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| 欧雪银◎著 |

★2010年度湖南省社会科学基金项目

企业家精神对经济发展的影响

——理论、实证

本书首先研究企业家精神提出促进各个层面经济发展的企业家精神对策；最后对全文进行总结，个理论分析前提；然后分个体、公司、产业、区域和国家五个层面从理论和实证两个方面研究企业家精神对经济发展的影响，提出促进各个层面经济发展的企业家精神对策；最后对全文进行总结，提出未来研究方向。并且该书在理论的指导下，结合案例进行实证研究，丰富的案例和详实的数据能够帮助读者理解。

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摘 要

很多学者不同意将企业家精神作为一个经济学主题来研究，因为企业家精神领域目前处于“混乱前范式状态”，是多个领域的相互交错，企业家精神的定义众多。然而现实中企业家精神在经济发展过程中所起的作用显而易见，基于这样的理论与现实背景，本书研究企业家精神对经济发展的影响。企业家精神为经济主体敢担风险创造财富的创新行为，它由企业家努力和企业家能力构成。促使企业家努力的动机主要有贫穷推动型、机会拉动型和追求成功型三类。在企业家动机产生的过程中，预期收益是最重要的决定因素。企业家努力分为生产性努力和非生产性努力。企业家生产性努力对创业发展起着关键作用，但是创业发展水平提高所依赖的条件很复杂。企业家能力与企业家努力的关系十分复杂，它们在一定条件下可以相互转化。企业家努力与创业发展业绩并不存在一一对应关系。企业家能力包括创新能力、识别和利用机会的能力、创造和利用企业家网络的能力、寻租能力及学习能力等一系列能力，其中创新能力又包括技术创新能力、产品创

新能力、市场创新能力、组织创新能力和制度创新能力。与这些企业家努力和企业家能力相对应，企业家精神可以履行相应功能，其中最主要的功能是创新功能和创业功能。企业家精神有显性竞争和隐性交流两个形成机制。

个体层面企业家精神表现在创业发展过程之中，而创业发展的基础是创业者选择企业家为职业。从理论上来讲，企业家努力和企业家能力都能够提高创业发展业绩。企业家生产性努力水平越高或企业家非生产性努力水平越低，创业发展业绩越高。各种企业家能力如创新能力、识别和利用机会的能力、创造和利用企业家网络的能力、寻租能力及学习能力都能促进创业发展。实证结果表明我国大部分中小企业发展业绩不佳，原因是缺乏一些企业家能力，如产品创新能力、市场创新能力、组织创新能力、制度创新能力、识别和利用企业家机会能力、企业家机会知识管理能力、学习能力、避免不利损失能力及寻租能力。这些企业家能力的提高需要培养渠道：一是创业者的干中学，二是组织行业协会，三是加强创业培训。

公司企业家精神包括高层管理者的支持、中层管理者的桥梁作用、培育人力资本企业家能力的努力、适应外部环境的努力及公司企业家能力，它们对公司经济发展产生正冲击。公司企业家能力对公司经济发展的影响表现为对公司资源能力、核心能力及动态能力的培育。实证分析得出：公司企业家精神给公司内部带来变化太多，对公司预期发展业绩产生负面影响；公司动态能力越强，公司会不断改变其作为竞争优势基础的能力，对公司当前业绩产生不利冲击；高层管理者团队网络嵌入公司网络程度、团队网络异质性程度、团队网络连续性程度与公司预期发展业绩成反方向变动关系。于是促进公司经济发展的企业家精神对策为：激励高层管理者支持公司企业家精神、激励中层管理者发挥公司桥梁作用、培育人力资本企业家能力及培育公司资源

能力、核心能力及动态能力。

目前产业层面企业家精神首先表现为国际产业双重转移趋势，为我国产业链的提升提供机会；其次表现为产业承接，为产业链的提升提供可能。按照研发环节是否在国内来划分，产业链在我国曾经出现过四种形态：Z型、L型、I型和P型链，利用这四种形态的依次演变过程，运用超边际分析方法，建立制造业产业链提升的企业家精神效用模型，发现影响我国制造业产业链提升的主要变量包括：出口产品劳动生产率、进口产品劳动生产率、出口需求价格弹性、进口需求价格弹性及交易效率。只能从提高出口产品劳动生产率和提高交易效率两方面来寻找提升制造业产业链的对策。交易效率的提高依赖于基础设施的建设，这方面我国已经取得了辉煌的成就，继续完善相对来说比较容易。而出口产品劳动生产率的提高依赖于产业链的提升，一般来说只能从整合产业链入手。因此制造业产业链的提升关键需要从三方面发挥产业层面企业家精神：第一，整合生产研发；第二，整合供应链；第三，促进有效需求增加。

区域竞争力是一国或地区获得经济持续高速增长的能力。企业家精神资本比较密集的区域，区域竞争力比较强。企业家精神资本包括区域创新努力和区域创新能力两个方面。区域创新努力主要表现为研发中小企业数量不断增加，形成研发产业集群。这些研发产业集群可以降低企业生产成本、降低交易成本、促进知识溢出及提供较多企业家机会，从而提升区域竞争力。但是这种区域竞争力的提升必须以企业家实现财富和社会地位效用最大化为基础。通过建立一个企业家财富和社会地位效用最大化模型，发现企业家劳动供给会在普通劳动和企业家努力之间产生一个均衡。区域创新能力主要包括知识创造能力、知识流动能力、企业创新能力、创新环境和创新绩效五个要素。从实证上选取企业家精神资本测度指标，利用加权最小二乘法进行回归发

现：2007 年对区域竞争力有显著影响的企业家精神资本是创新环境；2008 年技术系数、研发产业集聚度、知识创造能力、知识流动能力及创新环境等企业家精神资本对区域竞争力产生显著影响。因此区域竞争力的提升应该进一步提高研发产业集聚度、知识创造能力、知识流动能力、企业创新能力及创新环境。

宏观层面企业家精神就是国家层面的企业家精神，其主要表现为为经济发展模式转型提供制度支持或进行制度创新。我国经济发展实践表明：低端产品出口导向型经济发展模式不能保证我国经济可持续发展，公共产品投资拉动型经济发展模式在我国也没有产生应有的效果。因此，我国经济发展必须依赖于内需拉动型经济发展模式及中高端产品出口导向型经济发展模式。经济发展模式转型过程实质是政府和企业的行为连续博弈，或者说是宏观和微观层面企业家精神的连续博弈。在政府和企业进行连续博弈的过程中，双方决策都会产生一些不明确的信息量，这些信息量就是博弈过程中的熵，于是政府和企业之间的博弈是一个带熵博弈。假定政府和企业都分别使用混合策略进行零和博弈，政府和企业的保守做法都是在最坏情况下争取最好的赢得期望，这个博弈必定存在一个均衡解。在经济发展模式向内需拉动型和中高端产品出口导向型转型过程中，这些带熵博弈主要集中于四个博弈领域：政府职能转变、经济发展目标改变、社会结构改变以及需求和供给条件转变。在这些领域的博弈中，政府必须先采取行动转变职能，而其先动行为就是宏观层面企业家精神的发挥。于是，经济发展模式转型的宏观层面企业家精神对策包括转变宏观调控目标、减少对微观经济的干预、完善政绩考评机制以及确定国家层面企业家精神发挥的方向。

关键词：企业家精神；经济发展；努力；能力

Abstract

Many scholars do not agree to take entrepreneurship as an economic subject to be studied, because the area of entrepreneurship is currently in a 'chaotic pre-paradigm state' and it is the intersection of several fields and there are many definitions of entrepreneurship. In reality, however, the role of entrepreneurship is clear in the process of economic development. The paper research the influence of entrepreneurship on economic development from the view of theory and practice. Entrepreneurship is defined as the action of innovation about economic subjects daring risk and creating wealth, which is consisted of entrepreneurial efforts and entrepreneurial capacity. There are three categories of motive which can promote entrepreneurial efforts, that is, poverty-driven motives and opportunities-pulled motives and success-pursued motives. Expected return is the most important factor that fluent entrepreneurial motivation in the process of entrepreneurial motivation generated. Entrepreneurial effort is divided into productive efforts and

unproductive efforts. Entrepreneurial productive efforts play a key role in the development of undertaking a business. But it depends on very complicated conditions in the process of raising development level of undertaking a business. There are very complex relationships of entrepreneurial capacity and entrepreneurial efforts. They can change into each other under certain conditions. There is not one correspondence relationship between entrepreneurial efforts and development performance of undertaking a business. Entrepreneurial capabilities include innovation capacity, the ability to identify and exploit opportunities, the ability to create and use networks of entrepreneurs, the ability to rent-seeking ability and learning ability etc, while innovation capacity consists of technological innovation capability, product innovation capability, market innovation capability, organizational innovation capability and institution innovation capability. Corresponding with these entrepreneurial efforts and entrepreneurial capabilities, entrepreneurship could perform the corresponding functions, the most important ones are innovative function and undertaking a business function. There are two types of formation mechanism of entrepreneurship, which are explicit competing mechanism and implicit interchange mechanism.

Individual level entrepreneurship manifest in the development process of undertaking a business, while the development of undertaking a business is based on a career of selecting entrepreneurs. Theoretically speaking, entrepreneurial efforts and entrepreneurial capacity are able to improve the development performance of undertaking a business. The higher entrepreneurial productive effort level, or the lower non-productive efforts level, and the higher development performance of undertaking a business. All kinds of entrepreneurial capability, including innovation capacity, the ability to identify and

exploit entrepreneurial opportunities, the ability to create and use entrepreneurial networks, the ability to rent-seeking ability and learning ability, can contribute to the development of undertaking a business. The empirical results show that the poor performance of most SMEs in China is due to lacking of some entrepreneurial ability, such as product innovation ability, market innovation ability, organizational innovation ability, system innovation ability, the ability to identify and make use of opportunities, the ability to manage knowledge, learning ability, the ability to avoid the adverse loss and rent-seeking ability and so on. It needs some channels in order to foster entrepreneurial capability. First, learning by doing of entrepreneurs; second, organizing trade associations; third, strengthening training of undertaking a business.

Corporate entrepreneurship includes the support of senior managers, the bridge role of middle managers, the effort for fostering entrepreneurial capability of human capital, the effort for adapting to external environment and corporate entrepreneurial capability, which impact straightly on corporate economic development. Corporate entrepreneurial ability affects corporate economic development, which manifests as fostering corporate resource capabilities, core competencies and dynamic capabilities. There are some conclusions derived from empirical analysis. If corporate entrepreneurship has brought many changes within the company, it will have a negative impact on corporate expecting development performance. If corporate dynamic capabilities are stronger, the company will change continually capabilities as the basis of competitive advantage, and it will have a negative impact on corporate current development performance. The degree of team network of senior management embedding in the corporate network and the degree of

team network heterogeneity and the degree of team network continuity are the opposite direction relationship with corporate expecting development performance. So entrepreneurship counter-measures to promote corporate economic development are to encourage senior management supporting corporate entrepreneurship, to encourage middle managers playing a bridge role, to foster human capital's entrepreneurial ability, to raise corporate resource capabilities, to raise corporate core competencies and to raise corporate dynamic capabilities.

At present entrepreneurship in the industry level is first showed that double shift trend of international industry providing opportunities for the upgrading of industrial chain in China. Then it is showed industrial undertakes providing possible for the upgrading of industrial chain in China. Divided in accordance with whether R & D industry chain lying in the domestic, industry chain in China has appeared in four kinds of patterns, that is, Z type and L type and I type and P type. Using evolution process of these four forms successively and applying inframarginal analysis method, we enhanced the utility model of upgrading entrepreneurship of manufacturing industry chain. We found that the main variables impacting manufacturing industry chain in China are export labor productivity, import labor productivity, export demand price elasticity, import demand price elasticity and transacting efficiency. Only by raising export labor productivity and increasing transaction efficiency it is to upgrade manufacturing industry chain. The raising of transaction efficiency depends on the construction of infrastructure facilities which China has had brilliant achievements and whose improving continually being relatively easy. But increasing of export labor productivity depends on the upgrading of the industrial chain. In general, it can only start from the

integration of industrial chain. Therefore, the upgrading of the manufacturing industry chain needs to play entrepreneurship majorly in three ways. First, the integration of R & D and production; second, the integration of supply chain; third, the increasing of effective demand promoted.

Regional competitiveness is the capacity of a country or region to obtain rapid and sustainable economic growth. If there are more intensive entrepreneurship, regional competitiveness is more strengthen than others. Entrepreneurship capital includes the regional innovation efforts and regional innovation capacity. Regional innovation efforts are primarily manifested as the increasing of R & D SMEs thus forming R & D industrial clusters. The R & D industrial clusters can reduce production costs and low transaction costs and facilitate knowledge spill and provide more opportunities for entrepreneurs, so it can enhance regional competitiveness. However, the enhancing of region competitiveness must base on entrepreneur's wealth and social status utility maximization. Through the establishment of an utility maximization model of entrepreneurial wealth and social status, we find that entrepreneurial labor supply will generate a balance between the general labor and entrepreneurial effort. Regional innovation capability includes five elements, that is, knowledge creation abilities, knowledge flow ability, corporate innovation capacity, innovation environment and innovation performance. By selecting empirical measure indexes of entrepreneurship and using weighted least squares regression, we found that innovation environment had a significant impact on regional competitiveness in entrepreneurship capital in 2007, and that entrepreneurship capital such as technical coefficients, R & D industrial clustering, knowledge creation capacity, knowledge flow capacity and innovative environment so on had a significant impact on regional com-

petitiveness in 2008. Therefore, it should further increase industrial clustering, knowledge creation capability, knowledge mobility, enterprise innovation ability and innovation environment to enhance regional competitiveness.

Entrepreneurship at the macro level is one at the national level, which is mainly to provide institution supporting or carrying out institution innovation for the switching of economic development model. Economic development practice in China shows that low-end product export-oriented economic development model can not guarantee sustainable economic development and that public-good investment-oriented economic development model has not produced the effect desired. Therefore, economic development in China must rely on domestic-demand-pulled economic development model and high-end product export-oriented economic development model. The switching process of economic development model is essentially continuous game of acting between government and enterprises, or a consecutive game between macro-level entrepreneurship and micro-level entrepreneurship. In the process of continuous game between government and enterprises, the decision-making of two sides will produce the unaccounted amount of information which is called entropy, so the game between the government and enterprises is a game with entropy. If the government and enterprises were using a hybrid strategy for zero-sum game, the conservative way of government and enterprises are striving for the best win expect in the worst case in the game, which must exist an equilibrium solution. In the switching process of economic development model to the domestic-demand-pulled economic development model and high-end products export-oriented economic development model, these game with entropy focused on four areas which are the trans-

formation of government functions and the change of economic development objectives and the convert of social structure and the turn of demand and supply conditions. In the games of these areas, the government must take action to change their functions as a first-mover, which is the macro-level entrepreneurship. As a result, the countermeasure of macro-level entrepreneurship about the transformation of economic development model includes to change the macro targets of regulate and control and to reduce micro-intervention in the economy and to improve the mechanisms of evaluation performance and to determine the direction of playing entrepreneurship at the national level.

Key Words : Entrepreneurship ; Economic development ; Effort ; Ability

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