

当代经济学系列丛书

Contemporary Economics Series

主编 陈昕

# 中国的农地制度、农地 流转和农地投资

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经济学  
文库

黄季焜 郜亮亮 冀县卿 著  
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图书在版编目(CIP)数据

中国的农地制度、农地流转和农地投资/黄季焜等  
著. —上海:格致出版社;上海人民出版社, 2012  
(当代经济学系列丛书/陈昕主编. 当代经济学文库)  
ISBN 978-7-5432-2156-7

I. ①中… II. ①黄… III. ①农业用地-土地制度-  
研究-中国 ②农业用地-土地流转-研究-中国 ③农业用  
地-投资-研究-中国 IV. ①F321.1

中国版本图书馆 CIP 数据核字(2012)第 200909 号

责任编辑 忻雁翔  
装帧设计 敬人设计工作室  
吕敬人

中国的农地制度、农地流转和农地投资

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格致出版社·上海三联书店·上海人民出版社  
(200001 上海福建中路 193 号 24 层 www.ewen.cc)



编辑部热线 021-63914988  
市场部热线 021-63914081  
www.hibooks.cn

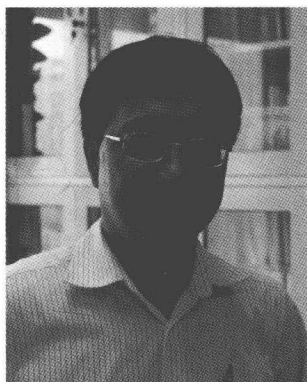
世纪出版集团发行中心发行  
上海图宇印刷有限公司印刷

2012 年 11 月第 1 版  
2012 年 11 月第 1 次印刷  
开本:850×1168 1/32  
印张:9.5 插页:6 字数:219,000

ISBN 978-7-5432-2156-7/F·570

定价:26.00 元

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郜亮亮，现为中国社会科学院农村发展研究所助理研究员。2011 年获 CCAP 管理学博士学位。主要从事农村土地制度政策研究。主持国家自然科学基金青年项目等研究项目。在 *Agricultural Economics*、《经济学（季刊）》、《中国农村经济》等期刊发表多篇论文。



冀县卿，现为 CCAP 博士后研究人员，扬州大学副教授。2010 年获南京农业大学管理学博士学位。主要从事土地经济和产业经济与政策研究。主持国家自然科学基金和教育部人文社会科学等项目。在《管理世界》、《中国农村经济》等期刊发表论文 30 多篇，出版专著 1 部。



Scott Rozelle（罗斯高），现任斯坦福大学国际研究所教授、高级研究员。兼任 CCAP 学术顾问委员会主席、比利时制度与经济成就研究所顾问委员会主席及多所大学教授。1990 年获康奈尔大学发展经济学博士学位。长期专门从事中国农业和农村发展研究。曾获中国“友谊奖”、国际科学技术合作奖、中国教育部“长江学者”、中国科学院国际合作奖、美国农业经济协会终生成就奖、美国农业经济协会论文一等奖等荣誉。发表中英文学术论文 370 多篇。

# 出版前言

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为了全面地、系统地反映当代经济学的全貌及其进程,总结与挖掘当代经济学已有的和潜在的成果,展示当代经济学新的发展方向,我们决定出版“当代经济学系列丛书”。

“当代经济学系列丛书”是大型的、高层次的、综合性的经济学术理论丛书。它包括三个子系列:(1)当代经济学文库;(2)当代经济学译库;(3)当代经济学教学参考书系。该丛书在学科领域方面,不仅着眼于各传统经济学科的新成果,更注重经济学前沿学科、边缘学科和综合学科的新成就;在选题的采择上,广泛联系海内外学者,努力开掘学术功力深厚、思想新颖独到、作品水平拔尖的“高、新、尖”著作。“文库”力求达到中国经济学界当前的最高水平;“译库”翻译当代经济学的名人名著;“教学参考书系”则主要出版国外著名高等院校的通用教材。

本丛书致力于推动中国经济学的现代化和国际标准化,力图在一个不太长的时期内,从研究范围、研究内容、研究方法、分析技术等方面逐步完成中国经济学从传统向现代的转轨。我们渴望经

济学家们支持我们的追求，向这套丛书提供高质量的标准经济学著作，进而为提高中国经济学的水平，使之立足于世界经济学之林而共同努力。

我们和经济学家一起瞻望着中国经济学的未来。

**农**村土地制度一直是农村改革的核心问题。过去许多学者对改革的破冰之作——家庭联产承包责任制的功效和演进做了深入研究,政府也在联产承包责任制后为稳定农地使用权和确权等方面出台了一系列法规和政策。但究竟这些法规和政策在实践中有多大程度得到贯彻实行以及在现实中产生多大的影响,是学术界和政府部门都极为关注的问题。因此,梳理改革以来的农村土地制度和政策变迁,了解各项国家政策在实际执行中的实际执行情况,分析主要法规和政策执行的实际效果和影响,是我们写此书的初衷。为此,先后在2000年和2009年初在全国有代表性的6省开展了大规模的调查,形成了独特的面板数据,对以上提出的问题做了系统的实证分析,在实证分析的基础上,提出我们的政策建议和还需要进一步研究的问题。

本书主要包括:改革30多年农地使用权政策演变和政策执行情况的评估;农地调整变动趋势及其影响因素分析;农地确权演进及其对农户投资的影响;农地流转的趋势和特点;农地流转



与流转管制、非农就业和农业补贴等的关系；农地产权和农地流转对农户投资的影响。农地制度主要通过影响农户投资行为而影响农业发展，所以本书将很多问题落实到农户投资问题上。

本书最大的特色是利用大规模的实地农户调研数据对以上相关政策问题开展规范的、定量的实证研究。因为是面板数据，这使得我们能够较好地利用计量模型实证分析农地制度变迁的效果和影响。因为本书主要目标集中在农地制度上，所以没有涉及农村宅基地、非农用地等重要土地制度政策问题。即使在农地制度范畴内，本书也未包括农地流转的规模效应等问题，但这些也是我们正在进行研究的重要问题。

我们感谢农业部软科学课题、国家自然科学基金(71103156 和 71203235)、中国科学院(KACX1-YW-0906)、中国博士后基金(2011M500368)、世界银行、国际食物政策研究所(IFPRI)、德国中东欧农业发展研究所(IAMO)和密歇根州立大学等资助。感谢中国科学院农业政策研究中心(CCAP)张林秀研究员和她领导的 2000 年的调查团队；感谢参加 2009 年第二次追踪调研的同事和同学，他们是智华勇、黄珠容、李玉敏、

刘莹、吴伟光、邓衡山、魏国学、邓蒙芝、朱莉芬、刘浩淼等。感谢张红宇教授、Loren Brandt 教授、金松青教授和 Alan deBrauw 博士等在研究过程中提出的宝贵意见。

最后,需要说明的是本书难免存在各种缺点、不足和疏漏。在此,我们真诚希望得到广大读者的批评和指正,更热切欢迎大家加入到中国农地问题的研究和讨论中。

# ABSTRACT

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China's reform began in 1978 by reforming the nation's land institutions. This change then provided the basis for agricultural growth for the past 30-plus years. Previous studies have already demonstrated that most of the rise in productivity in the early reform years was due to the shift in institutions from collective farming to the household responsibility system(HRS). In its most basic form, HRS was a reform that gave individual farmers control rights over decision in farming and income rights to the proceeds of their efforts in agriculture. These rights were formally bestowed to farmers through a 15-year land use contract. After the first contract period expired in the late 1990s, a second contract period extended the basic rights for 30 more years.

Reforms to China's land institutions have also facilitated a number of subsequent policy initiatives, which in turn have been shown to contribute to the rapid growth of the nation's since early 1980s. After the HRS reforms were completed in 1984, a series of economic reforms were subsequently(and successfully)

launched. A few of these policy initiatives included: the reforms that encourage the expansion of township and village-owned enterprises; measures to provide a better market environment through domestic market reform; fiscal reform; rural financial reform; the devaluation of the exchange rate; the expansion of the special economic zones which were created to attract foreign direct investment; state-owned enterprise reform; trade liberalization. Hence, land reform, as well as these many other policy efforts, have contributed to China's economic growth, which grew on an annual basis (in terms of gross domestic product or GDP) by nearly 10 percent between 1979 and 2010.

While the importance of reform to China's land institutions in the past has been recognized in literature, this is not a static issue. In fact, there are many new challenges in today's agricultural economy that will rely on or be affected by the way land is managed. For example, in its efforts to ensure food security, China's leaders have announced that they will maintain a mini-

num of 120 million hectares of cultivated land. Such a target—and the ability to meet it—will not only have implications for whether the nation's farmers can provide most of China's food and meet its food security goals. Restrictions on the conversion of land out of agriculture will also affect urbanization and, potentially, overall economic growth. Rising wage rates also are expected significant effects, not only on China's industrialization, but also farm land use and the way farming is organized and carried out. In addition, China's farm size is going to be a major land-related issue. Farms are smaller now (about 0.6 hectares) than they were 30 years ago. Modernizing China's agriculture with hundreds of millions small-scale farms is a great challenge. It is an absolute must in China that the size of farms increases dramatically in the coming years. But, there are many challenges to such changes.

As China emerges as a rapidly developing country—one that is industrializing, urbanizing and globalizing, it is clear that the nation will need to have a way

to increase farm size and farm incomes in the near future. As tens of millions of households begin to move into China's cities, expanding farm size will have to occur—as it has done in almost every other country that has modernized. Without being able to increase protection at the border due to its WTO commitments, about the only way to increase the incomes of those left in farming(as others move to the city) will be to both increase farm size and raise productivity.

So how will China go about increasing farm size and agricultural productivity? When addressing the farm size issue, since land can not be bought or sold(at least not now or—presumably—in the near future), the expansion of farm size will have to depend on China's cultivated land rental markets. Hence, the ability to expand China's farm size will depend on the status of cultivated land rental markets. How land policies have changed and implemented over time? How have these policies affected land rental markets? When addressing agricultural productivity, while public in-

vestment into agricultural technology and rural infrastructure is important, the incentive for farmers to invest in land (and search for new technologies to make themselves more productive) is also important. If China's farmers rent in land, how will it affect farmer-led investment into the land? Unfortunately, in China's national statistical surveys, there is little (almost no) systematic information on the scope of the emergence of land rental and/or the investment by farmers into farming. As a consequence, there is almost no empirical studies on how China's land policies and the nature of land rights in China either affect rental activity and/or provide greater opportunity for increasing the scale of farming (and/or investment into land). In the coming years, property rights reform is expected to be high on the priority list of potential reforms. These reforms are complicated and will certainly create great challenges for those wishing to push reform forward. Any information on the nature of land rights, their effect on land institutions and ultimately on the pro-

ductivity of land and incomes of farmers is important.

The overall goal of this book is to review the evolution of China's land policies and institutions (as well as other major policies) since the late 1970s (including understanding the ways that the policies have been implemented) as a way to analyze the effects of the reforms to land policy (as well as other major policies) on land reallocation, the rental market for cultivated land and farmer investment into cultivated land. To achieve these overall goals, this book has the following four specific objectives:

a) To systematically review the evolution of land policy shifts and institutional changes as well as track how officials have implemented land use and land rights policies over the past 30 years. We will be particularly interested in evaluating differences between national policies and the ways that they were actually implemented at local level;

b) To have a better understanding of the trends in and nature of cultivated land reallocations and rental



market activity. We are particularly interested in identifying the major factors that affect land reallocation and land rental activities. To do so, our analysis draws on a unique set of panel data that are national representative from 6 provinces;

c) To assess the expectations that China's farmers have on the rights they have to use the land and understand how those expectations affect the market for the rental of cultivated land as well as the impact on farmer investment into land;

d) To consider the implications of our findings for current and future policy reform and to identify areas of additional research that are needed.

To accomplish these objectives, this book is organized as follows:

Chapter 1. Introduction. This chapter briefly introduces the background, motivation and purpose of the book.

Chapter 2. Evolution of farm land use rights during the past thirty years of reform. This chapter tracks