

关付新 ■ 著

现代农业组织 创新理论与实践

—— 塑造中国现代农业发展主体的
新制度经济学分析



中国经济出版社
CHINA ECONOMIC PUBLISHING HOUSE

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*Theory and Practice on Innovation
of the Modern Agriculture Organization*

—— Analysis of Developing the Subjects of Modern
Agriculture of China with New Institutional Economics Theory



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图书在版编目(CIP)数据

现代农业组织创新理论与实践/关付新著. —北京:中国经济出版社,2005.9

ISBN 7 - 5017 - 7244 - 4

I . 现… II . 关… III . 农村—生产组织—研究—中国
IV . F325.1

中国版本图书馆 CIP 数据核字(2005)第 108374 号

出版发行:中国经济出版社(100037·北京市西城区百万庄北街3号)

网 址:www.economyph.com

责任编辑:张晓楹 李雅斌

责任印制:常毅

封面设计:华子图文设计公司

经 销:各地新华书店

承 印:三河市欣欣印刷有限公司

开 本:A5 印 张:8.75 字 数:215千字

版 次:2005年9月第1版 印 次:2005年9月第1次印刷

书 号:ISBN 7 - 5017 - 7244 - 4/F · 5817 定 价:23.00元

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服务热线:68344225 68369586 68346406 68309176



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主要成果：在《农业技术经济》、《改革内参》、《经济问题》、《经济经纬》、《农民日报》等刊物上发表学术论文20余篇，其中多篇被全文转载；主持和参加完成省（部）、厅级研究课题10多项，其中获省（部）级奖励4项，厅级奖励7项；参加编著教材和著作7部。

责任编辑：张晓楹 李雅斌

装帧设计： 华子图文平面设计
huazi103@vip.sina.com

试读结束：需要全本请在线购买：www.ertongbook.com

摘 要

在我国农业发展新阶段和入世推动的农业市场国际化两大背景下，突出的农民收入问题和家庭小规模生产与大市场的矛盾，成为理论上和实践中力图解决的问题。本文认为解决问题的根本途径是现代农业组织创新，塑造我国适应市场经济的现代农业发展主体。本研究运用新制度经济学理论，研究现代农业组织创新问题。

研究的思路是，从现实问题中选择论题，确定本研究要解决的问题；根据论题选择理论和方法，构造分析和解决问题的理论范式；运用理论工具进行实证分析，总结经验规律，得出解决问题的结论。目标是回答农业组织的演进规律（理论逻辑和历史逻辑）是什么，我国现代农业组织形式是什么，塑造它需要如何行动三个基本问题。研究内容主要分为问题、理论和实证三大部分，共七章。

第一部分共两章，即第1、2章，是关于“现代农业组织创新”的问题分析。

第1章“序论”，回答本研究为什么选择农业组织创新问题作为论题。通过对当前突出“三农”问题的两大背景分析，及对几种理论观点的评析，将农业组织创新问题作为本文的研究目标。我国农业发展新阶段和农业市场国际化，这两大背景也正是我国现代农业组织的创新环境。

第2章“现代农业组织创新问题”，回答什么是本论题研究的现代农业组织创新问题。第1节分析了政府和农民偏好的变化是我

国农业组织创新的条件，列出实践中出现并已经作出划分的各种农业组织形式；第2节简述有关农业组织创新问题的研究进展、现状和有待深化研究的问题；第3节通过对“组织与制度”、“农业组织”和“现代农业组织创新”等几个重要概念的界定，确定本研究的问题。组织的双重意义，即组织既是“制度参与者”角色，又是规范人们行为的制度，决定了农业组织创新的两重意义，即现代农业组织创新，既是现代农业发展主体的角色塑造，又是制度创新。在具有政策层次、组织层次和操作层次三个层次的制度作用过程中，考察制度、组织和行为个体之间的相互作用关系。在这些作用关系中，从局部作静态考察，农业组织是企业化组织；从长期作动态考察，农业组织是规范利益主体关系的制度。

第二部分即第3章，是关于“现代农业组织创新”的理论分析。

第3章“现代农业组织创新理论”，解决什么是本研究的基础理论和分析工具问题，并从理论上回答，现代农业组织作为现代发展主体，角色是什么？作为制度，创新的关键是什么？第1节选择新制度经济学理论作为本研究分析和解决农业组织创新问题理论基础，它有产权、交易费用和契约三个核心概念。新制度经济学的静态、比较静态和动态三个分析层次，分别对应于分析解决组织绩效、组织形式比较、制度创新问题。第2节根据新制度经济学的三个核心概念，在分别论述新制度经济学的产权理论、交易费用理论和契约理论三个核心理论的基础上，引出影响组织形式选择和制度变迁的三大作用变量，即政府行为、市场制度和技术。第3节根据新制度经济学的三个分析层次，构建本研究的三个模型，并在理论上回答要有关问题。（1）推导出农业组织静态分析的GMT模型，根据理论分析的结果，现代农业组织是“政治主体、市场主体和先进生产力载体”三重角色。（2）推导出农业组织选择的比较静态分析SCP模型，根据“结构决定形式”的理论分析结果，当前农业组织形式分为三类，六种农业组织形式。（3）农业组织创新

的动态模型 IRT, 根据理论分析结果, 政府制度、市场制度和农业技术等变量的作用, 决定农业组织的性质, 政府制度是农业组织创新的关键。

第三部分共四章, 即第 4、5、6、7 章, 是关于“现代农业组织创新”的实证分析及分析结论。

第 4 章“我国农业组织变迁历史分析”, 回答我国农业组织变迁的历史逻辑和理论逻辑是什么。第 1、2、3 节运用模型 GMT 分别对我国的个体农户、农业集体、家庭承包制三种农业组织形式进行静态分析, 在每个时期阶段的制度环境和农业技术条件作用下, 农业组织表现出不同的角色, 并产生较大差异的制度绩效, 结果形成我国农业发展呈现出单调上升、徘徊缓进、再单调上升的三个时期发展形态。政府制度决定的农地制度和市场制度, 对各种农业组织形式的作用是关键性的, 而它们是否适应当时的农业生产水平则是根本的。农业组织作为制度, 其核心是它的利益增进机制和利益协调机制。激励利益主体进行生产性努力, 并使其能够做出分配性努力。第 4 节, 在三个静态分析之间构成比较静态分析的基础上, 考察我国农业组织历史变迁逻辑。农业组织的演变, 是政府行为逻辑、市场经济逻辑和农业技术作用三者作用关系的统一, 在其历史逻辑中农业技术水平起着决定性作用, 理论逻辑中政府制度在三个变量作用关系发挥着关键作用。

第 5 章“日本现代农业组织发展及与美国的比较分析”, 回答现代农业组织形式是什么, 政府为之形成如何行动。第 1 节用动态分析方法, 从历史维度上分析日本现代农业组织的形成过程中, 政府政策(主要是农地制度、农民收入政策、组织政策等)、市场作用程度、农业技术特征、资源禀赋条件等变量的影响和作用。在与美国进行比较下, 给出可供借鉴的培育现代农业发展主体, 提高农业竞争力的经验。家庭农场是现代农业发展主体, 农民合作组织是家庭农场成为合格主体的组织保证, 这样兼备有效的利益激励机制和利益协调机制。政府作用的发挥是基于对市场制度的利用, 使农

业走上与资源禀赋条件相协调的发展道路。

第6章“我国现代农业组织创新实践”，回答我国家庭农场发展如何，解决怎样塑造我国现代农业发展主体问题。第1节在理论上给出家庭农场概念和特征，静态地考察作用于家庭农场形成的变量作用，分析其结构和功能。第2节通过实证资料，描述家庭农场的制度特征、组织特征、效率，并进行经济分析。目前出现的家庭农场，之所以实质上区别于家庭承包制下的农户，它们具有市场化、专业化和社会化的制度特征；具有现代化技术、规模化经营、企业化管理、农民企业家的组织特征。其生产效率和交易效率，源自于家庭农场的刚性激励机制和较强的利益协调机制。第3节分别以保障型土地、流转型土地和开发型土地三种土地资源条件，代表我国传统农业地区、经济发达地区和经济欠发达地区。横向比较三种类型地区的家庭农场发展状态，考察主要作用变量的影响，家庭农场发展的特点，及遇到的主要障碍。第4节在以上实证分析的基础上，给出分析结论。流转土地的供给起着重要作用，土地规模是家庭农场发展的第一约束，而资金和农民的企业家能力则是家庭农场发展的现代要素约束。

第7章“我国发展家庭农场的制度体系构建”，回答政府如何发挥关键作用，为塑造家庭农场的利益增进机制和利益协调机制供给制度。发展家庭农场的制度体系由三个层次的制度构成。一是政策层次上公平的政府制度，包括完善的市场制度，公平的农业发展政策。二是组织层次上交易效率取向的组织制度，包括提高资源要素（包括土地、劳动、资金和技术）的可获性，扶持农民合作组织。三是操作层次上的生产效率取向的激励制度，包括有效的产权激励、增进的利益激励和农民的企业家能力培养。

在分析和解决相关问题的研究中，主要运用了以下几种方法。

(1) 理论推演法和经验归纳研究法。在本书的第3章，用理论推演的方法，从新制度经济学产权理论、交易费用和契约理论中，引出的政府、市场和技术三大作用变量，进而推导出 GMT、SCP 和

IRT 三个模型，建立起本研究分析农业组织问题的基本理论范式。在第4、5、6章，主要运用经验归纳方法，描述我国三种农业组织形式演进、日本和美国的发展经验，并对理论进行实证。(2) 静态、比较静态和动态分析法。在实证研究中分别将三种分析方法运用于组织绩效、组织形式比较和制度创新的问题分析。(3) 统计分析法。本文在第6章简单运用了的统计分析方法，服务于实证研究。

本研究的主要贡献主要有以下几方面。(1) 将新制度经济学的产权理论、交易费用理论和契约理论三个核心理论有机统一，综合运用于农业组织问题的研究，并建立起三个理论模型，分别运用于静态、比较静态和动态三个层次的分析。超越当前相关问题研究中运用单一理论进行的静态分析。(2) 对农业组织作“角色”和“制度”双重理解，发现农业组织创新的双重意义，即角色塑造和制度创新。不同于把农业组织简单区别于一般农户的理解，这是正确揭示农业组织创新机制的基础。(3) 在运用有效的理论工具的条件下，揭示出农业组织的演进逻辑，并且实现历史逻辑与理论逻辑的统一。政府制度的关键性和农业技术的决定性，在同一个模型中得到合理解释与表现。(4) 给出了家庭农场成为我国现代农业发展主体的经济解释和经验实证，现代农业组织核心在于其充分激励下的利益增进机制和制度保障下的利益协调机制。

有待完善和深入研究的几个方面。(1) 本研究对新制度经济学理论的运用，主要是综合其三个核心理论建立起分析和解决问题的范式，及对其三个层次上分析方法的运用。而在实证分析中，运用新制度经济学理论对事(史)实解释和分析不够，新制度经济学对实践的解释力没有充分发挥。(2) 对日本和美国现代农业组织的发展的分析和对国内家庭农场发展的描述，都是从整体上把握的。而没有进行对家庭农场组织的微观分析，这样在一定程度上影响了实证的说服力。(3) 在理论和实证之间，国内和国外之间，没有在同一平台上进行求证和比较，形成严密的对应关系。如第4

章中以农业发展成果来表达农业组织绩效，第6章在各种土地资源条件下的家庭农场发展，对市场制度作用突出不够。存在的以上问题，主要有对理论理解应用和实证资料占有两大方面的原因。尽管有客观条件的限制，但在今后的研究中，还是可以改进的。鉴于此，今后还将继续深化对这一论题的研究。

关键词：新制度经济学 现代农业组织 家庭农场

Theory and Practice on Innovation of the Modern Agriculture Organization

—— Analysis of Developing the Subjects of Modern Agriculture of China with New Institutional Economics Theory

Abstracts

The problem of peasants' income and conflict between house - holding farm in small scale and large scale market all becoming serious under the two backgrounds, new developing phase of agriculture of china and internationalizing agriculture market. People try to solve the problem and conflict in theory and practice. This dissertation regards innovation of the modern agriculture organization and developing the subjects of modern agriculture as fundamental path to solve these problems. The innovation of modern agriculture organization is studied with New Institute Economics theory in this dissertation

Train of thought in this dissertation is composed of the following steps, picking up the topic from the problems in realities and defining the problem to solve in this dissertation, selecting the theory and methods used in this dissertation and forming the theoretical means and analysis model, summarizing regularity in empirical study and draw the conclusion to solve the problem. The aim of this dissertation is to give answers to three principal questions. What is the law of agriculture organization evolution? What is the modern agriculture organization of China? What should be done to develop the modern agriculture organization of

China? This dissertation is composed of three sections, problem, theory and empirical study, including 7 chapters.

The first section including chapter 1 and chapter 2 is on the problem analysis of the innovation of modern agriculture organization.

“Preface” of chapter 1 is on why this dissertation selects the topic of the innovation of modern agriculture organization. This dissertation determines to research the innovation of modern agriculture organization by analyzing the two backgrounds which stress the problem of agriculture, rural and farm and commenting on several relative theoretical options. The two backgrounds of the new developing phase of agriculture of china and internationalizing agriculture market just are the surroundings of the innovation of modern agriculture organization of China.

“The issue of the innovation of modern agriculture organization” of chapter 2 is on what the issue of the innovation of modern agriculture organization is. Part 1 shows the changes of reference of government and peasant are the situations of the innovation of modern agriculture organization, and list out various forms of agriculture organization already classified in practice. Part 2 simply states some research achievement on the issue of the innovation of agriculture organization, status quo, and issues needing to go on researching. Part 3. The issues to research in this dissertation are fixed by defining several basic concepts, such as Organization and Institute, Agriculture Organization, Innovation of Modern Agriculture Organization. Organization contains dual – content of role participating in institution and Institution standardizing conduct of people, thus, innovation of modern agriculture organization is provides dual – significance of developing the role of subject of modern agriculture and innovation of institution. In the process with three rank orders including policy level, organization level, operation level in which institution play

role, mutually affecting relationship among institute, organization and conduct subject can be observed. Observed in part and static state, agriculture organization is enterprise; observed in long period and dynamic state, agriculture organization is institution standardizing profit relationship among subjects.

The second section including just chapter 3 is on the theoretical study of the innovation of modern agriculture organization.

“The theory of the innovation of modern agriculture organization” of chapter 3 shows the basic theory and analyzing means, and finds the answers in theory for the following two questions. What is the role of modern agriculture organization when it is regarded as modern agriculture subject of modern agriculture? What is the key of the innovation of institution when modern agriculture organization is regarded as a institution.

Part 1. New institute economics theory will be used as basic theory in this dissertation. Three basic concepts of New Institution Economics are property rights, transaction cost and contract. Three kinds of analyzing methods including static state, relative - static state and dynamic state are separately used to analysis the performance of organization, comparing of organization forms, Institution innovation.

Part 2. Basing on expounding the three basic theory including property theory, transaction cost theory and contract theory three important variables which effect organization and institution changes. These variables are government conduct, market system and technology.

Part 3. Three theoretical models are set up basing on the three kinds analysis methods including analyzing of static state, relative - static state and dynamic state, and some question are answered in theory. (1) The model GMT in which static state analyzing is deduced out. The result of theoretical analyzing shows that the modern agriculture organization is a tri - significance role, as political subject, market subject and carrier of advanced agriculture produc-

tivity force. (2) The model SCP in which relative - static state analyzing is deduced. According the results of theoretical research on organization form determined by its structure, various agriculture organizations can be classified into 3 types including 6 kinds. (3) The dynamic state model IRT of institution innovation is set up. According the results of theoretical study, the character of agriculture organization is determined by the effects of government institution, market institution and agriculture technology. Government institution is the key to institution innovation.

The third section including chapter 4, 5, 6, 7. is on the empirical study of the innovation of modern agriculture organization and conclusions of the study.

“Study on the historical changes of agriculture organization of China” of chapter 4 finds out the historical and theoretical logic of changes of agriculture organization of China. Part 1, 2, 3. These kinds of agriculture organization including individual peasant household, agriculture collective, peasant contract - households are studied in static state with model GMT. In every period agriculture organization played different role under different institute surroundings and effecting of agriculture technology, engendering largely different performance, and result in that agriculture of China developed at three phase of increasing, fluctuating, increasing. The effect of agriculture land policy and market mechanism that depends on government institute play important role to every kind of agriculture organization. The fundamental effect to agriculture organization depends on that institution fits to the level of agriculture productive in time or not. Agriculture organization as a kind of institution, its nucleus is profit - increasing mechanism and interest - coordinating mechanism. These mechanisms encourage subjects to try hard to product and distribute, and provide requirements to them. Part 4. After three analyzing in static state, the logic of historical changes of agriculture organiza-

tion of China is studied in the research in relative - static state. The logic of evolution of agriculture organization contains the logic of government conduct, logic of market economy and effect of agriculture technology. In its historical logic, agriculture technology plays fundamental role. In its theoretic logic, government institution plays key role.

“Modern agriculture organization of Japan development and comparing with it of America” of chapter 5 tells what the modern agriculture organization is, and how government act for it. Part 1. At a historical view, in the process of modern agriculture organization of Japan developing, study the effect and influence of variables, such as government policy (including agricultural land policy, farmers' income, organization policy), extent of market effect, character of agriculture technology, conditions of resource endowment etc. After comparing with America, they give useful experience to develop subjects of modern agriculture and raise competitive power of agriculture for us. Household farm is the subject of modern agriculture, and cooperative organization of farmers is guarantee to make household farmer become qualified subjects, thus, house - hole farm is provide with profit - increasing mechanism and interest - coordinating mechanism. Government play role basing on giving enough rein to market, and make agriculture develop keeping harmonization with resource endowment.

“Practice of modern agriculture organization innovation in China” of chapter 6 shows how about household farm development in china, and how to develop the subjects of modern agriculture of China. Part 1. Define the concept and characters of household farm in theory. In static state, study the effects of the variables which play important role in forming of household farm, and analysis its structure and competence. Part 2. Describe the institutional characters, organizational characters, productiveness of household farm by empirical evidences, and explain them

with economics. Presently, the developing household farms are different in character with peasants contract – household because their institutional characters and organizational characters. The institutional characters is composed of market – orientation, specialization, socialization, and the organizational characters include modern technology, operation in scale, enterprise – like management, enterpriser – like farmer. The household farm has higher productiveness and transaction efficiency because of its powerful encouraging mechanism and interest – coordinating mechanism. Part 3. Safeguard land, shift land and exploitation land can separately express the land resource conditions in traditional agriculture areas, advanced areas and less – advanced areas. Comparing with each other among household farms in the three types of areas, observe and study the effect of variables, characters of household farms development and obstacles to their development. Part 4. Draw conclusions from above empirical study. The first bind to household farm development is land scale, and the amount of supply shift land is important. As modern productive factors capital and enterpriser ability of peasant is bind too.

“Building institution system for household farm of China development” of chapter 7 tells how government play key role to build profit – increasing mechanism and interest – coordinating mechanism of household farms by supply institutions. The institutional system is composed of the institutions in three rank orders. Firstly, in the policy rank, fair government policies including perfect market institution, fair agriculture development policy. Secondly, in organization rank, organizational institutions for transaction efficiency, including increasing ability to acquire resource and productive factors, such as land, labor force, capital and technology, and building up cooperative organization of farmer. Thirdly, in operation rank, encouraging institutions for productivity, including effective property rights, increasing profit and fostering enterpriser ability