

核心

社员社会资本对

HEXIN SHEYUAN SHEHUIZIBEN DUI NONGMIN ZHUANYE

吕晨钟 傅新红◎著

# 农民专业

合作社发展的影响研究

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——以川渝地区种植合作社为例



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## 前言

在我国现阶段，农业经济基本矛盾的内涵可以被认为是农业产业组织行为主体与市场之间的矛盾，农户以及龙头企业的生存风险越来越大。农民专业合作社本质上是作为市场弱势群体的农民的联合，它提高了农民的组织化程度和市场竞争力，有利于规避市场风险，增加农民收入和提高农业劳动生产率，是实现现代化农业的有效途径。但是当前我国许多农民专业合作社存在形式不规范、功能不健全、合作层次低、规模小、带动能力弱等问题。同时，以血缘、地缘为人际关系初始禀赋的中国乡村，决定了社会性质必是一个“熟人社会”，行动逻辑起点自然就是以“己”为核心的“差序格局”社会环境下的关系取向，并且成为当前我国农村社会资本的表现之一。拥有较高社会资本的核心社员，可以充分利用自己良好的人际关系网络，发动更多的农户加入合作社，有利于扩大合作社的规模；同时也可以运用自己的社会资本获取正式或非正式渠道的消息，帮助决策者做出决策，扩展农产品的营销渠道，提高合作社的运营绩效。本书就是通过对当前我国农民专业合作社核心社员的社会资本测定试图来破解合作社“能人现象”背后的经济原因和社会原因。

笔者对核心社员社会资本的研究得到了四川省农村发展研究中心（项目名称为“核心社员社会资本对西南地区种植业合作社的影响研究”，编号CR1011）的资助，在课题进行的时间里，做了大量调研，积累了丰富的资料，在此基础上完成了博士论文。本书是在对博士论文和

课题研究的基础上整理完成的。

本书在当前我国城乡差距逐渐拉大、合作社发展受阻的背景下，以农民合作理论和社会资本理论为研究理论基础，构建核心社员社会资本对合作社发展影响的理论框架。通过对川渝地区种植农民专业合作社核心社员人际网络、社会信任、互惠及规范认知的现状调查，采用主成分分析方法测定当前川渝地区种植合作社核心社员社会资本的总指数，分析核心社员社会资本总体状况对合作社发展的影响，并利用结构方程模型等方法分别研究核心社员社会资本各组成成分对合作社规模、组织特征、运营绩效的影响，在此基础上，从社会资本的角度提出规范和发展当前我国种植合作社的思路和方案。

本书主要研究结论：

（1）利益相关体的信任和对非正式规范的利用是决定核心社员社会资本最关键的指标。主成分分析结果显示，核心社员的社会资本主要由其信任、人际网络、互惠和对非正式规范的利用四个成分构成，四个主成分对社会资本总指数都有正向贡献作用。其中信任社会资本对核心社员社会资本贡献最大；其次为规范社会资本；互惠社会资本对核心社员社会资本贡献最低。基于此，本书认为合作社核心社员可以通过充分利用当地风俗，利用信义赢得信誉，加强与相关部门的联系，建立超越单纯经济关系，增强自己的社会资本。与此同时，加强与内外部利益相关体的互动，建立制度化的互惠机制，提升合作社凝聚力，进而提升核心社员的互惠社会资本。

（2）核心社员社会资本对种植合作社发展的影响存在两条路径。第一条路径是核心社员个人所拥有的信任、网络、互惠和规范社会资本分量直接对其所在合作社发展产生影响；第二条路径是核心社员的各社会资本分量通过其社会资本总量的中介作用，影响合作社的进一步发展。因此，充分利用核心社员所拥有的良好人际网络及其他社会资本存

量促进合作社内部机制的完善,合理并有效扩大合作社规模,进而提升合作社运营绩效,成为了合作社发展的有效路径。

(3) 核心社员的网络社会资本显著而广泛地影响着种植合作社的发展。实证研究结果表明,核心社员网络社会资本不仅通过社会资本总量对合作社发展有间接影响,还对其结构完善有直接影响效果,且直接影响大于间接影响。因此,扩展核心社员有效的关系网络可以帮助合作社在内部机制完善、组织规模扩大和运营绩效提升的过程中减少不必要的环节、时间、步骤和成本,进而促进合作社的快速、有序发展。

(4) 利益相关者对核心社员的信任促进了种植合作社的持续发展。核心社员的信任社会资本更多地通过直接扩大合作社的发展规模和提升运营绩效,而通过长期积累构建的社会资本总量对信任社会资本的中介作用较小。因此,核心社员在合作社利益相关群体之间建立良好的信任关系,是推进合作社持续发展的重要途径。

(5) 核心社员的互惠行为对种植合作社的发展存在一定的促进作用。核心社员的互惠社会资本对合作社规模扩大的直接作用效果不明显,对合作社组织结构完善的影响效果也十分微小,但其对合作社运营绩效的促进作用较大。因此,核心社员应在关系网络中与利益相关体之间保持着期望和义务,以维持和提升合作社的运营绩效,完善组织结构,使其在市场中与其他群体或个体的竞争更具优势。

(6) 核心社员对非正式规范的利用在一定程度上影响了种植合作社的发展。实证研究表明核心社员对非正式规范的广泛利用在一定程度上阻碍了合作社进一步的规模扩大,但其同时从直接和间接两条路径对合作社组织结构完善和运营绩效都起到了正向影响效果。核心社员对这种非正式规范的有效利用,在合作社发展初期,有助于内部以及与其他组织之间的合作,完善组织内部管理,形成统一的组织文化,提升组织的运营绩效。然而随着合作社规模的不断扩大,民俗和惯例已不再是其

发展的主要依据，若核心社员仍过多地依赖于这些非正式制度，而忽略内部正式管理制度的建设，则只会阻碍合作社规模的进一步扩大，进而束缚合作社的发展。

本书的创新主要体现在以下三方面：

（1）定量测定了合作社核心社员的社会资本。本书运用实地调查数据，根据社会资本的内涵，科学地制定了核心社员社会资本测量指标体系，对其社会资本进行定量测定，并计算出社会资本总指数和分指数。对核心社员社会资本的量化，便于比较和分析。突破了以往研究对核心社员社会资本均为定性描述分析的局限。

（2）从核心社员的角度，系统地研究社会资本对合作社的影响。本书主要针对核心社员这一微观层面，从种植大户、社长、理事长等核心社员社会资本的角度研究其对合作社规模、组织特征、运营绩效的影响，是对以往研究主要集中在合作社整体社会资本角度的宏观层面影响的有益补充，充实了社会资本对合作社影响的理论体系。

（3）定量分析了核心社员社会资本对合作社的影响，进一步明确了核心社员社会资本对合作社的作用路径和程度。本书运用结构方程模型，不仅分析了核心社员社会资本总量对合作社发展的影响，还分别从信任、关系网络、互惠和规范等多个分量对合作社的规模、组织特征及运营绩效的影响进行了深入探讨，明确了社会资本总量及各分量对合作社发展的影响路径和程度。

## **Abstract**

At the present stage in our country, the connotation of basic contradictions in agricultural economy can be thought as the agricultural industry organization behavior subject and the market, there is a growing survival risk in farmers and leading enterprise. Farmer professional cooperative economic organization is essentially as a market vulnerable group of farmers union, which can improve the systematism degree of farmers and the market competitiveness, avoid market risk, increase the farmers' income and improve agricultural labor productivity, is the effective way to realize Modern Agriculture. However, there are many questions in our Farmer professional cooperative economic organization such as the form is informal, the function is not sound, the cooperation level is low, small scale, the driving ability is weak and so on. In order to protect the interests of the members better, improve the attractive and cohesion of cooperative to members. Meanwhile, With blood and geographical as the personal relationship in rural China, determine the social nature is a "acquaintances society", the logic starting point is the relational orientation which is with the "oneself" as the core of "Differential Pattern" in social environment and it becomes one of the performance of our country's



current rural social capital. The core members can use their good interpersonal network to mobilize more farmers to join cooperatives, which will be conducive to expanding the scale of cooperatives, and also can use their own social capital to obtain the formal or informal channels of news, which will help decision makers to make decisions, expand marketing channels for agricultural products and improve the operational performance of cooperatives. Therefore, it is essential to measure the social capital of our current cooperatives' core members.

The author of the core members of social capital research was supported by Sichuan Rural Development Research Center (project name is "social capital on core members southwest farming cooperatives impact studies, " No.CR1011) funding, the topics of the time, a lot of research, has accumulated a wealth of information, on this basis, to complete a doctoral dissertation. This book is on doctoral theses and research done on the basis of finishing.

This paper analyzes what kind influence the core members' social capital does on the development of planting industry cooperative from the perspective of size, organization characteristics, operation performance and so on, which is helpful to find method and countermeasure to ease or resolve the current development problem of farmers' specialized cooperative economic organization in China. With the principal component analysis and structure equation model, the paper also uses investigation data of Sichuan and Chongqing 158 planting cooperatives and 380 core members to deeply analyze

the influence that the various core members' social capital elements does on the development of the cooperative. Finally this paper promotes policy suggestion about improving the core members' social capital to advance the cooperative development.

The main conclusion of this paper is as following:

(1) There are two ways for core members' social capital to influence the cooperative development. The empirical research shows that, there are two obviously ways for core members' social capital to influence the cooperative development. The first way is that the core members directly influence development of their cooperative through their trust, interpersonal network, the reciprocal benefit and the formal social capital component; The second way is that the core members' social capital component influences the further development of their cooperative through intermediation function of their social capital. Through core members' social capital, make full use of core members' good interpersonal network and other social capital to promote the improvement of the cooperative internal mechanism, expanding the cooperative reasonably and effectively to increase the cooperative operation performance becomes the cooperative development of effective path.

(2) The the relationship network society capital of core members significantly and greatly influences the development of the cooperative. After controlling the influence of cooperative operation term and the main industry, the cooperative with more relationship network society capital

develops better than the less one. As for the core members, the cooperative relationship network are mainly reflected as the interconnection of different networks classified by public, production, study, research and money of cooperatives interests. The core members' social capital effectiveness is decided by their accessibility, convenience and can switching in the social network, and the good social network can promote complex knowledge and experience sharing and transferring in the cooperative. The effective social network of core members could help the cooperative reduce the links, time, procedures and cost in improving the internal mechanism, expanding the organization and raising operation performance to promote the cooperative rapidly and orderly developing.

(3)The stakeholders trust core members that promote the cooperative sustainable development. This paper studies show that, although the core members' trust social capital influences the cooperative development in different ways, the core members' trust social capital have a positive role in expanding cooperative organization, consolidating internal organization mechanism and promoting operation performance. Trust is the most important index for social capital, and the trust based on blood or genetic relationship is completely unable to meet the development of market economy. When people meet in the interpersonal network, there will be many asymmetric information situation, the individual forms the interests, preference, strategy and other equilibrium after long-term and repeatedly gaming in this network, which makes the people cooperative and establish trust between each other.

A cooperative is based on mutual trust among the villagers, with the long-term cooperation interests, the peasants and other stakeholders have enthusiasm to perform the entrusted obligation, and fight for good reputation to maintain the trust relationship. Without the trust, cooperative will not exist, the establishment and development of cooperative require high level of trust among members. As the core members, there will be difficult to promote the further development of the cooperative without high credibility and exists a foundational defects in the basic conditions of cooperative development. Therefore, the core members establish the good trust relationship with the cooperative is an important way to promote sustainable development of cooperative.

(4) The reciprocal behavior of core members has some stimulative effect for the cooperative development. The empirical research shows that, the reciprocal social capital of core members has little effect for cooperative organization scale and organization characteristics, but has great effect for operation performance. Social capital is generated through the reciprocal behavior. Any individual in the society can't completely meet all needs, and must need the others' help. But as intentional bodies, they provide help for other people, meanwhile they need to get other people's help. Therefore in the natural evolution process, the core members' the social emotion trend and cooperation ability make them take reciprocal behavior in interpersonal network. With the mutual cooperation, cooperative members form reciprocity in

the development of the cooperative, which can help the core members and ordinary members form common values to promote perfection of the internal mechanism of cooperative. The trust of stakeholders makes different subjects have high expectation, correspondingly, individual will also expend equal obligation in trading content. The core members keep expectation and obligation with stakeholders in the relationship network for maintaining and improving the scale and operation performance of cooperative, which make them have more advantage in the market competition with other groups or individuals.

(5) The formal social capital of core members has significant effect on the cooperative development. The empirical research shows that the core members rationally use informal regulations hindered cooperative further expanding in certain extent, which contradicts theoretical hypotheses. And the formal social capital of core members has positive effect on cooperative organization characteristics and operating performance in direct and indirect ways.

As to the cooperative, informal regulations are values, rules and restrictions shared between the members or groups, such as customs, faith and so on. In a network existing same regulations, the various stakeholders are connected, but each subject has their own attribute, these individuals with different attributes are connected for the same regulations and mutually dependent on each other. The core members make full use of the informal regulations can help cooperation within cooperative and between cooperative and other

organizations, and further improve organization internal management and the form unified organization culture, which is to raise the organization's operating performance. However, with cooperative constant expanding, folk custom and practice are no longer the main development basis, if core members still almost rely on these informal systems and ignore constructing the internal formal management system, it will hinder cooperative further expanding and the cooperative development.

The innovation of this paper is mainly reflected in the following three aspects:

(1)The quantitative determination of the social capital of cooperatives' core members. Literature search found, the past researches about the social capital of core members are all qualitative description analysis, but this paper uses field survey data, scientifically makes the measuring index system of the social capital of cooperatives' core members according to the connotation of social capital, which can take Quantitative Determination of the social capital, and calculate the overall index and sub-index of social capital to make a clear and scientific understanding of the social capital of core members.

(2)Make a comprehensive analysis of Cooperative development in Sichuan-Chongqing region, reveal the differences between the cooperatives.

This paper mainly uses comparative analysis method to analyze the cooperative development situation in different main industry and different set up time horizontally and

vertically when it analyzes the status of cooperative development in the Sichuan-Chongqing region, and it has found there exists big difference in cooperative development situation between different main industry and different set up time.

(3) Make a comprehensive analysis of the social capital of core members on the influence of the cooperatives, to points out the way and extent that the social capital of core members effecting cooperative.

This paper not only analyzes what kind influence the social capital of core members does on the development of cooperatives, but also deeply discusses what kind influence various factors such as trust, relationship network and regulation does on scale, organization characteristic and operation performance of cooperative, and definitely points out the way and extent that total amount and components of social capital influencing cooperative development.

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