

张早平 / 著


Of The Professional Entrepreneur Growth

企业家

成长之路

——中国职业企业家成长机制的实证分析



 中国经济出版社

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摘 要

本书研究的目的是意义是对我国没有形成职业企业家阶层的原因进行实证分析,进而提出造就职业企业家成长机制及相应的对策。我们认为一个国家的国力竞争,需要一大批有竞争实力的企业作支撑,而企业竞争的核心力来源于企业家个人素质的高低。中国目前最缺少的是企业家人才。一方面社会环境制约了企业家的成长,另一方面企业家们较低的个人素质及多目标的价值取向也难以造就真正的职业企业家。因此本书的写作正是循着这样一个思路:一个产权清晰的现代企业制度是造就职业企业家成长的基础,一个有效的激励机制和约束机制是职业企业家成长的关键,而企业家市场则是发掘企业家资源的有效途径。全书共分十章。

第一章:西方企业的形成及演变。1. 企业的本质。企业又名厂商,是一种久已存在的经济形式,是为赚取利润从事生产和销售的单位,企业家是厂商的化身,是现代企业的灵魂。2. 企业的组织形式。大致可分为业主制、合伙制和公司制三种。3. 美国企业的形成经历了个人主义时代、企业主时代、制造商时代和代理人时代四个阶段。4. 现代企业制度的建立经过了四个阶段。5. 现代企业的特征表明一个完整有效的职业企业家队伍是构成现代企业制度的基石。

第二章:职业企业家队伍的形成:1. 企业家是市场经济的产物,资本主义的起源史从某种程度上讲是一部企业家的发展史。2. 美国当代经济的发展是美国企业家奋斗的成果。在促进美国经济高速增长过程中,企业家及其创新精神发挥了强大的推动力,一大批世界级的企业家构成了美国社会的中坚。3. 企业家的共同特征表明,企业家的成长与其个人奋斗的环境是息息相关的,企业家不是与生俱来的,企业家是一门科学也是一门艺术。

第三章：企业家理论。本章介绍了八种企业家理论。分别是熊彼特、马歇尔、柯兹纳、奈特、彭罗斯、卡森、张维迎的企业家理论及当代企业家经济学八种理论，并对此进行一一评价，本书认为尽管目前国际经济学界对企业家理论并没有一个统一的被广泛认可的结论，但这些理论能解释企业家的某些内在本质特征（并非无懈可击）因而对我国企业家队伍的建设是有积极借鉴作用的。

第四章：国有企业与企业家。1. 国有经济的建立及述评，本书认为国有经济的建立不是通过市场竞争的产物，导致了先天不足。2. 国企改革的历程，国有企业的改革就是对其先天不足的修正，大致经历了放权让利、利改税、经营承包、转机建制和整体搞活和深化时期六个阶段。3. 与此相适应的是我国国企领导体制也经历了一长制，党委领导下的厂长经理制、特殊管理制度和厂长经理负责制四个阶段。4. 企业经理革命是实现制度创新、政企分离、政资分离的重要内容，是社会对企业家组织与管理才能这种“第四经济要素”的确认。从国有企业改革的发展方向看，实施经理革命能促进企业家市场化与职业化，有可能是国企改革走出困境的一条新路径。5. 我国已形成了一批有影响的企业家，但尚未形成职业企业家队伍。6. 对国企企业家特征的实证分析。

第五章：激励机制之一：年薪制。1. 企业家个人待遇低，人力资源被严重低估甚至忽视是当前我国企业家反映最强烈的问题，年薪制是激励机制的基本内容之一。激励机制的基本功能及我国激励机制主要存在的四个问题。2. 决定企业经营者年薪制的八种理论及企业家人力资本形成的目标函数。3. 年薪制在我国的实行概况。4. 我国实行年薪制中存在的六个问题。5. 实行年薪制的四种对策及年薪制的五种参考模式。

第六章：激励机制之二：股票期权与股份制。期权和经理层特大股是我国实行的一种新的激励的模式，作为年薪制的一种补充形式，能起到一种长期有效的激励作用。1. 股票期权及理论及美国期权的实施办法对我国的借鉴意义。2. 我国经理层期权和股份制试点的情况。3. 存在的问题。4. 对策。5. 经营者持股的理论依据包括委托代理理论、交易成本与合同的完全性、剩余控制权与剩余索取权。经营者持股是一种有效的激励方式。

第七章：约束机制。一个健全的约束机制是造就职业企业家的重要因素。实践证明，对企业家的权力不进行约束，一些人就会滥用权力，企业也经营不好，因此在某种程度上讲约束机制与激励机制同样重要。1. 建立约束机制的必要性。2. 约束机制的体系，包括市场约束、法律约束和意识形态约束。这里特别提到了企业家个人信用是企业家的无形资产，也是成熟职业企业家的标志。3. 英、美、日发达国家的约束机制（英美为分散治理结构，日本为比较集中治理结构）在两种不同治理结构下，建立起的约束机制。

第八章：企业家市场。职业企业家队伍的形成。企业家人力资本的实现有赖于企业家市场的建设和完善。企业家市场是企业家选择、评估的高级专业人才市场。1. 企业家市场概述。企业家市场出现的前提条件是企业家市场化、职业化。2. 企业家市场功能的实证分析（以上海市经营者资质评价中心为例）。中国目前还未出现功能齐全的企业家市场。3. 建立我国企业家市场的探索。分析了我国制约企业家市场形成的原因，并提出了建立我国企业家市场的对策。西方发达国家企业家市场的具体做法对我国的借鉴作用。决定企业家收入经济因素的四种理论：锦标理论、明星效应、激励与风险理论、经理人员的劳动生产率理论对企业家市场评估系统的建立是一种理论依据。

第九章：规范民营经济发展，造就职业企业家。1. 我国民营经济的发展已经历了冒险家时代和做大时代的两次创业过程，目前正面临国际化的第三次创业高峰。2. 我国民营经济已经成为了国民经济的重要支柱，是推动我国市场化整体实施的重要动力。但民营企业内部本身也出现了一些问题。总体归结为三个方面：吸收就业的能力弱化，固定资产增长乏力、家族经济的挑战。3. 民营企业是造就职业企业家的摇篮。民营企业自身具备了造就职业企业家的独特优势，但也存在内外两个方面的诸多因素制约了职业企业家的成长。造就职业企业家的七点建议。我们认为中国未来经济的希望在民营经济，民营经济发展的希望在于培养、造就一大批职业企业家。4. 我国民营经济发展的前景。

第十章：企业家的自我修炼。1. 20世纪管理面临重大变革，与此同时企业家面临着新的挑战。2. 21世纪企业家应具备的基本素质。3. 中国企业家的自我修炼。（1）企业家应成为专家型综合人才。（2）企业家要有敏锐的政治

洞察力，但不能成为政治家。（3）建立学习型组织是提高企业创新能力的
基本保障。（4）构筑新的企业文化是企业持续发展的基本要求。（5）国际化大
市场的眼光是未来企业家整合国内外资源赢得竞争优势的必备条件。（6）加
强企业的信用建设，信用是企业最大的财富之一。市场经济是法制经济，更是
信用经济，信用是企业的生命线。4. 企业家的责任。

Abstract

This book aims at making case analysis to the reasons that professional entrepreneurs have not been formed in our country. And then it puts forward the growing system and relevant countermeasures to build professional entrepreneurs. The competition of national strength for a country, we believe, should be supported by a great deal of competitive enterprises. However, the core force of an enterprise competition stems from the individual quality of the entrepreneurs. For the time being, China lack of entrepreneurs seriously. On one hand, social environment restricts the growth of the entrepreneurs. On the other hand, real entrepreneurs are difficult to be built because of their low individual quality and their value-selection with many objectives. Therefore, this book focuses on such a thought: modern enterprise system with clear property right is the basis to build professional entrepreneurs; an effective system for inspiration and restraining is the key to the growth of professional entrepreneurs; and the entrepreneurs market is the efficient way to seek resource of the entrepreneurs. This book consists of ten chapters.

Chapter One: The Formation and Evolution of the Western Enterprises.

1. Essence of the Enterprise

The enterprise, also called firms which is a long-existed economic form, is a kind of unit that engages in producing and marketing in order to make profits. The entrepreneur is the embodiment of the firm and the soul of modern enterprises as well.

2. Three Forms of Enterprises : Proprietorship, partnership and corporation.

3. Four Stages of American Enterprises in the history : Individualism, Entrepreneur, manufacturer and Agent.

4. Four stages of Establishing Modern Enterprise System.

5. The characters of modern enterprise show that a complete and effective rank of professional entrepreneurs is the cornerstone for forming the modern enterprise system.

Chapter Two: The Formation of Professional Entrepreneurs.

1. Entrepreneurs are the products of market economy.

To a certain extent, the history of the capitalism origin is the history of the entrepreneurs development.

2. The development of American contemporary economy is the fruit of the struggle from American entrepreneurs. In the process of bringing about growth to American economy, entrepreneurs and their innovation play an important part of the motive forces. A great deal of entrepreneurs known all over the world consist of the backbone of American society.

3. The common characters of the entrepreneurs show that they are not inborn. The growth of entrepreneurs is closely bound up with the environment of their struggle. Enterprise is a kind of science, but a king of art, either.

Chapter Three: Theories of Entrepreneurs

This chapter introduces and evaluates eight theories of entrepreneurs and contemporary entrepreneurs economics by Schumpeter, Marshall, Kirzner, Knight, Penrose, Casson and Zhang Weiyang. This book believes that these theories can explain some inner characters of the entrepreneurs (but not unassailable) although there is no unified and widely approved conclusion to the entrepreneurs theory in the circle of international economics for the time being. Therefore, they play a positive role for reference in the construction of the entrepreneurs in our country.

Chapter Four : State Enterprise and Entrepreneurs

1. Establishment and Commentary of National Economy

This book believes that the establishment of national economy is not the outcome of the market competition. Thus, it is congenitally deficient.

2. The course and reform of state enterprise have correction to such deficiency through six stages: Power transference and profit concession;

Changing profit into tax; Management Contract; Transformation of old system an establishment of new system; Making the entirety active and deepen reform era.

3. Relavantly, the leadership system of state enterprises in our country has also experienced four stages ——system of one-man leadership; management system of factory director under the leadership of the Communist Party Commitee; Special administrative system and responsible system of factory director.

4. The revolution of enterprise managers is the main content of realizing system innovation, separation of government and capital. It is also the recognition of the society to the organization and administrative abilities of the entrepreneurs —— the Fourth Economic Factor. In terms of the development of state enterprise reform, the implementation of manager revolution can promote the marketability and professionalism of the entrepreneurs. And it may be a new way of the state enterprise reform to get out of the difficult position.

5. Large numbers of entrepreneurs have been formed in our country, but the rank of professional entrepreneurs has not yet.

6. Case analysis to the characters of state enterprise entrepreneurs.

Chatter Five: One of the Inspiration System — System of Annual Salary

1.Entrepreneurs have gained low pay and conditions. At present, the intense problem reported by the entrepreneurs in our country is that the human resourses are seriously low-evaluated and neglected. The system of annual salary is one of the basic contents of inspiration system. The basic functions of the in spiration system. Four main problems exist in the inspiration system in our country.

2. Eight theories on the system of annual salary to the enterprise managers. Objective function on the manpower capital of entrepreneurs.

3. Survey of implementation of the system of annual salary in our country.

4. Six problems exist in the implementation to the system of annual salary in our country.

5. Four countermeasures of the implementation to the system of annual

salary; Five moulds for reference to the system of annual salary.

Chapter Six: Two of the Inspiration System —Stock Promissory Right and Stock System

Promissory Right and the executives holding large shares is a kind of new mould for inspiration in plemented in our country, being the complementary form to the system of annual salary which plays a long and effective role for in spiration.

1. Stock Promissory Right and Its Theory. The meaning for reference of the implementation methods of American Promissory Right in our country.

2. The Promissory Right of the executives and the experimental units of stock system in our country.

3. The Existing Problems.

4. Countermeasures.

5. Theoretical basis for the executives holding stocks including the principal-agent theory, transaction cost, the completeness of contract, controlling power of surplus and power to income of surplus. The executives holding stocks is also an effective way for inspiration.

Chapter Seven: Restraint System

An amplify restraint system is the key factor to build professional entrepreneurs. Practice shows that without restraint some entrepreneurs will abuse their power and the enterprise is badly managed. Therefore, to a certain extent, the restraint system is as important as the inspiration system.

1. the Necessity of Establishing Restraint System.

2. Restraint system consists of market restraint, law restraint and ideology restraint. Especially, individual credit of the entrepreneur is the invisible asset and the sign of the mature and professional entrepreneur.

3. Restraint system of the developed countries, such as England, America and Japan. (dispersion-administrated structure in England and America; concentration-administrated structure in Japan) . Restraint system will be established under these two different administrated structures.

Chapter Eight: Entrepreneur Market

Formation of the Professional Entrepreneurs. The realization to the manpower capital of entrepreneurs depends on the construction and perfection of entrepreneur market. Entrepreneurs market is a senior and professional talents market for the selection and evaluation of the entrepreneurs.

1. Summary of Entrepreneur Market.

Entrepreneur market presupposes the marketability and professionalism of the entrepreneurs.

2. Case analysis to the functions of entrepreneur market (Take Shanghai Intelligence Evaluation Center for an example) . For the time being, the entrepreneur market with all necessary functions has not been appeared yet.

3. Research on the establishment of entrepreneur market in our country. Analyse the reasons that restrain the formation of entrepreneur market and put forward the countermeasures to set up the entrepreneur market in our country. We can use some specific ways from the entrepreneur markets in the Western developed countries for reference. Four theories that determine the income of the entrepreneurs are Prize Theory, Star Effect, Inspiration and Risk Theory, and Theory of the Labour Production Ratio to the managers which are the theoretical basis to set up the evaluation system for the entrepreneur market.

Chapter Nine. Normalize the development of Private Economy and Build Professional Entrepreneurs

1. Our private economy has experienced two eras for builders—era of adventurer and era of scaling up production. At present, we are facing the third era with internationalization.

2. Private economy in our country has become the important pillar to the national economy and the significant power to the implementation of marketability. However, some problems exist in the private enterprises themselves—less capability of employment, slow growth of fixed assets and challenges from family economy.

3. Private economy is the cradle for building professional entrepreneurs with its special advantages. But it has many factors existing inside and outside

which restrain the growth of professional entrepreneurs. Seven suggestions for building professional entrepreneurs. We believe that private economy play an important role in the future economy of China. To train and build a large number of professional entrepreneurs is beneficial to the development of private economy.

Chapter Ten: Self-Cultivation for the Entrepreneurs.

1. In the 21 the century, the management is faced with severe transformations. Meanwhile, new challenges lie ahead of the entrepreneurs.

2. Entrepreneurs in the 21th century should possess the following basic quality.

3. Self-cultivation for the Chinese entrepreneurs.

(1) Entrepreneurs should become the comprehensive expert talents.

(2) Entrepreneurs should have keen political insight, but can't become the statesmen.

(3) Set up study organization in order to improve the ability of innovation for the enterprise.

(4) Build new enterprise culture for the constant development of the enterprise.

(5) Future entrepreneurs should have foresight to the large internationalized market and win the competition advantages by reconstructing the resources at home and abroad.

(6) Strengthen the construction of enterprise credit which is one of the biggest wealth for the enterprise. Market economy is not only the economy with legal system, but also the one with credit, which is the life blood of the enterprise.

4. The Entrepreneurial obligation

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