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总序

在过去的半个多世纪以来，伴随祖国的发展和重庆地方经济的不断增长，不管是响应 20 世纪 60 年代国家提出的“调整、巩固、充实、提高”倡导教学与生产劳动相结合，还是直接参与 20 世纪 80 年代地方财贸系统恢复建设的过程，直至 21 世纪，重庆工商大学审时度势，进一步明确办学目标定位，凝练鲜明的财经特色和与时俱进的商科优势。重庆工商大学学人从来没有停滞过对科学真理的探索和对自身使命的躬身实践。学校一批又一批的青年学者，他们具有国际化视野，醉心于财经科学研究，重视借鉴东西方前沿的学术理论与丰富的文化内涵；他们关注国计民生，身体力行，襟怀巴渝，以科学、真知的学人风范，亲身参与地方经济社会建设，让理论之花在实践中绽放，广大教师在教学耕耘与学术研究中收获了累累硕果。科学研究——这一党和人民赋予高等院校的使命和事业，在重庆工商大学得到了蓬勃发展。这其中，凝聚着几代学人的智慧，闪耀着创新的光芒！

理论从来就是为适应社会经济进步的需要而产生的，而最终又要服务于客观实践。结合近年来我校在财经学科学术理论的探索，我们遴选了一批我校中青年学者两年来在财经研究领域的部分优秀成果，以自由申报、匿名评审、多方资助、统一出版的方式，与西南财经大学出版社合作统一出版一批经济学、管理学专著，形成“重庆工商大学财经文库”。

首批汇集到“文库”的专著共 12 部，这批著作具有以下

突出的特点：

一是力推新人。入选“文库”成果的作者，均系我校近年引进或培养的中青年博士。他们毕业于不同的重点大学，绝大多数有名师、严师学缘，对学术前沿动态有敏锐的把握；他们工作在我校教学科研工作第一线，对社会现实有深刻认识，具有较高的理论素养和较强的科研能力。诚然，现在他们并非学界泰斗、名师名家，但他们具有强烈的创新精神、开拓意识和发展潜力，可以预见，他们必将是学校未来学术、学科发展的新鲜血液和中流砥柱。“文库”首批推出他们的成果，旨在推新人于“前台”，接受学界检阅，激励、鞭策、促进他们尽快成长为学校科研教学中坚力量。

二是矢志创新。“文库”的这些成果均能够自觉运用马克思主义的立场、观点、方法认识问题、研究问题、解决问题，很好地坚持了理论联系实际，体现了学风严谨、文风朴实，做到了理论探索有进展，研究方法有创新，学术观点有新意，对策建议有建树。

三是注重导向。“文库”的成果无不涉及理论经济、应用经济、工商管理、管理科学与工程、公共管理等我校特色优势学科领域，既是对学校打造鲜明财经特色属性的力证，更为学校学科发展、科学研究、人才培养、社会服务提供了重要支撑。

学校高度重视“文库”的编纂、辑录，为“文库”出版投入了较多的人力、物力。我们始终认为：作为一所具有鲜明财经特色的多学科性大学，我们要培养出高质量的包括财经学科在内的专门人才，科研无疑是教学的先导、教育的基础。没有高质量的学术研究，以己昏昏，使人昭昭，很难想象有深入浅出、鞭辟入里的课堂教学；没有教师对财经实践的敏感触觉和对社会经济问题的深刻领悟，很难想象有生动活泼、贴近实际的课堂艺术。唯有在科研方面的进步和成就，才能保证造就

一支具有坚实理论基础、深厚学术底蕴，并富有远见卓识和深刻洞察力的师资队伍，从而推动具有鲜明财经特色的多学科、全方位、多层次的发展。是故，学校多方筹资，购置图书、激励科研、补贴出版；众多学者皓首穷经、笔耕不辍；兄弟高校、出版界同仁大力襄助，终有今日“重庆工商大学财经文库”付梓。

综上，“文库”的出版，寄托了对我校中青年学术才俊的一份清新期许，与其说是一种对他们单纯的奖掖、褒赞，毋宁说是在搭建一个文汇达观、聚贤纳济的平台。我们诚挚地渴盼有更多青年学者，能够砥砺自修，卓尔有成，产出更多更好的成果；也恳请更多的学界名流、前辈泰斗，关心、点拨中青年学者的学术成长，让他们尽快健康、科学地投身学科、学术拔尖团队的自我培养和群体塑造，早日成长为我校科研、教学的领军人才，担当重任。

相信“文库”出版以后，对我校的学科建设、科学研究、人才培养、社会服务必将产生积极的促进作用，也为学界了解我校中青年学者的科研状况提供一个重要的窗口，祝愿师生们和广大读者能从“文库”中受益。当然，因本套成果编校时间短以及我们的研究水平有限，其中难免存在差漏和不足之处，敬请读者谅解并批评指正。

我们衷心地希望我校广大中青年学者潜心研究，把握学术前沿，深入社会实际，产出更多优秀的科研成果；期待我校教师和科研人员有更多更好的学术专著问世！

柳建伟 谨识

2012 年春 于重庆南山书院

摘要

21 世纪的市场竞争，是供应链与供应链之间的竞争，农业领域也不例外；消费者对农产品质量安全要求越来越高，农产品供应链源头管理的重要性凸显；人类社会正迈入一个多元共生的时代，企业与农户共生关系的构建成为城乡协调发展中值得关注的问题。新竞争、新需求、新时代，迫切需要作为供应链核心企业的农业产业化龙头企业与上游农户建立一种新型的共生合作关系。本书对于深化农业产业化经营、供应链管理和共生理论的认识具有重要的理论意义。在实践意义方面，本书将为农业产业化经营提供一种创新发展模式，促进企业与农户的互惠共生以及整个社会的和谐共生。

本书以“供应链竞争时代，如何重塑企业与农户的关系”为脉络，围绕“什么是共生关系，为何共生，共生模式有哪些，共生演进的机制是什么，如何优化共生关系”等展开研究。全书共十章，主要内容如下：

第一章 绪论。介绍本书的研究背景、研究目的与意义、国内外研究动态、研究思路和方法以及研究创新之处。

第二章 概念界定与理论基础。首先对供应链、产业链、涉农供应链等相关概念进行界定，其次对供应链管理理论、共生理论、交易费用理论、博弈论和价值链理论等理论基础做简要回顾。

第三章 供应链管理：企业与农户共生的制度规范。研究从制度经济学的视角阐释了企业与农户共生的载体——供应链

是一种创新了的组织分工形式,这种形式既能规避纯粹市场的高交易成本,又能克服纵向一体化的不足。同时指出,供应链是经济全球化背景下企业应对竞争的一项诱致性制度变迁,而供应链管理则是供应链组织形式下的一种制度规范。从一般供应链过渡到涉农供应链,供应链管理实际上为企业与农户共生提供了一种制度规范,不仅有利于节约交易费用,也有利于合作博弈的形成和核心竞争力的培育。

第四章 供应链管理视角下企业与农户共生关系界定。农户与企业在涉农供应链中的地位和作用表现为:从职能定位看,农户是涉农供应链动力源头,企业是组织者和协调者;从市场定位看,农户是精益型生产者,企业是敏捷型响应市场者。供应链管理环境下企业与农户的共生关系实质上是一种建立在供需基础上的基于各自核心专长的战略外包和战略协同的企农关系,它更强调“互补性”、“协同性”、“增值性”和“共赢性”。共生系统产生的协同运作效应、信息共享效应、能力互补效应、知识转移效应、共同愿景效应等互动效应,以及由此带来的企业与农户的共生进化,是企业与农户共生的内在动因。供应链管理环境下企业与农户的共生是有条件的,包括:质参量兼容、生成共生界面、适当的关联度等共生必要条件;共生界面畅通、产生共生能量和一定的信息丰度等共生充分条件;农户数量不能无限制增加的共生密度均衡条件;关联度和对称分配等共生稳定条件。

第五章 供应链管理视角下企业与农户共生模式分析。供应链管理环境下的企业与农户共生关系是一个动态发展的过程,具体表现为一系列的共生模式。共生模式包括共生组织模式和共生行为模式。企业与农户共生组织模式包括点共生、间歇共生和连续共生三种。企业与农户共生行为模式包括偏利共生、非对称性互惠共生和对称性互惠共生三种。连续互惠共生模式是基于供应链管理的企业与农户共生的目标模式。与自然

界中生物种群共生、进化过程相类似，涉农供应链的动态演化过程同样具有物流过程的特征。作为对供应链管理环境下企业与农户共生演化的一种数学诠释，本章最后对企业与农户共生模型及稳定性进行了分析。

第六章 供应链管理视角下企业与农户共生演进机制分析。供应链管理环境下企业与农户共生关系的发展、共生模式的演进有其内在的机理。企业与农户共生关系发展模型，是对企业与农户共生模式演进过程的简化与抽象。供应链管理的实施为企业与农户共生关系的发展提供了制度平台，并由此催生出三种共生演进机制，即规范型共生、特征型共生与过程型共生。三种抽象机制的背后隐含着共生收益分配、共生界面畅通、共生界面选择和共生环境诱导等具体的、重要的机制。这些机制决定着共生单元（企业与农户）的公平与稳定、互补与协同、量的扩张与质的提高，也关系着涉农供应链的绩效改进与发展方向——增加共生能量，实现企业与农户共同进化。

第七章 企业与农户共生关系的现实考察与优化路径。本章是对前述理论的一种应用分析。基于我国涉农供应链中企业与农户共生关系所呈现出的连续性互惠共生程度低和共生效益低的现实，提出我国涉农供应链中企业与农户共生关系的优化路径，包括：强化供应链管理，夯实共生关系发展的制度基础；实施战略定位，增强互补效应和协同效应；畅通共生界面，促进连续性共生模式形成；营造正向环境，强化对共生关系的正激励。

第八章 企业与农户共生的案例分析。以乳业供应链、山东六和模式为个案，以及三鹿、六和两个案例的比较分析，对企业与农户共生的理论进行实践检验。由此得出的结论和建议是：供应链管理环境下企业与农户共生关系的形成和发展，需要供应链核心企业具备良好的信誉、强大的实力以及与农户互惠互利的战略意识；企业与农户共生具有扩散效应，企业与农

户的和谐共生将极大地促进城乡和谐共生以及整个社会的和谐共生；以共生介质多样化畅通共生界面，以提高合作能力、合作意识等共生介质的同质度，以担保、专用性资产投资强化双方之间的“强关系”，有利于增强联合依赖性，并产生联合依赖性效应，进而提升联合价值创造水平，最终实现企业与农户和谐共生；企业与农户和谐共生的实质是构建准一体化供应链，它需要借助于有效的供应链制度安排。

第九章 企业与农户共生的实证分析。企业与农户共生的实证分析表明：在企业的共生合作行为决策中，企业与农户的互动程度与依赖程度、利益分配方式、企业的安全农产品生产能力、企业的质量安全意识、企业实力、合作伙伴特质、安全农产品生产环境七大因素对企业的共生合作行为有显著的正向影响；安全农产品经济效益对企业的共生合作行为有一定的正向影响，但不显著。而在农户的共生合作行为决策中，互动程度与依赖程度、安全农产品生产能力、利益分配方式和安全农产品生产意识对农户与企业的共生合作行为选择有显著的正向影响；安全农产品生产环境和农户实力中的部分指标表现显著；合作伙伴特质、安全农产品经济效益对农户的共生合作行为影响不显著。

第十章 结论与展望。对全书的研究结论进行总结，对下一步的研究进行展望。

关键词：供应链管理；企业；农户；共生关系；共生模式

ABSTRACT

The market competition of 21 centuries is the competition of supply chain and supply chain , and the agriculture realm is no exception; As consumers have higher and higher requests on the quality safety of agricultural products , the source management of the agricultural product supply chains becomes increasingly important. The human society is entering an “age of diverse symbiosis” , the enterprise - farmer symbiosis is becoming a worthy concern in the city country coordination development. Due to the new competition , new need , new era , the urgent demand is that the leading business in agriculture industry and upper stream farmer household must build up a kind of new symbiosis cooperative relation. Theoretically , This research is advantageous to the deep understanding of the agricultural industrialization management , supply chain management and symbiosis theories. Practically , this research will provide a new development mode for the agricultural industrialization , and will promote the mutualism of the enterprise and farmer household as well as the whole socially harmonious symbiosis.

This research takes “supply chain competition ages , how to remould the relation between enterprise and farmer household” as grain , and focuses on “what is a symbiosis relation , why is the symbiosis , which is the symbiosis mode , what is the mechanism of symbiosis evolvement , how excellent is a symbiosis relation” and so on to launch a research. The full text contains totally 10 chap-

ters, the main contents are as follows:

Chapter 1 Introduction. This part is to introduce the textual research background, the study purpose and meaning, present statement of relevant domestic and international research, the ways of thinking and methods and the creative place.

Chapter 2 The concept define and theories foundation . First, it will define “the supply chain, industry chain, agriculture supply chain” and their related concepts. Second, the author will make a synopsis review including supply chain management theory, symbiosis theory, the transaction cost theory, game theory, and value chain theory etc.

Chapter 3 This part is to explain the supply chain management; the institutional norm of symbiosis of enterprise and farmer household. Research explains the symbiosis body that supply chain is a kind of innovation of organization division form from the angle of institutional economics , this form can evade high trade cost from a pure market, and then overcome the shortage of vertical integration . Pointing out in the meantime, supply chain is an institutional change under the economic globalization enterprise coping with the competition , and supply chain management is a kind of institutional norm under supply chain organized form. From general supply chain to agriculture supply chain, the supply chain management actually provides a kind of institutional norm for enterprise and peasant household symbiosis , not only being advantageous to reduce transaction cost , but also being advantageous to forming cooperative game and developing core advantage of enterprise and farmer household.

Chapter 4 This part is to give definition on symbiosis relation of enterprise and farmer household based on supply chain manage-

ment. Similarly with the natural symbiosis phenomenon, under the environment of supply chain management, the symbiosis relation between enterprise and farmer household is substantially a strategy outsourcing and collaboration relation which foundation on respectively core specialty based on the supply and the demand, which emphasizes “mutual complement”, “collaboration”, “add - value” and “win - totally”. The symbiosis system can product some interaction effects, such as collaboration effect, information share with each other, advantage complement, knowledge transfer effect, common vision effect, and so on, and also can promote the symbiosis evolution of enterprise and farmer household, these are internality reason of enterprise and farmer household symbiosis. symbiosis condition, which is essential, includes the essence reference variation being expressed mutually, forming symbiosis interface, appropriate correlation etc symbiosis essential condition, the symbiosis interface is open, creation symbiosis energy and certain information etc full condition. The amount of farmer household cant be infinite under balanced condition of the symbiosis density; Correlation and symmetry allotment as symbiosis stabilizing condition.

Chapter 5 This part is to analyze symbiosis mode of enterprise and farmer household based on supply chain management. symbiosis relation of enterprise and farmer household under the environment of supply chain management is a develop process, a series of symbiosis mode is its concrete performance. The symbiosis mode includes symbiosis organization mode and symbiosis behavior mode. The symbiosis organization mode of enterprise and farmer household include dot symbiosis, intermittent symbiosis and continuous symbiosis. The symbiosis behavior mode of enterprise and farmer household include commensalism、dissymmetry mutualism and

symmetry mutualism. The continuous and mutualism mode is a symbiosis target mode of enterprise and farmer household. Similarly with the symbiosis evolution process of the living creature kinds in the nature, the evolution process of the agriculture supply chain equally has the characteristic of Logistic process. As its mathematics annotation, this end carries on an analysis on symbiosis model and the stability.

Chapter 6 This part is to analyze symbiosis evolution mechanism of enterprise and farmer household based on supply chain management. Under supply chain management environment the evolution of symbiosis mode of enterprise and farmer household have its inner mechanism. The development model of symbiosis relation is a simplification and abstraction of evolution process of symbiosis mode. Supply chain management provides the development with institutional terrace, and producing three kinds of symbiosis evolution mechanisms, namely, norm type symbiosis, characteristic type symbiosis and process type symbiosis. On the back of them, there are some concrete and important mechanism, including symbiosis energy allotment, symbiotic interface flow, symbiotic interface selection and symbiosis environment induced etc. These mechanisms decide symbiosis unit (enterprise and farmer household) with fair and stable, complement and collaboration, amount - increased and quality - raised, also relate to results improvement and development direction of the agriculture supply chain. In other words, they help enterprise and farmer household increase symbiosis energy, carry out to together evolve.

Chapter 7 This part is to present a realistic investigation and some excellent path to symbiosis relationship of enterprise and farmer household. This chapter is an application analysis on the above

theories. low continuous and mutualism degree and low symbiosis performance are reality of enterprise and farmer household symbiosis relation in the agriculture supply chain, so the paper put forward some excellent path, including enhance supply chain management, lay institutional foundation of the development; Carry out strategy position, strengthen the effect with complement and collaboration; Communicate freely of symbiosis interface, promote continuous symbiosis mode to form; construction positive environment, enhancing to encourage the symbiosis.

Chapter 8 This part is a case analysis. With milk industry supply chain, Shandong liuhe for individual cases, and sanlu - liuhe comparative analysis, carry on an practical examination to the symbiosis theories of enterprise and farmer household. Drawing some conclusion and apocalypse: under supply chain management environment formation and development of enterprise and farmer household symbiosis relation need supply chain core enterprise to have good prestige, strong real strength and mutual benefit strategic consciousness; The symbiosis of enterprise and farmer household has proliferation effect, which is helpful to harmonious symbiosis of the city and country, and harmonious symbiosis of the whole society. Setting up an unimpeded symbiosis interface with the diverse symbiosis medium, Raising the mutual connection with the together quality degree, enhancing "strong relation" with the guarantee and special assets investment, be advantageous to strengthen joint dependence and produce joint dependence effect, then promoting the value creation level, finally carrying out harmonious symbiosis of enterprise and farmer household. Substantially harmonious symbiosis of enterprise and farmer household is that setting up the near integral supply chain, it depends on the valid system arrangement of

supply chain.

Chapter 9 This part is to give an analysis of substantial evidence. The results show that seven factors have significant positive influence on the symbiosis cooperation behavior choice of the enterprise, these factors include interactive relation between the enterprise and farmer household, benefits allotment, the ability of enterprise produce safe agricultural product, the quantity safety consciousness of enterprise, enterprise strength, cooperate colleague characteristic, the safe agricultural product environment. The income of safe agricultural product has little positive influence on the symbiosis cooperation behavior choice of the enterprise. In the farmer's symbiosis cooperation behavior choice, four factors have significant positive influence on the farmer's symbiosis cooperation behavior choice, these factors include interactive relation, the ability of farmer produce safe agricultural product, benefits allotment, the quantity safety consciousness of farmer. Partial variables in the safe agricultural product environment and farmer strength have significant positive influence on the farmer's symbiosis cooperation behavior choice, cooperate colleague characteristic, the income of safe agricultural product have little positive influence on the farmer's symbiosis cooperation behavior choice.

Chapter 10 Conclusion and outlook. This part is to carry on a summary to the research conclusion of the paper, carry on an outlook to future research.

Key Words: supply chain management; enterprise; farmer household; symbiosis relation; symbiosis mode

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