山西省科技型中小企业服务体系研究

SHANXIKEJIXINGZHONGXIAOQIYE FUWUTIXIYANJIU

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序

20 世纪八九十年代，以信息技术、光电子、生物技术、新材料、新能源、航空航天等一系列高新技术迅速发展为标志的高新技术革命首先在美国、日本和欧洲蓬勃兴起，之后又波及全世界，发展高科技成为不可逆转的潮流。随之传统产业技术得到了改造和升级，产业结构不断优化，社会经济发生了巨大的变化。高新技术产业已成为当前世界经济发展的动力和国家发展争夺的战略制高点，它关系着国家和民族的未来兴衰，推动国家实现工业化并振兴其经济发展。科技型中小企业正是在这种背景下应运而生，并经过 20 年的风雨历程，从无到有，从小到大，而今已发展成为国民经济中的一支充满生机和活力的生力军。一方面，它所具有的独特的科技创新能力和活力与快速的科技成果转化能力，以及巨大的就业吸纳能力，成为推动整个社会科技创新发展和保持社会稳定的重要力量，它的发展对推动一个国家或地区的经济增长、增强市场竞争力、提高综合竞争实力，有着非常重要的影响；另一方面，它是市场条件下中小企业中最具活力和发展前景的经济单元，是未来高新技术大企业的幼苗和基石。为此，世界各国日益重视蓬勃发展的科技型中小企业的作用，并纷纷出台一系列的政策措施以扶持其发展。

我国科技型中小企业起步较晚但却发展迅速。在党的十一届三中全会政策支持和十五大提出的“抓大放小”的原则鼓励下，中小企业应运而生并蓬勃发展，科技型中小企业也是在这段时期伴随着中小企业得到了长足发展，并逐渐形成一个特殊的群体。随之，我国对科技型中小企业的扶持力度也在不断地加强。如：1999 年启动“科技部科技型中小企业创新基金”；科技创业服务中心（孵化器）、

创业投资机构和投资中介组织的组建；政策性贷款和企业上市的投融资协同机制的建立；逐步形成了有助于科技型中小企业快速成长的支持网络和绿色通道等，从而为我国科技型中小企业发展构建了较完善的服务体系。

在山西，科技型中小企业已逐步成为科技进步和知识经济的产物，成为中小企业中科技成果转化和技术创新的主体，它对山西省经济增长和科技进步与发展所起到的推动作用正在日益凸现。特别是 2006 ~ 2020 年是山西省全面建设小康社会，努力实现经济社会跨越式发展的关键时期。《山西省国民经济和社会发展第十一个五年规划纲要》提出：围绕全面建设小康社会的总目标，加快新型工业化、特色城镇化进程，提高综合经济实力、提高可持续发展能力、提高和谐社会建设水平、提高人民生活质量，努力建设国家新型能源和工业基地，构建充满活力、富裕文明、和谐稳定、山川秀美的新山西的经济社会发展总体战略。可见，新阶段山西省经济社会发展向科学技术提出了多层次、多方面的需求，我们比以往任何时候都更加迫切地需要坚实的科学基础和有力的技术支撑。同时，加快山西省科技发展也面临着难得的战略机遇：经济全球化进程深化，有利于加快山西省主导产业技术进步；科技交流辐射，技术扩散加速，有利于山西科技实现跨越发展；科技综合化发展趋势，有利于山西省科技在优势领域实现突破和赶超；山西省综合经济实力快速增强，为加大科技投入、推进科技创新提供了重要保障。

基于此，本书的写作内容本着融理论性、实用性、探索性为一体，既借鉴国外成功经验，又考虑中国乃至山西科技型中小企业的发展特点；既采用问卷调查分析，又注重规范研究；既采用分类研究，又注重系统理论探索；既立足于现实，又高于现实，更面向新世纪挑战的要求，对山西省科技型中小企业服务体系发展进行创新性研究与探索。本书的研究内容，几乎涵盖了山西省科技型中小企业服务体系发展中所面临的各种问题，特别是发展中可能会遇到的各种难点和热点问题。全书共计 5 篇 12 章。第一部分（1 ~ 3 章）是关于山西科技型中小企业服务体系的发展综述。着重阐述科技型中小企业服务体系的研究背景和文献资料综述，并对山西科技型中小企业进行界定，说明山西科技型中小企业在山西经济中的作用，并构建服务体系的基本框架。第二部分（4 ~ 5 章）是关于山西省科技型中小企业服务体系发展现状的剖析研究。本书在对山西省 100 多家高新技术企业进行问卷调查的基础上，从外部服务体系的角度出发，着重对融资渠道、社

会化服务体系、信息化平台等方面面临的问题及其原因进行了实证剖析，为进一步研究山西省科技型中小企业服务体系发展提供了重要的实证依据。第三部分（6～7章）是对国内外科技型中小企业服务体系的经验总结，并从中找出值得山西省发展借鉴的方面，为今后山西科技型中小企业服务体系规划指明方向。第四部分（8～12章）是在以上各章分析的基础之上，对山西科技型中小企业服务体系发展中存在的若干问题提出应对策略，也是本书的结论部分。其中着重对融资渠道的扩展、中介服务体系的完善、人力资源的服务与培训、信息化平台的搭建等问题展开进一步的探索，旨在为山西省相关政府部门科学地制定促进科技型中小企业成长及发展的政策提供理论依据。此外，特别提出在促进山西科技型中小企业服务体系发展中政府的职能。

本书是山西省软科学项目《山西省科技型中小企业服务体系发展研究》（项目编号：2006041012–01）的最终研究成果和山西省软科学项目《山西科技咨询服务业发展对策研究》（项目编号：2009041015–03）的部分研究成果，并由郭玉冰博士生负责全书的统撰工作。由于目前山西省科技型中小企业服务体系的发展尚需理论上的指导，因此该书的撰写不仅从经济学、管理学、社会学等方面对深化科技型中小企业成长理论提供重要理论依据，而且对提高科技型中小企业核心竞争力、持续创新能力、改善其宏观与微观管理、促进科技型中小企业健康发展均具有非常重要的现实意义。

《山西省科技型中小企业服务体系研究》一书的出版发行是对山西科技型中小企业服务体系的开创性研究，它不仅是山西省在新世纪经济可持续发展中的一件大事，也是一项十分艰巨而复杂的系统工程，因此还有很多问题需要进一步研究探索。

薛耀文

2011.3.12

PREFACE

In the 80s and 90s of the 20th century, the revolution of high and new technology first took place in the US, Japan and Europe, then spread to all over the world, The symbols of which are information technology, the photoelectron, the biological technology, the new material, the new energy, the aerospace and so on. From then on, Development of the high-tech becomes an irreversible tide. Accompanied with the transforming and upgrading of traditional industry technology and optimizing the structure of industry, The social economy has changed a lot. Currently, the high and new technology industry is the motive power of economic development in the world and strategic key point for national development. It relates to the future prosperity of states and nations and, also, it could promote the country to realizing the industrialization or prosper the economy. In such situation, the science and technology small and medium-sized enterprises (science and technology SMEs) arose and developed out of nothing, from infancy to maturity for 20 years, and now, it's one of the vigor forces in national economy. On one hand, its unique abilities and vigor of scientific innovation, technical payoffs transformation as well as taking in employment are the important forces to impetus society scientific innovation and maintain the social stability. The development of this kind of enterprise has very important influences on impelling the local economic growth, strengthening the market competitiveness, as well as enhancing synthesis competition strength; On the other hand, it is the most vigorous and prospective economic element of small and medium-sized enterprises in market economy; it is the seed and basic of the intending large high-tech enterprise, meanwhile, it representing the future industry development direction. Therefore, countries of the world pay more and more attention to the functions of promising science and technology SMEs. On

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basis of that, they introduce a host of policies and measures to support its development.

Although the Chinese Science and Technology SMEs emerged late, they develop very rapidly. Supported by policies of the Third Plenary Session of the Eleventh Central Committee and the proposal "invigorates large enterprises while relaxing control over small ones" of the Fifteenth Party Congress, the SMEs arose and grew rapidly, so did the science and technology SMEs at the same period, and this kind of enterprise was becoming a special group. Along with that, the support to the science and technology small and medium-sized enterprise is also strengthening in our country. For examples: the "science and technology SMEs innovation fund which is awarded by Ministry of Science and Technology" generated in 1999; the constructions of technical entrepreneurship service center (incubator), entrepreneurship investment institutions and intermediary agencies for investment; the policy-related loan and collaborative financing mechanism for listing of company came into being; the support networks and green channels for growth of science and technology SMEs are building up, and so on. All of the above measures has constructed the perfect services structure for the science and technology SMEs of our country.

In Shanxi, the science and technology SMEs have become the outcome of the knowledge economy as well as development of science and technology. It is main subject of commercialization of research outputs and technological innovation in SMEs. Their pushing effects for economic growth and the development of science and technology in Shanxi Province are becoming more and more obvious. Especially, from 2006 to 2020 is the crucial period to build a moderately prosperous society in all respects and realize the economic society great-leap-forward development for Shanxi Province. "The 11th five year plan summary of national economy and social development for Shanxi Province" has indicated: Regarding the general objective of building a moderately prosperous society in all respects, speeds up the new industrialization and the characteristic urbanization process; enhances the mixed economy strength and sustainable development ability and the level harmonious society; improves the people's living quality; constructs the national new energy and the Industrial base; plans the overall social development strategy in which the new Shanxi will be vital, wealthy and civilized, harmonious and stable, and

non-polluting. In the new stage, it is Obvious that the development of Shanxi economy requires the science and technology in multi-level and many aspects. So, the steady scientific foundation and powerful technical support are urgently needed than any time before. At the same time, accelerating the development of technology in Shanxi is in face of the rare strategic opportunity: The deepens of economic globalization is of advantage to speeding up the technical progress for the leading industry in Shanxi; The deepening of technical exchange and acceleration of technical diffusion are propitious to the great-leap-forward development of Shanxi science and technology; The integrated tendency of technology development is make for breakthrough and overtaking of Shanxi technology in the advantageous fields; the fast reinforcement of Shanxi general economy strength supports the increase of input in technology and buildup the scientific innovation significantly.

The traits of this book is the combination of theory, practicability and exploratory, referring to success of foreign science and technology SMEs as well as taking into consideration different features of the development of various science and technology SMEs in China, especially Shanxi, not only adopting analysis of questionnaire but also focusing on standard study, conducting assorting study and stressing systematic theoretical probation as well, being planted in and elevated from reality, and furthermore in face of the challenges of the new century, this book conducts the innovative research and the exploration to the development of services structure for Shanxi science and technology SMEs. This book covers almost all problems encountered by the services structure for this kind of enterprise in its development, especially those difficult and crucial problems likely to be encountered. This book consists of five parts (twelve chapters). The first part (chapter1-3) deals with summary of the development of Shanxi science and technology small and medium-sized enterprise services structure, paying special attention to the research background and summarization of references of science and technology small and medium-sized enterprise services structure, defining the Shanxi science and technology SMEs, explaining the economic function of Shanxi science and technology SMEs and constructing the basic services structure. The second part (Chapter4-5) treats the analysis of status quo

of services structure development of science and technology SMEs in Shanxi. Based on questionnaire survey of more than 100 science and technology small and medium-sized enterprise in Shanxi and from the outside service system, the task force puts emphasis on empirical study of the problems in financing channel, socialization service system, information network platform and so on. It will provide empirical evidence for the further study of development of science and technology SMEs service structure in Shanxi. The third part (chapter 6-7) sums up native and foreign experiences of science and technology small and medium-sized enterprise services structure, and discovers the helpful aspects for reference, which will indicate the direction of science and technology SMEs service structure in the future. The fourth part (chapter8-12) draws the conclusion of this book. On the basis of analysis of the above chapters, it offers the countermeasures to the certain problems which exist in the development of science and technology SMEs service structure. In this part, the author stresses on the further research of following aspects: expansion of financing channel, completing of the intermediary services system, service and training of human resources, establishment of information network platform and so on. It will provide the theory evidence for the relative government departments when they making policies to promote the development of science and technology SMEs. The final of the paper studies the government's function in promoting development of science and technology SMEs service structure in Shanxi.

The book is the collective research findings of the program of "Study of Development of services structure for Shanxi science and technology small and medium-sized enterprises" sponsored by Soft Science of Shanxi(Project No. 2006041012-01) that are superintended by Master Guo Yubing who take charge in the edit, design and comprehensive arrangement of the book. At present, the theoretical guidance is needed for the development of services structure of science and technology SMEs in Shanxi, therefore, this book not only provides important theory evidence for deepening the science and technology SMEs growth from aspects of economic, management and sociology, but also enhances the core-competitiveness, persistent innovation ability and improves macroscopic and microcosmic management, as well as healthy development for science and technology SMEs,

which is quite significant in practical.

The subject is a systematic pioneering study of development mechanism of science and technology SMEs service structure in Shanxi, it is not only a great event in the sustainable economic development of Shanxi in the new century, but a laborious and complex systematic project, and there are still many problems to be further studied.

Xue Yao-Wen

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