

中国综合交通运输体系发展系列丛书

# 中国交通运输行业 企业社会责任发展报告 2018

THE REPORT ON CORPORATE SOCIAL RESPONSIBILITY  
DEVELOPMENT OF CHINA'S TRANSPORTATION INDUSTRY  
( 2018 )

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## 内 容 提 要

本报告以国际标准 ISO 26000《社会责任指南》和 GRI《可持续发展报告指南》(G4 版)为基础,充分结合我国交通运输行业企业社会责任的实践发展现状,通过港交所、上交所和深交所的企业社会责任数据,综合运用了主成分分析、变异系数、灰色关联度和 R 聚类等指标筛选方法,建立了交通运输行业企业社会责任评价指标体系;通过 CRITIC、熵权法等指标赋权方法,测度了交通运输行业企业社会责任绩效得分。在交通运输行业企业社会责任绩效评价指标体系、评价方法体系等方面取得了一系列突破性进展。本报告由质量综合评价、绩效综合评价和行业发展评价三大篇组成。

本报告的阅读对象主要是:企业管理者、企业社会责任实践者、企业社会责任研究者、政府相关管理部门以及相关专业的研究人员。

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# 序一

当前我国经济逐步进入从高速增长转向中高速增长的新常态，发展方式逐步从追求规模和速度的粗放型发展方式转向追求资源节约和环境友好的低碳可持续发展，经济发展以保障和发展民生为基本落脚点，致力于发展成果惠及全体人民。在这样的宏观背景下，我国企业在发展理念上也应做出战略性调整。企业社会责任的提升越来越成为优秀企业的战略目标和内在需求。企业越来越需要通过自觉履行在诚信经营、维护员工和消费者权益、服务社会、保护环境诸方面的社会责任来提升自身的品牌和声誉。近年来，中国企业在履行企业社会责任方面取得了可喜的进步。很多企业已经把社会责任理念和要求融入企业战略、生产经营策略以及企业文化建设之中。这也是不少中国企业近年来在国际竞争格局下快速崛起的重要因素。但另一方面，我国的企业社会责任发展还存在明显的不足之处。一些企业的社会责任意识还较为淡薄，更多的企业则对履行企业社会责任的认知存在片面之处。进一步提升企业社会责任的意识和能力还需要全社会做出更大的努力。

交通运输行业是国民经济的极为重要的行业，人民群众对交通运输服务的质量也极为感同身受；同时，交通运输企业在履行能源和环境方面社会责任的表现对于建设资源节约和环境友好的可持续发展社会也极为重要。因此，应对交通运输行业的企业社会责任发展予以充分的重视。对于企业社会责任领域的学者而言，对交通运输行业的企业社会责任发展的调查、分析和研究是极为必要的。一方面，应对我国交通运输企业社会责任的行业特点加以归纳总结，全面总结交通运输企业履行社会责任所涉及的方面，为对交通运输企业社会责任的评价提供依据。另一方面，应根据企业在履行社会责任方面的实际表现，总结经验教训，弘扬先进，鞭策后进，提高全行业履行企业社会责任的意识和能力，亦为具体企业的企业社会责任工作提供有益的借鉴乃至指导。

正因如此，大连海事大学综合交通运输协同创新中心匡海波教授团队多年来立足于交通运输行业，关注其企业社会责任发展的工作是一项意义重大的工作。自 2012 年发布第一份年度报告起，现在这本《中国交通运输行业企业社会责任发展报告（2018）》是团队连续发布的第六份报告。面对这样一份厚重的高质量的发展报告，作为一名管理学者，我极能体会编撰者个中的辛劳与甘苦。细细读来，深为匡海波教授团队各位成员的认真和细致的工作感动。同时，这又是一项成果卓著的作品。报告系统地构筑了交通运输行业企业社会责任的绩效评价体系，与前几年的报告相比，本年度报告所依托的体系更臻完善。在此基础上，报告对交通运输企业履行企业社会责任的绩效进行了深入细致的分析。在前面提到的宏观把握我国交通运输行业企业社会责任发展状况、细致剖析存在问题的发展方向，以



及为企业提供有益的指导和借鉴等方面，该报告都能起到很好的作用。愿匡海波教授及其团队今后再接再厉，把这项大有意义的事业继续推进下去。更为希望这个系列报告得到在更大范围内得到认知，在推进我国甚至世界范围内的交通运输企业的社会责任发展方面起更大的作用。

汪寿阳  
发展中国家科学院院士  
中国系统工程学会理事长  
2018 年春

## 序二

《管子·乘马》篇曰：“非诚贾不得食于贾”，李克强总理说：“市场经济是法治经济，也是讲道德、讲诚信的经济”。从古至今，社会是企业立身之基，道德是企业立身之本。逐利虽为企业本性，但为谋求自身利益而伤害公共利益的企业是难以走远的。在全球面临着气候变化、水资源短缺、环境恶化、长期贫困、文化冲突等挑战的背景下，越来越多的企业认识到社会责任表现对企业绩效及社会声誉的实质性影响。自 2006 年起，我国企业社会责任在各方的推动下得到了迅猛发展。然而实践界出现的一系列问题仍不容忽视：企业履责偏盲目，在社会责任实践之路上追求“大而全”；责任实践指引缺乏明确性，较难帮助企业在履行社会责任的过程中“自审、自防”；责任绩效评价标准不甚明晰，导致企业社会责任评价过程中主观意识过强。

交通运输是关系国际民生的基础性和服务性行业，在当今能源紧缺、各国都在减少碳排放量的国际大环境下，作为能源消耗的大户，交通运输行业所应承担的社会责任越来越受到人们的重视。根据我国学者的研究，交通运输行业企业社会责任可定义为：交通运输企业在为社会生产和流通提供运输服务并获取利润的同时，必须主动承担对利益相关者的责任，遵守社会伦理道德、节约能源、减少污染排放，保护生态环境、为大众提供优质服务，实现经济效益与社会效益的最大化，并实现企业与社会和谐与可持续发展。2016 是我国“十三五”开局之年，我国进入全面建成小康社会的决战时期、全面深化改革的攻坚时期和全面推进依法治国的关键时期。我国交通运输部印发的《交通运输标准化“十三五”发展规划》及《交通运输信息化“十三五”发展规划》均明确指出：“十三五”是交通运输转型升级、提质增效的关键期。面对新形势、新任务，交通运输发展必须坚持以“四个全面”为统领，坚持创新、协调、绿色、开放、共享的发展理念，贯彻落实“使交通真正成为发展先行官”要求，加快综合交通运输体系建设，提高交通运输服务品质，提升行业治理能力和水平。我国“十三五”规划也针对交通运输行业明确提出推动运输服务低碳智能安全发展、强化责任落实、提升安全管理质量、加大教育培训力度等要求。作为国民经济的三大支柱产业之一，交通运输行业想要实现大发展、大跨越，为国民经济社会建设添砖加瓦，必须积极推进相关企业加强自身的社会责任建设并规范社会责任实践。

大连海事大学综合交通运输协同创新中心一直致力于交通运输行业企业社会责任与可持续发展的研究，连续六年发布《交通运输行业企业社会责任发展报告》，以交通运输行业当年发布企业社会责任报告的上市公司为研究对象，通过客观全面的评价指标体系对各上市公司社会责任的履行情况进行公平公正的评价与分析，从中发现企业社会责任发展短板并提出改善意见，为交通运输行业企业社会责



任的发展助力加油。通过五年的积淀，今年该中心如约发布《中国交通运输行业企业社会责任发展报告(2018)》，以国家“十三五”规划及各相关政策为指引，以交通运输行业发展现状为背景，基于定性与定量相结合的方法重新构建“交通运输行业企业社会责任绩效评价指标体系”，并对交通运输行业63家上市公司的企业社会责任实践情况以行业为划分标准分门别类地进行了系统分析，采用“树立优秀企业标杆”“找出落后企业典型”的方式针对个别企业进行重点分析，报告内容丰富，框架设定层层递进、条理清晰，是一本值得企业尤其是交通运输类企业阅读的谏言书。

沙砾需经历磨练才能变成价值连城的珍珠，雄鹰需历经千百次尝试才能翱翔天际，梅花需忍耐簌簌寒风才能凌寒独自开，它们靠的都是坚持的力量。愿大连海事大学综合交通运输协同创新中心秉承坚持的信念，不惧艰难、勇于尝试、甘于忍耐，在社会责任实践探索之路上不断开拓创新、继续勇往前进，为我国交通运输行业企业社会责任的发展建言献策、贡献己力！

汪 鸣

国家发展和改革委员会综合运输研究所所长

2018年春

## 前言

近些年来，在经济发展新常态下，党和政府领导人数次强调了对绿色发展的重视。党的十八届五中全会强调，实现“十三五”时期发展目标，破解发展难题，厚植发展优势，必须牢固树立并切实贯彻创新、协调、绿色、开放、共享的发展理念。绿色发展不仅能够作为从根本上应对、解决当前面临的严重的环境问题的措施，还将有助于推动经济社会的持续、和谐发展繁荣。绿色发展是一项全社会的系统工程，企业社会责任是这一系统工程的重要组织部分。企业社会责任已成为传统国际贸易壁垒之后新的“绿色贸易壁垒”，通过政府、非政府组织以及采购商和消费者等多种渠道对国际贸易产生影响。与传统贸易壁垒不同的是，企业社会责任壁垒因其对和谐、持续发展的有益性，是全社会都致力于构建和维护的贸易壁垒。从而避免责任壁垒对贸易发展阻碍的唯一有效方法就是符合国际化的企业社会责任标准。企业社会责任已成为了各国、各地区在未来构建竞争力的重要战略性因素。

我国的企业社会责任理论和实践的发展起步都晚于西方，但是发展蓬勃。对外交流的不断扩大，更是极大地加快了这一理念的普及。推动企业在社会责任方面出色表现，不仅仅是企业的独责，理论界也要发挥其引导之作用，实践与理论并行才能行之有力。从现状来考虑，理论界有效发挥其实际引导作用的方式方法并不多，其引导力也是匮乏的。问题的关键在于，具有权威性的机构及相关体系之缺乏，导致了企业的无“法”可依，无“路”可循之现状。大连海事大学综合交通运输协同创新中心组织编写《中国交通运输行业企业社会责任发展报告》之意便在于要推动破除这一症结，最终实现企业在社会责任方面的持续进步，从而使社会和谐发展。

交通运输行业是关系国计民生的基础性产业，包括铁路运输、公路运输、水路运输、航空运输等多个子行业，为人民生活水平的提高提供了必要的基础设施。在当今能源紧缺、各国都在减少碳排放量的国际大环境下，作为能源消耗的大户，交通运输行业所应承担的社会责任越来越受到人们的重视。这是一项从宏观到微观的重要工作，其全面履行社会责任，对于行业质量发展和经济发展方式转变起到关键作用，其举足轻重的行业地位更决定了其承担社会责任的必要性和重要影响力。

《中国交通运输行业企业社会责任发展报告（2018）》（以下简称“报告”）由企业社会责任质量综合评价、企业社会责任绩效综合评价和企业社会责任行业发展评价三大篇组成。本报告以国际标准 ISO 26000《社会责任指南》和 GRI《可持续发展报告指南》（G 4.0 版）为基础，通过对指标的海选、筛选，构建了交通运输行业企业社会责任的评价指标体系。报告综合运用了 R 聚类、变异系数、灰色关联度分析、相关分析、偏相关分析、主成分分析等评价方法，力求以更加客观、科学的方式评价交通运输企业承担社会责任的实践活动。基于报告开发的交通运输行业企业社会责任质量报告评价体系和企业社会责任绩效评价模型，本报告对 63 家交通运输企业社会责任表现进行了“企业社会责任报告质量、企业社会责任应用等级和企业社会责任绩效”三个方面的评价。其中，在对企业社会责任绩效



评价中,报告评析了行业整体表现以及行业分准则层表现,对前十名、后十名企业、上升幅度较大和下降幅度较大的企业进行了重点探析。报告还进一步针对交通运输行业中子行业的具体表现进行了详细的剖析,明确企业社会责任实践发展中的长处与不足,帮助交通运输企业更好地实践企业社会责任。

报告在对交通运输行业企业社会责任进行评价的过程中,不断完善评价指标体系,修正评价方法,以专业、科学的角度对企业社会责任实践中存在的不足与问题进行深入剖析,并提出了有针对性、有建设性的意见与建议。报告所开展的交通运输行业企业社会责任的一系列评价工作,对于交通运输行业企业社会责任发展具有重要意义,既是能够有效指导企业具体实施企业社会责任的重要指引,更是推动交通运输行业企业创新驱动、转型升级和实现可持续发展的助力器。

## Abstract

In recent years, under the new normal of economic growth, Chinese party and state leaders have emphasized green development for several times. The 5th Plenary Session of the 15th National Congress of the CPC emphasized that in order to achieve the development goals of the 13th Five-Year Plan, to resolve challenging issues in development, and to consolidate development advantages, we must firmly establish and conscientiously implement the idea of innovative, coordinated, green, open and shared development. Green development can not only serve as a solution to fundamentally solve current serious environmental problems, but also promote the sustainable and harmonious development of economic society. Green development is a systematic project concerning the whole society, where corporate social responsibility plays an important role. Corporate social responsibility has become the new “green trade barrier” after traditional international trade barriers, and it influences international trade through governments, non-governmental organizations, purchasers and consumers and some other various means. Different from traditional trade barriers, corporate social responsibility barrier is a kind of trade barrier which the whole society are committed to constructing and maintaining for its benefits to harmonious and sustainable development. Consequently, international standard of corporate social responsibility is the only effective method to avoid responsibility barrier’s obstruction to trade development. Corporate social responsibility has become one of the important strategic factors for every country and every region to build competence in the future.

Both theory and practice of Chinese corporate social responsibility started later compared to Western countries, however, they are developing rapidly. Moreover, the expanding foreign communication greatly accelerates the popularization of this idea. Promoting the excellent performance of corporation in undertaking social responsibility, is not peculiar to corporation, but people in theoretical circle also should play the guiding role, because it is the combination of practice with theory that can go further. Considering the reality, theoretical circle do not have many means and methods to play its guiding role effectively, and its lead power is also weak. And the point is that the absence of authoritative institutions and relevant systems leads to the current situation which corporations do not have suitable legislations or paths to follow. *The Report on Corporate Social Responsibility Development of China's Transportation Industry*, compiled by Collaborative Innovation Center for Transport Studies of Dalian Maritime University, aims at promoting to solve this problem, and finally achieves continuous improvement in corporate social responsibility and consequently realizes harmonious development of society.

Transportation industry, including many sub-industries such as railway transportation, road transportation, water transportation and air transportation, is one of the fundamental industries that matter vital to national well-being and people’s livelihood, and it provides indispensable infrastructures for the improvement of



people's living standard. Under the international environment that energy is deficient and all countries reduce carbon emission, transportation industry, as a large energy consumer, receives increasing attention in its social responsibility. This is an important work from macroscopic to microcosmic, whose overall fulfillment of social responsibility plays a significant role in development of industry quality and transformation of economic development patterns. And its decisive industry position determines the necessity and significant influence in undertaking social responsibility.

*The Report on Corporate Social Responsibility Development of China's Transportation Industry (2018)* (hereinafter referred to as "this report") consists of three parts, Integrated Assessment on Corporate Social Responsibility Quality, Integrated Assessment on Corporate Social Responsibility Achievement, and Assessment on Corporate Social Responsibility Industry Development. This report is based on ISO 26000 *Guidance on Social Responsibility* and GRI *Sustainability Reporting Guidelines* (G 4.0 version), constructing assessment index system of transportation industry corporate social responsibility by mass-electing and filtering the indexes. This report comprehensively applies various assessment methods including R-clustering analysis, coefficient of variation, grey relational analysis, correlational analysis, partial correlational analysis and principal component analysis. Various solutions verify mutually to make a contrast, trying to assess transportation industry's practical activities in undertaking social responsibility in a more objective and more scientific way. Based on assessment system of transportation industry corporate social responsibility quality and performance assessment model of corporate social responsibility developed by this report, this report assesses performances of 63 transportation industry corporate social responsibility from three aspects, quality of corporate social responsibility report, application level of corporate social responsibility and achievement of corporate social responsibility. In the achievement assessment of corporate social responsibility, this report assesses the overall industry performance and the criterion layers of industry performance, emphasizing the analysis of top-ten, bottom-ten, notably-rising and notably-declining corporations. Furthermore, this report analyzes the specific performance of sub-industries of transportation industry in detail, and pinpoints strengths and weaknesses of practical development of corporate social responsibility, which helps transportation industry better undertake corporate social responsibility.

In the process of assessing corporate social responsibility of transportation industry, this report continuously improves assessment index system, revises assessment methods, deeply analyzes the existing weaknesses and problems in the practice of corporate social responsibility in a professional and scientific way, and gives targeted and constructive comments and suggestions. A series of assessment work of transportation industry corporate social responsibility carried out by this report, is of great significance to the development of transportation industry corporate social responsibility. It is not only an important guideline to effectively guide corporation in concrete implementation of corporate social responsibility, but also a booster to promote innovation and actuation, transformation and upgrading, and realization of sustainable development of transformation industry.

# 目录

## 第一篇 交通运输行业上市公司企业社会责任质量综合评价

第1章	交通运输行业上市公司企业社会责任报告质量评价	3
1	企业社会责任报告质量评价体系	3
1.1	评价指标体系及评语集	3
1.2	评价方法	6
1.3	评价流程	7
2	交通运输行业企业社会责任报告披露情况及分析	8
2.1	报告发布类型	18
2.2	报告发布渠道	20
3	交通运输行业企业社会责任报告质量评价及分析	22
3.1	报告质量评分和总体排名情况	22
3.2	报告质量分维度评价情况	25
4	与2015年度评价结果的对比分析	29
第2章	交通运输行业上市公司企业社会责任报告应用等级评价	38
1	企业社会责任报告应用等级评价体系	38
1.1	评价标准	38
1.2	评价方法与评价流程	45
1.3	评价目的	46
2	企业社会责任报告应用等级评价结果及分析	46
2.1	企业社会责任报告应用等级总体评价情况	46
2.2	企业社会责任报告应用等级分维度评价情况	49
3	2015~2016年度评价结果的对比	51

## 第二篇 交通运输行业上市公司企业社会责任绩效综合评价

第3章	交通运输行业上市公司企业社会责任绩效评价	61
1	交通运输行业上市公司企业社会责任绩效评价总体情况	61
1.1	行业总体绩效表现分析	61



1.2	行业分准则层绩效表现分析	64
2	前10名企业社会责任绩效综合分析	79
2.1	前10名企业整体绩效得分	79
2.2	分准则层绩效表现分析	82
3	后10名企业社会责任绩效综合分析	91
3.1	后10名企业整体绩效得分	91
3.2	分准则层绩效表现分析	94
4	重点探析一：上升幅度较大的企业	101
4.1	铁龙物流	102
4.2	皖通高速	108
5	重点探析二：下降幅度较大的企业	113
5.1	中外运空运发展股份有限公司	113
5.2	吉林高速公路股份有限公司	119
第4章	交通运输行业上市公司企业社会责任绩效评价模型构建	124
1	企业社会责任绩效评价指标的海选体系构建	124
1.1	评价框架	124
1.2	海选指标体系的构建	126
2	企业社会责任绩效评价指标的筛选方法	143
2.1	评价指标数据的标准化	143
2.2	基于相关系数的指标筛选	143
2.3	基于灰色分析的指标筛选	144
2.4	指标体系的判定与建立	146
3	企业社会责任绩效评价指标的评价方法	149
3.1	基于熵权法的指标赋权方法	149
3.2	评分方程的建立	150
3.3	绩效评价指标权重	150
4	评价指标最优方案的确定标准	153
4.1	基于R聚类—变异系数的方案	153
4.2	基于相关分析—主成分分析的方案	154
4.3	基于相关分析—灰色关联度的方案	154
4.4	基于偏相关分析—灰色关联度的方案	155

### 第三篇 交通运输行业上市公司企业社会责任行业发展评价

第5章	铁路运输业企业社会责任发展评价	159
1	铁路运输业企业社会责任报告质量评价	159
1.1	报告质量评价	159

1.2 报告质量维度评价 .....	160
2 铁路运输业企业社会责任报告应用等级评价 .....	164
3 铁路运输业企业社会责任绩效评价 .....	166
3.1 总体绩效表现分析 .....	166
3.2 不同准则层的绩效表现分析 .....	167
4 铁路运输业企业社会责任发展评述 .....	172
<b>第6章 公路运输业企业社会责任发展评价 .....</b>	<b>173</b>
1 公路运输业企业社会责任报告质量评价 .....	173
1.1 报告质量评价 .....	173
1.2 报告质量维度评价 .....	174
2 公路运输业企业社会责任报告应用等级评价 .....	177
3 公路运输业企业社会责任绩效评价 .....	179
3.1 总体绩效表现分析 .....	179
3.2 不同准则层的绩效表现分析 .....	180
4 公路运输业企业社会责任发展评述 .....	185
<b>第7章 水路运输业企业社会责任发展评价 .....</b>	<b>186</b>
1 水路运输业企业社会责任报告质量评价 .....	186
1.1 报告质量评价 .....	186
1.2 报告质量维度评价 .....	188
2 水路运输业企业社会责任报告应用等级评价 .....	191
3 水路运输业企业社会责任绩效评价 .....	193
3.1 总体绩效表现分析 .....	193
3.2 不同准则层的绩效表现分析 .....	195
4 水路运输业企业社会责任发展评述 .....	198
<b>第8章 航空运输业企业社会责任发展评价 .....</b>	<b>200</b>
1 航空运输业企业社会责任报告质量评价 .....	200
1.1 报告质量评价 .....	200
1.2 报告质量维度评价 .....	201
2 航空运输业企业社会责任报告应用等级评价 .....	205
3 航空运输业企业社会责任绩效评价 .....	206
3.1 总体绩效表现分析 .....	206
3.2 不同准则层的绩效表现分析 .....	208
4 航空运输业企业社会责任发展评述 .....	212
<b>第9章 港口运输业企业社会责任发展评价 .....</b>	<b>214</b>
1 港口运输业企业社会责任报告质量评价 .....	214
1.1 报告质量评价 .....	214
1.2 报告质量维度评价 .....	216
2 港口运输业企业社会责任报告应用等级评价 .....	220



3	港口运输业企业社会责任绩效评价	222
3.1	总体绩效表现分析	222
3.2	不同准则层的绩效表现分析	224
4	港口运输业企业社会责任发展评述	229
<b>第10章</b>	<b>高速运输业企业社会责任发展评价</b>	<b>230</b>
1	高速运输业企业社会责任报告质量评价	230
1.1	报告质量评价	230
1.2	报告质量维度评价	232
2	高速运输业企业社会责任报告应用等级评价	236
3	高速运输业企业社会责任绩效评价	237
3.1	总体绩效表现分析	237
3.2	不同准则层的绩效表现分析	239
4	高速运输业企业社会责任发展评述	243
<b>第11章</b>	<b>机场运输业企业社会责任发展评价</b>	<b>245</b>
1	机场运输业企业社会责任报告质量评价	245
1.1	报告质量评价	245
1.2	报告质量维度评价	246
2	机场运输业企业社会责任报告应用等级评价	250
3	机场运输业企业社会责任绩效评价	252
3.1	总体绩效表现分析	252
3.2	不同准则层的绩效表现分析	253
4	机场运输业企业社会责任发展评述	257
<b>第12章</b>	<b>物流运输业企业社会责任发展评价</b>	<b>259</b>
1	物流运输业企业社会责任报告质量评价	259
1.1	报告质量评价	259
1.2	报告质量维度评价	260
2	物流运输业企业社会责任报告应用等级评价	264
3	物流运输业企业社会责任绩效评价	266
3.1	总体绩效表现分析	266
3.2	不同准则层的绩效表现分析	267
4	物流运输业企业社会责任发展评述	272
<b>第13章</b>	<b>交运设备业企业社会责任发展评价</b>	<b>273</b>
1	交运设备业企业社会责任报告质量评价	273
1.1	报告质量评价	273
1.2	报告质量维度评价	274
2	交运设备业企业社会责任报告应用等级评价	278
3	交运设备业企业社会责任绩效评价	279
3.1	总体绩效表现分析	279

3.2 不同准则层的绩效表现分析 .....	280
4 交运设备业企业社会责任发展评述 .....	284
参考文献 .....	285
后记 .....	289

## 图目录

图 1-1 企业社会责任报告质量评价指标体系结构 .....	3
图 1-2 2016 年度交通运输行业发布企业社会责任报告数量汇总 .....	17
图 1-3 2016 年度交通运输行业企业社会责任报告类型分布汇总 .....	20
图 1-4 2016 年度各渠道企业社会责任报告发布情况汇总 .....	22
图 1-5 2016 年度交通运输行业企业社会责任报告质量评价得分 .....	24
图 1-6 2016 年度企业社会责任报告完整性准则层得分 .....	26
图 1-7 2016 年度企业社会责任报告包容性准则层得分 .....	26
图 1-8 2016 年度企业社会责任报告实质性准则层得分 .....	27
图 1-9 2016 年度企业社会责任报告回应性准则层得分 .....	27
图 1-10 2016 年度企业社会责任报告可比性准则层得分 .....	28
图 1-11 2016 年度企业社会责任报告可信性准则层得分 .....	28
图 1-12 2016 年度企业社会责任报告创新性准则层得分 .....	29
图 1-13 2016 年度企业社会责任报告可获取性准则层得分 .....	29
图 1-14 2015~2016 年度交通运输行业企业社会责任报告类型对比分析 .....	31
图 1-15 2015~2016 年度各渠道企业社会责任报告发布情况对比分析 .....	34
图 1-16 2015~2016 年度交通运输行业企业社会责任报告质量评价得分对比分析 .....	35
图 1-17 2015~2016 年度交通运输行业企业（40 家）社会责任报告质量排名对比分析 .....	37
图 2-1 企业社会责任报告应用等级评价标准 .....	39
图 2-2 综合评价应用等级分类图 .....	48
图 2-3 战略与概况应用等级分类图 .....	49
图 2-4 管理方法披露分类图 .....	50
图 2-5 绩效指标应用等级分类图 .....	51
图 2-6 2015~2016 年度交通运输行业企业社会责任报告应用等级评价对比分析 .....	53
图 2-7 2015~2016 年度战略与概况应用等级对比图 .....	54
图 2-8 2015~2016 年度管理方法披露应用等级对比图 .....	56
图 2-9 2015~2016 年度绩效指标应用等级对比 .....	57
图 3-1 2016 年交通运输行业上市公司企业社会责任绩效得分及排名 .....	63
图 3-2 2016 年交通运输行业各准则层平均绩效得分（百分制） .....	64
图 3-3 2016 年交通运输行业上市公司环境绩效准则层绩效得分及排名 .....	66
图 3-4 2016 年交通运输行业上市公司社区发展准则层绩效得分及排名 .....	68



图 3-5	2016 年交通运输行业上市公司经济贡献准则层绩效得分及排名	70
图 3-6	2016 年交通运输行业上市公司人权准则层绩效得分及排名	72
图 3-7	2016 年交通运输行业上市公司责任治理准则层绩效得分及排名	74
图 3-8	2016 年交通运输行业上市公司产品责任准则层绩效得分及排名	76
图 3-9	2016 年交通运输行业上市公司公平运营准则层绩效得分及排名	78
图 3-10	中远集团旗下 3 家企业 2016 年社会责任绩效得分	81
图 3-11	中远集团旗下 3 家企业 2016 年社会责任绩效排名	81
图 3-12	前 10 名企业责任治理绩效 2016 年与 2015 年排名变化	83
图 3-13	前 10 名企业人权绩效 2016 年与 2015 年排名变化	84
图 3-14	前 10 名企业环境绩效 2016 年与 2015 年排名变化	86
图 3-15	前 10 名企业公平运营绩效 2016 年与 2015 年排名变化	87
图 3-16	前 10 名企业产品责任绩效 2016 年与 2015 年排名变化	88
图 3-17	前 10 名企业社区发展绩效 2016 年与 2015 年排名变化	89
图 3-18	前 10 名企业经济贡献绩效 2016 年与 2015 年排名变化	91
图 3-19	3 家港口企业 2016 年企业社会责任绩效得分	93
图 3-20	赣粤高速、福建高速企业社会责任绩效排名变化趋势	93
图 3-21	3 家高速企业 2016 年企业社会责任绩效得分	94
图 3-22	山东高速、铁龙物流、连云港责任治理绩效排名变化趋势	95
图 3-23	龙江交通、赣粤高速环境绩效排名变化趋势	96
图 3-24	福建高速、龙江交通公平运营绩效排名变化趋势	98
图 3-25	铁龙物流、赣粤高速、白云机场社区发展绩效排名变化趋势	99
图 3-26	白云机场、赣粤高速、山东高速经济贡献绩效排名变化趋势	100
图 3-27	铁龙物流 2016 年企业社会责任绩效得分一览(百分制)	104
图 3-28	铁龙物流 2015~2016 年企业社会责任绩效得分排名对比(剔除新增加企业)	104
图 3-29	铁龙物流 2016 年各准则层绩效得分与中国交通运输行业得分均值比较	105
图 3-30	安徽省高速公路路网示意图	109
图 3-31	皖通高速 2016 年企业社会责任绩效得分一览(百分制)	110
图 3-32	皖通高速 2015~2016 年企业社会责任绩效得分排名对比(剔除新增加企业)	111
图 3-33	皖通高速 2016 年各准则层绩效得分与中国交通运输行业得分均值比较	111
图 3-34	外运发展业务辐射区域图	114
图 3-35	外运发展 2010~2016 年企业社会责任绩效评价排名走势	115
图 3-36	外运发展 2016 年各一级准则层及整体绩效得分一览	115
图 3-37	外运发展 2015~2016 年一级准则层及整体绩效得分排名变化对比	115
图 3-38	外运发展 2016 年各准则层绩效得分与行业得分均值比较	116
图 3-39	吉林高速 2010~2016 年企业社会责任绩效评价排名走势	120
图 3-40	吉林高速 2016 年各一级准则层及整体绩效得分一览	120
图 3-41	吉林高速 2015~2016 年一级准则层及整体绩效得分排名变化对比	121
图 3-42	吉林高速 2016 年各准则层得分与行业绩效得分均值比较	121

图 4-1 企业社会责任绩效评价指标体系层次结构 .....	125
图 5-1 2015~2016 年铁路运输业企业社会责任报告质量总排名变化趋势 .....	160
图 5-2 铁路运输业企业社会责任报告质量 8 大准则层得分均值比较 .....	161
图 5-3 铁路运输业企业社会责任报告质量准则层——完整性得分 .....	161
图 5-4 铁路运输业企业社会责任报告质量准则层——包容性得分 .....	161
图 5-5 铁路运输业企业社会责任报告质量准则层——实质性得分 .....	161
图 5-6 铁路运输业企业社会责任报告质量准则层——回应性得分 .....	161
图 5-7 铁路运输业企业社会责任报告质量准则层——可比性得分 .....	162
图 5-8 铁路运输业企业社会责任报告质量准则层——可信性得分 .....	162
图 5-9 铁路运输业企业社会责任报告质量准则层——创新性得分 .....	162
图 5-10 铁路运输业企业社会责任报告质量准则层——可获取性得分 .....	162
图 5-11 2016 年战略与概况应用等级分布 .....	164
图 5-12 2016 年管理方法披露应用等级分布 .....	164
图 5-13 2016 年绩效指标应用等级分布 .....	165
图 5-14 2016 年综合评价应用等级分布 .....	165
图 5-15 铁路运输业企业社会责任绩效排名变化趋势 .....	167
图 5-16 铁路运输业企业社会责任绩效排名变化趋势（剔除新增加企业）.....	167
图 5-17 铁路运输业企业社会责任 7 大准则层绩效得分均值比较 .....	168
图 5-18 铁路运输业企业社会责任准则层——责任治理绩效得分 .....	168
图 5-19 铁路运输业企业社会责任准则层——人权绩效得分 .....	168
图 5-20 铁路运输业企业社会责任准则层——环境绩效得分 .....	168
图 5-21 铁路运输业企业社会责任准则层——公平运营绩效得分 .....	168
图 5-22 铁路运输业企业社会责任准则层——产品责任绩效得分 .....	168
图 5-23 铁路运输业企业社会责任准则层——社区发展绩效得分 .....	168
图 5-24 铁路运输业企业社会责任准则层——经济贡献绩效得分 .....	168
图 6-1 2015~2016 年公路运输业企业社会责任报告质量总排名变化趋势 .....	174
图 6-2 公路运输业企业社会责任报告质量 8 大准则层得分均值比较 .....	175
图 6-3 公路运输业企业社会责任报告质量准则层——完整性得分 .....	175
图 6-4 公路运输业企业社会责任报告质量准则层——包容性得分 .....	175
图 6-5 公路运输业企业社会责任报告质量准则层——实质性得分 .....	175
图 6-6 公路运输业企业社会责任报告质量准则层——回应性得分 .....	175
图 6-7 公路运输业企业社会责任报告质量准则层——可比性得分.....	176
图 6-8 公路运输业企业社会责任报告质量准则层——可信性得分 .....	176
图 6-9 公路运输业企业社会责任报告质量准则层——创新性得分 .....	176
图 6-10 公路运输业企业社会责任报告质量准则层——可获取性得分 .....	176
图 6-11 2016 年战略与概况应用等级分布 .....	178
图 6-12 2016 年管理方法披露应用等级分布 .....	178
图 6-13 2016 年绩效指标应用等级分布 .....	178



图 6-14	2016 年综合评价应用等级分布 .....	178
图 6-15	公路运输业企业社会责任绩效排名变化趋势 .....	180
图 6-16	公路运输业企业社会责任绩效排名变化趋势(剔除新增加企业) .....	180
图 6-17	公路运输业企业社会责任 7 大准则层绩效得分均值比较 .....	181
图 6-18	公路运输业企业社会责任准则层——责任治理绩效得分 .....	181
图 6-19	公路运输业企业社会责任准则层——人权绩效得分 .....	181
图 6-20	公路运输业企业社会责任准则层——环境绩效得分 .....	181
图 6-21	公路运输业企业社会责任准则层——公平运营绩效得分 .....	181
图 6-22	公路运输业企业社会责任准则层——产品责任绩效得分 .....	181
图 6-23	公路运输业企业社会责任准则层——社区发展绩效得分 .....	181
图 6-24	公路运输业企业社会责任准则层——经济贡献绩效得分 .....	181
图 7-1	2015~2016 年水路运输业企业社会责任报告质量总排名变化趋势 .....	187
图 7-2	水路运输业企业社会责任报告质量 8 大准则层得分均值比较 .....	188
图 7-3	水路运输业企业社会责任报告质量准则层——完整性得分 .....	189
图 7-4	水路运输业企业社会责任报告质量准则层——包容性得分 .....	189
图 7-5	水路运输业企业社会责任报告质量准则层——实质性得分 .....	189
图 7-6	水路运输业企业社会责任报告质量准则层——回应性得分 .....	189
图 7-7	水路运输业企业社会责任报告质量准则层——可比性得分 .....	189
图 7-8	水路运输业企业社会责任报告质量准则层——可信性得分 .....	189
图 7-9	水路运输业企业社会责任报告质量准则层——创新性得分 .....	189
图 7-10	水路运输业企业社会责任报告质量准则层——可获取性得分 .....	189
图 7-11	2016 年战略与概况应用等级分布 .....	192
图 7-12	2016 年管理方法披露应用等级分布 .....	192
图 7-13	2016 年绩效指标应用等级分布 .....	192
图 7-14	2016 年综合评价应用等级分布 .....	192
图 7-15	水路运输业企业社会责任绩效排名变化趋势 .....	194
图 7-16	水路运输业企业社会责任绩效排名变化趋势(剔除新增加企业) .....	194
图 7-17	水路运输业企业社会责任 7 大准则层绩效得分均值比较 .....	195
图 7-18	水路运输业企业社会责任准则层——责任治理绩效得分 .....	195
图 7-19	水路运输业企业社会责任准则层——人权绩效得分 .....	195
图 7-20	水路运输业企业社会责任准则层——环境绩效得分 .....	195
图 7-21	水路运输业企业社会责任准则层——公平运营绩效得分 .....	196
图 7-22	水路运输业企业社会责任准则层——产品责任绩效得分 .....	196
图 7-23	水路运输业企业社会责任准则层——社区发展绩效得分 .....	196
图 7-24	水路运输业企业社会责任准则层——经济贡献绩效得分 .....	196
图 8-1	2015~2016 年航空运输业企业社会责任报告质量总排名变化趋势 .....	201
图 8-2	航空运输业企业社会责任报告质量 8 大准则层均值比较 .....	202
图 8-3	航空运输业企业社会责任报告质量准则层——完整性得分 .....	202

图 8-4	航空运输业企业社会责任报告质量准则层——包容性得分	202
图 8-5	航空运输业企业社会责任报告质量准则层——实质性得分	203
图 8-6	航空运输业企业社会责任报告质量准则层——回应性得分	203
图 8-7	航空运输业企业社会责任报告质量准则层——可比性得分	203
图 8-8	航空运输业企业社会责任报告质量准则层——可信性得分	203
图 8-9	航空运输业企业社会责任报告质量准则层——创新性得分	203
图 8-10	航空运输业企业社会责任报告质量准则层——可获取性得分	203
图 8-11	2016 年战略与概况应用等级分布	205
图 8-12	2016 年管理方法披露应用等级分布	205
图 8-13	2016 年绩效指标应用等级分布	206
图 8-14	2016 年综合评价应用等级分布	206
图 8-15	航空运输业企业社会责任绩效排名变化趋势	208
图 8-16	航空运输业企业社会责任绩效排名变化趋势 (剔除新增加企业)	208
图 8-17	航空运输业企业社会责任 7 大准则层均值比较	209
图 8-18	航空运输业企业社会责任准则层——责任治理绩效得分	209
图 8-19	航空运输业企业社会责任准则层——人权绩效得分	209
图 8-20	航空运输业企业社会责任准则层——环境绩效得分	209
图 8-21	航空运输业企业社会责任准则层——公平运营绩效得分	209
图 8-22	航空运输业企业社会责任准则层——产品责任绩效得分	209
图 8-23	航空运输业企业社会责任准则层——社区发展绩效得分	210
图 8-24	航空运输业企业社会责任准则层——经济贡献绩效得分	210
图 9-1	2015~2016 年港口运输业企业社会责任报告质量总排名变化趋势	215
图 9-2	港口运输业企业社会责任报告质量 8 大准则层得分均值比较	217
图 9-3	港口运输业企业社会责任报告质量准则层——完整性得分	217
图 9-4	港口运输业企业社会责任报告质量准则层——包容性得分	217
图 9-5	港口运输业企业社会责任报告质量准则层——实质性得分	217
图 9-6	港口运输业企业社会责任报告质量准则层——回应性得分	217
图 9-7	港口运输业企业社会责任报告质量准则层——可比性得分	217
图 9-8	港口运输业企业社会责任报告质量准则层——可信性得分	217
图 9-9	港口运输业企业社会责任报告质量准则层——创新性得分	218
图 9-10	港口运输业企业社会责任报告质量准则层——可获取性得分	218
图 9-11	2016 年战略与概况应用等级分布	221
图 9-12	2016 年管理方法披露应用等级分布	221
图 9-13	2016 年绩效指标应用等级分布	221
图 9-14	2016 年综合评价应用等级分布	221
图 9-15	港口运输业企业社会责任绩效排名变化趋势	224
图 9-16	港口运输业企业社会责任绩效变化趋势 (剔除新增加企业)	224
图 9-17	港口运输业企业社会责任 7 大准则层绩效得分均值比较	225



图 9-18	港口运输业企业社会责任准则层——责任治理绩效得分	225
图 9-19	港口运输业企业社会责任准则层——人权绩效得分	225
图 9-20	港口运输业企业社会责任准则层——环境绩效得分	225
图 9-21	港口运输业企业社会责任准则层——公平运营绩效得分	225
图 9-22	港口运输业企业社会责任准则层——产品责任绩效得分	225
图 9-23	港口运输业企业社会责任准则层——社区发展绩效得分	225
图 9-24	港口运输业企业社会责任准则层——经济贡献绩效得分	225
图 10-1	2015~2016 年高速运输业企业社会责任报告质量总排名变化趋势	231
图 10-2	高速运输业企业社会责任报告质量 8 大准则层得分均值比较	232
图 10-3	高速运输业企业社会责任报告质量准则层——完整性得分	233
图 10-4	高速运输业企业社会责任报告质量准则层——包容性得分	233
图 10-5	高速运输业企业社会责任报告质量准则层——实质性得分	233
图 10-6	高速运输业企业社会责任报告质量准则层——回应性得分	233
图 10-7	高速运输业企业社会责任报告质量准则层——可比性得分	233
图 10-8	高速运输业企业社会责任报告质量准则层——可信性得分	233
图 10-9	高速运输业企业社会责任报告质量准则层——创新性得分	233
图 10-10	高速运输业企业社会责任报告质量准则层——可获取性得分	233
图 10-11	2016 年战略与概况应用等级分布	236
图 10-12	2016 年管理方法披露应用等级分布	236
图 10-13	2016 年绩效指标应用等级分布	237
图 10-14	2016 年综合评价应用等级分布	237
图 10-15	高速运输业企业社会责任绩效排名变化趋势	239
图 10-16	高速运输业企业社会责任绩效排名变化趋势(剔除新增加企业)	239
图 10-17	高速运输业企业社会责任 7 大准则层绩效得分均值比较	240
图 10-18	高速运输业企业社会责任准则层——责任治理绩效得分	240
图 10-19	高速运输业企业社会责任准则层——人权绩效得分	240
图 10-20	高速运输业企业社会责任准则层——环境绩效得分	240
图 10-21	高速运输业企业社会责任准则层——公平运营绩效得分	240
图 10-22	高速运输业企业社会责任准则层——产品责任绩效得分	240
图 10-23	高速运输业企业社会责任准则层——社区发展绩效得分	240
图 10-24	高速运输业企业社会责任准则层——经济贡献绩效得分	240
图 11-1	2015~2016 年机场运输业企业社会责任报告质量总排名变化趋势	246
图 11-2	机场运输业企业社会责任报告质量 8 大准则层得分均值比	247
图 11-3	机场运输业企业社会责任报告质量准则层——完整性得分	247
图 11-4	机场运输业企业社会责任报告质量准则层——包容性得分	247
图 11-5	机场运输业企业社会责任报告质量准则层——实质性得分	247
图 11-6	机场运输业企业社会责任报告质量准则层——回应性得分	247
图 11-7	机场运输业企业社会责任报告质量准则层——可比性得分	248

图 11-8	机场运输业企业社会责任报告质量准则层——可信性得分	248
图 11-9	机场运输业企业社会责任报告质量准则层——创新性得分	248
图 11-10	机场运输业企业社会责任报告质量准则层——可获取性得分	248
图 11-11	2016 年战略与概况应用等级分布	251
图 11-12	2016 年管理方法披露应用等级分布	251
图 11-13	2016 年绩效指标应用等级分布	251
图 11-14	2016 年综合评价应用等级分布	251
图 11-15	机场运输业企业社会责任绩效排名变化趋势	253
图 11-16	机场运输业企业社会责任绩效排名变化趋势（剔除新增加企业）	253
图 11-17	机场运输业企业社会责任 7 大准则层绩效得分均值比较	254
图 11-18	机场运输业企业社会责任准则层——责任治理绩效得分	254
图 11-19	机场运输业企业社会责任准则层——人权绩效得分	254
图 11-20	机场运输业企业社会责任准则层——环境绩效得分	254
图 11-21	机场运输业企业社会责任准则层——公平运营绩效得分	254
图 11-22	机场运输业企业社会责任准则层——产品责任绩效得分	254
图 11-23	机场运输业企业社会责任准则层——社区发展绩效得分	254
图 11-24	机场运输业企业社会责任准则层——经济贡献绩效得分	254
图 12-1	2015~2016 年物流运输业企业社会责任报告质量总排名变化趋势	260
图 12-2	物流运输业企业社会责任报告质量 8 大准则层得分均值比较	261
图 12-3	物流运输业企业社会责任报告质量准则层——完整性得分	261
图 12-4	物流运输业企业社会责任报告质量准则层——包容性得分	261
图 12-5	物流运输业企业社会责任报告质量准则层——实质性得分	262
图 12-6	物流运输业企业社会责任报告质量准则层——回应性得分	262
图 12-7	物流运输业企业社会责任报告质量准则层——可比性得分	262
图 12-8	物流运输业企业社会责任报告质量准则层——可信性得分	262
图 12-9	物流运输业企业社会责任报告质量准则层——创新性得分	262
图 12-10	物流运输业企业社会责任报告质量准则层——可获取性得分	262
图 12-11	2016 年战略与概况应用等级分布	265
图 12-12	2016 年管理方法披露应用等级分布	265
图 12-13	2016 年绩效指标应用等级分布	265
图 12-14	2016 年综合评价应用等级分布	265
图 12-15	物流运输业企业社会责任绩效排名变化趋势	267
图 12-16	物流运输业企业社会责任绩效排名变化趋势（剔除新增加企业）	267
图 12-17	物流运输业企业社会责任 7 大准则层绩效得分均值比较	268
图 12-18	物流运输业企业社会责任准则层——责任治理绩效得分	268
图 12-19	物流运输业企业社会责任准则层——人权绩效得分	269
图 12-20	物流运输业企业社会责任准则层——环境绩效得分	269
图 12-21	物流运输业企业社会责任准则层——公平运营绩效得分	269



图 12-22	物流运输业企业社会责任准则层——产品责任绩效得分	269
图 12-23	物流运输业企业社会责任准则层——社区发展绩效得分	269
图 12-24	物流运输业企业社会责任准则层——经济贡献绩效得分	269
图 13-1	2016 年交运设备业企业社会责任报告质量总排名趋势	274
图 13-2	交运设备业企业社会责任报告质量 8 大准则层得分均值比较	275
图 13-3	交运设备业企业社会责任报告质量准则层——完整性得分	275
图 13-4	交运设备业企业社会责任报告质量准则层——包容性得分	275
图 13-5	交运设备业企业社会责任报告质量准则层——实质性得分	275
图 13-6	交运设备业企业社会责任报告质量准则层——回应性得分	275
图 13-7	交运设备业企业社会责任报告质量准则层——可比性得分	275
图 13-8	交运设备业企业社会责任报告质量准则层——可信性得分	275
图 13-9	交运设备业企业社会责任报告质量准则层——创新性得分	276
图 13-10	交运设备业企业社会责任报告质量准则层——可获取性得分	276
图 13-11	2016 年战略与概况应用等级分布	278
图 13-12	2016 年管理方法披露应用等级分布	278
图 13-13	2016 年绩效指标应用等级分布	278
图 13-14	2016 年综合评价应用等级分布	278
图 13-15	交运设备业企业社会责任绩效排名变化趋势	280
图 13-16	交运设备业企业社会责任 7 大准则层绩效得分均值比较	281
图 13-17	交运设备业企业社会责任准则层——责任治理绩效得分	281
图 13-18	交运设备业企业社会责任准则层——人权绩效得分	281
图 13-19	交运设备业企业社会责任准则层——环境绩效得分	281
图 13-20	交运设备业企业社会责任准则层——公平运营绩效得分	281
图 13-21	交运设备业企业社会责任准则层——产品责任绩效得分	281
图 13-22	交运设备业企业社会责任准则层——社区发展绩效得分	281
图 13-23	交运设备业企业社会责任准则层——经济贡献绩效得分	281

## 表目录

表 1-1	企业社会责任报告质量评价指标设定及其解释	4
表 1-2	企业社会责任报告质量评价体系评语集	5
表 1-3	企业社会责任报告质量评价体系准则层的权重	7
表 1-4	1 ~ 10 阶判断矩阵的 <i>RI</i> 值	7
表 1-5	2016 年度交通运输行业上市公司名单及报告发布情况统计	8
表 1-6	2015~2016 年度交通运输行业上市公司名单变化情况	12
表 1-7	2015~2016 年度交通运输行业发布企业社会责任报告的上市公司名单变化情况	13
表 1-8	2007~2016 年交通运输行业 63 家上市公司发布企业社会责任报告情况	14
表 1-9	2016 年度交通运输行业发布企业社会责任报告数量汇总	17

表 1-10	2016 年交通运输行业三大发布平台企业社会责任报告发布情况	17
表 1-11	2016 年度交通运输行业企业社会责任报告类型统计	19
表 1-12	2016 年度企业社会责任报告类型分布汇总	20
表 1-13	2016 年度各渠道交通运输行业企业社会责任报告发布情况	21
表 1-14	2016 年度各渠道企业社会责任报告发布情况汇总	22
表 1-15	2016 年度交通运输行业企业社会责任报告质量评价得分和排名	23
表 1-16	2016 年度交通运输行业企业社会责任报告质量评价准则层得分表	25
表 1-17	2015~2016 年度报告发布类型对比分析	30
表 1-18	2015~2016 年度企业社会责任报告发布类型对比分析	31
表 1-19	2015~2016 年度各渠道企业社会责任报告发布情况对比分析	32
表 1-20	2015~2016 年度各渠道企业社会责任报告发布情况对比分析	34
表 1-21	2015~2016 年度交通运输行业企业社会责任报告质量排名对比分析	36
表 2-1	企业社会责任报告内容索引表	39
表 2-2	2016 年度交通运输行业企业社会责任报告应用等级	46
表 2-3	综合评价应用等级分类表	48
表 2-4	战略与概况应用等级分类表	49
表 2-5	管理方法披露应用等级分类表	50
表 2-6	绩效指标应用等级分类表	50
表 2-7	2015~2016 年度交通运输行业企业社会责任报告应用等级评价对比	52
表 2-8	2015~2016 年度交通运输行业企业社会责任报告应用等级评价对比分析	53
表 2-9	2015~2016 年度战略与概况应用等级对比表	53
表 2-10	2015~2016 年度战略与概况应用等级对比表	54
表 2-11	2015~2016 年度管理方法披露应用等级对比表	55
表 2-12	2015~2016 年度管理方法披露应用等级对比表	56
表 2-13	2015~2016 年度绩效指标应用等级对比表	56
表 2-14	2015~2016 年度绩效指标应用等级对比表	57
表 3-1	2016 年交通运输行业上市公司企业社会责任绩效得分及排名	61
表 3-2	2016 年交通运输行业各准则层平均绩效得分(百分制)	64
表 3-3	2016 年交通运输行业上市公司环境准则层绩效得分及排名	65
表 3-4	2016 年交通运输行业上市公司社区发展准则层绩效得分及排名	67
表 3-5	2016 年交通运输行业上市公司经济贡献准则层绩效得分及排名	69
表 3-6	2016 年交通运输行业上市公司人权准则层绩效得分及排名	71
表 3-7	2016 年交通运输行业上市公司责任治理准则层绩效得分及排名	73
表 3-8	2016 年交通运输行业上市公司产品责任准则层绩效得分及排名	75
表 3-9	2016 年交通运输行业上市公司公平运营准则层绩效得分及排名	77
表 3-10	2016 年交通运输行业企业社会责任绩效前 10 名的企业	79
表 3-11	前 10 名企业责任治理绩效得分	83
表 3-12	前 10 名企业人权绩效得分	84



表 3-13	前 10 名企业环境绩效得分	85
表 3-14	前 10 名企业公平运营绩效得分	86
表 3-15	前 10 名企业产品责任绩效得分	88
表 3-16	前 10 名企业社区发展绩效得分	89
表 3-17	前 10 名企业经济贡献绩效得分	90
表 3-18	2016 年交通运输行业企业社会责任绩效后 10 名的企业	92
表 3-19	后 10 名企业责任治理绩效得分	94
表 3-20	后 10 名企业人权绩效得分	95
表 3-21	后 10 名企业环境绩效得分	96
表 3-22	后 10 名企业公平运营绩效得分	97
表 3-23	后 10 名企业产品责任绩效得分	98
表 3-24	后 10 名企业社区发展绩效得分	99
表 3-25	后 10 名企业经济贡献绩效得分	100
表 3-26	2016 年与 2015 年企业排名对比 (剔除新增加企业)	101
表 3-27	2016 年铁龙物流各企业社会责任准则层绩效与 2015 年排名对比 (剔除新增加企业)	103
表 3-28	2016 年皖通高速各企业社会责任准则层绩效与 2015 年排名对比 (剔除新增加企业)	110
表 3-29	外运发展准则层及企业社会责任整体绩效得分一览	114
表 3-30	吉林高速准则层及企业社会责任整体绩效得分一览	120
表 4-1	企业社会责任绩效评价指标体系	126
表 4-2	责任治理评语集	129
表 4-3	人权评语集	131
表 4-4	环境评语集	133
表 4-5	公平运营评语集	136
表 4-6	产品责任评语集	137
表 4-7	社区发展评语集	139
表 4-8	经济贡献评语集	141
表 4-9	交通运输行业企业社会责任绩效评价指标体系	147
表 4-10	绩效评价指标权重集	150
表 5-1	铁路运输业企业社会责任报告质量评分及排名	159
表 5-2	铁路运输业企业社会责任报告质量 8 大准则层得分及均值	160
表 5-3	铁路运输业企业社会责任报告应用等级分维度评价分布	164
表 5-4	铁路运输业企业社会责任绩效得分及排序	166
表 5-5	铁路运输业企业社会责任 7 大准则层绩效得分及均值 (百分制)	167
表 5-6	2016 年中国交通运输业各子行业企业社会责任绩效均值排名	172
表 6-1	公路运输业企业社会责任报告质量评分及排名	173
表 6-2	公路运输业企业社会责任报告质量 8 大准则层得分及均值	174

表 6-3	公路运输业企业社会责任报告应用等级分布 .....	177
表 6-4	公路运输业企业社会责任绩效得分及排序 .....	179
表 6-5	公路运输业企业社会责任 7 大准则层绩效得分及均值 (百分制) .....	180
表 7-1	水路运输业企业社会责任报告质量评分及排名 .....	187
表 7-2	水路运输业企业社会责任报告质量 8 大准则层得分及均值 .....	188
表 7-3	水路运输业企业社会责任报告应用等级分维度评价分布 .....	191
表 7-4	水路运输业企业社会责任绩效得分及排序 .....	193
表 7-5	水路运输业企业社会责任 7 大准则层绩效得分及均值 (百分制) .....	195
表 8-1	航空运输业企业社会责任报告质量评分及排名 .....	201
表 8-2	航空运输业企业社会责任报告质量 8 大准则层得分及均值 .....	202
表 8-3	航空运输业企业社会责任报告应用等级分维度评价分布 .....	205
表 8-4	航空运输业企业社会责任绩效得分及排序 .....	207
表 8-5	航空运输业企业社会责任 7 大准则层绩效得分及均值 (百分制) .....	208
表 9-1	港口运输业企业社会责任报告质量评分及排名 .....	215
表 9-2	港口运输业企业社会责任报告质量 8 大准则层得分及均值 .....	216
表 9-3	港口运输业企业社会责任报告应用等级分维度评价分布 .....	220
表 9-4	港口运输业企业社会责任绩效得分及排序 .....	223
表 9-5	港口运输业企业社会责任 7 大准则层绩效得分及均值 (百分制) .....	224
表 10-1	高速运输业企业社会责任报告质量评分及排名 .....	230
表 10-2	高速运输业企业社会责任报告质量 8 大准则层得分及均值 .....	232
表 10-3	高速运输业企业社会责任报告应用等级分维度评价分布 .....	236
表 10-4	高速运输业企业社会责任绩效得分及排序 .....	238
表 10-5	高速运输业企业社会责任 7 大准则层绩效得分及均值 (百分制) .....	239
表 11-1	机场运输业企业社会责任报告质量评分及排名 .....	245
表 11-2	机场运输业企业社会责任报告质量 8 大准则层得分及均值 .....	246
表 11-3	机场运输业企业社会责任报告应用等级分维度评价分布 .....	250
表 11-4	机场运输业企业社会责任绩效得分及排序 .....	252
表 11-5	机场运输业企业社会责任 7 大准则层绩效得分及均值 (百分制) .....	253
表 12-1	物流运输业企业社会责任报告质量评分及排名 .....	259
表 12-2	物流运输业企业社会责任报告质量 8 大准则层得分及均值 .....	261
表 12-3	物流运输业企业社会责任报告应用等级分维度评价分布 .....	264
表 12-4	物流运输业企业社会责任绩效得分及排序 .....	266
表 12-5	物流运输业企业社会责任 7 大准则层绩效得分及均值 (百分制) .....	268
表 13-1	交运设备业企业社会责任报告质量评分及排名 .....	273
表 13-2	交运设备业企业社会责任报告质量 8 大准则层得分及均值 .....	274
表 13-3	交运设备业企业社会责任报告应用等级分维度评价分布 .....	278
表 13-4	交运设备业企业社会责任绩效得分及排序 .....	279
表 13-5	交运设备业企业社会责任 7 大准则层绩效得分及均值 (百分制) .....	280

# Contents

## Part 1 Comprehensive Evaluation of the Quality of Corporate Social Responsibility of Listed Companies in the Transportation Industry

<b>Chapter 1 Quality Evaluation of CSR Reports of Listed Companies in the Transportation Industry</b> .....	3
1 CSR Report Quality Evaluation System .....	3
1.1 Evaluation Indicator System and Review Set .....	3
1.2 Evaluation Methods .....	6
1.3 Evaluation Process .....	7
2 Disclosure and Analysis of CSR Reports in the Transportation Industry .....	8
2.1 Report Release Type .....	18
2.2 Report Distribution Channel .....	20
3 Quality Evaluation and Analysis of CSR Reports in the Transportation Industry .....	22
3.1 Report Quality Score and Overall Ranking Situation .....	22
3.2 Report Quality Dimensional Evaluation Situation .....	25
4 Comparative Analysis with the 2015 Evaluation Results .....	29
<b>Chapter 2 Application Evaluation of CSR Report of Listed Companies in the Transportation Industry</b> .....	38
1 CSR Report Application Level Evaluation System .....	38
1.1 Evaluation Criteria .....	38
1.2 Evaluation Methods and Evaluation Procedures .....	45
1.3 Purpose of the Evaluation .....	46
2 CSR Report Application Level Evaluation Results and Analysis .....	46
2.1 Overall Evaluation of Application Level of CSR Report .....	46
2.2 CSR Report Application Level Dimensional Evaluation .....	49
3 Comparison of Evaluation Results from 2015 to 2016 .....	51

## Part 2 Comprehensive Evaluation of CSR Performance of Listed Companies in the Transportation Industry

<b>Chapter 3 Performance Evaluation of CSR of Listed Companies in the Transportation Industry</b> .....	61
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1	Overall Situation of CSR Performance Evaluation of Listed Companies in the Transportation Industry .....	61
1.1	Analysis of Overall Industry Performance .....	61
1.2	Industry Sub-Guideline Performance Analysis .....	64
2	Comprehensive Analysis of Top 10 CSR Performance .....	79
2.1	Top 10 Companies' Overall Performance Scores .....	79
2.2	Sub-Criteria Layer Performance Analysis .....	82
3	Comprehensive Analysis of the Last 10 CSR Performances .....	91
3.1	The Overall Performance Score of the Last 10 Companies .....	91
3.2	Sub-Criteria Layer Performance Analysis .....	94
4	Focus Analysis 1: Enterprises with a Large Increase .....	101
4.1	Tielong Logistics .....	102
4.2	Wantong Expressway .....	108
5	Focus Analysis 2: Enterprises with a Large Decline .....	113
5.1	Sinotrans Air Transport Development Co., Ltd .....	113
5.2	Jilin Expressway Co., Ltd .....	119
<b>Chapter 4 Construction of CSR Performance Evaluation Model for Listed Companies in the Transportation Industry .....</b>		
<b>1 Construction of the Mass-Election System for CSR Performance Evaluation Indicators .....</b>		
1.1	Evaluation Framework .....	124
1.2	Construction of the Mass-Election Indicator System .....	126
<b>2 Screening Method for Performance Evaluation Indicators of CSR .....</b>		
2.1	Standardization of Evaluation Indicator Data .....	143
2.2	Screening of Indicators Based on Correlation Coefficients .....	143
2.3	Screening of Indicators Based on Grey Analysis .....	144
2.4	Determination and Establishment of the Indicator System .....	146
<b>3 Evaluation Method of CSR Performance Evaluation Indicators .....</b>		
3.1	Index Weighting Method Based on Entropy Weight Method .....	149
3.2	Establishment of the Scoring Equation .....	150
3.3	Performance Evaluation Indicator Weights .....	150
<b>4 Determination Criteria for the Optimal Plan for Evaluation Indicators .....</b>		
4.1	Based on R Clustering — Coefficient of Variation Scheme .....	153
4.2	Scheme Based on Correlation Analysis — Principal Component Analysis .....	154
4.3	Based on Correlation Analysis — Grey Correlation Scheme .....	154
4.4	Based on Partial Correlation Analysis — Gray Correlation Degree Scheme .....	155



## Part 3 Evaluation of the Industry Development of CSR in Listed Companies in the Transportation Industry

<b>Chapter 5 Evaluation of Social Responsibility Development of Railway Transportation Enterprises</b> .....	159
1 Quality Evaluation of CSR Reports in Railway Transportation Industry .....	159
1.1 Report Quality Evaluation .....	159
1.2 Report Quality Dimensional Evaluation .....	160
2 Application Rating of Social Responsibility Report for Railway Transportation Enterprises .....	164
3 Performance Evaluation of Social Responsibility of Railway Transportation Enterprises .....	166
3.1 Overall Performance Analysis .....	166
3.2 Performance Analysis of Different Criteria Layers .....	167
4 Review On the Development of Social Responsibility of Railway Transportation Enterprises .....	172
<b>Chapter 6 Evaluation of CSR Development in Road Transportation Industry</b> .....	173
1 Quality Evaluation of CSR Reports in Road Transportation Industry .....	173
1.1 Report Quality Evaluation .....	173
1.2 Report Quality Dimensional Evaluation .....	174
2 Evaluation of the Application Level of Social Responsibility Report Of Road Transport Industry .....	177
3 Performance Evaluation of CSR in Road Transportation Industry .....	179
3.1 Overall Performance Analysis .....	179
3.2 Performance Analysis of Different Criteria Layers .....	180
4 Review of CSR Development in Road Transportation Industry .....	185
<b>Chapter 7 Evaluation of CSR Development in Waterway Transportation Industry</b> .....	186
1 Quality Evaluation of CSR Report for Waterway Transportation Industry .....	186
1.1 Report Quality Evaluation .....	186
1.2 Report Quality Dimensional Evaluation .....	188
2 Application Evaluation of CSR Report for Waterway Transportation Industry .....	191
3 Performance Evaluation of CSR in Waterway Transportation Industry .....	193
3.1 Overall Performance Analysis .....	193
3.2 Performance Analysis of Different Criteria Layers .....	195
4 Review on the Development of Social Responsibility of Waterway Transportation Enterprises .....	198
<b>Chapter 8 Evaluation of CSR Development in Air Transport Industry</b> .....	200
1 Air Transport Industry CSR Report Quality Evaluation .....	200
1.1 Report Quality Evaluation .....	200
1.2 Report Quality Dimensional Evaluation .....	201
2 Air Transport Industry CSR Report Application Grade Evaluation .....	205

3	Air Transport Performance Evaluation of CSR .....	206
3.1	Overall Performance Analysis .....	206
3.2	Performance Analysis of Different Criteria Layers .....	208
4	Review of CSR Development in Air Transport Industry .....	212
<b>Chapter 9 Evaluation of CSR Development in Port Transportation Industry .....</b>		<b>214</b>
1	Quality Evaluation of CSR Reports in Port Transportation Industry .....	214
1.1	Report Quality Evaluation .....	214
1.2	Report Quality Dimensional Evaluation .....	216
2	Application Evaluation of CSR Report of Port Transportation Industry .....	220
3	Performance Evaluation of Corporate Social Responsibility in Port Transportation Industry .....	222
3.1	Overall Performance Analysis .....	222
3.2	Performance Analysis of Different Criteria Levels .....	224
4	Comment On the Development of Corporate Social Responsibility in Port Transportation Industry .....	229
<b>Chapter 10 Evaluation of Corporate Social Responsibility Development in High-Speed Transportation Industry .....</b>		<b>230</b>
1	Quality Evaluation of Corporate Social Responsibility Report in High Speed Transportation Industry .....	230
1.1	Report Quality Evaluation .....	230
1.2	Report Quality Dimension Evaluation .....	232
2	Application Level Evaluation of Corporate Social Responsibility Report For High-Speed Transportation Industry .....	236
3	Performance Evaluation of Corporate Social Responsibility in High Speed Transportation Industry .....	237
3.1	Overall Performance Analysis .....	237
3.2	Performance Analysis of Different Criteria Levels .....	239
4	Review on the Development of Corporate Social Responsibility in High-Speed Transportation Industry .....	243
<b>Chapter 11 Evaluation of Corporate Social Responsibility Development in Airport Transportation Industry .....</b>		<b>245</b>
1	Quality Evaluation of Corporate Social Responsibility Report in Airport Transportation Industry .....	245
1.1	Report Quality Evaluation .....	245
1.2	Report Quality Dimension Evaluation .....	246
2	Application Rating of Corporate Social Responsibility Report for Airport Transportation Industry .....	250
3	Performance Evaluation of Corporate Social Responsibility in Airport Transportation Industry .....	252
3.1	Overall Performance Analysis .....	252
3.2	Performance Analysis of Different Criteria Levels .....	253
4	Comment On the Development of Corporate Social Responsibility in Airport Transportation Industry .....	257



<b>Chapter 12 Evaluation of Corporate Social Responsibility Development in Logistics and Transportation Industry</b> .....	259
1 Quality Evaluation of Corporate Social Responsibility Report in Logistics and Transportation Industry .....	259
1.1 Report Quality Evaluation .....	259
1.2 Report Quality Dimension Evaluation .....	260
2 Evaluation of Application Level of Social Responsibility Report of Logistics and Transportation Industry .....	264
3 Performance Evaluation of Corporate Social Responsibility in Logistics and Transportation Industry .....	266
3.1 Overall Performance Analysis .....	266
3.2 Performance Analysis of Different Criteria Levels .....	267
4 Comment on the Development of Corporate Social Responsibility in Logistics and Transportation Industry .....	272
<b>Chapter 13 Evaluation of Corporate Social Responsibility Development in Transportation Equipment Industry</b> .....	273
1 Quality Evaluation of Corporate Social Responsibility Report in Transportation Equipment Industry .....	273
1.1 Report Quality Evaluation .....	273
1.2 Report Quality Dimension Evaluation .....	274
2 Evaluation of the Application Level of Corporate Social Responsibility Report in the Transportation Equipment Industry .....	278
3 Performance Evaluation of Corporate Social Responsibility in Transportation Equipment Industry .....	279
3.1 Overall Performance Analysis .....	279
3.2 Performance Analysis of Different Criteria Levels .....	280
4 Review on the Development of Corporate Social Responsibility in the Transportation Equipment Industry .....	284
<b>References</b> .....	285
<b>Postscript</b> .....	289

## Chart Catalog

Figure 1-1 Corporate social responsibility report quality evaluation index architecture .....	3
Figure 1-2 2016 Summary of the number of corporate social responsibility reports issued by the transportation industry .....	17
Figure 1-3 2016 Summary of the distribution of corporate social responsibility report types in the transportation industry .....	20
Figure 1-4 2016 Summary of the release of corporate social responsibility reports for each channel .....	22

Figure 1-5	Quality Evaluation Score of Corporate Social Responsibility Report for the 2016 Transportation Industry .....	24
Figure 1-6	2016 Corporate Social Responsibility Report Integrity Guidelines Layer Score .....	26
Figure 1-7	2016 Corporate Social Responsibility Report Inclusive Criteria Layer Score .....	26
Figure 1-8	2016 Corporate Social Responsibility Report Substantive Criteria Level Score .....	27
Figure 1-9	2016 Corporate Social Responsibility Report Responsive Criteria Layer Score .....	27
Figure 1-10	2016 Corporate Social Responsibility Report Comparability Criteria Layer Score .....	28
Figure 1-11	2016 Corporate Social Responsibility Report Credibility Criteria Layer Score .....	28
Figure 1-12	2016 Corporate Social Responsibility Report Innovative Criteria Layer Score .....	29
Figure 1-13	2016 Corporate Social Responsibility Report Accessibility Criteria Layer Score .....	29
Figure 1-14	2015-2016 Comparative analysis of the types of corporate social responsibility reports for the transportation industry .....	31
Figure 1-15	2015-2016 Comparative analysis of the release of corporate social responsibility reports for various channels in .....	34
Figure 1-16	2015-2016 Comparative analysis of the quality evaluation scores of the corporate social responsibility report for the transportation industry .....	35
Figure 1-17	2015-2016 Comparative analysis of the quality ranking of social responsibility reports of enterprises (40) in the transportation industry .....	37
Figure 2-1	Corporate social responsibility report application level evaluation criteria .....	39
Figure 2-2	Comprehensive evaluation application classification diagram .....	48
Figure 2-3	Strategy and overview application level classification chart .....	49
Figure 2-4	Management method disclosure classification map .....	50
Figure 2-5	Performance indicator application level classification diagram .....	51
Figure 2-6	2015-2016 Comparative analysis of application level evaluation of corporate social responsibility report for transportation industry in .....	53
Figure 2-7	2015-2016 annual strategy and overview application level comparison chart .....	54
Figure 2-8	2015-2016 Management method disclosure application level comparison chart .....	56
Figure 2-9	2015-2016 Comparison of application levels of performance indicators for .....	57
Figure 3-1	2016 Performance and ranking of corporate social responsibility performance of listed companies in the transportation industry .....	63
Figure 3-2	2016 average performance scores of the various guidance levels in the transportation industry (percentile) .....	64
Figure 3-3	2016 performance indicators and ranking of environmental performance guidelines for listed companies in the transportation industry .....	66
Figure 3-4	2016 performance Scores and Rankings of Community Development Guidelines in Listed Companies in the Transportation Industry .....	68
Figure 3-5	2016 performance index and ranking of economic contribution guidelines for listed companies in the transportation industry .....	70



Figure 3-6	2016 performance score and ranking of the human rights criteria level of listed companies in the transportation industry	72
Figure 3-7	2016 performance scores and rankings of listed companies in the transportation industry	74
Figure 3-8	2016 productivity responsibility criteria level performance score and ranking of listed companies in the transportation industry	76
Figure 3-9	2016 fair performance standards performance index and ranking of listed companies in the transportation industry	78
Figure 3-10	2016 social responsibility performance score of 3 companies under COSCO group	81
Figure 3-11	2016 social responsibility performance ranking of 3 enterprises of COSCO group	81
Figure 3-12	top 10 corporate responsibility governance performance changes in 2016 and 2015	83
Figure 3-13	top 10 corporate human rights performance changes 2016 and 2015	84
Figure 3-14	top 10 corporate environmental performance changes 2016 and 2015	86
Figure 3-15	2016 and 2015 top 10 companies' fair operating performance changes	87
Figure 3-16	2016 and 2015 top 10 corporate product responsibility performance changes	88
Figure 3-17	2016 and 2015 top 10 corporate community development performance changes	89
Figure 3-18	2016 and 2015 top 10 corporate economic contribution performance changes	91
Figure 3-19	2016 Performance of corporate social responsibility performance of 3 port companies	93
Figure 3-20	Trends in the ranking of social responsibility performance of Fujian-Guangdong Expressway and Fujian Expressway	93
Figure 3-21	Performance of Corporate Social Responsibility in 2016 for 3 high-speed enterprises	94
Figure 3-22	Trends in the performance ranking of Shandong Expressway, Tielong Logistics and Lianyungang Responsible Governance	95
Figure 3-23	Trends in environmental performance rankings of Longjiang Transportation and Ganyue Expressway	96
Figure 3-24	Change trend of fair operation performance ranking of Fujian Expressway and Longjiang Traffic	98
Figure 3-25	Trends in the development performance ranking of Tielong Logistics, Ganyue Expressway and Baiyun Airport	99
Figure 3-26	Trends in the performance rankings of Baiyun Airport, Ganyue Expressway and Shandong Expressway	100
Figure 3-27	Tielong Logistics 2016 Corporate Social Responsibility Performance Scores (percentage)	104
Figure 3-28	Comparison of the rankings of CSR performance scores of Tielong Logistics from 2015 to 2016 (excluding newly added enterprises)	104
Figure 3-29	Comparison of the average scores of Tielong Logistics' s 2016 guidelines and the average score of China' s transportation industry	105
Figure 3-30	Schematic diagram of highway network in Anhui Province	109
Figure 3-31	List of Corporate Social Responsibility Performance Scores of Wantong	

	Expressway in 2016 (percentile) .....	110
Figure 3-32	Comparison of the rankings of corporate social responsibility performance scores of Wantong Expressway from 2015 to 2016 (excluding newly added enterprises) .....	111
Figure 3-33	Comparison of the performance scores of the various guidelines in 2016 in the Wantong Expressway and the average scores of the Chinese transportation industry .....	111
Figure 3-34	Radiation area map of the outbound development service .....	114
Figure 3-35	2010-2016 Trends in the evaluation of corporate social responsibility performance .....	115
Figure 3-36	2016 List of the first-level guidelines and overall performance scores for the development of foreign transportation .....	115
Figure 3-37	Comparison of the rankings of the first-level criteria and overall performance scores of the 2015-2016 foreign transportation development .....	115
Figure 3-38	2016 Comparison of the performance scores of each criterion layer and the industry average .....	116
Figure 3-39	2010-2016 trends in the evaluation of corporate social responsibility performance in Jilin Expressway .....	120
Figure 3-40	2016 list of Grade 1 Guidelines and Overall Performance Scores of Jilin Expressway .....	120
Figure 3-41	2015-2016 comparison of the rankings of the first-level criteria and overall performance scores of Jilin Expressway .....	121
Figure 3-42	2016 comparison of the average scores of each criterion layer and industry performance scores of Jilin Expressway .....	121
Figure 4-1	Hierarchical structure of CSR performance evaluation index system .....	125
Figure 5-1	2015-2016 the change trend of the overall ranking of social responsibility report quality of railway transportation enterprises .....	160
Figure 5-2	Comparison of the average scores of the eight major criteria for the quality of CSR reports of railway transportation enterprises .....	161
Figure 5-3	Quality standard level of social responsibility report of railway transportation enterprises—integrity score .....	161
Figure 5-4	Inclusion score of the quality standard layer of CSR report of railway transportation enterprises .....	161
Figure 5-5	Quality standard level of CSR report of railway transportation enterprises—substantive score .....	161
Figure 5-6	Quality standard level of CSR report of railway transportation enterprises—responsiveness score .....	161
Figure 5-7	Quality standard level of CSR report of railway transportation enterprises—comparability score .....	162
Figure 5-8	Quality criteria of CSR reports of railway transportation enterprises—credibility score .....	162
Figure 5-9	Quality standard level of CSR report of railway transportation enterprises—innovation score .....	162



Figure 5-10	Quality standard level of CSR report of railway transportation enterprises —accessibility score .....	162
Figure 5-11	2016 strategy and overview application level distribution .....	164
Figure 5-12	2016 management method disclosure application level distribution .....	164
Figure 5-13	2016 performance index application grade distribution .....	165
Figure 5-14	2016 comprehensive evaluation application grade distribution .....	165
Figure 5-15	The change trend of social responsibility performance ranking of railway transportation enterprises .....	167
Figure 5-16	The change trend of social responsibility performance ranking of railway transportation enterprises (excluding newly added enterprises) .....	167
Figure 5-17	Comparison of average performance score of the seven major standards of social responsibility of railway transportation enterprises .....	168
Figure 5-18	CSR standard level of railway transportation enterprises —performance score of liability management .....	168
Figure 5-19	Social responsibility standard level of railway transportation enterprises —human rights performance score .....	168
Figure 5-20	Environmental performance score of social responsibility standard layer of railway transportation enterprises .....	168
Figure 5-21	Social responsibility standard level of railway transportation enterprises —fair operation performance score .....	168
Figure 5-22	Product responsibility performance score of social responsibility standard layer of railway transportation enterprises .....	168
Figure 5-23	Social responsibility standard level of railway transportation enterprises —performance score of community development .....	168
Figure 5-24	Social responsibility criterion level of railway transportation enterprises —economic contribution performance score .....	168
Figure 6-1	2015~2016 general ranking change trend of social responsibility report quality of highway transportation enterprises .....	174
Figure 6-2	Comparison of the average score of the eight criteria for the quality of CSR reports of highway transportation enterprises .....	175
Figure 6-3	Highway transportation enterprises social responsibility report quality standard level—integrity score .....	175
Figure 6-4	Inclusion score of highway transportation enterprises' social responsibility report quality standard layer .....	175
Figure 6-5	Highway transportation enterprises' social responsibility report quality standard level—substantive score .....	175
Figure 6-6	Quality standard level of CSR report of highway transportation enterprises—responsiveness score .....	175

Figure 6-7	Quality standard level of CSR report of highway transportation enterprises—comparability score	176
Figure 6-8	Quality criteria of CSR reports of road transport enterprises—credibility score	176
Figure 6-9	Quality standard level of CSR report of highway transportation enterprises—innovation score	176
Figure 6-10	Quality standard level of CSR report of highway transportation enterprises—accessibility score	176
Figure 6-11	2016 strategy and overview application level distribution	178
Figure 6-12	2016 management method disclosure application level distribution	178
Figure 6-13	2016 performance index application grade distribution	178
Figure 6-14	2016 comprehensive evaluation application grade distribution	178
Figure 6-15	The change trend of social responsibility performance ranking of highway transportation enterprises	180
Figure 6-16	The change trend of social responsibility performance ranking of road transportation enterprises (excluding newly added enterprises)	180
Figure 6-17	Comparison of average performance score of the seven major standards of social responsibility of road transportation enterprises	181
Figure 6-18	CSR standard level of road transport enterprises—performance score of liability management	181
Figure 6-19	Social responsibility standard level of road transportation enterprises—human rights performance score	181
Figure 6-20	Environmental performance score of social responsibility standard level of road transportation enterprises	181
Figure 6-21	Social responsibility standard level of road transportation enterprises—fair operation performance score	181
Figure 6-22	Social responsibility standard level of road transportation enterprises—product responsibility performance score	181
Figure 6-23	Social responsibility standard level of road transportation enterprises—performance score of community development	181
Figure 6-24	Social responsibility standard level of road transportation enterprises—economic contribution performance score	181
Figure 7-1	2015-2016 general ranking change trend of social responsibility report quality of enterprises in waterway transportation industry	187
Figure 7-2	Comparison of the average score of the eight major criteria for the quality of social responsibility reports of water transportation enterprises	188
Figure 7-3	Quality standard level of social responsibility report of waterway transportation enterprises—integrity score	189
Figure 7-4	Inclusion score of water transportation enterprises' social responsibility	



report quality standard layer .....	189
Figure 7-5 Quality standard level of social responsibility report of waterway transportation enterprises—substantive score .....	189
Figure 7-6 Quality standard level of social responsibility report of waterway transportation enterprises—responsiveness score .....	189
Figure 7-7 Quality standard level of social responsibility report of waterway transportation enterprises—comparability score .....	189
Figure 7-8 Water transport enterprises' social responsibility report quality standard layer —credibility score .....	189
Figure 7-9 Quality standard level of social responsibility report of waterway transportation enterprises—innovation score .....	189
Figure 7-10 Quality standard level of CSR report for waterborne enterprises—accessibility score .....	189
Figure 7-11 2016 strategy and overview application level distribution .....	192
Figure 7-12 2016 management method disclosure application level distribution .....	192
Figure 7-13 2016 performance index application grade distribution .....	192
Figure 7-14 2016 comprehensive evaluation application grade distribution .....	192
Figure 7-15 The change trend of social responsibility performance ranking of waterway transportation enterprises .....	194
Figure 7-16 The change trend of social responsibility performance ranking of waterway transportation enterprises (excluding newly added enterprises) .....	194
Figure 7-17 Comparison of average performance score of the seven major standards of social responsibility of waterway transportation enterprises .....	195
Figure 7-18 CSR standard layer for waterway transportation industry — liability management performance score .....	195
Figure 7-19 CSR standard layer for waterway transportation industry — human rights performance score .....	195
Figure 7-20 CSR standard layer for waterway transportation industry — environmental performance scores .....	195
Figure 7-21 CSR standard layer for waterway transportation industry — fair operating performance scores .....	196
Figure 7-22 CSR standard layer for waterway transportation industry — product responsibility performance score .....	196
Figure 7-23 CSR standard layer for waterway transportation industry — community development performance score .....	196
Figure 7-24 CSR standard layer for waterway transportation industry — economic contribution performance score .....	196
Figure 8-1 2015-2016 general ranking of social responsibility report quality of air transport enterprises changes trend .....	201

Figure 8-2	Comparison of the mean values of the eight major criteria for the quality of CSR reports of air transport enterprises	202
Figure 8-3	Quality standard level of social responsibility report of air transport enterprises—integrity score	202
Figure 8-4	The inclusion score of the quality standard layer of CSR reports for air transport enterprises	202
Figure 8-5	Quality standard level of social responsibility report of air transport enterprises—substantive score	203
Figure 8-6	Quality standard level of CSR reporting in the air transport industry—responsiveness score	203
Figure 8-7	Quality standard level of social responsibility report of air transport enterprises—comparability score	203
Figure 8-8	Quality criteria for CSR reports of air transport enterprises—credibility score	203
Figure 8-9	Quality standard level of social responsibility report of air transport enterprises—innovation score	203
Figure 8-10	Quality standard level of CSR reporting for air transport enterprises—accessibility score	203
Figure 8-11	2016 strategy and overview application level distribution	205
Figure 8-12	2016 management method disclosure application level distribution	205
Figure 8-13	2016 performance index application grade distribution	206
Figure 8-14	2016 comprehensive evaluation application grade distribution	206
Figure 8-15	The change trend of social responsibility performance ranking of air transport enterprises	208
Figure 8-16	Change trend of social responsibility performance ranking of air transport enterprises (excluding newly added enterprises)	208
Figure 8-17	Comparison of the average value of the seven major standards of social responsibility of air transport enterprises	209
Figure 8-18	Corporate social responsibility standard level of air transport industry—performance score of responsibility governance	209
Figure 8-19	Human rights performance score in the standard level of social responsibility of air transport enterprises	209
Figure 8-20	Environmental performance score of the social responsibility standard layer of air transport enterprises	209
Figure 8-21	Social responsibility standard level of air transport enterprises—fair operation performance score	209
Figure 8-22	Product liability performance score of social responsibility standard layer of air transport enterprises	209
Figure 8-23	Community development performance score of the corporate social responsibility	



	standard layer of air transport industry	210
Figure 8-24	Social responsibility criterion level of air transport enterprises —economic contribution performance score	210
Figure 9-1	The change trend of the overall ranking of social responsibility report quality of port transportation enterprises from 2015 to 2016	215
Figure 9-2	Comparison of average scores of the eight major criteria for the quality of social responsibility reports of port transportation enterprises	217
Figure 9-3	Quality standard level of social responsibility report of port transportation enterprises —integrity score	217
Figure 9-4	The inclusion score of the quality standard layer of social responsibility report of port transportation enterprises	217
Figure 9-5	Quality standard level of social responsibility report of port transportation enterprises—substantive score	217
Figure 9-6	Quality standard level of social responsibility report of port transportation enterprises—responsiveness score	217
Figure 9-7	Quality standard level of social responsibility report of port transportation enterprises—comparability score	217
Figure 9-8	Quality criteria for CSR reports of port transport enterprises—credibility score	217
Figure 9-9	Quality standard level of social responsibility report of port transportation enterprises—innovation score	218
Figure 9-10	Quality standard level of social responsibility report of port transportation enterprises—accessibility score	218
Figure 9-11	2016 strategy and overview application level distribution	221
Figure 9-12	2016 management method disclosure application level distribution	221
Figure 9-13	2016 performance index application grade distribution	221
Figure 9-14	2016 comprehensive evaluation application grade distribution	221
Figure 9-15	The change trend of social responsibility performance rankings of port transportation enterprises	224
Figure 9-16	Trend of social responsibility performance change of port transportation enterprises (excluding newly added enterprises)	224
Figure 9-17	Comparison of average performance score of the seven major standards of social responsibility of port transportation enterprises	225
Figure 9-18	Corporate social responsibility guidelines for port transportation industry —responsible governance performance score	225
Figure 9-19	Corporate social responsibility guidelines for port transportation —human rights performance scores	225
Figure 9-20	Corporate social responsibility guidelines for port transportation industry —environmental performance scores	225

Figure 9-21	Corporate social responsibility guidelines for port transportation industry —fair operating performance scores	225
Figure 9-22	Corporate social responsibility guidelines for port transportation industry —product responsibility performance score	225
Figure 9-23	Corporate social responsibility guidelines for port transportation industry —community development performance scores	225
Figure 9-24	Corporate social responsibility guidelines for port transportation industry —economic contribution performance scores	225
Figure 10-1	2015~2016 high-speed transportation enterprise corporate social responsibility report quality ranking change trends	231
Figure 10-2	Quality of corporate social responsibility reports in high-speed transportation industry 8 comparison of mean scores of major criteria layers	232
Figure 10-3	Quality standards for corporate social responsibility reporting in high-speed transportation industry—integrity score	233
Figure 10-4	Quality standards for corporate social responsibility reporting in high-speed transportation industry—inclusive score	233
Figure 10-5	Quality standards for corporate social responsibility reporting in high-speed transportation industry—substantial score	233
Figure 10-6	Quality standards for corporate social responsibility reporting in high-speed transportation industry—responsive score	233
Figure 10-7	Quality standards for corporate social responsibility reporting in high-speed transportation industry—comparability score	233
Figure 10-8	Quality standards for corporate social responsibility reporting in high-speed transportation industry—credibility score	233
Figure 10-9	Quality standards for corporate social responsibility reporting in high-speed transportation industry—innovative score	233
Figure 10-10	Quality standards for corporate social responsibility reporting in high-speed transportation industry—accessibility score	233
Figure 10-11	2016 strategy and overview application level distribution	236
Figure 10-12	2016 management method disclosure application level distribution	236
Figure 10-13	2016 performance indicator application level distribution	237
Figure 10-14	2016 comprehensive evaluation application level distribution	237
Figure 10-15	Trends in the ranking of corporate social responsibility performance in high-speed transportation industry	239
Figure 10-16	Trends in the ranking of social responsibility performance in high-speed transportation enterprises (excluding newly added enterprises)	239
Figure 10-17	Corporate social responsibility in high-speed transportation industry 7 comparison of mean performance scores of major criteria levels	240



Figure 10-18	Corporate social responsibility guidelines for high-speed transportation industry —responsible governance performance scores	240
Figure 10-19	Corporate social responsibility guidelines for high-speed transportation —human rights performance scores	240
Figure 10-20	Corporate social responsibility guidelines for high-speed transportation industry—environmental performance scores	240
Figure 10-21	Corporate social responsibility guidelines for high-speed transportation industry—fair operating performance scores	240
Figure 10-22	Corporate social responsibility guidelines for high-speed transportation industry—product responsibility performance score	240
Figure 10-23	Corporate social responsibility guidelines for high-speed transportation industry—community development performance scores	240
Figure 10-24	Corporate social responsibility guidelines for high-speed transportation industry—economic contribution performance scores	240
Figure 11-1	2015-2016 airport transportation industry corporate social responsibility report quality ranking change trends	246
Figure 11-2	Quality of corporate social responsibility reporting in airport transportation industry 8 mean value ratio of major criteria level	247
Figure 11-3	Quality standards for corporate social responsibility reporting in airport transportation industry—integrity score	247
Figure 11-4	Quality guidelines for corporate social responsibility reporting in airport transportation—inclusive score	247
Figure 11-5	Quality standards for corporate social responsibility reporting in airport transportation industry—substantial score	247
Figure 11-6	Quality standards for corporate social responsibility reporting in airport transportation—responsive score	247
Figure 11-7	Quality standards for corporate social responsibility reporting in airport transportation industry—comparability score	248
Figure 11-8	Quality standards for corporate social responsibility reporting in airport transportation industry—credibility score	248
Figure 11-9	Quality standards for corporate social responsibility reporting in airport transportation industry—innovation score	248
Figure 11-10	Quality standards for corporate social responsibility reporting in airport transportation industry—accessibility scores	248
Figure 11-11	2016 strategy and overview application level distribution	251
Figure 11-12	2016 management method disclosure application level distribution	251
Figure 11-13	2016 performance indicator application level distribution	251
Figure 11-14	2016 comprehensive evaluation application level distribution	251

Figure 11-15	Trends in the ranking of corporate social responsibility performance in airport transportation industry .....	253
Figure 11-16	Change trend of corporate social responsibility performance ranking in airport transportation industry (excluding newly added enterprises) .....	253
Figure 11-17	Corporate social responsibility in airport transportation industry 7 comparison of mean performance scores of major criteria levels .....	254
Figure 11-18	Corporate social responsibility guidelines for airport transportation industry —responsibility governance performance score .....	254
Figure 11-19	Corporate social responsibility guidelines for airport transportation —human rights performance scores .....	254
Figure 11-20	Corporate social responsibility guidelines for airport transportation industry —environmental performance scores .....	254
Figure 11-21	Corporate social responsibility guidelines for airport transportation industry —fair operating performance score .....	254
Figure 11-22	Corporate social responsibility guidelines for airport transportation industry —product responsibility performance score .....	254
Figure 11-23	Corporate social responsibility guidelines for airport transportation industry —community development performance score .....	254
Figure 11-24	Corporate social responsibility guidelines for airport transportation industry —economic contribution performance scores .....	254
Figure 12-1	2015-2016 logistics and transportation industry corporate social responsibility report quality ranking change trends .....	260
Figure 12-2	Quality of corporate social responsibility reporting in logistics and transportation industry 8 comparison of mean scores of major criteria levels .....	261
Figure 12-3	Quality standards for corporate social responsibility reporting in logistics and transportation industry—integrity score .....	261
Figure 12-4	Quality standards for corporate social responsibility reporting in logistics and transportation—inclusive scores .....	261
Figure 12-5	Quality standards for corporate social responsibility reporting in logistics and transportation—substantial scores .....	262
Figure 12-6	Quality standards for corporate social responsibility reporting in logistics and transportation—responsive scores .....	262
Figure 12-7	Quality standards for corporate social responsibility reporting in logistics and transportation industry—comparability score .....	262
Figure 12-8	Quality standards for corporate social responsibility reporting in logistics and transportation—credibility score .....	262
Figure 12-9	Quality standards for corporate social responsibility reporting in logistics and transportation industry—innovative scores .....	262



Figure 12-10	Quality standards for corporate social responsibility reporting in logistics and transportation industry—accessibility score	262
Figure 12-11	2016 strategy and overview application level distribution	265
Figure 12-12	2016 management method disclosure application level distribution	265
Figure 12-13	2016 performance indicator application level distribution	265
Figure 12-14	2016 comprehensive evaluation application level distribution	265
Figure 12-15	Trends in the ranking of corporate social responsibility performance in the logistics industry	267
Figure 12-16	Trends in the ranking of corporate social responsibility performance in the logistics industry (excluding newly added companies)	267
Figure 12-17	Corporate social responsibility in the logistics industry 7 comparison of the mean performance scores of the major criteria level	268
Figure 12-18	Corporate social responsibility criteria for logistics and transportation industry—responsible governance performance score	268
Figure 12-19	Corporate social responsibility guidelines for logistics and transportation—human rights performance scores	269
Figure 12-20	Corporate social responsibility guidelines for logistics and transportation—environmental performance scores	269
Figure 12-21	Corporate social responsibility guidelines for logistics and transportation industry—fair operation performance score	269
Figure 12-22	Corporate social responsibility guidelines for logistics and transportation industry—product responsibility performance score	269
Figure 12-23	Corporate social responsibility guidelines for logistics and transportation industry—community development performance scores	269
Figure 12-24	Corporate social responsibility criteria for logistics and transportation industry—economic contribution performance score	269
Figure 13-1	2016 total quality ranking trend of corporate social responsibility reports in the transportation equipment industry	274
Figure 13-2	Quality of corporate social responsibility reports in the transportation equipment industry 8 comparison of mean scores in the major criteria layer	275
Figure 13-3	Quality standards for corporate social responsibility reporting in the transportation equipment industry—integrity score	275
Figure 13-4	Quality standards for corporate social responsibility reporting in the transportation equipment industry—inclusive score	275
Figure 13-5	Quality standards for corporate social responsibility reporting in the transportation equipment industry—substantial score	275
Figure 13-6	Quality standards for corporate social responsibility reporting in the transportation equipment industry—responsive score	275

Figure 13-7	Quality standards for corporate social responsibility reporting in the transportation equipment industry—comparability score	275
Figure 13-8	Quality standards for corporate social responsibility reporting in the transportation equipment industry—credibility score	275
Figure 13-9	Quality standards for corporate social responsibility reporting in the transportation equipment industry—innovation score	276
Figure 13-10	Quality standards for corporate social responsibility reporting in the transportation equipment industry—accessibility score	276
Figure 13-11	2016 strategy and overview application level distribution	278
Figure 13-12	2016 management method disclosure application level distribution	278
Figure 13-13	2016 performance indicator application level distribution	278
Figure 13-14	2016 comprehensive evaluation application level distribution	278
Figure 13-15	Trends in the ranking of corporate social responsibility performance in the transportation equipment industry	280
Figure 13-16	Corporate social responsibility in the transportation equipment industry 7 comparison of mean performance scores of major criteria levels	281
Figure 13-17	Corporate social responsibility guidelines for the transportation equipment industry —responsible governance performance scores	281
Figure 13-18	Corporate social responsibility guidelines for the transportation equipment industry —human rights performance scores	281
Figure 13-19	Corporate social responsibility guidelines for the transportation equipment industry —environmental performance scores	281
Figure 13-20	Corporate social responsibility guidelines for the transportation equipment industry —fair operating performance scores	281
Figure 13-21	Corporate social responsibility criteria for transportation equipment industry —product responsibility performance score	281
Figure 13-22	Corporate social responsibility guidelines for the transportation equipment industry —community development performance scores	281
Figure 13-23	Corporate social responsibility guidelines for the transportation equipment industry —economic contribution performance scores	281

## Table Directory

Table 1-1	Establishment and explanation of quality evaluation indicators for corporate social responsibility reports	4
Table 1-2	Corporate social responsibility report quality evaluation system review set	5
Table 1-3	Weights of the criteria layer of the corporate social responsibility report quality evaluation system	7



Table 1-4	Ri values of the judgment matrix of 1st to 10th order .....	7
Table 1-5	List of listed companies in the transportation industry in 2016 and statistics on the release of reports .....	8
Table 1-6	Changes in the list of listed companies in the transportation industry from 2015 to 2016 .....	12
Table 1-7	2015-2016 changes in the list of listed companies that issued corporate social responsibility reports for the transportation industry .....	13
Table 1-8	2007-2016 transportation industry 63 listed companies release corporate social responsibility reports .....	14
Table 1-9	2016 summary of the number of corporate social responsibility reports issued by the transportation industry .....	17
Table 1-10	2016 corporate social responsibility report release of the three major release platforms of the transportation industry .....	17
Table 1-11	2016 annual transportation industry corporate social responsibility report type statistics .....	19
Table 1-12	2016 corporate social responsibility report type distribution summary .....	20
Table 1-13	2016 corporate social responsibility report on the transportation industry of various channels .....	21
Table 1-14	Summary of the release of corporate social responsibility reports for each channel in 2016 .....	22
Table 1-15	2016 annual transportation industry corporate social responsibility report quality evaluation score and ranking .....	23
Table 1-16	2016 annual report of the corporate social responsibility report quality assessment criteria for the transportation industry .....	25
Table 1-17	2015-2016 comparative analysis of the types of annual report releases .....	30
Table 1-18	2015-2016 comparative analysis of the types of corporate social responsibility reports released .....	31
Table 1-19	2015-2016 comparative analysis of the release of corporate social responsibility reports for various channels .....	32
Table 1-20	2015-2016 comparative analysis of the release of corporate social responsibility reports for various channels .....	34
Table 1-21	2015-2016 comparative analysis of the quality ranking of corporate social responsibility reports in the transportation industry from .....	36
Table 2-1	Content index of corporate social responsibility report .....	39
Table 2-2	Application levels of corporate social responsibility report for the 2016 transportation industry .....	46
Table 2-3	Comprehensive evaluation application classification table .....	48
Table 2-4	Strategy and overview application level classification table .....	49
Table 2-5	Management method disclosure application level classification table .....	50
Table 2-6	Performance indicator application classification table .....	50
Table 2-7	2015-2016 comparison of application level evaluation of corporate social responsibility reports for the transportation industry .....	52

Table 2-8	2015-2016 comparative analysis of application level evaluation of corporate social responsibility reports for the transportation industry .....	53
Table 2-9	2015-2016 annual strategy and overview application level comparison table .....	53
Table 2-10	2015-2016 annual strategy and overview application level comparison table .....	54
Table 2-11	2015-2016 management method disclosure application level comparison table .....	55
Table 2-12	2015-2016 management method disclosure application level comparison table .....	56
Table 2-13	2015-2016 comparison table of performance indicators .....	56
Table 2-14	2015-2016 comparison table of performance indicators .....	57
Table 3-1	2016 performance and ranking of corporate social responsibility performance of listed companies in the transportation industry in .....	61
Table 3-2	2016 average performance scores of the guidelines for the transportation industry (percentile system) .....	64
Table 3-3	Environmental protection standards performance index and ranking of listed companies in the transportation industry in 2016 .....	65
Table 3-4	2016 performance index and ranking of community development guidelines for listed companies in the transportation industry in .....	67
Table 3-5	2016 economic contribution standards of listed companies in the transportation industry level performance score and ranking .....	69
Table 3-6	2016 performance scores and rankings of the human rights criteria level of listed companies in the transportation industry .....	71
Table 3-7	2016 scores and rankings of responsible governance guidelines for listed companies in the transportation industry .....	73
Table 3-8	2016 productivity responsibility guidelines for listed companies in the transportation industry level performance ranking and ranking .....	75
Table 3-9	2016 performance index and ranking of fair operating guidelines for listed companies in the transportation industry in .....	77
Table 3-10	2016 top 10 enterprises in corporate social responsibility performance in the transportation industry .....	79
Table 3-11	Top 10 corporate responsibility governance performance scores .....	83
Table 3-12	Top 10 corporate human rights performance scores .....	84
Table 3-13	Top 10 corporate environmental performance scores .....	85
Table 3-14	Top 10 companies' fair operating performance scores .....	86
Table 3-15	Performance scores of the top 10 companies' product liability .....	88
Table 3-16	Top 10 corporate community development performance scores .....	89
Table 3-17	Performance scores of the top 10 companies' economic contributions .....	90
Table 3-18	The top 10 enterprises in the 2016 corporate social responsibility performance of the transportation industry .....	92
Table 3-19	The last 10 corporate responsibility governance performance scores .....	94



Table 3-20	The scores of the last 10 corporate human rights performances .....	95
Table 3-21	Environmental performance scores of the last 10 companies .....	96
Table 3-22	Performance of the last 10 companies' fair operating performance .....	97
Table 3-23	Performance scores of the last 10 companies product responsibility .....	98
Table 3-24	Top 10 corporate community development performance scores .....	99
Table 3-25	Performance scores of the last 10 companies' economic contribution .....	100
Table 3-26	Comparison of 2016 and 2015 corporate rankings (excluding newly added companies) .....	101
Table 3-27	2016 Tielong logistics corporate social responsibility criteria performance vs. 2015 ranking (excluding newly added companies) .....	103
Table 3-28	Comparison of the performance of corporate social responsibility guidelines at the 2016 expressway in 2015(excluding newly added companies) .....	110
Table 3-29	Overview of the outsourcing development criteria level and corporate social responsibility overall performance scores .....	114
Table 3-30	List of Jilin expressway standards and corporate social responsibility overall performance scores .....	120
Table 4-1	Corporate social responsibility performance evaluation index system .....	126
Table 4-2	Responsibility governance review set .....	129
Table 4-3	Collection of human rights comments .....	131
Table 4-4	Environmental review collection .....	133
Table 4-5	Fair operation review set .....	136
Table 4-6	Product responsibility review set .....	137
Table 4-7	Community development review set .....	139
Table 4-8	Economic contributions review collection .....	141
Table 4-9	Indicator system for performance evaluation of corporate social responsibility in the transportation industry .....	147
Table 4-10	Weights of performance evaluation indicators .....	150
Table 5-1	Quality rating and ranking of social responsibility reports of railway transportation enterprises .....	159
Table 5-2	Quality of social responsibility reports of railway transportation enterprises 8 major criteria level scores and means .....	160
Table 5-3	Distribution of enterprise social responsibility reports for railway transportation enterprises dimensional evaluation distribution .....	164
Table 5-4	Social responsibility performance score and ranking of railway transportation enterprises .....	166
Table 5-5	Social responsibility of railway transportation enterprises 7 major criteria layer performance score and mean (percentage system) .....	167
Table 5-6	Average rank of corporate social responsibility performance of each sub-sector of china's transportation industry in 2016 .....	172
Table 6-1	Quality rating and ranking of corporate social responsibility reports for road	

	transportation industry .....	173
Table 6-2	Corporate social responsibility report quality of road transportation industry 8 major criteria level score and mean .....	174
Table 6-3	Application level distribution of corporate social responsibility reports in road transportation industry .....	177
Table 6-4	Social responsibility performance score and ranking of road transportation enterprises .....	179
Table 6-5	Corporate social responsibility of road transportation industry 7 major criteria level performance score and mean (percentile system) .....	180
Table 7-1	Quality rating and ranking of corporate social responsibility reports for waterway transportation industry .....	187
Table 7-2	Corporate social responsibility report quality of waterway transportation industry 8 major criteria level score and mean .....	188
Table 7-3	Corporate social responsibility report of waterway transportation industry application grade dimensional evaluation distribution .....	191
Table 7-4	Performance scores and ranking of corporate social responsibility performance in waterway transportation industry .....	193
Table 7-5	Corporate social responsibility of waterway transportation industry 7 major criteria level performance score and mean (percentage system) .....	195
Table 8-1	Air transport corporate social responsibility report quality score and ranking .....	201
Table 8-2	Corporate social responsibility report quality of air transport industry 8 major criteria level score and mean .....	202
Table 8-3	Air transport industry corporate social responsibility report application grade dimensional evaluation distribution .....	205
Table 8-4	Performance scores and rankings of corporate social responsibility performance in air transport .....	207
Table 8-5	Corporate social responsibility of air transport industry 7 major criteria level performance score and mean (percentile system) .....	208
Table 9-1	Quality rating and ranking of corporate social responsibility reports in port transportation industry .....	215
Table 9-2	Corporate social responsibility report quality of port transportation industry 8 major criteria level score and mean .....	216
Table 9-3	Distribution of corporate social responsibility reports in port transportation industry application dimensions evaluation distribution .....	220
Table 9-4	Performance scores and ranking of corporate social responsibility performance in port transportation industry .....	223
Table 9-5	Corporate social responsibility of port transportation industry 7 major criteria level performance score and mean (percentile system) .....	224
Table 10-1	Quality rating and ranking of corporate social responsibility reports for high-speed	



transportation industry .....	230
Table 10-2 Corporate social responsibility report quality of high speed transportation industry 8 major criteria level score and mean .....	232
Table 10-3 High-speed transportation enterprise social responsibility report application level sub-dimension evaluation distribution .....	236
Table 10-4 Performance scores and rankings of corporate social responsibility performance in high-speed transportation industry .....	238
Table 10-5 Corporate social responsibility in high-speed transportation industry 7 major criteria level performance score and mean (percentile system) .....	239
Table 11-1 Airport transportation industry corporate social responsibility report quality score and ranking ..	245
Table 11-2 Corporate transportation corporate social responsibility report quality 8 major criteria level scores and means .....	246
Table 11-3 Corporate transportation corporate social responsibility report application rating dimensional evaluation distribution .....	250
Table 11-4 Performance scores and rankings of corporate social responsibility performance in airport transportation industry .....	252
Table 11-5 Corporate social responsibility of airport transportation industry 7 major criteria level performance score and mean (percentile system) .....	253
Table 12-1 Corporate social responsibility report quality rating and ranking of logistics and transportation industry .....	259
Table 12-2 Corporate social responsibility report quality of logistics and transportation industry 8 major criteria level score and mean .....	261
Table 12-3 Logistics and transportation enterprise social responsibility report application level dimensional evaluation distribution .....	264
Table 12-4 Performance scores and ranking of corporate social responsibility performance in logistics and transportation industry .....	266
Table 12-5 Corporate social responsibility of logistics and transportation industry 7 major criteria level performance score and mean (percentile system) .....	268
Table 13-1 Corporate social responsibility report quality rating and ranking of transportation equipment industry .....	273
Table 13-2 Corporate social responsibility report quality of transportation equipment industry 8 major criteria level score and mean .....	274
Table 13-3 Transportation equipment industry corporate social responsibility report application level dimensional evaluation distribution .....	278
Table 13-4 Corporate social responsibility performance scores and sorting in transportation equipment industry .....	279
Table 13-5 Corporate social responsibility of transportation equipment industry 7 major criteria level performance score and mean (percentile system) .....	280