垒三个特征上是有差异的，而在交往渠道、市场导向和异质性这三个特征上是相似的。然而仅从消费社群的特征维度上比较圈子与消费社群的差异是不够的，圈子根植于中国传统文化之中，其自身还存在几点本土的文化特征：

圈子的内部结构是差序格局，社群的内部结构是团体格局。在社群中各分子的地位相等，个体不能侵犯团体的权利，团体也不能抹煞个人的权利，只能在个人所愿意交出的一分权利上控制个人。而圈子中的个人与其他分子形成的社会关系并非如团体中的关系般平等，而是如同水的波纹一般，一圈圈推出去，愈推愈远，也愈推愈薄，这便是圈子内部的差序格局（费孝通，1948）。在家庭这一小圈子为例，某个个体与家庭成员的关系可以包含父子、夫妻、兄弟、翁婿等众多关系，不同的关系对于个体而言并不平等，而是有亲有疏，此谓差序。梁漱溟先生认为这种种关系便是儒家学说中的“伦”，个体按照基于“伦”对私人关系进行排序，进而按照关系序列对自己在圈子中的位置进行定位以及应遵从何种行为规范（梁漱溟，1987；秦琴，2008）。

圈子的交往法则遵循特殊主义，社群的交往则遵循普遍主义。Trompenaars 和 Hampden-Turner（1997）区分了普遍主义和特殊主义两种文化取向。普遍主义文化取向指无论何种情境中，人们都有明确分辨是非的标准。特殊主义文化取向则指人们更关心自己与他人的关系，强调特殊情境与例外情况。King（1985）、何友晖等（1991）以及杨国枢（1993）将中国人的这种特殊主义取向称之为“关系取向”。关
系取向下的中国人看重圈里圈外之分，对待圈内人自有不同的处事标准。黄光国（2010）的“人情与面子”理论模型指出中国人与他人互动时的三种交往法则，分别是“需求法则”、“人情法则”和“公平法则”，用以应对不同亲疏程度的关系。杨中芳和赵志裕（1997）提出中国人在人际交往中的“合情合理”法则，根据不同的情境遵循工具性交换法则和情感性交流法则，并且中国消费者在互惠法则之上更强调“报”的法则，以使关系在社会资源（如恩惠、帮助、面子、礼物等）与经济资源的给与取两方面达到某种方式上的平衡（朱瑞玲，1987；金耀基，1981；杨中芳，1999），从而维持更长久的关系。通过以上比较，我们得出消费社群和消费圈子在属概念与种差上的联系与区别，见图 1。

图 1：消费圈子与消费社群的区别与联系

3. 圈子的消费行动

圈子成员通过一定的消费行动维系或加强圈子中的社会关系，从而获得稳定的情感资源和工具资源。圈子的消费行动作为一种群体层面的行动，该群体进行消费行动的内在动力是什么、消费者之间如何相互沟通、相互影响是揭示圈子消费行为机制的关键。群体动力论和社会互动理论对于分析圈子的消费行动过程具有借鉴意义。另一方面，圈子的消费行动还基于内部的群体规范，群体规范是确定和调整人
们共同活动以及相互关系的基本原则（郑晓明，1997）。在互惠法则的基础上，圈子的群体规范有着鲜明的本土特征，群体动力论与社会互动理论不足以充分释中国情境下圈子消费的行动机制，需要引入本土人际互动的相关研究——人情与关系理论，对圈子消费行动作进一步阐释。最后对基于圈子的消费体验过程和互动效用进行分析。

3.1 圈子消费行动的群体动力

1. 群体动力。

“动力”在《新华字典》中的解释是“推动工作、事业等前进和发展的力量”。群体动力则是源自群体内部的一种能量，这种能量决定了群体行动的前进与发展。勒温认为群体可以理解为个体所在的“场”，这个“场”是个体进行活动的情境，并且“场”并非是多个个体相加的结果，而是成员间相互依存、相互影响下的内在关系，此时个体行为与其在单独情境中的行为有所差异。因此，个体的行为的改变可以通过群体的改变完成，通过研究群体中成员间的相互作用以及成员关系，以群体的力

量的对个体的行为实施影响，并且在群体的水平上改变个体的态度或行为比单独逐个改变个体更有效果。Klisurich 曾对此做过一个实验，分别用群体决策和个别劝说两种不同的方式来劝使一些母亲让孩子服用鱼肝油，结果显示被试平均使用鱼肝油的程度在群体决策水平上的效果几乎是个体说服水平上效果的一倍。群体动力学还认为，群体成员间的交互作用不但影响个体的行为，还群体的整体行动、发展、绩效。积极的交互作用促进群体成员的友谊、信任等关系，产生正面的群体动力。群体动力可按照对群体发展的不同作用划分为驱动力、凝聚力、耗散力：驱动力是激励群体行动发展的力量，比如追求、兴趣等；凝聚力是保证群体稳定的力量，比如成员间的情感纽带或身份纽带；耗散力是阻碍群体行动的力量，比如意见冲突。这三种因素相互作用下的合力形成了群体发展的最终动力（高觉敷等，1991）。

群体动力学强调群体行为不能以考察个体的心理集合的角度进行研究，最然群体的行为在最终上仍是个体执行的结果。提出“场论”，这是心理学中的相对论。同时勒温主张群体不代表个体的和，群体仅仅是具有自身的特性，准确的来说，群体是不同于个体的和。以群体动力学的观点，消费圈子便是一个“场”，这个“场”中的消费行为与个体单独情境下的行为是相对的，影响个体的便是圈子中成员间的相互作用和相互依存的关系。

2. 社会互动。

社会互动理论作为微观社会学的代表性流派，主张以微观的人际互动关系分析社会现象，认为互动就是当几个个体同时在场时相互影响彼此的行为（Goffman, 1959）。社会学家米德强调，社会互动以多种方式构成了人类社会的主要部分，个体在互动中不断地影响他人同时也受他人的影响（戴维波普诺著，2007）。通过互动而建立的“互动仪式链”是社会结构的构建基础，互动中的人们进行文化资本和情感的交换，文化资本包括过往的对话、专业知识、地位、名望等。情感能量是人
们积极行动的重要驱动力，是个体充满自信与热情的感受。在这一交换过程中，人们仅因为共同在场而相互影响，并对局外人画圈，明确参与的是谁，产生共同的关注焦点，进而强烈的体验到共享的情感状态从而产生共鸣。互动的结果是形成群体团结，个体获得情感能量，代表群体的符号和群体规范（Collins，2009）。柯林斯认为，人类行为的特征或许是以情感能量为取向的，即人们趋向于那些相对于目前资源获得最高的情感能量回报的互动。

图 2：Collins 互动仪式的一般模型

群体动力论和社会互动理论的着眼点都是成员间的相互作用对个体行为和群体行为的，为圈子成员的消费行动提供了理论支撑。首先，圈子成员间的相互作用会影响个体的消费过程和消费结果：其次，圈子的群体动力是多种因素的合力，包括激励性因素、稳定性因素和消极性因素：最后，互动仪式模型从微观互动的角度解释了圈子成员相互作用的过程，圈子成员间在消费这一共同的行动中进行互动的要素包括成员共同在场、对圈内/圈外差异的感知、了解圈子成员们的所知所想、情感状态的共享，圈子成员互动结果是群体动力包括群体团结与情感能量、社会关系符号和群体规范。

3.2 圈子消费行动的互动过程

1.群体消费行动的过程

群体消费的过程从决策前到消费后可以划分为 4 个阶段，准备阶段（preparation）、决策阶段（decision）、共同消费阶段（joint consumption）、评价阶段（evaluation）（Marchand，2014）。在准备阶段，群体初步形成某种消费目标，群体内的某个成员或者某个子群搜集和分享相关消费项目的信息并召集其他成员加入行动。群体成员们根据已有的信息比如网络口碑、专业评论等对群体行动的时间和地点进行规划，这一规划将限制消费内容的选择范围。在决策阶段，群体成员聚焦于可实行的几个备选方案，决策者既可以是群体内的某个成员，也可以是成员们的联合决策。例如对于进行聚餐的 6 人群体，3 位先到达餐厅的成员可能会决定整个群体的用餐内容。对于方案的选择，可能遵循满意最大化原则也可能遵循不满意最小化原则（Bettman et al.，1998）。在共同消费阶段，群体成员间相互影响。比如
当一位成员不喜欢某种食物，其他成员对该食物的喜爱将减弱。在评价阶段，成员对消费对象即某产品和整体的消费体验进行个体层面和群体层面的评价，从而形成群体满意。对整体消费体验的评价范围是构成该群体消费情境的所有事物，包括在共同消费中创造社会价值的其他群体成员。例如某次共同消费的产品一般，但是群体成员共同度过的时间和体验使整体消费获得了较高评价。图 3 揭示了群体消费过程的概念框架。

图 3：群体消费过程的概念框架

Marchand（2014）在群体消费的 4 个阶段上提出群体在这一过程中面临的 5 个问题：成员角色分配、偏好预测、偏好综合、冲突和相互影响。成员角色分配表现为信息搜集的分工、消费决策的选择等，一个群体的决策可以通过代理决策（agent decision）和联合决策（cooperative decision）来实现。对于其他群体成员的偏好预测是困难的，尤其是对于亲密关系的群体来说，这是因为个体会不自觉地将
自身的喜好投射到伙伴身上，并且高估对伙伴偏好的了解程度，过于依赖已有的信息（Lerouge & Warlop，2006）。当成员聚集在一起的时候，个体可以通过信息反馈学习到其他成员的偏好信息，从而更好地预测他人的偏好（West，1996）。偏好综合是对群体成员偏好的权重决定问题，不同方式的偏好综合会导致不同程度的群体满意度，并且目前无法判断群体成员更倾向于满意最大化的方式还是不满意最小化的方式。冲突是偏好权重不均的结果，群体成员的个性特质是影响冲突的重要因素。利他主义的成员通常以亲社会行为强化社会联系并促进成员间的互惠行为（Belk，2010）。当成员都为利己主义者者后者都为利他主义者，冲突便必然发生。群体内的冲突解决方式同时反映出产品选择与人际关系在群体中的重要程度。在人际关系重要度较高的群体中，解决冲突的方式为策略调整（adjustment strategy）和策略妥协（compromise strategy），相互影响在群体消费的消费过程中发生作用。成员间判断他人的偏好，表达自我偏好，并且有意识的或无意识的影响他人的偏好，也接受来自他人的影响。与他人的共同经历会引起与单独消费时不同的感受与评价。与他人共同体验还引基于情绪感染过程的评价趋向和极化现象（Bohlin & et al，2006；Ramanathan & McGill，2007）。

2. 圈子消费行动的互动类型

在消费领域，Harris 等（2000）关注了消费者之间共同在场的的互动行为，认为“顾客间互动”（Customer-to-customer Interaction）这一术语是指消费者面对面的现场（on-site）互动，其他形式的合作互动如虚拟社区、品牌社区等非现场（off-site）互动则不在这一概念之内。Libai 等（2010）认为顾客间信息的交换构成互动过程，这一过程会改变消费者的偏好和购买行为，并将顾客间互动按照获取信息的方式划分为观察式学习和口头式学习。其中口头式互动又包含了五种类型，与产品相关的、与询问相关的、与流程相关的、身体上的帮助以及其他（Baron，1996）。Meyer & Westerbarkey（1994）把顾客间互动行为区分为物理的、智力的和情感的互动。Grove 和 Fisk（1997）用关键事件法对美国主题公园中的消费者群体互动行为进行研究，将顾客间互动行为分为礼仪性互动和社交性互动，礼仪性互动指为私人处世的规范相关的行为，社交性互动指与情感、友谊相关的行为。Nicholls（2005）对服务环境下的顾客间互动进行了分类，包括时间的共享、空间的共享、口头交流、信息交换、物理上的帮助以及反顾客行为六个类型。蒋婷、胡正明（2011）将中国游客间的互动行为划分为五类：基本礼仪、旅游规范、语言沟通、帮助行为和其他。杨德锋等（2014）以“美国女孩”品牌体验案例为研究对象，探讨了家庭成员间在消费过程中的互动行为，提出了参与性互动、分享性互动、知识性互动、创造性互动等四种互动行为。

目前关于顾客间互动的研究仍围绕服务现场陌生顾客间的互动行为，不构成互动仪式形成的条件，无法形成消费群体强烈的内群体认同和共享的情感状态，也就无法生成群体动力而对个体行为产生影响，因此圈子中的顾客间互动比陌生顾客间的互动具有更深的层次。此外，圈子成员间的互动受本土文化的影响，与陌生顾客间的互动内容有所差异。杨中芳等（1997）提出的“合情合理”法则就是在人际互动的判断和行为中，既顾及情的方面又顾及理得方面。在工具层面的互动中，处于

综上，本文借鉴已有研究将圈子中消费者间的互动行为划分为：物理性互动，共同在场形成了圈内成员对时间和空间的共享；信息性互动，对消费相关信息、知识和态度的交流使成员了解更多的产品信息、流行趋势以及了解彼此的消费观念、消费习惯；人情性互动，消费过程中通过相互帮助、给面子、增面子等有“人情味”行为表达人情以及进行人情交换；情感性互动，通过共享的真实情感相互激发消费过程中的情感状态。

3.3 圈子消费行为的互动作用


1.资源共享。圈子成员通过对消费活动的共同参与、消费信息及知识的相互分享、消费过程中的相互帮助而形成多种资源的共享。对消费的共同参与在消费过程中表现为对时间和空间的共享（Nicholls，2005）。这种共享会为个体带来额外的效用，比如当有朋友的陪伴在教室自习时会比独自学习感觉上没那么枯燥（Glaeser et al.，1999）。消费者不但可以从其他成员那里获得相关的消费信息与知识，同时也向他人分享自己的知识。圈子成员对社会资源也可以共享，在消费过程中相互帮助，尽可能为彼此提供一些便利，比如通过个人关系为圈子行动提供场所、价格折扣等。
参与共同消费的成员期望他人是乐于分享与相互帮忙的，这可以使他们对彼此的关系感到满意，从而获得令人满意的消费体验（Arnould & Price, 1993）。对于圈子成员而言，共享信息资源和社会资源不仅会对彼此关系感到满意，同时也是圈内人的义务也是一种人情往来。

2. 共识效用。圈子成员间通过了解彼此的消费经验、消费观念和消费习惯，相互影响、相互接受而对问题理解达成一致，从而产生与他人共同消费时的“志同道合”。消费者用特定的解释性框架处理某一消费体验，如同人们使用常规的框架应对日常活动（Berger & Luckmann, 1967; Goffman, 1974）。许多的消费对象存在于各种特殊的社会领域中，这一社会领域传递给消费者对相关消费对象是什么以及如何评价的共同定义。Holt（1995）对棒球这一领域的消费研究发现，棒球世界的解释性框架不仅由正式规则构成，而是由更重要的习俗、习惯、风格等要素构成，这为参与者们提供了共同的镜像和行动模板，从而对其消费情境、角色、行为作出理解。圈子构成了一个特殊的消费领域，圈子成员在消费活动中表达自我偏好同时学习其他成员的偏好信息，并通过相互影响形成一定程度上相似的消费观念和消费习惯，从而在消费过程中产生某些共同诉求。这种共同的认知可以是很大程度上避免个体间信息的不对称性而消费体验缺乏信心，甚至负面的行为通过同伴参与而使个体对行动的评价转向正面（Glaeser et al., 1999）。并且降低群体消费过程中由于偏好不一致带来的内部冲突。


4. 社会连接。圈子消费活动增强了成员间的关系强度、获得更多社会连接。对于群体层面的消费，实现个体间的关系连接比客观的消费对象本身更加重要，这是因为现代社会的消费者已较少通过消费直接寻求生活的意义，而是通过消费形成与他人或其他群体的多种社会关系来对其生活赋予意义（Cova, 1997; Peñaloza & Venkatesh, 2006）。消费使消费者与他人建立社会连接并形成对消费群体的归属感（Hamilton & Hewer, 2010）。Jafari 等（2013）认为在共同的文化消费中如参观博物馆，通过与他人分享兴趣和消费体验会促进新的关系的建立和既有社会关系的加强。一项调查显示当代中国城市居民中，有社交意愿的占 40.2%，很愿意进行社会活动的占 33.5%，两者共占 73.7%，显示出中国消费者对发展社会关系的强烈需求（宋
华等，1997）。中国人需要圈子，圈子的消费活动为个体加强了圈子中原有的关系
强度。另一方面，圈子具有渗透性，消费活动可以为圈子的扩大创造条件，建立新
的社会连接。

5.集体记忆。通过与圈子成员的共同体验形成消费者的记忆情境，使消费活动
中的产品品质、服务、环境等持久地存在于消费者的记忆中，形成对产品/服务的
特殊情感，甚至赋予某种消费活动以象征圈子关系的意义。Pine 和 Gilmore（1999）
的研究发现共同消费是创造体验的重要行为，只有顾客参与互动的体验才能持久地
存在于消费者的记忆中。我们经常看到某个品牌或产品会想起一些人和事，对与他
人共同进行消费的对象赋予额外的意义（Simon，2010），比如看到湖中会想起
大大小小的同学聚会，某个常去的咖啡馆会成为一个圈子里的“老地方”。圈子对产
品的共同消费与喜爱使产品被烙上圈子共同记忆的标记，成为代表圈子亲密感情的
符号。同时，人际关系的强度不同对品牌打上的烙印程度也不同。对血缘关系的情
感与信任会使个体对家庭使用的品牌同样产生信任和情感（徐岚等，2010）。对圈子
的归属感越强烈，圈子消费的品牌对品牌使用影响越大（Escalas et al., 2003）。
负面的人际关系同样对产品产生烙印，Fournier（1998）研究了女性的人际关系与
特定品牌间的关系，如对前夫喜欢的品牌打上人际关系的烙印从而排斥该品牌。

4.4.4.4.4.4.4.

4.圈子消费行动的结果

4.1 消费惯例

当一些消费活动在圈中经常性或周期性的进行，便形成了消费惯例或称消费仪
式（consumption ritual），这些活动像仪式一样赋予消费者以生活意义（Rook，
1985）。消费惯例既有群体进行的消费惯例，比如完成某个任务后进行一次单独的
庆祝性购物；也有群体进行的消费惯例，比如朋友间的生日庆祝等。根据 Rook
（1985）对消费惯例维度的划分，可按照消费行为来源的不同，可将圈子中的惯例
消费行为分为六类：上瘾类，如赌博、网游；审美类，如看电影、参观博物馆；通
过仪式类，在人生阶段的身份转换等关口而进行的相关消费，如毕业庆祝、生日庆
祝；风俗类，如各种节日的消费活动；学习类，如办公室聚餐、联谊会等。Gainer
（1995）以观看艺术表演的消费者为研究对象，发现宗教协会将共同观赏活动作为
群体内的一项惯例。Jafari 等（2013）的研究发现在参观博物馆的过程中，家庭成
员认为共同的体验和交流为家庭提供了相互了解的平台，从而将参观博物馆作为家
庭的一项惯例活动。

4.2 偏好一致性

圈子成员在相同的消费经历下往往会形成对某个品牌、服务等的共同偏好。
Reinger et al.（1984）研究了社会网络对品牌使用的影响。研究对象是女学生组
成的联络会，涉及到广泛的关系类型，如室友、毗邻的邻居、较远区域的邻居、运动
伙伴等，研究中选用的产品则覆盖了高、中、低卷入度水平的产品，包括洗发水、
牙膏、洗涤剂、杂志、披萨、手表和牛仔裤。研究除发现对公共产品存在群体成员
内的品牌一致性——与 Assael（1981）、Bearden 和 Etzel（1982）的研究结论一致，还发现这种一致性对私人产品同样存在，同时指出品牌一致性取决于两种因素，分别是产品类型和圈子（Clique）/群体类型。家庭关系中社会互动的文化传递对消费行为的影响也受到学者的关注。Moore et al.（2002）以母女关系为对象研究了社会网络中强关系对日用品消费的影响，研究表明女儿可以预测母亲对产品类别中 69% 的品牌偏好，并且母女间的品牌偏好的匹配度达 60%。

4.3 群体态度极化


5. 结语

圈子是具有本土特色的社会结构，也是中国人进行群体消费活动的重要形式。消费圈子有别于消费社群，具有强关系群体、差序结构、交往原则特殊等特征。圈子消费行动包括准备、决策、共同消费、评价四个阶段。这一消费过程同时是圈子成员进行社会互动、人情往来的过程，这一过程包含了物理互动、信息互动、人情互动、情感互动的四种互动内容。圈子的人际互动为群体层面的消费活动创造了新的体验，本文通过文献归纳出 5 种圈子消费的互动效用，分别是资源共享、共识效用、情感共鸣、社会连接和集体记忆。从产生过程来看，这 5 种效用是通过圈子成员的互动给消费者带来的消费体验，这与消费者个体进行消费活动所获得的消费体验完全不同，因此圈子消费的互动效用与个体层面研究中顾客获得的价值是相对独立的两个构念。从消费者行为的总体理论框架来看，群体因素一直被认为是外部影响因素之一，侧重于不同群体的功能对于消费行为的直接影响，而非个体与群体相互作用并对群体做出反应的过程，比如群体的信息共享便涉及个体的内部学习。从这个意义上来说，圈子消费活动的互动过程是影响消费者群体行为的内部影响因素。本文从互动的视角以消费圈子为研究对象，对比了消费圈子与消费社群间的区别与联系，分析了圈子消费过程与互动效用，将群体互动视为影响消费者行为的内部变量，对消费者行为研究的基础理论做出创新性贡献，也为企业的价值主张创新提供了实践方向。不足的是，本文中对圈子的互动效用与行为结果的研究还处于理论阶段，没有经过实证检验，有待于在未来的研究中进一步验证。
66-72.
86. 郑晓明，方俐洛，凌文铨．社会规范研究综述[J]．心理科学进展，1997（4）: 17-22．
87. 朱瑞玲．中国人的社会互动：试论面子的运作[J]．中国社会学刊，1987(11)：23-53．
88. 周志润．基于品牌社群的消费价值研究[J]．中国工业经济，2005 (2)：103-109．
In recent years, with the rise of Internet especially e-commerce, more and more people choose online shopping. Different sites in order to attract consumers to buy, take a different user incentive. Results of scholars around the consumer purchase decision research are huge, but from the perspective of online consumer incentives to research purchase decisions have yet to be perfected. Based on the analysis of domestic and foreign-related theory, this paper establishes incentive factors affecting online consumer model, by way of empirical research to explore the mechanism of motivational factors affecting online consumer purchase decisions, in ordering to determine the relationship between online consumer purchasing decisions and means used to promote incentives, This paper is divided into three parts: Firstly, review and summarizes the relevant literature and theoretical results at home and abroad; Secondly, establish a model of incentive factors affecting online consumer and implement the survey; Finally, analyze the questionnaire results, and put forward suggestions for e-commerce businesses on how to use marketing strategies to motivate consumers.

**Keywords**: Incentive theory; Users incentives; consumer purchasing decisions;


激励因素对网络消费者购买决策的影响

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摘要

近年来，随着互联网特别是电子商务的崛起，越来越多的人选择网上购物。不同网站为了吸引鼓励消费者购买，采取了不同的用户激励方式。国内外学者围绕消费者购买决策研究的内容丰厚。但从用户的激励的角度研究网络消费者购买决策还有待完善。为确定网络消费者购买决策与所使用的用户激励方式之间的关系，在分析国内外相关理论的基础上，本文建立激励因素对网络消费者影响模型，通过实证调研的方式，探索了激励因素影响网络消费者购买决策的作用机理。全文分为三个部分：首先，回顾总结了国内外相关文献及理论成果；其次，建立了激励因素对网络消费者购买决策影响模型并实施问卷调查；最后，分析问卷结果，结合研究结果，对电子商务企业如何激励用户购买提出针对性的营销策略及建议。

关键词：激励理论；用户激励；消费者购买决策；

1.导论

近几年，随着互联网的普及和使用深度的增加，网络购物用户规模发展迅速。据中国互联网络信息中心 CNNIC2015 年 2 月发布的《第 35 次中国互联网络发展状况统计报告》显示，截至 2014 年 12 月底，我国网民规模达到 6.49 亿，较 2013 年底增加 3117 万人，我国网络购物用户规模达到 3.61 亿。无论是互联网企业还是传统企业，电子商务都是一片非常重要的战场。不同企业为了吸引网络消费者购买采取了不同的营销措施来吸引消费者。

影响网络消费者购买决策的激励因素一方面指的是电子商务网站为长期留住顾客或者短期吸引顾客所使用的各种激励手段，例如：积分制、等级制、特价、满一定消费额送优惠券、包邮、服务增值等等；另一方面指的是用户本身的目标，用户出于自身兴趣和需要进行的网上购物。在进行网络营销策划时，企业要面临的问题是在特定的市场中选择哪种激励手段。根据马斯洛需要层次理论，消费者需要层次不同，不同的激励手段对于不同的消费者有不同的效果，哪一种激励手段对于对应于哪种消费者是最合适的，最能激发消费者购买，这是一个值得研究的课题。

本文的研究目的在于探索网络消费者购买决策中激励因素的影响。探究网络消费者的购买决策受不同类型激励手段的影响。本文在文献研究的基础上探索购
物网站激励因素对购买决策的影响模式，其中研究的激励手段主要分为三种，即财务激励、便利性激励和服务性激励，以消费者网络购物导向作为中介变量。然后通过实证研究的方式得出结论。最后，结合研究结果，对企业在网络营销方面如何激励用户购买提出针对性的营销策略及建议。

本文的研究意义分为理论意义和实践意义。理论意义是借助激励理论及营销学的相关研究成果，探索购物网站激励因素对消费者购买决策的影响模型，识别激励因素对购买决策的作用机理，对研究激励因素对购买决策的影响有一定的理论价值。实践意义是通过本文的研究，对互联网企业识别影响消费者购买决策的激励因素，探明激励因素的影响机理。为互联网企业设计用户激励机制提出针对性的营销策略，以便企业更好地维系目标用户，提高用户体验，达到网络营销的满意的效果。

2.文献综述

2.1 激励理论的相关研究

2.1.1 激励的内涵

激励在中文中是激发、鼓励的意思，在英文中“motivate”有两个含义，一是提供诱导、驱使行为的动机，二是用特别的设计激发、调动某种积极性。激励的因素可以是个体的内在目标也可以是外在的刺激因素。本文研究的是激励因素对网络消费者购买决策的影响。本文中的激励因素指的是互联网上的企业为网上消费者设计的各种网络营销措施，这些措施的目的是使消费者在企业的网站或者个体商家的网络店铺中购买相应产品，或者参与其中的营销活动，或者是为了维护与顾客的关系。刘正周（1996）指出，有关激励因素的研究，至少要考虑四个方面的内容，一是由什么激发激励对象的行为，二是怎样引导的这种行为，三是如何控制行为的幅度，四是如何使这种行为具有持续性。仅仅将激励措施片面的理解为利益诱导是不准确的、不能用来指导实践的。

2.1.2 激励理论

斯金纳的强化理论（Skinner's reinforcement theory）是理解行为或对人的人行为进行修正的重要学说，此理论认为人会重复对自己有利后果的行为，同时减少不利后果的行为。所以通过正强化或负强化来影响人的行为是一种常用的方法。[3]这种强化作用在影响消费者购买决策中的作用就是，一次购买行为之后，予以一定的奖励，或者是财务奖励或者是服务奖励，那么消费者有可能产生重复购买这种行为。这种理论的假设是消费者购买决策的原因来自外部刺激。

“目标设定理论”（Goal Setting Theory）是爱德温·洛克(Edwin A. Locke) 于1967年提出的，强调人目标本身的激励作用，人的动机随着目标产生，并影响行为，在将自己的行为结果与目标相比较的过程中调整自己的行为。目标本身的性质和周围变量都是影响目标激励的效果重要的因素。目标设置理论表现在消费者购买决策中就是消费者本身的网购欲望，由于网络购物具有便捷性、体验良好等特点，有些消费者非常享受网购带来的快乐以及生活质量的改善，这类消费者就是受个体目标驱使进行网络购物的消费者。

期望理论围绕着心理学家和行为科学家维克托·弗鲁姆（Victor H. Vroom）于1964年在《工作与激励》中提出。期望理论认为激励（motivation）取決于行
动结果的价值评价（即“效价”valence）和其对应的期望值（expectancy）的乘积。消费者期望值越高，激励因素越能驱使、诱导消费者的购买行为，产生良好激励的效果。

2.2 消费者网络购买决策相关研究

2.2.1 消费者网络购买决策相关理论

从二十世纪八十年代中期开始，关于个体使用信息技术的意愿和行为的研究有很多。其中最著名的有由 Davis 等提出的技术接受模型（TAM）。在技术接受模型中两个最重要的决定因素是：感知有用性（Perceived Usefulness）和感知易用性（Perceived Ease of Use）。感知有用性指的是消费者感觉到这个技术对自己有用的程度，感知易用性指的是消费者感知到的使用这个技术困难程度，以及成是否超出收益的程度。感知有用性和感知易用性影响使用系统的态度，使用态度影响使用系统的行为意向，行为意向最终影响使用行为。因此本文用购买意愿来测量购买决策。

表 1 网络消费者购买意愿量表

<table>
<thead>
<tr>
<th>测量项目</th>
<th>参考文献</th>
</tr>
</thead>
<tbody>
<tr>
<td>我会网络购物</td>
<td>Chen Y H, Barnes S.</td>
</tr>
<tr>
<td>如果需要购物，我会选择网络购物</td>
<td>（2007）</td>
</tr>
<tr>
<td>我预期我以后会进行网络购物</td>
<td></td>
</tr>
</tbody>
</table>

2.2.2 消费者购买决策过程

与传统营销环境一样，网上消费者购买的决策过程也是消费者谨慎地评价某一产品、品牌或服务的属性并进行选择、购买能满足其某种特定需要的产品的过程。这个过程一般包括确认需要、信息搜集、评估选择、做出购买决策和购后评价五个阶段。其中消费者购买需求一般是由两种刺激引起，即内部刺激和外界刺激。消费者购买决策是消费者经过复杂思维活动后作出的决策，影响购买决策的因素也很多，如个人的性格、兴趣、气质、生活习惯、收入水平、生活方式等主体内部刺激因素，以及商品促销方式、购物网站促销政策等外部刺激因素的影响。

陈慧和李远志（2006）主要从个体和环境因素两方面探讨影响网络消费者购买决策的因素。其中影响网络消费者购买决策的个体因素主要有态度、情绪、感知风险等，此外还论述了购物导向以及消费者对隐私关注度等因素也对网络消费者购买决策产生影响。

王崇，李一军，叶强（2007）研究了感知价值，得出感知利益、感知成本和感知风险共同影响感知价值，进一步影响网络消费者购买意愿。

Swaminathan & Lepkowska（1999）研究了消费者的购买导向对网络购买决策的影响，得出结论是便利性导向更倾向于网络购买和消费，而娱乐导向的消费者购买较少。

朱华伟和涂荣庭（2006）将购物导向作为调节作用研究了购物利益因素，将购物导向分为体验导向和购买导向。体验导向将购物看成一种享受，购买导向的顾客的目的是为了购买。
Li, Kuo & Rusell (1999) 将消费者网络购物分为四种导向，分别是娱乐导向、体验导向、便利导向和经济导向。

如表 3 是对消费者购买决策个体因素方面相关文献的总结，可以看出，除了消费者感知价值、态度、情绪等主观因素外，个体因素中的购物导向一直被作为研究的一个重要方面。购物导向分类依据的是消费者对购物的功能需求（朱华伟，涂荣庭 2006）。从表 3 中还可以看出关于购物导向的分类有很多种，但总的来说娱乐导向和体验导向的消费者都将网络购物看成一种享受，而另一部分消费者则是为了享受网络购物的便利条件而不是网购本身，因此，在综合前人研究的基础上本研究将消费者分为娱乐导向和便利导向两种。

表 2 网络消费者购买决策个体因素相关研究

<table>
<thead>
<tr>
<th>自变量</th>
<th>因变量</th>
<th>参考文献</th>
</tr>
</thead>
<tbody>
<tr>
<td>态度，情绪，感知风险，购物导向，对隐私的关注</td>
<td>本研究消费者购买意向</td>
<td>陈焕和李远志（2006）</td>
</tr>
<tr>
<td>感知利益，感知成本和感知风险形成感知价值</td>
<td>本研究消费者购买意向</td>
<td>王崇，李一军，叶强（2007）</td>
</tr>
<tr>
<td>便利导向、娱乐导向</td>
<td>网络消费者购买意向</td>
<td>Swaminathan &amp; Lepkowska（1999）</td>
</tr>
<tr>
<td>娱乐导向、体验导向、便利导向、经济导向</td>
<td>本研究消费者购买意向</td>
<td>Li，Kuo &amp; Rusell（1999）</td>
</tr>
<tr>
<td>购物利益（其中购物的体验导向和购买导向作为调节变量）</td>
<td>本研究消费者购买意向</td>
<td>朱华伟，涂荣庭（2006）</td>
</tr>
</tbody>
</table>

结合 Swaminathan 和 Li H 等所用的消费者网络购买导向量表制定出本研究的网络消费者购买导向量表如表 2 所示：

表 3 网络消费者购买导向量表

<table>
<thead>
<tr>
<th>购物导向</th>
<th>测量项目</th>
<th>参考文献</th>
</tr>
</thead>
<tbody>
<tr>
<td>娱乐导向</td>
<td>1.网购对我来说是愉快的体验  2.我喜欢在购物网站上逛  3.我网购时从不感觉无聊</td>
<td>Li H, Kuo C, Rusell M G（1999）</td>
</tr>
<tr>
<td>便利导向</td>
<td>1.我喜欢网购是因为结账时不用排很长的队  2.购物节省时间对我很重要  3.我喜欢购物不受时间限制</td>
<td>朱华伟，涂荣庭（1999）</td>
</tr>
</tbody>
</table>

本文认为购物导向会影响消费者对激励因素的关注，进而影响消费者购买决策。

2.2.3 激励因素对网络消费者购买决策影响的研究现状

从国内外有关激励机制的研究现状来看，激励机制的设计主要针对怎样提高组织内员工的工作效率、提高工作的积极性。本文认为，就激励的本意来讲，激
励机制不仅可以影响企业内部人员，也可以用来管理顾客。在电子商务领域，有三种激励类型被认为可以鼓励消费者购买，即财务激励、便利性激励、服务激励。

（1）财务激励

财务激励指的是给予消费者财务上的优惠，比如网站或商家提供打折促销、免运费、送优惠券、积分兑换商品、满一定金额返现金等。财务激励可以减少消费者的钱成本。

肖俊极和李国栋（2008）研究过积分策略对消费者的购买行为是否存在影响，以及积分策略对价格策略的替代作用，证实了积分策略的可行性，并且进一步得出了积分策略与价格策略的替代弹性。本文中积分策略作为一种长期导向的激励政策，用户通过购物、社区发言等可以累积积分，累积积分可以换购商品、提升用户等级、获得更好的服务等。

许莹在研究积分计划对消费者购买行为时将积分分为三类：常规型、促销型和情感型。常规型积分是平时购买所得积分，这种策略能够促进顾客购买量上升；促销型积分是在促销活动时获得的积分，通常要购满一定金额或件数，这种策略在活动进行时促进顾客购买，在促销活动结束后同样促进顾客购买；情感型积分对顾客的购买有显著促进作用，情感型积分的获得不是基于消费者的购买行为，而是其本身体质，消费者在获得额外的情感积分后会产生情感上的愉悦。

赵丽和罗亚（2008）对网络促销方式的研究中引入消费者购物经验作为中介变量，认为不同购物经验的消费者对不同促销活动接受度不同。

国外对于优惠券促销有效性影响因素的研究从上世纪八十年代开始，将影响因素大体分为三个方面：一是优惠券本身的属性，二是优惠券可以购买的产品类型，三是消费者的特征。

Z. John Zhang 在《The Optimal Choice of Promotional Vehicles: Front-Loaded or Rear-Loaded Incentives?》用向前促销和向后促销界定不同促销方式的目标导向，即是即时的（向前）还是延迟（向后）的价值促销方式，提出结论是：在寻求变化的市场中向前促销提高销量，但向后促销降低成本。　

（2）便利性激励

便利性激励指在网站或网络商家购买商品的便利性。网络使购物不受时空的限制。网站的便利性激励包括网站用户界面的设计简洁，容易搜索到想要的商品信息，购物的交流流程简单易懂。

查金祥和王立生（2006）通过实证研究得出结论，消费者感知到的购物网站的高便利性能提高顾客满意度。国外的研究也有证据证明网络购物者有便利导向

③ 许莹. 积分计划对消费者购买行为影响的实证研究[D]. 上海外国语大学, 2013
（Donthu and Garcia, 1999; Korgaonkar and Wolin, 1999）

（3）服务激励

服务激励指网站或者网络商家提供优质或者个性化的服务，使消费者的购物体验达到最优的状态，从而激励消费者购买的一类激励措施。例如商家良好的沟通态度、个性化产品推荐、达到一定等级的消费者可以享受差别优待等等。

张立玮（2001）对忠诚顾客奖励计划做出的研究得出的结论是，奖励计划初显成效的时候，竞争对手就会跟着模仿，导致企业付出了成本却不能得到相应的竞争优势。企业应将重点放在服务营销上面，通过提供有价值的服务来提升顾客忠诚。

史雅婉对个性化产品推荐的研究证实不同推荐时机和推荐信息来源对消费者购物决策有影响。

根据相关文献的量表，结合本研究的设计，三种激励类型的测量量表如表 3 所示：

<table>
<thead>
<tr>
<th>变量</th>
<th>代码</th>
<th>测量项目</th>
<th>参考文献</th>
</tr>
</thead>
<tbody>
<tr>
<td>财务激励</td>
<td>F1</td>
<td>网上打折活动对我很有吸引力</td>
<td>Close &amp; Kukar-Kinney (2009), 赵</td>
</tr>
<tr>
<td></td>
<td>F2</td>
<td>网上降价活动对我很有吸引力</td>
<td>丽，罗亚（2008）</td>
</tr>
<tr>
<td></td>
<td>F3</td>
<td>免运费活动对我很有吸引力</td>
<td></td>
</tr>
<tr>
<td></td>
<td>F4</td>
<td>网上优惠券对我很有吸引力</td>
<td></td>
</tr>
<tr>
<td></td>
<td>F5</td>
<td>网上搭售活动对我很有吸引力</td>
<td></td>
</tr>
<tr>
<td>便利性激励</td>
<td>C1</td>
<td>网络购物不受时间限制</td>
<td>Chung &amp; Shin (2008), Roy M C,</td>
</tr>
<tr>
<td></td>
<td>C2</td>
<td>网络购物不受地点限制</td>
<td>Dewit O, Aubert B A（2001）, 王</td>
</tr>
<tr>
<td></td>
<td>C3</td>
<td>在网站上搜索产品很方便</td>
<td>强，陈荣（2009）</td>
</tr>
<tr>
<td></td>
<td>C4</td>
<td>在购物网站上订购商品的步骤简单</td>
<td></td>
</tr>
<tr>
<td></td>
<td>C5</td>
<td>网络购物可以节省时间和精力</td>
<td></td>
</tr>
<tr>
<td></td>
<td>C6</td>
<td>获得网络产品的最新信息很方便</td>
<td></td>
</tr>
<tr>
<td>服务激励</td>
<td>S1</td>
<td>网站和网络商家提供的购物推荐产品符合我需要</td>
<td>查金祥，王立生（2006），Chang &amp; Chen (2008)</td>
</tr>
<tr>
<td></td>
<td>S2</td>
<td>网站或网络商家会根据我个人需要提供定制的广告信息</td>
<td></td>
</tr>
<tr>
<td></td>
<td>S3</td>
<td>网络或网络商家使我觉得享受了 VIP 服务</td>
<td></td>
</tr>
<tr>
<td></td>
<td>S4</td>
<td>网站或网络商家为我提供定制（个性化）服务</td>
<td></td>
</tr>
<tr>
<td></td>
<td>S5</td>
<td>网站或网络商家经常发给我最新的产品信息</td>
<td></td>
</tr>
</tbody>
</table>

3. 研究假设与模型构建
3.1 研究假设

3.1.1 激励因素与网络消费者购买意愿间的关系

电子商务网站为长期留住顾客或者短期吸引顾客所使用的一种激励手段会影响网络消费者购买决策。本文将激励手段分为三种，财务激励、便利性和服务激励。在消费者做出购买决策时，主要考虑的是付出成本和得到的收益，财务上的优惠、折扣可以吸引消费者购买；其次，人们上网购物除了可以享受便宜的价格外，方便、快捷也是网络购物的优势之一；最后，提供优质或者个性化的服务，给顾客提供良好的体验，增强差异性，能更好地吸引和留住顾客。因此，本文对激励因素对网络消费者购买意愿的关系提出以下假设：

H1: 财务激励正向影响网络购买意愿
H2: 便利性激励正向影响网络购买意愿
H3: 服务激励正向影响网络购买意愿

3.1.2 购物导向的中介作用

调节变量选取的是购物导向，娱乐导向即消费者网上购物是出于对网购的兴趣或者为了享受生活，便利导向即消费者网购的目的是为了方便和节约时间。娱乐导向的消费者会对网上促销信息多关心一些，他们花很多时间和精力在网上查，对每件商品进行比价，财务激励、服务激励可能对这类消费者更加有效，便利性激励可能对这类消费者没有太大吸引力。对便利导向的消费者来说，便利性激励更加有效，财务激励和服务激励的效果低一些。因此，本文对购物导向的调节作用提出以下假设：

H4a: 娱乐导向在财务激励对影响网络购买意愿起正向作用
H4b: 娱乐导向在便利性激励对影响网络购买意愿起负向作用
H4c: 娱乐导向在服务激励对影响网络购买意愿起正向作用
H5a: 便利导向在财务激励对影响网络购买意愿起负向作用
H5b: 便利导向在便利性激励对影响网络购买意愿起正向作用
H5c: 便利导向在服务激励对影响网络购买意愿起负向作用

3.2 模型构建

根据本文研究假设，本研究的具体框架见图 1 所示：
4. 研究设计

4.1 问卷设计

问卷主要包括三个部分，第一个部分的主要目的了解调查样本群体上网和网购的基本情况；第二部分用李克特七级量表的形式测量消费者在网上购物时的态度，量表中 1=完全不同意、2=不同意、3=基本不同意、4=不确定、5=基本同意、6=同意、7=完全同意；第三部分搜集受访者的资料。

4.2 样本选择与数据收集

本研究主要研究对象选取主要是在校及毕业不久的大学生（本科、专科、研究生）。选取这群人是因为：首先，大学生是我国网民的主要群体之一，且大多有网购的经历，具有普遍性；其次，大学生具有相关的知识水平，能很快理解问卷的内容，保证了问卷的有效性；最后，大学生样本取样比较方便。

调查问卷采取在线及回收方式，借助调研网站问卷星在线制作电子问卷，网上发放及填写。本次调研采取了以下措施保证调查所得到的数据真实、有效：首先保证问卷发放对象明确有效；其次判别获得的样本数据的真实性（如设置限制重复 IP 地址填写避免重复填写、对同一个量表都选单一选项的问卷予以剔除）。此次调研过程从 2013 年 12 月开始，到 2014 年 1 月结束，历时 1 个多月，总共收集到调查问卷 130 份，其中有效问卷 118 份，有效问卷回收率为 90.7%。

4. 数据分析

4.1 描述性统计分析

如表 4 所示，从样本的基本资料来看，本次调研中男女比例比较均衡，男性占 43.22%，女性占 56.78%；年龄主要分布在 18-24 岁之间；从学历来看，本科占绝大多数；月可支配收入在 800-1200 元之间居多（33.9%），其次是 1200-2000（16.95%）和 500-800（13.56%）。本次调查样本符合期望，能提供准确的研究材料。
表 5 有效样本的基本信息统计表

<table>
<thead>
<tr>
<th>人口统计变量</th>
<th>项目</th>
<th>频率</th>
<th>百分比</th>
</tr>
</thead>
<tbody>
<tr>
<td>性别</td>
<td>A 男</td>
<td>51</td>
<td>43.22%</td>
</tr>
<tr>
<td></td>
<td>B 女</td>
<td>67</td>
<td>56.78%</td>
</tr>
<tr>
<td>年龄</td>
<td>A 18 岁以下</td>
<td>3</td>
<td>2.54%</td>
</tr>
<tr>
<td></td>
<td>B 18-24 岁</td>
<td>100</td>
<td>84.75%</td>
</tr>
<tr>
<td></td>
<td>C 25-30 岁</td>
<td>12</td>
<td>10.17%</td>
</tr>
<tr>
<td></td>
<td>D 31-40 岁</td>
<td>2</td>
<td>1.69%</td>
</tr>
<tr>
<td></td>
<td>E 40 岁以上</td>
<td>1</td>
<td>0.85%</td>
</tr>
<tr>
<td>在读或已读最高学位</td>
<td>A 初中及以下</td>
<td>1</td>
<td>0.85%</td>
</tr>
<tr>
<td></td>
<td>B 高中（含中专）</td>
<td>5</td>
<td>4.24%</td>
</tr>
<tr>
<td></td>
<td>C 大专</td>
<td>10</td>
<td>8.47%</td>
</tr>
<tr>
<td></td>
<td>D 本科</td>
<td>92</td>
<td>77.97%</td>
</tr>
<tr>
<td></td>
<td>E 硕士</td>
<td>8</td>
<td>6.78%</td>
</tr>
<tr>
<td></td>
<td>F 博士</td>
<td>2</td>
<td>1.69%</td>
</tr>
<tr>
<td>月可支配收入</td>
<td>A 300 元以下</td>
<td>12</td>
<td>10.17%</td>
</tr>
<tr>
<td></td>
<td>B 300-500</td>
<td>14</td>
<td>11.86%</td>
</tr>
<tr>
<td></td>
<td>C 500-800</td>
<td>16</td>
<td>13.56%</td>
</tr>
<tr>
<td></td>
<td>D 800-1200</td>
<td>40</td>
<td>33.9%</td>
</tr>
<tr>
<td></td>
<td>E 1200-2000</td>
<td>20</td>
<td>16.95%</td>
</tr>
<tr>
<td></td>
<td>F 2000 元以上</td>
<td>16</td>
<td>13.56%</td>
</tr>
</tbody>
</table>

样本人群网购的基本情况如表 5 所示，从表中可以看出，每天使用互联网的时间 5 小时以上的最多，占 29.66%，其次是 3-5 小时（26.7%），可见样本群体使用互联网较频繁；46.61%一年内网上购物的次数超过十次，可见样本群体网上购物经验丰富；从每次网上购物的金额来看，58.47%的人选择的是 1-100，其次是 101-300（25.42%）。
表 6 样本网络购物基本情况统计表

<table>
<thead>
<tr>
<th>统计量</th>
<th>分类</th>
<th>频率</th>
<th>百分比</th>
</tr>
</thead>
<tbody>
<tr>
<td>每天使用互联网时间</td>
<td>0.5 小时 以下</td>
<td>7</td>
<td>5.93%</td>
</tr>
<tr>
<td></td>
<td>0.5-1 小时</td>
<td>7</td>
<td>5.93%</td>
</tr>
<tr>
<td></td>
<td>1-3 小时</td>
<td>38</td>
<td>32.2%</td>
</tr>
<tr>
<td></td>
<td>3-5 小时</td>
<td>31</td>
<td>26.7%</td>
</tr>
<tr>
<td></td>
<td>5 小时以上</td>
<td>35</td>
<td>29.66%</td>
</tr>
<tr>
<td>一年网上购物的次数</td>
<td>0 次</td>
<td>8</td>
<td>6.78%</td>
</tr>
<tr>
<td></td>
<td>1-3 次</td>
<td>16</td>
<td>13.56%</td>
</tr>
<tr>
<td></td>
<td>4-6 次</td>
<td>26</td>
<td>22.03%</td>
</tr>
<tr>
<td></td>
<td>7-9 次</td>
<td>13</td>
<td>11.02%</td>
</tr>
<tr>
<td></td>
<td>10 次以上</td>
<td>55</td>
<td>46.61%</td>
</tr>
<tr>
<td>每次网上购物的金额</td>
<td>0 元</td>
<td>6</td>
<td>5.08%</td>
</tr>
<tr>
<td></td>
<td>1-100 元</td>
<td>69</td>
<td>58.47%</td>
</tr>
<tr>
<td></td>
<td>101-300 元</td>
<td>30</td>
<td>25.42%</td>
</tr>
<tr>
<td></td>
<td>301-500 元</td>
<td>8</td>
<td>6.78%</td>
</tr>
<tr>
<td></td>
<td>500 元以上</td>
<td>5</td>
<td>4.24%</td>
</tr>
</tbody>
</table>

4.2 信度分析与效度分析

4.2.1. 信度分析

信度（Reliability）即可靠性，即用同样的方法对某一对象反复测量时所得结果的一致性程度。如表 6 所示，采用克朗巴哈系数（Cronbach’s α）测量，所有测量项目的值都高于 0.7，表示可以接受这些量表。

表7 量表可靠性统计

<table>
<thead>
<tr>
<th></th>
<th>Cronbach's Alpha</th>
</tr>
</thead>
<tbody>
<tr>
<td>财务激励量表可靠性统计</td>
<td>.874</td>
</tr>
<tr>
<td>便利激励量表可靠性统计</td>
<td>.980</td>
</tr>
<tr>
<td>服务激励量表可靠性统计</td>
<td>.974</td>
</tr>
<tr>
<td>娱乐导向量表可靠性统计</td>
<td>.950</td>
</tr>
<tr>
<td>便利导向量表可靠性统计</td>
<td>.877</td>
</tr>
<tr>
<td>购买意愿量表可靠性统计</td>
<td>.941</td>
</tr>
</tbody>
</table>

4.2.2. 效度分析
效度（Validity）即有效性，指测量工具或手段能够准确测出所需测量的事物的程度。如表7所示，KMO值大于0.7，说明测量结果适合做因子分析，Bartlett的球形检验的P<0.001，说明分析样本量是足够的。

表8 KMO 和 Bartlett 的检验

| 取样足够度的 Kaiser-Meyer-Olkin 度量 | .891 |
| Bartlett 的球形检验 近似卡方 | 2390.470 |
| df | 300 |
| Sig. | .000 |

4.3 相关分析

通过对六对变量之间皮尔逊相关性检验，检验结果如表8所示，从表中可以看出，财务激励、便利性激励和服务激励都与购买意愿呈显著的正相关，其中便利性激励与购买意愿的相关程度最高。

表9 相关性检验

<table>
<thead>
<tr>
<th></th>
<th>财务激励</th>
<th>便利性激励</th>
<th>服务激励</th>
<th>娱乐导向</th>
<th>便利导向</th>
<th>购买意愿</th>
</tr>
</thead>
<tbody>
<tr>
<td>财务激励</td>
<td>Pearson 相关性</td>
<td>1</td>
<td>.471**</td>
<td>.484**</td>
<td>.554**</td>
<td>.440**</td>
</tr>
<tr>
<td>显著性（单侧）</td>
<td>.000</td>
<td>.000</td>
<td>.000</td>
<td>.000</td>
<td>.000</td>
<td>.000</td>
</tr>
<tr>
<td>N</td>
<td>118</td>
<td>118</td>
<td>118</td>
<td>118</td>
<td>118</td>
<td>118</td>
</tr>
<tr>
<td>便利性激励</td>
<td>Pearson 相关性</td>
<td>.471**</td>
<td>1</td>
<td>.537**</td>
<td>.662**</td>
<td>.708**</td>
</tr>
<tr>
<td>显著性（单侧）</td>
<td>.000</td>
<td>.000</td>
<td>.000</td>
<td>.000</td>
<td>.000</td>
<td>.000</td>
</tr>
<tr>
<td>N</td>
<td>118</td>
<td>118</td>
<td>118</td>
<td>118</td>
<td>118</td>
<td>118</td>
</tr>
<tr>
<td>服务激励</td>
<td>Pearson 相关性</td>
<td>.484**</td>
<td>.537**</td>
<td>1</td>
<td>.742**</td>
<td>.593**</td>
</tr>
<tr>
<td>显著性（单侧）</td>
<td>.000</td>
<td>.000</td>
<td>.000</td>
<td>.000</td>
<td>.000</td>
<td>.000</td>
</tr>
<tr>
<td>N</td>
<td>118</td>
<td>118</td>
<td>118</td>
<td>118</td>
<td>118</td>
<td>118</td>
</tr>
<tr>
<td>娱乐导向</td>
<td>Pearson 相关性</td>
<td>.554**</td>
<td>.662**</td>
<td>.742**</td>
<td>1</td>
<td>.731**</td>
</tr>
<tr>
<td>显著性（单侧）</td>
<td>.000</td>
<td>.000</td>
<td>.000</td>
<td>.000</td>
<td>.000</td>
<td>.000</td>
</tr>
<tr>
<td>N</td>
<td>118</td>
<td>118</td>
<td>118</td>
<td>118</td>
<td>118</td>
<td>118</td>
</tr>
<tr>
<td>便利导向</td>
<td>Pearson 相关性</td>
<td>.440**</td>
<td>.708**</td>
<td>.593**</td>
<td>.731**</td>
<td>1</td>
</tr>
<tr>
<td>显著性（单侧）</td>
<td>.000</td>
<td>.000</td>
<td>.000</td>
<td>.000</td>
<td>.000</td>
<td>.000</td>
</tr>
<tr>
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<td>118</td>
<td>118</td>
<td>118</td>
<td>118</td>
<td>118</td>
<td>118</td>
</tr>
<tr>
<td>购买意愿</td>
<td>Pearson 相关性</td>
<td>.501**</td>
<td>.759**</td>
<td>.528**</td>
<td>.630**</td>
<td>.690**</td>
</tr>
<tr>
<td>显著性（单侧）</td>
<td>.000</td>
<td>.000</td>
<td>.000</td>
<td>.000</td>
<td>.000</td>
<td>.000</td>
</tr>
<tr>
<td>N</td>
<td>118</td>
<td>118</td>
<td>118</td>
<td>118</td>
<td>118</td>
<td>118</td>
</tr>
</tbody>
</table>

**. 在 .01 水平（单侧）上显著相关。

4.4 回归分析

4.4.1. 激励因素对购买意愿的回归分析
如表9所示，用SPSS回归分析所得的F值为59.923，P<0.001，可见回归模型显著。

<table>
<thead>
<tr>
<th>模型</th>
<th>平方和</th>
<th>df</th>
<th>均方</th>
<th>F</th>
<th>Sig.</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 回归</td>
<td>119.517</td>
<td>3</td>
<td>39.839</td>
<td>59.923</td>
<td>.000a</td>
</tr>
<tr>
<td>残差</td>
<td>75.791</td>
<td>114</td>
<td>.665</td>
<td></td>
<td></td>
</tr>
<tr>
<td>总计</td>
<td>195.308</td>
<td>117</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

a. 预测变量: (常量), 服务激励, 财务激励, 便利性激励。

如表10所示，财务激励和便利性激励的T值都达到了显著水平（P<0.05），非标准化回归系数分别是0.151和0.655。从表10中还可以看出，服务激励的T值没有达到显著水平，所以服务激励回归系数不显著。因此H1（财务激励正向影响网络购买意愿）和H2（便利性激励正向影响网络购买意愿）成立，而本文数据不支持H3（服务激励正向影响网络购买意愿）。回归方程的截距为0.734，其P<0.05，达到了显著水平。

本次回归分析得到的多元回归方程为:

购买意愿=0.734+0.151*财务激励+0.655*便利性激励

<table>
<thead>
<tr>
<th>模型</th>
<th>非标准化系数</th>
<th>标准系数</th>
<th>t</th>
<th>Sig.</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 (常量)</td>
<td>0.734</td>
<td>0.351</td>
<td>2.089</td>
<td>.039</td>
</tr>
<tr>
<td>财务激励</td>
<td>0.151</td>
<td>0.149</td>
<td>2.138</td>
<td>.035</td>
</tr>
<tr>
<td>便利性激励</td>
<td>0.655</td>
<td>0.625</td>
<td>8.649</td>
<td>.000</td>
</tr>
<tr>
<td>服务激励</td>
<td>0.133</td>
<td>0.120</td>
<td>1.650</td>
<td>.102</td>
</tr>
</tbody>
</table>

a. 因变量: 购买意愿

4.4.2. 购物导向的调节作用

购物导向的的界定是用娱乐导向的得分减去便利导向的得分，正数表示娱乐导向，负数表示便利导向。将整个样本根据娱乐导向和便利导向分层，0表示娱乐导向，1表示便利导向。让后再分别对财务激励、便利性激励和服务激励做回归分析。在娱乐导向的模型中，财务激励、便利性激励和服务激励对购买意愿的影响都是正向显著的，其中财务激励和服务激励的非标准化系数有所增加，便利性激励的非标准化系数减少了，因此假设H4a(娱乐导向在财务激励对影响网络
购买意愿起正向作用)、假设 H4b（娱乐导向在便利性激励对影响网络购买意愿起负向作用）、假设 H4c(娱乐导向在服务激励对影响网络购买意愿起正向作用) 均成立；在便利导向模型中，只有便利性激励对购买意愿的影响是显著的且是正向的，且便利性激励的非标准化系数变小了，因此本研究不支持 H5a（便利导向在财务激励对影响网络购买意愿起负向作用）、H5b（便利导向在便利性激励对影响网络购买意愿起正向作用）、H5c（便利导向在服务激励对影响网络购买意愿起负向作用）。

<table>
<thead>
<tr>
<th>购物导向分类</th>
<th>模型</th>
<th>非标准化系数</th>
<th>标准系数</th>
<th>t</th>
<th>Sig.</th>
</tr>
</thead>
<tbody>
<tr>
<td>.00</td>
<td>1（常量）</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>财务激励</td>
<td>.247</td>
<td>.105</td>
<td>.228</td>
<td>2.346</td>
<td>.022</td>
</tr>
<tr>
<td>便利性激励</td>
<td>.512</td>
<td>.114</td>
<td>.472</td>
<td>4.477</td>
<td>.000</td>
</tr>
<tr>
<td>服务激励</td>
<td>.293</td>
<td>.116</td>
<td>.255</td>
<td>2.538</td>
<td>.014</td>
</tr>
<tr>
<td>1.00</td>
<td>1（常量）</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>财务激励</td>
<td>.038</td>
<td>.089</td>
<td>.050</td>
<td>.432</td>
<td>.667</td>
</tr>
<tr>
<td>便利性激励</td>
<td>.541</td>
<td>.109</td>
<td>.592</td>
<td>4.977</td>
<td>.000</td>
</tr>
<tr>
<td>服务激励</td>
<td>.002</td>
<td>.111</td>
<td>.002</td>
<td>.017</td>
<td>.986</td>
</tr>
</tbody>
</table>

a. 因变量: 购买意愿

4.5 研究小结

本次研究首先通过描述性统计描述了样本的基本情况，接着用信度分析和效度分析分别验证了量表的可靠性和有效性。然后采用相关分析对假设进行初步验证，之后通过多元回归分析验证了本文的三种激励因素（财务激励、便利性激励、服务激励）对网络消费者购买意愿的显著影响，检验了购物导向的调节作用。假设检验结果如表12所示。

<table>
<thead>
<tr>
<th>假设</th>
<th>假设关系</th>
<th>检验结果</th>
</tr>
</thead>
<tbody>
<tr>
<td>H1</td>
<td>财务激励正向影响网络购买意愿</td>
<td>成立</td>
</tr>
<tr>
<td>H2</td>
<td>便利性激励正向影响网络购买意愿</td>
<td>成立</td>
</tr>
<tr>
<td>H3</td>
<td>服务激励正向影响网络购买意愿</td>
<td>不成立</td>
</tr>
<tr>
<td>H4a</td>
<td>娱乐导向在财务激励对影响网络购买意愿影响中起正向作用</td>
<td>成立</td>
</tr>
<tr>
<td>H4b</td>
<td>娱乐导向在便利性激励对影响网络购买意愿影响中起负向作用</td>
<td>成立</td>
</tr>
<tr>
<td>H4c</td>
<td>娱乐导向在服务激励对影响网络购买意愿影响中起正向作用</td>
<td>成立</td>
</tr>
<tr>
<td>H5a</td>
<td>便利导向在财务激励对影响网络购买意愿影响中起负向作用</td>
<td>不成立</td>
</tr>
<tr>
<td>H5b</td>
<td>便利导向在便利性激励对影响网络购买意愿影响中起正向作用</td>
<td>不成立</td>
</tr>
<tr>
<td>H5c</td>
<td>便利导向在服务激励对影响网络购买意愿影响中起负向作用</td>
<td>不成立</td>
</tr>
</tbody>
</table>

6.研究结论建议及展望
6.1 研究主要结论

6.1.1. 财务激励、便利性激励和服务激励三种激励因素都与网络购买意愿成显著的正相关。其中便利性激励对网络购买意愿的影响最显著，其次是财务激励，服务激励对网络购买意愿没有显著影响。根据马斯洛的需求层次理论，消费者只有满足了底层的需要，更高层次的需要才对他们有吸引力。服务激励对购买意愿的影响不显著，说明现阶段中国消费者大多处于较低层次的消费需求，他们网络购物要求便利、价格便宜，进而的化、个性化的服务，则这一选择也与中国网民整体素质相符合。而在便利性激励与财务激励的比较中，消费者更倾向于便利激励，这个也不难理解。网上的打折、优惠券的活动纷复杂、规则多，消费者很难得到真正的实惠，除非真的是物美价廉的折扣优惠活动，消费者对这类活动还是心存戒备的。而便利激励使消费者网络购物变得顺畅，这是真正的实惠，增加了消费者的好感和信任度，所以对消费者有较大的吸引力。

6.1.2. 网络购物导向是激励因素对网络购物意愿影响的重要调节因素，本文研究的结论支持网络购物的娱乐导向对财务激励和服务激励起正向的调节作用。娱乐导向对便利激励起负向的调节作用。娱乐导向的消费者认为网络购物是愉快的体验，并不会因为长时间在购物网站浏览商品而感到无聊，此类人群对商品打折活动的关注的可能性更大，对于商家的个性化推荐也有很高的兴趣，这种特质导致了财务激励和服务激励效果的增强。相反，由于对便利的要求没那么高，娱乐导向的消费者对便利激励的措施敏感度也就没有那么强烈。

6.2 企业建议及对策

6.2.1. 善于用激励措施做好顾客引导，提高购买率。网上的商品种类款式繁多，消费者面临的选择很多，使用激励策略的目的是为了激发顾客的购买动机。财务激励对消费者的影响最为直接，是提高短期内销货量的一种营销手段。采用打折优惠、包邮、发优惠券等方式能够促进对价格敏感的消费者购买。网络对时间和空间的突破，使得随时随地购物成为可能，从事电子商务的企业要尽其所能地让消费者购物更加的便利。购物流程设计简单易懂、快速完备的物流配送等便利激励等，都是在不同程度上刺激消费者下单。服务激励虽然不能显著促进消费者购买，但是保证良好的服务也是和购买意愿正相关的，利用好服务激励给消费者提供意想不到的惊喜，比如根据浏览记录推荐想买却找不到的商品、为顾客定制产品、耐心解决客户投诉等。企业应该充分意识到激励措施的重要性，从顾客进入网站开始，就受到各种良好的体验的引导和激励的刺激，促进行客购买，从而提高用户粘性、忠诚度等。

6.2.2. 根据顾客类型合理实施激励策略，对于不同购物导向的消费者来说，不同的激励措施效果不同。娱乐导向的消费者觉得网购是一件轻松又愉快的事情，他们乐意花时间比价、对定制化的推荐信息和服务更为敏感，相反购物的便利性对他们来说不是很大的激励因素。而便利导向的消费者比较看重网购带来的便利体验，打折、免运费、优惠券、定制化服务对他们来说吸引力不大。对消费者来说要实现精准营销，使营销手段达到最优的效果，就需要根据不同的类型的顾客实施不同的激励手段。

6.3 研究局限及展望

6.3.1. 研究局限
本研究完善了从激励因素的角度关于消费者行为方面的研究，具有一定的理论意义和实践价值，但是由于各方面的因素限制，本研究存在一定的局限。首先，本研究中的奖励用户的措施的选取，只选取了具有代表性的打折、优惠券、购物推荐等营销措施，还有其他的奖励措施由于条件的限制不能一一举例进行探讨。其次，出于使用网络购物可能性大、熟悉网络购物流程和抽样方便性等原因考虑，本文研究调查问卷发放对象主要是在校和毕业不久的大学学生。回收的 118 份有效问卷中，在校及毕业不久的高校学生占绝大多数，年龄也集中在 18-24 岁，不能全面反映不同年龄、职业、地区的人群的特征。相关研究有待进一步全面展开和加深。

6.3.2. 研究展望

首先，关于怎样进行用户奖励，对消费者进行合理引导相关的研究还不够完善，而且缺乏相关数据的支持，还没有形成一定的理论体系。因此，未来的研究应该继续关注于理论研究，对相关理论进行不断的修改和完善。

其次，未来的研究可以继续通过理论研究和实证研究，深入讨论个体导向和奖励强化是如何影响网络消费者做出决策的，将研究样本扩大到整体网民。网络消费者决策的激励机制是怎样的，以及哪类因素对其影响更为显著。

最后，随着电子商务不断发展，其理论体系也有待于进一步发展成熟，网络购物的商业机制更是不断地变化发展，因此激励网络消费者购买决策的因素可能会随之不断地变化和发展。针对这种情况，研究者有必要根据网络消费环境的变化，对有关因素进行跟踪。

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ABSTRACT

Since the coming of post-modern society, reflections on marketing development brought along by both ecological counterattack and social democratic progress are increasingly deepening, whereas traditional marketing strategies focusing on profit maximization are losing their society and reason. The present paper, from the Oriental perspective, begins with Shi He, the conception of the essence of marketing in Yi Jing, based on adequate interpretation of the language system of Yi Jing, discusses the ideology on the essence of marketing in Yi Jing, expecting to provide a practicable Oriental perspective for the present marketing transformation.

Keywords: Yi Jing, the essence of marketing, Shi He
噬嗑：易经营销本质观的阐释与当代反思

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摘要

当人类步入后现代社会，生态反制和社会民主进程发展所带来的营销发展反思日益深入，传统的以利润最大化为核心的营销发展战略正在逐步失去其社会和理性。本文立足东方视角，从易文化中关于营销本质的概念——噬嗑出发，依据“道一象一器”的解析方向，在充分解读易经语言系统特点的基础上，通过“两两重之”和“兼三才而两之”的复合逻辑推理，探讨蕴含于易经文化中的营销本质思想，以期给当代的营销转型提供一个可行的东方视角。

关键词：易经；营销本质；噬嗑

1. 营销本真：噬嗑

关于营销的本质，易经中作这样的表述：“包牺氏没，神农氏作，……，日中为市，致天下之民，聚天下之货，交易而退，各得其所，盖取诸噬嗑（春秋《易经·系辞下》）”。

以上是易经中以人类的市场行为为范例，具体展示中国古代先贤“制器尚象”过程的一段文字。所谓制器尚象，即“以制器者尚其象”，也称“观象制器”，是易经中圣人为圣四道之一（“易有圣人之道四焉：以言者尚其辞，以动者尚其变，以制器者尚其象，以卜筮者尚其占”）。所谓象，易经中说：“圣人有以见天下之赜，而拟诸其形容，象其物宜，是故谓之象”。简而言之，这句话的意思就是：先贤们在发现天地之间奥秘之后，采用了一种表达方式来阐述奥秘本身及其本质，这就是象。所以不难理解，易经中的象有点类似现代科学中已经被证明了的科学理论。而关于“器”，系辞中说：“形而上者谓之道，形而下者谓之器”。也就是说，天地宇宙间，道是超越一切具象、形状的事物的本真，而一切形、具象的都可以称之为器。因此，器可以是一件具体的器皿，如“守圉之器（墨子《墨子·公输》）”也可以是一种制度、商业模式等，如“摹其法器无不驯，从其事政无不理（陈子昂《申州司马王府君墓志》）”。

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事实上，在中国传统易文化中，“道”、“象”和“器”是在人类社会实践中一贯之的三个概念、范畴，即“天垂象，见吉凶，圣人象之”，“见乃谓之象，形乃谓之器”。在这样一个范畴体系中，“道”指代的是宇宙大道、终极真理；“象”是圣人（大约可以理解为西方科学范式中的科学巨匠，如爱因斯坦）根据自己对道的理解而对她的符号文字描述；而“器”则是依据象进行的社会实践活动成果，如上所述，它可以是具体的物质实体，也可以是一套制度，甚至可以是一种行为方式等等。只要是尚象遵道的成果都可以称之为器。所以，以上三者的基本涵义，我们不难理解，所谓制器尚象所阐释的是“道一象一器”这样一组范畴产生联系的具体路径，即人们根据象来组织具体的社会实践。因为象反映的是道，制器尚象就能做到人类社会实践符合宇宙大道的基本方向。所以清代大思想家王夫之认为：“制器尚象，非徒上古之圣作为然，凡天下后世所制之器亦皆暗合阴阳刚柔虚实错综之象，其不合于象者，虽一时之俗尚，必不利于用而速敝，人特未之察尔” [1]。

2. 噬嗑释义

如上所述，在易文化中，人们认为营销的本质是“噬嗑”，噬嗑就是能够反映天下市场本源的象。故而，神农氏之所以能够开廛立市，“致天下之民，聚天下之货，交易而退，各得其所”，就是因为他根据噬嗑制器尚象的结果。

关于【噬嗑】的符号文字表征如下：（离上震下），噬嗑：亨，利用狱。

要全面理解“噬嗑”所蕴含的意义，首先有必要了解易经的符号逻辑。

易文化的语言表达采用了一种与西方科学语言表达迥然不同的表达方式，这种巨大的差异性不仅是在形式上，而且是在内涵上。就科学规律、宇宙大道的语言表达方面，中国古代先贤认为“道可道，非恒道。名可名，非恒名”。明确指出了客观真理、宇宙大道内涵丰富性与普通的人类语言的表达能力之间存在着巨大的鸿沟。因此，客观真理的语言表达是不得已而为之的事情，所谓“道本无言，圣人强言”。为了尽可能弥合“可道之道”与“道”本身之间的距离，中国古代先贤创造性的发明了一种独特的语言系统。在这套语言系统中包含了以下几个互为关联的基本概念：象、爻、卦、辞。

所谓象，《易·系辞上》中说，“圣人有以见天下赜，而拟诸其形容，象其物宜，是故谓之象。”这段话的意思是：中国古代先贤找到了用以表达深奥、复杂天道的方式，这种方式就是“象”。“象”可以弥补通行的语言文字表达能力的缺陷，即

“书不尽言，言不尽意。是故圣人立象以尽意” [2]。象之所以可以尽意，就在于她能“拟诸形容，象其物宜”。而这个“拟诸形容，象其物宜”用当代系统论的术语来说就是将一个复杂系统模型化。但是系统的模型化其实并不简单，特别是像宇宙大道这样一个至高无上的复杂系统，其模型化一方面要体现对系统本身的重构，只有这样才能反映客观规律；与此同时，她又必须简约，以利于复杂系统信息的精约，唯有此才用可能让人理解、传播。也就是说，这象要上通天道，下理人情。只有这样才能担当起传播大道，推广客观规律的功能。

为此，中国古代先贤首先发明了用以表征客观世界任何系统都必然存在的矛盾两方面的符号：和，前者称为阳爻，表征阳刚、健壮等属性或事物；后者称为阴爻，用以表征阴柔、绵软等属性或事物。而阴阳两爻的重合图案“”就代表道，正所谓“一阴一阳谓之道”。至此，阴阳两爻就已经构成了一个最精简的模型系统，就相当于二进制中的0和1。

由于阴阳变化构成了宇宙万物、生生不息。中国古代先贤就在此建立起更系统的模型系统。“古者包牺氏之王天下也，仰则观象于天，俯则观法于地，观鸟兽之文与地之宜，近取诸身，远取诸物，于是始作八卦，以通神明之德，以类万物之情。”也就是说，中国古代先贤在爻的基础上进一步丰富，制作了卦用来依天道传情达意。卦由爻构成，每三爻构成一卦，如乾卦为就是由三个阳爻构成。由三爻构成的叫八卦，又称经卦，具有特定的象征意义。而每两卦或一个别卦，共有六十四卦，各有其象征意义。至此，一套简约而又意含丰富的语言系统已经基本建立。

为了普通人可以有理解这套语言系统的入口，古代先贤又在卦符号表征系统上加上了一个附属部分——辞，也称系辞。系辞是对这套高度精约的符号表征系统的基本的、开放式的文本解释，以利于人们学习和理解。这样，一个完整的科学语言体系就建立了。对于这套系统《易·系辞上》作如此描述：“圣人立象尽意，设卦以尽情伪，系辞焉以尽其言”。

这样一套语言系统的优点首先在于这种语言体系在表达意义过程中的确定性和开放性。这种属性主要体现在两个方面：第一是体现在爻、卦为代表的符号体系上。众所周知，在易经的符号体系中无论是爻还是卦都有自己一个基本的明确的意义甚至指代物。如性质非常清晰，指代阳刚的方面，而则相反；而八卦则更为明确，如乾的象征物为天，坤的象征物为地。与此同时，爻卦符号体系又具备鲜明
这套语言系统的第二个明显特征就在于她的精约性与丰富性的完美结合。精约性主要是指这种语言系统中，语言元素的精确和简约，精确性主要体现在采用的语言符号和其想表达的内涵存在着内在的逻辑性，这样的语言就不完全是一种人造语言，必须依托相应的母体文化才能解读。简约性主要体现在这种符号体系要素的数量和形式规则的简洁明了，整个易经的符号体系基本构成要素只有一个 和 。八卦和六十四卦又分别是由爻的三叠及卦的双叠而成。这样有利于学习者的识记，不会因复杂的人造规则浪费太多的时间和限制了研究者的主观能动性。丰富性则体现在其海量的信息和多元的功用，海量的信息已经众所周知的事实，这里不再赘述。而多元的功用则强调这样语言符号体系具有很强的建构性的特点，她不仅可以传达信息，它同时也可以启发思考，同时它也表达规则。

就噬嗑而言，爻为阳爻 和 阴爻 ，卦象为 ，系辞为“噬嗑：亨，利用狱”。依据道—象—辞的意义统摄逻辑，理解噬嗑最核心的环节在于对卦象 的理解。噬嗑为易经别卦中的第二十一卦。对于他的理解必须依赖对易经卦象建构逻辑的理解和认同。易经卦象的建构逻辑非常丰富，是一种典型的多元复合逻辑建构，即同一个卦象他的构成却同时包含了不同的建构逻辑。在线性思维中这是混乱的做法，但它却是现实世界的真实表征。这就好像同一个人，对父母而言，他是儿子；对于子女而言，他是父亲；对于老板，他是下属；对于下属，他是上司……而对其本质的把握就在于对这些关系的整合中，所以马克思才会说，人是社会关系的总和。

就噬嗑卦象的建构而言，至少包含了两种最基本的建构逻辑，我们分别释义如下：

逻辑一：两两重之
这个逻辑就是用两个经卦相互叠加形成一个别卦的建构过程。就噬嗑而言，这个卦象分别由离卦和震卦上下相重而成。因此，在这个逻辑关系中理解噬嗑就是要理解离卦和震卦各自的意义以及他们相重的涵义。如上所述，易经的终极目的在于对道或宇宙终极真理的反映，而一个个卦象则是在这样一个意旨统摄下的对具体事物表现背后本质规律的拟象，即“易者象也，象也者，像也”，如表 1。

<table>
<thead>
<tr>
<th>表 1 易经卦象表</th>
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</thead>
<tbody>
<tr>
<td>卦形</td>
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<td>[离]</td>
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<td>[震]</td>
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<td>[震]</td>
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<td>[巽]</td>
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<td>[坎]</td>
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<tr>
<td>[离]</td>
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<tr>
<td>[艮]</td>
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<td>[兑]</td>
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</tbody>
</table>

在这样一个意义系统中，震卦表征的是以雷为代表的一类现象和事物，离卦则表征的是以火为代表的一类现象和事物。离卦与震卦的两两重之并非人的主观随意而为，而是以经卦拟象为基础，进一步表达卦象所代表的类属物之间相互关系的实质。就噬嗑而言，离上震下的卦象首先就可以表征雷电之后得见彩虹的历程，如图 1；

图 1 离上震下的卦象示意图

事实上，包括八卦拟象在内的中国传统语言文字都会使用的以物状物的表意逻辑，即是以具体人或事物之间的真实组合来表述一种现象后的本质。这种表意的好处在于能够剔除人为的语言文字意义赋值，从而有可能取得超越时空的意义恒常性。例如以成语秉烛夜游中的秉字为例，秉字在甲骨文中为，左边是禾苗的象形，右边是手的象形。而秉字最初也就是表达的人们手持禾苗准备插秧的动作。这样的组合使字的意义一目了然，而且只要插秧生产劳动不消亡，字意就不会因造字人的消亡而无法解读。而噬嗑中的震下离上组合就是与此类同的表意逻辑，只要我们经历过雷电交加之后，最终看见彩虹横亘蓝天的美好景象，就一定会自然而然理解噬嗑所表征的是经过斗争、博弈或互动而最终达到和谐境地的这样一个历程的本质。事实上噬嗑也可以表征公平的诉讼行为，即卦辞所说的“亨，利用狱”，它甚至也表征男女之间的性生活的和谐。

逻辑二：兼三才而两之
所谓“兼三才而两之”语出“《易》之为书也，广大悉备，有天道焉，有地道焉，有人道焉。兼三才而两之，故六。六者，非它也，三才之道也”。这说的是易经别卦的另一种建构逻辑，即用天、地、人这样一个三维结构来表征世间万物，小至微尘，大到宇宙，莫不如此！天指代一个有机系统中的最高规制系统，即“大哉乾元，万物资始，乃统天（《易经·彖传》）”。地指代一个有机系统中的最大的涵养系统，即“至哉坤元，万物滋生，乃顺承天。坤厚载物，德合无疆（《易经·彖传》）”。而人则指代是这个系统中最活跃的部分，整个系统因其而变化发展。这样，天地人就构成了一个稳定而又不乏变化发展的系统。就像一个父权社会中的家庭，父亲可以代表天，母亲可以代表地，而子女则代表人。母亲养育子女，父亲给家庭提供保障，而子女逐渐长大成人后，这个家庭又开始分化发展！在现实中，在不同层级下，天、地、人有着具体的指征。所以易经中说“乾为天，为圜，为君，为父、为玉、为金、为寒、为冰、为大赤⋯⋯”就是这个道理。

在易经的别卦体系中，每一个卦象自下而上起的一二爻代表地，三四爻代表人，五六爻代表天。而其中，由两爻构成的符号系统又是易经符号体系四象的具体代表。所谓四象即太阴、少阳、太阳和少阴。在易文化体系中，四象可以表征四季、四方等等，但四象最核心的是表征在于它对世间万物的，从无到有复归于无的这样一个发展历程的描述，如图2。

其中，太阴是事物的孕育阶段，即无中生有阶段；少阳是万物初发生阶段；太阴反映的是事物高速发展状态；少阴指的是万物有序稳定发展状态。少阴之后，复归于太阴，这个太阴与最初的太阴还是有所区别的，它是这个阶段的结束，也是下一个阶段的孕育期。所以，尽管性质还是相同，但内容已经千差万别了。

所以，综上所述，根据三才结构涵义以及各自构成部分所处的四象状态，我们大致可以判断这个系统处于什么样的态势。就噬嗑而言，当它作为人类市场营销实践制器尚象的源头时，就人类的营销系统而言，“天”所对应的是人类的生产能力，因为生产能力决定了销售和消费的上限。没有谁可以超越特定历史时期的生产能力而去销售或者消费；“人”所对应的是消费需求或消费者，一切营销活动都是围绕他而展开；“地”所对应的是市场供给能力，所有的消费都直接是在既定市场供给能力上的消费。这样，人类营销实践中的三才就被具象化为生产能力（天）、市场供给能力（地）、消费者（人），如图3。
根据这样一个人类营销实践的三才系统中，噬嗑反映出的是天即生产供给处于少阳阶段，地即市场供给处于少阴阶段，人即消费者或消费需求处于少阳阶段。那么所反映的就是生产与消费需求相对匹配，市场供给能力绰绰有余的人类营销实践的这样一个态势，这无疑是一个非常好的态势。

不过需要强调的是，易经之所以扑朔迷离、众说纷纭、莫衷一是，就在于易经卦象是一种多元复合建构。研究者往往从某一个建构逻辑出发，形成了横看成岭侧成峰的局面。因此要把握一个卦象的本真要旨应从全面全息的角度出发才行。就噬嗑而言，它的本真至少应该是逻辑一和逻辑二复合的意旨所在，如图 4。

3. 和谐：噬嗑本意所指
   从上述对三才逻辑和两重逻辑的解读中我们不难发现，不同的逻辑从不同的角度却是反映了一个共通的方向——和谐。所以，宋代大哲学家、思想家朱熹是这样解读噬嗑的：“日中为市，上明下勤。又藉噬为市，噬为合也。噬嗑即市合也”。而清代易学专家刘沅则进一步解释为：“市井交易，始有间而终相合，噬嗑象”。

   这种和谐在中国古人看来，首先是消费者与销售者之间关系的和谐，这主要表现在平等交易和商业利润的合理性上。关于平等交易，我国传统市场交易的基本原则是“和而利”，即平等互利。价格欺诈违背这个原则，扰乱市场秩序，故为历代政府所禁止。西周市场管理机构“禁伪而除诈”，即包括禁止价格欺诈。唐宋明清诸朝法律规定，凡买卖双方意见不同，一方仗势强买强卖的；联合垄断价格，卖物时抬价，买物时压价的；与他人串通，迷惑欺骗对方以谋取利益的，都要处以杖（笞）刑，情节严重者按盗窃罪论处[1]。关于合理商业利润，中国的商业鼻祖范蠡

早在春秋时期就指出“夫粜，二十病农，九十病末，末病则财不出，农病则草不辟矣。上不过八十，下不减三十，则农末俱利（《史记·货殖列传》卷一百二十九、列传第六十九）”，强调合理利润对商业双方的共赢效应。同时代的思想家、政治家晏婴则进一步强调了超出合理利润的危害性，“蕴利生孽”，“足欲，亡无日矣（《左传·鲁昭公十年》）”。

其次，这种和谐还体现在财富在整个社会里的合理分配以及商业利益对社会正义的影响。这也是贯彻整个中国传统社会的义利之争。关于这一点儒家学派的创始人孔丘早就明确指出，“富与贵，是人之所欲也”，“不以其道得之，不处也（《论语·里仁》）”。对于整个社会而言，他认为“邦有道，贫且贱焉，耻也；邦无道，富且贵焉，耻也（《论语·泰伯》）”。

不仅如此，这种和谐还体现在人类消费行为与生态环境的关系之中。《梁惠王》中，孟子说：“不违农时，谷不可胜食也；数罟不入洿池，鱼鳖不可胜食也；斧斤以时入山林，材木不可胜用也。谷与鱼不可胜食，材木不可胜用，是使民养生丧死无憾也”，说的就是人类的消费要取用有度，顺应自然，给大自然以休养生息的时间。只有这样，任何自然才能够相得益彰！《淮南子》中规定春天：“禁伐木、毋覆巢、杀胎夭、毋鹿、毋卵、毋聚众置城郭，掩骼埋胔”就是这样一个典型的例子。

综上，在中国传统易文化中，营销的本质上是促进个体幸福、社会公正及生态和谐的三位一体的人类社会实践！

4. 反思：营销本真的当代回归

人类的交换行为从最初偶然的物物交换发展到今天，业已成为一种社会存在的方式——市场经济社会。这其中的历程就是人类的市场营销实践从一种单纯的社会必要功能日益饱满成熟成为一种社会本身，而这也是一个营销本质逐步显露的过程。

当人类营销实践仅仅作为某一项社会功能时，它的本质属性更多地显现在其作为社会系统要素的层面上。这个时期，是社会的属性笼罩统御其要素的营销属性。在早期的农业社会里，由于人类物质财富的生产速率总是跟不上人类自身再生产的速率。整个社会的总体财富生产与人类的消费需求相比一直处于一种捉襟见肘的窘境。为此，社会基本属性要求整个社会当务之急在于配置更多的人力、物力去扩大生产，增加产出，以便于缓解当时代这样一个最基本也是最深刻的社会矛盾。而商业虽有流通物品之功能，却有分散劳动力的实情。所以晋代傅玄曾说“其人（商人）可甚贱，而其业不可废（《晋书·傅玄传》）”。在这个时期，所谓“商人甚贱”是一个社会价值判断，主要是因为商人从表面看，不仅不从事生产劳动反而消费粮食，
而这一点又是当时代最难容忍的特征。因为那个历史时期，“士有当年而不耕者，则天下或受其饥矣；女有当年而不织者，则天下或受其寒矣”[1]。与此同时，“其业不可废”则是一种社会功能需要。因为商人“负任担何，服牛轺马，以周四方，以其所有，易其所无，市贱鬻贵（《国语·齐语》）”。所以，商业的固有功能实现了整个社会产品的正常流转，而由于生产力水平落后所造成的主要矛盾却使得这种功能被牢牢限制在整个社会属性的规制之中。或者说，人类营销本质属性的显像空间还是非常狭窄的。因此，这个时期沉淀下来的并传之后世市场理论或营销思想仅仅是这样一个历史时期对营销本质的局部反映，它更多地反映了其作为社会必要功能要件的属性。

在此后漫长的人类社会里，或因风调雨顺，或因吏治腐败，整个社会的总产产出起起伏伏，商人或商业的地位也就波动于其中，但就其社会功能要素的本质从没有改变过。因为漫长的农业社会里尽管生产力水平也在增长，与现代社会不同，传统农业社会不是以提高生活水准来回应总产出的扩张，而是代之以人口数量的增加[1]。所以，没有技术上的重大变化，总量产出的这种增长不可能发生[2]，但这种情况在工业革命后发生了本质性的改变。在工业革命以前，吃饭始终是头等大事[3]。而工业革命以后，社会生产力获得了惊人的发展。当英国工业革命基本完成的时候，马克思和恩格斯说过这样一句话：“资产阶级在它的不到一百年的阶级统治中所创造的生产力，比过去一切世代创造的全部生产力还要多，还要大[4]。可以说，工业革命以后，人类社会第一次在技术层面上能够彻底缓解因人口增长导致消费增长带来的窘境。特别值得一提的是，由于机器加入生产，局部时空中，产品能够被以爆发的形式生产出来。这个时候，产品分销的压力陡然增大，现实社会赋予了商业或人类营销实践更大的合理性空间。在这样一个空间的扩展过程中，商业或人类营销实践从一种单纯的社会功能逐步转变成为一种社会经济发展中的主要推动力量，因为生产已经不再是瓶颈，分销才是商品得以实现其社会价值的关键所在。整个社会逐步由生产性社会向消费性社会转变。关于这一点，美国社会学家艾文在《意识的首领中》这样描述：“在今天的西方世界中谁是意识的首领？不是政治家不是无冕之王一一新闻记者们，在今天的西方世界中没有第二个意识形态，只有一个意识形态，就是消费。而他的首领不是政治家，不是记者，而是商人”。这个时期，商业理论，人类营销思想异常繁荣发展起来。需要指出的是，由于工业革命发轫于西方社会，
上述的整个商业地位的转换历程也首先完成于于西方社会，这种历史背景沉淀出的营销理论也大多为西方营销学者、实践者的思想、语录。而这些思想、语录也伴随着工业化的全球推进的以在全球范围内丰富和发展起来。而这个时期的营销理论则更多地突出了其作为社会发展主要推动力量的属性。故而，这个时期商人的形象是高大的，消费是光鲜的。

不过，人类社会不会在任何一个时代面前裹足不前。伴随着工业化社会在全球的蔓延和发展，人类又迎来了“后工业化社会”或者叫“后现代社会”时代。尽管时至今日，上述概念还没有获得一个各个学科公认的内涵，但其作为对现代文明、工业化社会的反思是毋庸置疑的。而此时的人类营销实践也已经完成了从社会发展主要推动力量进化成为一种社会存在的方式——市场经济社会的历程。这个时候，人类营销本真的显露出已获得了最大的释放空间，人类营销实践理应迈上一个新的高度。然而令人遗憾的是，此时的人类营销实践却依然惯性地秉承其作为社会发展主要推动力量时期的理论、思想。商业利润最大化、消费至上主义乃至奢侈型消费仍然在世界范围内，尤其是正在进行工业化和刚完成工业化的国家里大行其道，甚至成为社会风尚。由此而引发的各种社会危机和生态危机日益沉重。尽管这种惯性的滞后也是人类以往发展历史中的常态，但紧迫的生态危机倒逼，却使得这种历史上的常态进步模式失去了往日的容忍阈限，人类营销实践的反思迫在眉睫！

从社会存续的必要要素，再到社会发展的进步力量，直至今日成为一种社会存在的方式，人类营销实践业已获得了释放其本真的最广阔空间。中国古人说：“大象希形”。营销本真的回归已然在情理之中。

参考文献

Social Exclusion and Conspicuous Consumption: The Moderator of Power State

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ABSTRACT

This research examines the interaction of social exclusion and power state on conspicuous consumption. Based on the compensation motivation of consumption and the power approaching/inhibition theory, we propose that individuals of low power states feel less self-efficacy than those of high power states when they were in social exclusion. Given that conspicuous consumption can compensate their self-efficacy, the former prefers conspicuous consumption, whereas the latter prefers conspicuous consumption in social exclusion, and social inclusion was not significant. Two studies were conducted to confirm our hypothesis, specifically, Study 1 confirms hypothesis 1, that is, individuals of low power state prefer more conspicuous consumption when they are in social exclusion than in social inclusion, and confirm hypothesis 2 that the interaction of power and social exclusion on conspicuous consumption is mediated by self-efficacy, through manipulating social exclusion and power state, study 2 also confirms hypothesis 1 and 2, but it measures power state through the sense of power scale. The authors conclude with a discussion of implications for research and practice.

Keywords: social exclusion; compensation motivation; power state; self-efficacy; power approaching/inhibition theory; conspicuous consumption
社会排斥与权力状态对炫耀消费的交互影响
——基于消费者行为视角

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摘要

尽管对影响炫耀消费的驱动因素的研究逐年增加，但很少有从社会排斥角度研究炫耀消费问题。本文就从社会排斥角度去研究炫耀性消费问题。基于权力趋近/抑制理论和消费补偿动机，提出不同权力状态下（高或低）的消费者受到社会排斥时对炫耀性消费偏好不一样的假设，并且通过两个实验证明我们的假设。具体就是，实验一验证了假设 1，即社会排斥与权力状态是相互作用于炫耀消费，也就是低权力状态的个体受到社会排斥时，相比在社会包容时，更偏好炫耀消费；而高权力状态的个体则不管是在社会排斥还是社会包容时对炫耀消费没有显著的偏好差异。同时实验二通过不同的实验操控方式进一步验证假设 1，同时也验证了假设 2，即社会排斥与权力状态对炫耀消费的相互作用机制，也即自我效能起着中介的作用。文章最后我们探讨了本文的理论意义和实践启示。

关键词：社会排斥；权力状态；炫耀消费；权力趋近/抑制理论；补偿动机

1. 引言

炫耀消费在我们日常生活中无所不在，最能体现炫耀消费行为的典型就是奢侈品消费（Einhorn，2014），而且已经深入到市场实践中。比如在中国市场，近十年来奢侈品消费总额都是以 10%以上增长，中国已成为全球奢侈品消费最快
增长国(HuangHe & MuJing, 2011)。今天大多数奢侈品零售商（如奢侈手机经销商(Staff, 2014)）都会告诉我们，他们最有价值的顾客是来自中国，尽管中国政府反腐和打击送礼问题，中国顾客仍然是全球奢侈品的最大的购买者。2013 年中国大陆的奢侈品消费占全球总购买额的 29%(Bain & Company, 2014)。为什么消费者（如中国消费者）对炫耀消费有如此的偏爱？这就是本文所要研究的问题，也即我们从近年来在消费者行为研究领域逐渐引起关注的社会排斥角度进行研究。

尽管对解释炫耀消费的研究有很多，比如求偶诉求(De Fraja, 2009; Lens et al., 2012; Sundie et al., 2011; Wang & Griskevicius, 2014)，声望的需要(Amaldoss & Jain, 2005)，地位诉求(Lens et al., 2012; Mazzocco et al., 2012; Ordabayeva & Chandon, 2011)等，但从社会排斥视角探讨炫耀消费问题的研究很少，而且社会排斥对消费者行为影响的研究也在近年来逐渐被关注，如社会排斥导致怀旧产品偏好(Loveland et al., 2010)，对独特产品偏好(Echo et al., 2014)，对渴望奢侈品偏好(Ward and Dahl’s, 2014)等。同时 Lee & Shrum(2012)的研究表明，当人们受到社会排斥时，有些个体偏好炫耀性消费，而有些个体没有炫耀消费的偏好，而且他们也认为他们的研究存在不足也即社会排斥与炫耀消费之间是存在边界条件，这些边界需要更多的研究，本文扩充他们的研究，也即增加一个边界条件，也就是权力状态作为调节变量进行研究。

已经有研究表明，当个体受到社会排斥时，不同权力状态（高或低）的个体反应会不同(Narayanan, Tai, & Kinias, 2013)，同时消费者带着不同的权力状态去参与消费是一种非常普遍的现象，而且消费者的权力状态可以改变和塑造消费的行为(Rucker, Galinsky, & Dubois, 2012)。因而我们选择权力状态作为社会排斥对炫耀消费影响的调节变量。基于权力促进/抑制理论(Keltner, Gruenfeld, & Anderson, 2003)和消费补偿动机(Rucker & Galinsky, 2009)，我们提出的基本观点是社会排斥与权力状态对炫耀消费存在交互影响，具体的说就是，当受到社会排斥（相对于社会包容）时，处于低权力状态的个体，由于自我效能受到威胁，且炫耀消费可以凸显自我，根据补偿动机需要，更偏好炫耀性消费；而高权力状态下的个体在社会排斥和社会包容情景时对炫耀消费并没有显著差异。

本文的贡献在于两个方面，一方面是丰富了社会排斥在消费者行为领域的研究，特别是在炫耀性消费方面研究，提出了不同权力状态的人在社会排斥情况下对炫耀性产品偏好不同；另一方面，充实了 Jaehoon & Shrum（2012）的研究，也即社会排斥对炫耀性消费的影响是存在边界的，即不同的消费的个体心理（权力状态）会有所不同。本文后面的内容主要是理论背景和两个个实验来验证我们的假设，最后是文章的理论启示和实践启示。

1. 理论背景

1.1 社会排斥

社会排斥在日常生活中是非常普遍的，比如人际关系被拒绝、被某个俱乐部拒绝和工作申请被拒绝等(Dommer, Swaminathan, & Ahluwalia, 2013; Duclos, Wen, & Jiang, 2013; Wen, Jing, & Ying, 2014; Loveland, Smeesters, & Mandel, 2010; Mead et al., 2011)，而且也有相当多的文献研究社会排斥会给人们带来什么样的结果，比如社会排斥会对人们的身心健康产生很大的危害(DeWall & Baumeister, 2006),
会导致更多攻击性(Jean et al., 2001)，减少亲社会行为(Jean et al., 2007)等等。由于社会排斥定义有很多，本文采用的是 Kipling, Cheung, & Choi (2000)的定义，即社会排斥是一种被其他个人或群体孤立、远离或排斥的状态。


1.1 社会排斥与炫耀性消费

炫耀性消费是一种能够表明身份，并且能够引起人们注意和提高自我肯定、社会身份的一种消费方式，也是一种自我聚焦，炫耀性行为(Griskevicius et al., 2007; Veblen, 1973)，这种让他人注意方式也就是增加控制他人(Rucker & Galinsky, 2008; Rucker & Galinsky, 2009)和传达给别人他是谁(Schau & Gilly, 2003; Wong, Hogg, & Vanharanta, 2012)，根据 Molden et al., (2009)的观点，社会排斥可以分为被忽视排斥和被拒绝排斥，他们两者的区别是前者是更多含蓄性和间接性，而后者是更多明确性和直接性，当被忽视性排斥时，人们感觉到更多自我效能受到威胁，比如权力和控制能力下降等，降低了引起别人注意的能力，刚好炫耀性消费可以满足这种引起注意需要，因而 Jaehoon & Shrum (2012)认为当被忽视社会排斥时，消费者的自我效能需要感受到威胁，因此消费者将会提高炫耀性消费。

1.1 社会排斥与权力的交互作用

权力经常被定义为有控制他人、资源和结果的能力(Keltner et al., 2003)，这在我们的社会环境中是最为普遍的心理力量，每个单独的个体有不同的内在权力感觉(Cameron & Jennifer, 2002)，同时不同情形下也会使个体有不同的权力感和无权威感(Keltner et al., 2003)，比如被老板命令或航班取消都会让个体产生无权威感，相反作为老板命令员工也会引起权力感。权力是一种有资源控制他人的能力，在这里我们采用 French & Raven (1959)的定义，权力是一种能够影响他人的能力或者对他人影响的免疫能力。权力状态是一种受到权力影响的心理结果，如个人控制错觉感、能力感和竞争感等(Fast et al., 2009)，高权力状态是指个体把自我放置在更重要的地位和价值的情形下（有能力的感觉）(Rucker et al., 2012)，同时高权力状态的人往往不会那么多关注别人的感觉(Keltner et al., 2003)，根据权力趋近/抑制理论(Cameron & Jennifer, 2002; Keltner et al., 2003)，即高的权力感觉会导致趋向性处理（主动性）和引发趋向（主动性）相关的情感和行为趋向，有更多的积极情绪和情感，因而受到社会排斥时，高权力状态的消费
者就主动从关注自己本身主动转向关注别人，寻求更好的社会人际关系(Narayanan et al., 2013)，同时高权力状态的个体本身就有很高的效能，因而不会通过炫耀性消费来提高自己，与此相反，低权力状态的个体会更多关注和在意别人的感受(Keltner et al., 2003)。根据权力趋近/抑制理论(Cameron & Jennifer, 2002; Keltner et al., 2003)，低权力会感受到抑制处理(被动处理)和导致与逃避相关的情感和行为取向，由此可推出，当消费者处于低权力状态时，对被排斥情形更敏感，感觉到更多的消极情绪和更多的无力感(即没有控制能力)，为了避免这种消极情绪，根据补偿动机，消费者就会有动机的去进行补偿消费以减少这种消极情绪和无力感(Rucker & Galinsky, 2008; Rucker & Galinsky, 2009)，前面我们说过炫耀性消费是一种能够表明身份，并且能够引起人们注意和提高自我肯定、社会身份的一种消费方式，也是一种自我聚焦，炫耀性行为意图让别人引起对注意的方式(Griskevicius et al., 2007; Veblen, 1973)，因而他们为了减少这种消极情绪和无力感导致的炫耀性消费有更多的兴趣和更多的积极性，因而我们提出以下假设：

假设 1：社会排斥与权力状态对炫耀消费有着交互作用的影响，具体就是，当受到社会排斥时(相比社会包容)，低的权力状态的个体更偏好炫耀消费，而高的权力状态的个体则对炫耀消费没有显著偏好变化。

1.1 权力和社会排斥交互作用的内在机制

根据 Jaehoon & Shrum (2012)观点，当消费者受到忽视性社会排斥时，往往会威胁到消费者的自我效能需要(控制和有意义生存)，这种效能需要也就是一种控制和有意义生活的(的一种需要(Kipling et al., 2000; 2007)，高权力状态下，个体往往有更多更好控制感、更好积极情绪和情感，也会对太多关注别人的感受(Keltner et al., 2003)，由于自我感觉好，因此当受到社会排斥时，只会从更多的自我关注转向关注别人、寻求更多社会联系(Narayanan et al., 2013)，也不会对效能需要构成威胁，反而，低权力状态的个体更多关注别人的感受，更多的消极情绪和情感，更多威胁的敏感性(Keltner et al., 2003)，因而自我效能需要威胁感受特别大，根据补偿动机消费(Rucker & Galinsky, 2009)，为了减少这种消极情绪、无力感和获得更多的效能，消费者因而更加会主动积极寻求别人的注意，更多的提高自我效能需要，从而更偏好炫耀性消费。所以本文提出以下假设：

假设 2：社会排斥与权力状态交互影响炫耀消费是由自我效能引起的，也即自我效能起着中介作用。

1. 实验一

实验一的主要目的为验证假设 1，即受到社会排斥时(相比社会包容)，低的权力状态的消费者，往往更偏好炫耀性消费。高的权力状状态下则不会对炫耀性消费有显著影响。为了实现这个目的，我们请参与者做一件事件回忆，以便操控权力状态的高低(Rucker, Dubois, & Galinsky, 2011)，另外我们使用社交媒体的方法来操控社会排斥(NipSynergy, 2009)，同时我们采用 Jaehoon & Shrum(2012)的方法进行测量炫耀消费偏好。正如前面的理论推导，我们预测低权力状态下且受到社会排斥的参与者，相对于高权力的参与者，更偏好炫耀性消费。

1.1 参与者、设计和过程
来自中国中部地区的某个大学的本科生和研究生的 156 人（女生 82 人）给予 5 元礼物补偿参与了这个实验。参与者被随机分配到一个 2（权力状态：高 vs. 低）×2（社会排斥状态：排斥(exclusion) vs. 包容（inclusion））的组间设计。

权力状态操控。利用Rucker et al. (2011)操控方法，告诉参与者，他们正在参与一个人的记忆的研究，而且他们的任务是回忆和写下一个小的事情，这个事情就是他们支配另外一个人的事情（也即高权力情形）或者其他人支配他们自己的事情（也即低权力情形）。具体情境是：高权力状态是，“请您回忆一件您特别能影响他人的事情（如您是老板影响着员工），这种影响包括：1）他人的能力被您影响到无法发挥；2）他无法从您这里得到他们想要的；3）您完全可以评价他们，而他们则没有机会评价您。请您仔细想想，这是一件什么情况？又是什么样的一个过程？您的感受如何？”，低权力状态是，“请您回忆一件他人特别影响您的事情（如您是员工，老板影响着您），这种影响包括：1）您的能力被他人影响到无法发挥；2）您无法从他人那里得到您想要的；3）他人完全可以评价您，而您则没有机会评价他人。请您仔细想想，这是一件什么情况？又是什么样的一个过程？您的感受如何？”。接下来参与者对操控检验的反应问题，被问及他们在不同情境下，他们感觉受到对事情结果又影响的程度（1=完全没有影响; 7=非常有影响）。

社会排斥操控。我们采用Echo et al. (2014)实验操控方法，社会排斥状态的排斥和包容的操控是在在线的社交网络情景下进行的。参与者被要求阅读一段在网络上交朋友的故事，同时引导参与者将他们自己引入到情景角色中去，以让他们真正象感到和感觉到实验情景。具体的情境是：假如您非常喜欢上网，也非常喜欢使用微博、QQ、微信这些社交网络。有一次，在社交网络浏览过程中，您好不容易找到三个志同道合的人，也非常渴望跟他们交朋友，于是您向这三个人发了一份自我介绍和好友请求，几天后，您收到他们的反馈。在社会排斥情境下，这三个人都同时拒绝了他们的好友申请；而在社会包容情境下，这三个人都同时接受了他们的好友申请。完成阅读了这个故事后，参与者被要求描述他们在经历这个故事情景下的心情去，这样进一步强化这个实验的操控(Rucker et al., 2011)。接下来参与者对操控检验的反应问题，问及他们在故事中呈现的情境下，他们可能受到排斥/忽视的程度（1=非常不同意; 7=非常同意(Kipling et al., 2000)）和表明他们心情“感觉高兴”量表（1=非常不同意; 7=非常同意）。

炫耀消费测量。采用Jaehoon & Shrum (2012)的方法进行测量，具体是“假如您做生意赚了一笔100万人民币，请您在以下项目中选择愿意花费的比例（标尺最右边标注的是愿意花费的最高值（100万）”），选择越高，代表炫耀消费偏好越大，然后五个项目（汽车、手表、手机、请朋友聚餐和去欧洲旅行）的平均值作为炫耀消费的测量。

1.1 结果

操控检验。参与者对权力状态的操控检验反应，正如期望那样，高权力状态操控的参与者感受到对结果的影响程度（M高 = 4.64）比低权力操控下（M低 = 3.78, F = 11.94, p = 0.0011）更高，证实了我们的操控权力状态是有效的。同时参与者对社会排斥的操控检验的两个问题反应也不错，也是正如预料那样，参与者受到排斥（即被同时拒绝）（相比同时接受）感觉更多排外（M排斥 = 3.81 vs. M包容 = 2.64, F = 24.62, p = 0.000），证实了我们对社会排斥操控的有效性。
炫耀消费。为了验证我们的假设，即低权力状态下消费者受到社会排斥时更偏好炫耀消费（假设1），我们对社会排斥和权力状态进行方差分析，社会排斥对炫耀消费是存在显著效应的（$F = 9.68, P < 0.002$），也即个体受到社会排斥是更偏好炫耀消费，这与Jaehoon & Shrum (2012)的研究结果是一致。如图1所示，同时社会排斥和权力的交互影响炫耀消费是有显著影响的（$F = 4.72, p < 0.03$），同时参与者在低权力状态下受到社会排斥时（相比社会包容）对炫耀消费有显著效应（M包容 = 5.41 vs. M排斥 = 7.03, $p < 0.05$）而高权力状态下，受到社会排斥时没有显著影响（M包容 = 5.92 vs. M排斥 = 6.21, $p > 0.62$），验证了我们假设1，低权力状态下（相对于高权力状态）受到社会排斥时更偏好炫耀消费。

图1 社会排斥与权力状态对炫耀消费的影响（实验1）

1.1 讨论

实验一提供初步证据证明了消费者在受到社会排斥的时候，如果消费者权力状态低，那么他就更偏好炫耀性消费即在汽车消费上选择花费更多，而如果是权力状态高的消费者反而在汽车消费选择花费上更少，因而验证了我们的假设1，即低的权力状态的消费者受到社会排斥时，往往更偏好炫耀性消费，而高的权力状态下则不会对炫耀性消费有显著的影响。

1. 实验二

实验二的主要目的是进一步验证假设1，也即低的权力状态的消费者受到社会排斥时，往往更偏好炫耀性消费，而高的权力状态下则不会对炫耀性消费有显著的影响，同时验证假设2这种交互影响是通过自我效能作用的。与实验一不同的是我们采用了不同的炫耀消费测量的方式，即使用高档鞋子的品牌标志大小测量炫耀消费(Rucker & Galinsky, 2009)。

1.1 参与者、设计和过程

来自中国大陆各地的个体在网上参与了这个实验，总人数228人（女102人）给予5元钱补偿参与了这个实验，其中有5人答题不完整或者没有看清楚题目被
排除掉，剩下 223 人参与者有效完成了实验，参与者被随机分配到一个 2（权力状态：高 vs. 低）×2（社会排斥状态：排斥 vs. 包容）的组间设计。

**权力状态操控。**与实验一一样，利用 Rucker et al. (2011) 操控方法，告诉参与者，他们正在参与一个人的记忆的研究，而且他们的任务是回忆和写下一个特别的事情，这个事情就是他们支配另外一个人的事情（也即高权力情形）或者其他人支配他们自己的事情（也即低权力情形）。接下来参与者对操控检验的反应问题，被问及他们在不同情境下，他们感觉受到对事情结果又影响的程度（1=完全没有影响；7=非常有影响）。

**社会排斥操控。**与实验一一样，我们采用 Echo et al. (2014) 实验操控方法，社会排斥状态的排斥和包容的操控是在在线的社交网络情景下进行的。参与者被要求阅读一段在网络上交朋友的故事，同时引导参与者将他们自己引入到情景角色中去（排斥与包容情景），以能让他们真正想象到和感觉到实验情景。完成阅读了这个故事后，参与者被要求描述他们在经历这个故事情境下的心情去，这样进一步强化这个实验的操控 (Rucker et al., 2011)。接下来参与者对操控检验的反应问题，问及他们在故事中呈现的情境下，他们感觉自己排斥/忽视的程度 (1=非常不同意；7=非常同意) (Kipling et al., 2000) 和表明他们心情“感觉兴高”量表 (1=非常不同意；7=非常同意)。

**炫耀消费测量。**通过请求参与者想象他们正在购买一双高档的鞋子，然后用量表 Rucker & Galinsky (2009) 测出他们对炫耀性品牌标志的偏好，这是一个 9 分量表有四个项目，固定为可视觉化/不可视觉化，大/小，注意/不注意，显眼/不显眼，四个项目被平均后合成一个综合分数，高的分数意味着更偏好炫耀性消费。

**自我效能测量**。我们采用 10 个项目一般自我效能量表(Bosscher et al., 1998) (见附录 3)，这是一个单维度的量表，内部一致可靠信度为 0.87，自我效能感越低表明受到的自我效能威胁越大。

### 1.1 结果

**操控检验。**参与者对权力状态的操控检验反应，正如期望那样，高权力状态操控的参与者感受到对结果的影响程度 (M 高 = 5.06) 比低权力操控下 (M 低 = 4.69, p = 0.032) 更高，证实了我们对权力高低操控是有效的。同时正如我们所预测那样，参与者受到排斥（即被同时拒绝）（相比同时接受）感觉更多排外 (M 排斥 = 4.77 vs. M 包容 = 3.11, F = 49.86, p = 0.000)，证实了我们对社会排斥操控的有效性。

**炫耀消费。**为了验证我们的假设 1，即低权力状态下消费者受到社会排斥时更偏好炫耀消费（假设 1），我们对社会排斥和权力状态进行方差分析，社会排斥对炫耀消费是存在显著的效应 (F = 4.47, p < 0.04)（个体社会排斥是更偏好炫耀消费）这个结果与前人研究是一致的，同时社会排斥和权力的交互影响炫耀消费是有显著影响的 (F = 3.992, p = 0.047 < 0.05)，同时参与者在低权力状态下受到社会排斥对炫耀消费有显著效应 (M 包容 = 4.30 vs. M 排斥 = 5.72, p < 0.04) 而高权力状态下，受到社会排斥时没有显著影响 (M 包容 = 4.85 vs. M 排斥 = 4.89, p > 0.935)，如图 2 所示，这个结果表明权力状态和社会排斥是相互作用于炫耀消费的，验证了我们假设 1，低权力状态下（相对于高权力状态）受到社会排斥时更偏好炫耀消费。
自我效能。根据我们推断，低权力状态下（相比高权力状态）消费者受到社会排斥时自我效能感会更低，我们对社会排斥、权力状态和自我效能感综合指数做方差分析，结果显示，参与者在低权力状态下受到社会排斥时的自我效能感（M 包容 = 2.85 vs. M 排斥 = 2.28, p < 0.000）相比高权力状态下自我效能感（M 包容 = 2.99 vs. M 排斥 = 2.83, p > 0.1）有显著效应，如图7所示，这个结果表明权力状态和社会排斥是相互作用的，也即在低权力状态下（相比高权力状态），受到社会排斥时自我效能感更低。

调节中介分析。实验四进一步全面检验权力状态和社会排斥相互作用于炫耀消费是否是通过自我效能的作用影响。我们采用 (Hayes, (2013), model 7), 用普方法产生5000个样本来评估回归模型。这个分析结果显示，在权力状态和社会排斥交互的中介模型中，权力与社会排斥对炫耀消费的影响是被自我效能感中介了（B = -1.6043, t = -5.2396, p = 0.0000 < 0.05），同时在低权力状态下，社会排斥通过自我效能感影响炫耀消费的间接作用是显著的（95%, B = 9154, Cl = 0.5042 至 1.494, Cl 之间不包括零），而在高权力状态下不显著（95%, B = 2464, Cl = -0.0267 至 0.5812，区间包括零），表明社会排斥与权力状态交互作用于炫耀消费是通过自我效能感影响的，验证了假设2。

1.1 讨论

实验二不但进一步研究了假设1，即消费者在受到社会排斥的时候，消费者处在低权力状态时，表现出更强烈的自我效能威胁，即自我效能测量得分越低，更偏好炫耀性消费；而如果是权力感觉高的消费者在自我效能感测量普遍得到很高的分数，选择炫耀性消费也较低，而且验证了我们的假设 2，在低权力状态下，消费者受到社会排斥时对炫耀性消费的偏好是通过自我效能需要而引起的。

1.1 综合讨论

1.1 小结

人们在不同的权力状态下受到社会排斥时对炫耀性消费的偏好是不同的，具体来说就是，当受到社会排斥（相比社会包容）时，低权力状态下的个体，会更偏好炫耀性消费，而对于
高权力状态的个体来说，则没有显著差异变化。本文通过两个个实验来验证了我们的假设，其中实验I 验证了假设 1，即当个体受到社会排斥（社会评价）时，低权力状态下的个体更偏好炫耀性消费，而高权力状态下的个体则表现出炫耀性消费的偏好。实验I进一步验证假设 1，同时验证了假设 2 也即假设 1 的中介机制，即自我效能的中介作用。

1.1 理论启示

本文首先丰富了社会排斥理论的研究。以前大量的研究都是集中在社会学，动物学，社会心理学等上进行研究，本文在消费者行为领域进行研究，这也是最近几年在这个领域引起了关注。如社会排斥对消费者的影响有消费风险偏好(Duclos et al., 2013)，独特性产品选择(Echo et al., 2014)等。本文研究的社会排斥对炫耀性消费的影响，进一步扩展了社会排斥理论在消费者行为领域的应用。其次，与前人对影响消费者炫耀性消费的理论变量（如权力(Rucker & Galinsky, 2009)，物质主义(Velov, Gojkovic, & Duric, 2014)，求偶(Wang & Griskevicius, 2014)等的研究不同的是，本文从社会排斥作为前因变量进行研究，丰富了对炫耀性消费影响的研究。再其次，本文还从个体心理角度研究了社会排斥对消费者炫耀性消费的影响的边界条件，也即个体的权力状态的不同下，社会排斥对炫耀性消费的影响会有不同，具体地说就是只要低权力状态下的个体在受到社会排斥时才偏爱好炫耀性消费，而高权力状态下则没有那么显著。最后本文还研究了不同权力状态下社会排斥对炫耀性消费的内在机制，也就是不同权力状态下社会排斥对炫耀性消费影响是通过影响个体的自我效能而发生的。

1.1 实践启示

我们的研究结果有着很多实践指导意义的。首先，在经销奢侈品时，可以考虑到社会排斥的问题，如果奢侈品销售人员可以根据不同权力状态的消费者操控不同的社会排斥感，这样也可以导致奢侈品消费，当然这需要根据我们的理论指导，让消费者辨别出或操控出不同权力状态的消费者，从而更有效。其次，在中国这个环境下，营造一种圈子，而这种圈子的排外往往就是一种潜在的社会排斥，也会导致炫耀消费，所以经营炫耀商品的商家可以在这种背景下营造一种圈子文化，往往也会很有效果（如苹果手机所形成的圈子加强了苹果的销售）；最后，可以利用我们的理论来指导，比如针对低权力状态的消费者（如年轻的消费者），强调商品的个性和突出商品所能带来的效用感，可以通过广告来突出这种商品可以带来自我效能增加的力量（如耐克），会带来更多的消费偏好。

1.1 文章不足与未来研究方向

本文虽然通过严谨的实验验证了我们的假设，但是也会有很多不足。首先，虽然我们补充了 Jaehoon & Shrum (2012)研究不足（即他们没有集成环境下进行社会排斥对炫耀性消费的研究），我们也并没有很好和其他不同文化背景（比如个人主义）结合进行研究，我们知道不同文化背景下，个体感受的社会排斥可能不一样，因而会对我们的结果有很大影响和不同，未来的研究可以增加不同文化背景下的研究，研究不同文化背景下的个体受到社会排斥前不同权力状态对炫耀性消费的影响到底会是什么样的；其次，权力状态可能是相对性，即可能在不同情形下权力状态的相对高低可能不同，本文没有很好反应这个情形，未来的研究可以就这种权力状态在不同情形下相对的高低来深入研究；再其次，根据 Rucker, Miao, & Galinsky (2014)的研究，权力可以分为体验权力和期望权力，因而可能不同权利的高低可以影响不同，这需要更多研究；最后本文就社会排斥和
权力状态共同影响炫耀性消费的内在机制是自我效能威胁，可能还会存在其他中介机制，比如自尊、归属感等，本文也没有很好深入去做出验证，因而其他更多的内在机制需要更进一步的研究。

1. 结论

总而言之，本文通过两个实验验证了社会排斥与权力状态是交互作用于炫耀消费，具体就是，当受到社会排斥（相比社会包容）时，低权力状态下的个体，会更偏好炫耀性消费，原因是低权力的个体比较倾向于消极的情绪和情感，当受到社会排斥时，容易感受到自我效能的威胁，根据补偿动机消费，从而更偏好炫耀性消费；而对于高权力状态的个体来说，由于有较高控制能力和更好积极的情绪和情感，有更多的自信，也不太注意别人的行为和感受，在受到社会排斥时，也不会影响他们的自我效能感，同时由于有较高的优越感，也没必要通过炫耀性消费来引起别人注意和提升自我效能感，因此对炫耀消费没有显著偏好的变化。本文通过两个实验来验证了我们的假设，同时我们也就我们的观点提出相对应的理论启示和实践指导。

参考文献

Discriminant Analysis of the Influence of Brand Experience on Purchase Attention - In the Case of Sneaker Brand “New Balance”

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ABSTRACT

Brand experience is certified to have important influence on consumers’ purchase attention. Brakus et al. (2009) have construct a brand experience scale that includes four dimensions: sensory, affective, intellectual, and behavioral, which has been broadly used in empirical researches. But empirical researches exploring the quantitative relationship between four dimensions and purchase attention respectively has still been scarce. The famous sneaker brand-New Balance, which is derived from USA, is prevalent in China recently, especially among young undergraduates. The present study tries to adopt the typical linear discriminant analysis method to set up discriminant function for the relationship between brand experience and purchase attention, to quantify the influences of the four dimensions of brand experience on purchase attention. The present study chooses the sneaker brand-New Balance and young undergraduates as the research subject. Randomly distribute the questionnaire to 480 undergraduates and 330 pieces are collected back, among which 309 pieces are qualified. Reliability analysis results certify that the questionnaire is reliable. And CFA is conducted to check the validity, which is qualified. Discriminant analysis finds a discriminant function of purchase attention and four dimensions of brand experience. The function indicates that behavioral experience plays the key role affecting purchase attention among all the four dimensions. The results hint practitioners to evoke consumers producing nice behavioral experience, which will likely tend to purchase.

Keywords: Brand Experience, Purchase Attention, Discriminant Analysis, Sneaker Brand, New Balance
品牌体验对购买意愿影响的判别分析——以运动鞋品牌

New Balance 为例

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摘要

品牌体验被认为对消费者的购买意愿有重大影响，Brakus 等学者（2009）所开发的品牌体验量表分为 4 个维度和 12 个题项，已被引入国内，但各维度对购买意愿的量化关系仍缺乏实证研究。美国运动鞋品牌 New Balance 近年来风靡国内，尤其是大学生群体。本研究试图从品牌体验的视角，建立判别函数，量化 4 个维度对购买意愿的影响。经随机抽样 480 名在校大学生进行问卷调研，回收问卷 330 份，其中有效问卷共 309 份。经检验，运动鞋品牌情境嵌入的品牌体验量表，其信度及效度可靠。进而本研究建立了品牌体验影响购买意愿的判别函数，其中行动体验的影响最大，提示当品牌能引导消费者的行为方式时，消费者最有可能产生购买意愿。

关键词：品牌体验；购买意愿；判别分析；运动鞋品牌 New Balance

1. 引言

在体验经济时代中，由于营销近视症或单向度的影响，传统的基于产品、价格、分销和促销四要素的营销组合模式，已经很难适应体验经济的发展要求。体验营销这一新型营销模式应运而生。在体验营销中，顾客寻找和购买品牌时所感受到品牌有关的特殊刺激，对于他们的影响甚至大于来自于产品的功能的选择 (Brakus, Schmitt, Zarantonello, 2009)。有学者认为品牌体验贯穿于消费体验过程的各个阶段，它来自于消费者对品牌及其属性的了解和熟悉程度，与产品或服务的体验相比，是一种基于顾客体验，但更抽象、更高层次的体验形式，有着更深层次的意义和影响 (Alba & Hutchinson, 1987; Bennett, Härtel, & McColl-Kennedy, 2005)。因此，在品牌体验过程中，品牌的差异已超越术语、名称、标记、符号或又是它们的组合运用的存在，其价值内涵随社会经济形态而不断进化为带有复合功能性价值、象征性价值和体验性价值的统一有机体。而作为企业最关注的问题——消费者最终的购买意愿，通过品牌体验对消费者的购买意愿影响会如何呢？企业怎么在关注产品和服务的基础上，通过改善品牌体验的哪些方面来强化消费者的购买意愿，最终提高自身市场竞争力呢？这就是本研究所关注的问题。
本研究选取了美国运动鞋品牌 New Balance 和在校大学生群体来进行品牌体验影响消费者购买意愿的实证研究。基于近年来的社会观察，美国运动鞋品牌 New Balance 在中国非常流行。独特的品牌设计基础上，依靠独特的品牌与产品设计、品牌植入的意见领袖的活动、大众的口碑传播，令到消费者对其有较深刻的品牌体验。在校大学生群体，年轻爱时尚，平常穿运动鞋的比例高。New Balance 品牌运动鞋是他们所熟悉和喜爱的运动鞋品牌。因此，本研究选取在校大学生群体作为调查对象。

本研究运用品牌体验量表对 309 名大学生进行问卷调研。以购买 New Balance 品牌运动鞋的购买意愿为例，通过对 4 个品牌体验维度进行调查研究，得出大学生的运动鞋品牌体验的判别函数。本研究为大学生的品牌体验对运动鞋购买意愿的影响提供判断参考，从而为企业的品牌体验管理实践提供决策参考。

2. 文献综述


而消费者的购买意愿会受到消费者对于品牌的态度影响，购买意愿又会最终影响购买行为。因为根据预测消费者行为最权威的理论之一的计划行为理论(Theory of Planned Behavior，简称 TPB)，消费者的行为态度是个体对执行某特定行为喜爱或不喜爱程度的评估，而行为态度是决定行为意向的主要变量之一，态度越积极、行为意向就越大(Ajzen, 1991)。

因此，本研究认为消费者的品牌体验影响消费者对品牌的态度，从而影响消费者的购买意愿，进而影响消费者的购买行为。

品牌体验对消费者购买意愿存在着显著的影响，但对该影响仍缺乏量化实证研究，尚未见到以判别分析方法，建立以品牌体验各维度数据来判别消费者购
买意愿的量化实证探索。

3. 研究方法

本研究主要探讨品牌体验对购买意愿之间的关系。研究采用 Brakus, Schmitt, Zarantonello(2009)的成熟的品牌体验量表，由 12 个测量项目组成，采用里克特 5 级量表，其中 (1=非常不同意，5=非常同意)，分数高低与品牌体验成正向关系，分数越高，消费者对品牌体验的感受程度越高。并对问卷题项稍作品牌情境嵌入，要求被试以美国 New Balance 运动鞋品牌为对象，回忆对该品牌的品牌体验并填写问卷。

研究样本均来自于珠海地区在校大学生。样本收集具体过程为随机选取学生进行问卷发放，并要求被访者现场填写后回收。共发出问卷 480 份，回收问卷 330 份，回收率为 73.3%；删除无效或填写不完整问卷，共剔除无效问卷 21 份，回收到的有效问卷总计 309 份，回收率达到 68.6%。

有效问卷中被调查对象的性别分别为男性共 143 人 (46.3%)，女性 166 人 (53.7%)。问卷中再对 New Balance 运动鞋品牌的购买意愿采取直接提问的方式，其中有意愿购买的为 71 人 (22.9%)，无意愿购买的为 238 人 (77.1%)。

4. 资料分析与结论

本研究采用 SPSS 21.0 以及 Amos 21.0 作为主要资料分析工具，研究方法包括因子分析、判别分析。

4.1 信度

为检验本量表的有效性，了解被调查者对问卷的回答是否符合量表设计的初衷，本研究利用 Cronbach's Alpha 值，对量表的信度进行了检验。检验结果显示，“感官体验”、“情感体验”、“行动体验”和“思考体验”四个维度的 Cronbach's Alpha 值分别为 0.74、0.84、0.86 和 0.75，均满足大于 0.7 的最低接受标准，表示较高的内部一致性，可以认为问卷可靠性较强，说明本研究所采用的量表信度良好(Nunnally, 1978)。

4.2 效度

为了检验本量表的效度，又进行了验证性因子分析 (CFA)。利用验证性因子分析来检验品牌体验量表的收敛效度，各维度下的所有题项的标准化负载系数都在 0.70 至 0.91 之间，满足 0.7 的最低接受标准，且在 P<0.001 条件下呈现统计显著性(Nunnally, 1978)。模型其他拟合指针 (X^2=110.22, d.f.=47, CFI =0.94, TLI =0.91, GFI =0.94, 和 RMSEA =0.07) 都符合相关要求，即 x^2 / d.f. 值为 2.35，处于 2 至 5 之间；CFI、GFI 等拟合指标都在 0.91 至 0.94 之间，满足 0.9 的最低接受标准；RMSEA 和 RMR 分别为 0.07 和 0.03，分别满足 0.08 和 0.05 的最低接受标准(Fornell & Larcker, 1981)。说明本研究采用的品牌体验测量量表具有较好的收敛效度。

4.3 变量有效性检验
不管采用何种方法建立预测模型，其基本前提是所选用的各个预测变量能够有效地分离总体，即对因变量具有一定的区分能力，否则预测的目的便难以实现。为此，对于有购买意愿和无购买意愿的消费者群体在 4 个品牌体验的维度上的均值差异进行检验，各维度的均值和标准偏差及显著性检验结果见表 1。

<table>
<thead>
<tr>
<th>变数</th>
<th>感官体验</th>
<th>情感体验</th>
<th>行动体验</th>
<th>思考体验</th>
</tr>
</thead>
<tbody>
<tr>
<td>有购买意愿</td>
<td>4.04 (0.52)</td>
<td>3.55 (0.57)</td>
<td>3.88 (0.62)</td>
<td>3.48 (0.63)</td>
</tr>
<tr>
<td>无购买意愿</td>
<td>3.80 (0.60)</td>
<td>3.35 (0.60)</td>
<td>3.57 (0.62)</td>
<td>3.20 (0.68)</td>
</tr>
<tr>
<td>T</td>
<td>-3.04***</td>
<td>-2.43***</td>
<td>-3.73***</td>
<td>-3.09***</td>
</tr>
</tbody>
</table>

表 1 变数有效性 T 检验

注：* p <0.05, ** p <0.01, *** p <0.001

从表 1 中可见，有购买意愿和无购买意愿群体在 4 种品牌维度上均存在显著差异。与本研究理论的预期相符，有购买意愿群体的品牌体验各个维度的均值均高于无购买意愿群体。

4.4 判别分析

判别分析就是根据已知类别的事物的性质，利用某种技术建立函数式，然后对未知类别的事物进行判断以便将它归入到已知的类别中。建立购买意愿的判别函数对企业品牌体验不仅有理论上的指导作用，更有实际工作的指导作用。利用判别函数，可以对消费者是否会进行购买进行判断（Lattin, Carroll & Green, 2003）。

使用 SPSS 21 统计软件的判别分析功能对样本数据进行了运算，结果表明有一个判别函数，判别函数的特征值=0.338，特征值越大，表明该函数越具有区别力。Wilks’ Lambda 检验判别函数的相伴概率为 0.000，达到显著水平。Standardized Canonical Discriminant Function Coefficients 表格显示了判别函数的标准化系数。由此可以得到判别函数为：

\[ F = 0.356X^1 + 0.052X^2 + 0.613X^3 + 0.347X^4 \]

从而判别函数可知，接受调查的大学生对运动鞋品牌 New Balance 的购买意愿受品牌体验影响的关键因素按照大小排列是：行动体验 (0.613)、感官体验 (0.356)、思考体验 (0.347)、情感体验 (0.052)。Classification Function Coefficients 表显示了两组 Fisher 线性判别函数，每组都有一组相应的系数，将每一个观察值代入两个 Fisher 线性判别函数，所得函数值较大的，则该观察值属于该组。

\[ F_0 = 7.004X^1 + 3.130X^2 + 4.937X^3 + 1.112X^4 - 29.868 \]
\[ F1 = 7.359X_1 + 3.080X_2 + 5.511X_3 + 1.412X_4 - 34.226 \]

表 2 显示，该判断方程对研究对象是否共享的准确判断率达到 76.4%。

<table>
<thead>
<tr>
<th>步骤一</th>
<th>购买意愿</th>
<th>预测值</th>
<th>合计</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>0</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>实际值</td>
<td></td>
<td></td>
<td>238</td>
</tr>
<tr>
<td></td>
<td>166</td>
<td>72</td>
<td>238</td>
</tr>
<tr>
<td>百分比</td>
<td>0</td>
<td>0</td>
<td></td>
</tr>
<tr>
<td></td>
<td>69.7%</td>
<td>30.3%</td>
<td>100%</td>
</tr>
<tr>
<td></td>
<td>1</td>
<td>1</td>
<td>100%</td>
</tr>
<tr>
<td></td>
<td>1.4%</td>
<td>98.6%</td>
<td>100%</td>
</tr>
</tbody>
</table>

总正确率：\( \frac{166 + 70}{309} = 76.4\% \)

4.5 结论

通过文献分析与判别分析，本研究发现品牌体验对消费者购买意愿有着重要影响，其中行动体验最为明显，也就是说当品牌能引导消费者的生活方式以及其处事方式时，消费者最有可能产生购买意愿。

本研究中通过建立判别函数，有效判别消费者购买意愿，总有效率达到 76.4%，其中对有购买意愿的预测准确性达到 98.6%。因此，我们相信品牌体验对购买意愿有积极的影响。但对于无购买意愿的被访对象，品牌体验对其影响则较弱。本研究发现行动体验对购买意向影响较大，而在无购买意向的被访对象中感官体验对其影响较大。

5. 研究局限性与建议

本研究仅限于静态数据收集的定量分析方法，对消费者的品牌体验对购买意愿进行分析。但消费者的购买意愿还受其他因素影响，如动态的朋友评价等影响，建议后续研究可采用定性研究方法或三角研究法，找出朋友评价等因素对品牌体验与购买意愿关系的影响，更好地解释品牌体验对购买意愿的影响机制。

本研究发现品牌体验对无购买意愿的被访对象的影响有限，特别是在行动体验上。我们认为被访对象购买意愿受到行动体验影响较大，而无购买意愿的被访对象对品牌体验的体验仅停留在感官体验上，而行动体验则有欠缺。因此，我们建议企业应关注消费者行动体验的需求，将消费者从传统的品牌感官体验转到品牌行动体验中去。

品牌作为企业重要的无形资产和顾客识别或归属的价值符号，其价值内涵随着经济形态的演进而不断变化。在体验经济时代，品牌复合化为功能性价值、象征性价值和体验性价值的有机统一体。品牌体验作为体验经济时代品牌与消费者接触的桥梁，其战略价值对企业来说不言而喻。因此，企业不仅要注重产品或服务功能性品牌与象征性品牌的构建与铸就，更要注重体验性品牌的再造与延伸。
参考文献

Can Friends with Low Shopping Impulse Keep Us from Going on Shopping? - A Study on Continuous Shopping after Impulse Purchase

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ABSTRACT

This research focuses on shoppers’ intention to go on shopping after their impulse purchase with their friend. The study experiments show that, when shopping with friend, the shopper’s intention to go on shopping is influenced by his/her friend’s relative purchasing quantity and his own normative evaluation on impulse purchase. Firstly, the relative purchasing amount of his friend plays an important role, i.e. when friend buys more (vs. less), the shopper will have higher intention to continue shopping. Secondly, when the shopper’s normative evaluation on impulsive purchase is positive (vs. negative), he/she has a stronger intention to go on shopping. Therefore, this study contributes to extending the research on the immediate consequence of accompanied impulsive buying behavior, and it also answers the question as to what partners a shopper goes shopping together with will make him/her buy less. It also has some significant guidance for retailers in their interactive field selling skills.

Keywords: Impulsive Purchase, Accompanied Shopping, Store Visit Duration, Normative Evaluation
低购物冲动的朋友能够帮助我们缩短逗留时间吗？
--购买行为后的再逛意愿研究

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摘要
本研究关注陪伴逛街时，惠顾者在实施购买行为后的继续逗留意愿。研究通过实验证明，在陪伴购物中，惠顾者在实施了购买行为的继续逗留意愿受朋友相对购买数量及其对冲动性购买的规制评估的影响。首先是朋友相对购买量的主效应，朋友买得更多时，惠顾者逗留意愿显著高于朋友买更少的组。其次是惠顾者的规制评估的调节，积极的规制评估积极促进继续逗留意愿，消极的规制评估抑制继续逗留意愿。这个研究拓展了冲动购买行为在陪伴情境和即时的后续领域研究的成果，从消费者的角度也回答了关于怎么样的同伴会帮助减少购物花费的问题，而且零售商的现场销售互动也具有一些指导意义。

关键词：冲动购买；陪伴购物；购物逗留时间；规制评估

1. 引言
在美国拍摄的电影 Confessions Of A Shopaholic 和香港拍摄的电影《天生购物狂》里，都有一个不能自已，疯狂购物的女主角。因为没有办法控制自己的冲动购买，她们或是拼命工作却债台高筑，或是工作失误摊上上司。她们在零售店中，不断购买各种商品的情境，令人印象深刻。

事实上，在日常购买活动中，冲动性购买非常普遍，至少有 30-50%属于冲动性购买[1]。人们对冲动性购买行为的研究保持着热情。Kacen and Lee 2002 的调查发现年冲动性购买消费额超过了 4 亿美元，有超过 40%的消费者认为自己是冲动性购买者[2]。而如今随着个人可支配收入的增长、信用额度的增加、24 小时营业等，冲动性购买行为更为常见。

冲动购买的定义目前最见的是 Rook（1987）的研究：当消费者体验到一种突然的、常常是强烈和持久的想要立即购买某种商品的渴望时，冲动性购买行为就发生了。冲动性购买具有复杂的享乐特质，有时还会刺激产生情绪冲突[3]。从现有文献看，大多数研究都集中于冲动购买行为的“前因”和“过程”，对于冲动性购买的“即时后果”的研究相对薄弱。另一方面，已有的冲动购买行为研究多以独
自购物的惠顾者（shopper）为研究对象，对陪伴购物情境缺少关注。本研究从即时后果和同伴影响两方面着手，研究了同伴的行为是否会抑制（促进）购买行为后的再逗留意愿。

通过实验研究发现，控制住惠顾者的唤起水平后，在陪伴购物中，惠顾者在实施了购买行为后，是否继续逗留受到朋友购物的相对量（与惠顾者相比）的影响，同时消费者对冲动购物的规制评估会调节这样的影响。首先，本研究发现朋友购物量与自己购物量的差距对继续逗留意愿有主效应，当发现朋友比自己买得多时（相对朋友比自己买得更多而言），惠顾者继续逗的意愿要显著更高。其次，主体（惠顾者）对冲动购买的规制评估的调节作用分两个方面，当消费者对冲动购买的规制评估是积极时，对继续逗留意愿产生促进效应，而当消费者对冲动购买的规制评估是消极时，对继续逗留意愿产生抑制效应。也就是说，会产生正正叠加，正负叠加，正负（负正）抵消的现象。总之，主体（惠顾者）的积极的规制评估并且发现朋友比“自己”买得多时，表现出最高的继续逗留意愿；而主体（惠顾者）持积极的规制评估并且发现朋友比“自己”买得更少时，表现出最低的继续逗留意愿。

本研究在理论贡献方面，本文研究了同伴的购物量对冲动购物者的继续逗留意愿的影响，丰富了关于陪伴购物情境的冲动的购物行为研究，也丰富了关于购买行为的即时“后果”研究。从惠顾者行为解析及管理应用方面来看，本文的研究揭示出当两个持积极的规制评估的人一起逛街时，就像开始了一场购买持久战，他们会互相影响，在商场一逛再逛，满载而归。这也意味着，一个对冲动购买持积极态度的人，如果想通过缩短在商场的逗留时间来控制自己的购买量的话，要选择一位平时表现出冲动性购物行为低的朋友（通常这样的朋友的特征是，他们有较低的冲动购买特质，对冲动购买行为的规制评估也是低的）结伴逛街，就可以有效缩短自己在商场逗留的时间。

文献综述和研究假设

本文研究的是购买行为实施之后的继续逗留意愿，研究文献从冲动性购买的相关研究出发，结合赞同研究的理论规制评估理论来建立假设逻辑，同时讨论了购物情境的唤起水平对冲动性购买产生影响。

2. 文献综述和研究假设

2.1 冲动性购买行为研究成果及不足

冲动性购买（Impulsive Buying/Purchase，后面简称 IP）在惠顾者行为（shopper behavior）研究领域自 20 世纪 50 年代起受到关注，之后一直是关于惠顾者行为研究的热点。在早期研究中，认为冲动性购买是一种非计划购买，主要是因为“非计划购买”在现场研究中更加容易识别，研究者们从品类、陈列、人口统计特征和生活方式各个角度探索了这种“非计划的冲动购买”影响因素[4][5]。70 年代至 80 年代的研究逐渐将冲动购买、非计划购买、习惯性购买等行为区分开来，Rook（1987）的研究可以称为冲动性购物行为的里程碑，这项研究为冲动购买定义确定了 3 个易于理解的特点——购买行为非计划、购买行为难以控制、购买行为伴随着情感回应。目前研究领域最普遍采用的冲动购买行为的定义也来自于这个研究：当消费者体验到一种突然的、常常是强烈和持久的想要立即购买某种商品的渴望时，冲动性购买行为就发生了。冲动性购买具有复杂的享乐特质，有时还会
刺激产生情绪冲突[3]。

冲动性购买行为的形成机制、影响因素和行为后果，在之后的二十余年时间里得到了比较充分的研究。其中，影响因素和形成机制的研究尤为充分。

冲动性购买行为的影响因素研究，可以扩大到冲动性消费（impulsive consumption）和冲动性消费决策（impulsive choice），这些研究基本上都从自我控制入手[1]6[7][8][9]，找到前因的原因。可以概括成个人层面的心理与生理因素、零售现场层面的环境因素和社会层面的文化因素三个方面。


零售现场的环境因素研究比较偏向于应用类研究，研究者发现零售环境会与消费者的情绪和参与度有联系，如一些关爱、希望、好奇、有趣的情绪会伴随一定程度的购买意愿和拥有意愿，甚至有时会改变消费者的购买计划，产生冲动购买行为[18]。相关的研究发现包换商店位置和逛街时机[19]、商品的功能性诉求[13]、零售价格策略[20]、零售背景音乐[21]、商品陈列方式[22]、零售现场销售人员[23]等因素都会引发高冲动购买行为。零售环境是冲动购买的一个十分重要的因素，有限的空间环境与独特的购物条件共同组成了零售环境，它主要包括零售店的背景音乐、商品陈列方式、气味、店内促销活动、价格、店内清洁环境、店铺密度与店内销售人员等[24]。

在关于现场的影响因素中，有一个比较集中的路径是零售现场要素对顾客的唤起（arousal）水平不同，从而影响了顾客的行为。在不同零售唤起水平下，消费者的逗留意愿是不同的，高唤起水平，如舒缓的音乐、折扣优惠活动、友好的店内销售人员等会使消费者产生积极情绪，更乐意逗留在商场，甚至于发生冲动购买。这也影响到了包括本研究在内的后续研究，涉及人们的冲动购买决策时，将唤起（arousal）水平作为重要的控制变量来考虑。

社会层面的影响因素包括社会经济地位的影响[25]；陪伴者类型的影响[26]，全球文化因素如 PDB （权力距离信念）[27]；地域文化特征如“面子”的影响[28]等。


相对于影响因素和形成机制研究，冲动性购买行为后果方面的研究数量就比较少一些。顾客会在冲动购买之后经历一种立即的喜悦和满足[32]；消极的后果包括焦虑、内疚和后悔等负面情绪[31][3][33]。Rook & Fisher (1995) 认为这些负面情绪更多来自社会压力[19]。相对于即时后果，现有研究更集中于冲动性购买行为会给消费者心理带来的长期消极影响，如冲动性购买会让人们感受到自己自制
力的下降，从而降低自信心与自尊感。再如，李伟伟等（2006）以及阎巧丽（2006）研究发现上述冲动购买行为带来的负面后果达到一定程度时，下一次的购买冲动性和认知评价都会受到较大的影响[34][35]。

所以，回顾近30年的冲动购买相关文献，有两个现象值得关注，第一个现象是冲动购买行为的研究多数集中在“前因”和“过程”上，对于“后果”的研究尤其是冲动购买行为带来的即时情绪体验和决策的研究有限；第二个现象是，已有的冲动购买行为研究对陪伴购物情境下，同伴的行为影响情况探究极少。

2.2 一致性理论和购物中的同伴影响

尽管陪伴购物是日常生活中主要的购物模式，但是，研究惠顾者的冲动购买行为如何受其同伴影响的研究却不多。

那些从个体层面剖析心理变量的研究中，如个人权利距离（PDB）和自我构建（self-construal）等心理变量对冲动性购买行为的影响已经可以推理在陪伴购物中，由于同伴的出现，研究对象的冲动购买行为决策会受到不同的影响。涉及同伴这一变量时，通常用两个维度来表征——同伴影响力（或个人易受影响程度）与亲密程度[36][37]，这是指，同伴具有多大的社会影响力去吸引他人追随他的行为（及研究对象个人特质中关于是否容易受到影响的程度），以及你和同伴的关系是否亲密（通常体现在不同类型的同伴上，如家人或同事）。这些研究的主要理论基础是消费行为会受社会规范的影响[38]。比如，消费者中，同伴的存在就如同一个榜样，消费者很可能相信同伴的看法与行为；同样的，消费者也有可能将他人的行为作为自己消费前的一个判断标准。


这些为数有限的研究，其视角是朋友（或家人/他人）的出现对冲动购买行为的促进或是抑制作用，而不是同伴的购物行为对惠顾者的影响。本文的研究，就是从以后一个角度为切入点，研究同伴的行为对实施冲动购买行为的惠顾者的行为（逗留意愿）的影响。本研究从平衡理论和一致性理论的角度来讨论同伴的购买行为对惠顾者冲动性购买后逗留意愿的影响。

本文认为，陪伴购物这个场景，涉及两个人（自己与朋友）和一项事物（冲动购买），根据平衡理论，即“P-O-X”模式，P 代表一个主体，O 代表另一个主体，X 代表对象。P、O、X 三种成份的相互作用组成一个认知场，对主体来说，这个认知场有时是平衡和稳定的（图2 中①②③④的情况），比如：两个个体对这个对象的态度都是正的或都是负的。有时又是不平衡、不稳定的（图2 中⑤⑥⑦⑧的情况），比如一个个体对这个对象的看法是正面的，而另一个体对这个对象的看法是负面的。不平衡的情况下，人际关系会变得紧张，个体为了与另一个体
保持良好的关系，就会采取改变自己的行为（或态度）的方法来保持平衡。

假设 \( P \) 代表惠顾者，\( O \) 代表同伴，如果他们是朋友，\( P \) 和 \( O \) 的关系就是+；
\( X \) 代表冲动购买行为，当惠顾者看到朋友和自己买的数量一致，也就是图 1 中的
①或②的状态，此时惠顾者、朋友、行为三者是平衡的；当同伴的购买行为与自己
不一致（包括同伴买得更多和买得更少）时，相当于图 1 中的⑤或⑥，暗示了
二人在对冲动性购买行为的认知和行为上有分歧，此时的“三角关系”就处于失衡
状态，他会采取一些行为来追求稳定一致的关系结构，即继续逛（买）还是终止。

也就是说，当朋友比自己买得更少时（相当于上图⑤的状态），主体 \( P \) 会想
要减少自己的购物来取得与朋友的一致。但实际情况是他已经不可能退货了，唯
一可能做的是终止逛街，也就是说，朋友买得更少对继续逗留意愿带来抑制影响。
当朋友比自己买得更多时（相当于上图⑥的状态），主体追求平衡的方法就是增
加购买，这对继续逗留意愿带来积极的影响。

因此，本文提出假设 1：

假设 1: 陪伴购物情境下，朋友的购买量与惠顾者的冲动购买量的相对多少，
会对惠顾者的继续逗留意愿产生影响。朋友购买量更多时，惠顾者的继续逗留意
愿显著高于朋友购买量更少时。

2.3 个人配置评估对逗留意愿的影响

配置评估是指人们对一些想法、感受、行为或行为所产生的结果给予的一些
标准[41][42]，而消费者对冲动购物的配置评估是指消费者个人对冲动购买行为接
受程度的一种判断，配置评估会调节消费者的冲动购买特点与购买行为[10]。在
60 年代至 70 年代时，冲动购买行为被认为是目光短浅的行为[43][44]，人们认为
冲动购买会伴随着个人经济困难、消极的个人自尊与社会反馈、降低购物的满足感
[3]。随着经济的进步与时代的发展，人们逐渐视冲动购物为一种可辨别的行为，
有着积极配置评估的消费者更愿意接受冲动购买，他们的购物清单有更大的灵活
性，并且在购物的过程中会涌现出一些不在购物计划内的购买意愿，在实施冲动
购买后，他们会从这种冲动的行为中感受到喜悦\[45][46]。

Rook & Fisher (1995)认为个人规制评估分为积极的与消极两个方向，积极的规制评估会使得消费者更愿意接受冲动购买行为，并从中获得愉悦的情绪，从而有趋势实施更多的冲动购买；相反，消极的规制评估会使消费者在实施冲动购买行为后感到愚蠢、疯狂、浪费和不成熟等消极情绪\[19]。

在上述关于失衡状态的处理中，本研究发现，当朋友购买一样多的时候，“三角关系”处于平衡，惠顾者不需要在进行是否继续时启动规制评估。所以，有假设 2；

假设 2：陪伴购物情境下，朋友购买量和主体一样多时，积极的规制评估与消极的规制评估组在继续逗留意愿上无差异。

在上述关于失衡状态的处理中，本研究发现，当主体（惠顾者）发现同伴与自己的购买数量不一致时，会进行关于继续还是终止的决策。因为这个决策是冲动购买行为之后立即产生的，所以本研究认为继续逗留的意愿同样受到关于冲动购买行为的规制评估的影响。

在陪伴购物情境下，处于失衡状态的惠顾者会启动规制评估来决定自己继续逗留是否有必要。此时分两种情形讨论。第一种是朋友买得更少：根据假设 1，惠顾者会倾向于终止逛街。但是，此时如果规制评估是积极的，就表示惠顾者对冲动性购买行为的肯定，这种态度与“终止逛街”的意向冲突；相反，如果规制评估是消极的，就表示对已经冲动购买行为的否定，这种态度与“终止逛街”的一致。所以，规制评估影响了“是否要终止逛街？”这个问题的答案，规制评估消极（相比规制评估积极），终止逛街的意愿更高。

另一种情形是朋友买得更多，根据假设 1，惠顾者会倾向于通过继续逗留来增加购买以保持与朋友的一致。与上文陈述类似，在决定“是否要继续逛”时，惠顾者的规制评估同样起到了重要作用：如果规制评估是积极的，就促进“继续逗留”的决定；如果规制评估是消极的，就抑制“继续逗留”的决定。所以，规制评估影响了“是否要继续逛？”这个问题的答案。当规制评估积极，将对继续逗留愿望有叠加作用，消极的规制评估对继续逗留愿望有抑制作用。本研究将朋友的影响与规制评估的影响总结如表 1：

<table>
<thead>
<tr>
<th>表 1 朋友购买数量与规制评估对冲动购买行为后是否继续逗留意愿的影响</th>
<th>是否平衡</th>
<th>朋友购买量</th>
<th>假设 1</th>
<th>主体持积极的规制评估</th>
<th>主体持消极的规制评估</th>
</tr>
</thead>
<tbody>
<tr>
<td>平衡</td>
<td>朋友买一样多</td>
<td>中</td>
<td>不启动规制评估</td>
<td>(H2)</td>
<td></td>
</tr>
<tr>
<td>不平衡</td>
<td>朋友买得更多</td>
<td>高</td>
<td>促进+（C3）</td>
<td>抑制-（C4）</td>
<td></td>
</tr>
<tr>
<td>不平衡</td>
<td>朋友买得更少</td>
<td>低</td>
<td>促进+（C1）</td>
<td>抑制-（C2）</td>
<td></td>
</tr>
</tbody>
</table>

注：C1，C2，C3，C4 表示不同组的继续逗留意愿
由于规制评估的促进和抑制作用，对于同一种不平衡状态的惠顾者，有假设 3a 和 3b：

假设 3：在陪伴购物情境下，朋友购买量和主体（惠顾者）不一致时，主体对冲动购买行为的规制评估（积极 vs 消极）将会对继续逗留意愿产生影响（促进 vs 抑制）

假设 3a：在陪伴购物情境下，朋友购买比主体（惠顾者）多时，规制评估积极的主体（惠顾者）比规制评估消极的主体（惠顾者）有更多的继续逗留意愿（C3 显著高于 C2）；

假设 3b：在陪伴购物情境下，朋友购买比主体（惠顾者）少时，规制评估积极的主体（惠顾者）比规制评估消极的主体（惠顾者）有更多的继续逗留意愿（C1 显著高于 C4）；

另一个角度，由于规制评估的促进和抑制作用与朋友购买量的主效应产生叠加，组间比较会看到正正的叠加更大，正负的叠加导致无差异，而负负叠加导致更小。所以，又可以得假设 3c 和 3d：

假设 3c：陪伴购物情境下，主体（惠顾者）规制评估积极且朋友购买量比主体更多组的继续逗留意愿高于主体规制评估消极且朋友购买量比主体更少组（即 C2 显著高于 C3）。

假设 3d：陪伴购物情境下，当主体（惠顾者）规制评估积极且朋友购买量比主体更少组的继续逗留意愿与主体规制评估消极且朋友购买量比主体更多组的无差异（即 C3 与 C4 无差异）。

本文接下来将报告包括预实验在内的实验设计及其结果来验证以上所提的理论假设。具体实验设计，根据 Rook & Fisher (1995) 的方法，采用情境模拟投射法进行实验来降低社会期许性。预实验验证本研究所设计的主体实验情境中，关于因变量设计的有效性。主实验将分别验证假设 1、假设 2 和假设 3。

3. 实验和数据分析

本研究涉及测量冲动购买的规制评估和行为，以及当施加同伴行为刺激时的继续逗留意愿，控制消费者在购买时的唤起水平。其核心研究设计是冲动购买行为后的即时后果，所以实验的采用冲动购买研究的常用设计，来自 Rook & Fisher (1995)。

3.1 预实验

本研究设计了购物情境，在购买情境中本研究的实验采用了第三人称“小王”，而没有使用“你”，参照 Rook & Fisher (1995) 的做法，这种投射法通过情境想象可以有效降低社会期许性（social desirability）对被试的影响，因为冲动购买是一个会导致别人对自己看法的话题。本研究仅对情境中的货币作了调整，情境如下：

“小王是一个 21 岁的大学生，有一份实习的工作，还有两天发实习工资，现在还有 100 元现金以供不时之需。这个周末小王要去参加一个户外活动，为此需要买一些食物和一双保暖袜。下班后，小王和一个好朋友相约去逛街买保暖袜。
他们走进商场穿梭在各品牌专柜间。小王和朋友看到了一件正在促销的合乎心意的毛衣，打折后价格是 300 元。目前小王身上只带了 100 元现金，还有一张没有余额但可以透支的信用卡。”

设计中的主角采用了“小王”这一性别中性称呼，以保证性别之间投射无差异。购物内容和资金约束根据中国的情境作了调整。本研究增加了关于陪伴情境的陈述，“和一个好朋友”，也增加了词语“下班后，相约逛街”来强化任务对购物导向的影响。

其中冲动性购买行为根据情境，选项相应是：1、只买保暖袜；2、买了保暖袜，很想买看上的毛衣，但最后还是决定不买；3、决定放弃保暖袜；4、使用信用卡透支，同时买下保暖袜和毛衣；5、使用信用卡透支，同时买下保暖袜和毛衣，并且买了休闲裤和与之搭配的上衣。本研究问被试，“假设你是小王，你会怎么选择？”选项从 1 到 5 表示冲动购买行为程度的依次上升。

本研究进行了 33 个被试的预实验，用李克特 10 级量表，从 1 到 10 代表不同等级的冲动性程度，请被试分别对这五个购买决策的冲动性程度进行打分。

结果显示，五个选项的平均数分别如下所示：“只买保暖袜”冲动程度最低 (M=1.36)；“买了保暖袜，很想买看上的毛衣，但最后还是决定不买” (M=3.18)；“决定放弃保暖袜” (M=5.88)；“使用信用卡透支，同时买下保暖袜和毛衣” (M=6.55)；“使用信用卡透支，同时买下保暖袜和毛衣，并且还买了条休闲裤和与之搭配的上衣” (M=8.73)。用以衡量冲动性购买行为的五个选项排序 1-5 代表着冲动性购买行为程度（量）从低到高。

值得注意的是，“决定放弃保暖袜”要比“买了保暖袜，很想买看上的毛衣，但最后还是决定不买”更冲动。这是因为场景的描述中，小王是打算去买袜子的，一些被试者可能把小王改变原有购买计划视为一种较高冲动的表现。或者可以解释为，被试者理解“决定放弃保暖袜”这一项意味着“决定去买毛衣，而不买保暖袜”，而不是“什么都没买”[10]。

3.2 实验

主实验为 2（规制评估积极 vs 消极）* 3（朋友购买数量更多 vs 更少 vs 一样多）。其中，规制评估是通过测量分组，而朋友购买数量是实验设定的。实验对象为上海两所高校的在校学生，有效问卷 293 份。实验组分布如表 2:

<table>
<thead>
<tr>
<th></th>
<th>规制评估积极</th>
<th>规制评估消极</th>
</tr>
</thead>
<tbody>
<tr>
<td>朋友比我买得多</td>
<td>46</td>
<td>48</td>
</tr>
<tr>
<td>朋友比我买得少</td>
<td>48</td>
<td>53</td>
</tr>
<tr>
<td>朋友和我买得一样多</td>
<td>46</td>
<td>52</td>
</tr>
</tbody>
</table>

建立唤起的零售要素有很多，包括音乐、颜色、商店布置和商品陈列[47]。因此，研究小组摄制了一段节日的百货商店实录（研究小组没有采用超市的情境...
是为了避免任务导向购物削弱唤起效果），配以音乐作为实验的唤起材料。研究
对象在约定的时间到教室参加实验，告知实验目的是为了评估某商场的零售气氛
是否受欢迎。

被试在 10 分钟时间内完成入场过程，例如，实验是 14:00 开始，本研究就
要求被试在 13:50-14:00 期间进入教室，实际实验开始的时间是 14:02。当被
试陆续进入教室时，就可以看到研究小组事先准备的一段百货店的录相，录相时
长为 2 分 20 秒，循环播放。14:02 分，被试开始填写纸质问卷，在其填写期间，
录相仍在播放，整个问卷填写大概需要 10 分钟。

在问卷开始的第一部分，本研究测量了被试的唤起水平。接着，被试将读到
如预实验设计的关于陪伴购物的情境设计，情景描述之后，测量依次包括冲动性
购买行为，冲动性购买规制评估和告知朋友行为后的继续逗留意愿。其中冲动性
购买行为根据预实验设计，选项从 1 到 5 表示冲动购买行为程度的依次上升。最
后，为了呼应最初告诉初试的研究目的，问卷让被试写了对这家百货店零售环境
的评价问题，问题是开放的，没有时间限制，填完就可以结束实验离开。

其中，对于朋友购买量的三种情况本研究做了组间设计，三种情境分别是：

组 A，朋友的购买量的比小王更多。本研究在测量逗留意愿前，告诉被试“朋
友不仅买了保暖袜、毛衣、休闲裤和上衣，还另外刷卡买了一件打折的衬衫。”
此时，组 A 的朋友购买量比小王可选择行为的最高级 5 还多了一件商品。

组 B，朋友的购买量比小王更少。本研究在测量逗留意愿之前，告诉被试，
“朋友只买了双打折的普通棉袜。”因为被试的冲动购买行为最低程度是“只买保
暖袜”，朋友买的是普通棉袜，而且是打折的，所以此时朋友的购买量就非常低。

组 C，朋友购买量的和自己一样多。本研究在测量逗留意愿之前，告诉被试，
“朋友的购买量与小王的选择一致。”这样组 C 就代理朋友购买量和小王是一致
的。

3.3 变量测量

本研究需要测量规制评估、继续逗留意愿，同时对被试的唤起水平进行了控
制。

冲动性购买规制评估与 Rook & Fisher (1995) 的测量一致（除了购买内容根
据本研究的情境调整），在问卷中问被试“假设小王假设最后小王使用信用卡透
支，同时买下了保暖袜、毛衣、休闲裤和上衣，你对小王的行为作何评价？”，
量表包含十个测项（其中有 3 项在问卷中为反置测项），用李克特 7 极量表：好
的（Good）- 坏的（Bad）；理性的（Rational）- 疯狂的（Crazy）；收获颇丰的
（Productive）- 浪费的（Wasteful）；吸引我的（Attractive）- 不吸引我的
（Unattractive）；明智的（Smart）- 愚蠢的（Stupid）；可接受的（Acceptable）-
不可接受的（Unacceptable）；慷慨的（Generous）- 自私的（Selfish）；审慎的
（Sober）- 糊涂的（Silly）；成熟的（Mature）- 幼稚的（Childish）；正确的
（Right）- 错误的（Wrong）。

继续逗留意愿本研究使用了一个测项，“你认为小王此时是否还有兴趣继续
逛逛，看看还有没有喜欢的商品？”，被试在 1-7 的李克特七极量表上选择“非常
有兴趣继续逛-完全没有兴趣继续逛”。

被试的唤起水平（Kalcheva & Weitz，2006）。一共包含5个测项（其中第4项为反置测项）：松驰的（relaxed）-兴致高昂的（stimulated）-平静的（calm）-兴奋的（excited）-无精打采的（sluggish）-激动的（Frenzied）-反应迟钝的（Dull）-昏昏欲睡的（Sleepy）-精神抖擞的（wide awake）。

3.4 数据分析

3.4.1 量表信度度和唤起控制检验

问卷中共有三个7级李克特量表，分别测量冲动性购买规制评估和唤起水平两个变量。

冲动性购买规制评估量表10个题项的克朗巴哈α值为0.899, 但是其中第七项（小气的-大方的）的校正项总计相关性非常低，只有0.153，所以，最后分析用的规制评估变量包含9个题项，克朗巴哈α值为0.916，KMO值为0.935（p=0.000<0.001），因子分析显示只有一个维度，累积方差解释率为60.438%。本研究取9个题项的均值作为数据分析时用的规制评估值。

唤起水平量表包含5个题项，克朗巴哈α值为0.814, KMO=0.803(＜0.001)，因子分析显示只有一个维度，累积方差解释率为59.527%，本研究5个测项的均值作为唤起水平（arousal）值。唤起水平在6个组间无差异，F(1,292)=0.770, P=0.572。

3.4.2 数据分析和假设检验

假设1的检验，以购买量不同作为分组（朋友比我少 vs 朋友和我一样多 vs 朋友比我多），ANOVA分析显示，朋友购买量比我多时继续逗留意愿显著高于朋友购买量比我少时的继续逗留意愿（M 朋友买更多=4.73，M 朋友买更少=4.05, p=0.003, F=8.853），假设1得证。结果如图2所示：

图2：继续逗留意愿组间比较（朋友购买量的主效应，3组）

（M 朋友买更多=4.73>M 朋友买更少=4.05, p=0.003, F(1,292)=8.853）
规制评估的调节效应检验，在原有的分组基础上，根据规制评估的均值 4.68 分组高与低，将被试分成 6 组，即朋友比我少且规制评估消极、朋友比我少且规制评估消极、朋友和我一样多且规制评估积极、朋友和我一样多且规制评估消极、朋友比我多且规制评估积极、朋友比我多且规制评估消极。

接着进行假设 2 和假设 3 的检验，四组被试的继续逗留意愿数据如表 2 所示：

<table>
<thead>
<tr>
<th></th>
<th>规制评估积极</th>
<th>规制评估消极</th>
</tr>
</thead>
<tbody>
<tr>
<td>朋友比我买得多</td>
<td>5.17</td>
<td>4.310</td>
</tr>
<tr>
<td>朋友比我买得少</td>
<td>4.38</td>
<td>3.750</td>
</tr>
<tr>
<td>朋友和我买得一样多</td>
<td>4.48</td>
<td>4.230</td>
</tr>
</tbody>
</table>

先看假设 2 的检验，六组的组间比较 ANOVA 分析结果显示，当朋友和“我”一样多时，积极的规制评估组和消极的规制评估组进行比较，在继续逗留意愿上组间无差（M 朋友和我一样多且规制评估积极=4.48，M 朋友和我一样多且规制评估消极=4.23，p=0.440）。说明在平衡状态下，规制评估对是否逗留意愿没有影响，惠顾者没有启动规制评估决策。

接着进行假设 3a 和 3b 的检验，六组的组间比较 ANOVA 分析结果显示，在朋友比我买得多的情况下，规制评估积极的主体比规制评估消极的主体有更高的继续逗留意愿（M 朋友比我多且规制评估积极=5.17>M 朋友比我多且规制评估消极=4.31，P=.009），假设 3a 成立；在朋友比我买得少的情况下，规制评估积极的主体也比规制评估消极的主体有更高的继续逗留意愿（M 朋友比我少且规制评估积极=4.38>M 朋友比我少且规制评估消极=3.75，P=.05），假设 3b 得到验证。

接着进行假设 3c 和 3d 的检验，六组的组间比较 ANOVA 分析结果显示，由于规制评估的作用与朋友购买数量的影响方向一致，产生叠加，主体规制评估积极且朋友购买量比我多组的继续逗留意愿显著高于主体规制评估消极且朋友购买量比我多的组（M 朋友比我多且规制评估积极=5.17>M 朋友比我多且规制评估消极=3.75，P=.000），假设 3c 成立。再看主体规制评估积极且朋友购买量比主体少更多的组的继续逗留意愿，与主体规制评估消极且城朋友购买量比主体更多组比较，由于规制评估的作用与朋友购买数量的影响方向相反，产生抵消，这两组的继续逗留意愿无差异（M 朋友比我少且规制评估积极=4.38，M 朋友比我多且规制评估消极=4.13，P=0.847），假设 3d 成立。

假设 3 的全部四个假设得到验证，比较四个组，他们的继续逗留意愿如图 3 所示：

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3.5 实验小结

本研究的实验数据，验证了所有假设。首先，本研究发现，在陪伴购物情境下，主体（惠顾者）的冲动购买量和朋友比较如果有差异，会影响惠顾者的继续逗留意愿：当朋友购买量比主体（惠顾者）多时，会刺激惠顾者提升继续逗留意愿。本研究认为朋友相对购买量的主效应。

其次，当朋友的购买量与主体（惠顾者）一致，“三角关系”（朋友、我、购买行为）平衡时，积极和消极的规制评估组在继续逗留意愿上组间无差。本研究认为此时，主体（惠顾者）不寻求新的信息来建立平衡，不启动规制评估来参与决策。

第三，当朋友的购买量与主体（惠顾者）不一样（更多或者更少），“三角关系”（朋友、我、购买行为）失衡时，惠顾者会启动规制评估，调节上述购买量差异与继续逗留意愿的关系。具体而言，惠顾者积极的规制评估会促进继续逗留意愿，消极的规制评估会抑制继续逗留意愿。所以，本研究可以观察到规制评估积极时会产生正正叠加效应，即朋友购买比主体（惠顾者）多且主体（惠顾者）规制评估积极时；也可以观察到正负叠加效应，即朋友购买比主体（惠顾者）少且主体（惠顾者）规制评估消极时；还能观察到正负的抵消效应，即朋友购买比主体（惠顾者）少且主体（惠顾者）规制评估消极时，或者朋友购买比主体（惠顾者）多且主体（惠顾者）规制评估积极时。也就是说，正正叠加组的继续逗留意愿会显著高于负负叠加组；而正负抵消的两组间逗留意愿没有差异。

4. 讨论、管理建议与未来研究方向

4.1 研究总结

关于陪伴购物和即时结果的研究，到目前为止，是冲动性购买行为研究文献中比较薄弱的部分。这个研究既拓展了对陪伴购物情境下的冲动性行为研究，又拓展了关于冲动性购买行为的即时结果研究。

本研究的结论是，惠顾者继续逗留意愿将受到朋友购买量多少的影响，而消费者个人的规制评估会调节这种影响关系。首先，本研究发现，惠顾者的继续逗留意愿在不同购买量条件下会有所不同。
留意愿按朋友购买量比自己更多、朋友和自己买得一样多、朋友比自己买得少三种情境依次下降。其中，惠顾者的继续逗留意愿在朋友购买量比自己更多的情境下显著更高（相比朋友比自己买得少）。假设1的验证证实了这种朋友相对购买量的主效应的存在。之所以会存在这一主效应，本研究认为用平衡理论解释：当人们和朋友在一起时，希望在朋友、朋友-事物三者之间保持平衡状态，也就是希望我和朋友对某件事表现出态度和行为上的一致性。本研究因此解释陪伴购物中主体（惠顾者）实施了冲动购买后，得知同伴与自己购买得一样多，“三角关系”平衡，惠顾者不会启动修补措施。但是，当“三角关系”的平衡一旦被破坏时，即朋友比主体（惠顾者）买得更多或更少时，主体就倾向于采取措施来修补以达到新的平衡。继续逗留就是一种修补措施，因为继续逗留就意味着给自己继续购买的机会，这样可以用来改变“朋友比我买得多”的状态，达到“买得多”“的平衡境界。相反，终止逗留（也就是抑制继续逗留意愿）也是一种修补措施，这样可以阻止“朋友比我买得少”的现象加剧。因此，就出现了朋友买的更少，可以有效抑制主体（惠顾者）逗留意愿的现象。

其次，由于处于平衡状态，当被问到是否愿意再逗留时，受其他因素的影响（如唤起状态），主体（惠顾者）不会寻求新的信息（行为和态度）来保持平衡，所以主体（惠顾者）对冲动购买的评价（制假评估）是积极还是消极对继续逗留意愿没有影响。假设2的验证证实了这一点。

第三，本研究还发现，当消费者结伴逛街时，在失衡状态（朋友比我买得更多 vs 朋友比我买得更少），除了朋友相对购买量对继续逗留意愿有主效应，主体（惠顾者）对冲动购买的制假评估会有调节作用。制假评估是积极时，会促进主体（惠顾者）的继续逗留的意愿；当朋友比惠顾者买得更多时，积极的制假评估就会使这个人更认同采取“继续买”的方法来追赶朋友的购买量，缩小与朋友之间的差距，从而产生正负叠加效应；当朋友比惠顾者买得少时，积极的制假评估会促进逗留，但是与朋友相对购买量少的抑制作用相反，就会产生正负抵消效应。而当消费者的制假评估是消极时，对继续逗留意愿起到抑制作用，同理会产生负负叠加效应和正负抵消效应。

总结这些结论，如果主体（惠顾者）想要抑制逛街时的购物量，最主要的是选择一位会比他买得多的同伴一起逛街，根据 Rook & Fisher（1995）的研究，这种朋友通常具有较低的冲动特质，当然他们的日常购物行为也会表现出较低的冲动购买水平。同时，如果这个朋友，对冲动购买行为的制假评估又是消极的，他/她认为冲动购买行为是坏的、疯狂的、浪费的、愚蠢的、不可接受的幼稚行为，甚至是错误的，这会产生有效的负负叠加效应。主体（惠顾者）可以有效避免成为本文开篇引用的电影中的“购物狂”。

4.2 管理建议

本文的发现对于零售业经理以及从业人员具有现实的应用意义。首先零售业经理人在营业员上岗培训中，应该将如何为结伴购物的惠顾者服务作为一项培训的重点，要理解好友情结逛街时，某种角度讲仿佛是一场“购物竞赛”。对于在零售店一线工作的营业员而言，当遇到结伴购物的惠顾者的时候，营业员不但要将精力放在目标惠顾者身上，也要兼顾观察他/她的同伴的相对购买量，可以利用购物量的相对多少刺激惠顾者的继续逗留或购买行为。
比如当结伴的惠顾者进入店内，营业员应该关注哪一位更有可能争取到机会展示商品或交流说服呢？根据本研究的结论，如果进来的是对好朋友，营业员可以首先关注那个购买量少一些的惠顾者，因为购买量不如他/她的朋友多时，少的那位惠顾者可能逗留意愿更强一些，也更容易从他/她那里得到交流和展示商品的机会，进一步地，买的少的惠顾者可能也更容易被说服购买一些东西，因为这位目标惠顾者的心里倾向与他/她的朋友购买量达到一致。

再比如，当一对好友进店时，如果营销员已经确定其中一位的年龄、肤色、审美看起来比较符合商店的定位，是目标顾客，那么营业员应该注意一些什么呢？除了要观察他/她们的相对购买量的多少，根据这个研究，营业员还可以参与管制评估的形成，通过建立积极的管制评估，来延长店内逗留时间，争取展示商品和说服。

在零售店的广告（平面广告或者电视广告中），零售店经理人可以考虑在广告中描述朋友结伴购物的情形，并且注意通过两位朋友互相为对方的购物提出建议，建立积极的管制评估，渲染结伴购物的悦悦鼓励消费者的结伴购物行为。

4.3 不足与未来研究方向


另外，对于本研究所发现的现象的边界，研究也有待进一步深入。例如，如果加以控制被试的购物导向（功能型 Utilitarian vs. 享乐型 Hedonic），将来的研究可以进一步区分在不同导向情境下，本文的结论是否还成立。进一步的研究，还可以考虑陪伴者的不同。在陪伴商店的设计方面，以往的研究发现家人陪伴与朋友陪伴，家人朋友的群体凝聚度和个体易受影响度都会对个体的冲动购买行为产生影响[26]。而本研究中，对“朋友”的陪伴情境处理是比较笼统的。将来的研究可以引入家人陪伴、群体凝聚度等变量进一步明确相对购买量主效应的边界。最后，在个性特质方面，引入更多变量的考虑也是不错的拓展方向。例如，物质主义（Materialism）者相信拥有更多的东西会给自己带来快乐，他们遵照这一“信仰”行事，所以通常会很喜欢买东西[48]。

最后，这个研究有“一厢情愿”地理性，因为这个研究角度是从放大或抑制冲动冲动购买行为的角度入手，而不是从结伴购物和冲动购物的即时愉悦感来入手。而事实上，人们在购物时，符合预算约束不“乱”花钱固然重要，但是从购物行为中获得愉悦感也是非常重要的方面。Park et al (2006)认为，对时尚导向的惠顾者而言，寻求愉悦感既是他们冲动购物行为的驱动力也是结果[49]。所以，在未来的研究中同时考虑花费和愉悦感的最优组合，也许是个不错的方向。
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How the Service Recovery of Negative Online Reviews Affect Customers' Purchase Intention - Based on the Platform of Taobao

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ABSTRACT

Online reviews are important factors that affect consumers’ purchase intention. However, on the Internet, positive comments and negative comments about products or services are exist at the same time. Previous research has shown that negative reviews may damage the brand image and reduce the consumer's purchase intention. Therefore, how to effectively eliminate the negative effects brought by negative reviews, has become an important research topic. At present, domestic research in this area is not so much, and largely based on the perspective of service failure. Based on related literature and theory, we use the situation simulation test to explore the question that how the service recovery of negative online reviews affect customers' purchase intention from the perspective of service recovery bystanders.

Refer to the types of service recovery offline, this article explores the question that how the service recovery of negative online reviews affect customers' purchase intention, and consider the commodity type as a moderator variable. Innovation point of this article is: the main body of the research is the customers who come to the store first time. It would be helpful to improve the conversion rate of C2C shops and they can learn how to manage user comments.

In this paper, the study found that: (1) the effects on consumer purchase intention of different service recovery of negative reviews have significant differences; (2) the commodity type is not an effective regulating variable; (3) if we take the measure of apologize and explanation, the purchase intention of consumers is highest.

Finally, combined with the results of empirical research, from the perspective of electricity enterprises, this paper puts forward some measures and management advice for negative reviews.

Keywords: Negative reviews; service recovery; purchase intention; types of good
网络差评的服务补救措施对消费者购买意愿的影响
——基于 C2C 淘宝网的研究

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摘要

在线评论是影响网购用户进行购前决策的重要因素。然而，在网络上，关于产品或服务的正面评论与负面评论是同时存在的。前人的研究表明，负面评论可能会损害品牌形象，降低消费者的购买意愿。因此，如何正确有效地消除负面评论带来的消极影响，成为一个重要的研究课题。目前来说，国内这方面研究较少，且大多基于服务失败者的角度。基于此，本文在相关文献和理论进行综述的基础上，采用情境模拟的实验法，从服务补救旁观者的角度，探讨负面评论的服务补救措施对消费者购买意愿的影响。

本文参考线下服务补救类型，研究针对负面评论的不同的服务补救措施对消费者购买意愿的影响，并考虑商品类型作为调节变量。本文的创新点在于：本文探讨的是负面评论的服务补救措施对初次来该商铺的消费者的购买意愿的影响，对于提高商铺的转化率有一定的帮助，对于 C2C 平台上的企业如何有效管理用户评论有借鉴作用。

本文的研究发现：（1）不同的负面评论服务补救措施对消费者购买意愿的影响具有显著差异；（2）商品类型不是一个有效的调节变量；（3）道歉+解释的服务补救措施下，消费者的购买意愿最高。

最后，结合实证研究结果，从电商企业的角度出发，本文提出了一些针对负面评论的应对措施和管理建议。

关键词：负面评论；服务补救；购买意愿；商品类型

1. 引言

随着电子商务的发展，网购已成为人们生活的一部分。进行网购时，大多数人会进行网络口碑的搜索，为购买决策提供支持。2010 年 11 月，CNNIC 发布的《2010 年中国网络购物市场研究报告》中，在线评论（43.3%）是影响中国网购用户购买决策最关键的因素。

然而，在网络上，关于产品或服务的正面评论与负面评论是同时存在的。正面口碑鼓励购买，负面口碑劝阻购买，对消费者而言，负面口碑比正面口碑更能
够提供真实“情报”，消费者对其总是额外关注。同时，由于预期风险的存在，为努力趋避风险，消费者受负面口碑的影响程度更甚于正面口碑。在淘宝网上，许多店铺为了消除一个差评而给消费者额外的补偿，甚至出现了专业的差评师等。因此，如何有效地消除或降低这些负面评论带来的影响，成为一个重要的研究课题。

许多商家和学者已经认识到负面评论的重要性，然而，目前，国内关于负面评论的研究较少。而现有的在线评论管理并不完善，如何应对负面评论成为一个迫切的问题。本文在此背景下，探讨负面在线评论对消费者购买意愿的影响，比较针对负面评论采取不同的补救措施对消费者购买意愿的影响差异，并加入商品类型作为调节变量，了解负面评论对于不同的商品类型的影响差异。为负面评论管理提供相应的策略与建议。

本文主要研究的问题有：

第一，采取不同的负面在线评论补救措施，对消费者购买意愿的影响差异。

第二，对于搜索品和体验品，其负面评论补救措施的效果差异。

本文的创新点在于，从服务补救旁观者的角度出发，研究负面评论服务补救措施对消费者购买意愿的影响，并加入商品作为调节变量。首先，本文研究的主体是初次来到 C2C 商铺，只能根据商品页面信息和已购买过得用户评论来获取商品信息的消费者。C2C 电商企业中很重要的一点是获取流量，增强信任和提高转化率。已经来到商品单页面的用户是他们努力想要获取的潜在消费者，如何提高这些消费者的购买意愿对于转化率的提高具有较重要的意义。其次，本文对企业的用户评论管理具有一定的帮助，管理者可以借鉴文中采取的服务补救措施进行差评管理。

2. 文献回顾

2.1 负面评论相关文献

随着网络购物的发展，消费者越来越频繁地在网络上收集信息。商家在利用正面口碑进行口碑营销时，同时也受到了负面口碑的消极影响。Bone（1995）和 Mizerski（1982）研究发现，负面口碑对消费者的影响远远大于正面口碑的影响。Chevalier 等（2003）以 Amazon 和 Barnsand 网站为例，研究发现，顾客对于书籍评分的提高能增加相应的销售量，并且负面评价的影响大于正面评价。但是，对于不同类型的产品，网络口碑的影响不同。研究发现，体验类产品更易受到网络口碑的影响（Yong，2006）。同时，负面网络口碑对体验品的购买者所产生的影响比对搜索品的购买者所产生的影响要大（C Park & TM Lee，2009）。

2.2 服务补救相关文献

芬兰学者格朗鲁克斯（Gronroos）于 1988 年提出了服务补救的概念，他认为

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服务补救是企业在服务失误发生后，为消除消费者抱怨采取的反应和行动\(^\text{1}\)。此后，众多学者对于服务补救的概念以及维度进行了许多研究。2001 年，学者韦福祥综合了国内外众多学者针对服务补救定义的研究结论，认为服务补救是服务提供者在发生服务失误的时候所采取的一种主动和及时的措施，从而尽可能地降低消费者的不满意和由此带来的负面影响。而关于服务补救的维度，目前接受较广的理论是 Smith, Bolton & Wagner（1999）提出的四个维度：补救主动性、有形补偿、响应速度和道歉\(^\text{2}\)。同时，Bitner（1990）研究发现，有效的服务补救措施包括承认、解释、道歉和赔偿\(^\text{3}\)。

本文主要借鉴 Bitner（1990）关于服务补救措施维度的研究结果，采取道歉、解释和有形补偿作为三种针对网上负面评论的服务补救措施。

### 2.3 文献评述

虽然众多学者已经对服务补救进行了较多的研究，但是，很多研究都是在线下的实体环境中进行的，关于网络环境下的服务补救措施的研究较少。同时，关于如何有效地消除负面评价带来的消极影响的实证研究较少，目前仍没有明确的解决方法。且研究者大多从服务失败者的态度对负面评论的影响加以研究，从服务补救的旁观者来进行研究是较少的。因此，本文在前人研究的基础上，探究针对负面评价，采取不同的服务补救措施对消费者购买意愿的影响，并考虑商品类型作为调节变量。

### 3.研究模型和假设

参照前人研究的服务补救的维度，我们将网上负面评论的服务补救措施划分为以下三个维度：道歉、解释和有形补偿。由于评论回复是在消费者已评论的情况下进行，因此我们不考虑补救主动性维度。在此基础上，按照层层递进的原则，我们假设负面评论回复类型：A1 道歉；A2 道歉+解释；A3 道歉+解释+有形补偿。有形补偿选择了商家比较容易实施的免退换货运费。

考虑到不同的商品类型，对于负面评论回复的要求可能有所不同，我们在搜索品和体验品中各选择了一种产品作为代表，将商品类型作为调节变量。

在考虑以上因素的情况下，我们建立了如图 1 所示的研究模型。

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\(^{1}\) Gronroos C. Service quality: the six criteria of good perceived service quality. Review of business, 1988, 9(3).


在此研究模型基础上，我们提出以下几种假设：

H1：不同的负面评论服务补救措施对消费者购买意愿的影响具有显著差异；

H2：三种服务补救措施下，购买意愿的强度由强到弱是：道歉+解释+有形补偿>道歉+解释>道歉；

H3：商品类型是一个有效的调节变量，即商品类型对于消费者购买意愿具有显著的影响作用。

4. 研究设计

4.1 实验情境设计

本文采用情境模拟的实验法来验证上述假设，实验设计为 3（负面评论的服务补救措施：道歉+解释+有形补偿 VS 道歉+解释 VS 道歉）×2（商品类型：搜索品 VS 体验品）共 6 种实验条件。所有问卷采用网上回收方式，通过问卷星网站共回收有效问卷 346 份。

4.2 变量控制

4.2.1 商品类型的选择

根据 2013 年 3 月，中国互联网络信息中心（CNNIC）发布的《2012 年中国网络购物市场研究报告》，服装鞋帽、日用百货及 3C 产品是中国网购用户的主要消费领域。2012 年，81.8%的用户在网上购买过服装鞋帽，而标准化的产品如 3C 产品由于网购价格优势有较高的购买率。因此，本文选择服饰和 3C 产品这两类具有较高购买率的产品作为体验品和搜索品类别。

之后借鉴了一下淘宝排行榜（http://top.taobao.com）上的热销商品，在服饰类别下选择当下较为流行的连体睡衣，价格 50-70 元，作为实验中的体验品（见图 1 所示）。同时，选择了价格与之相当金士顿 GT101G2（16G），价格 45-65 元，作为实验中的搜索品（见图 2 所示）。
图 2 2013 年 12 月淘宝销售热门睡衣排行榜

图 3 2013 年 12 月淘宝销售热门 U 盘排行榜

4.2.2 负面评论及其补救措施的内容描述

通过浏览淘宝网站上消费者的负面评论以及商家的回复，选出两种商品中较为具有代表性的负面评论，结合本文研究要求，设定了负面评论的内容并对该评论设定了三种不同的服务补救描述。最终确定了负面评论的内容及其回复（如表 1 所示）。
<table>
<thead>
<tr>
<th>商品类型</th>
<th>负面评论</th>
<th>服务补救措施</th>
<th>服务补救措施内容描述</th>
</tr>
</thead>
<tbody>
<tr>
<td>U 盘</td>
<td>U 盘质量真心一般般啊，表面有一道划痕，接口处很松，实际内存只有 14.7G...</td>
<td>道歉</td>
<td>亲~没能提供让您满意的产品，我们万分抱歉。谢谢您的支持！</td>
</tr>
<tr>
<td></td>
<td></td>
<td>道歉+解释</td>
<td>亲~没能提供让您满意的产品，我们万分抱歉。&lt;br&gt;U 盘发货前我们都是有专人检查的，划痕应该是物流造成的，虽然如此，还是万分抱歉。&lt;br&gt;至于内存的问题，因为 U 盘制造商是以 1000 为换算单位的，实际使用容量约为标示容量的 90%，属于正常，您可以电话咨询金士顿官方。谢谢您的支持！</td>
</tr>
<tr>
<td></td>
<td></td>
<td>道歉+解释+有形补偿</td>
<td>亲~没能提供让您满意的产品，我们万分抱歉。&lt;br&gt;U 盘发货前我们都是有专人检查的，划痕应该是物流造成的，虽然如此，还是万分抱歉。至于内存的问题，因为 U 盘制造商是以 1000 为换算单位的，即 1GB = 1000MB；而计算机是以 1024 为换算单位的，即 1GB = 1024MB。这样计算机识别出的内存容量就要小于 U 盘生产厂商标称的内存容量，实际使用容量约为标示容量的 90%，属于正常，您可以电话咨询金士顿官方。如果亲还是不满意的话，可以选择退换货，我们可以提供退换货的来回运费。谢谢您的支持！</td>
</tr>
<tr>
<td>睡衣</td>
<td>睡衣质量真心一般般啊，不仅掉毛，还开线，衣服感觉也挺薄...</td>
<td>道歉</td>
<td>亲~没能提供让您满意的产品，我们万分抱歉。谢谢您的支持！</td>
</tr>
<tr>
<td></td>
<td></td>
<td>道歉+解释</td>
<td>亲<del>没能提供让您满意的产品，我们万分抱歉。&lt;br&gt;所有的睡衣在出厂前都有层浮毛，不是掉毛而是裁剪的时候吸附在上面的，一般洗两次就会好的哦</del>由于开线的问题，因为之前国庆发货量比较大，人手不够，检查的不够仔细，实在很抱歉。纱绒睡衣很保暖的，而且偶家的衣物不比其他家的薄~谢谢您的支持！</td>
</tr>
<tr>
<td></td>
<td></td>
<td>道歉+解释+有形补偿</td>
<td>亲<del>没能提供让您满意的产品，我们万分抱歉。&lt;br&gt;所有的睡衣在出厂前都有层浮毛，不是掉毛而是裁剪的时候吸附在上面的，一般洗两次就会好的哦</del>由于开线的问题，因为之前国庆发货量比较大，人手不够，检查的不够仔细，实在很抱歉。纱绒睡衣很保暖的，而且偶家的衣物不比其他家的薄~&lt;br&gt;如果亲想要厚一点的可以拍我家同款的法兰绒睡衣<del>法兰绒睡衣会厚点，而且法兰绒因为光滑，浮毛会少。我们可以提供换货的来回运费哦</del>谢谢您的支持！</td>
</tr>
</tbody>
</table>

### 4.3 因变量的测量
本文研究中的因变量为购买意愿，如表 2 所示，测量量表由三个题项组成：
“我会在该店购买该产品”、“我会考虑在该店购买其他产品”、“如果身边有朋友
要购买该产品，我会推荐该店”。实验通过七分量表测量实验者的态度，对三项
得分进行加和，得分越高，说明实验者的购买意愿越高。

表 2 因变量购买意愿测量量表

<table>
<thead>
<tr>
<th>因变量</th>
<th>题项</th>
<th>来源</th>
</tr>
</thead>
<tbody>
<tr>
<td>购买意愿</td>
<td>我会在该店购买该产品</td>
<td>Dodds et al(1991)、郑婷（2010）</td>
</tr>
<tr>
<td></td>
<td>我会考虑在该店购买其他产品</td>
<td></td>
</tr>
<tr>
<td></td>
<td>如果身边有朋友要购买该产品，我会推荐该店</td>
<td></td>
</tr>
</tbody>
</table>

5. 数据分析

5.1 样本描述性分析
通过网上问卷的发放和回收，最终收回有效问卷 346 份，其中产品是 U 盘
的问卷共有 187 份，产品是睡衣的问卷共有 159 份。被调查者的男女比例分别为
39% 和 61%，基本样本情况见表 3 所示。

表 3 样本基本情况表

<table>
<thead>
<tr>
<th>基本资料</th>
<th>分项</th>
<th>频次</th>
<th>频率（%）</th>
</tr>
</thead>
<tbody>
<tr>
<td>性别</td>
<td>男</td>
<td>135</td>
<td>39</td>
</tr>
<tr>
<td></td>
<td>女</td>
<td>211</td>
<td>61</td>
</tr>
<tr>
<td>年龄</td>
<td>15 岁及以下</td>
<td>6</td>
<td>2</td>
</tr>
<tr>
<td></td>
<td>16~25 岁</td>
<td>304</td>
<td>88</td>
</tr>
<tr>
<td></td>
<td>26~35 岁</td>
<td>32</td>
<td>9</td>
</tr>
<tr>
<td></td>
<td>36 岁及以上</td>
<td>4</td>
<td>1</td>
</tr>
<tr>
<td>学历</td>
<td>大专及以下</td>
<td>48</td>
<td>14</td>
</tr>
<tr>
<td></td>
<td>大学本科</td>
<td>251</td>
<td>72</td>
</tr>
<tr>
<td></td>
<td>硕士及以上</td>
<td>47</td>
<td>14</td>
</tr>
</tbody>
</table>

5.2 信度分析
在利用 SPSS 对数据进行进一步的分析之前，为保证数据的可信度，首先要
对因变量
购买意愿进行信度检验。如表 4 所示，因变量购买意愿的 Cronbach α 为 0.807，
Cronbach α 大于 0.8，说明构成因变量的量表信度较高，可以利用该数据进行后续
的分析。
表 4 信度分析结果表

<table>
<thead>
<tr>
<th>Cronbach's Alpha</th>
<th>项数</th>
</tr>
</thead>
<tbody>
<tr>
<td>.807</td>
<td>3</td>
</tr>
</tbody>
</table>

5.3 主效应检验

首先，用单因素方差分析方法检验负面评论的服务补救措施对消费者购买意愿的影响，检验结果如表 5、表 6 所示。如表 5 所示，补救措施为道歉时，M 为 11.23，补救措施为道歉+解释时，M 为 13.03，补救措施为道歉+解释+有形补偿时，M 为 12.62。从图 4 我们可以清楚地看出，补救措施为道歉+解释时，消费者购买意愿最高，道歉+解释+有形补偿次之，道歉更次之。同时，消费者的购买意愿在不同的服务补救措施下有显著差异（F=5.272，p=0.006）（如表 6 所示）。

表 5 不同服务补救措施下购买意愿的均值

<table>
<thead>
<tr>
<th></th>
<th>N</th>
<th>均值</th>
<th>标准差</th>
<th>标准误</th>
</tr>
</thead>
<tbody>
<tr>
<td>道歉</td>
<td>123</td>
<td>11.23</td>
<td>4.973</td>
<td>.448</td>
</tr>
<tr>
<td>道歉+解释</td>
<td>105</td>
<td>13.03</td>
<td>4.108</td>
<td>.401</td>
</tr>
<tr>
<td>道歉+解释+补偿</td>
<td>118</td>
<td>12.62</td>
<td>4.136</td>
<td>.381</td>
</tr>
<tr>
<td>总数</td>
<td>346</td>
<td>12.25</td>
<td>4.499</td>
<td>.242</td>
</tr>
</tbody>
</table>

图 4 不同服务补救措施下购买意愿的均值
表 6 服务补救措施对消费者购买意愿的影响的方差分析

<table>
<thead>
<tr>
<th></th>
<th>平方和</th>
<th>df</th>
<th>均方</th>
<th>F</th>
<th>显著性</th>
</tr>
</thead>
<tbody>
<tr>
<td>组间</td>
<td>208.245</td>
<td>2</td>
<td>104.122</td>
<td>5.272</td>
<td>.006</td>
</tr>
<tr>
<td>组内</td>
<td>6774.379</td>
<td>343</td>
<td>19.750</td>
<td></td>
<td></td>
</tr>
<tr>
<td>总数</td>
<td>6982.624</td>
<td>345</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

在此情况下，我们通过事后检验的多重比较来进一步分析一下不同的服务补救措施对消费者购买意愿的影响差异。

如表7所示，我们可以发现，道歉+解释条件下消费者的购买意愿高于道歉条件下，且两者对购买意愿的影响具有显著差异（p=0.009）；道歉+解释+有补偿条件下消费者的购买意愿高于道歉条件下，但两者对购买意愿的影响不具有显著差异（p=0.056）。道歉+解释条件下消费者的购买意愿高于道歉+解释+补偿，但两者对购买意愿的影响不具有显著差异（p=0.842）。从中发现，三种补救措施中，道歉+解释条件下消费者的购买意愿最高。

表 7 三种负面评论的服务补救措施对消费者购买意愿的影响差异

<table>
<thead>
<tr>
<th>(I) 组别</th>
<th>(J) 组别</th>
<th>均值差 (I-J)</th>
<th>标准误</th>
<th>显著性</th>
</tr>
</thead>
<tbody>
<tr>
<td>Tamhane 道歉</td>
<td>道歉 + 解释</td>
<td>-1.801*</td>
<td>.601</td>
<td>.009</td>
</tr>
<tr>
<td></td>
<td>道歉 + 解释 + 补偿</td>
<td>-1.391</td>
<td>.588</td>
<td>.056</td>
</tr>
<tr>
<td>道歉 + 解释</td>
<td>道歉</td>
<td>1.801*</td>
<td>.601</td>
<td>.009</td>
</tr>
<tr>
<td></td>
<td>道歉 + 解释 + 补偿</td>
<td>.410</td>
<td>.553</td>
<td>.842</td>
</tr>
<tr>
<td>道歉 + 解释 + 补偿</td>
<td>道歉</td>
<td>1.391</td>
<td>.588</td>
<td>.056</td>
</tr>
<tr>
<td></td>
<td>道歉 + 解释</td>
<td>-.410</td>
<td>.553</td>
<td>.842</td>
</tr>
</tbody>
</table>

5.4 商品类型的调节效应检验

接下来，我们将数据分为两大组，一组数据的产品是 U 盘，另一组数据的产品是睡衣。U 盘组共有 187 份数据，睡衣组共有 159 份数据。探究不同商品类型下，三种服务补救措施对消费者购买意愿的影响。

如表 8 所示，消费者计划购买的产品是 U 盘时，M 购买意愿 = 12.66，消费者计划购买的产品是睡衣时，M 购买意愿 = 11.77。但是，产品类型不同时，三种服务补救措施下，计划购买 U 盘的消费者的购买意愿都高于计划购买睡衣的消费者（如图 5 所示）。同时，如表 9 所示，我们发现，商品类型对消费者的购买意愿地影响不具有显著的差异（F=3.390，p= 0.066）。
表 8 不同商品类型下消费者购买意愿的均值

<table>
<thead>
<tr>
<th></th>
<th>N</th>
<th>均值</th>
<th>标准差</th>
<th>标准误</th>
<th>均值的 95% 置信区间下限</th>
<th>均值的 95% 置信区间上限</th>
</tr>
</thead>
<tbody>
<tr>
<td>U盘</td>
<td>187</td>
<td>12.66</td>
<td>4.540</td>
<td>.332</td>
<td>12.00</td>
<td>13.31</td>
</tr>
<tr>
<td>睡衣</td>
<td>159</td>
<td>11.77</td>
<td>4.415</td>
<td>.350</td>
<td>11.08</td>
<td>12.46</td>
</tr>
<tr>
<td>总数</td>
<td>346</td>
<td>12.25</td>
<td>4.499</td>
<td>.242</td>
<td>11.77</td>
<td>12.72</td>
</tr>
</tbody>
</table>

图 5 产品类型不同时，三种服务补救措施下消费者购买意愿的均值

表 9 商品类型对消费者购买意愿的影响的方差分析

<table>
<thead>
<tr>
<th></th>
<th>平方和</th>
<th>df</th>
<th>均方</th>
<th>F</th>
<th>显著性</th>
</tr>
</thead>
<tbody>
<tr>
<td>组间</td>
<td>68.138</td>
<td>1</td>
<td>68.138</td>
<td>3.390</td>
<td>.066</td>
</tr>
<tr>
<td>组内</td>
<td>6914.486</td>
<td>344</td>
<td>20.100</td>
<td></td>
<td></td>
</tr>
<tr>
<td>总数</td>
<td>6982.624</td>
<td>345</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

在比较了消费者计划购买产品是 U 盘和睡衣两种情况下，其购买意愿的变化情况和显著性分析，我们认为，商品类型不是一个有效的调节变量。虽然如此，我们仍然要探究两种商品类型下，三种服务补救措施的影响差异。我们将数据分为两大组，一组数据的产品是 U 盘，另一组数据的产品是睡衣。U 盘组共有 187 份数据，睡衣组共有 159 份数据。

5.4.1 U 盘组数据分析
首先对 U 盘组的数据进行单因素分析。当产品是 U 盘时，采取道歉措施下，
M 购买意愿 = 12.25；采取道歉+解释措施下，M 购买意愿 = 13.19；采取道歉+解释+
有形补偿时，M 购买意愿 = 12.66。当消费者计划购买的产品是 U 盘时，其购买意
愿的均值变化与总体数据变化一致。采取道歉+解释的措施下，消费者的购买意
愿最高，道歉+解释+有形补偿次之，道歉情况下更次之。

表10 不同服务补救措施下购买意愿的均值（产品为U盘）

<table>
<thead>
<tr>
<th></th>
<th>N</th>
<th>均值</th>
<th>标准差</th>
<th>标准误</th>
<th>均值的 95% 置信区间</th>
</tr>
</thead>
<tbody>
<tr>
<td>道歉</td>
<td>71</td>
<td>12.25</td>
<td>5.151</td>
<td>.611</td>
<td>11.03 – 13.47</td>
</tr>
<tr>
<td>道歉+解释</td>
<td>54</td>
<td>13.19</td>
<td>4.112</td>
<td>.560</td>
<td>12.06 – 14.31</td>
</tr>
<tr>
<td>道歉+解释+补偿</td>
<td>62</td>
<td>12.66</td>
<td>4.157</td>
<td>.528</td>
<td>11.61 – 13.72</td>
</tr>
<tr>
<td>总数</td>
<td>187</td>
<td>12.66</td>
<td>4.540</td>
<td>.332</td>
<td>12.00 – 13.31</td>
</tr>
</tbody>
</table>

但是，通过方差分析，我们发现，当消费者计划购买的产品是 U 盘时，组
间是没有显著性差异的（F=0.643，p=0.527），即该情况下三种服务补救措施对
消费者购买意愿的影响不具有显著差异（见表11）。

表11 负面评论的服务补救措施对消费者购买意愿的影响的方差分析（产品为U盘）

<table>
<thead>
<tr>
<th></th>
<th>平方和</th>
<th>df</th>
<th>均方</th>
<th>F</th>
<th>显著性</th>
</tr>
</thead>
<tbody>
<tr>
<td>组间</td>
<td>26.624</td>
<td>2</td>
<td>13.312</td>
<td>.643</td>
<td>.527</td>
</tr>
<tr>
<td>组内</td>
<td>3807.472</td>
<td>184</td>
<td>20.693</td>
<td></td>
<td></td>
</tr>
<tr>
<td>总数</td>
<td>3834.096</td>
<td>186</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

5.4.2 睡衣组数据分析

接下来对睡衣组的数据进行单因素分析。当产品是睡衣时，采取道歉措施下，
M 购买意愿 = 9.83；采取道歉+解释措施时，M 购买意愿 = 12.86；采取道歉+解释+有形
补偿时，M 购买意愿 = 12.57。当消费者计划购买的产品是睡衣时，其购买意愿的均
值变化与总体数据变化一致。采取道歉+解释的措施下，消费者的购买意愿最高，
道歉+解释+有形补偿次之，道歉情况下更次之。这与 U 盘组数据的变化趋势是一
致的。
表12 不同服务补救措施下购买意愿的均值（产品为睡衣）

<table>
<thead>
<tr>
<th></th>
<th>N</th>
<th>均值</th>
<th>标准差</th>
<th>标准误</th>
<th>均值的 95% 置信区间</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>下限</td>
</tr>
<tr>
<td>道歉</td>
<td>52</td>
<td>9.83</td>
<td>4.391</td>
<td>.609</td>
<td>8.60</td>
</tr>
<tr>
<td>道歉+解释</td>
<td>51</td>
<td>12.86</td>
<td>4.138</td>
<td>.579</td>
<td>11.70</td>
</tr>
<tr>
<td>道歉+解释+补偿</td>
<td>56</td>
<td>12.57</td>
<td>4.151</td>
<td>.555</td>
<td>11.46</td>
</tr>
<tr>
<td>总数</td>
<td>159</td>
<td>11.77</td>
<td>4.415</td>
<td>.350</td>
<td>11.08</td>
</tr>
</tbody>
</table>

同时，通过方差分析，我们发现，当消费者计划购买的产品是睡衣时，组间具有显著性差异（F=8.205,p=0.000），即该情况下三种服务补救措施对消费者购买意愿的影响具有显著差异。

表13 负面评论的服务补救措施对消费者购买意愿的影响的方差分析（产品为睡衣）

<table>
<thead>
<tr>
<th></th>
<th>平方和</th>
<th>df</th>
<th>均方</th>
<th>F</th>
<th>显著性</th>
</tr>
</thead>
<tbody>
<tr>
<td>组间</td>
<td>293.194</td>
<td>2</td>
<td>146.597</td>
<td>8.205</td>
<td>.000</td>
</tr>
<tr>
<td>组内</td>
<td>2787.196</td>
<td>156</td>
<td>17.867</td>
<td></td>
<td></td>
</tr>
<tr>
<td>总数</td>
<td>3080.390</td>
<td>158</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

在此情况下，我们对睡衣组的数据进行进一步的事后检验。结果发现（见表12所示），道歉+解释条件下消费者的购买意愿高于道歉条件下，且两者对购买意愿的影响具有显著差异（p=0.002）；道歉+解释+有形补偿条件下消费者的购买意愿高于道歉条件下，但两者对购买意愿的影响不具有显著差异（p=0.004）。道歉+解释条件下消费者的购买意愿高于道歉+解释+补偿，但两者对购买意愿的影响不具有显著差异（p=0.939）。

表14 三种负面评论的服务补救措施对消费者购买意愿的影响差异（产品为睡衣）

<table>
<thead>
<tr>
<th></th>
<th>(I) 问卷选择</th>
<th>(J) 问卷选择</th>
<th>均值差 (I-J)</th>
<th>标准误差</th>
<th>显著性</th>
</tr>
</thead>
<tbody>
<tr>
<td>Scheffe</td>
<td>道歉</td>
<td>道歉+解释</td>
<td>-3.036*</td>
<td>.833</td>
<td>.002</td>
</tr>
<tr>
<td></td>
<td>道歉+解释</td>
<td>道歉+解释+补偿</td>
<td>-2.745*</td>
<td>.814</td>
<td>.004</td>
</tr>
<tr>
<td></td>
<td>道歉+解释</td>
<td>道歉</td>
<td>3.036*</td>
<td>.833</td>
<td>.002</td>
</tr>
<tr>
<td></td>
<td>道歉+解释+补偿</td>
<td>道歉+解释+补偿</td>
<td>.291</td>
<td>.818</td>
<td>.939</td>
</tr>
<tr>
<td></td>
<td>道歉+解释+补偿</td>
<td>道歉</td>
<td>2.745*</td>
<td>.814</td>
<td>.004</td>
</tr>
<tr>
<td></td>
<td>道歉+解释</td>
<td>道歉+解释+补偿</td>
<td>-2.91</td>
<td>.818</td>
<td>.939</td>
</tr>
</tbody>
</table>

在比较了消费者计划购买产品是U盘和睡衣两种情况下，其购买意愿的变
化情况和显著性分析，我们认为，商品类型虽然不是一个有效的调节变量，但其对消费者购买意愿具有一定影响。

5.5 数据分析结果

通过以上数据分析，我们可以发现，首先，三种服务补救措施对于消费者的购买意愿的影响具有显著差异，假设 H1 成立；其次，三种情况下购买意愿由强到弱分别是道歉+解释>道歉+解释+有形补偿>道歉，假设 H2 不成立；最后，虽然商品类型对消费者购买意愿影响有差异，但不够显著，故商品类型不是一个有效的调节变量，假设 H3 不成立。

6. 研究结论与建议

6.1 主要研究结论

6.1.1 不同的服务补救措施对消费者购买意愿的影响具有显著差异。

三种服务补救措施对于消费者的购买意愿的影响具有显著差异，三种情况下购买意愿由强到弱分别是道歉+解释>道歉+解释+有形补偿>道歉。

道歉+解释情况下消费者的购买意愿高于道歉是因为其一有归因过程。商家对服务失误的原因加以解释，寻求谅解。在这一过程中，消费者有可能对商家表示谅解，同时对非商家造成的损失有降低风险的意识。可以说由于快递过程导致的包装损坏等，消费者会觉得换一家快递公司即可避免。

而道歉+解释+补偿条件下消费者的购买意愿低于道歉+解释条件下，因为本文选择的有形补偿是免退换运费。对于消费者来说，从消费者利得的角度来说，退换货不但无法获得足够的经济和心理补偿，反而要承担更多的时间和精力成本。而且在 7 天无理由退货成为一种普遍“政策”的情况下，退换货补偿无法体现商家足够的诚意，消费者很可能认为商家在刻意逃避责任。同时，本文选择的商品价值为 40~70 元，商品价值不高，对于消费者来说，退换货的成本有可能高于商品价值。

6.1.2 商品类型不是一个有效的调节变量。

本文选取的研究平台是 C2C 平台，研究者认为，C2C 平台上的消费者和商家之间缺乏一定的信用保障，虽然淘宝网对此有相应的诸如购买运费险、7 天无理由退货，给差评等措施。但消费者仍然面临商品质量太差、退换货运费由谁承担、申诉时间太长、商家的骚扰等风险。这一点，无论消费者计划购买的产品是什么类型，都无法避免。因此，即使消费者计划购买的产品类型不同，都需要通过其他途径去获取更多产品信息，以帮助其进行购买决策。所以，商品类型对于消费者购买意愿的影响不具有显著作用。

6.1.3 三种服务补救措施下，计划购买 U 盘的消费者的购买意愿都高于计划购买睡衣的消费者。

不管消费者计划购买的产品是 U 盘还是睡衣，其购买意愿的变化趋势都是一致的，但计划购买 U 盘的消费者购买意愿始终高于计划购买睡衣的消费者。这是因为消费者更容易掌握搜索品的相关信息，较容易对搜索品的质量和真假做出判断，其购买意愿受负面评价的影响较小。而计划购买体验品的用户，往往无法全面的掌握体验品的信息，需要通过评价来获取自己需要的信息，规避风险。
所以计划购买体验品的用户更容易受到负面评价的影响。

6.2 营销建议

首先，商家应该积极地对负面评价进行补救并加以规范化。无论商家经营的是搜索品还是体验品，有效的服务补救措施都会提高消费者的购买意愿。目前，
C2C 平台上的大部分商家对负面评价采取忽视不作为的策略，虽然有部分商家针对负面评价做出补救，但其回复内容和语气不够规范。

其次，道歉+解释的服务补救措施可以有效提高消费者的购买意愿。三种服务补救措施中，道歉+解释的服务补救措施下，消费者的购买意愿最高。在面对负面评价时，商家可以主动认真地向消费者解释服务失败发生的原由并进行归因。通过道歉+解释的方式，获取消费者的理解和原谅，提高消费者的购买意愿。

最后，“免退换货邮费”对于消费者来说，并不是一种十分具有吸引力和价值的补偿方式。为了提高服务补救的效果，商家可以考虑尝试其他有形补偿方式。

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Eating and Drinking in Sell Expenses: Is It Relationship Marketing, Perks or Corruption?

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ABSTRACT

We examine the effect of relationship marketing reflected in eating and drinking items in selling expenses on firm value by using and processing data in the 2007-2013 financial statement footnotes. Under the context of China’s Guanxi culture and transitional economy regime, the lack of formal institution makes relationship a necessity of doing business, and eating and drinking is a reflection of relationship because courtesy demands reciprocity. Consistent with this logic, our results do show that relationship marketing can increases firm value by substituting formal marketing channels playing a role of establishing supplier/customer relationship, forming its own social capital and obtaining precious customer resources. Further, the relationship marketing’s substitute effect for formal marketing channel is more prominent in conditions that the customer is more concentrated, the product market’s competition is fiercer, and the corporate governance is better. Our empirical results add to the extant research which using survey or field methods exploring the effect of relationship marketing on firm performance. More important, our exploration of the substitute effect of relationship marketing on formal marketing channel to an extent, fills the gap that the rare papers test the relative importance between the two.

Keywords: Relationship marketing, supply chain management, eating & drinking, firm value
销售费用中的吃喝玩乐：关系型营销、在职消费抑或腐败？

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中南财经政法大学，武汉

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摘要

利用2007-2013年年报附注中销售费用相关明细项目，本文实证检验了吃喝玩乐背后的关系型营销对公司价值的影响。研究结果表明：在中国关系文化和转型经济体制下，正式机制的缺乏使得销售费用中吃喝玩乐成为上市公司建立客户关系、形成社会资本的必需。不同于表层“舌尖上的腐败”，销售费用中吃喝玩乐背后的关系营销能够替代市场型营销获取客户资源，提高经营业绩，进而增加公司价值。进一步分析表明，关系型营销对市场型营销渠道的替代作用在上市公司客户集选度较高，产品市场竞争较激烈以及公司治理较好时更强烈。借助中国的关系文化内涵，本文的大样本回归结果对已有基于问卷调查或实地调研的关系型营销文献进行了有益补充。此外，现有文献对关系型营销与市场型营销渠道的相对重要性展开探讨，而本文在不同情境下两者替代关系的研究在某种程度上弥补了该空缺，有利于人们对关系型营销渠道形成更加科学、全面的认识。

关键词：关系型营销，市场型营销，吃喝玩乐，公司价值

1. 引言

吃喝玩乐费用并将其作为公司腐败的指标，陈冬华、陈信元与万华林（2005）则将管理费用中的“办公费、差旅费、业务招待费、通讯费、出国培训费、董事会费、小车费和会议费”视为在职消费，而 Ou-Yang, Shu and Wong (2015) 的研究中，为避免企业将吃喝玩乐费用在“销售费用”与“管理费用”科目下的人为操纵，其将销售费用与管理费用中吃喝玩乐费用视为在职消费，但他们的研究中发现吃喝玩乐具有积极意义。


销售费用中的吃喝玩乐背后是铺张浪费、在职消费等“舌尖上的腐败”还是“礼尚人情”下关系型营销形成的必须呢？本文利用2007-2013年销售费用明细数据的结果表明：（1）吃喝玩乐等关系型销售费用有助于提高上市公司业绩，但受腐败或在职消费因素的负面影响，其边际效应要弱于市场型销售费用；（2）关系型销售费用与市场型销售费用具有替代效应，而且这种替代效应主要存在于高客户集中度、高产品市场竞争以及公司治理水平较好组。这意味着吃喝玩乐作为组织间一种非正式联系（Pennings, 1981；Ulrich and Barney, 1984），是公司推销产品、获取稀缺资源并由此获利的一种重要社会资本（边燕杰与丘海雄，2000），在中国关系文化和转型经济体制下，正式机制的缺乏使得销售费用中吃喝玩乐成为上市公司建立客户关系、形成社会资本的必需。不同于表层“舌尖上的腐败”，销售费用中吃喝玩乐背后的关系营销能够替代市场型营销获取客户资源，提高经营绩效，进而增加公司价值。

本文的可能贡献在于：（1）基于供应链角度，本文以销售费用中的吃喝玩乐数据，直接考察关系型营销对社会行为的影响，丰富了关系型营销相关的实证研究。虽然有不少文章研究关系型营销对社会行为的影响，但是其大都采用问卷调查、实地调研等方式（Crosby, 1990；Abramson, 1997；Schoder, 2004；Sin et
2. 文献回顾与假设提出

2.1 文献回顾

2.1.1 有关关系型营销与市场型营销方面的文献


2.1.2 有关企业在职消费方面的文献

在职消费是企业高管在处理日常事务中的合法必要支出，高管有权在一定范围内根据自身用大化大分配这些费用。Rajan and Wulf（2006）以及 Yermack（2006）认为在职消费具有如下特征：（1）与高管的工作和职位相关；（2）能提升高管的效用，对高管具有激励作用；（3）可能提升公司价值但并不必然；（4）发生的数量、目的、时点较为弹性，且不受制于明示的契约；（5）体现了高管个人
的主观意愿、兴趣与社会资本。在中国，陈冬华等（2005）直接将年报附注“支付的其他于经营活动有关的现金流量项目”中的“办公费、差旅费、业务招待费、
通讯费、出国培训费、董事会费、小车费和会议费”等项内容视为在职消费。
关于在职消费的经济后果，有两种截然不同的解释。代理观认为，在职消费是企
业高管掠夺企业价值的行为，是企业滥用自由现金流、过度投资和宽松管理等资
源配置低效的一种表现，会导致企业价值降低。而效率观则认为，企业在职消费
有利于节约组织交易成本，提高经理人地位与权威以及组织效率。具体而言，在
职消费或者腐败行为行为有“保护费”（Protection Money）和“润滑剂”（Grease Money）
的双重功能，企业通过在职消费或腐败行为与政府建立良好关系，使其免受政府
官员的掠夺，或直接从政府获取某些资源（Beck and Maher，1986；李捷瑜与黄
宇丰，2010），比如获得更多的税收优惠（吴文锋等，2009）、财政补贴（罗
党论与唐清泉，2009；余明桂等，2010；张杰等，2013）、政府直接投资（陈艳艳
与罗党论，2012；Weinschenk，2013）、政府订单（黄玖立与李坤望，2013）。

中国国有企业在职消费具有特殊性。在中国集权的经济体制下，国有企业是
国家经济权力和经济主体结合的产物，国有企业借助行政组织、行政区域和行政
隶属关系，掌握着人力、物力及财力，以行政指令作为经济运行的手段，使得国
有企业高管有行政权力，有着与政府官员一致的行政级别。同时作为国有企业的
受托人，国企高管又掌握着生产经营决策权，拥有控制权力1。国有企业高管
腐败主要包括：一是与政府官员的公共权力有关的违规行为，二是与被赋予共
有资源使用权的国有企业代理人的道德风险有关的违规行为（盛宇明，2000）。国
有企业高管腐败的一个重要表现形式为过度在职消费，具体表现为购置豪华办公
用品、公款高消费或支付个人生活费用、超标准报销等（黄群慧，2006）。当国
有企业高管缺乏职业前景激励，在公司股东监督、薪酬契约等缺位时高管在职消
费水平显著上升（万华林和陈信元，2012），而且在薪酬被管制背景下，在职消
费成为国有企业高管薪酬的有效补充（陈冬华等，2005；陈信元等，2009）。因
此国有企业在职消费可能是向高级权力寻租所费，更多是高管自身代理问题或用
于自身福利的体现。

中国民营企业的在职消费迥异于国有企业。政府掌握着地方行政审批、土地
征用、贷款担保、政策优惠等重要资源（Szelenyi，1983；周黎安，2008）, 国有
企业为政府实际控制因而相对民营企业具有天然的资源优势。为了得到这些资源，
获得与国有企业差不多的发展机会，民营企业可能会向掌握权力和资源的政府官
员寻租（周黎安和陶晓，2009）。此外，中国经济并未充分自由，管制与垄断普
遍存在，民营企业通过向政府官员寻租以打破各种监管限制，然而国有企业不需
要这么做（Ting and Nie，2014）。民营企业对政府官员的“寻租”费用主要表现为企
业负担的吃、喝、玩、乐费用和差旅费，这些费用也是企业高管进行在职消费
的一种方式（Cai et al., 2011）。因此民营企业在职消费虽然也有自身代理问题或
用于自身福利的成分，但更多是向高级权力寻租所费。

2.2 假设的提出

2.2.1 销售费用中的吃喝玩乐是否有助于提高公司业绩？

1国资委网站上列出的 115 家央企名录中前 54 家企业 “一把手” 多为 “副部级”，他们一般由中组部发文委
任，国资委协助考察，并且可以实现与党政机关的干部对调，“高管入仕、高官下海” 的现象屡见不鲜。
但关系型营销也可能会对公司业绩产生负面影响。基于中国具体的关系型营销，更多地与道德问题的请客、送礼、团拜等灰色营销交织在一起（庄贵军，2007）。这将恶化行业竞争环境，不利于企业长期发展（郭艳霞与庄贵军，2006）。同时，吃喝与公款消费、腐败等字眼长期共存。Cai, Fang and Xu（2013）结合世界银行和中国国家统计局相关调查数据，以中国公司管理费用科目下“招待费”、“差旅费”（Entertainment and travel costs, ETC）衡量公司腐败，发现 ETC 显著降低了以全要素生产率衡量的公司业绩。同样，黄玫立与李坤望（2013）以管理费用招待费支出衡量公司腐败活动研究发现，招待费确实被企业用作不正当竞争的手段，并以此获取政府及国有企业订单。而 Jiang and Nie（2014）利用最高人民法院公司的省级腐败数据检验其对企业盈利的影响，结果发现，腐败虽然能够为民营企业带来更高的盈利能力，但对于国企却无显著影响。此外，供应商与客户之间的这种非正式的社会联系使寻租行为和腐败行为成为可能（边燕杰与丘海雄，2000）。由于企业所有者和经营者之间的代理问题，基于私人利益最大化假说，销售部门人员也可能在此过程中利用自身权力和地位谋取私利。

但与管理费用中的吃喝玩乐支出并不仅影响公司不同，而销售费用中的吃喝玩乐则更多的是为做生意而“交朋友”发生的宴请与馈赠（黄玫立与李坤望，2013），更可能与收入直接挂钩。而这种直接关系使得过度的在职消费影响企业难以藏身，从而基本保障了销售支出的相对纯洁性及其对业绩的促进作用。

然而不可否认的是，相对于市场型营销，关系型营销更隐蔽且具有不可预测性，其中不可避免地会掺杂在职消费甚至腐败，进而可能减损其对业绩的促进效应。

基于上述分析，提出本文假设 1：关系型营销对公司价值具有促进效应，但其边际效益要弱于市场型营销。

2.2.1 关系型营销与市场型营销的替代关系

在市场型营销渠道下，渠道成员之间的交换以实物为基础，这种交易几乎不涉及人际关系，沟通是职能性的，其目的仅仅是为了交易（郭艳霞与庄贵军，2006）。目前我国正在经历制度转型，导致市场中缺乏完备的正式制度性安排（李路路，1998），而缺乏正式制度安排的环境使得企业在经济活动中必定要寻求某种替代

此外，某些行业可能更适应于关系型营销或者市场型营销。陈勇（2011）认为通信产品同质性强、差异性弱的特点导致其竞争多以品牌竞争为主，因相关企业多以报纸、电视、网络等媒体手段进行品牌宣传，以扩大企业知名度、提升企业形象。因此，市场性营销渠道对该行业扩大市场份额更加重要。与之不同，Manchanda et al. （2008）研究发现，医生或药剂师对新药品的采用和使用具有外部“传染效应”，即医生或药剂师自身对药品效用的认可和推荐影响药品的销售。因此医药公司常通过零售、送样或直接接触等方式对特定目标医生进行营销。相对其它行业，医药业的营销对象相对明确、且集中，而与医生之间“关系”的处理影响产品推广。

但不同营销渠道对公司业绩的相对重要性亦不同，因此公司应根据所处外部环境选择不同导向的营销方式。首先，高客户集中度意味着公司销售额依赖于少量关键客户，同时由于失去主要客户将给公司带来更大损失（Banerjee and Dasgupta, 2008），公司亦面临较高的转换成本。根据资源依赖理论，依赖型和不确定性是组织间建立关系的关键动因。当交易伙伴控制对公司而言重要的资源时，其将影响公司的战略选择（El-Ansary and Stern, 1972; Pfeffer and Salancik，1978），因此公司应根据客户对本公司的重要性选择不同的交易方式（Abramson et al., 1997）。Turner（1985）和 Kalwani and Narayandas（1995）认为，当公司客户为少量关键群体时，其大额业务量更加值得企业为之付出超常努力，此时公司应优先选择关系型营销方式。此外，Christy, Oliver and Penn（1996）亦认为，当公司面临较高转换成本时，其营销策略更应该注重关系的培养。综上，本文认为当公司的客户集中度较高时，关系型营销对市场型营销渠道的替代作用更强烈。

其次，除客户外，竞争对手也是公司重要的外部影响因素。Sin et al. （2005）认为，关系型营销与市场型营销的关系相对重要性取决于公司经营所在的竞争环境。在公司竞争环境变得更加动态和苛刻的条件下，公司与顾客、供应商、战略伙伴等之间形成的关系网络越重要，有助于提升公司绩效（Eisenhardt and Schoonhoven, 1996）。姜翰登（2009）亦发现，潜在竞争者的进入、替代或竞争行业的发展等带来的行业结构变动性，在很大程度上增加了创业企业对未来发展方向的判断失误风险并降低其可控物质资源的利用效率，将刺激创业企业提高其对管理者社会资本的运用。Crosby et al. （1990）认为，动态、不确定性的环境影响未来的市场需求和供给，此时有效地关系型营销更加重要。因此，本文认为当公司所处产品市场竞争较激烈时，关系型营销对市场型营销渠道的替代效应更强烈。

最后，相对客户、行业等外部因素，作为公司内部的治理因素亦影响关系型营销与市场型营销渠道之间的替代效应。具体而言，公司对关系型营销渠道的控制更多地依赖成员各自的自我控制（庄贵军、李珂与崔晓明，2008）。对自我行
为和内部机制进行持续监督和控制是公司改善其与客户之间关系的必需（Sin et al., 2005）。在公司治理较弱的情况下，高管利用职位当内部治理失效时，基于关系的客户-供应商交易可能成为高管以牺牲公司资源谋取私利的手段。如为达到绩效考核，相关人员有动机向客户提供“好处”以实现短期销售目标，却忽视了对长期交易关系的培育（Abramson et al., 1997），使关系成为一次性交易的工具。此外供应商与客户之间的非正式社会联系，使得关系成为高管寻租和腐败的幌子（边燕杰、丘海雄，2000），为公款消费提供了便利，使得关系型营销未能发挥其实质效应。因此，本文认为当公司内部治理较好时，关系型营销对市场型营销渠道的替代效应更强烈。

基于上述分析，提出本文假设 2：关系型营销与市场型营销具有替代效应，而且关系型营销对市场型营销的替代作用在客户集中度较高、产品市场竞争较激烈以及公司治理较好时更强烈。

3. 销售费用分类、费用明细披露及其金额情况分析

3.1 销售费用分类

我们将销售费用明细项目中的“办公费、交通差旅费、会议费、招待费、市场营销费、业务经管费、物资及仓储费和代理及中介费”等费用视为关系型销售费用（ROM），将销售费用明细项目中“广告费、宣传展览费、促销、折扣费以及市场开拓费”视为市场型销售费用（MO），将销售费用明细项目中“工资薪酬、五险一金、租赁费、运输费、包装费、装卸费、保险费、商品维修及售后服务费、检测维修费、折旧摊销费以及其他”视为日常维护型销售费用（Others）。同时，由于 Cai et al. （2011）、黄玖立与李坤望（2013）以及 Jiang and Nie（2014）均关注管理费用中的吃喝玩乐（ETC）指代公司吃喝玩乐费用，并认为其最可能反映公司腐败情况，因此我们将关系型销售费用（ROM）区分为吃喝玩乐 ETC与非吃喝玩乐 NoneETC，其中 ETC 包括“差旅费、交通费、会议费、招待费、业务经管费”。我们做出上述区分的依据为：（1）陈冬华、陈信元与万华林（2005）将年报告附“支付的其他与经营活动有关的现金流量项目”中的“办公费、差旅费、业务招待费、通讯费、出国培训费、董事会费、小车费和会议费”等八项内容视为在职消费；（2）Cai et al.（2011）、黄玖立与李坤望（2013）以及 Jiang and Nie（2014）用管理费用中的吃喝玩乐（ETC）指代公司腐败情况，而且国家八项规定重点管束企业的吃喝玩乐行为；（3）媒体报道涉及的费用类别。

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</tr>
<tr>
<td>通过</td>
<td>折旧费用</td>
<td>折旧及维修费</td>
</tr>
<tr>
<td>其他</td>
<td>销售费用的“其他”项以及未归入上述分类中的出现频率较少的项</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>项目</th>
<th>销售费用</th>
<th>说明</th>
</tr>
</thead>
<tbody>
<tr>
<td>ETC</td>
<td>差旅费、交通费</td>
<td>差旅费、餐费、交通费</td>
</tr>
<tr>
<td>ETC</td>
<td>会议费</td>
<td>会议费、会议费</td>
</tr>
<tr>
<td>ETC</td>
<td>折扣及税费</td>
<td>业务招待费、业务交际费、应酬费、公关费、业务往来费</td>
</tr>
<tr>
<td>ETC</td>
<td>业务费用</td>
<td>业务费、业务费用、销售费用、销售机构费用、办公费用、销售相关费用、商务活动费用、销售管理费用、交易费用、出差费用、出差手续费</td>
</tr>
<tr>
<td>Non ETC</td>
<td>办公费用、水电气费</td>
<td>办公费用、水费、电费、电费</td>
</tr>
<tr>
<td>Non ETC</td>
<td>邮电费</td>
<td>电话费、邮寄费、通信网络费、电信费、电讯费</td>
</tr>
<tr>
<td>Non ETC</td>
<td>车船使用费</td>
<td>车辆使用费、车辆费用、车辆费用、车辆使用费</td>
</tr>
<tr>
<td>Non ETC</td>
<td>销售服务费</td>
<td>销售服务费、产品服务、售货服务费、业务服务费</td>
</tr>
<tr>
<td>Non ETC</td>
<td>招投标费</td>
<td>招投标费用、招商费</td>
</tr>
<tr>
<td>Non ETC</td>
<td>进出口及关杂费</td>
<td>进出口相关费用、关杂费、报关、通关、海关费</td>
</tr>
<tr>
<td>Non ETC</td>
<td>仓储费</td>
<td>仓储费、仓库费、仓储保管费、保管费、仓储费、仓储费</td>
</tr>
<tr>
<td>Non ETC</td>
<td>物料费</td>
<td>物料消耗、低值易耗品、材料费、商品（产品）损耗</td>
</tr>
<tr>
<td>Non ETC</td>
<td>咨询及中介费</td>
<td>销售代理费用及佣金、佣金及服务费</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>市场型</th>
<th>销售费用</th>
<th>说明</th>
</tr>
</thead>
<tbody>
<tr>
<td>广告费、宣传费</td>
<td>广告费、广宣费、品牌宣传推广费、业务宣传费、赞助费</td>
<td></td>
</tr>
<tr>
<td>展览费</td>
<td>展览费、参展费、会展费、展会费、样品费</td>
<td></td>
</tr>
<tr>
<td>促销费</td>
<td>促销费、促销费用、促销打折、销售返利、赠品赠品</td>
<td></td>
</tr>
<tr>
<td>市场营销费用</td>
<td>市场推广、开拓、拓展、维护费、营销费、市场费用、市场费用、市场费用、市场费用、市场费用</td>
<td></td>
</tr>
</tbody>
</table>

我们主要根据公开媒体报道的商业贿赂案例来认定关系型销售费用类别。具体而言：(1) 南开大学法学院 2009 年的调查显示，多数商业贿赂以技术费用、咨询费、顾问费、外出考察、赞助会议等合法形式形式，满足“合法”的要求。
(2) 2013 年南开大学法学院调查数据显示，公司在支付差旅费、讲课费、安排旅游等方式支付贪污与合作者的费用；然后将相关费用分别以“研讨费用”等科目的财务系统中报账。
(3) 2001 年宝洁（中国）有限公司致函各供应商，要求严格按照合同支付的费用，不涉及商业行为。
(4) 2011 年曝光的 IBM 贿赂事件中，IBM 通过中间商向客户提供各类费用。所有费用的支付均以“合法”的名义给付。
(5) 2008 年丰田汽车经销商违规向丰田金融推荐汽车借款业务，而丰田金融则“手续费”或“服务费”等名义给付财物。
(6) 公司支付的仓储费涉及公司对仓储方的行，也会涉及到员工内部的“行窃”行为。因此我们认定了关系型销售费用的细分类。

尽管现有文献表明，即使是 ETC 这种最有可能反映腐败的项目对业绩也有正向影响，但我们在对销售费用细分时仍有两个基本判断：(1) 腐败的可能性大小。关系型销售 ROM 中的 ETC 腐败的可能性最大，NoneETC 其次，市场型销售 MO 腐败的可能性相对较小，而日常维护型销售费用腐败的可能性最小。关系型销售更多是维护特定客户关系过程中的耗费，而市场型销售则是企业针对非特定客户的耗费，这两者均与企业销售直接管理。相对而言，日常维护型销售费用与客户无直接关联，与企业销售也无直接联系。
3.2 销售费用明细披露及其金额披露情况分析

《年度报告的内容与格式》对于销售费用的披露要求只是提出“若报告期内公司销售费用同比增长 30%以上的应当说明变化原因”，因此销售费用明细项目的披露属于自愿性披露。表 2 列示了销售费用明细披露情况，数据显示：（1）总体上，披露销售费用明细项目的公司呈逐年上升趋势，从 2007 年的 3.42% 上升到 2013 年的 90.38%；（2）2010 年前极少数公司愿意披露销售费用明细，这与制度没有要求有关，也可能与销售费用中可能存在某种信息有关，2010 年披露销售费用明细的公司数量大幅度增长，但除年年度报告披露要求并无实质改变，我们认为这可能与“2010 年 3 月 23 日国务院常务会议决定将因公出国费、公务车购置及运行费、公务招待费等支出情况纳入报告内容并向社会公开”有关。（3）在不同证券交易所上市公司的披露情况稍有差异，相对上海证券交易所，业绩深圳证券交易所上市的公司的披露比例更大，此外，在深圳证券交易所上市的创业板比非创业板公司的披露比例亦略大。正因如此，我们在后文回归时会控制 2010 年年度费用的显示以及交易所费用数。

表 2 销售费用明细项目披露情况

<table>
<thead>
<tr>
<th>会计年度</th>
<th>2007</th>
<th>2008</th>
<th>2009</th>
<th>2010</th>
<th>2011</th>
<th>2012</th>
<th>2013</th>
<th>合计</th>
</tr>
</thead>
<tbody>
<tr>
<td>深交所主板</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>披露关系营销的公司数量</td>
<td>34</td>
<td>52</td>
<td>47</td>
<td>999</td>
<td>1247</td>
<td>1407</td>
<td>1464</td>
<td>5250</td>
</tr>
<tr>
<td>披露关系营销的公司比例</td>
<td>4.89%</td>
<td>6.95%</td>
<td>5.29%</td>
<td>82.22%</td>
<td>87.94%</td>
<td>92.20%</td>
<td>93.55%</td>
<td>65.16%</td>
</tr>
<tr>
<td>深交所创业板</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>披露关系营销的公司数量</td>
<td>N.A.</td>
<td>N.A.</td>
<td>2</td>
<td>169</td>
<td>270</td>
<td>344</td>
<td>365</td>
<td>1,150</td>
</tr>
<tr>
<td>披露关系营销的公司比例</td>
<td>N.A.</td>
<td>N.A.</td>
<td>3.45%</td>
<td>89.89%</td>
<td>92.15%</td>
<td>96.90%</td>
<td>96.31%</td>
<td>90.34%</td>
</tr>
<tr>
<td>上交所</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>披露关系营销的公司数量</td>
<td>19</td>
<td>19</td>
<td>26</td>
<td>704</td>
<td>757</td>
<td>792</td>
<td>809</td>
<td>3,126</td>
</tr>
<tr>
<td>披露关系营销的公司比例</td>
<td>2.23%</td>
<td>2.22%</td>
<td>3.01%</td>
<td>78.92%</td>
<td>82.02%</td>
<td>83.90%</td>
<td>85.16%</td>
<td>49.78%</td>
</tr>
<tr>
<td>合计</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>披露关系营销的公司数量</td>
<td>53</td>
<td>71</td>
<td>73</td>
<td>1703</td>
<td>2004</td>
<td>2199</td>
<td>2273</td>
<td>8376</td>
</tr>
<tr>
<td>披露关系营销的公司比例</td>
<td>3.42%</td>
<td>4.43%</td>
<td>4.17%</td>
<td>80.83%</td>
<td>85.60%</td>
<td>89.03%</td>
<td>90.38%</td>
<td>58.42%</td>
</tr>
</tbody>
</table>

表 3 列示了销售费用明细的分年度分析。表 3 Panel A 分年度描述结果：从销售费用绝对金额而言，受国家公开三公经费政策的影响，2010 年无论是关系型和市场型销售费用均有明显下降，这既可能是公司客观上销售费用较低的结果，又可能是公司人为操控的结果。2010 年后两类销售费用均呈小幅上升趋势，这说明当前市场环境下，企业需要更大的推销量和推销量手段，才能推动企业发展。从销售费用占营业收入的比例而言，关系型销售费用约为 2%，市场型销售费用约为 1%，总体上较为平稳，但也说明我国上市公司用于产品推广的主体力度较低。同时关系型销售费用占比高于市场型销售费用占比，也说明在中国这种关系型社会关系型销售占有较为重要的地位。此外，销售费用绝对值的标准差非常大而销售费用占比的标准差约 0.03，这也说明采用销售费用占比计量模式更适合回归，销售费用绝对值以及销售费用占比的均值均大于中位数，说
明销售费用数据总体上偏高，少数高销售费用公司致使样本均值猛增，因此对样本做极值处理非常重要。

表 3 关系型销售费用与市场型销售费用分年度、行业描述性统计

<table>
<thead>
<tr>
<th>项目</th>
<th>关系型销售费用（ROM）</th>
<th>市场型销售费用（MO）</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>绝对金额（万元）</td>
<td>占营业收入的比例</td>
</tr>
<tr>
<td></td>
<td>均值</td>
<td>中位数</td>
</tr>
<tr>
<td>分年度描述</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2007</td>
<td>3840</td>
<td>529.2</td>
</tr>
<tr>
<td>2008</td>
<td>6479</td>
<td>589.7</td>
</tr>
<tr>
<td>2009</td>
<td>6514</td>
<td>534.9</td>
</tr>
<tr>
<td>2010</td>
<td>4536</td>
<td>903.3</td>
</tr>
<tr>
<td>2011</td>
<td>5121</td>
<td>986.3</td>
</tr>
<tr>
<td>2012</td>
<td>5407</td>
<td>108.9</td>
</tr>
<tr>
<td>2013</td>
<td>5845</td>
<td>117.5</td>
</tr>
<tr>
<td>分行业描述</td>
<td></td>
<td></td>
</tr>
<tr>
<td>农、林、牧、渔业</td>
<td>2229</td>
<td>555.7</td>
</tr>
<tr>
<td>采矿业</td>
<td>1392</td>
<td>169.7</td>
</tr>
<tr>
<td>制造业</td>
<td>3889</td>
<td>107.6</td>
</tr>
<tr>
<td>电力、煤气及水的生产和供应业</td>
<td>789.5</td>
<td>280.4</td>
</tr>
<tr>
<td>建筑业</td>
<td>3505</td>
<td>106.8</td>
</tr>
<tr>
<td>交通运输、仓储业</td>
<td>3224</td>
<td>362.4</td>
</tr>
<tr>
<td>信息技术业</td>
<td>1067</td>
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<tr>
<td>批发和零售贸易</td>
<td>8662</td>
<td>208.0</td>
</tr>
<tr>
<td>房地产业</td>
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<td>社会服务业</td>
<td>1460</td>
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<tr>
<td>传播与文化产业</td>
<td>2042</td>
<td>885.7</td>
</tr>
<tr>
<td>综合类</td>
<td>2835</td>
<td>652.7</td>
</tr>
</tbody>
</table>

表 3 Panel B 分行业描述结果表明：（1）总体上，相当多的行业关系型销售费用高于市场型销售费用，部分行业的市场型销售费用虽然更高但其关系型销售费用也不低，这说明在中国这样的关系型社会，关系型营销是非常重要的营销方式，而且在某些行业更加重要。（2）采掘业关系型销售费用均值高达 13920 万元
而市场型销售费用均值只有 149 万元，交通运输及仓储业务型销售费用均值高达 32244 万元而市场型销售费用均值只有 154.3 万元，这说明在采掘以及交通等垄断性行业，关系型营销是最主要的营销手段。（3）房地产、社会服务、文化传播、制造以及综合业的市场型销售费用稍高于关系型销售费用，说明这些竞争性行业以市场销售手段为主但同样关注关系型营销模式。（4）电力、煤气以及水、信息技术以及批发零售业的关系型销售费用稍高于市场型销售费用，说明这些行业以关系型营销模式为主且辅以市场营销模式。这些分析表明，我国上市公司同样重视市场型营销模式与关系型营销模式，而且很多情况下，关系型营销模式还是主导，这也说明我们上市公司销售费用数据分布具有明显的行业特征。

3.3 销售费用明细披露及其金额的影响因素分析

那么究竟什么因素决定了销售费用明细的披露及其金额？参照唐跃军、宋渊洋、金立印、左晶晶（2012）以及 Ou-Yang, Shu and Wong（2015）的研究，我们设立了销售费用明细项目披露的 Probit 模型以及销售费用金额影响因素的 OLS 回归模型。

表 4 第（1）列是对是否披露销售费用明细的回归结果，数据显示：（1）Year2010 显著正相关，说明 2010 年后销售费用明细披露比例显著提高，销售费用明细项目披露收到某种制度性因素的显著影响；（2）SH_SE 显著负相关，说明上交所公司披露费用明细的比例显著低于深交所公司；（3）Saleratio_Five 显著负相关，说明前五大客户占比越高，披露销售费用明细的可能性越小。客观上，当客户相对集中时，销售费用涉及的内容相对简单，可披露的内容相对较少。主观上，当销售费用主要针对主要客户时，披露销售费用明细将面临较高的专业化成本。（4）资产负债率 Lev 显著正相关，说明当企业负债率较高时，需要有更明显的信息披露以消除可能的质疑；（5）市价的自然对数 LnMKV 以及账面价值与市价比的自然对数 LnB2M 显著负相关，说明当企业实力较强、发展势头良好时，披露更多信息以获取外界认可的动机下降；（6）管理层持股比例 Rshares_Mana 显著正相关，说明代理问题的减少会提高管理层披露销售费用明细的动机；（7）前三种高管薪酬占总资产比例 Remuneration 显著负相关，说明当管理者给予自己更高薪酬并呈现某种私利动机时披露销售费用明细的可能性下降。根据此回归，我们可以估计出逆米尔斯系数（IMR），并在其他回归中控制 IMR 以控制文本样本可能存在的选择性偏差问题。

表 4 第（2）至（4）列是对销售费用及其明细的回归结果，数据显示：（1）Saleratio_Five 显著负相关，说明前五大客户占比越高，各类销售费用减少；（2）坏账准备占总资产比例 ReservesAR 对销售费用总额以及关系型销售费用 ROM 显著正相关，说明当企业向特定客户以应收账款方式极力推销商品时，不仅带来销售费用的增加也导致企业坏账准备可能性增加；（3）关联交易金额占总资产的比例 RPT 对销售费用总额以及关系型销售费用 ROM 显著负相关，说明内部关联交易降低了企业对外推销商品的努力进而降低了销售费用；（4）账面价值与市价比的自然对数 LnB2M 显著负相关，说明成长性越差的企业，越需要各种努力去推销商品；（5）现金及现金等价物占总资产的比例 Cash_Avail 显著正相关，说明企业现金流越多越有可能加大商品推销力度。此外，我们还可以观察到关系型销售费用和市场型销售费用的影响因素有些差异，这为控制后文回归中的内生性奠定了良好的基础。
<table>
<thead>
<tr>
<th>VARIABLES</th>
<th>是否披露销售费用明细</th>
<th>是否2010年后占比</th>
<th>关系型销售费用 ROM</th>
<th>市场型销售费用 MO</th>
<th>销售费用总额 RSell</th>
</tr>
</thead>
<tbody>
<tr>
<td>Year2000</td>
<td>3.462***</td>
<td>(41.99)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>GME</td>
<td>0.230***</td>
<td>(2.78)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>SH_SE</td>
<td>-0.112***</td>
<td>(-2.62)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Saleratio_Five</td>
<td>-0.791***</td>
<td>(-8.80)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Unique</td>
<td>-0.011*</td>
<td>(1.87)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>HHI</td>
<td>0.605</td>
<td>(1.38)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>ReservesA</td>
<td>-1.732**</td>
<td>(-2.03)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>RPT</td>
<td>-0.070*</td>
<td>(-1.73)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Lawsuitdummy</td>
<td>0.113*</td>
<td>(1.87)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>SOE</td>
<td>0.067</td>
<td>(1.39)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Lev</td>
<td>0.104</td>
<td>(1.01)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>LnMKV</td>
<td>-0.096***</td>
<td>(-3.98)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>LnB2M</td>
<td>-0.038</td>
<td>(-0.86)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>FirmAge</td>
<td>0.055</td>
<td>(0.40)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Cash_Avail</td>
<td>-0.030</td>
<td>(-0.20)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>PCM</td>
<td>0.002</td>
<td>(1.59)</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

注：***表示p<0.01，**表示p<0.05，*表示p<0.1。
4. 模型建立和描述性统计

4.1 样本选择

2007-2013 年间共有 14044 个销售费用项目年度观测值，其中 2007-2009 年销售费用明细数据由手工搜集，共计 210 个披露了销售费用明细的公司年度观测值，2010-2013 年销售费用明细项目取自 CSMAR 数据库，共计 8359 个披露了销售费用明细项目及金额的公司年度观测值，此外有 5475 个未披露销售费用明细项目的公司年度观测值。为进一步分析关系型销售费用与市场型销售费用，我们在 8569 个披露了销售费用明细项目的样本的基础上，删除 178 个未披露任何一项关系型或市场型销售费用明细的公司年度观测值，15 个金融行业公司年度观测值。共获得 8376 个披露关系型和市场型销售费用明细样本观测值。在 14044 个公司年度观测值的基础上，进一步剔除 2641 个公司前五大客户销售占比缺失、359 个其他控制变量缺失的公司年度观察值，最终得到 11044 个有效研究样本。同时，由于是否披露销售费用明细属于自愿性信息披露，可能导致样本选择有偏，我们采用 Heckman 两阶段回归方法加以控制，其中表 4 是否披露销售费用明细的回归正是第一阶段回归，我们根据表 4 回归方程计算出每个样本的逆米尔斯系数（Inverse Mills Ratio，以下简称 IMR）并带入后面第二阶段进行回归以
控制样本自选择问题。在考察关系型营销经济后果部分，我们仅以关系型营销和市场型营销存在部分作为子样本，同时要求 IMR 不缺失，此类样本合计为 7361个。

4.2 模型与变量设计

参照刘行与李小荣（2008）以及 Ou-Yang，Shu and Wong（2015）的做法，设立方程（1）用于检验本文假设 1，预期 RSell 或 ROM 或 MO 的系数 $\beta_1$ 显著为正，同时设立方程（2）用于检验本文假设 2，预期 ROM*MO 的交互项系数 $\beta_2$ 显著为负。

$$Perform=\beta_0+\beta_1RSell \ or \ ROM \ or \ MO \ or \ ETC+\beta_2IMR+\beta_3Control+\epsilon$$

（1）

$$Perform =\beta_0+\beta_1ROM+\beta_2ROM*MO+\beta_3MO+\beta_4Control+\epsilon$$

（2）

其中，Perform 为公司价值，主要用托宾 Q 衡量，同时用总资产收益率（ROA）净利率/期末总资产）以及息税前利润率（SaleMargin，息税前利润占总资产比例）做稳健性检验。RSell 为销售费用总额占营业收入的比重；ROM 衡量关系型销售费用，即办公费、交通差旅费、会议费、招待费、市场营销费用、业务经费、材料及仓储费和代理及中介费等费用占营业收入的比例；MO 衡量市场型销售费用，即广告费、宣传展览费、促销、折扣费以及市场开拓费等费用占营业收入的比例。此外，RMI 根据表 3 回归方程得到的逆米氏系数，用以控制样本自选择问题，所有模型中均控制行业、年度哑变量。

Control 为一组控制变量，具体包括：前五大客户销售占比（Saleratio_Five），产品市场竞争性（HHI），产品独特性（Unique），国有企业性质（SOE），公司规模（Size），公司负债率（Lev），独立董事占比（RInde_Dir），董事长与总经理是否合二为一（Dual），董事、监事、高管薪酬总额占营业收入比例（RPay），管理层持股比例（Rshares_Mana），第一大股东持股比例（Ratio_Shares），第一大股东持股比例的方差（Ratio_Shares2），机构投资者持股比例（Int_Own），公司实际税率（Taxrate），资本支出占总资产比例（Growth），管理费用占营业收入比例（RAdministr）。

4.3 相关变量描述性统计

表 5 是除销售方费用外的其他主要变量的描述性统计分析。结果显示：（1）反映业绩的三个指标 ROA、Q 以及 SaleMargin 均值为正且与中位数相差无几，标准差小，说明业绩指标数据情况较好且很可能与销售费用正相关，与前文预期基本一致；（2）我国上市公司前五大客户销售占比 Saleratio_Five 均值为 29%，最小值为 2%，最大值为 99%，分布差异较大。我们认为客户销售占比越高，面向不特定客户的市场型营销越少而面向特定客户的关系型营销越多，但当客户销售占比高且客户关系稳定时，面向特定大客户的关系型营销也有下降可能。其他控制变量数据分布基本合理，限于篇幅，此处不一一赘述。

<table>
<thead>
<tr>
<th>Variable</th>
<th>均值</th>
<th>最小值</th>
<th>中位数</th>
<th>最大值</th>
<th>标准差</th>
</tr>
</thead>
<tbody>
<tr>
<td>ROA</td>
<td>0.0400</td>
<td>-0.180</td>
<td>0.0400</td>
<td>0.210</td>
<td>0.0500</td>
</tr>
<tr>
<td>Q</td>
<td>2.450</td>
<td>0.370</td>
<td>1.970</td>
<td>9.870</td>
<td>1.610</td>
</tr>
<tr>
<td>SaleMargin</td>
<td>0.12</td>
<td>-0.45</td>
<td>0.1</td>
<td>0.68</td>
<td>0.14</td>
</tr>
<tr>
<td>指标</td>
<td>ROA</td>
<td>Q</td>
<td>SaleMargin</td>
<td>Saleratio_Five</td>
<td>ROM</td>
</tr>
<tr>
<td>--------------</td>
<td>------</td>
<td>---------</td>
<td>------------</td>
<td>----------------</td>
<td>------</td>
</tr>
<tr>
<td>ROA</td>
<td>1</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Q</td>
<td>0.239*</td>
<td>1</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>SaleMargin</td>
<td>0.709*</td>
<td>0.171*</td>
<td>0.041**</td>
<td>-0.037***</td>
<td></td>
</tr>
<tr>
<td>Saleratio_Five</td>
<td>-0.115*</td>
<td>0.041**</td>
<td>1</td>
<td></td>
<td></td>
</tr>
<tr>
<td>ROM</td>
<td>0.109*</td>
<td>0.186*</td>
<td>0.088**</td>
<td>0.109*</td>
<td>-0.125***</td>
</tr>
<tr>
<td>MO</td>
<td>0.143*</td>
<td>0.172*</td>
<td>0.100**</td>
<td>-0.051***</td>
<td>0.283*</td>
</tr>
<tr>
<td>Unique</td>
<td>-0.051***</td>
<td>0.151*</td>
<td>-0.022*</td>
<td>-0.001</td>
<td>0.001</td>
</tr>
<tr>
<td>HHI</td>
<td>0.016</td>
<td>0.024*</td>
<td>0.027*</td>
<td>0.103***</td>
<td>-0.034***</td>
</tr>
<tr>
<td>SOE</td>
<td>-0.151***</td>
<td>-0.153***</td>
<td>-0.109*</td>
<td>-0.050***</td>
<td>-0.131***</td>
</tr>
<tr>
<td>Dual</td>
<td>0.057*</td>
<td>0.080*</td>
<td>0.044*</td>
<td>0.036***</td>
<td>0.094*</td>
</tr>
</tbody>
</table>

表 6 是相关系数分析表。数据显示：（1）销售费用指标 ROM 与 MO 均与三个业绩指标显著正相关，说明总体上销售费用均对企业业绩具有促进作用，但从回归系数上看，市场型营销的边际效应更大；（2）前五大客户销售占比 Saleratio_Five 与销售费用负相关，与 ROA 显著负相关，与 Q 以及 SaleMargin 显著正相关，说明总体上主要客户的存在有助于降低销售费用和稳定企业收益，但不一定能提高企业资产利润率。这可能是因为销售投入的成效显现具有滞后性，也有可能是销售投入过度的缘故。

5. 回归结果分析
5.1 销售费用与公司价值
表 7 为销售费用与托宾 Q 的回归结果。表 7 第 (1) 列结果显示，销售费用总额与托宾 Q 显著正相关，说明尽管销售费用中也可能存在腐败或者在取消费成分，但总体上市场对企业销售投入给予的正向评价，销售费用整体上有助于提高企业价值。表 7 第 (2) 至 (4) 列考察了销售费用对托宾 Q 的影响，数据显示：关系型销售费用 ROM、市场性销售费用 MO 以及喝玩乐 ETC 均与托宾 Q 显著正相关，这说明即使是单纯的喝玩乐支出也对企业价值具有促进作用，从而证实了关系型营销存在于关系型社会的合理性与必要性；但从回归系数上看，喝玩乐 ETC 对托宾 Q 的边际效应小于关系型销售费用 ROM 且都小于市场型销售费用 MO，这也说明相对于市场型销售费用，关系型销售费用中确实存在腐败或者在职消费 不合理成分从而致使其效应减损。表 7 第 (5) 列同时控制关系型销售费用与市场型销售费用，结果仍然显示，两者对托宾 Q 具有显著正向影响，而且市场型销售费用的边际效应要高于关系型销售费用。但相关系数表显示市场型销售费用与关系型销售费用显著正相关，同时放入可能产生共线性。我们参照 Eun, Wang and Xiao (2015) 的做法，将关系型销售费用对市场型销售费用相互进行回归并计算出残差 ResMO 以及 ResROM，并将一种销售费用与另一种销售费用的残差同时放入模型，以避免同时放入可能产生的共线性，表 7 第 (6) 与 (7) 的结果与第 (5) 列的结果高度一致。

<table>
<thead>
<tr>
<th>VARIABLES</th>
<th>销售费用 RSell</th>
<th>关系型销售费用 ROM</th>
<th>市场型销售费用 MO</th>
<th>喝玩乐 ETC</th>
<th>控制关系型销售费用 ROM 和市场型销售费用的残差 ResMO</th>
<th>控制市场型销售费用 MO 和关系型销售费用的残差 ResROM</th>
</tr>
</thead>
<tbody>
<tr>
<td>RSell</td>
<td>1.817***</td>
<td></td>
<td></td>
<td></td>
<td></td>
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</tr>
<tr>
<td></td>
<td>(7.01)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>ROM 或 ResROM</td>
<td>3.217***</td>
<td>2.600***</td>
<td>4.227***</td>
<td>2.600***</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>(4.82)</td>
<td>(3.89)</td>
<td>(6.26)</td>
<td>(3.89)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>MO 或 ResMO</td>
<td>5.457***</td>
<td>5.209***</td>
<td>5.209***</td>
<td>5.875***</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>(9.15)</td>
<td>(8.70)</td>
<td>(8.70)</td>
<td>(9.71)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>ETC</td>
<td>2.581*</td>
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<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>(2.09)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Saleratio_Five</td>
<td>0.221**</td>
<td>0.137</td>
<td>0.155*</td>
<td>0.106</td>
<td>0.202**</td>
<td>0.202**</td>
</tr>
<tr>
<td></td>
<td>(2.47)</td>
<td>(1.56)</td>
<td>(1.78)</td>
<td>(1.20)</td>
<td>(2.30)</td>
<td>(2.30)</td>
</tr>
<tr>
<td>Unique</td>
<td>4.666***</td>
<td>4.677***</td>
<td>4.639***</td>
<td>4.666***</td>
<td></td>
<td></td>
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但上述结果可能受到销售费用与托宾 Q 可能存在的内生性问题的影响，因为业绩好的企业可能能力投资于营销业务。我们采取三种方式控制内生性：(1)参照 Kalin, Jacob, Thomas and Zhang（2015）的做法，在回归模型中控制被解释变量滞后项以尽量减少遗漏变量引致的内生性问题；(2)参照唐跃军、宋渊洋、金立印与左晶晶（2012）的做法，将 ROM 与 MO 滞后一期；(3) Cai, Fang and Xu（2013）认为，公司所在行业且注册地相同的公司之间的关系型营销的中位数代表“吃喝玩乐”的本地氛围，会影响公司的“吃喝玩乐”支出，但不会直接影响公司业绩，因此可作为公司“吃喝玩乐”支出的工具变量。参照上述做法，我们将公司注册所在地、同一行业的关系型营销（市场型营销）的中位数作为关系型
营销（市场型营销）的工具变量，并采用扩展的 2SLS（2SLS 下的 GMM 回归）进行回归以控制可能的内生性。总体上，采取上述方式控制内生性后的回归结果与表 7 高度一致，限于篇幅，我们只列示 2SLS 下的 GMM 回归结果。表 8 显示：在控制年度和城市变量的情况下，第一阶段的回归显示，ROM(MO) 的工具变量 ROM IV（MO IV）与 ROM(MO) 存在显著正相关关系，表明该工具变量与 ROM（MO）高度相关。在此基础上，将第一阶段得到的 ROM(MO) 估计值引入第二阶段对托宾 Q 进行回归。回归结果表明，关系型销售费用与市场型销售费用对托宾 Q 仍具有促进效应，而且市场型销售费用的边际效用高于关系型销售费用。但在控制年度和行业变量的情况下，市场型销售费用对托宾 Q 仍具有促进效应，当关系型营销对托宾 Q 的促进作用相当微弱，这说明关系型营销可能具有显著的行业特征。

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为检验本文结论的稳健性，我们还进一步改变了变量的计量方式。具体而言：
（1）考虑到不同行业上市公司销售费用可能存在显著差异，我们采用行业平均值对关系型销售费用与市场型销售费用分别进行调整以消除行业因素的影响；（2）以总资产收益率（ROA）、息税前利润率（SaleMargin）等业绩指标为公司价值的替代变量。总体上，进行上述处理后的结果与表7完全一致，限于篇幅，我们只展示了销售费用与ROA回归的结果。表9的数据显示，总体上关系型销售费用与市场型销售费用对公司业绩仍具有促进效应，但是关系型销售费用对ROA的边际效应反而市场型销售费用。我们认为可能的解释是，市场型销售费用对销售的作用具有滞后性与不确定性，而关系型销售费用对销售具有直接影响，因而导致关系型销售费用的短期业绩效应要大于市场型销售费用。

表9 销售费用与公司业绩 ROA
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### 5.2 关系型营销与市场型营销的替代效应

表 10 列示了方程（2）的回归结果。表 10 第（1）列的数据显示：ROM 和 MO 的交乘项对托宾 Q 的回归系数显著为负，表明关系型营销与市场型营销为两种可增加公司价值的替代性营销渠道，关系型营销与市场型营销确实存在替代效应。同时，以销售费用中吃喝玩乐项目指标的关系型营销对市场型营销的替代作用也能够从侧面说明，吃喝玩乐等费用确实不是表层的“舌尖上的腐败”，而是一种生意往来工具。

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<th>VARIABLES</th>
<th>关系型营销与市场型营销的交乘</th>
<th>前五大客户集中度</th>
<th>产品市场竞争</th>
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714
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表 10 第 (2) 至 (3) 列示了客户集中度对上述替代效应的影响。如公司向其前五大客户的销售金额占其总销售金额的比例超过行业均值时，我们认为其客户集中度较高，否则较低，并以此对方程 (2) 进行分组回归。数据显示：在客户集中度较高组，ROM 与 MO 的交乘项在 1% 水平上显著为负，而客户集中度较低组，ROM*MO 并不显著，表明关系型营销对市场份额渠道的替代效应在公司的客户集中度较高时更明显。

表 10 第 (4) 至 (5) 列示了产品市场竞争对上述替代效应的影响。我们参照姜浩秀 (2010) 的做法，以公司在行业赫芬达尔指数 HHI 衡量产品市场竞争，若 HHI 大于全样本中位数则为产品市场较弱组，反之则为产品市场竞争较强组，并以此对方程 (2) 进行分组回归。数据显示：在产品市场竞争较强组，ROM 与 MO 的交乘项显著为负，而产品市场较弱组，ROM 与 MO 的交乘项不显著，表明关系型营销对市场份额的抑制效应在产品市场竞争较强时存在。

表 10 第 (6) 至 (9) 列示了公司治理对上述替代效应的影响。本文以 CEO 与董事长是否两职兼职、第一大股东持股比例衡量公司治理。相对而言，CEO 与董事长两职分离、第一大股东持股比例超过行业中位数时，公司治理水平较高，
反之公司治理水平较差，并以此为分组回归。数据显示：在董事长与 CEO 两职分离、第一大股东持股比例较高组，关系型营销与市场型营销的交乘项系数显著为负，但董事长与 CEO 两职兼任、第一大股东持股比例较低组，两者的交乘项系数均不显著，从而说明关系型营销对市场型营销的替代效应在公司治理较好时更强烈。

6. 结论与局限性

本文主要借助销售费用中吃喝玩乐项目探讨关系型营销对公司价值的影响。具体而言，相对于表层的“舌尖上的腐败”，销售费用中吃喝玩乐背后代表的是关系型营销渠道，是公司形成社会资本的必须。而在中国的文化背景下，关系型营销能够替代市场型营销渠道获得客户资源，有利于提升公司绩效、增加公司价值。此外，关系型营销对市场型营销渠道的替代作用在客户集中度较高、产品市场较激烈以及公司治理较好时更强烈，因此，公司应根据自身特征选择合适的营销渠道。结合中国文化的背景，本文利用销售费用中的吃喝玩乐费用对关系型营销进行量化并考察其对公司价值的影响，首次进行了大样本的实证检验，有利于人们对关系型营销形成科学、全面的认识。当然，本文尚存在局限性。如公司的利益相关者除客户外，还有政府、债权人等其他资本市场参与者，他们能够识别销售费用中吃喝玩乐背后的关系型营销带来的价值增加吗？对此本文并未进行进一步探讨，未来的研究可沿此方向展开。

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A Review of the Relationship between Information Intervention and Residents' Habitual Energy Conservation

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ABSTRACT

In the field of residents' energy conservation, guiding the habitual energy saving behavior is more sustainable, information intervention as a means to guide residents of energy conservation is increasingly important. In this paper, the concept and connotation of residents' habitual energy conservation were sorted out, and the research on the relationship between antecedent strategies or consequence strategies and residents' habitual energy conservation is reviewed and summarized systematically. It is found that commitment and goal setting, information publicity, demonstration and energy audit have positive effect on residents' habitual energy conservation, and the effect of feedback is controversial. At present, experiments combine multiple interventions in general use, lack of experimental design of a single measure. Clearing information intervention measures, subdividing residents' energy-saving behavior and combining experiments with China's national conditions should be the direction of further research.

Keywords: residents' energy conservation, habitual energy conservation, information intervention
信息干预与居民习惯性节能行为的关系研究的文献综述

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摘要

在居民节能领域，引导习惯性节能行为更具有长期性，信息干预作为引导居民节能行为的手段日益重要。本文对居民习惯性节能行为的概念及内涵进行梳理，对事前干预和事后干预与居民习惯性节能行为关系研究进行了系统的文献梳理和综述。研究发现，承诺及目标设置、信息宣传、示范和能源审计对居民习惯性节能行为有正向调节作用，信息反馈的效果存在争议；目前实验通常将多种干预措施结合使用，缺乏实施单一措施的实验设计。明确信息干预的具体措施、细分居民节能行为，结合中国国情进行实证实验是进一步的研究方向。

关键词：居民节能；习惯性节能；信息干预

1. 引言

能源消费行为广泛发生于工业生产、民用、商用、农业以及交通运输等领域，居民用能作为能源消费的第二大主体，仅次于工业部门[1]。然而，目前一些国家的能源政策主要着眼于工业领域，忽略了居民日常消费领域的节能。《能源发展战略行动计划（2014-2020 年）》提出要开展全民节能行动，加强宣传教育，普及节能知识，推广节能新技术、新产品，大力提倡绿色生活方式，引导居民科学合理用能，使节约用能成为全社会的自觉行动。根据家庭生产理论，能源被看作提供家庭服务的投入，为了增加生活舒适性并节省时间，家庭往往过度消费能源，而不管他们的行为是否有效率，是否会对环境造成影响。而能源有效使用的关键是要促使居民合理用能、适度用能，尽可能在不影响生产生活的情况下节约能源，因此居民是否节能以及采用何种节能措施的选择行为是能源需求管理中最关键的能源消费选择行为。

居民节能行为包括习惯性节能行为（Habitual Action）和购买性节能行为（Purchasing Activities）[2,3]。习惯性节能行为主要通过直接的调整行为、缩减用能等方式减少日常用能，主要方式是改变和调整个人的行为习惯和生活方式；购买性节能行为是为了长期的节能而采取的措施，如安装隔温材料、购买节能电器等，此类行为往往需要进行资金投入。引导习惯性节能行为更具有长期性，本文主要研究习惯性节能行为。

诸多学者对居民节能行为进行了干预研究，认为行为干预可以有效地影响能源行为和能源知识[4][5]。Litvine 和 Wüstenhagen（2011）[4]认为价格不是影响绿色电力选择的唯一因素，作为行为意愿主要影响因素的信息干预可以显著增加绿色
环保电力的消耗量。信息干预可分为事前干预和事后干预，事前干预包括提供相关建议和信息，开展能源消费审计，事后干预包括对结果进行反馈（Young，1993）。Abrahamse等（2005）认为奖励和信息反馈比信息宣传更显著导致行为改变和能源节约。信息反馈主要是通过对居民能源消费结果的记录、反馈和提示来帮助居民更明确地认识到自己的能源消费的具体情况，从而起到提醒、引导居民减少能耗、提高用能效率的作用。信息和信息有效利用途径的缺乏会阻碍节能行为的实施。Han等（2013）认为信息干预政策对于不同类型的节能人群作用不同，应制定全面综合的干预措施以达到引导节能的目的。

信息干预作为引导居民节能行为的手段日益重要。因此，本文对信息干预与居民习惯性节能行为关系研究进行了系统的文献梳理和综述，并提出可深度研究的方向。

2. 居民习惯性节能行为的概念及内涵

要界定居民节能行为，首先要对居民能源消费行为（Residential Energy Consumption Behavior）有清晰的理解。居民能源消费行为也被称为居民能源行为（Residential Energy Behavior）、居民能源使用行为（Residential Energy Use）、家庭能源使用行为（Household Energy Use）等。居民能源消费行为可划分为选择性能源消费行为和习惯性能源消费行为两类，前者具有选择性和一次性的特点，后者具有习惯性和重复性的特点。习惯性能源消费行为具体包括家庭能源行为、公共场所能源行为和交通能源行为三类，主要包括作为取暖、照明及餐饮和休闲娱乐用途的家用电器的使用行为，以及各种用途的交通行为，如为通勤、采购、休闲娱乐和度假等发生的交通行为（陈利顺，2009[10]）。

许多学者对居民节能行为（Residents Energy Conservation Behavior）的概念和类型进行了界定，大部分是从消费者购买行为和使用行为的视角，运用分段法对居民节能行为进行分类。Barr等（2005[3]）将其分为习惯性节能行为和购买性节能行为。习惯性节能行为与居民日常习惯和生活方式有关，通过减少能源浪费和改变行为来节能，包括关闭空房间的用能设备、取暖时关闭窗户、烧水壶不要装满等；购买性节能行为通常是长期的变化，需要资金投入和技术支持，包括安装双层隔热玻璃、购买高效能设备、使用节能灯等。

3. 信息干预对居民习惯性节能行为的影响

影响居民节能行为的因素主要包括心理因素（态度、价值观、环境知识、主观规范、舒适偏好等）、情境因素（产品属性、干预政策、社会规范等）和社会人口学因素（性别、年龄、教育程度、职业、收入、家庭特征等）。其中，情境因素在居民节能行为的形成和实施过程中起重要作用[9]。情境因素中的干预政策可分为事前干预、事前干预和结构干预，事前干预包括承诺及目标设置、信息宣传、示范、可获得产品等，事后干预包括信息反馈、经济奖励，结构干预指经济、法律政策（Q. Han，2013[9]）。若将干预政策按照经济干预和信息干预来分类，信息干预包含事前干预和事后干预，事前干预包括承诺及目标设置、信息宣传、示范，事后干预指信息反馈（Abrahamse，2005[7]）。信息手段对居民的能源知识、态度、主观规范等方面有影响，进而促进居民自发的改变能源消费行为，产生作用慢，但持续时间长（孙岩，2013[11]）。
3.1 事前干预

事前干预通过影响居民节能的潜在变量（如节能知识等），进而影响节能行为[7]。在前人研究的基础上，本文将事前干预分为承诺及目标设置、信息宣传、示范、能源审计四类。

预先设定能源消费目标实际上是给予一种承诺，初期的承诺对后续行为能产生一种捆绑效应[12]。目标设置通常和信息反馈等干预措施结合使用。McCalley（2002）[13]回顾了学者的相关研究，提出“目标-反馈”关系，这种关系指出如果不先设置节能目标，则信息反馈对居民节能不产生影响。同时，McCalley 对 100 位居民进行了模拟清洗实验，并将被试的社会价值取向分为自身利益优先和 社会利益优先两种。实验显示，目标设置和信息反馈结合使用比仅设置目标时效果更佳。此外，社会价值取向和目标设定模式相互作用，自身利益优先的居民自己设定目标更有利于节能，社会利益优先的个体接受指定目标时表现更好。实验还发现，当被试自己选择节能目标时，实际节能量与目标节能量无相关关系。


3.2 事后干预

事后干预主要指信息反馈，信息反馈主要是通过对居民能源消费结果的记录、反馈和提示来帮助居民更明确地认识自己能源消费的具体情况，从而起到提醒、引导居民减少能耗、提高用能效率的作用[20]。信息反馈的前提是积极或消极的能耗结果会影响居民的能源使用行为。

Han（2013）[9]的问卷调查结果显示，信息反馈对居民节能行为有正向影响。信息反馈按照频率可分为连续反馈、日常反馈、每周和每月的反馈，信息反馈越频繁对习惯性节能行为的正向影响越大，反馈力度和效度对节能行为意愿作用于节能行为的路径呈现正向调节效应（岳婷，2014[21]）。信息反馈按内容可分为个体反馈和对比反馈，对比反馈除了提供居民自身用能信息，还提供重要或相关居
民的习惯性用能行为信息，这可能使居民感觉到竞争、社会对比和社会压力，进而有效促进节能行为的产生（Abrahamse, 2005)。

然而，Buchanan（2015）[22]等学者认为，通过安装智能电表家庭显示器进行信息反馈可能不会产生预期的节能减排举措；如果要使智能电表反馈有效降低能耗，需要开发和测试考虑用户参与的反馈装置。此外，Chen 等（2012）[5]提出了基于互联网的说服反馈模型，通过在建筑物内安装可视的交互式虚拟设备，对用能家庭进行反馈说服，并通过进一步的问卷调查发现说服反馈可以有效地促进电力节省目标的实现。

4 研究评述

关于信息干预对居民习惯性节能行为的影响研究，各国学者从承诺及目标设置、信息宣传、示范、能源审计和信息反馈等方面进行了许多实证研究。国外学者大多是采用招募志愿居民并进行实验研究的方法，探讨各种信息干预措施对居民习惯性节能行为的影响机理及影响力度。国内学者大多是对外来研究的成果进行总结，或整合社会结构类变量和心理类变量建立综合模型，在综合型中将信息干预作为节能行为意志到节能行为过程的调节变量，通过访谈和问卷的方法进行研究，而关于信息干预或居民习惯性节能行为的针对性的研究还很缺乏。

从研究内容来看，承诺及目标设置、信息宣传、示范和能源审计对居民习惯性节能行为的影响得到了比较广泛的认可。目标设置是信息反馈有效的前提，并且目标设置和信息反馈结合使用时效果更佳。同样，信息宣传结合其他干预措施后更有效。示范和能源审计对居民习惯性节能行为有正向调节作用。信息反馈的效果存在争议，部分学者认为信息反馈越频繁，对习惯性节能行为的正向影响越大，其他学者则认为只有使用用户参与的反馈装置才能对节能行为产生影响。目前的实验通常是将多种干预措施结合使用，缺乏采取单一措施的实验设计，在这种情况下，各因素的有效程度及交互作用很难测量，且调查样本往往局限在一个城市，使得研究结论的适用范围受到限制。

5 结论

本文梳理了居民习惯性节能行为的概念，对信息干预与居民习惯性节能行为的关系的主要文献进行了回顾和述评。尽管现有研究已经涉及到诸多方面，但也存在如下尚需改进和完善的地方:

（1）由于能源消费行为中购买选择行为与日常使用行为具有不同的行为特征，居民节能行为的分类和界定还较为模糊，研究的理论基础差异较大。

（2）部分研究中并未明确指出信息干预的具体措施，如信息宣传是能源问题信息还是节能知识信息，也未区分信息干预对习惯性节能行为和购买性节能行为的不同影响，使得研究结论模糊不清。

（3）目前的实验通常是将多种干预措施结合使用，缺乏采取单一措施的实验设计，或者实验设计一种干预措施，但实际实验过程中其他干预措施未能得到有效控制，这使得各因素的有效程度及相互作用很难测量。

（4）考虑到中国与西方国家在经济发展阶段、城市化水平、居民生活习惯、生活方式、消费价值观、消费偏好等方面均存在较大差异，西方国家的实证结论对我国城市居民节能行为的参考不一定在中国依然有效，加之诸多
存在争议的研究结论也需要在中国情境下作进一步考察和厘清。

参考文献

Intimity or Alienation, How Light Luxury Brand Build Relationship with Its Flagship Brand?

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ABSTRACT

With the increasing of white collar, more and more people are in favour of light luxury brands. For the relationship with the original light luxury brands among the main brand, there are two different strategies exist. A strategy is to establish a strong connection between the light-luxury brand and the master brand, which reflects the strong correlation degree. Another strategy is to keep the light of the independence of luxury brands, maintaining relations only in a very few aspects of kinship relations with flagship brands, most features are self-reliant. So, for the luxury brand in terms of light, in the end how to establish a relationship between the flagship brand with it, it is close or alienate? This study demonstrates correlation degree of light luxury brand and flagship brand of consumer preferences, which shows the first increase then declining, which reflects an inverted U-shaped relationship.

Keywords: Light luxury, mainline, sister-line, relevancy
亲近还是疏远，轻奢品牌如何定位与旗舰品牌的关联度

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摘要

随着白领阶层的兴起，越来越多人青睐轻奢品牌。对于轻奢品牌与原有
的主品牌之间的关系方面却存在两种不同的战略。一种战略是把轻奢品牌与原
有主品牌之间建立很强的连接关系，从而体现出较强的关联度。另一种战略则是
保持轻奢品牌的独立性，只在血缘关系等极少数方面与旗舰品牌保持关系，大
部分特征则是自力更生。那么，对于轻奢品牌来讲，到底如何建立同旗舰品牌
之间的关系呢，是亲近好还是疏远好呢？通过本文研究证明轻奢品牌与旗舰品
牌的关联度对消费者的偏好呈现出先增加后减少的现象，从而体现出一个倒 U
型关系。

关键词：轻奢品牌；主线；副线；关联度

1. 引言

随着白领阶层的崛起，人们对于价格不算特别昂贵但又具备一定品牌影响力的
轻奢品牌情有独钟。许多大大腕奢侈品纷纷推出各自的轻奢品。然而，对
于轻奢品牌与原有的主品牌之间的关系方面却存在两种不同的战略。一种战略
是把轻奢品牌与原有主品牌之间建立很强的连接关系，从而体现出较强的关联
度。例如 1994 年，D&G 作为 Dolce & Gabbana 的副线品牌首次面世，绝不会想
到 17 年之后自己要涵盖“花季”中逾龄。纵观几季设计，Dolce & Gabbana 和 D&G
之间的关系真是剪不断、理还乱。2010 春夏 Dolce & Gabbana 大用黑白针织、蕾
丝的透视，到了 2010 秋冬，D&G 也主打毛线针织，加上轻薄的雪纺裙产生透视
效果，更有一个系列在飘逸的黑白配。此外，D&G 以及 Dolce & Gabbana 名称极
为相近，往往让消费者迷惑，而简洁的 D&G 似乎更能让消费者记住。虽然 D&G
在 2011 年宣布并入主线，但是没有人能质疑 D&G 对 Dolce & Gabbana 公司业绩
做出的贡献。公开数据显示，截至 2009 年 3 月，D&G 的业绩达到了公司总收入
的 45%，为 2.22 亿美金，副线的发展甚至超越了主线。另一种战略则是保持轻

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编号：71202099）
奢侈品的独立性，只在血缘关系等极少数方面与旗舰品牌保持关系，大部分特征则是自力更生，例如 Prada 和 Miu Miu 就成功地通过清晰的主副品牌划分，完美地展示了作为奢侈品与轻奢侈品的两种截然不同的消费体验，成为奢侈品进入轻奢侈领域的典范。Prada 和 Miu Miu 除血缘关系的背景之外，设计风格和目标定位人群完全不同。纵观 Prada 和 Miu Miu 近几季的新款设计，几乎没有任何关联。

那么，对于轻奢侈品牌来讲，到底如何建立与旗舰店品牌之间的关系呢，是亲近好还是疏远好呢？现有文献对此甚少进行深入研究。本文试图通过社会比较理论来探索轻奢侈品牌与旗舰品牌之间的关系。

2 文献综述

2.1 轻奢侈品

轻奢侈品是在社会经济高速发展，中产阶级力量逐渐壮大中从奢侈品衍生出来的，随着经济不断发展，全球奢侈品消费正逐渐走向亲民化路线，奢侈品的概念也不断的扩展，轻奢侈品的概念是近年来随着大众市场的到来而产生。香奈儿曾说过：当必需品满足不了人类，名牌就成了必需品。所谓轻奢侈品，指的是介于传统奢侈品与大众商品之间的产品，很多学者也称之为“新奢侈品”。美国学者迈克尔·西尔弗斯坦 (2005) 在《奢华，正在流行》一书中，对轻奢侈品是这样定义的：“新奢侈品是指这样一些产品和服到，它们比同类商品中的其他产品和服务质量更好，品味更高，也更让消费者心驰神往，这些商品价格不菲，但是还不至于昂贵的让人望而却步”(西尔弗斯坦迈克尔 et al., 2005)。

简而言之，轻奢侈品就是相比之下有较多一部分人能支付得起的奢侈品，它的品质优于大众商品，价格低于传统奢侈品。即符合理性消费，又能满足人们的情感诉求。其中 Prada 的副线 miu miu，Dolce&Gabbana 的副线 D&G 的发展可以与之媲美；星巴克咖啡馆、迪士尼乐园也走上了平民化。值得一提的是，轻奢侈品的轻是相对的，因人而异的。轻奢侈品的轻一般是相对大牌奢侈品而言的，这些大牌奢侈品的价格低则一万，高则十几万，而轻奢侈品的价格一般不会超过一万。另一方面轻奢侈品的轻是因人而异的，对于一个收入 3 万元的女性，她每月可能会在 DKNY 有较大的消费，但也会为一只 PRADA 皮包而“勒紧腰带”。而与一个月收入 5000 的女性而言，去香港买一个港币 3000 左右的 Michael kors 包包，这就是奢侈。

2.2 社会比较理论

社会比较理论是美国社会心理学家 Leon Festinger (1954) 提出来的构思，是每个个体在缺乏客观的情况下，利用他人作为比较的参照系，来判断自己的评价 (Festinger, 1954)。在向上的社会比较中，跟那些更社会化的人比较；在向下的社会比较中，作逆向比较。其理论基本观点是：人人都自觉或不自觉地想要了解自己的地位如何，自己的能力如何，自己的水平如何。而一个人只有在社会中，通过与他人进行比较，才能真正认识到自己和他人；只有“在社会的脉络中进行比较”，才能认识到自己的价值和能力，对自己作出正确的评价。社会比较能够使人清楚地了解自己和他人，找出现与别人之间存在的差距，发现自己的长处，找出自己的不足。

主要分三个方面进行研究。一种是自我评价与社会比较的动机，一种是与不
同的人比较，还有群体间比较。

每个人都具有想要清楚地评价自己的意见和能力的动机。当有评价自己意见和能力的物质的、客观的手段的时候，就首先使用这种手段。如果这种手段不起作用，就会通过与他人进行比较来判断自己的意见和能力。因为即使在评估的时候有一个清楚的标准，但是也无法以此标准来评估自己的意见和能力。例如，在意见方面，战争是否可以避免，这个是无法考证的。在能力方面，让你测试出了跑一百米用了多长时间又能怎样，没有一个对比还是无法知道自己的能力处于什么水平。另一方面，某方面的意见和能力与一个人的重要性越高，或与其有着更直接的关系，那么他去进行该方面意见和能力的评估的动机就越强。如果这些意见和能力评估对人而言毫无意义，那评估结果对他也没有太大的吸引力。其次，在缺乏物质性和社会性的比较时，意见和能力评估是波动的很容易改变的。研究的数据表明“期望层次”随着表现的波动而波动。如果一个人的成绩比前一次的好，他会认为之前很好的表现不再是好的表现，他的“期望层次”会提高。如果他的表现下降了，他的“期望层次”也会下降。尽管在他在任务中有一个好的表现，但是对自己自己表现的评估还是会继续波动的。所以一个人仅仅与自己前后的表现进行比较是不够的。例如，一篇文章只能支付起一个两百元的无名包包，我的目标是一年后给自己添置一个两千年的 coach 包包，一年后这个目标实现了，然后又为自己定了一个两万元包包的目标。但是我不知道，在我用 coach 包包的时候，我的朋友已经用上了万元的 prada 包包。

第二方面就是人们对不同比较对象时的选择和态度。在面临一系列参照对象时，人们会偏好于选择与自己各方面都相似的人作为参照对象。如果有一个跟自己的意见和能力都相似的人，而自己又跟他人存在高低之分，那么自然会对自己的能力和想法都会作出一个很准确的评估。就好比一个与自己同一时期进入同一家公司工作的人，两个工龄相同，但是业绩明显比我好。以我的收入可以支付起一个三千元的皮包，而我只能够支付其两千年的。在向上的社会比较中，跟那些身份地位比自己高的人做比较，对比自己与他的相同之处，意图接近与他们的距离；在向下的社会比较中，作逆向比较，也就是意图跟那些社会地位比自己低的人保持距离。例如，英国王妃穿着 Dolce&Gabbana 的衣服，崇拜她但是收入又有限的一个妇女就会选择 D&G，试图降低自己与王妃的品味差距。但是当一个上司看见自己的下属拿着 D&G 皮包时，他也许就不会选择与之那么相近的 Dolce&Gabbana；如果下属拿的是 Miu Miu 的皮包，那上司也许不会放弃自己一直心爱的品牌 prada。因此，能力比较能促使人进步，朝着自己的比较对象发展。

第三方面是群体内的比较。每个人都面对着与自己密切相关的一个小团体，也可以说是社交圈。在这个社交圈里，大家都或多或少地面临着“同一性压力”，即与团体内其他人保持一样的压力，不能完全与众不同。倘若我的同事都用上了 Miu Miu 的皮包，我就会感到有压力，希望跟他们保持一致。

第四方面是群体间的比较。最引人注意的组将会是组间同一性压力的来源。如果一个组在某方面特别突出，那么这个组将会成为组间比较的标杆。一个群体更倾向于改变自己吸引的人，当这些被吸引的人发现这个群体大多数人与自己观点不同时会更倾向于改变自己的观点。在高度吸引人的群体里会有更多的交流，试图去影响别人。如果一个人以自己心仪的群体作为比较标杆，那么这个人就会将自己的行为与这个群体进行比较，当自己的行为不及该群体时就会觉得自
己表现得很差，尽管他的能力实际上并非如此差。一个拿着 coach 手提包的白领阶层将自己与事业有成的金领相比定会感到失落，但是实际上白领阶段的收入水平相对而言也是挺可观的。

社会比较理论的两个重要思想，即社会比较理论认为人们同时存在两种相对立的比较动机：一是社会认同（Social Identity）；二是独特性（Uniqueness）（Chan et al., 2012）。或者称为对比效应（Contrast）和同化效应（Assimilation）（Mandel et al., 2006）。所谓社会认同动机，就是人们希望维持其与某一群体的关系，让其他人感觉到自己属于某个群体的一员。例如人们希望让别人觉得自己是个中国人，哪怕是移民到了国外，也不要让人们觉得就是外国人了，仍然是中国人的一分子。对于消费者而言，就是消费者希望成为某一社会群体的一员。例如消费者希望成为中产阶层的一员，而不愿意被人们称为“白富美”或“高富帅”。基于社会认同动机的消费者一般会倾向于在社会比较的时候采用同化效应，即其所作所为都符合其所处群体的正常行为。那么对于轻奢侈品来说，由于一般购买轻奢侈品的属于白领阶层，他们不希望被看作是“富二代”或是“官二代”。因此，他们希望轻奢侈品的属性符合白领阶层的特性，从而与旗舰品牌相区别，表现出“疏远”的特性。因为旗舰品牌一般认为是属于“富二代”等消费群体的。

另一方面，消费者也具有独特性（Uniqueness）动机。这种动机促使消费者在进行社会比较的时候，要体现出其与群体内其他成员有所不同，表现出一定程度的优越感。由于这种动机所引起的社会比较就是对比效应（Contrast），即消费者希望表现出与群体内其他成员的不同之处。这样一来，他们在购买轻奢侈品的时候又希望轻奢侈品能够向旗舰品牌靠拢一点，从而体现出一定程度的优越性。综上所述，消费者既希望轻奢侈品与原有旗舰品牌有一定的关联性，也希望与其保持一定程度独立性。从而得出假设 1:

**假设 1：轻奢侈品品牌与旗舰品牌的关联度对消费者的偏好呈现出先增加后减少的现象，从而体现出一个倒 U 型关系。**

2.3 自尊（Self-Esteem）的作用

我们知道产品不仅仅是产品，还可以作为一种标志和象征传递出一种信息。因此，人购买产品时会将自己的印象或别人对自己的看法与产品的附加价值联系起来。消费者会使用产品去拉近和撇清与相关参照群体之间的关系(Berger & Heath, 2008; Escalas & Bettman, 2005; Kuksov & Xie, 2012; Muniz & Thomas, 2001; White & Dahl, 2006)。向别人传达他们独有的属性或者说是不同之处(Berger & Heath, 2007; Miller, 2009; Sirgy, 1982)：让自己的优胜之处更胜于与自己密切相关的人(Berger et al., 1972; Rucker et al., 2012)。

一般来讲，社会比较要发生作用，主要是消费者愿意进行比较。但如果消费者不愿意进行社会比较，则奢侈品品牌的作用就会减弱。一般来讲，自尊感强烈的消费者，更愿意进行比较，而自尊感比较弱的消费者，则不愿意进行社会比较，因而奢侈品品牌的作用就会下降。下面我们分三种情况来介绍一下社会比较。

第一种是消费者需要独特性和采用参照群体的时候。在大量的营销文献中，大多数这方面的研究记录了消费者对独特性的需要和群体参照效益对其的影响(Balachander et al., 2009; Joshi et al., 2009)。群体参照效益涉及到消费者对拉近和撇清与他群体间的关系的需要(Escalas et al., 2005)。相反，对独特性的需要与撇清和其他人的关系有关(Snyder & Fromkin, 1980)。例如，当我们将月薪几万的群
体与我（月薪 5000）相比，我就会想方设法拉近与他们之间的距离，试图通过相似度极高的产品来缩小看起来与他们之间的距离。这个情况下奢侈品牌的作用就更强。但是倘若我将月薪与我不相上下的群体比较，那么这时候，我就希望与他们保持一定的距离凸显自己的独特性。这时候奢侈品牌的作用就减弱。

第二种是消费者的自尊作用起主导作用的时候。这种情况的一个很重要的不同点是没有涉及到群体效应。这种情况与第一种不同是这里是群体内一个个体对一个个体的比较，前而所介绍的是群体间的个体对一个或多个群体的比较。虽然同一社会阶层的群体会影响消费者的行为，但是其他研究表明消费者倾向于将自己的消费选择和其他消费者进行对比 (Ackerman et al., 2000; Dahl et al., 2012; Hyman, 1942; Van de Ven et al., 2011)。此外，群体内会因为社会地位而发生竞争，群体内的个体为了取得群体内较高的地位，通常会通过表现更为卓越的能力、绩效等来取得相对于他人更好的地位 (Anderson & Kilduff, 2009; Charles et al., 2009)。同时现有研究证实，昂贵的耐用品可以提高消费者维持他的自尊心 (Leary & Kowalski, 1990)，这样做使他从那些仅仅可以买得起主流大众的皮包的人身上激发他的自尊感，凸显出其高贵的地位。

第三种是对获得群体资格的需求和个性化差异。一个人既需要获得群体资格（即与自己所在的群体保持一致），又有个性化的差异的需求，这两者会共同作用影响消费者的购买行为。例如在所有一切都法拉利轿车的群体里，我为了与他们保持一致，所以我选择了与法拉利一样昂贵的轿车，但是我没有选择法拉利这个牌子，而是选择了特斯拉这个牌子，而且选了特斯拉这个牌子与他们保持差异。从而得出假设 2：

假设 2：自尊的作用会调节轻奢品牌对关联度与偏好之间的关系。

3 研究方法

3.1 前测

本文前测阶段主要是为了获得用于实验的轻奢侈品牌组合。经过前测，决定选择 8 对品牌作为实验刺激材料。八组品牌有两对被归类为低关联度，三对高关联度，三对中关联度（表 1）。归类之后对其进行独立样本 t 检验，检验结果显示这种分类能够显著区分三组不同关联度的品牌（表 2）。从表 2 可以看出，三组分类的 P 值均小于 0.001，说明这三组之间存在显著差异。

表 1 品牌关联度

<table>
<thead>
<tr>
<th>品牌组</th>
<th>关联度</th>
<th>归类</th>
</tr>
</thead>
<tbody>
<tr>
<td>miu miu&amp;prada</td>
<td>4.1</td>
<td>低关联度</td>
</tr>
<tr>
<td>Versus&amp;Versace</td>
<td>2.9</td>
<td>低关联度</td>
</tr>
<tr>
<td>D&amp;G 和 Dolce&amp;Gabbana</td>
<td>5.37</td>
<td>高关联度</td>
</tr>
<tr>
<td>Marc by Marc Jacobs 和 Marc Jacobs</td>
<td>4.97</td>
<td>高关联度</td>
</tr>
<tr>
<td>DKNY 和 Donna Karan New York</td>
<td>4.87</td>
<td>高关联度</td>
</tr>
<tr>
<td>McQ 和 Alexander McQueen</td>
<td>4.23</td>
<td>中关联度</td>
</tr>
<tr>
<td>Emporio Armani 和 Giorgio Armani</td>
<td>4.8</td>
<td>中关联度</td>
</tr>
<tr>
<td>see by chloe 和 chloe</td>
<td>4.73</td>
<td>中关联度</td>
</tr>
</tbody>
</table>
表2 不同关联度的t检验

<table>
<thead>
<tr>
<th></th>
<th>(I) 关联度</th>
<th>(J) 关联度</th>
<th>均值差 (I-J)</th>
<th>标准误</th>
<th>显著性</th>
<th>95% 置信区间</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>1.00</td>
<td>2.00</td>
<td>-1.71667*</td>
<td>.05640</td>
<td>.000</td>
<td>-1.8523 - -1.5810</td>
</tr>
<tr>
<td></td>
<td>2.00</td>
<td>1.00</td>
<td>1.71667*</td>
<td>.05640</td>
<td>.000</td>
<td>1.5810 - 1.8523</td>
</tr>
<tr>
<td></td>
<td>3.00</td>
<td>2.00</td>
<td>.75000*</td>
<td>.05640</td>
<td>.000</td>
<td>.6144 - .8856</td>
</tr>
</tbody>
</table>

*：均值差的显著性水平为 0.05。

3.2 正式实验

本文接下来进行正式实验。实验随机选择广州某大学二年级学生进行。总共100名学生，其中，男生54人，女生46人。实验首先让同学对八组品牌的关联性进行打分，1为最低分，7为最高分。然后要求被试对每个轻奢侈品牌的偏好进行打分，采用李克特7点量表。接下来，是自尊量表的测验。自尊量表采用Rosenberg（1965）的量表，总共10个题项，其中最后三个题项是反向提问 (Rosenberg, 1965)。在进行分析时再把这三个题项的分数进行正向换算。最后是被试的人口变量的问题。

3.3 数据分析

首先对数据进行操纵检验，检验结果显示，低关联度的均值为 3.34，中关联度的均值为 3.97，高关联度的均值为 4.47，P值小于 0.001，说明三组品牌存在显著差异，操纵检验成功。接下来对变量进行单因素方差分析。结果显示奢侈品牌与主品牌之间的关联度会显著影响消费者对奢侈品牌的偏好（表3）。从表3可以看出，关联度的系数为 23.448，P值为 0.01，小于 0.05，说明品牌关联度会正向影响消费者的品牌偏好。但是这种影响会随着关联度的增加而递减，从而呈倒 U型关系（图1）。假设1得到验证。

表3 主体间效应的检验

<table>
<thead>
<tr>
<th>源</th>
<th>III 型平方和</th>
<th>df</th>
<th>均方</th>
<th>F</th>
<th>Sig.</th>
</tr>
</thead>
<tbody>
<tr>
<td>校正模型</td>
<td>23.448a</td>
<td>2</td>
<td>11.724</td>
<td>4.671</td>
<td>.010</td>
</tr>
<tr>
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<td>13081.612</td>
<td>5211.791</td>
<td>.000</td>
</tr>
<tr>
<td>关联度</td>
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<td>2</td>
<td>11.724</td>
<td>4.671</td>
<td>.010</td>
</tr>
<tr>
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<td>797</td>
<td>2.510</td>
<td></td>
<td></td>
</tr>
<tr>
<td>总计</td>
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<td>800</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>校正的总计</td>
<td>2023.920</td>
<td>799</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

a. R 方 = .012（调整 R 方 = .009）
论文接下来进行自尊的调节效应检验。结果显示，自尊没有能够对关联度和品牌偏好之间的关系产生调节效应（表 4）。其系数为-0.039，P 值为 0.461，大于 0.05，说明调节效应不显著。从而假设 2 没有得到验证。

![brandpref 的估算边际均值](image)

图1 关联度的影响

<table>
<thead>
<tr>
<th>表4 自尊的调节效应a</th>
</tr>
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<td>模型</td>
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<tr>
<td>-------</td>
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<tr>
<td>1</td>
</tr>
<tr>
<td>(常量)</td>
</tr>
<tr>
<td>自尊</td>
</tr>
<tr>
<td>关联度</td>
</tr>
<tr>
<td>自尊×关联度</td>
</tr>
</tbody>
</table>

a. 因变量：品牌偏好

4 结论和讨论

4.1 主要结论

奢侈品营销商(制造商或代理商)和公众往往直觉式地认为，对于中国消费者来说，副线品牌与主线品牌的高关联性的关联性，凭借主线品牌的知名度副线品牌的相对低价就能最大程度地吸引消费者。但是本文研究发现，消费者对副线品牌的偏好呈一个倒 U 型的关系。本文主要有三点理论创新价值。

第一，当主副线品牌的关联度不断上升时，消费者对副线奢侈品牌的偏好不断提高。由此可以推论出消费者希望通过所选择的副线品牌拉近与主线品牌之间的关系，副线品牌可以凭借主线品牌的知名度、美誉度“沾一下光”。“
第二，当主副线品牌的关联度到达一个最高点时，消费者对副线奢侈品牌的偏好就会随着关联度的不断增加而下降。一味的提高主副线品牌的关联度并不难增加消费者的偏好，当副线品牌与主线品牌的关联度太高时，那么副线品牌就会失去了自身的特色，变成了主线品牌的“翻版”。

第三，自尊没有能够对关联度和品牌偏好之间的关系产生调节效应。也就是说消费者不愿意进行比较，奢侈品的品牌效应减弱。消费者选择的轻奢侈品牌并非为了与其他人或群体进行社会比较，试图在群体中获得资格抑或是保持独特的个性。

4.2 营销战略意义

对于奢侈品营销商(制造商或代理商)而言，如何设计主副线品牌的关联度是一个重要的决策之一。当人们直觉上只将奢侈品与“攀比”等行为心理联系在一起时，自然而然地会倾向于认为副线品牌与主线品牌的关联度越密切，人们的购买意愿就越大。这种简单的、仅凭直觉的认识已不能帮助奢侈品营销商在中国市场制定出科学、精准的营销战略了。本文已经证明了自尊没有能够对关联度和品牌偏好之间的关系产生调节效应，主副线品牌的关联度与消费者对副线品牌的偏好存在影响，从而为奢侈品营销商提供正常有价值的营销战略启示。

第一，大腕奢侈品牌要推出副线要谨慎考虑主副线品牌之间的关系，当主线副线品牌之间的关联度较低时，消费者对其副线品牌的偏好较低。消费者可能压根不知道该副线品牌是大腕奢侈品牌的副线，消费者会将副线品牌独立出来，认为该副线品牌仅仅是一个独立的品牌。那么该副线品牌就难以借助主线品牌的各种优势来吸引消费者。

第二，并非高关联度的主副线品牌就能凭借主线品牌的优势得到消费者的青睐。副线轻奢品牌如果与主线奢侈品牌关联度高的话，消费者对副线品牌的偏好也是相对低的。当副线品牌与主线品牌关联度极高，也就是说无论品牌形象、设计风格等都非常相似时，就会失去了副线应有的特色，等于是主线品牌的“翻版”。我相信大多数人都不希望自己花上千元买回来的包包被贴上“翻版”的标签吧！

第三，错误地设计主副线品牌之间的关系可能会阻碍主线品牌的发展。将副线品牌设计成与主线品牌有高度的密切关系的话不仅无法提高消费者偏好，而且还可能会造成反效果。一来，关联度极高情况下，无论是品牌名，品牌形象，品牌的设计风格都雷同时，人们就会相对地更偏好于价格相对较低的副线轻奢品牌，从而降低对主线品牌的消费，颇有喧宾夺主之势。二来，大腕主线品牌积累了一批较高品牌忠诚度的消费者，他们试图通过对奢侈品的消费来彰显自己的身份地位，当有较多人都可以消费得起与主线品牌有高关联度的副线产品时，就会降低这些人对大腕主线的忠诚度，他们会认为该品牌无法再在人群中显示他们的身份地位。

4.3 未来的研究方向

第一，研究消费者的其他心理特质因素在品牌标识显著度影响效应上的差异。本文只研究了自尊的作用，而且自尊的作用是起不到调节作用的。那么在关联度与偏好之间是否存在其他心理因素作为变量呢？后续研究还可以研究消费者个性、消费者自我控制感等因素对奢侈品购买造成的影响。
第二，研究产品关联度的其他维度。本文研究主副线品牌的关联度，在设计问卷时主要呈现出来的是主副线的品牌名称和主副线的商标。然而品牌主副线之间的关联度则应该包含二者的品牌形象、设计风格等因素。但是要给这些因素定义一个标准则有点困难需要再进行深入研究。

参考文献
附录一 关联度市场调研

您好！我们正在进行有关奢侈品牌的调研。本次调研的主要目的是为了了解奢侈品市场的消费者状况。此次调研纯粹是为了学术目的。我们的数据资料将不对外公开，您的有关资料将严格保密，绝不泄露任何个人隐私。非常感谢您的热忱帮助及认真填写。谢谢！

1. 请就以下各组品牌是主副线品牌的关系，左边是主品牌右边是副线，您觉得它们之间的关联性有多大？

A.

<table>
<thead>
<tr>
<th>评价</th>
<th>关联性很小</th>
<th>关联性很大</th>
</tr>
</thead>
<tbody>
<tr>
<td>对于 1.A 两个品牌的关联性评价</td>
<td>1</td>
<td>2</td>
</tr>
</tbody>
</table>

B.

<table>
<thead>
<tr>
<th>评价</th>
<th>关联性很小</th>
<th>关联性很大</th>
</tr>
</thead>
<tbody>
<tr>
<td>对于 1.B 两个品牌的关联性评价</td>
<td>1</td>
<td>2</td>
</tr>
</tbody>
</table>

C.

<table>
<thead>
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<th>关联性很小</th>
<th>关联性很大</th>
</tr>
</thead>
<tbody>
<tr>
<td>对于 1.C 两个品牌的关联性评价</td>
<td>1</td>
<td>2</td>
</tr>
</tbody>
</table>

D.  

<table>
<thead>
<tr>
<th>评价</th>
<th>关联性很小</th>
<th>关联性很大</th>
</tr>
</thead>
<tbody>
<tr>
<td>对于 1.D 两个品牌的关联性评价</td>
<td>1</td>
<td>2</td>
</tr>
</tbody>
</table>
### 评价

<table>
<thead>
<tr>
<th>评价</th>
<th>关联性很小</th>
<th>关联性很大</th>
</tr>
</thead>
<tbody>
<tr>
<td>对于 1.D 两个品牌的关联性评价</td>
<td>1 2 3 4 5 6 7</td>
<td></td>
</tr>
</tbody>
</table>
3. 请就以下说法，选择您最认同的数字答案

<table>
<thead>
<tr>
<th>题项</th>
<th>答案</th>
</tr>
</thead>
<tbody>
<tr>
<td>1、我感到我是一个有价值的人，至少与其他人在同一水平上。</td>
<td>1  2  3  4  5  6  7</td>
</tr>
<tr>
<td>2、我感到我有许多好的品质。</td>
<td>1  2  3  4  5  6  7</td>
</tr>
<tr>
<td>3、归根结底，我倾向于觉得自己是一个失败者。</td>
<td>1  2  3  4  5  6  7</td>
</tr>
<tr>
<td>4、我能像大多数人一样把事情做好。</td>
<td>1  2  3  4  5  6  7</td>
</tr>
<tr>
<td>5、我感到自己值得自豪的地方不多。</td>
<td>1  2  3  4  5  6  7</td>
</tr>
<tr>
<td>6、我对自己持肯定态度。</td>
<td>1  2  3  4  5  6  7</td>
</tr>
<tr>
<td>7、总的来说，我对自己是满意的。</td>
<td>1  2  3  4  5  6  7</td>
</tr>
<tr>
<td>8、我希望我能为自己赢得更多尊重。</td>
<td>1  2  3  4  5  6  7</td>
</tr>
<tr>
<td>9、我确实时常感到自己毫无用处。</td>
<td>1  2  3  4  5  6  7</td>
</tr>
<tr>
<td>10、我时常认为自己一无是处。</td>
<td>1  2  3  4  5  6  7</td>
</tr>
</tbody>
</table>

4. 请问您对题 2 的评分标准是什么？
A. 产品设计风格  B. 与主线品牌之间的关系  C. 品牌知名度  D. 私人感情偏好

5. 请问您的性别？
A. 男  B. 女

6. 请问您的年龄？
A. 20 岁以下  B. 20-30 岁  C. 30-45 岁  D. 45 岁以上

7. 请问您的平均月收入是多少？
A. 2000 元以下  B. 2000-3500 元  C. 3500-5000 元  D. 5000 元以上
The Effect of Benefit Focus and Temporal Framing on Pro-social Behavior Intention

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(Department of Marketing, Jiangsu Normal University, Xuzhou)
*Corresponding Author Email: nye@jsnu.edu.cn

ABSTRACT

Pro-social behavior has gradually become one of research hotspots. Researches of the scholars have focused mainly on why and how to develop pro-social behaviors. However, the research conclusions for people are more motivated for altruistic or selfish motives, as well as to the altruistic and selfish advertising persuasion are still inconsistent. From the perspective of behavioral outcome of pro-social behavior, applying experimental research method, this research conducted two experiments in east China and demonstrated the main effect of benefit focus (benefit-to-self versus benefit-to-others) and its interaction effect with temporal framing on pro-social behavior intention were significant. The results show that when the appeal focuses on the benefits of pro-social behavior outcome, individuals would show more intentions to the benefit-to-others appeal rather than benefit-to-self appeal. Furthermore, when the benefit focus is framed temporally, both the appeal emphasizing benefit-to-others immediately and the appeal highlighting benefit-to-self in the future would be more effective to stimulate higher intentions for pro-social behavior. The theoretical contributions and practical implications are then discussed.

Keywords: Pro-social Behavior, Benefit appeal, Benefit-to-self, Benefit-to-others, Temporal Framing
利益诉求及时间框架对亲社会行为的影响研究

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摘要

亲社会行为已逐渐成为研究热点之一，学者们的相关研究主要集中在人们为什么会产生亲社会行为以及如何培养亲社会行为等方面。然而，对于人们是更多地出于利他动机还是利己动机、以及对利他和利己广告的说服力等研究结论尚不一致。基于此，本文从强调行为结果这一研究视角出发，运用实验研究方法，通过两个实验，验证了亲社会行为结果的不同利益诉求及与时间框架的交互作用影响亲社会行为决策的影响。研究结果表明，强调对他有利的诉求比强调对自己有利更能激发人们的亲社会行为意向；进一步引入时间框架来表征亲社会行为结果后，强调立即对他有利以及强调将来对自己有利的诉求，会显著增强人们的亲社会行为意向。最后，文章探讨了这一研究在理论上和实践中的贡献及意义。

关键词：亲社会行为；利益诉求；对己有利；对他人有利；时间框架

1 引言

亲社会行为是指一切对他人有益或对社会有积极影响的行为，包括助人、分享、合作、捐赠、关心、互助等[1]。学者们关于亲社会行为的探讨主要集中在人们为什么会产生亲社会行为以及如何培养亲社会行为等，对于人们更多地出于利他动机还是更多地出于利己的动机而各执所词[2,3]，并且营销学对利他和利己广告说服力的研究得到了不一致的结论[4,5]。基于此，本文从强调行为结果这一研究视角出发，运用消费者行为研究方法，以向医疗机构捐赠为例，研究亲社会行为结果的利益诉求（对己有利 VS. 对他人有利）对人们亲社会行为意向的影响。此外，由于时间框架对人们的亲社会行为决策有显著影响[6]，本文进一步地研究亲社会行为结果的利益诉求（对己有利 VS. 对他人有利）与行为结果时间框架（立即 VS. 长远）的交互效应对人们亲社会行为意向的影响。预期：强调对他人有利的行为结果比强调对自己有利的结果更能有效地激发人们的亲社会行为；而且，当对己有利（VS. 对他人有利）的结果被表征为立即框架（VS. 长远框架）时，人们的亲社会行为意向显著增强。

*本研究受到江苏师范大学“优博”科研启动基金（13XWR013）资助。
2 文献回顾及假设提出

2.1 对己有利 VS. 对他人有利

关于个体亲社会行为利己还是利他的研究争论由来已久。一些研究认为，以个人利益为诉求对激发积极的社会行为更有效。“利己主义”理论指出，社会个体的一切行为应是个人利益导向的，且常常试图使自己的利益和价值最大化。正是因为社会个体对个人利益更感兴趣，因此，如果广告中强调的是对己有利，那么个体将有较高的亲社会意愿。与此相一致，根据社会交换理论，人们的亲社会行为，实质上是在权衡自己从中得到的利益及付出的成本后，使个人尽可能地得到最大利益的同时又尽可能少地付出成本的社会交换过程。当亲社会行为的结果使个人获利超过所付成本时，强调对己有利的广告对于增加人们的亲社会行为意向尤其有效。即使人们想要帮助他人，人们也会犹豫去不去采取行动，除非他们能证明这一助人行为服从于他们自己的利益；而且，由于强调自己的利益为人们的利他行为提供了一层“心理外衣”，因此，对己有利的广告比对他人有利的广告更具吸引力。就捐赠行为而言，虽然捐赠广告常常强调“利他”，但是强调个体自身利益的广告可能对提高潜在捐赠者的捐赠意向更有效。

相反，另一些研究则认为，强调对他人有利比对己有利更能有效地获得捐赠者的支持。传统的助人-捐赠等亲社会行为理论大多是基于“利他主义”理论。秉持利他主义的个人相信，任何利益都应该在整个人类社会上被均匀地分配，而且社会福利应全面提升，因而更愿意将自己的利益指向他人。根据社会规范理论，社会责任规范促使人们被期待去帮助需要帮助的人，也就是说，社会需要它的成员们考虑个人的自利及享乐的动机，更需要成员们去为他人提供帮助和援助，而不必要考虑给自己带来的利益。就捐赠行为而言，以他人利益为中心的广告比以自己利益为中心的广告更能驱动公众的积极捐赠反应。

现有文献研究过多地强调了亲社会行为的动机，而忽略了一个重要的视角，即强调行为结果对人们亲社会行为意愿的影响。强调“对己有利”的结果，是关注人们自己能够从亲社会行为结果中获得一定的利益或好处；例如，捐赠者向某肿瘤研究协会捐款后，可以从该协会获得最新的相关研究成果作为回报，以保护自己的健康。相对地，强调“对他人有利”的结果，是关注他人可以从亲社会行为结果中获得一定的利益或好处；例如，捐赠者向肿瘤研究协会捐款后，希望该协会研究出更多的成果以治愈更多的肿瘤患者。从这一角度看，亲社会行为结果强调“对他人有利”比强调“对己有利”应更有说服力。因此，在我国，如果亲社会行为结果强调的是对他人有利，那么个体将有较高的亲社会行为意愿。由此提出假设：

H1：强调亲社会行为结果“对他人有利”比强调“对自己有利”时，会增加人们的亲社会行为意愿；反之则减少。

2.2 时间框架

时间解释水平理论指出，时间距离的感知系统地改变着未来事件被解释的方式，进而影响与那些未来事件相关的评价和选择。当事件被表征为不同时间框架时，人们会形成不同的时间距离乃至心理距离感知，进而对同样的事件产生不同判断，最终表现出不同的决策结果和行为反应。Chandran和Menon（2004）验证了这一效应，研究显示，近的时间框架（每天）比远的时间框架（每年）使健康风险显得更近且更具体，从而增加自我风险感知、

基于此，引入时间框架来表征亲社会行为结果，由此进一步探析亲社会行为结果的利益视角影响个体亲社会行为决策的时间心理机制，从而增强基于结果的亲社会行为驱动策略的有效性，提高亲社会行为意愿。由此推测，当亲社会行为结果对己有利或对他人有利被表征为不同的时间框架（立即VS. 长远）时，对人们的亲社会行为有一定的交互作用，即：

H2：强调亲社会行为结果“对他人有利”，在近的时间框架下更能有效地增强个人的亲社会行为意愿；而强调“对己有利”，在远的时间框架下会有效增强个人的亲社会行为意愿。

3 研究一：不同利益诉求（利己 vs.利他）的影响

3.1 实验设计与被试

本研究为一个单因素双水平（利益诉求：对己有利 VS. 对他人有利）的组间实验设计，旨在研究基于亲社会行为结果的不同利益诉求对人们亲社会行为意向的影响。被试为华东一所高校的40名本科生（男生29人，女生11人，年龄在19 到 23 岁之间），他们是从营销课堂上招募的自愿参与的大二学生，被随机分配为两组，每组20 人。

3.2 实验材料及程序

实验中，我们首先告知被试：“您好，非常感谢您的参与！您即将看到的是一则关于捐赠的情境广告，请您在认真阅读后根据您的第一反应填写问卷！”然后将实验材料及问卷分别发放给两组的参与者。该实验使用的是一个医疗研究捐赠情境，通过情境的文字描述将捐赠结果的利益视角分别集中在“对己有利”和“对他人有利”。“对己有利”组被试看到的材料强调的是对捐赠者个人的利益，其中出现的字眼多为“您”、“自己”，如“您可以及时知晓医疗研究成果信息”、“保证
自己和家人的健康”等；“对他人有利”组被试看到的材料强调的是对被捐赠者的利益，其中出现的字眼多为“患者”、“他人”，如“患者可以及时知晓医疗研究成果信息”、“保证他人的健康”等。

之所以选择医疗研究这一捐赠情境，是因为研究前测中发现向医疗研究机构捐赠是一个对每个人都有意义的捐赠缘由。按照 White 和 Peloz（2009）研究 1 的做法[5]，对利益诉求进行了实验前测，结果表明，对于“对己有利”以及“对他人有利”的操作是成功的（Ms=5.02 和 3.15；t(29)=13.37, p<.01），即被试看到“对己有利”的说明后，显著地认为是对己有利益而不是对他人有利的。

实验中，对因变量“捐赠意向”的测量使用的是 4 个题项、7 点式李克特量表（1 非常不同意，7 非常同意）：我愿意捐赠给医学研究委员会；我打算捐赠给医学研究委员会；我很有可能捐赠给医学研究委员会；我很快就会捐赠给医学研究委员会（α=.90）。同时，我们还让被试假设自己有可自由支配的 1000 元，问及愿意从中捐赠多少钱。然后，被试完成了操作检验问题（对己有利/对他人有利），最后填写了个人信息（如，性别、年龄、家庭年收入等）。最后，告知该研究中的情境是虚构的，仅为学术研究所用，并再次感谢被试的参与。

3.3 结果分析

实验 1 中有一份问卷因没有完整填写而视为无效。首先，对“对己有利”以及“对他人有利”进行操作检验，结果表明，该操作是成功的（Ms=4.99 和 3.24；t(37)=9.45, p<.01）。然后，为了检验假设 1，我们进行了一个 2×1（利益诉求：对己有利 VS.对他人有利）对捐赠意向（捐赠金额）的单因素方差分析。结果表明，捐赠结果的利益视角对捐赠意向有显著影响（F(1, 37)=7.24, p=.011）。从捐赠金额来看，结果也显著（F(1, 37)=5.73, p=.022）。如预测一样，强调捐赠结果“对他人有利”（M=3.37；147.37 元）比“对己有利”（M=3.20；73.75 元）的募捐广告更能有效激发人们的捐赠意向，如表 1 所示。因此，当亲社会行为结果强调对他人有利时，比强调对自己有利更能增加人们的亲社会行为意愿，假设 1 得到支持。

表 1 不同利益诉求（利己 vs.利他）对捐赠意向的影响方差分析

<table>
<thead>
<tr>
<th>捐赠意向</th>
<th>组间</th>
<th>13.302</th>
<th>1</th>
<th>13.302</th>
<th>7.238</th>
<th>.011</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>组内</td>
<td>67.996</td>
<td>37</td>
<td>1.838</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>总数</td>
<td>81.298</td>
<td>38</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>捐赠数额</th>
<th>组间</th>
<th>52807.060</th>
<th>1</th>
<th>52807.060</th>
<th>5.725</th>
<th>.022</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>组内</td>
<td>341312.171</td>
<td>37</td>
<td>9224.653</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>总数</td>
<td>394119.231</td>
<td>38</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

4 研究二：利益诉求与时间框架的交互作用

4.1 实验设计与被试

实验 2 是一个 2（利益诉求：对己有利 VS.对他人有利）×2（时间框架：立即 VS.长远）的双因素双水平组间实验设计，目的是探究亲社会行为结果的不同利益诉求与不同时间框架的交互作用对人们亲社会行为意向的影响。被试为华东一所高校的 120 名本科生（男生 88 人，女生 32 人，平均年龄为 20.39 岁），他
们是从大学英语课堂上招募的自愿参与的大二学生，被随机分配为四组，每组 30 人。

4.2 实验操作及程序

类似于实验 1 中对“利益视角”的操作前测，我们对“时间框架”的操作也进行了前测，结果表明，用“立即”以及“将来”等对时间框架的操作是成功的（Ms=4.57 和 3.03；t(29)=7.51, p<.01），即被试看到“立即”的框架时，显著地认为是强调的即将得到的利益而不是将来。

与实验 1 程序一样，我们在发布指导语后分别把实验材料和问卷发放给四组被试。同样以医疗研究捐赠为例，“对自己有利”和“对他人有利”的操作如研究 1，不再赘述；借鉴以往的时间框架文献中的做法，我们将捐赠结果“对自己有利”、“对他人有利”分别表征为“立即”和“长远”的利益或好处。在立即的时间框架下，广告中强调捐赠后很快会给捐赠者带来的利益，使用的字眼如“立即”、“很快”等；在长远的时间框架下，广告中强调捐赠后将来会给捐赠者或受捐者带来的利益，使用的字眼如“将来”、“以后”等。

各组被试看过相应的虚构募捐广告后，完成了预测变量——“捐赠意向”（α=.89），“捐赠金额”以及个人基本信息的测量及问题。由于个人信息的影响不显著，因而后续不再加以分析。最后，告知被试该研究仅作为学术研究所用，并再次感谢他们的参与。

4.3 结果分析

首先，我们进行了操作检验，结果表明，对“对自己有利”以及“对他人有利”的操作是成功的（Ms=5.11 和 3.47；t(119)=7.51, p<.01），对“立即”及“长远”时间框架的操作检验也是成功的（Ms=5.02 和 3.15；t(119)=13.37, p<.01）。其次，为检验假设 2，我们进行了一个 2（利益诉求：对自己有利 VS.对他人有利）×2（时间框架：立即 VS.长远）对捐赠意向以及捐赠金额的方差分析，结果见表 2。

<table>
<thead>
<tr>
<th></th>
<th>平方和 df</th>
<th>均方</th>
<th>F</th>
<th>显著性</th>
</tr>
</thead>
<tbody>
<tr>
<td>捐赠意向</td>
<td>组间 16.752</td>
<td>3</td>
<td>5.584</td>
<td>2.770</td>
</tr>
<tr>
<td></td>
<td>组内 233.871</td>
<td>116</td>
<td>2.016</td>
<td></td>
</tr>
<tr>
<td></td>
<td>总数 250.623</td>
<td>119</td>
<td></td>
<td></td>
</tr>
<tr>
<td>捐赠数额</td>
<td>组间 87152.176</td>
<td>3</td>
<td>29050.725</td>
<td>2.599</td>
</tr>
<tr>
<td>（有 1000 元可支配）</td>
<td>组内 1296726.990</td>
<td>116</td>
<td>11178.681</td>
<td></td>
</tr>
<tr>
<td></td>
<td>总数 1383879.167</td>
<td>119</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

实验结果表明，捐赠结果的不同利益诉求与时间框架对捐赠意向有十分显著的交互作用（F(3, 116)=2.77, p=.045）：从捐赠金额来看，交互作用同样也显著（F(3, 116)=2.60, p=.05）。正如前面所预测，强调捐赠结果“对他人有利”在“立即”的时间框架下（M=3.93；123.75 元）比在“长远”的时间框架下（M=3.59；99.31 元），更能有效增强人们的捐赠意向；而强调捐赠结果“对自己有利”在“长远”的时间框架下（M=4.36；161.61 元）比在“立即”的时间框架下（M=3.37；92.86 元），更能有效地激发人们的捐赠意向。因此，当亲社会行为结果强调“立即对他人有利”时，比强调“将来对他人有利”更能增强人们的亲社会行为意愿；相反，当亲社会行为结果强调“将来对自己有利”时，比强调“立即对自己有利”更能增强人们
的亲社会行为意愿。所以，假设 2 得到支持。

5 结论与讨论

慈善捐赠是典型的亲社会行为，研究1和研究2的结果显示，对他人有利的诉求比对自己有利的诉求更能吸引人们进行亲社会行为；如果考虑利益的时间框架，那么，长远看来对自己有利的诉求以及强调能对他人立即带来好处的诉求都将能有效地激发人们的亲社会行为。尤其是强调亲社会行为的结果在将来能使自己受益时，个体的亲社会行为意愿更强烈。

从理论上讲，一方面，这一结论与社会交换理论的观点有所相似[7]，也即人们往往是权衡了付出与所得后，采取将来对自己有利的亲社会行为；另一方面，由于受到社会责任的规范[11]，人们愿意不考虑个人利益而采取对他人立即有帮助和援助的亲社会行为。

在实践中，在我国构建和谐社会的过程中，驱动人们的亲社会行为十分重要。传统的策略大多是动机出发，而亲社会行为结果来看，虽然单纯强调对他人有利比强调对自己有利更能驱动人们的行为意向，但是，若引入时间框架对结果进行表征，则强调长远对己有利以及强调立即对他人有利都能有效驱动人们的亲社会行为意向。这一发现不仅为我国广泛激发公众亲社会行为的公共广告提供了新的视角，也为慈善机构制定有效的募捐策略以激发更多的捐赠行为提供了有益的指导。

参考文献
Picture Effect in Product Layout: How does the Layout Order Influence the Consumer’s Product Evaluation, Mechanism and Condition

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ABSTRACT

The order of commodity display is an important clue for consumers’ expectation of the goods they purchase. Then why neat display (compared to messy one) of the commodity usually creates better consumer expectation? Based on the pollution effect in the existing research, this study brings forward the existence and conditions of “the picture effect”, i.e. when the goods are neatly displayed (relative to messily), consumers usually become more positive, thus leading to a more significant expectation from them. This means that the consumer attitudes play as a mediator in “the picture effect”. However, the picture effect does not always work, for the importance of the product appearance plays a regulatory role. If consumers think the product appearance is not important, the picture effect does not occur, which means either messy or neat display of the commodity does not create any different picture effect or expectation from consumers, and only when the product appearance is important, does the picture effect occur. So on the basis of the pollution of the order of commodity display and pollutions of consumers, this study proves that the "picture effect" exists, making a theoretical contribution to the study of the display of the commodity. And in application, the study gives more support to “the necessity of tally” in the site management of retailing, and further answers the question as to what kind of goods need more effort and time to be kept in good order in their displays.

Keywords: Product display, product evaluation; cue utilization theory; advertisement attitude; retailing management
陈列的画面效应：陈列秩序影响商品评价的机制与条件

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摘要
商品陈列的秩序是消费者进行商品评价的重要线索，为什么整齐的陈列（相较于凌乱的陈列）会更有利于消费者对商品给出更高的质量预估？除了现有成果中已经发现的污染效应，本研究提出了“画面效应”的存在机制及条件。当商品陈列整齐（相对于凌乱）时，消费者对陈列画面的态度更加积极、正面，从而导致消费者对产品质量的预估评价也显著更高，这就是本研究定义的“画面效应”。其中，消费者对陈列画面的态度在画面效应中起到完全中介作用。但是，画面效应并不总是会发生，产品外观重要性起到调节作用。当消费者认为产品的外观不重要时，画面效应不发生，即凌乱与整齐的陈列不会引起消费者对陈列画面的差异性，也未引起消费者对产品质量预估评价的差异；而当产品的外观重要时，画面效应才会发生。本文中，我们设计的两个实验来验证以上所提出的假设。这个研究在陈列秩序的产品污染效应和消费者污染效应之外，证明了“画面效应”的存在，对有关商品陈列的研究有理论贡献。在应用方面，这个研究给予零售现场管理关于“理货的必要性”更多的支持，并进一步回答了针对什么样的商品更应该花时间整理，保持商品陈列的整齐有序。

关键词：陈列秩序；商品评价；线索利用理论；广告态度；零售管理

1. 引言
2015 年，华伦天奴在罗马开展了一个特殊的“分站式展览”。设计师挑出了 10 个罗马的秘密景点，在狄安娜浴场、在图书馆、在兵械室、在古洞穴里……摆上自家的高级定制长裙，向顾客展示华伦天奴的辉煌。华伦天奴以其独特的商品展示方式大大提高了消费者对于展示品的价值感知，赢得了顾客的一致好评。

商品展示是零售商与顾客进行交流的重要工具，高达 90%的陈列信息经由视觉传递给消费者进行处理（Edwards & Shackley, 1992）。研究发现，消费者非常愿意从商品陈列中获得相关信息，并作出相关评估与决策。因此，零售商有必要研究和不断改进陈列，使其展示的信息尽可能地符合消费者的信息认知规律，被消费者“消化”（Davies & Ward, 2002）。

“商品展示”（merchandise display）的一个重要内容集中在“商品陈列（layout）”这一话题上，它是指商品在商店里通过各种形式的货架展示给消费者。作为一种隐形线索，商品陈列会影响消费者对产品质量的预估评价。在有关商品陈列的研
究中，最常见的就是商品陈列秩序（order），即整齐还是凌乱。凌乱是一种常见的卖场现象，表现为货架上的商品没有整齐地码放，表现出无序、散乱或者是在不应该在的位置上，其原因是消费者的简单和/或店员的疏忽（Castro, Morales & Nowlis, 2013）。

我们认为，商品陈列（整理 vs. 凌乱）会通过“画面效应”来影响消费者对产品的评价，即商品陈列凌乱（相对于陈列整齐）会导致消费者对陈列画面的负面评价（认知和态度），从而对陈列的产品产生较低的质量预估评价。我们的研究在控制了污染效应和热销推断后，证实了“画面效应”的存在，即消费者对陈列画面的态度起到完全中介作用。更进一步，我们指出“画面效应”发生的条件是目标商品的外观重要性认知较高。也就是说，只有当消费者认为产品的外观很重要时，商品陈列的画面才会成为预判商品质量的线索（quality predictor），陈列的“画面效应”才会发生；相反，当目标商品的外观不重要时，陈列的画面效应不会产生。

我们相信，这个研究对很多商品的陈列管理有指导意义。有些商品，如节日装饰用品、家居装饰用品、服装装饰等，其外观是消费者判断产品质量的重要依据，这些商品的理货就变得特别有必要。还有商品，其外观重要性因其使用目的而发生变化。也就是说，即使是一些实用功能为主的商品，本来外观并不重要，但是在某些情况下，人们会将其外观作为重要的价值维度来考虑，如一次性餐布在节日用于招待客人时，商品外观的重要性就要比平时自己家用时更大；又如一些商品的外包装原来是会丢弃的一次性包装，而消费者打算用来作为收纳用具时，这些商品的外观也会变得重要起来。基于我们的研究，对于这些外观重要的商品，零售商在陈列时要特别关注其陈列的样面整齐程度，鼓励和督促营业员多花时间理货，让商品陈列整体显得整齐有序，就会有效提升消费者对这些商品质量的评价，从而会有助于增加这些商品的销量。

2. 理论综述与假设提出

2.1 商品陈列与线索利用理论

根据线索利用理论(Olson 1972; Olson and Jacoby 1973)，商品中包含有一系列的线可以在消费者决定购买时作为质量的“标志”（surrogate）。商品线索，可以分为外部和内部两类(Olson 1972; Olson and Jacoby 1973)。其中内部线索（intrinsic cues）是指产品的成份、材质等不会在销售环节改变的产品属性（attributes）, 外部线索(extrinsic cues)是指价格、品牌名称、包装等可以在销售环节调整的属性。商品陈列的样式和状态，就是一种外部线索。

对该商品的评价和购买意愿。在他们的研究中，引发消费者的触摸推断的线索之一就是凌乱——它会使消费者对产品质量作出更低（相对于整齐的陈列）的判断。但是，污染效应通常适用于食品类商品或无包装的商品。CASTRO, MORALES & NOWLIS (2013) 在研究的讨论部分提出，对于非食品类的商品和/或有包装的商品，消费者污染效应可能并不显著，但是他们并没有就这一话题深究。

但是，我们认为，对于非食品或有包装的产品，凌乱陈列对商品评价的消极作用仍然存在。我们的研究以线索利用理论为基础，认为整齐有序的陈列（相对于凌乱无序的陈列）所提供的关于商品的整齐有序的视觉线索会对商品质量的预估评价产生积极的影响。据此，我们提出如下假设 1。

假设 1：陈列秩序的不同（整齐 vs 凌乱）会影响人们的商品评价，整齐陈列的商品评价高于凌乱陈列的商品评价。

2.2 消费者对商品陈列画面的态度与陈列商品的质量预估评价

对于非食品，如果不是因为消污染效应，并且控制住缺货，凌乱的产品陈列秩序仍然可以引起商品评价的下降，那么这种影响是通过什么机制产生的呢？下面我们将类比广告研究中的双重中介模型（MOORE & LUTZ 2000）来论证陈列画面效应的作用机制。

在零售现场管理领域，一些关于商店橱窗的研究应用广告态度理论来论证陈列画面效应产生的机制。SEN, SANKAR, LAUREN & SUCHARITA (2002) 指出，根据线索利用理论，橱窗陈列就像是一幅广告画面，帮助建立并维持零售商在人们心中的形象，影响了人们对零售商的认知和行为。人们对商品橱窗陈列的喜好，会影响其对所陈列商品的喜好，还会影响其对商店形象的喜好，从而决定自己者是否进入商店。

关于橱窗和陈列的研究告诉我们，在商品的陈列秩序与商品评价的关系路径上，可能存在着“画面效应”。也就是说，好的陈列可以使陈列画面更有吸引力，可以生动传递关于商品和服务的使用信息，从而影响消费者购买商品或服务的决定。我们称之为“商品陈列的画面效应”。这种画面效应本质上就象人们看到一幅广告后，广告对消费者行为所产生的影响。这就涉及到一个问题：广告效果是如何产生的？也就是说，广告刺激以何种路径影响消费者对广告中商品的评价呢？

关于广告刺激如何起作用的研究中, 双重中介模型一直是公认的广告效果模型(MOORE & LUTZ 2000)。双重中介模型认为广告刺激会通过受众对广告的认知和态度的双重中介, 影响受众对广告中的商品（品牌）的评价。大量关于广告如何起作用的研究都基于这一理论, 认为受众的广告态度是其在观看广告后对于广告的整体意见(GARDNER, MITCHEN & RUSSO, 1985), 是一种持续性的喜欢或不喜欢的态度, 会影响受众的行为倾向(LUTZ, MACKENZIE & BELCH, 1983; MACKENZIE, LUTZ & BELCH, 1986; LAFFERTY & GOLDSMITH, 1999)。简而言之，受众对广告的认知和态度是广告刺激和受众对广告中品牌（商品）的态度的中介变量。

借鉴广告态度中介理论，我们提出：陈列画面态度是商品陈列秩序对商品评价产品影响的中介变量（如图 1 所示）。

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图 1：商品陈列的画面效应（陈列画面态度中介作用）

图 1 的意思是说，当消费者看到整齐（ vs 凌乱）的陈列时，将产生积极正面的陈列画面评价，从而会产生积极正面的商品质量评价，即假设 2：

假设 2: 在商品陈列凌乱（ vs 整齐）造成商品评价下降的效应中，消费者对产品陈列画面的态度是中介变量。

在零售现场管理领域，一些关于商店橱窗的研究应用广告态度理论来论证陈列画面效应产生的机制。Sen, Sankar, Lauren & Sucharita （2002）指出，根据线索利用理论，商品陈列就好象是一幅画，陈列的商品是画面中的主要内容，好的陈列可以使陈列画面更有吸引力，可以生动传迭关于商品信息，进而影响消费者对陈列画面中的主要内容——商品的评价。我们称之为“商品陈列的画面效应”。

2.3 产品外观的重要性对陈列画面效应的调节作用

本研究是要验证凌乱的商品陈列（相对于整齐的商品陈列）会使人对陈列画面的态度更消极，进而导致人们对所陈列商品的质量评价下降，我们将这种效应定义为“商品陈列的画面效应”。但是，这个效应对任何商品都是存在的吗？

本文中，我们研究的商品陈列的画面效应的主要理论依据是线索利用理论，而线索是否会被引发，线索的预测性是重要的条件。商品线索的预测性则是指消费者认为该线索与商品质量相关的程度，也就是说消费者认为该线索将为他带来正确选择的可靠性程度(Dick, Chakravarti, and Biehal 1990)。那么，也就是说，当陈列画面评价是一个重要的预测商品质量的评价线索时，陈列的画面效应才会发生。商品陈列画面的感觉好坏，什么时候对消费者评价商品质量而言是有预测性的呢？

Law, Wong & Yip （2012）发现，如果一件商品集功能（functional）和审美 (aesthetical)需求于一体，相比单纯的功能性商品而言，商品的外观是否吸引人在此类商品的质量评价中的重要性就会上升。由于陈列的画面中包含有商品的外观展示，而当产品的外观在商品评价中的预测性提高的话，陈列的画面作为线索的重要性就越大。简言之，相对于纯粹的功能性产品，人们对于有审美要求的产品的购买决策中会考虑更多的外观评价。

所以，我们认为，当我们改变一个原本有审美需求的商品的使用情境，使其审美需求消失（或降低），而功能需要上升（或主导）时，商品陈列的画面效应就会消失（或变弱），此时，消费者的陈列画面评价和产品的评价均不会改变，因此有假设 3。

假设 3: 产品外观重要性是商品陈列画面效应的调节变量，当商品外观重要时，陈列整齐（ vs 凌乱）对陈列画面评价有显著提升作用，进而有更高的商品评价（假设 3.1 和 3.3）；而当商品外观不重要时，陈列秩序（整齐 vs 凌乱）
对不同产品类型与不同视觉环境的视觉评价是否有显著差异

H3.1 当产品外观重要时，整个组的陈列画面评价显著高于凌乱组。
H3.2 当产品外观不重要时，整个组的陈列画面评价和凌乱组无显著差异。
H3.3 当产品外观重要时，整个组的商品评价显著高于凌乱组。
H3.4 当产品外观不重要时，整个组的商品评价和凌乱组无显著差异。

3. 研究设计与分析结果

本文中，我们设计了两个实验来验证以上所提出的假设。实验一我们以中国结作为实验材料，实验二以扑克牌作为实验材料。两个实验均为2（产品外观重要性：重要 vs 不重要）x2（产品陈列秩序：整齐 vs 凌乱）的组间实验设计。我们比较了消费者对于外观重要性不同的商品，在不同陈列秩序下（整齐 vs 凌乱），对陈列商品的评价，对陈列画面的态度，陈列秩序感知，正面和负面情绪，恶心感，产品外观重要性感知，产品畅销程度感知及实验涉入度等变量，希望能够验证我们的假设。

3.1 实验一：购买中国结

实验一中，我们选择中国结作为实验材料。中国结的通常使用场景都是装饰用，我们假设，此时中国结的外观重要性会比较高。我们用拆解教授编结中国结的场景操纵，使得中国结的外观重要性程度下降。实验中，我们测量了被试的陈列画面态度和产品质量评价，证明了商品的陈列秩序对商品评价的影响，及陈列画面态度的中介作用（画面效果），同时验证产品的外观重要性是否能调节画面效应，验证了所有假设。实验全程在实验室上机通过 Quatrics 网站上设计的问卷完成。

3.1.1 预实验

预实验的被试来自上海市某高校的 76 名在校大学生，被试被随机分成两组。在看到中国结图片后，一组被试回答“当你购买中国结是为了装饰房间时，你认为中国结的外观美感重要吗？”另一组回答“当你购买中国结是在手工课上拆解以教授中国结编结法时，你认为中国结的外观美感重要吗？”该测项使用李克特 9 分量表，1表示非常不重要，9表示非常重要。

数据分析显示，装饰派对房间时中国结外观的重要性（M=7.84）要显著高于用于拆解教授编结用的中国结（M=6.40）（F(1,76) = 11.30, p<0.01），我们对外观重要性的操纵是成功的。因此在实验一的分组设计中，装饰派对用的中国结场景组代表高外观重要性组，而拆解教授中国结编结场景组代表低外观重要性组。

3.1.2 主实验: 实验过程

主实验的被试是来自上海市某高校的 141 名在校大学生（男性占 18.44%；女性 81.56%），被试被告知来参加实验将会获得礼品。所有被试被随机分到 4 个实验组——装饰中国结整齐组、装饰中国结凌乱组、拆解中国结整齐组和拆解中国结凌乱组参与实验。每组参与者均在实验助理的引导下有秩序地进入实验室，
每人坐在一台独立的计算机前，由主试讲解实验注意事项并宣布实验开始。

实验开始后，参与者先在电脑屏幕上读到实验情境页，分别被告知是采购装饰班级派对用的中国结（高外观重要性组）或者是购买用于拆解后教授编结用的中国结（低外观重要性组）。参与者阅读完毕后自行点击进入下一页，看到一张中国结的陈列图片。图片上的中国结陈列在一个长方形的整理箱框内。同时，为了控制消费者污染效应，每个中国结都会被装在一个透明塑料袋中（如图 2）。

![图 2: 实验一的中国结陈列整齐 vs 凌乱](image)

被试自行决定浏览图片的时间，然后开始回答问题。问卷与陈列图片在同一页面上，被试可以通过上下滚动屏幕来完成问卷。全部被试回答完毕后，在实验助理的引导下离开实验室，前往另外的房间领取参加实验的小礼品。

3.1.3 变量测量


因变量：商品评价（Argo，2006），包括“质量非常低/质量非常高”，“非常差/非常好”，“非常不中意/非常中意”，“非常不喜爱/非常喜爱”，“令人不喜欢/令人喜欢”五个测项。采用里克特九分量表测量，五个题目的平均值构成商品评价指数（α=0.944）。

操纵检验（整齐 vs 凌乱）：在回答完产品陈列画面态度和商品评价后，被试再次看到在实验开始时看到的中国结的照片，然后回答“您觉得整体上，您看到的中国结陈列是怎样的呢？”。采用里克特九分量表测量，1 表示很凌乱，9 表示很整齐。

控制变量：情绪（Zhu & Argo，2013）：分为积极情绪（α=0.878）和消极情绪（α=0.887）；实验投入程度（α=0.886（Zhu 和 Argo，2013）和看到中国结
照片时的恶心感（α=0.885（Argo, 2006）。所有测项均采用九点里克特量表测量。

最后，问卷收集了性别、年龄、每月支配收、实验目的猜测等个人信息。

3.1.4 数据分析

产品外观重要性的操纵检验：参与者对实验呈现的图片的陈列顺序感知进行评分，1-9 打分，分值越高代表中国结的陈列越整齐。单因素方差分析的结果显示，对于高外观重要性的商品（装饰派对用的中国结），凌乱组对秩序的感知（M 凌乱 =2.86）显著（F(1,68)=42.094, p < 0.001）低于整齐组（M 整齐 =5.66）；同样地，对于低外观重要性的商品（拆解教授编结用的中国结），凌乱组对秩序的感知（M 凌乱 =3.85）也显著（F(1,73)=22.059 , p < 0.001）低于整齐组（M 整齐 =5.76）。两种不同情境下，凌乱组对陈列秩序的感知均显著低于整齐组，操纵成功。

“陈列画面态度”的组间差异检验（如图 3）：以陈列顺序作为分组（整齐 vs 凌乱），陈列画面态度的单因素方差分析结果显示：当商品外观重要时（即对于装饰派对用的中国结），整齐组的陈列画面态度高（M 整齐 =4.74），凌乱组的陈列画面评价低（M 凌乱 =3.34），组间差异显著（F (1,68) =16.789 p<0.001），假设 3.1 得证；当商品外观不重要时（即对于拆解教授编结用的中国结），整齐组的陈列画面态度为（M 整齐 =4.93），凌乱组的陈列画面评价为（M 凌乱 =4.50），组间无显著差异（F (1,73) =2.119, p=0.150），假设 3.2 得到验证。

![陈列画面态度组间比较](image)

图 3：中国结陈列画面态度组间比较

商品评价的组间差异检验（如图 4）：同样以陈列顺序作为分组（整齐 vs 凌乱），产品质量评价的单因素方差分析结果显示：当商品外观重要时（即对于装饰派对用的中国结），整齐组的商品评价高（M 整齐 =4.86），凌乱组的商品评价低（M 凌乱 =3.47），组间差异显著（F(1,68)=13.969, p < 0.001），假设 3.3 得证；当商品外观不重要时（即对于拆解教授编结用的中国结），整齐组的商品评价为
（M 整齐=4.78），凌乱组的商品评价为（M 凌乱=4.38），组间无显著差异（F(1,73) = 1.334(p=0.252)），假设 3.4 得证。

![产品评价组间比较图表](image)

**图 4：** 中国结商品评价组间比较

“陈列画面态度”的中介效应检验：参照 Hayes (2013) 提出的被调节的中介分析模型（Model 4），使用 Bootstrapping 法对假设 2 提出的中介模型进行分析，Bootstrapping 次数选择 5000，取 95%置信区间。其中自变量为陈列秩序；画面态度为中介变量；商品评价为因变量。首先，画面评价的中介作用在高产品外观重要性组（装饰中国结组）是显著的，Bootstrapping 检验的置信区间不包含 0 （LLCI=-1.8502,ULCI=.5686），效应大小为-1.1252；此外，控制了中介变量画面态度后，自变量陈列秩序对因变量商品评价的影响不显著，Bootstrapping 检验的置信区间（LLCI=-.8411,ULCI=.2999）包含 0。因此，画面态度在陈列秩序（整齐 vs 凌乱）对商品评价产生影响中发挥了中介作用，且是唯一的中介变量，假设 2 得证。但是，画面评价的中介作用在低产品外观重要性组（教授中国结组）的不显著的，Bootstrapping 检验的置信区间包含 0。

在实验过程中我们对参与者的情绪、涉入度、恶恶情绪进行了测量，我们将积极情绪、消极情绪、涉入度、恶恶情绪、性别等控制变量分别加入模型进行多元方差分析，结果显示，主效应依旧显著（F（1,68）=6.397，p=0.014）。

### 3.1.5 小结与讨论

实验一的分析结果支持了我们的假设，在商品的外观重要性高时（即购买中国结是为了装饰派对时），商品陈列秩序（整齐 vs 凌乱）会对商品评价产生影响：整齐陈列情境下，消费者对商品的评价显著高于凌乱陈列的情境。同时，陈列的“画面效应”得到验证，消费者对产品陈列画面的态度在“画面效应”中有完全中介作用。但是，在商品外观的重要性低时（即购买中国结的目的是用来拆解教授编结方法时），消费者对商品的评价在整齐和凌乱组间没有差异。因此，我们验证了“画面效应”的边界，即在商品外观重要时，陈列整齐（vs 凌乱）对商品评价更有利；而当商品外观不重要时，陈列秩序（整齐 vs 凌乱）对商品评价无显著作用。

另外，在实验一中，我们选取了中国结作为我们的实验材料。通常情况下，中国结是一种装饰型的商品，其产品外观重要性比较高。在实验一中，我们通过操纵，使得中国结作为一种外观重要性比较的的商品来检验“画面效应”的边界。那么，如果我们使用一种在日常生活中外观重要性比较低的产品作为我们的实验材料，通过操纵使其产品外观重要性变高，“画面效应”是否仍然存在呢？因此，在实验二中，我们更换了实验材料来进一步验证实验一结论的稳健性。

3.2 实验二：购买扑克牌

在实验二中，我们更换了实验材料，选择了日常使用中产品外观重要性比较低的的功能性产品——扑克牌。通过场景设计，我们对扑克牌的外观重要性进行操纵（重要 vs 不重要），其中周末寝室打牌的场景属于扑克牌外观重要性低的组，做成帽子参加派对属于扑克牌外观重要性高的组。我们希望通过启动扑克牌的外观重要性来重实验一的结论，同时通过测量畅销感知，来排除畅销推断效应。

实验二同样是一个 2（产品外观重要性：重要 vs 不重要）* 2（产品陈列秩序：整齐 vs 凌乱）的组间实验设计，其中派对做帽子用的扑克牌组为高产品外观重要性组，周末寝室打牌的扑克牌组为低产品外观重要性组。实验在实验室的电脑上进行，被试通过填写在 Quatrics 网站上设计的问卷完成。

3.2.1 预实验

预实验的被试来自上海某高校的 139 名在校本科生，被试被随机分成两组，其中派对上做帽子的扑克牌组有 73 份问卷，周末寝室打牌的扑克牌组有 66 份问卷，男性占比 35.3%，女性占比 64.7%。

两种情境的扑克牌外观重要性仍然是是组间比较设计，随机选取两个情境中的一个呈现给被试。其中，派对做帽子的扑克牌组呈现的情境描述为：“你将参加一个 Party，Party 要求利用扑克牌手工做一顶帽子。所以，现在你需要去超市购买扑克牌”；周末寝室打牌的扑克牌组呈现的情境为：“开学的第一个周末，寝室同学们临时起意打牌。所以，现在你需要去超市购买扑克牌”。实验指导语要求被试根据所给的情境进行想象，然后回答以下四个问题：“在这样的情况下，你认为扑克牌的外观美感重要吗？-1 代表‘非常不重要’，9 代表‘非常重要’，"在
这样的情况下，扑克牌是装饰型商品，您认同吗？-1 代表‘非常不同意’，9 代表‘非常同意’”、“在这样的情况下，扑克牌是实用型商品，您认同吗？-1 代表‘非常不同意’，9 代表‘非常同意’”和“在这样的情况下，你认为扑克牌是什么类型的商品？-1 代表‘实用型’，9 代表‘装饰型’”。

数据分析显示，被试认为，做帽子组的扑克牌外观美感重要性显著高于打牌组（M 帽子=6.65 vs M 打牌=3.64, p<0.001），认同扑克牌是装饰型商品的程度显著高于打牌组（M 帽子=6.14 vs M 打牌=2.92, p<0.001），认同扑克牌是实用型商品的程度显著低于打牌组（M 帽子=4.67 vs M 打牌=7.53, p<0.001），并且做帽子组与打牌组对扑克牌的商品类型认识有显著差异（M 帽子=5.93 vs M 打牌=2.63, p<0.001），其中做帽子组更加认为扑克牌是装饰型商品，打牌组更加认为扑克牌是实用型商品。

因此在实验二的主实验中，我们使用派对做帽子的扑克牌情境组代表外观是重要的，而周末寝室外的扑克牌情境组代表外观不重要。

3.2.2 主实验：实验过程

实验二的主实验被试是来自上海市某高校的 155 名在读本科大学生，他们可以参加实验获得课程成绩中的学术参与分。155 名被试中，男性占 32.90%；女性 67.10%。所有被试被随机分到 4 个实验组——做帽子用扑克牌整齐组、做帽子用扑克牌凌乱组、打牌用扑克牌整齐组和打牌用扑克牌凌乱组参与实验。每组参与者均在实验助理的引导下有序地进入实验室并每人坐在一台计算机前，由主试讲解实验注意事项并宣布实验开始。

实验开始，被试先在电脑屏幕上读到实验情境页，被告知是前往附近的一家中等规模的超市购买扑克牌，购买的目的是“开学的第一个周末，寝室同学们临时起意打牌”（外观重要组）或者是“你将参加一个 Party，Party 要求利用扑克牌手工做一顶帽子”（外观不重要组）。参与者阅读完毕后自行点击进入下一页，看到一张扑克牌陈列图片。图片上扑克牌中陈列在一个长方形的架子中，扑克牌没有品牌名称。同时，为了控制消费者污染效应，扑克牌的透明外包装均未拆除（如图 5）。

![整齐陈列的扑克牌](image1.png)![凌乱陈列的扑克牌](image2.png)

图 5: 实验二的扑克牌陈列整齐 vs 凌乱

被试自行决定浏览时间，然后按“继续”按键进入下一页开始回答问题，回答过程中他们不可以在问题和陈列图片之间切换。在最后进行陈列秩序的控制检验
前，问卷会再次出示一下之前看过的陈列画面。问题回答完毕后被试在实验助理的
引导下安静地离开实验室，并前往另外的房间领取小礼品。

3.2.3 变量测量

实验二包含了实验一中所测量的所有变量，为了排除畅销推断效应，我们加
测了畅销感知这个变量，量表引自 Parker（2011），共 1 个题目：“你认为这样
的扑克牌陈列是：”，本测项采用九点里克特量表测量，1 代表‘十分不畅销’， 9
代表‘十分畅销’。

3.2.4 数据分析

产品外观重要性的操纵检验：被试对情境中所购买的扑克牌的外观重要性进
行评分，1 表示非常不重要，9 表示非常重要，单因素方差分析的结果显示，派
对做帽子用的扑克牌组和周末寝室打牌用的扑克牌组有显著差异（M 做帽 =7.16
vs M 周末 =6.60，F(1, 154)=3.980，p=0.050），即派对做帽子组认为扑克牌的外观
重要性比周末寝室打牌组高。

陈列秩序的操纵检验：参与者对实验中商品陈列的秩序感知进行评分，1-9
打分，得分越高越整齐。单因素方差分析的结果显示，对于外观重要性高的商品
组（派对做帽子的扑克牌组），凌乱组对产品陈列秩序的感知低（M 凌乱 =2.87），
整齐组对产品陈列秩序的感知高（M 整齐 =8.06），组间差异显著 （F(1,73)=334.137,
p < 0.001）；对于外观重要性低的商品组（寝室打牌的扑克牌组），凌乱组对产
品陈列秩序的感知低（M 凌乱 =3.11），整齐组对产品陈列秩序的感知高（M 整齐 =7.34），
组间差异显著 （F(1,82)=102.518，p < 0.001）。所以，在两种外观重要性的请
将下，凌乱组对产品陈列秩序的感知都要显著低于整齐组，操纵成功。

“陈列画面态度”的组间差异检验（如图 6）：以陈列秩序作为分组（整齐 vs
凌乱），陈列画面评价的单因素方差分析显示，高外观重要性（即派对做帽子用
的扑克牌组）整齐组 (M 画面 =5.27) 的陈列画面评价显著高于凌乱组 (M 画面 =4.49，
F (1,73)=5.294，p=0.024)，假设 3.1 得证；低外观重要性（寝室打牌用的扑
克牌组）整齐组的陈列画面态度为 (M 画面 =4.81)，凌乱组的陈列画面态度为 (M
画面 =4.50)，整齐组与凌乱组无显著组间差异（F (1,82)=0.796, p=0.375），假
设 3.2 得到验证。

图 6：扑克牌陈列画面态度组间比较
商品评价的组间差异检验（如图 7）：以陈列顺序作为分组（整齐 vs 凌乱），商品评价的单因素方差分析显示：对于派对做帽子的实验情景，整齐组的商品评价高（\( M_{\text{整齐}} = 5.54 \)），凌乱组的商品评价低（\( M_{\text{凌乱}} = 4.41 \)），组间差异显著（\( F(1,73) = 8.634, p = 0.004 \），假设 3.3 得证；对于寝室打扑克牌的实验情景，整齐组的商品评价为（\( M_{\text{整齐}} = 5.05 \）），凌乱组的商品评价为（\( M_{\text{凌乱}} = 4.42 \）），组间无显著差异（\( F(1,82) = 3.176, \ p = 0.079 \），假设 3.4 得证。

图 7：扑克牌商品评价组间比较

陈列画面态度的中介效应检验：参照 Hayes(2013) 提出的被调节的中介分析模型（Model 4），使用 Bootstrapping 法对假设 2 提出的中介模型进行分析，Bootstrapping 次数选择 5000，取 95% 置信区间。其中将自变量为陈列顺序；陈列画面态度为中介变量；商品评价为因变量。首先，画面态度的中介作用在派对做帽子扑克牌组中是显著的，Bootstrapping 检验的置信区间不包含0（\( \text{LLCI} = -1.1735, \text{ULCI} = -1.1158 \），效应大小为-0.6386；此外，控制了中介变量陈列画面评价后，自变量陈列顺序对因变量商品评价的影响不显著，Bootstrapping 检验的置信区间（\( \text{LLCI} = -1.0399, \text{ULCI} = -0.0629 \））包含 0。因此，陈列画面态度在陈列顺序（整齐 vs 凌乱）对商品评价产生影响中发挥了中介作用，且是唯一的中介变量，假设 2 得证。

在实验过程中我们对参与者的情绪、涉入度、恶心情绪进行了测量，将积极情绪、消极情绪、涉入度、恶心情绪、性别等控制变量分别加入模型进行多元方差分析，结果显示，主效应依旧显著（\( F(1,73) = 13.778, \ p < 0.001 \）。

进一步，我们比较了整齐与凌乱陈列下，被试对畅销推断的差异。以陈列秩序作为分组（整齐 vs 凌乱），商品评价的单因素方差分析结果显示，派对做帽子整齐组的畅销推断（\( M_{\text{整齐}} = 5.17 \））与凌乱组的畅销推断（\( M_{\text{凌乱}} = 4.84 \））没有显著的组间差异（\( F(1,72) = 0.855, \ p = 0.358 \）；寝室打牌扑克整齐组的畅销推断（\( M_{\text{整齐}} = 5.25 \））与凌乱组的畅销推断（\( M_{\text{凌乱}} = 4.87 \））也没有显著的组间差异（\( F(1,81) = 0.853, \ p = 0.359 \）。由此证明了，如果陈列没有明显的缺货，凌乱和整齐摆放不会产生畅销推断上的差异。

3.2.5 实验二小结
实验二成功重复了实验一的研究结论，支持了我们的所有假设。在商品外观重要性高的时候，商品陈列秩序（整齐 vs 凌乱）会对商品评价产生影响，整齐陈列下消费者对商品的评价将显著高于凌乱陈列，消费者对产品陈列画面的态度有完全中介作用，我们提出的陈列的“画面效应”得到验证。在商品外观重要性低的时候，“画面效应”不发生。实验二还排除了不缺货的凌乱陈列存在畅销推断的可能性。

4. 总结与讨论

关于陈列秩序对商品评价的影响，之前的研究都以线索利用理论为出发点，基于“陈列是产品质量评价的重要线索”这一假设，不同的研究从产品污染（Morales & Fitzsimon, 2007）和消费者污染（Argo, Dahl & Morales, 2006）的角度回答了为什么凌乱的陈列（相对于整齐的陈列）会导致更低的商品质量评价。同样还是建立在线索利用理论，本文的这项研究则验证了陈列的另一种效应——“画面效应”的存在。

4.1 理论贡献

我们的研究首次提出陈列的“画面效应”，丰富了现有关于陈列秩序的研究成果。我们认为，陈列就好象是一幅画，陈列的商品是画面中的主要内容，消费者对整齐的（vs凌乱的）陈列画面会有更积极正面的态度，从而导致消费者对整齐陈列画面里的商品评价更高。我们用两个实验，控制了污染和畅销效应，验证了画面效应的存在，以及陈列画面的态度作为中介变量的作用路径。更进一步，我们还通过操控相同实验材料的外观重要性变化，论证了“画面效应”的边界。也就是说，商品陈列的“画面效应”并不总是发生，只有当产品的外观重要性高的时候（例如产品用来装饰）才会产生。

画面效应的验证，包括陈列画面态度的中介作用，及产品外观重要性的调节效应的证明，对于零售现场陈列研究是一个充分的补充。在目前占主导地位的污染效应之外，我们提供了新的路径解释—画面效应。同时，我们提出了产品外观重要性对这一机制的调节作用，阐述了这一新路径的边界条件，扩展了关于陈列秩序的研究。

4.2 零售管理应用

本文的发现对于零售业经理以及从业人员具有现实意义。我们的研究发现了商品的陈列秩序会影响消费者对陈列画面的态度。也就是说，陈列作为一种质量线索，会给浏览的消费者快速留下第一印象，消费者很有可能因为凌乱的陈列所带来的消极画面态度而降低对商品的评价。尤其是对于那些外观重要性高的商品，凌乱带来的负面效应将会更大。

我们知道，在零售业一线员工（营业员/理货员）的岗位职责描述中，有关零售现场的重要职责是“保持卖场货源充足及整洁”。可见，在商品售卖现场有三个要素很重要：第一“货源充足”，即商品不能缺货（out-of-stock/scarcity），第二商品“清洁”，即不能污损（contamination），第三商品“整洁”，即不能凌乱（disorganized shelf display）。由于缺货和污损会造成销量损失是一个显然的结
论，所以，可能现场管理中会更强调补货的重要性。尤其在忙季，当补货成为零售业一员的主要任务时，凌乱现象会成为经常性现象。

的确，整理商品会占用营业员大量的时间。那么，相对于补货，理货是不是就次要一些呢？我们的研究说明，对于外观重要的商品而言，理货也是非常重要的工作，因为陈列的整齐程度会影响顾客对商品质量的估计。其中的原因在于，货物的陈列秩序会给消费者带来很多信息，它是消费者进行商品质量推断的重要线索。陈列整齐的画面带给消费者积极正面的态度（赏心悦目的感觉），而画面态度对于商品质量评价有直接的影响。

总之，对于在零售店一线工作的营业员而言，当商品陈列凌乱时，应马上进行整理，时刻保持商品陈列的整齐与整洁。当有消费者忍不住触碰商品后，一线工作营业员应尽快将其恢复原位，不要让这样的不整齐影响下一位消费者的判断。对于外观重要的商品，例如服装服饰和用于环境装饰的商品而言，整理货物使其看上去更整齐的重要性更加突出。另外，有一些商品，可能在某些情况下功能性比较重要，但是由于购买情境不同，其外观重要性就会上升，如我们日常使用的一次性水杯，当用于派对、会议等社交场合时，外观就会变得很重要。此时，整理这些商品，让它看起来整齐悦目将会变得非常重要的零售现场工作。

4.3 研究展望

我们的研究首次验证了陈列画面效应的存在。我们注意到，陈列与环境有关，在有关于环境对行为影响的领域，有一些研究值得我们借鉴考虑。例如，在我们实验情境设计中，尤其是实验二，当我们要求被试想象用扑克牌作帽子时，要求被试想象的是有较高创造性的人，被试对创造性的关注可能会在其商品评价中起到作用。根据现有研究成果，物理环境的凌乱（vs 整齐）会使人更加倾向于采取突破常规的行为（Vohs, Redden & Rahinel, 2013）。当实验情境要求更具创造性时，也许凌乱的陈列更有利于人们对创造性商品给出更高的评价。在将来的研究中，我们将会尝试考虑这一因素的影响。

另外，对于机制解释上，研究还可以进一步地深入。例如，在产品的选择上，本文的设计是针对同一产品给出不同的使用情境来操纵外观的重要性。如果还是同一种产品，仅因为产品的描述不同，一种描述更关注使用者的外表，另一种描述更关注使用者的健康（与外表无关），会不会也有同样的效果产生？

最后，在因变量的设计上，可以引入更多与购买意向有关的变量，如购买倾向、出价高低等，并结合田野研究，我们的实验就会更加完美。
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39. Lafferty, B. A. & Goldsmith, R. E. Corporate Credibility’s Role in Consumers’ Attitudes and Purchase Intentions When A High Versus A Low Credibility Endorser is Used in the Head [J]. Journal


The Relationship of Critical Thinking Disposition and Job Performance: The Evidence from Pharmaceutical Sales

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Abstract

It is important for organizations to recruit, promote and train salespeople purposefully according to the personal factors that affect job performance. Considering the lack of past evidences on the effect of intelligence, this study tries to explore the effect of thinking, specifically the effect of critical thinking disposition on job performance, with a sample of 289 salespeople from 84 teams in a pharmaceutical company in China. The study finds that critical thinking disposition is positively related to job performance, especially, two of the sub-dimensions “curiosity to knowledge” and “truth-seeking” are positively related to performance.

Keywords: critical thinking, job performance, sales
批判性思维特质与工作业绩：来自医药销售的实证研究

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摘要
考察影响销售员工工作业绩的个人因素对于企业选拔和针对性地培训销售人员有重要作用，以往研究在智力因素方面证据不足，本文尝试从思维方式入手，探索了批判性思维特质对工作业绩的影响。选取了国内一家大型医药企业的医药销售团队为样本（属于 84 个团队的 289 名销售人员），考察了销售人员的批判性思维特质与客观绩效的关系。结果发现批判性思维特质与业绩正相关，特别地，其好奇求知、寻本溯真两个维度与业绩显著正相关。

关键词：批判性思维，工作业绩，销售

声明：本研究得到清华大学经济管理学院领导力研究中心、医疗管理研究中心的支持。

一、引言
在众多的员工业绩中，销售业绩可能是组织最为关心的结果之一。成功的销售对于公司非常关键。销售工作在组织的边界处，与客户直接接触。一个公司，仅靠运作、产品、效率或其他竞争力，如果没有有效的销售力量，难以成功[1, 2]。此外销售业绩也是最为显性、易考察的工作业绩，有量化的客观指标，销售型员工是最常用以研究工作业绩的样本人群之一。

除了销售力量的重要性，销售也跟其他工作有一些不同：一，其个人业绩是受到频繁监测的，收入通常与业绩挂钩[3]；二，销售人员经历着较高的被拒 (rejection)[4]；三，销售人员一般比其他员工有更高的自主性[5]；四，销售上的业绩差异比其他工作要大得多[6]。因此，选拔和雇佣好的销售人员对于公司的成功至关重要，鉴于销售特殊的工作性质，确定哪些个人差别是成功业绩的预测因素对于销售企业而言也尤为重要[1]。另一方面，如何影响和发展现有销售力量，也是企业高层和人力资源管理所关心的问题。
对销售人员个人因素影响业绩的研究主要关注点在销售人员的社交技能和能力，对知识和智力的重要性的探讨还比较少。Vinchu 等人[4]在其对成功销售的预测因素的荟萃分析中发现一般智力因素 (general mental ability) 与客观销售数据不相关。这可能是由于提出了错误的研究问题，或许工作业绩的差异不是智力水平差异造成的，而是如何运用智力，即思维方式所带来的。

批判性思维，在教育学、心理学和哲学中已经有丰富的深入探讨。批判性思维特质描述了一种以做出决策、解决问题为目标的一贯的思维方式。批判性思维总被认为是大学教育的一个主要目标和预期结果[7, 8]，也在众多教学项目中被列为至关重要的课程。教育学者们已经发现，批判性思维特质可以预测护理学生的课业成绩和实习表现[9]以及他们对教学策略的评价[10]。


本文的研究目的是探索批判性思维特质与工作业绩的关系，从教育学心理学上对批判性思维的构念内涵和测量入手，联系以往对销售业绩影响因素的研究，提出假设，以医药代表的销售业绩数据进行实证检验，从而为企业选拔、晋升、培训员工提供理论基础和策略建议。

二、理论基础和研究假设

(一)批判性思维特质

1990 年美国哲学学会的德尔菲报告 (Delphi report) 中由 46 名来自不同领域
的专家学者、历经近两年时间，对批判性思维的概念进行了提炼和重新表达，他们分析大量的定义之后，达成的共识是：批判性思维是“一种有目的的，强调自我调控的判断过程，经过解释此判断所仰赖的证据、概念、方法、分类或内容上的考虑，进行的阐释、分析、评估和推断”[18]。报告认为批判性思维这一术语包含了一系列认知和心理的技能和能力，包括反思、自我管理、评估(evaluation，更偏测量) 和评价(assessment，更偏质性)。在其定义中发现的共同主题包括：能力方面的，如发现偏见和有缺陷思维，质疑假设，得出结论；个性方面的，如深思熟虑的、系统化的、反思的、遵守纪律的、有决心的、公正的和开放思想的[19]。

据此可见批判性思维实际上包含了批判性思维技能和批判性思维特质两个概念。批判性思维技能由一系列的认知上和心理上的技能和能力组成。批判性思维特质(critical thinking disposition)指的是一个人运用批判性思维技能和行为的意愿或偏好[20]。批判性思维特质不仅仅是一种习惯或态度，而是“一个人在人格上的维度，这些维度与他(她)有多可能通过推理(reasoning)来确认和解决问题相关”
[21]。特质和技能是相关但并不可互换的[22]。一个人可能具有批判性思维的技能，但并不这么做。只有当他(她)有此一贯的素质时，他(她)才会动用批判性思维的技能[23]。技能和特质区分了人们能做的和他们实际上做的[24]。


Facione 等人 (1992)[28]在德尔菲报告基础上继续确认了批判性思维特质的 7 个维度 (如表 1)：求知欲，系统性，分析性，寻找真相，开放思想，批判思维的自信，和认知成熟度 (以上中译名参考了台湾学者彭美慈等人[29]的工作并有所改进)。这些维度最初从护理工作中发展而来，但表述中与专业领域无关，每条都可以进一步按专业领域进行阐释。

<table>
<thead>
<tr>
<th>表 1</th>
<th>CCTDI 中批判性思维特质的 7 个维度</th>
</tr>
</thead>
<tbody>
<tr>
<td>求知欲</td>
<td>(inquisitiveness) 希望智力上的好奇心和学习的欲望，即使在知识的用途尚不明确的时候</td>
</tr>
<tr>
<td>系统性</td>
<td>(systematicity) 倾向于有组织地、有序地、集中地、勤奋地调查探索的这种趋向</td>
</tr>
<tr>
<td>分析性</td>
<td>(analyticity) 对推理的运用，使用证据来解决问题、预测潜在的概念上或实践上的难题，且总能觉察到其中的阻碍</td>
</tr>
<tr>
<td>寻找真相</td>
<td>(truth-seeking) 渴望寻找给定情境下的最好知识，勇于提问，真实客观地追求即使最终的发现将不符合个人利益或自己的预设</td>
</tr>
<tr>
<td>开放思想</td>
<td>(open-mindedness) 容忍不同意见，始终有对自己可能存在偏见的敏感性</td>
</tr>
<tr>
<td>批判思维的自信</td>
<td>(CT self-confidence) 对自己推理过程的信任。这让人信任自己的判断并在解决问题过程中领导他人。</td>
</tr>
<tr>
<td>认知成熟度</td>
<td>(cognitive maturity) 在决策过程中保持明智的趋向。</td>
</tr>
</tbody>
</table>

资料来源：根据 Facione 等人工作[28]翻译整理

学者们已经在理论上对有效的批判性思维者的人格特质进行了质量描述[24, 26, 30-34]，而大五人格中的三项(开放性、责任感和宜人性)通常包含在批判性思维特质的描述中。在实证研究方面，Giancarlo & Facione (1994)[35]在探索批判性思维特质和一些未发展成熟的人格构念的联系时发现，批判性思维特质与自我复
原力(ego-resilience)和开放性(openness to experience)都正相关。这一研究表明，在
tCTDI 上得分高的个体，更多地参与到环境中，更专注、勤奋、客观、好奇(智力上的)，心理上更灵活和健康，这都是在工作环境或是课堂学习上更需要的人格特征的集合。

基于以上对相关文献的分析，本文认为管理学有必要将批判性思维作为一个重要的研究课题。这种个人思维特质是一些职业的必备素质，我们应该探究它是
否对于工作业绩有所助益，从而为企业和组织选拔和培训人才提供一种新的视角
和途径。

(二)批判性思维特质与工作业绩

当前经济日益知识密集，销售人员的工作变得越发是向客户出售以知识为基础
的解决方案[36]，其核心是向客户传递知识，因此，销售人员需要成为知识经纪人[37]。在销售的交互过程中，销售人员和客户都扮演了积极角色，一起共同创造
一个解决方案[38]。这个共同创造发生在客户和销售人员的交流中，例如，销售人员分享他们过去在其他客户处遇到的方法和案例，以补充他们的解决方案[39]。这
些以往案例帮助客户(重新)建构和更好地理解自己的需求从而找到适合这些需
求的解决方案[40]。于是客户可能最终做出更理智的购买决策，而销售人员也重新
定位了自己所面对的商业环境，最终发展新产品的市场空间。

在这一社会建构过程，客户始终在挑战销售人员的吸收能力(absorptive
capacity)[41]。因此学者们认为，认知能力，或一般智力能力(general mental ability， GMA，反映了一个人灵活思考和扼要归因的天生能力[42])，理应影响工作绩效[43, 44]。Schmidt & Hunter (2004) [44]的荟萃分析也支持了这一观点。但同时另一些研究只发现了几乎零的相
关或者不显著的关系[44,45,47]，一些荟萃分析结果也是如此
[4,48]。针对这些结果，Verbeke 等人(2008) [49]提出，GMA 只有在其他智力(例如情境智
力 contextual intelligence)的交互下才能解释工作绩效：销售人员不仅需要彻底
地了解他们所提供的解决方案或服务背后的知识和观点，同时也应当能以适当
简洁的方式向客户传达。绝对的高智商对于销售人员并无益处，除非他们不将其
用在特定目的上(例如分析客户情况，判断并寻找适合的解决方案以满足客户需
要，清晰地沟通)。

向客户提供知识为基础的解决方案的过程，本身就包含了对销售人员三个方
面批判性思维的要求。首先，在知识处理上，销售人员需要完成产品知识的学习、
再创造和展示。批判性思维者的一个特征是好奇求知。而销售人员需要持续地从新
的、不同的来源学习(客户、新产品和技术)[38]，因为他们的销售工作要求他们具
备不同质的知识[50]。能整合不同来源的知识经验的销售人员提高了他们在吸收
信息能力上的回报率，最终，更好地塑造(shape)他们的客户[51]。批判性思维者对
就一个问题会广泛搜集所有可得的信息和观点；就已得信息进行严谨的逻辑推理，
对得到的论、概括、结论进行可靠性评价；能阐释推理过程、解释结论，清晰
地表达知识处理的结果。因此，高批判性思维特质的销售人员能更好的学会分析
和描述解决方案，区分科技类解决方案或产品的的不同特征，更清楚地表达他们
的解决方案如何区别与竞争对手。

其次，在社交活动中，销售人员处于企业与市场的边界位置，掌握企业的客户关系资源。销售人员面临的客户多种多样，销售情况也非常复杂。首先必须了解顾客对产品和服务的真实需求、信念、态度。销售人员必须有足够的技能来保证和维持可盈利的买卖关系[5.52]。而批判性思维是处理复杂问题的必要能力。批判性思维帮助人们面对复杂问题时找出最关键的环节、辨出真伪、在时间限制内做出最好的选择，最终找到回应潜在威胁或机会的方法[11]。批判性思维者的适应变化环境[15]，有效管理复杂人际关系[14]。高批判性思维特质的销售人员会保持敏锐地搜集关于客户的信息，系统地分析了解客户的需求。高批判性思维特质的销售人员善于倾听，并能给出反馈，这对客户是尊重的表现，容易赢得客户的好感和信赖，也能促成良好的沟通。只要新的观点可靠可信更有说服力，批判性思维者愿意接受与自己的观点甚至自己的利益不符的观点，这样的销售人员对更可信的观点的采纳，使与客户共同创造解决方案的过程顺畅，更可能满足客户的需求。高批判性思维的销售人员的理性能力，以及对自己的自信，能赢得客户对其能力的赞赏和信任。

再次，在情绪管理上，销售人员需要处理频繁社交中的各种情绪变化，还要面对高强度的工作压力。销售人员必须有高情商，监控和控制自己的情绪，应对与其他职业相比更大的压力。而批判性思维者更有可能将智慧代入情绪世界[53]。情商指的是处理情绪信息的能力，而批判性思维者代表的是处理信息的能力，也包含了情绪信息。批判性思维者很可能会对自己和他人的复杂的感情及其机制作探索的好奇心，而这种欲望是解决情绪问题的动机。要掌控情绪，要能先辨识情绪，思维能力有助于这种辨识能力。批判性思维提高了判断能力，能让人在任何情境下找到事物发生的逻辑，批判性思维让人形成可靠的信任和判断，从而提供了理性和有理的情感生活的基础[53]，这也是自信这种积极心理的来源。高批判性思维的人对自己的理性思维能力有信心，会把工作做得更好，由于其对能力的更高自信心，敢于接受任务、设定有挑战性的目标、在面对阻碍的时候坚持下去[54]。实证研究也支持批判性思维与情商的正相关关系[55, 56]。

综上所述，本研究提出以下研究假设：

**假设1：批判性思维特质高的员工，工作绩效更高。**

(三)变革型领导与工作业绩

为了更全面地讨论批判性思维特质这一个因素对工作业绩的作用，本研究还同时考虑领导这一环境因素。在销售领域的领导力研究在2000年以前主要关注了管理行为的作用亦即交易型领导[57]。根据这些理论，影响销售人员业绩的关键是经理根据销售人员的投入或绩效给予积极反馈(例如认可和/或赞赏)和消极反馈(例如指责和/或反对意见)。区别于交易型领导关注交换关系，只尝试满足下属当前的需要，变革型领导尝试提高下属的需要并促进个人、团队和组织的巨大变化[58-60]。Bass (1985)[61]以变革型领导理论解释领导及其下属间特殊的、带来团
队和组织卓越绩效与成就的那种联系。Podsakoff 等人(1990) 在整理以往的变革型领导研究的基础上，将变革型领导分为 6 个维度：明述愿景，树立榜样，传达高绩效期许，提供个性化支持，培育对团队目标的接纳，智能激发。

相较于大多数其他职业，销售人员经历着更高的职责压力(role stress)，以及更可能面对高的情感需要[63, 64]，另外，销售人员常常在极少甚至于没有直接管理的情况下工作但同时又必须与其他不同职责的工作人员紧密合作[65]，这些情形可能都预示着变革型领导更为有效。销售人员更有可能经历“高原反应”或职业倦怠(career burnout)[65, 66]，而变革型领导减轻了下属的压力和倦怠[67]，实证结果也表明提供个性化支持在销售经理激励其销售人员上尤其有效[68]。Bryman(1992)[57]称变革型领导对于打造核心价值观起到了主要的作用，而此举能指导下属的行为，即使领导不在场的时候。变革型领导培育对团体目标的接纳，而销售人员通常要与不同职能的同事紧密合作，如果有销售经理成功说服下属为了团队利益牺牲个人目标，这样的组织将获益颇多。智能激发可能在短期来看会带来职责混乱、冲突、压力的增加以及信任和满意度的下降，而长期来看，这种效果可以是有益的，因为这将促使销售人员试验不同的销售技巧或方法，而从中找到比目前正在使用的更有效的。

因此就变革型领导对于销售人员业绩的作用，提出如下假设：

**假设 2：上级主管的变革型领导行为越多，员工绩效越高。**

本文的研究框架如图 1 所示。

![研究框架图](image)
三、研究方法

(一)样本、数据收集

本研究的样本来自于国内一家大型医药企业, 通过人力资源部门的企业内部系统向直属销售代表在 4 人(含)以上的经理发送了邀请通知，由经理通知其团队中四名销售代表(由人力资源部门随机抽取)。共向 175 个经理’发了邀请，回收了 105 份经理问卷(回收率 60%), 393 份销售代表问卷。删除业绩数据缺失的、配对完整团队后最终有效样本包括 84 名经理(有效回收率 48%), 及他们各自的 2-4 名直属一线销售人员(289 人), 共计 84 个团队, 373 人。

经理为企业中一线销售团队中的领导, 所辖销售代表人数不等。这些一线销售代表即平常所称的医药代表。医药代表一方面作为营销人员需要掌握营销知识, 一方面还需要具备医学和药学的专门知识。而由于药品市场存在的较高的信息不对称性, 药品的最终消费者通常不具有相关的医药专业知识, 需在专业医师或药师指导下选择、消费, 且药品广告在世界大多数国家受到严格管制, 即使从业医师也很难全面了解每种药品的药学特性和使用状况[69], 而医药代表直接面对医生或零售终端, 需要向客户传递药品技术背景、使用知识和适用范围等, 同时也由医药代表将药品需求、临床情况、技术趋势等市场信息反馈回企业。因而医药代表有信息渠道和关系资源枢纽的重要作用, 其通过个人关系的建设和社会资本的积累, 往往是关键资源的掌握者。这一群体的工作性质很好地代表了销售人员与客户之间就知识方案建构的互动活动, 也是非常符合销售工作的高压、独立、跨职能合作等特点。

84 名经理中男 72 名(85.7%), 女 12 名(14.3%)。年龄在 25~44 岁之间(mean=32.69, s.d.= 4.782)。工作经验在 4~24 年之间(mean=10.31, s.d.=5.125), 其中行业工作经验在 3~16 年之间(mean=8.36, s.d.=3.431)。受教育程度的情况为: 初中及以下(无), 高中(2, 占 2.4%), 中专(2, 占 2.4%), 大专(41, 占 48.8%), 大学(39, 占 46.4%), 硕士及以上(无)。

289 名医药代表中, 男 208 名(72.0%), 女 81 名(28.0%)。年龄在 21~57 岁之间(mean=27.52, s.d.=5.091)。工作经验在 1~36 年之间(mean=4.59, s.d.=5.019), 其中行业工作经验在 0~25 年之间(mean=3.16, s.d.=3.936), 在公司的工作时间为 0~36 年之间(2.86, s.d.=3.936)。受教育程度为: 初中及以下(无), 高中(5, 占 1.7%), 中专(14, 占 4.8%), 大专(118, 占 40.8%), 大学(152, 占 52.6%), 硕士及以上(无)。

(二)变量和测量工具

批判性思维特质。使用了 12 条目三维度的量表, 原始条目来自于以 CCTDI 为基础的中文版测量表(CTDI-CV)[29], 经两轮样本的探索性因子分析降维缩减条

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1 经理包括区域经理和客户经理。该企业的区域经理主要是按地域划分的办事处经理; 由于某些医院作为大客户有专门的团队负责, 这些团队的负责人即为客户经理。
Systematic thinking

<table>
<thead>
<tr>
<th>维度</th>
<th>条目</th>
</tr>
</thead>
<tbody>
<tr>
<td>系统思维</td>
<td>6. 我善于有条理地去处理问题</td>
</tr>
<tr>
<td>Systematic thinking</td>
<td>10. 我欣赏自己拥有精确的思维能力</td>
</tr>
<tr>
<td>α=.772</td>
<td>17. 我很善于理清自己的思路</td>
</tr>
</tbody>
</table>

CCTDI 是 Facione & Facione (1992) 开发的基于德尔菲报告的加州批判性思维特质量表[28]，含 75 个条目，7 个维度，经多次修正，并译成多种语言，被各国学者们用于测量护士和护理专业学生[70-73]的批判性思维特质。中国引入CCTDI 后曾直接用英文原版（在香港的护士学生中测量），然后有两个中文翻译版[73, 74]。由于发现台湾、香港以及其他东亚国家的护理专业学生测试分数与英语国家的相比有显著差异[29, 73, 75, 76]，彭美慈等[29]认为可能是东西方文化对批判性思维赋于的内涵不同，因此重新制定了批判性思维能力(中文版)测量表(CTDI-CV)。这一量表不同于 CCTDI 的中译版，从概念等值(conceptual equivalence)层面对CCTDI 测量进行了本土化改进，最后确定了 70 个项目。此后国内护理领域多次使用这一量表[77]。彭美慈的 CTDI-CV 基本保留了 CCTDI 的维度和条目，较适合中国文化，但条目仍然过多、量表过长，这在本就为数不多的、直接使用CCTDI 的管理学研究中被指影到测量结果[78]。本文首先对其条目初筛，删除与职业人士相关度弱的、在中国文化情境不合适的、中文理解困难的，得到63条原始条目。然后通过310名在职人士参与的在线问卷调查数据进行第一轮删除条目，通过探索性因子分析，保留了三维度法和四维度法的合计25条条目。第二轮在本文主样本（即医药企业销售团队人员）中，将领导和下属视为等同个体（不论团队配对情况），对批判性思维特质有 498 个测量样本，重新对25条条目进行探索因子分析，确定三维度方法，取各维度负载最高的四个条目，组成最终的批判性思维特质测量(12条目，α=.704)。如表 3。

精简版批判性思维特质测量有三个子维度：(1)系统思维：指系统分析问题并解决问题的思维习惯和能力，并对自己的这一能力充满信心；(2)求本溯真：指对事情真相的偏好，为求真理，会去搜集和倾听即使与自己的利益、本来意见不同的观点；(3)好奇求知：对新知识有强烈的好奇心，即使不知道知识未来的用处何在。

联系以往研究对 CCTDI 结构的稳定性检测结果[79,80]，比对新的三因子结构和原七因子结构，可以发现本精简版与原版维度之间有较为清晰的对应关系：系统思维包含了原来的分析性和系统性两个维度，求本溯真包含了寻找真相、开放思想和认知成熟度三个维度，好奇求知即原来的求知欲这一维度，而批判思维的自信体现在绝大部分自评能力的条目中。新结构条目和维度的划分是由数据结果得到的，而对条目内容的分析、与原理论的对照再次佐证了这一降维结果跟理论的一致性。

表 3 批判性思维特质精简版测量

<table>
<thead>
<tr>
<th>维度</th>
<th>条目</th>
</tr>
</thead>
<tbody>
<tr>
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<td>6. 我善于有条理地去处理问题</td>
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<td>Systematic thinking</td>
<td>10. 我欣赏自己拥有精确的思维能力</td>
</tr>
<tr>
<td>α=.772</td>
<td>17. 我很善于理清自己的思路</td>
</tr>
<tr>
<td>15. 好奇求知</td>
<td>我善于制定一个有系统的计划去解决复杂的问题</td>
</tr>
<tr>
<td>Curiosity in knowledge</td>
<td>好奇求知</td>
</tr>
<tr>
<td>α= 0.668</td>
<td>13. 我会尽量去学习每一样东西，即使我不知道它们何时有用</td>
</tr>
<tr>
<td></td>
<td>16. 我的求知欲很强</td>
</tr>
<tr>
<td></td>
<td>25. 我喜欢去找出事物是如何运作的</td>
</tr>
<tr>
<td></td>
<td>2. 我只会寻找支持我看法的那些事实，而不会去找那些反对我看法的事实 (-)</td>
</tr>
<tr>
<td></td>
<td>20. 事物的本质和它的表象是一致的 (-)</td>
</tr>
<tr>
<td></td>
<td>19. 在小组讨论时，若某人的看法被其他人认为是错误的，他就没有权利去表达意见 (-)</td>
</tr>
<tr>
<td></td>
<td>24. 个人的经验是验证真理的唯一标准 (-)</td>
</tr>
</tbody>
</table>

**变革型领导**。使用了 Podsakoff 等人开发的变革型领导量表[62]的中文版本 (Chen & Farh, 1999)[81]。这套量表包含 23 个条目，指向 6 个维度：明述愿景，树立榜样，传达高绩效预期，提供个性化支持，培育对团队目标的接纳，智能激发。这一量表通过严格的理论构建方法开发测试，并且在构建过程中吸取了其他理论描述的变革型领导行为，代表的是对变革型领导行为较公认的概念[82]。这一量表剔除了在 Bass 被广泛使用的 MLQ 中关于魅力的评价，关注在领导的行为，而非领导力的行为和特征。Podsakoff 等人(1996)[83]发现此量表的内部一致性在 0.82 到 0.90 之间。此中文版本已经在多项采用中国样本的研究中使用，部分字词进行了更适合本次受测对象的调整。

以往研究比较一致地支持单因子结构的变革型领导[84]。且经内部一致性检验，主数据中本量表 α=0.961。因而本研究中参照以往，使用了 23 个条目的均值作为变革型领导(下属感知)的值。

为了聚合个人回答到单位(团队)层次，先检查了组内一致性(within-group agreement)和组内相关(intra class correlation, ICC)。变革型领导的 mean \( r_{WG(23)} \) 为 0.991(全都大于 0.7)，满足聚合条件，故使用了组内均值。

**工作任务**。业绩数据来自于各经理基于公司记录所报告的各下属的销售增长率。以往研究中客观销售业绩多用完成计划百分比[85]，该企业使用的评价标准是与去年同期相比的销售额增长率，代表在目标企业中去年的销售额是今年的参照值，可以看作每个人的销售计划是在自己去年销售业绩的基准上，这与完成计划百分比是类似的。
控制变量。对领导和下属都采集了人口学统计数据，包括年龄、性别(男1女0)、受教育程度(1初及以下、2高中、3中专、4大专、5大学、6硕士及以上)、行业工作经验。对下属还询问了与目前上级的共事时长。

另外还通过人力资源部门获得团队类型和大小的数据。参与调查的团队分为医院团队(1)和商业团队(2)两种。尽管本研究邀请了四名下属，实际上每个经理代领团队的大小并不限于4人。以往研究中认为员工感知的变革型领导在领导直属下属多的时候会被稀释[82]，因此本研究也控制了团队大小。得到其中74个团队的大小。最小是4，最大是21。均值为6.91，标准差为4.135。

四、数据分析和结果

（一）构念确认和描述统计

在验证假设之前，对研究涉及的多条目类变量进行了验证性因子分析。使用的统计软件为Lisrel 8.70。

“批判性思维特质”三维维度模型的验证性因子分析结果为 Chi-Square = 196.75 (P < 0.01)，RMSEA= 0.077，P Close (RMSEA < 0.05) = 0.00，NFI = 0.95，CFI = 0.96，IFI = 0.96，RMR= 0.057。与四因素模型、合并相应因素而得的两因素模型、单因素模型相比，各项拟合指标都占优。

对变革型领导的23条目进行验证性因子分析，六维度模型 Chi-Square = 622.55 (P < 0.01)，RMSEA = 0.084，P Close (RMSEA < 0.05) = 0.00，NFI = 0.97，CFI = 0.98，IFI = 0.98，RMR = 0.046。各项拟合指标都指示拟合程度较好。

对个体层面和团体层面分别考察了同层面的所有变量的均值、标准差和相关系数，如表4和表5。

（二）HLM分析

回归分析只能解释同一层次的变量之间的关系，但本研究涉及的变量存在跨层关系，因此使用跨层次模型的统计分析HLM，使用的统计软件为HLM 7²。

2 在此之前先用多层线性回归分析(Hierarchical Regression Analysis，使用统计软件IBM SPSS 19)对个体层面的变量间关系进行了检测。在多步回归中首先引入控制变量，包括员工的年龄、性别、受教育程度、行业经验(工作经验和组织年限与此高度相关，仅保留此项)、领导下属的关系时长。对客观业绩均无显著影响。第二步引入主效果，即变革型领导行为及员工批判性思维。变革型领导行为(β=0.129，t=2.151，p=.032)对员工客观绩效的正影响在0.05上显著，员工批判性思维(β=0.111，t=1.855，p=.065)在0.10上显著，此步的R²为0.009。第三步考虑变革型领导和批判性思维的交互作用，结果不显著。再将批判性思维按维度进行分析，主效果中，
研究假设考虑的结果变量是员工的客观绩效。为考察下属客观绩效评价是否在个人层次与团队层次上皆有变异存在，建立零模型。

**Level-1 Model**
客观绩效 \(i_j = \beta_{0j} + r_{ij}\)

**Level-2 Model**
\(\beta_{0j} = \gamma_{00} + u_{0j}\)

**Mixed Model**
客观绩效 \(i_j = \gamma_{00} + u_{0j} + r_{ij}\)

上述模型中，

\(\beta_{0j}\) =第\(j\)个团队的客观绩效平均数

\(\gamma_{00}\) =客观绩效的总平均数

\(r_{ij}\) 的方差=\(\sigma^2\)=客观绩效的组内方差

\(u_{0j}\) 的方差=\(\tau_{00}\)=客观绩效的组间方差

此步骤分析结果为\(\tau_{00}=43.48\)，卡方检验的结果表示组间方差显著(\(\chi^2(65)=177.48\)，\(p<0.001\))。\(\sigma^2=57.04\)，于是组内相关系数 ICC(1)=\(\tau_{00}/(\sigma^2 + \tau_{00})=0.43\)，表示下属客观绩效的方差有 43% 来自于组间方差，57% 来自于组内方差。就 James (1982)[86]对组织研究的回顾，ICC 的范围为 0 到 0.50，通常以他发现的中位数 0.12 作为标准。下属客观绩效组间差异大且显著，可以进行 HLM 分析。

模型 1 将控制变量加入模型。考虑了团体层次的团体类型以及个体层次的关系时长。其余人口学变量由于在非跨层的回归中以及 HLM 测试中均不显著，为避免模型不必要的复杂性，在此不再考虑。模型 2 引入水平一主效果(批判性思维)，模型 3 引入水平二主效果(变革型领导)。

由于研究主要目标是考察绩效在个人层次上的变化(下属批判性思维及其感知到的变革型领导行为所带来的)，对水平二的所有系数(除截距项 intercept)使用了固定效果(fixed effects)。指定截距项的随机效果使得可以检测平均意义上的业绩在团队层面上的组间变化[87]。

按照 Hofmann & Gavin (1998)[88]，对水平一的所有变量进行了总体中心化处理(grand mean centring)。按照 Enders & Tofighi (2007)[89]，对水平二的预测因子，虚拟变量(团队类型)保持了原始尺度，领导的变革型领导使用了总体中心化。

表 6 给出了员工批判性思维(整体)与变革型领导对员工客观绩效的作用。变革型领导在 0.01 水平上显著(\(\beta=20.21, t=1.956\))，批判性思维在 0.10 水平上显著

变革型领导行为(\(\beta=0.160, t=2.598, p=.010\))对员工客观绩效的正影响在 0.05 上显著，批判性思维的总回归系数(\(\beta=0.167, t=2.780, p=.006\))在 0.01 水平显著，此步的\(\Delta R^2=0.047\)。交互作用不显著。
表7给出了员工批判性思维（三维度）与变革型领导对客观绩效的作用。变革型领导在0.05水平上显著（β=22.94, t=2.229），批判性思维中好奇求知在0.10水平上显著（β=12.02, t=1.878），寻本溯真在0.01水平上显著（β=12.73, t=2.709）。

五、讨论与总结

尽管批判性思维一直被强调为学校教育的最主要目标之一，以往很少研究它对于进入工作岗位后的职业人士有何作用，目前文献中存在的少数研究仅涉及护理工作人员；以往研究基本上认为智力相关因素对销售业绩之类的工作绩效没有影响[7]，但忽略了进一步对智力运用的认知软件即思维进行探讨。本研究结果显示，对于销售人员而言，他们的批判性思维与客观绩效显著正相关。本研究也同时考虑了领导因素，结果再次支持了变革型领导行为对下属的客观绩效的积极作用。使用回归分析和考虑层因子的HLM两种数据分析方法，结果基本一致。

本研究的发现为管理学院教育和组织人力资源措施提供了思路。本研究的结果至少预示，人力资源部门可以参考批判性思维特质进行销售人员的选拔和提升，对现有销售力量的培训开发，而商学院应当重视批判性思维（尤其是特质）的培养。

本研究也发现，按照现有文献定义的批判性思维特质，并不是在各个维度相等地促进组织绩效。在促进销售业绩上，寻本溯真、好奇求知两个维度有显著正向作用。批判性思维特质的作用比最初设想的要复杂，行业、组织心理学一直探讨，预测工作绩效时使用的这些人格特质应当选用宽泛的、一般性的（broad traits）还是有针对性的（narrow traits）如Ashton (1998)[90]等研究者认为有针对性的人格特质更好，如Ones和Viswesvaran (1996)[91]支持一般性的，还有其他学者这个测量的选择应当取决于需要预测的这个标准的本质[92-94]。在大五人格，例如责任感，对工作绩效的研究中也发现由于责任感的某些侧面与工作绩效更为相关，而某些与工作绩效相关甚至有反作用，造成责任感对工作绩效的整体作用被抵消，对其复杂性没能得到尽可能全面的检测[95]。目前使用的批判性思维特质的测量仅仅是目前为止相对而言较为适宜的量表。批判性思维特质测量的原始维度和条目不是针对职业人士开发的，本研究是第一次在类似样本中进行降维，最后的测量跟工作情景下职业人士们表现出的批判性思维特质真实整体上未必吻合。这可能限制了本研究中对批判性思维及其各维度预测绩效时复杂性的揭示。

一般化本研究的结果会有风险。这里使用的研究样本完全从一家医药企业得来。未来研究应当考虑更多行业的样本。另外这项研究在中国大陆进行。本研究对于批判性思维和其组织内结果的关系推理是基于跨文化普遍适用的理论。但是以往研究在对CCTDI的跨文化测量中发现批判性思维移植到亚洲文化会存在问题[29, 70, 72, 73, 75, 76]。另外，罗清旭（2002）[96]认为中国缺乏理性批判文化传统。中国古代哲学更重辩证逻辑而轻形式逻辑[97]，而形式逻辑和非形式逻辑共同构成了批判性思维的逻辑基础[98]。中国的样本可能与西方样本在批判性思维的结构上存在差异。
工作绩效可能很大程度上受到一些个人控制之外的暂时恒定因素的影响，绩效的衡量，即便是客观绩效，也总是被这些因素打乱[99，100]。本研究中客观绩效的组间差异也比组内差异大。本研究样本中的医院队伍和商业队伍，由于针对的客户的不同，工作方式也有区别，绩效上有显著差异。尽管在控制了队伍类型情况下并没有影响结果，但这些因素可能存在一些未知的潜在影响。本研究尝试引入了个人控制之外的领导因素，但仅针对变革型领导行为，没有引入交易型领导行为或其他领导行为作为对比，因而不排除其他领导行为对销售绩效的影响、其他领导行为可能的与批判性思维对销售绩效的交互影响。

这还仅仅是为引入批判性思维概念做了一些投资问路的工作。由于还只是比较粗糙地探索性检验，对于批判性思维及其各个维度与工作绩效的复杂关系，并不能够从本研究中得到比较充分的解释。未来研究首先需要考虑改进测量，重新开发批判性思维在工作环境下的适合的测量工具，在新的研究设计下选择适合特定研究目的的结果变量及其测量方法，对批判性思维与组织中的结果进行进一步的探索。另外在结果变量的选择和测量上可以有所扩展和延伸。例如，包括更多的领导风格和行为、更多的工作绩效。其次，本研究揭示了批判性思维预测组织结果的复杂性，未来研究需要继续探索什么样的行为过程可用于解释批判性思维特质和变革型领导行为、工作绩效之间的关系，增加一些中介变量和调节变量。

参考文献

39.


[91] Ones D S, Viswesvaran C. Bandwidth–fidelity dilemma in personality measurement for personnel
表 4 个体层面各变量的均值、标准差、相关系数

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*p<0.05  **p<0.01
表 6 HLM 结果：批判性思维（整体）与变革型领导对客观绩效的作用

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<td>水平 1 预测量</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>关系时长 ($\gamma_{10}$)</td>
<td>1.54</td>
<td>0.359</td>
<td>1.87</td>
<td>0.447</td>
<td>1.63</td>
<td>0.390</td>
</tr>
<tr>
<td>批判性思维特质($\gamma_{30}$)</td>
<td>14.73$^+$</td>
<td>1.888</td>
<td>14.56$^+$</td>
<td>1.876</td>
<td></td>
<td></td>
</tr>
<tr>
<td>方差</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>$\sigma^2$</td>
<td>57.11</td>
<td></td>
<td>56.96</td>
<td></td>
<td>56.89</td>
<td></td>
</tr>
<tr>
<td>$\tau_{00}$</td>
<td>39.20**</td>
<td></td>
<td>38.71**</td>
<td></td>
<td>38.41**</td>
<td></td>
</tr>
<tr>
<td>$R^2$</td>
<td></td>
<td></td>
<td></td>
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<td></td>
<td></td>
</tr>
<tr>
<td>$\Delta R^2$</td>
<td>0.003</td>
<td></td>
<td>0.020</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

N(下属)=207，N(团队)= 65 预测变量所对应的的数值为稳健的标准误（robust standard errors）下的固定效果的估计数 $^+$ p<0.10 * p<0.05 ** p<0.01

模型 2 $\Delta R^2=$(模型 1 $\sigma^2$-模型 2 $\sigma^2$/模型 1 $\sigma^2$

模型 3 $\Delta R^2=$(模型 1 $\tau_{00}$ of-模型 3 $\tau_{00}$/模型 1 $\tau_{00}$

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表 7 HLM 结果：批判性思维（三维度）与变革型领导对客观绩效的作用

<table>
<thead>
<tr>
<th>参数</th>
<th>模型 1</th>
<th>模型 2</th>
<th>模型 3</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>截距项(γw)</strong></td>
<td><strong>β</strong></td>
<td><strong>t</strong></td>
<td><strong>β</strong></td>
</tr>
<tr>
<td><strong>水平 2 预测量</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>团队类型 (γ10)</td>
<td>75.94**</td>
<td>9.829</td>
<td>75.96**</td>
</tr>
<tr>
<td>变革型领导 (γ20)</td>
<td>-50.81**</td>
<td>–5.897</td>
<td>-49.95**</td>
</tr>
<tr>
<td><strong>水平 1 预测量</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>关系时长 (γ10)</td>
<td>1.54</td>
<td>0.359</td>
<td>3.87</td>
</tr>
<tr>
<td>系统思维 (γ30)</td>
<td>12.64 †</td>
<td>1.963</td>
<td>12.02 †</td>
</tr>
<tr>
<td>好奇求知 (γ40)</td>
<td>12.17**</td>
<td>2.636</td>
<td>12.73**</td>
</tr>
<tr>
<td>寻本溯源 (γ50)</td>
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<tr>
<td>方差</td>
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<td></td>
</tr>
<tr>
<td>σ²</td>
<td>57.11</td>
<td>56.54</td>
<td>56.51</td>
</tr>
<tr>
<td>τ₀₀</td>
<td>39.20**</td>
<td>37.67**</td>
<td>36.91**</td>
</tr>
<tr>
<td>R²</td>
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<td></td>
<td></td>
</tr>
<tr>
<td>ΔR²</td>
<td>0.010</td>
<td>0.058</td>
<td></td>
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</tbody>
</table>

N(下属)=207，N(团队)=65 预测变量所对应的的数值为稳健的标准误（robust standard errors）下的固定效果的估计数 † p<0.10 *p<0.05 **p<0.01

模型 2 ΔR²=(模型 1 σ²-模型 2 σ²)/模型 1 σ²

模型 3 ΔR²=(模型 1 τ₀₀ of-模型 3 τ₀₀)/模型 1 τ₀₀
ABSTRACT (IN CHINESE)
Brand Effects on Innovation Performance: Categorization-Oriented Mechanism

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ABSTRACT

This study finds that it is through categorization approach that consumers perceive innovation activities and construct holistic brand knowledge and product-related brand knowledge, and both influence the formation of brand preference. Especially, brand prototype to represent holistic brand knowledge is at the center and has the greater effect on from innovations perception to brand preference formation. This study indicates that the brand prototype driven by categorization dominates the cognitive converting process and it becomes the general way to generate brand effect in the consumer responses to innovations. The results provide the theoretical framework about the psychological mechanism of brand effect generation, and the new theoretical explanation for the sources of innovation performance. Also it has new implications for how to maintain the success of innovations and to cultivate the soft capability of innovations to enhance innovation performance through managing innovation perception to generate brand effect.

Keywords: Innovation performance, Brand effect, Brand concept, Brand prototype, Brand sophistication
品牌效应如何影响创新绩效：类别化认知的主导机制

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战中，中山大学国际商学院，广州
朱辉煌，中山大学管理学院，广州
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摘要

该研究分析消费者的创新反应过程发现，消费者通过对企业创新活动感知建构的整体性的品牌知识和产品相关的品牌知识均影响了品牌偏好。尤其是以类别化的认知加工方式建构的整体性品牌知识—品牌原型在其中处于中心位置，体现了品牌效应发生的整体性力量。这一由品牌原型驱动的类别化加工主导了从创新感知到品牌偏好形成的认知转化过程，成为品牌效应发生的基本方式。该研究对创新反应中的品牌效应发生的心理机制提供了基本的分析框架，为创新绩效的来源提供了新的理论解释；对企业通过管理创新感知性实现最大的品牌效应维护创新成功，以及培养创新软实力提升创新绩效等提供了新的启示

关键词：创新绩效；品牌效应；品牌概念；品牌原型；品牌先进性
Chinese Corporate Citizenship Behavior and Corporate Hypocrisy

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Management School, Jinan University, Guangzhou

ABSTRACT

Corporate hypocrisy has become the inevitable result of binary opposition between the righteousness and benefit, which can’t be fundamentally resolved by the theory of corporate social responsibility based on Stakeholder theory. In order to root out the problem of corporate hypocrisy, we should rethink the theory of corporate social responsibility according to the macroscopic understanding of the relationship between enterprises and society. We therefore analyses Chinese changes and their effects to the relationship between the society and enterprise in recent years. By drawing support from structuralism sociology, symbolic interaction theories and social media interactions theories, we explain two major trends in present Chinese society: The first is the conflict between Chinese traditional values and tool rationality sourced from the Modernization and Globalization. The second is the emergence of moral self and democracy personality due to the social media interactions. Both strengthen ethical consciousness of the public in china at present. However, the performance of corporate social responsibility essentially expels value rationality and substitute tool rationality for it. According to the above analysis, we drew the conclusions that the theory of corporate social responsibility have to help corporate realize the identity change from ethics demands responses to moral consciousness self. Using the five constant virtues of Confucianism as a reference, based on the theory of corporate citizenship, we introduce the corporate citizenship behavior construct model of China (CCBC) to inherit and develop the theory of corporate social responsibility based on Stakeholder theory. The CCBC model has a strong human-centered human spirit, and the core of CCBC is the ideal corporate personality on the design and shape that is so-called "Being an Inner Sage so as to Rule the Outer World". Finally, we empirical tested and verified the model through questionnaire survey and structural equation model.

Keywords: Corporate hypocrisy, corporate social responsibility, corporate citizenship behavior, social transition, social media
转型社会和社交媒体时空双情境的企业伪善治理

——中国企业公民行为（CBCC）构念模型及实证研究

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摘要

企业伪善已经成为基于利益相关者的企业社会责任理论（CSR）下“义”与“利”二元对立的必然结果，导致企业伪善研究走向技术化消解伪善感知的歧途。要治理企业伪善，必须把CSR理论根植于对不断变化的企业与社会关系的宏观理解之上。据此，我们以结构主义社会学、符号互动论和社交媒体互动等理论成果，解读中国社会的两大巨变所致的公众伦理意识与企业伦理提供水平之间的鸿沟：一是现代化及全球化内外的工具理性和中国传统价值冲突造成转型社会公众自我认同的丧失和道德焦虑；二是社交媒体创造的馈赠式互动促成了道德自我的出现和民主人格的产生，而这两者都强化了中国公众的伦理意识，后者还提高了公众规制企业伪善的能力。而反思CSR理论背后深藏的却是工具理性对道德的绑架和消解，与社会大势背道而驰。CSR理论必须实现企业自觉道德主体的身份转变，以共同价值超越经济利益。据此，结合CSR所具有的以互动方式拟人化公民参与社会生活的特征，我们以CSR的公民权分析，完成对基于利益相关者的CSR理论的继承和发展，并以儒家“五常”思想结合CSR领域已有文献的二百多条测项为基础，以半结构化专家深度访谈和对209家企业的问卷调查开发中国企业公民行为构念模型及其测量量表，提炼出“仁”——天人合德、兼爱弱者、共情双赢，“义”——角色使命、急公好义、利缘义取，“礼”——端敬礼让，“智”——共同治理，“信”——诚实不移、信守承诺的五元二维模型量表，指导企业践行“内圣外王”的发展道路。

关键词：企业伪善；企业社会责任；企业公民；转型社会；社交媒体互动
Taobao System Platform Wallets Annual Sales Data Analysis

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ABSTRACT

This paper to electronic business platform on the men's wallet, for example, through Taobao, Tmall, Tmall Electric, global purchase four e-commerce platform in 2014 in June and July 4, 2014 to 4, nearly 30 days to collect the 4389 shop man purse data, using search engine technology in this regard four e-commerce platform of data for statistical analysis of a large number of. Data included 27 global purchase of stores, 2 global purchase of stores, 3065 Taobao shop, 1295 lynx shop, 32 sales area, 716 brands. The analysis of the data is related to the trend of the shops, the analysis of the brand style, the shelf life, the price fluctuation and the index of the industry. And research of electronic business platform specific sales and marketing tool, summed up the scientific marketing theory and the diversification of business marketing means, is the theoretical foundation of the marketing business, the perfect consumer online shopping experience.

Keywords: Taobao product desk, wallets, data analysis, seven wolves

References

淘宝系平台上男士钱包年度销售数据分析

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摘要

本论文以电商平台上的男士钱包为例，通过对淘宝，天猫，天猫电器，全球购四家电子商务平台在2014年6月4日至2014年7月4日，近30天时间里收集到的4389家店铺男士钱包的数据，运用搜索引擎技术对此四家电子商务平台的数据进行大量的统计分析。数据中包括27家全球购店铺，2家全球购店铺，3065家淘宝店铺，1295家天猫店铺，32个销售区域，716个品牌。对这些数据的分析得到相关行业的店铺走势，品牌款式分析，上架周期，价格波动，指数分析。并且研究电商平台的具体销售情况和销售手段，总结出科学的销售理论和多样化的电商营销手段，为电商营销打下理论基础，完善良好的消费者网上购物体验。

关键词：淘宝系平台；男士钱包；数据分析；七匹狼

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A Research on the Relationship between Customer Identification and Customer Engagement in Virtual Tourism Community

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Xiaoyun Han
Business School, Sun Yat-sen University, Guangzhou

ABSTRACT
With the development of market economy and information technology, customer behaviors are becoming more diversified and more influential. The interaction between customers, companies and other stakeholders is no longer limited to transactional behaviors while the non-transactional behaviors are taking a turn. The rise of UGC virtual tourism community has greatly encouraged customer non-transactional behaviors and given more prominence on the emotion and information exchange between customer and community, which leads to that the limitation of traditional marketing theories based on transaction has come to the fore. Under this background, a new marketing concept-- “customer engagement” emerges as the times require. After more than 10 years of development, this type of community has gathered a group of high quality users, and currently takes the initiative in the path of commercialization. Therefore, a thorough study of the formation mechanism of customer engagement and the transformation to purchase intention in these virtual tourism communities has profound theoretical and practical significance.

Based on literature review and the theory of self-determination and social exchange, we built up a conceptual model reflecting the influence of perceived usefulness, perceived ease of use and social identity on customer engagement. In this research, customer engagement is divided into customer engagement attitude (reflecting attitudinal component) and customer engagement behavior (reflecting behavioral component) by reference to the division of customer loyalty. Furthermore, we hypothesized that customer engagement attitude has direct impact on customer engagement behavior. Membership duration would moderate the impact of perceived usefulness, perceived ease of use and social identification on customer engagement attitude. The members of UGC virtual tourism communities are the objects of this research. Using SPSS21.0 and LISREL8.72, the model is tested empirically through a survey on 513 members from Mafengwo, Qyer and other virtual tourism communities. The scale of each variable of the conceptual model is adopted from existing literature and measured by 7-point Likert-type scale.
The results indicate that perceived usefulness, customer–community identification and customer-customer identification have direct and positive impact on both customer engagement attitude and customer engagement behaviors; perceived ease of use has no significant impact on the formation of customer engagement attitude; customer engagement attitude is the psychological basis of customer engagement behavior, which can also promote customers’ purchase intention. In addition, membership duration plays a modulatory role in the impact of perceived usefulness, customer identification on customer engagement attitude. Specifically, compared with the members who have joined the communities for more than 2 years, the influence of perceived usefulness and customer-community identification on customer engagement is significantly greater with regard to the members who have joined the communities for less than 2 years; in contrast, to the members who have joined the communities for more than 2 years, the impact of customer-customer identification on customer engagement is significantly greater. The results of moderating effect test indicate that, to the new members, perceived usefulness and their identification to the communities are the main drivers for their engagement with the communities; while to the old members, the identification between members is the main drivers.

The previous customer engagement studies focus on either the attitudinal component or the behavioral component of customer engagement. This research draws on the studies of customer loyalty to distinguish attitudinal component and the behavioral component of customer engagement, which are reflected by customer engagement attitude and customer engagement behavior in the model, trying to understand customer engagement in a more comprehensive perspective and reveal the difference about the influence of various drivers on customer engagement attitude and customer engagement behavior. The results of this research enrich the study of customer engagement in the field of marketing and bring some valuable reference for customer behavior management and commercialization of the virtual tourism communities.

**Keywords:** Customer Engagement, Customer Identification, Virtual Community, Structural Equation Model

**Reference**


虚拟社区顾客认同与顾客契合关系研究

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摘要
随着市场经济及信息技术的发展，顾客行为的种类更加多样，影响力也大大加强，顾客与企业以及其他利益相关者之间的交互不再局限于交易行为，而是往非交易行为方向发展。垂直旅游虚拟社区的兴起促进了顾客非交易行为的发展，更加重视顾客与社区之间的情感、信息等方面的交流。这也导致了传统的交易型营销理论的局限性逐渐显现出来，一个新的营销概念——“顾客契合”应运而生。经过十几年的发展，这类社区已经聚集了一批高质量的用户群体，正在进行商业化发展，具有极大的发展潜力。因此，对这类社区中顾客契合的形成机制以及向购买意向的转化进行深入研究，具有重要的理论及实践意义。

本文在文献研究的基础上，基于技术接受模型和社会认同理论，构建了包括感知有用性、感知易用性和社会认同对顾客契合的影响模型。在本文中，作者借鉴顾客忠诚的维度划分方法，把顾客契合划分为反映态度成分的顾客契合度和反映行为成分的顾客契合行为两个概念，且假设顾客契合度直接影响顾客契合行为。此外，顾客加入社区的时间长度会调节感知有用性、感知易用性和社会认同对顾客契合的影响。本文选择 UGC 虚拟旅游社区成员作为研究对象，采用实证研究方法，对蚂蜂窝网、穷游网等旅游虚拟社区中的 513 名用户进行问卷调查，并使用 SPSS 21.0 和 LISREL 8.72 软件，对概念模型进行了实证检验。概念模型中各个变量都使用现有文献中已有的量表，通过李克特 7 点尺度进行测量。

研究结果表明，感知有用性、顾客对社区的认同和顾客之间的认同对顾客契合度和顾客契合行为具有显著的正向影响；感知易用性对顾客契合度的形成没有显著影响；顾客契合度是顾客契合行为的心理基础，并且能够促进用户对社区产品或服务的购买意向。此外，顾客加入社区的时间长度对感知有用性、顾客认同与顾客契合度之间的关系具有调节作用。具体而言，对于加入社区 2 年以下的成员，顾客—社区认同和感知有用性对顾客契合度的影响显著大于加入社区 2 年以上的成员；相反，对于加入社区时长 2 年以上的成员，社区成员之间的认同对顾客契合度的影响显著大于社区时长 2 年以下的成员。此调节效应的检验结果表明，对于新加入社区的成员而言，社区的有用性和其对社区的认同是促使他们与社区契合的主要因素；而对于社区老成员而言，对社区其他成员的认同是他们与
社区契合的主要驱动因素。

以往关于顾客契合的研究中，要么测量顾客契合的态度成分，要么测量其行为成分。本研究借鉴营销学界对顾客忠诚的研究，把顾客契合的态度成分和行为成分相区分，在模型中分别用顾客契合度和顾客契合行为两个概念反映，尝试从更全面的角度探讨顾客契合概念，并揭示各驱动因素对顾客契合度和顾客契合行为的不同影响。本文研究结果不仅丰富了营销学界对顾客契合的研究，而且对顾客社区的顾客行为管理及商业化发展有较大的参考价值。

**关键词**：顾客契合；顾客认同；虚拟社区；结构方程模型
ABSTRACT

Circulation is linking the production and sales, it plays an important role in the economy and society development. As a new type of circulation channel, the e-commerce is more and more important in the economic development, people’s daily life and social progress after twenty years of development. With its continuous development and improvement, as well as China’s economic and social progress, especially the information technology and internet technology are developing too, such as big-data, cloud computing, mobile internet, mobile payment, cold chain logistics and other technologies, the e-commerce presents many innovations and changes. These innovations mainly are that mobile trend of e-commerce, e-commerce spread to the county and country areas and the global region, the appearance of the fresh product e-commerce and other segment markets etc. The e-commerce is more active in practice part, and the practice has promoted the development of theory. By combing, the e-commerce industry innovation is that some new e-commerce models’ appearance, such as mobile e-commerce, county and country e-commerce, cross-border e-commerce and fresh product e-commerce etc. Finally, it focuses on the concept, status quo, development opportunities and obstacles, and it tries to introduce a comprehensive idea to the emerging e-commerce models, and it provides the material and reference for the theory and practice of e-commerce industry.

Keywords: Circulation, mobile, e-commerce, county and country, e-commerce, cross-border e-commerce, fresh product e-commerce
流通视角下电子商务产业创新研究

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摘要

流通衔接产销，在经济与社会发展中扮演着重要角色。电子商务作为一种新型的流通渠道，经历二十余年的逐步发展与成长，在经济发展、居民日常生活与社会进步中承担越来越重要的作用。伴随着自身不断地发展与完善，以及我国经济与社会的不断进步，尤其在信息技术与互联网技术的推动下，诸如大数据、云计算、移动网络、移动支付、冷链物流等技术，电子商务呈现出诸多创新与变革。这些创新点主要表现为电子商务的移动化、电子商务向县乡地区与全球区域蔓延、生鲜产品电子商务等细分市场的涌现等等。电子商务在实践层面更加活跃，实践推动了理论的发展。通过梳理，将电子商务的产业创新概括出一些新兴的电子商务模式，如移动电子商务、县乡电子商务、跨境电子商务、生鲜电子商务等。最后，分别从概念、现状、发展机遇与障碍等角度，对新兴的电子商务模式尝试着进行较为全面的介绍，为电子商务产业理论以及实践提供素材与参考。

关键词：流通：移动电子商务：县乡电子商务：跨境电子商务：生鲜电子商务
A Study on the Employee Voice of Silence

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ABSTRACT

In studies of employee voice and silence, scholars have been either focus on employee silence or employee voice, ignoring the “voice” behavior between them, which voices in the form but are essentially silent. We call it employee voice of silence. Although some scholars noticed that there “voice” existed in the employee silence, they haven’t started doing research on it. Rooted in Chinese culture, this study is with a qualitative method. We have found that employee voice of silence is a multidimensional construct and it can be divided into three dimensions including voice of silence of interests, defensive voice of silence and emotional voice of silence. At the same time, we built a simple model of the voice of silence and put forward suggestions about how to identify and deal with “voice” of employees better.

Keywords: Employee Silence, Employee Voice, Employee Voice of Silence
员工“沉默的声音”行为探究

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摘要

在员工沉默和员工进谏的研究中，学者们要么聚焦于员工沉默；要么聚焦于员工进谏，却忽略了介乎两者之间的“声音”行为，即形式上进谏，实质上是沉默，我们将之称为员工沉默的声音。虽然有学者注意到员工沉默中存在的“声音”的现象，但是并没有对此展开研究。本研究扎根于本土文化，用质性方法研究这一现象。研究发现，员工沉默的声音是个多维构念，可以分为利益性、防御性、情感性三个维度。同时，我们构建了沉默声音的简单模型，并就组织如何更好地识别与应对员工的“声音”提出了建议。

关键词：员工沉默；员工进谏；沉默的声音