



• 经济管理学术文库 •

赵文先 / 著

# 粮食安全与粮农增收目标的 公共财政和农业政策性金融支持研究

Study about Support of the Public Finance and  
Agricultural Policy-oriented Finance for Grain Security and  
Increase of Grain Farmers Income

本书运用实证分析和学科交叉的研究方法，对保障国家粮食安全与种粮农民增收目标的公共财政和农业政策性金融支持方式进行了“四位一体”的深入研究，力图以“钱”为纽带，探索同时解决国家粮食安全和种粮农民增收问题的机制和政策，不仅具有较强的理论性，而且具有非常强的现实针对性。

本书经历了实践—理论—构建新理论—指导实践的研究过程，并把落脚点放在政策设计上，论述严密，观点新颖，视野独特，自成一体，对政府相关部门制定政策具有借鉴和参考价值。

本书运用实证分析和学科交叉的研究方法，对保障国家粮食安全与种粮农民增收目标的公共财政和农业政策性金融支持方式进行了“四位一体”的深入研究，力图以“钱”为纽带，探索同时解决国家粮食安全和种粮农民增收问题的机制和政策，不仅具有较强的理论性，而且具有非常强的现实针对性。

本书经历了实践—理论—构建新理论—指导……



• 经济管理学术文库 •

# 粮食安全与粮农增收目标的 公共财政和农业政策性金融支持研究

Study about Support of the Public Finance and  
Agricultural Policy-oriented Finance for Grain Security and  
Increase of Grain Farmers Income

赵文先 / 著

F326.11  
Z337



经济管理出版社  
ECONOMY & MANAGEMENT PUBLISHING HOUSE

**图书在版编目 (CIP) 数据**

粮食安全与粮农增收目标的公共财政和农业政策性金融支持研究/赵文先著. —北京: 经济管理出版社, 2010.3  
ISBN 978-7-5096-0907-1

I. ①粮… II. ①赵… III. ①粮食—问题—研究—中国 ②农业—财政政策—研究—中国 ③农业经济—经济发展—金融政策—研究—中国 IV. ①F326.11 ②F812.8 ③F832.43

中国版本图书馆 CIP 数据核字 (2010) 第 021680 号

出版发行: **经济管理出版社**

北京市海淀区北蜂窝 8 号中雅大厦 11 层

电话: (010) 51915602 邮编: 100038

印刷: 三河市海波印务有限公司

经销: 新华书店

组稿编辑: 勇 生

责任编辑: 勇 生 刘兴国

技术编辑: 杨国强

责任校对: 郭 佳

720mm×1000mm/16

17.25 印张 287 千字

2010 年 4 月第 1 版

2010 年 4 月第 1 次印刷

定价: 39.00 元

书号: ISBN 978-7-5096-0907-1

·版权所有 翻印必究·

凡购本社图书, 如有印装错误, 由本社读者服务部  
负责调换。联系地址: 北京阜外月坛北小街 2 号

电话: (010) 68022974 邮编: 100836

## 序

党中央、国务院高度重视农业、农村和农民问题。2004年以来，中央连续出台6个“1号文件”，党的十七届三中全会作出了《关于推进农村改革发展若干重大问题的决议》，更加广泛深入地从体制和机制上来寻求破解之策，解决“三农”问题进入了一个崭新的历史阶段。在这样的背景之下，农业发展、农村繁荣和农民增收问题，就不仅是涉及农业综合生产能力、促进农民增收等经济方面的问题，而且是涉及政治、社会、文化、生态等方面的问题。概括起来说，就是要解决好农业农村发展和农民富裕过程中的“钱”、“粮”、“地”、“人”、“权”等几大问题。不仅要通过体制创新和制度建设，进一步激发农村自身发展的活力，而且要着眼全面建设小康社会的全局，坚持以工促农、以城带乡的方针，统筹城乡经济社会发展，促进农业农村发展，并为促进整个国家的经济社会发展注入新的活力。

确保国家粮食安全是我国经济社会发展的基础。而要促进粮食生产稳定发展，关键在于解决种粮比较效益低下的问题，建立促进粮农增收的机制。但长期以来，我国尚未建立起统筹解决粮食增产和粮农增收的长效机制，粮食生产多次出现波动。赵文先所著的《粮食安全与粮农增收目标的公共财政和农业政策性金融支持研究》一书，力图以“钱”为纽带，探索同时解决粮食生产得到发展、粮农收入得到提高的机制，因此，这项研究不仅具有较强的理论性，而且具有非常强的现实针对性。

作者运用政府与市场关系理论、新制度经济学理论和公共



财政理论，以及可持续发展和协调配置的金融理论，对粮食安全和粮农增收这两个政策目标与公共财政和农业政策性金融这两种支持手段进行了深入、严密的论述，并把重点放在具体政策的设计上，对国家相关政策的制定具有重要的参考价值。

通览全文，可圈可点之处不少。一是比较系统完整地提出了战略粮食安全与常规粮食安全的概念，对我国粮食生产在农业中的地位 and 如何处理安全的粮食供给潜力和安全的粮食保障能力之间的关系进行了专门分析。二是基于国家粮食安全目标与粮农增收目标之间的矛盾和冲突，提出了今后政策调整的方向。三是将两种政策目标导向的公共财政支持和农业政策性金融支持手段，划分为分别瞄准粮食安全、粮农增收的单一支持与同时瞄准两个目标的复合支持，并按各自功能设计不同职能的公共品，运用统计分析方法，给出具体的优先序，有助于提高政策制度安排的针对性。四是对公共财政与农业政策性金融这两种支持在粮食安全和粮农增收这两个目标之间的逻辑关系进行了深入论述。虽为一家之言，但不乏闪光之处。

解决国家粮食安全和农民增收是一个大课题，需要研究的问题非常多。希望赵文先以这本著作的出版为新起点，继续刻苦研究，在这一领域取得更大的成绩，为解决我国“三农”问题不断提出有价值的新见解。

陳錫文

二〇〇九年十月二十九日

# 前 言

农业在我国国民经济和社会事业发展历程中具有十分突出的战略地位，是攻坚克难的基础产业，也是名副其实的“母亲”产业。然而，中国的农业、农村和农民（以下简称“三农”）问题，因为突出的“钱、粮、地、人、权”矛盾，也成为世界上最难解决的“三农”问题，这其中农民的收入问题又是一切问题的症结所在。农民收入特别是种粮农民收入问题又与粮食安全问题交织在一起，相生相克，矛盾重重，进而牵动着经济发展、人口就业和社会稳定，成为当前困扰中国社会经济发展的重大问题。如何运用公共财政和农业政策性金融支持手段（以下简称双重支持），通过一系列的制度安排，加大为实现粮食安全目标和粮农增收目标（以下简称两种目标）的公共品供给力度，并促进双重支持手段的协调运作，成为当前我国亟待解决的重大理论和现实问题。为此，我试图在多学科、宽领域和国际化的背景下，总结、甄别、筛选和提炼有助于更好实现两种目标的共性规律，提出运用双重支持手段（提供公共品）解决中国粮食安全和粮农增收这对矛盾的制度框架，以期对农业的和谐治理和发展提供指导。

本书在充分参阅、消化和吸收国际国内已有研究成果的基础上，主要采用学科交叉的研究方法，从寻找影响两种目标的主要变量出发，去发现双重支持最有效的作用领域；运用实证研究方法建立多个分析模型，借此考察各种支持方式的强度和有效性；采取理论和实际相结合的方法，经历了实践—理论—构建新理论—指导实践的研究过程；采取系统分析、结构分析和比较分析的方法，从宏观层面研究双重支持可能采用的单项政策和组合政策。为此，本书将实体研究框架安排为三个层次。第一层次为基础研究，即本书主旨研究的基础和背景，包括研究的理论导向和两种目标的内涵及其冲突与协调。第二层次为主旨研究，全面回答实现两个目标的双重支持及其具体方式，是基础研究推导出的必然结果。第三层次为归纳总



结，主要从更为宏观的公共政策层面对双重支持方式的协调性进行论述。

本书的主要观点和研究结论如下：

(1) 完整提出国家粮食安全分为战略粮食安全与常规粮食安全的系统论述并贯穿研究全过程。基于粮食生产的自然和技术属性，将粮食生产安全称为战略粮食安全（基础安全）；基于粮食的社会经济属性，将粮食流通和消费安全统称为常规粮食安全（次级安全）。这组粮食安全概念的引入，有利于回答如何认识我国粮食生产在农业发展中的地位 and 如何正确处理安全的粮食供给潜力和安全的粮食保障能力之间的关系。在此基础上，本书提出了一些在近中期需要切实坚守的基本粮食安全禁区，并以耕地为例对战略粮食安全进行了评估。基本结论是，未来 10 年我国 18 亿亩耕地的底线是不可能守住的，粮食供给偏紧将成为常态，为此，需要主动调整常规粮食安全政策，实行可调控的供给偏紧的总量平衡策略。这些观点和研究结论对调整和校准双重支持政策具有重要意义。

(2) 对农民收入增长构成的均衡分析表明，农民收入由农业工资率、非农就业工资率和非农就业比例决定。农民增收在理论上存在两种特殊情形：一是完全取决于非农工资增长，农民收入问题就演变成非农就业问题；二是非农就业机会为零的情形，即粮农增收完全依赖粮食种植业工资率的增长，短缺条件下增加粮食供给可使粮农增收，而过剩条件下增加供给会使粮农收入绝对下降。现实中的常态情形是粮农兼业化，其生产函数表现为稳定的自用粮生产和基于增收目的的商业化生产的组合。对影响粮农收入相关因素的定量分析（因子分析模型）表明，各因素对粮农收入的影响排序从大到小依次为：农民自身的物质投入，政府对农村生产生活等基础设施的投入，农产品价格和市场活跃程度，政府重视程度和直接补贴水平，农民的医疗、卫生、文教支出和税负程度，农业气象状况。这些结论为研究双重支持政策的优先序提供了实证基础。

(3) 揭示了粮食安全目标与粮农增收目标之间的尖锐冲突。一般情况下，只有战略粮食安全与粮农收入高度相关，常规粮食安全则与农民收入没有直接的制度关联。粮食安全目标会抑制粮农增收目标的实现，在这种刚性限制下，粮农收入最大化的极限产量就是维持国内粮食紧张平衡的基本供给量。因此，实现粮农增收目标，必须在粮食安全目标及其政策以外，单独研究其收入支持措施，这就需要研究双重支持各自的独立支持领域及其协调问题。



(4) 将两种目标导向的公共财政支持细分为单独瞄准粮食安全和粮农增收的单一目标和同时兼顾两种目标的不同支持领域,并按各自功能设计不同职能的公共品,为今后制定相关公共政策措施厘清了理论边界,这既有助于提高制度安排的效率,也有助于政府决策层充分了解各个政策单元的正负效应和优先顺序,优化政策组合,提高执政能力和水平。例如提出改革现行农民直接补贴制度和最低收购价保护制度,实施瞄准战略粮食安全目标的粮农综合直接补贴,并配套实行国家粮食目标价格保护制度;瞄准常规粮食安全目标,建立适应偏紧平衡需要的粮食安全储备制度,这项储备制度应包括国家战略储备、地方应急储备和市场缓冲储备三个层级;瞄准粮农增收目标实施粮农土地收益增厚工程,实行扩大农村内需导向的粮农收入脱钩补贴制度,加快建立以公平为核心价值的农村社会保障;兼顾两种目标需要支持粮食生产基地建设,支持粮食生产机械化和产业化经营,加快培育农村新型合作经济组织。

(5) 两种目标导向的农村金融制度要以国家公共财政为诱导,以农业政策性金融为主导,以商业性金融为支撑,以农业、社保、医疗等政策性保险和民间性、地方性金融为补充,建立大农村金融。农业政策性金融要全方位增强支农、助农和扶农功能,在公共财政的配合下,区别两种目标的不同功能,分门别类地进行直接支持和诱导支持,大量提供急需、有效、实用的公共性金融产品,发挥市场增进 (market enhancing) 和经济孵化作用,为保障粮食安全和粮农增收提供或引致提供“新的收入流”。<sup>①</sup> 近期,农业政策性金融支持的优先领域应为农民粮食等农产品变现、粮食安全储备体系、农田水利基本建设、粮食生产基地项目建设和粮食产业化经营等;中长期支持的重点领域应为农村基础设施、扶贫开发、农业综合治理、农业生态建设、小城镇建设和发展农村创业企业等。

(6) 加强两种目标导向下双重支持方式的协调与配合,科学设定双重支持提供各类公共品的优先次序。近期,应以建立实现两个目标的输血机制为主;相应地,支持手段上以公共财政支持优先,农业政策性金融在公共财政的诱导和配合下发挥支持职能,着力解决关键公共品供给,培育混合资本或私人资本参与提供准公共品的必要条件。中长期,应以建立造血机制为主;相应地,支持手段上应以农业政策性金融为主导,公共财政提

① 西奥多·W·舒尔茨. 改造传统农业 [M]. 梁小民译. 北京: 商务印书馆, 1987





供隐性支撑，强力诱导混合资本或私人资本多元化地提供准公共品或俱乐部物品。

(7) 支持两种目标的公共品供给需要公共政策提供有效制度保障，为此，公共政策要以公平分配社会价值、合理把握干预范围、科学选择政策工具 (policy instruments) 和强力推动制度变迁为主要诉求，并从纵向、横向和过程三个方面加强协调性建构。

# Foreword

Agriculture has a prominent strategic position in our national economic and social development. It is the basic industry and also the mother industry. However, the problems of China's agriculture, countryside and farmer (Hereafter refers to as "three rural issues"), have become the most difficult and tough issue to be solved because of the prominent contradiction among "money, grain, earth, human and power". The farmer's income problem is also where all cruxes are at. The farmers' income issue, especially farmers planting crops, has become the major block to China's social and economic development as well as grain security and affected economic development, employment and social stability. How to utilize public finance and the agriculture policy financial methods (Hereafter refers to as the dual support) to enlarge the public supplies which takes food security and increase of farmer's income as the main goal (Hereafter refers to as two kinds of goals) through a series of institutional arrangement and to promote the coordinated operation of the dual support method now have become a theoretically and realistically significant problem. Therefore, I attempt to summary, distinguish, select and refine the general rules that are helpful in realizing the dual goals and in proposing approaches for the contradictory institution framework using dual support methods to solve China's food security and the income increase of farmers under the background of multi-discipline, wide domain and internationalization in order to provide instruction for harmonious governance and development of agriculture.

This book is based on the use of the main categories of cross-disciplinary research methods and has a full consulting, digestion and absorption of



international and domestic literature. In order to discover the most effective support for the dual role of this field, this book takes finding the impact of the dual goals of the major variables as the starting point. The use of empirical research method and the establishment of a number of analysis models are to inspect the intensity and validity of the supporting way. This book takes a combination of theoretical and practical methods developing a research process from practice-theory-building a new theory-instructive practice. Taking the methods of system analysis, structural analysis and comparative analysis, this book studies what may be used to support the double policies and portfolio policies from a macro-level. Therefore, this book will study the framework of physical arrangement for the three levels. The first level is for the basic research, that is the basis and background, including the theory guidance of the research and the connotation, the confliction and the coordination of the two goals. The second level is for the substance of the essay, it includes a comprehensive answer of the two supports to achieve the dual goals and the specific methods, which is the inevitable result of the basic research. The third level is for the summary, which mainly illustrates coordination of the dual support mode through a more macro way.

The major point and the conclusion of this book are as follows.

(1) Complete national food security strategy is divided into food security system and conventional food safety system which are throughout the entire process of research. Based on the natural and technical attributes of food production, food production safety will be known as the food security strategy (the foundational security); based on the socio-economic attributes, food circulation and consumption of food safety are collectively referred to as conventional food security (the secondary security). This introduction of the concept of food security will help to answer how to understand the position of China's grain production in agricultural development and how to deal with the potential of secure food supply and the guarantee of secure food. On this basis, this book, comes up with the basic restricted area for food security that we need to stick close to in the medium term and assesses the strategy for food security by the example of arable land, and the basic conclusion is that over



the next 10 years, it is not possible to hold the bottom line of 1.8 billion mu cultivated land in China. The food supply will become normally tight, so it is needed to take the initiative to adjust the conventional food security policies, to implement the controllable -tight -supply -balance strategy. These views and findings have great significance on the adjustment and calibration of the dual support policy.

(2) The balanced analysis of income growth for farmers showed that the income of the farmers is decided by the agricultural wage rate, the rate of non-agricultural wage employment and the proportion of non-farm employment. In theory, the increase of the income of the farmers has two special cases, one depends entirely on non-agricultural wage increase, so the issues of the income of the farmers develop into non-agricultural employment issues; Second, the chance of non-agricultural employment is zero, that is to say, the increase of food and crop is totally dependent on the rate of wage growth of farmers. Under the conditions of shortage of food supply, adding food supply can increase income for farmers; while under excess supply conditions, adding food supply will make the revenue of famers absolutely declines. The reality of the normal situation is the mixture of farmers industry, which production function performances for their stable own-used grain production and the collection of commercial production based on the purpose of increasing income. The quantitative analysis of relevant factors on the revenue of farmers (factor analysis model) shows that the factors that affect the revenue of farmers of is sorted as follows: the material inputs of farmers; government's rural production and living facility inputs; agricultural prices and market activity; government attaches importance to the extent and the level of direct subsidies; the medical, health, culture and education spending and the extent of the tax burden of famers; agro-meteorological situation. These conclusions supply the empirical basis to the dual policy of support for the priorities.

(3) The book reveals the sharp conflict between the goal of food security and the goal of income increase of farmers. Under normal circumstances, only strategic food security has a close relationship with the income of the farmers while the regular food security is not directly associated with the income of the



farmers systematically. The food security goal would suppress the realization of the income increase of farmers' goal, under the rigid constraints, to maximize the income increase of farmers limit is to maintain the basic balance of tight supply. As a result, in order to achieve the goal of increasing farmers, we must study separately support measures of the farmers' income arise other than the food security objectives and policies, which requires research to support their dual independent support and coordination in the field.

(4) For the first time, the two-goal-oriented public financial support is broken down into separate two different areas of support: The single goal of aiming to food security separately and aiming to farmers increase separately; and two goals at the same time are taken into account. And they design different public goods based on different functions. Both are useful to clarify the theory of the border for making the relevant public policy in the future, helpful to improve the efficiency of the institutional arrangements, also helpful to the government to fully understand the positive and negative effects of the policy unit and priorities, and optimize the combination of policies to improve the level and ability. For example, to propose to reform the current system of direct subsidies to farmers and the lowest price protection system, carry out farmers comprehensive direct subsidies aimed at the strategic objectives of food security, and support the implementation of the national goal of grain price protection system; aim at the conventional food security objectives, and establish food security reserve system which is adapt to the tight balance and includes the national strategic reserve, local emergency reserve and buffer stock market; aim at the targets in the farmers for farmers and carry out land revenue thickening project, establish the expansion of domestic demand in rural-based farmers separate income subsidy system, speed up the establishment of social security in rural areas having fair value at the core; take into account the twin goals of the need to support grain production bases and to support grain production, mechanization and industrialization of food, and accelerate the development of a new type of rural cooperative economic organizations.

(5) Two kinds of goal guidance's rural finance system must be take the national public finance as the induction, the agricultural policy-type finance as



the leadership, the commercial character finance as the support, the agriculture, society guarantees, policy-type medical service safety and folks and the local finance as the supplement, to establish the big rural finance institution. The finance institution of policy-type agricultural must be strengthen support the agriculture, and hold the agricultural function of direction. Under the public finance's coordination, we should distinguish the different functions of the twin goals, carry on the direct support and the induction support according to the types, provide the urgently needed, effective, and the practical public financial productions massively, promote the market and hatching the economical function, and must provide or bring the "newly income flow" to guarantee the food security and raise the farmers' income. In the near future, the first domain area of the agriculture policy-type financial supporting should be the agricultural product realizations and farmer's grain, food security reserve system, irrigation and water conservancy projects, the construction project of food production base and the industrialization of food; the focus areas of long-term support are rural infrastructure, poverty alleviation and development, comprehensive management of agriculture, agro-ecological construction, the construction of small towns and business enterprises in rural areas and so on.

(6) Strengthen the coordination and cooperation of the two goal-oriented dual-mode support, and scientific set the order which support a double set for various kinds of public goods. Recently, we should focus on setting up the blood transfusion mechanism to achieve the twin goals. Accordingly, on means of support, public finance has the priority. Agriculture policy finance plays the role of support with the induction and cooperation of public finance, focuses on solving the supply of critical public goods, cultivates necessary condition that mixed capital and private capital supply quasi-public goods. In the medium and long term, we should focus on establishing mechanisms for hemopoiesis. Accordingly, on means of support, agricultural policy should have the priority, and the public finance should provide the implicit support, and should strongly induce mixed-capital and private capital to provide diversified quasi-public goods or club.

(7) The public goods' supply of two goals supporting need effective



security systems supplied by public policy. So, the equitable distribution of social values, reasonable grasp the scope of intervention, scientific select policy instruments and strongly promote institution change are the main demands of the public policy, and from the vertical, horizontal and the process to strengthen the coordination of construction.

【Key words】 grain security; grain farmers income; public finance, agricultural policy-oriented finance; support method



# 目 录

1 绪论 .....	1
1.1 问题提出 .....	1
1.1.1 “三农”的首要问题 .....	1
1.1.2 解决的关键路径 .....	4
1.2 研究综述 .....	4
1.2.1 选题目的和意义 .....	4
1.2.2 国内外研究概况 .....	5
1.2.3 研究的逻辑思路、结构安排与研究方法 .....	6
1.2.4 研究的创新与不足 .....	9
2 研究的理论导向 .....	11
2.1 政府与市场关系理论导向 .....	11
2.1.1 关于政府与市场关系的争论 .....	11
2.1.2 政府与市场的互补关系 .....	12
2.2 新制度经济学理论导向 .....	14
2.2.1 基本理论概要 .....	14
2.2.2 两种目标与两种支持的制度经济学分析 .....	16
2.3 公共财政政策理论导向 .....	18
2.3.1 公共财政理论 .....	18
2.3.2 公共财政政策理论 .....	20
2.3.3 公共品、农村公共品与粮食的准公共品属性 .....	21
2.4 基于金融可持续发展和协调配置的金融理论导向 .....	30



2.4.1	以金融资源协调配置为基础的金融可持续发展理论 .....	30
2.4.2	对协调配置农村金融资源的理论描述 .....	34
3	粮食安全目标与粮农增收目标及其冲突与协调 .....	43
3.1	对粮食安全目标的讨论 .....	43
3.1.1	战略粮食安全与常规粮食安全概念的提出 .....	43
3.1.2	粮食安全的决定因素和衡量指标 .....	46
3.1.3	战略粮食安全能力评估：以耕地为例 .....	50
3.1.4	常规粮食安全保障策略：供给偏紧的总量平衡 .....	57
3.2	对粮农增收目标的讨论 .....	61
3.2.1	农民收入状况的经验分析 .....	61
3.2.2	农民收入构成与增长的均衡分析 .....	63
3.2.3	粮农收入增长模型 .....	65
3.2.4	粮农增收影响因素的定量分析 .....	70
3.2.5	制约粮农增收的综合因素分析 .....	77
3.3	粮食安全目标与粮农增收目标的冲突与协调 .....	80
3.3.1	理论必然与现实相悖：粮食安全与粮农增收的 尖锐冲突 .....	81
3.3.2	粮食安全目标与粮农增收目标的协调统一 .....	91
4	实现粮食安全和粮农增收目标的公共财政支持 .....	95
4.1	流通和消费视角：我国公共财政保障粮食安全的 实证研究 .....	95
4.1.1	对我国粮食补贴机制和效果的实证分析 .....	96
4.1.2	对接 WTO《农业协定》的国内粮食补贴政策 调整方向 .....	104
4.2	生产视角：公共财政支持粮农增收和粮食安全的 实证分析 .....	109
4.2.1	粮食保护价格制度 .....	109
4.2.2	种粮农民直接补贴 .....	113
4.2.3	粮食生产资料补贴 .....	114