

复杂性

家族企业

甘德安 著

演化理论

Family Business

Evolution Theory Based on Complexity

三十三年弹指间，

师徒相逢狂且癫。

放怀今宵需醉酒，

品味昔艰何等闲。

曾舞银枪破沉夜，

永忆彝陵枕书眠。

老朋友友难聚首，

投箸击磬展笑颜。



经济科学出版社
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甘德安 著

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前 言

家族企业研究已经从一个被忽视的课题成为当前企业理论研究的热点之一，确实令人欣慰；但是，家族企业研究至今还是一个寻求范式的研究领域；以致家族企业研究不得不找回早期的社会学和心理学研究文献作为理论基础。为此，我们拟定借助复杂性科学，包括演化经济理论对家族企业演化进行研究，希望构建复杂性的家族企业演化理论。

第一，在研究家族企业时，首先要对企业理论体系有一个梳理。但是，企业理论至今尚未形成一套系统的完整的理论体系，各种学术派别和理论分支基本上都是从某一侧面对企业进行研究，不能逻辑一致地相互兼容，从而企业理论缺乏一个对企业的全面把握；此外，现在的企业理论大多数是“象理论”，就是大多数是现象理论，而不是机理理论；所以，我们必须要在各种“象理论”背后找出它的机理理论，就像牛顿从伽利略与第谷发现天体运行规律等现象理论一样，从机理上发现万有引力定律。所以，我们希望用复杂性科学构建一个整体的解释框架。复杂性使得经济学不再是确定性的、可预测的和机械的，而是确定性与随机性相统一的、有机的和不断演化的。复杂性的企业演化理论框架可以把传统的企业理论，包括新古典、新制度的企业理论，以及演化经济学的企业成长理论、能力理论、网络理论等理论有机地整合在一起。并且把家族企业的各种定义重新界定，用复杂性整合家族企业的各种解释。

第二，我们首先要解决的问题是家族企业是如何生成

的。传统的企业理论讲企业形成后如何发展、如何成长、如何管理，但很少从理论上、机理上讲清楚企业是怎样生成的，特别是家族企业是怎样生成的。为此，我们要从复杂性视角回答家族企业为什么比非家族企业更容易生成的机理。三十多年前，当中国还是计划经济一统天下时，没有发达的市场经济，没有发达的信息渠道，没有发达的人力资源，更没有发达的金融市场；创业者可占有的资源有限，只能依靠家族的力量，如借助家族的人力资源，通过家族融得创办企业的启动资金等，因而只能形成家族式企业。也可以说是用信任替代契约，或者说利用心理契约替代文本契约。此外，中国的社会结构总体呈哑铃型，缺乏中间组织，在工商企业方面该特性表现得更为突出。三十年的计划经济，特别是从工业企业的发展历程看，国有企业是不适合市场经济发展的。如何在市场经济背景下形成市场的主体？从世界上的家族企业的发展来看，家族企业的创办与传承对社会总体结构有非常重要的意义。

第三，我们将借助演化经济理论中惯例、搜寻和创新分析家族企业的生成、发展与传承。其中，惯例是演化理论框架中的一个主要概念，它是指保证组织或个人的事业顺利进行、正常运转的一些重复性的活动和技巧方式。惯例的形成有利于组织内部的成员和谐地完成各自的工作，避免冲突和争端。这就是为什么中国经济从计划导向转向市场导向时，民营经济90%以上的创办采用家族企业的形式的原因之一。如果企业按照现有惯例运转能够获得满意的收益，那么惯例往往不发生变化。

第四，新古典经济学的企业理论把企业看作是一个黑箱“black box”，即企业是投入与产出的转换器。投入劳动和资本，得到产出，其特点是行为完全由其所在市场的竞争决定，内部的运作不可观测，可能的最大产出是给定的（生产函数），企业之间没有区别。我们认为，完全可以借助复杂性理论打开黑箱。在一定开放的系统条件下各要素之间的非线性的相互作用就是企业生成的根本原因。要素之间相互非作用，使某些要素的偶然的作用导致内部的随机涨落与非线性作用导致企业的产生。我们还可以借助复杂适应理论重新解释新制度经济学关于企业的本质。

第五，我们希望借助复杂性混沌理论的分岔与分形理论研究家族企业传承问题。家族企业的基业常青是所有创业型家族企业家十分关心的问题，“富不过三代”的咒语时时笼罩在家族企业家的脑海里，不少学者和媒体也认为家

族企业“富不过三代”是定式。目前，众多研究者都对家族企业在接班人的选择与培养问题进行了理论或实证研究，并得出了一些重要的观点和结论。我们希望借助混沌经济学的分岔与分形理论和借助数学方程解决家族企业的传承“富不过三代”的魔咒，并通过参数 μ 来整合各种传承理论的兼容问题。

第六，借助演化经济学构建家族企业的演化理论存在的主要问题是：一是演化经济学理论太散，流派众多，没有形成统一范式，统一的逻辑体系；二是演化经济学没有自己的企业理论。尼尔逊与温特的著作《经济变迁的演化理论》主要是关于产业演化的理论，虽然他们借助惯例、搜寻与创新等关键词很好地解释了企业演化的一些问题，但还不是关于企业的演化理论。此外，演化经济学在批判新古典与新制度经济学方面起到了积极的作用，但是演化经济学缺乏数学的应用与经济模型，使其在科学机理的逻辑分析与框架结构上不够明晰。演化经济学家从生物进化论中吸取营养，借助自然科学的理论，比如统计力学、复杂性科学等。笔者认为，企业特别是家族企业的研究，不仅要借助演化经济学理论复杂适应系统理论、混沌理论、自组织，更要从自然科学的理论库中掘取思想，向自然科学靠拢将是今后家族企业理论研究的必然趋势。所以，笔者拟借助复杂性科学的理论构建复杂性的家族企业演化理论；借助复杂适应系统的涌现理论探究家族企业生成的机理，以及与非家族企业的差异。

第七，本专著在表达方面也做了一些思考与创新。一方面，在表达形式上更多的使用通俗语言表达，减少函数推导描述方式，以便于广大的家族企业的创业者、管理者、政府经济管理部门干部及广大社会科学工作者，充分理解笔者研究的思想、理论与观点及相关知识。另一方面，利用复杂性科学及其数理工具在表现形式上是文字的，背后的逻辑机理是数理的，即采用公理—公设—定义—定理—推理—应用这个逻辑表达模式。

在本专著中构建了复杂性的家族企业演化理论的基本框架，提出了家族企业生成机理理论、混沌吸引子企业家理论；借助分岔与分形理论证明了家族企业传承的“富不过三代”的普适性；研究了家族企业生存环境与社会变迁的复杂演化互动机理、家族企业治理结构的结构决定功能机理、复杂性生命周期理论、家族企业文化复杂性问题，以及家族企业演化理论的一般性基础。

此外，本专著在前六章的普适性理论基础上分析中国家族企业的问题。探究中国家族企业生成、传承的规律及特殊性。借助演化经济学视角下的种群动



力学模型及三十年民营经济发展的历史数据做了计算机仿真，以印证我们的理论。特别对中国学术界借助差序结构分析家族企业产生的原因的基础上，进一步回答，为什么差序结构容易产生家族企业，指出关系治理是中国家族企业治理模式的基本特征；同时指出，中国家族企业关系治理与契约治理是一个演化过程；等等。

作者

2010 年 4 月于武汉

我向诸位推荐的这本书是用经济学的前沿理论对东亚普遍存在的家族企业进行科学分析的新著。托笔写这篇序时，令我想起 20 多年的一件往事。

我在 20 世纪 90 年代时任中国社会科学院数量经济与技术经济研究所所长期间，就深感经济学研究范式变革的必要性与紧迫性。1991 年我组织了本所的科研人员及清华大学的两位老师结合当时刚刚兴起的前沿性科学——混沌理论的最新成果论述了新古典范式经济理论的不足。并在《数量经济技术经济研究》杂志上发表了关于“混沌理论与经济学”方面的论文，希冀国内学者能够运用辩证的眼光来看待当时的传统新古典与新制度经济学的发展方向。

如今，20 多年过去了，以自组织、混沌为代表的复杂性科学也日趋系统，借助复杂性科学的研究成果在经济与管理科学中的运用也日趋成熟，借助复杂性研究经济学与管理学研究的话题也日成气候。让我欣慰的是，我 20 年前的学生甘德安也是这些话题研究者中的一个。近几年，他一直在这方面从事研究，每次他到北京看我及我到武汉讲学时，他都与我讨论关于复杂性科学在经济与管理中应用的问题。我是支持甘德安在这方面探索的，因为这毕竟是一个理论的薄弱点。在国内，把复杂性在经济学与管理学中进行理论探究与实证分析的专著还比较少，我相信他在努力探索的道路上必能取得成果……

去年秋，收到甘德安《复杂性的家族企业演化理论》



的书稿，请我提修改意见，两三次交完之后，书已成型。鉴于此书的开拓性与学生孜孜不倦的探索精神，我乐于为之作序。

民营经济在助推中国经济成长的过程中功绩不可磨灭，作为民营经济的主要组织形式之一的家族企业，对其研究的重要性不言自明。但家族企业研究长期被学术界忽视，不能不说是一个遗憾。甘德安则是中国最早研究家族企业的探索者之一，早在2002年，即率先出版了中国第一部家族企业研究专著《中国家族企业研究》，承担了国家社科基金关于“家族企业”研究的第一个资助的课题，并负责召开了第一个全国性的家族企业国际会议，为中国家族企业研究的兴起起到推动的作用。现在，家族企业已经从一个被忽视的课题成为当前企业理论研究的热点之一，确实令人欣慰；但是，家族企业研究至今还是一个寻求范式的研究领域，还没有完整统一的理论工具对其进行逻辑一致的完备性研究。甘德安借助复杂性科学理论构建了一个复杂性的家族企业演化理论框架，并借助复杂性科学深入研究了中国家族企业的生成机理、治理结构、生命周期、企业家、代际传承、企业文化复杂性等一系列的理论难题。我认为，本著作是从独特视角、独辟蹊径研究中国家族企业的原创性著作。

甘德安是我的学生，也是一个非常勤奋与敬业的学者。他与他的创业团队用短短几年时间，从无到有、从小到大、从弱到强的创办了一所万人大学；所以，为表达我对他的勤奋与敬业的首肯，我还出任了他所在学校的首席教授。

当然，此书还是探索性质的，批判和怀疑是基本的治学态度。希望本书对推进中国经济学的研究作出贡献，更希望广大读者能从各个角度对甘德安的研究加以支持和指导，我相信甘德安会在以后的学术生涯中再接再厉，进一步推进中国家族企业的理论研究。

农历庚寅年春节

2010年2月14日

于北京中海馥园小区

Preface

It is delightful to see that family business research has currently become one of the hottest enterprise theory research topics. However, family business research still requires convincing paradigms in the academic area; hence it has to get back to early sociology and psychology research literatures as its theoretical basis. To this end, we have developed with the complexity sciences, including evolution economics theory to study the evolution of the family business, hoping to build an evolutionary family business theory based on complexity.

Firstly, it is essential to summarise the theoretical enterprise researches while studying on family business. However, the academic theories of enterprise research has yet to be formed as a complete one, factions and various academic theories are basically a branch from one side of the enterprise research, which cannot be logically compatible with each other, hence lacks a comprehensive enterprise understanding; In addition, the majority of the current theory of the firm is “phenomenon theory”, that is, theories describing the phenomenon rather than discovering the mechanism; Therefore, we should develop the mechanism theory behind a variety of “phenomenological theories”, just like Newton, Galileo and Tycho did. As a result, we want to



build a whole explanatory framework with complexity sciences. Complexity makes the economy is no longer deterministic, predictable and mechanical, but becoming a unity of certainty and randomness, organic and evolving enterprise theory. This framework is able to integrate the traditional theories of the enterprises that including new classical new systematic enterprise theories, into the evolution of economics and business growth theory, capacity theory, network theory. It can also re-define the family business with the complexity of integration.

Secondly, we must foremost solve the problem that how the family business is generated. The traditional enterprise theories primarily emphasis on development and management of a business after its formation, but few is able to clarify how the business is generated from the beginning mechanically and theoretically, especially the family business. As a result, we have to answer why the establishment of family business is easier than the non-family business from the perspective of complexity; to explain the mechanism of generation family business with the integration of complexity sciences, neo-classical, new institutional economy and the resource theory. 30 years ago, when the whole country was dominated by planned economy, there were neither well-developed market economy, information space, human resources, nor developed financial markets; entrepreneurs can share limited resources, their only reliance was the family, thus human resources and start-up capital were raised through the family. Therefore, they could only be based on family business as a starting point. In other words, confidence was an alternative of contract; or written contract was replaced by psychological contract. In addition, China is a dumbbell-shaped society, lacking intermediary organizations, especially the industrial and commercial enterprises. 30 years of planned economy, particularly the failure of state-owned enterprises shows that the state-owned enterprises are not suitable for a market economy. How to form the main body of the market within the context of a market economy? The answer is family business. The experience of managing family business would be significant for establishing and managing other businesses. Looking from the world Family business's development, Family business's birth and the inheritance also has the very vital significance to the society gross structure.

Thirdly, we will analyse the generation, development and succession of family businesses based on the three core key words of evolutionary economic theory: routines, searching and innovation. Routines is a key concept within the framework of evolutionary theory. It refers to repetitive activities and skills approach that ensure the smooth progress of organizations or individuals. The formation of routines is conducive to the members within the organization to complete their works in harmony and avoid conflict and strife. That is why for more than 90% of the private economy adopted the form of family business while China's economy transformed from a planned economy to a market one. If an enterprise can obtain a satisfactory return by operating with existing practice, changes would not occur.

Searching conducted and changed by routines is a process of compatible study and innovation, and enterprise usually expects to search solution in the current possibility chooses to turn better. Searching relates close with routines, so the result of searching may change routines. The searching has the characteristics of uncertainty namely possibly to have the non-efficiency, history and path dependence.

The innovation may understand from two angles: First, from objective or historical angle, innovation is creating things which refers to not once existed before, like a new product, actions or behavior way; the other one is subjective or the psychological angle, innovation is viewed as a feeling that someone never experiences. In evolution economist's eyes, innovation is the mainly different between evolution economics and neoclassic economics. In the evolution of firm, the birth of innovation is a variation symbol of organization routines. We can say that, no innovation is no revolution in the firm or entire economic systems.

Fourthly, the enterprise theory of the neo-classical economy considers the enterprise as a "black box" since business is nothing but input and output converters. Inputs of labour and capital lead to output, so that minimum cost would gain maxim profits. Competition in the market decides its behaviour, yet the decision cannot be observed and the internal operation of the maximum possible output is given (the production function), there is no difference between enterprises. We believe that through complexity sciences theory the black box can be opened. In a certain



open system, the root cause behind the establishment of an enterprise is the non-linear interaction between various elements. Certain elements' occasional effects lead to internal random fluctuations and non-linear consequences result in the generation of enterprises. We also can apply the complex-adaptive theory to reinterpret the nature of the new institutional economy on business.

Fifth, we hope to research on the succession of family business with the complexity of chaos theory and fractal bifurcation theory. The evergreen of family business is concerned by all entrepreneurs; the issue "from clogs to clogs is only three generations" is always shrouded in the minds of entrepreneurs, many academics and media also believe in it. At present, many researchers are doing theoretical or empirical researches in family business succession and cultivation, and draw some important ideas and conclusions. We expect that by employing bifurcation and fractal theory of Chaos economics and mathematical equations, the "rich, but three generations" curse during the transmission process of family business will be solved, and a variety of transmission theories could be integrated through parameteru.

Sixth, the major problems of building evolutionary family businesses theory by evolution economics theory are: first, evolution economics theory is too dispersed, many schools did not form a unified paradigm or logic; second, evolution economics without its own firm theory. Nelson and winter's landmark book, "An Evolutionary Theory of Economic Change," is mainly on industrial evolution rather than on business, though their research has been a good explanation for the evolution of the enterprise by adopting keywords such as routines, searching and innovation. On the other hand, the evolution economics played a positive role towards criticising neoclassical economics and new institutional economics, but it lacks mathematical applications and economic models; it is short of hard science mechanism for logical analysis and framework; it also requires mathematical model and computer-simulation tools and models. We believe that enterprises, especially family business, not only need to learn from evolution economics, using theories and tools, but also require study from natural sciences. Therefore, we intend to build the evolutionary family business theory based on complexity with the four theories of complexity-science presumption,

as well as exploring the mechanism of generating family businesses with the emergence theory of complex adaptive systems, and the different formation mechanism between family and non-family business.

Seventh, the expression of this monograph has achieved some thinking and innovations as it pays attention on the relationship between the expression of exterior and interior. We hope to express the form of more popular language, since economics is an applied discipline that faces family business entrepreneurs, managers, government economic management departments and the general social scientists, who are more subject to liberal arts forms of expression as they accepted liberal arts education; the use of the expression of liberal arts will allow readers to accept theories and perspectives and relevant knowledge easier. However, there is no mathematical model or quantitative analysis within the expression of the arts, especially without non-linear quantitative analysis, which cannot go deep into the mechanism after multi-layer structures, just like riding a bike on the moon. Riding a bike might be effective in the city, but it is impossible on the moon. We still have to be on the Moon with a spacecraft; that is the role of complexity science and its mathematical tools. Therefore, we expressed in a literal way but the logic behind the mechanism is scientific.

This research has built the basic scope of the complexity theory of evolutionary family business, as well as pointing out the firm's basic framework of the proposed formation mechanism of the family business theory, chaotic attractor entrepreneurial theory; It has proved that the transmission of family business "from clogs to clogs is only three generations" is universal; it also studied the complex interaction mechanism relating to family business' survival and the environment and social changes; the mechanism of how the family business governance structure determines its functions; the theory of complexity of life-cycle, along with the theories regarding family business culture complexity. the monograph has also built a general theory of evolutionary family business.

In addition, Chapter 7 will prove our theories in the last 30 years Reform and Open. We explore on the rule and particularity for family business emergence and secession. Then, in the evolution economic eyes, we construct population model and



use computer simulation to show the development of private economy. We clearly point out that “Disparity structure” is essence for the family business. Then we talk about the evolutionary relational governance and contractual governance, and point out relational governance is the basic characteristic for Chinese family business governance.

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