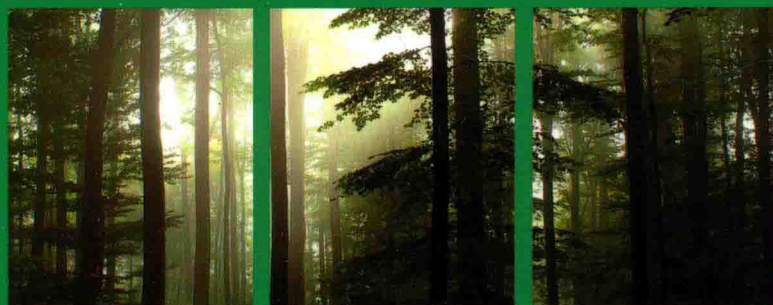


THEORETICAL AND EMPIRICAL RESEARCH ON
ENTREPRENEURSHIP OF PEASANT HOUSEHOLDS IN FOREST ZONE



林区农户创业 理论与实证研究

薛永基 著

 北京理工大学出版社
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前言

以“分林到户”为典型特征的林权改革明确了林农对林业资源的所有权和经营权，引致了农户基于林业资源利用的创业行为。目前，在林业资源型地区（本书简称为林区，界定为人均林地面积不小于 0.31hm^2 、人均林木蓄积量不低于 10m^3 的地区），大量农户依托家庭组织或创建新的组织，扩大现有的生产规模或从事新的生产活动，开展经济林种植、林下养殖、林木加工、林业副产品生产、林下套种、生态旅游等经营活动。其中，农户依托林业资源、经营时间不长于3年的上述活动，被本书界定为林区农户创业。

作者关注林区农户的创业行为，始于对“富饶的贫困”的长期思索。一方面，中国拥有多达 2.08 亿 hm^2 的林地资源（数据引自国务院新闻办公室 <http://www.scio.gov.cn>），这些地区多是气候宜人、雨水充沛、环境秀丽、自然资源丰富的“富饶”地

区；另一方面，生活在这些地区的人民却长期处于极度贫困之中。由于林区交通不便、电网设施落后、网络建设滞后等因素，以及人们经营意识差、经营能力不高等主观因素，林区经济发展相对较为缓慢。作者称之为“富饶的贫困”之谜。围绕这个谜团，作者与课题组成员进行了长期的科研探索，指出鼓励林区农户创业，尤其是生态创业是真正的解决之道。2015年3月5日李克强总理在《政府工作报告》中指出：“个人和企业要勇于创业创新，全社会要厚植创业创新文化，让人们在创造财富的过程中，更好地实现精神追求和自身价值。”这为林区农户创业奠定了良好的政策环境。

林区农户创业具有积极的理论和现实意义：一方面，林业资源型地区农户创业盘活了林业资源，解放了林业生产力，有效利用了林农由传统经营形成的天然联系和社会网络，具有重要的现实意义；另一方面，在集体林权制度改革的现阶段，我国林业生产力较低，林农经营素质不高，林区创业环境不佳，林农创业面临较大的困难，需要相关配套政策的扶持。基于以上认识，本书采用规范研究和实证分析相结合的方法，从个体特征和环境影响两个层面分析了林区农户创业行为的机理，科学评估现有林权改革配套政策（小额贷款、科技服务、合作组织扶持、林地流转等）促进创业的效应，并设计了相应的机制。

本书的研究内容主要包括：

（1）林区农户创业个体特征影响因素分析。通过文献梳理，总结出影响林区农户创业的个体特征因素，并结合样本数据对个体特征影响因素进行实证分析。结果显示：①人口统计学特征中受教育程度、近3年家庭平均收入与林农创业正相关，年龄与林农创业负相关；②林农禀赋特征中家庭户主的受教育程度、林地面积、家庭是否有公务员与林农创业正相关，涉林手艺情况与林

农创业负相关。

(2) 林区农户创业的行为学解释与验证。从行为学角度分析林区农户创业意向形成的影响因素,并从社会资源获取的角度实证分析了社会网络对林区农户创业意向形成的影响因素。结果显示:①具有追求自主性和成就动机的农民有高的创业意向,倾向于利用集体林权改革获得的林地开展创业活动(进一步研究发现这一倾向具有一定的普遍性);②环境认知因素也在很大程度上影响着农民的创业意向,对于资源获取的预期和与非农就业比较认知成为农民考虑创业行为进而形成创业意向的关键因素。

(3) 创新意识、创业导向与林区农户经营绩效实证研究。探索创新、创业及经营绩效三者之间的关系,本书选择创新意识和创业导向2个变量,并基于以上认识建立一个概念模型。这一影响过程可描述为,创新意识首先影响创业导向的2个维度(主动性和风险承担偏好),进而通过影响创业导向的2个维度影响林区农户的经营绩效。本书旨在通过实证调查分析,首先验证创新意识对主动性、风险承担偏好和经营绩效的影响;其次验证主动性和风险承担偏好对经营绩效的影响;最后验证主动性和风险承担偏好在创新意识影响经营绩效中的中介作用。

(4) 集群与林区农户创业扶持研究。从林区农户集群创业的过程模型和形成模式上剖析了集体林权制度改革后林区农户集群创业的形成机制,将林区农户集群创业概括为“自然形成”“自然形成—政府扶持”和“政府扶持—自主提升”3种模式。根据形成机制分析,构建了基于资本、技术和管理的管理的3种培育路径,并指出应在林区农户集群创业路径上进行创新。

(5) 生态产品供给与林区农户创业研究。分析了森林资源、人文地理环境、管理系统和农户4个要素在林区农户生态创业中的角色和作用,厘清了由4者构成的复杂系统的运行机制,并从

林区农户意识形态出发探讨了促使林区农户在创业中采取生态保护行为的影响因素。

(6) 农户决策行为与林区农户创业研究。在假设农户为理性人的基础上,根据最优化理论,分析了农户在创业选择上的决策行为。其中,重点分析了农户创业意愿形成中的选择以及外界因素影响下农户的创业参与决策行为,为后续机制设计奠定了基础。

(7) 林区农户创业的机制设计。通过设计创业者及相关主体博弈的具体形式,分析在满足参与者各自条件约束的情况下,如何使参与者在自利行为原则下,其选择策略之间的相互作用能够让配置结果与预期目标相一致。在此基础上,对林区农户创业的经济机制进行设计,以促进农户创业。

(8) 林区农户创业的政府扶持政策设计。具体包括政府财政支持与金融政策、创业项目支持与保障政策、创新技术支持与培训政策、创业环境营造与建设政策等。同时,重点剖析了政策体系中基金设置、合作社治理和人才培育3个关键性问题。

本书的创新点和特色体现在:

(1) 基于案例分析、深度访谈和相关理论,建立了集体林权改革下林区农户创业的 IEOP 理论框架。创造性地将集体林权制度改革、林区农户创业意向、林区农户创业组织、相应扶持政策和林区农户创业行为结合起来,整合到一个完整的分析框架中。在案例分析和深度访谈的基础上,结合制度经济学和演化博弈等理论方法,建立集体林权改革下林区农户创业的 IEOP 理论框架,弥补了林区农户创业领域研究的不足,丰富了相关理论。

(2) 基于大样本和实证分析方法,研究了集体林权改革下林区农户创业的影响因素。本书将创业研究领域研究创业意向的方法应用于林区农户创业,借助林区农户创业意向问卷调查数据,探寻林区农户创业的个体内部特征因素和外部制度环境因

素,并用结构方程统计方法分析了影响因素之间的作用路径,填补了林区农户创业影响因素研究的空白。

(3) 基于理论框架和影响因素实证分析结果,探索了林农创业组织模式创新以及绩效提升机制。在构建投资者和创业者期望收益数学模型的基础上,从利益最大化的角度分析了林农创业组织的激励机制、约束机制和控制机制等,并给出具体的措施。这一领域一直缺乏深入研究,而对林农创业的组织实践是一个重要的现实问题,可以从微观层面为林农创业提供具体指导。

(4) 基于深度访谈构建林农创业政府扶持政策体系。本书在探寻影响因素的基础上,建立“影响因素—政策着力点”对应关系,进而在对林农创业政策需求访谈的基础上构建了创业扶持政策体系,可以从宏观层面为政府制定扶持政策提供理论和实践依据。

本书是作者对近5年在林区农户创业这一领域研究成果的集中梳理,也包含了课题组成员和参与研究学生的学术智慧。薛永基制定写作框架,并撰写第1章、第2章、第3章、第4章、第5章、第6章、第7章、第10章、第11章;安欣(北京林业大学)撰写了第8章和第9章。北京林业大学张苑翌参与了第2章的撰写;孙微微、齐浩宇参与了第3章的撰写;任超然参与了第4章的撰写;卢雪麟参与了第5章的撰写;刘欣禹参与了第6章的撰写;梁媛媛参与了第7章的撰写;葛富华参与了第8章的撰写;冯潇参与了第9章的撰写。

由于水平所限,缺点和不足在所难免,恳请有识之士和学术同人批评指正。

作者

2015年5月20日于北京林业大学

Preface

The collective forest rights have been reformed to the entrepreneurship of peasant households with forestry resources. With the reform, a large number of farmers expand the existing scale of production or engage in new activities depending on family organizations or creating new organizations in forest zones (This book defines such an area as a place where the per capita woodland area is not less than 0.31 hectares, and the per capita forest volume is not less than 10 cubic meters, and we call it forest area/forest zone for short). Peasant households carry out planting economic forest, breeding in forest land, eco-tourism and other business activities. Among them, some activities are defined as entrepreneurship of peasant households in forest zones whose operating time is not longer than three years with forest resources.

The authors pay attention to farmer entrepreneurial behavior in

forest zones which begin from the thought of *the rich poverty*. In China, there are 208 million hectares of woodland resources (Data from the national news office: <http://www.scio.gov.cn>), and most of them have suitable climate conditions, high rainfalls, friendly environment and rich natural resources. However, people who are living in these areas are extremely poor because of many factors, such as inconvenient transportation, bad grid facilities and network constructions, poor management of farmers, and the relatively slow economic development in forest zones. The authors call it the mystery of *the rich poverty*. The authors and group members have explored the mystery of *the rich poverty* for a long time, and pointed out encouraging farmers' entrepreneurship in forest zones is the way to solve this mystery (especially the ecological entrepreneurship). At the same time, The Report on the Work of the Government 2015 has shown that individuals and businesses should be encouraged to innovate, and the whole society should strengthen the cultural innovation. The report thinks that people should achieve his spiritual pursuit and value in the process of creating wealth. The report laid a good environmental policy for farmers' entrepreneurship in forest zones.

The farmers' entrepreneurship in forest zones has positive theoretical and practical significance. Moreover, farmers' entrepreneurship can revitalize the forestry resource, liberate the forestry productivity, and the natural and social contact network formed by the traditional management of farmers can be used effectively. However, in this stage, poor forestry management has led to low forestry productivity and the poor business environment that make entrepreneurial farmers face greater difficulties. Now that all these have happened, supporting

policies are needed. Based on the problems stated above, this book combines normative and empirical methods, analyses the farmers' entrepreneurial behavior from two aspects of individual characteristics and environmental impacts, and evaluates the supporting policies to promote the farmers' entrepreneurship. This book also designs a mechanism to support these activities.

The contents of this book mainly include:

1. Analysis of influence factors with individual characteristics of farmers' entrepreneurship in forest zones through literature review, summary of the individual characteristics of farmers' entrepreneurship in forest zones, and analysis of the factors of individual characteristics by using sample data. Empirical results show: (1) In demographic characteristics, educational degree, average family income in three years and farmers' entrepreneurship are positively related. The age and farmers' entrepreneurship have a negative correlation. (2) Educational degree, forest area, having civil servants or not in the family have a positive correlation with farmers' entrepreneurship, and Forestry technology has a negative correlation with it.

2. The explanation and test of farmers' entrepreneurship in forest zones in human behavior. From the behavior perspective, the factors influencing the formation of farmers' entrepreneurial intention in forest zones are analyzed. The empirical results show: (1) Farmers with the pursuit of autonomy and achievement motivation have higher entrepreneurial intention. They have tendency to carry out entrepreneurial activities using forest land by the reform of collective forest rights (further study found that this tendency has certain universality). (2) Cognitive factors of environment also have great effect on farmers' entrepreneurial

intention, and the comparisons between the expectations for resources and non-agricultural employment become the key factors of influencing farmers' entrepreneurial intention.

3. The empirical research on the innovation consciousness, the entrepreneurial orientation and farmers' performance in forest zones. In this book, we choose two variables of innovation consciousness and entrepreneurial orientation to explore the relationship between innovation, entrepreneurship and business performance, and build a conceptual model based on the above knowledge. This process can be described as innovation consciousness that firstly affects entrepreneurial orientation in two dimensions (initiative and risk-taking), and then it is possible to affect the performance of farmers. Firstly, this book aims to empirically investigate the impact of innovation awareness on the initiative, risk-taking and business performance. Secondly, do experiments on the impact of initiative and risk-taking on the business performance.

4. Study on the cluster and their entrepreneurial support. From the process model and forming pattern, we analyze the mechanism of farmers' entrepreneurial cluster, and summarise their entrepreneurial cluster as three modes by the names of "natural," "naturally formed and government supported" and "government supported and self-promoted." According to the analysis of formation mechanism, this book builds three kinds of cultivation paths based on capital, technology and management, and points out that we should innovate in the path of cluster entrepreneurship.

5. Ecological product supply and farmers' entrepreneurship research. This book analyses the role and function of forest resources;

cultural, geographical environment; management system and farmers in ecological entrepreneurship. This book also clarifies its operating mechanism, and discusses the influencing factors that urge farmers to take ecological protection in entrepreneurship from farmers' ideology.

6. Study on the behavior of farmers' decision-making and entrepreneurship in forest zones based on the assumption that all farmers are rational. According to the optimization theory, the decision-making behavior of the farmers on the choice of venture is analyzed. Among them, the decision-making behavior in the choice of farmers' entrepreneurial intention and outside factors is emphasized, which lays a foundation for the further mechanism design.

7. Mechanism design for farmers' entrepreneurship in forest zones. This book analyses how to make each participant get consistent with their expected targets by designing game-playing. On this basis, the economic mechanism of farmers' entrepreneurship in forest zones is designed to promote the farmers' entrepreneurship.

8. The design of governmental supporting policy for farmers' entrepreneurship in forest zones. It contains government financial support and financial policies, venture project support and security policy, innovation and technical support and training policies, entrepreneurial environment and construction policies and so on. By following these, this book analyses three key issues of fund setting, cooperative governance and cultivation talents in the policy system.

The innovation and features of this book are shown as follows.

1. Based on case study, in-depth interviews and related theories, a theoretical framework of IEOP is built with the background of collective forest rights. This book integrates the reform of collective

forest rights, the entrepreneurial intention, the entrepreneurial organization, the corresponding support policies and farmers' entrepreneurial behavior into a complete analytical framework. On the basis of case analysis and in-depth interviews, and by combining the methods of institutional economics and evolutionary game theory, this book establishes the IEOP theoretical framework under the reform of collective forest rights. This study makes up the shortage of research on entrepreneurship of farmers, enriching the relevant theories as well.

2. Study on the influencing factors of farmers' entrepreneurship under the reform of collective forest rights based on the large sample and empirical analysis. This book applies the entrepreneurial intention research method to farmers' entrepreneurship. With the help of the entrepreneurial intention questionnaire data, this book explores farmers' entrepreneurship of individual characteristics of the internal and external factors, and SEM is used to analyse the influencing path among factors. This study fills in the gap in the study of the influencing path among factors.

3. Based on the theoretical framework and empirical analyses, this book explores the innovative organization model of farmers' entrepreneurship and establishes the performance improvement mechanism. Based on the mathematical model of expected return of investors and entrepreneurs, this book analyses an incentive mechanism, a restraint mechanism and a control mechanism and gives specific measures from the perspective of interests maximizing. This area has been a lack of in-depth study, but it is an important practical problem on the entrepreneurial organization practice, and this book

provides specific guidance from the micro level.

4. Building their entrepreneurial government support policy system with in-depth interviews. This book establishes a relationship between the influencing factors and policies based on the exploring of influencing factors, and then builds the farmers' entrepreneurship supporting policy system through the farmers' entrepreneurship policy requirement interview. The research can provide the basis theory and practice for the government to formulate the supporting policies from the macro level.

This book is written on the basis of generalizing relevant study achievements of authors in farmers' entrepreneurship in the past five years; it also contains academic wisdom of the research group members and students. Yongji Xue made the writing frame, and wrote Chapter 1 to Chapter 7, Chapter 10, Chapter 11; An Xin (Beijing Forestry University) wrote Chapter 8 and Chapter 9. Wanyi Zhang took part in the writing of Chapter 2; Weiwei Sun, Haoyu Qi took part in the writing of Chapter 3; Chaoran Ren took part in the writing of Chapter 4. Xuelin Lu took part in the writing of Chapter 5; Xinyu Liu took part in the writing of Chapter 6; Yuanyuan Liang took part in the writing of Chapter 7; Fuhua Ge took part in the writing of Chapter 8; Xiao Feng took part in the writing of Chapter 9.

Because of the limitation of the authors' level, the shortcomings are unavoidable. Welcome academic colleagues to make comments and corrections.

Author

May 20, 2015, at Beijing Forestry University

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