

中国农业经济合作组织

发展研究

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人类的经济史实质上就是一部城乡发展史。始于 18 世纪中叶的工业革命全面开启了世界城市化的历程。改革开放以来,中国城市化的步伐不断加快,而处于城市外缘的农村始终带有一定的边缘化倾向。近年来,在市场化的价值趋向和非平衡发展战略的导向下,城乡差距,区域差距,尤其是东西部农村发展差距有扩大的趋势,区域发展中出现的许多新问题还未得到科学、准确的解答。因此,在全面建设小康社会的进程中如何实现农村社会经济的全面发展,协调城乡关系,正是当前需要我们研究和解决的重大课题。

党中央国务院高瞻远瞩,总揽全局,依据国际国内形势的发展变化,在世纪交替的重要历史时刻做出了西部大开发的战略决策,提出了以人为本,全面、协调、可持续发展的科学发展观,实施"农业新政",使中国经济进入了一个协调、高速发展的时期。在此背景下,加强对西部的研究,尤其是西部农村发展问题的研究已经成为历史赋予我们的神圣使命。

历史悠久的中国西部,沉淀了丰富的文化宝藏;资源富集的中国西部,蕴
董巨大的发展潜力。目前,西部的贫困,主要是农村的贫困。在经济全球
和区域经济一体化的背景下,如何立足于西部实际,准确把握西部农村健康发
律,建立具有鲜明区域特色的农村社会经济发展模式,引导西部农村健康发
要实现可持续发展的长远目标,并非易事。国际和国内经济环境的
安文现可持续发展的长远目标,并非易事。国际和国内经济环境的
时我的,更加增添了西部雄起的用度。在新的历史战期,西部农村发展落后的现状,更加增添了西部雄起的历史时期,不
要我们有新的思路、新的办法和新的举措;需要我们不断地学习和实践,不
要从书本中学习,更要从实践中学习;需要我们从实践到认识,再从认识不实
践,在不断的循环往复中求得真知。作为中青年学者,更应该在这样一个充满
挑战的时代大胆进行理论创新。

令人欣慰的是,西北农林科技大学经济管理学院的一批中青年学者,多年来紧紧抓住西部农村社会经济发展这一主题,对农业与农村社会发展的相关问题进行了较为系统的研究,得出了一系列重要的结论。在西部农村发展研究中心的精心组织和鼎力支持下,研究成果将以论著的形式出版。尽管有些结论还不够完善,还有待于进一步研究和探讨,甚至有些观点看起来还很幼稚,但作

者敏锐的眼光、独特的视角、新颖的思路及其理论创见,都是值得肯定和赞赏的。令人称道的是,这批研究成果是在我校农业经济管理全国重点学科 2001 年旁落后的阵痛中涌现的,这正是我们重振学科发展,向打造研究团队"旗舰"目标迈出的具有探索性的第一步。

关注西部农村发展,就要了解、认识和研究中国西部农村,就要帮助、支持和开发中国西部农村。鉴于此,我希望在这个发生深刻历史巨变的时期,有更多的学者能够紧紧抓住西部农村发展的良好机遇,充分利用西部农村发展研究中心这一平台,深入实际,大胆探索,运用理性和创新的思维方式,规范、科学的研究方法,紧密结合西部农村社会发展实际,研究出一大批既有理论水平,又有实际价值的原创性成果,不辱时代赋予我们的使命。

西北农林科技大学校长:

2004 年秋于杨凌

家庭承包责任制重塑了农村经济组织的微观基础。中共"十四大"把建立社会主义市场经济体制正式确立为改革的总体目标,并开展了一系列的改革,加之我国加入WTO,把农民迅速推向了瞬息万变的市场。我国农业中间组织供给不足,农户市场地位弱小,大多数农民处于无组织状态,势单力薄,谈判地位低,农民没有力量同外来的侵权行为相抗衡,加之个体生产经营者增约的组织缺陷,使得分散的农民与社会化的大市场的矛盾越来越突出,农民设有为量同外来的侵权的大市场的矛盾越来越突出,农民设有为量可分散的农民与社会化的大市场的矛盾越来越突出,农组织会下,有待冲破多重制约的重要时期,面临着历史遗留的一个相互分割、自成体系有余多样的农业经济合作组织局面。在大力推进农业产业化经营的进程中,全组织的运行机制和职能发生了深刻变化,供销社和信用社在试图恢复其原有组织,如何改造传统农业经济合作组织资源,以满足市场农业发展的需要显得中分迫切。本书正是基于这一形势,对我国农业经济合作组织进行研究,主要研究框架如下:

第二章,农业经济合作组织的相关理论。在界定合作和农业经济合作组织

的基础上,主要论述了产业组织理论、农业经营制度变迁理论、农业产业化经营理论、农业股份合作理论、农户交易费用理论和农民集体行动理论,为研究农业经济合作组织发展问题奠定了理论基础。本书认为,研究现行农业经济合作组织不能单纯局限于原有农业合作理论的框架内,而应随着客观条件(如社会主义市场经济体制的逐步建立、农业产业化经营以及合作社制度的变迁)的变化,顺应产业融合的发展趋势,与时俱进,广泛吸纳现代企业的相关理论(如委托代理理论、交易费用理论、博弈论与信息经济学等),研究和探索新形势下农业经济合作组织的发展问题。

第三章,农业经济合作组织的历史变迁及评价。总的思路是以我国在生产、销售和信用等不同领域的农业合作组织的历史变迁为主线,按照时间序列分别进行研究。在农业生产合作组织的变迁中,首先研究了民国时期和新民主主义革命时期的互助合作组织(主要包括中央苏区和陕甘宁边区的互助合作组织);其次研究了社会主义革命时期的农业合作组织(主要包括初级社、高级社以及人民公社);最后研究了改革开放后农业双层经营体制中的社区集体经济组织和农户家庭经营组织。在农业供销合作组织的变迁中,首先研究了农村供销合作社变革的曲折历程及其评价;其次研究了"公司+农户"组织模式的提出及其发展;最后研究了农民专业合作经济组织的形成与发展。在农村信用合作组织的变迁中,以农信社变迁为主线,研究了其发展的不同阶段,并进行了评价。

第四章、新型农业经济合作组织的发展。新型农业经济合作组织主要包括 从事农业产业化经营的公司、农民专业合作经济组织和社区合作经济组织等。 ①系统论述了新型农业经济合作组织发展现状及其存在的问题。②对新型农业 经济合作组织的形成进行了博弈分析。结论是,在个人理性的驱动下,多人长 期相处于一个组织,经过多次反复的长期博弈,不合作行为必然遭到"惩罚", 这种"惩罚"逐渐演变成戒律、伦理道德、风俗、习惯、家法(宗法)、村规 民约等非正式组织, 最终形成农业经济合作组织。③对农业合作社组织的生命 力进行了分析。结论是,农业合作社是现代企业制度的一种重要形式,在组织 制度上有利有弊。一般来讲,农业合作社的优势在于将部分市场关系内部化, 形成了互惠互利机制、减少了中间环节、节省了中介成本、争得了公平竞争的 机会,获得了平均利润,能合理分享增值和交易利益,对于农民来说更为便 捷。但与其他组织相比,其组织缺陷主要表现在管理人员缺乏激励、监督成本 过高、决策效率过低、资本筹措能力不足等方面。④针对现行各类微观农业经 济合作组织参与农业产业化经营的不同方式,本书从组织与农户的关系出发, 系统研究了市场交易型、互惠契约型、公司+合作社(协会)+农户、公司+ 大户+农户、出资参股型、返租倒包型和企业组织模式等各自的优缺点,并从 定性和定量两方面对各类微观农业经济合作组织的组织绩效进行了评价,为各地根据区域特色选择农业产业化经营模式提供了理论依据。⑤在充分借鉴传统合作社制度基本原则的基础上,结合我国的实际情况,本书提出了我国在市场经济条件下发展农业合作组织的市场导向原则、自成体系原则、自愿互利原则、资金筹措上实行股份合作原则、企业化经营原则、民主管理原则、义务培训原则和关心组织原则等 8 项基本原则。⑥在论述发展新型农业经济合作组织的指导思想的基础上,一是提出了"公司+农户"模式和农民专业合作经济组织的发展趋势;二是提出了社区合作经济组织的股份合作制改革,并对其改革的思路、可行性、方法以及组织运行等进行了专门研究。

第五章,传统农业经济合作组织的改革。传统农业经济合作组织主要包括农村供销合作社和信用合作社。①阐述了传统农业经济合作组织发展现状;②提出了传统农业经济合作组织发展中存在的问题。农村供销合作社现存问题是体制不顺;亏损和历史挂账沉重;兴办的专业合作社规模过小;人才严重缺乏;企业办社会,离退休人员包袱重,人浮于事等。农村信用合作社现存问题是组织产权不清、法人治理结构名不副实、资金外流严重、经营风险大、结算困难、政策性业务与政策性补偿不对称、历史包袱沉重、人员素质低等。③在论述供销社参与农业产业化经营的组织形式的基础上,提出了农村信用合作社的区域差别改革思路,即根据各社的不同情况,在发达地区可改为股份制;在较发达地区可改为股份合作制;在不发达地区可改为合作制。另外,对农村信用合作社改革的内部制度建设进行了专门研究。

第六章,微观多元化农业经济合作组织的协调发展。①通过对农业经济合作组织发展的专业性农业经济合作组织模式、社区合作经济组织模式以及供销合作社组织模式的研究,认为,我国近中期微观农业经济组织的发展宜采取多元化的组织模式,即现阶段没有必要限定我国农村合作经济的主体模式,要展现农村的社会经济实际状况出发,只要遵循有利于推进农村的改革与发展组实形式均应加以鼓励和扶持。②提出了微观多元化农业经济合作组织的企业经营规模,优化配置农业资源,最终实现人民公社制——家庭承包制——股份合作公司的嬗变,才是我国农业现代化的必由之路。从地域上看,发展趋势是从沿海农村——由农村——西部农村逐渐推进;从内涵上看,趋势是从农村——这农村——贫困农村逐渐推进。③提出了在微观多元化农业经济合作组织发展中的农户家庭经营的外延创新和内涵创新。④在研究微观农业经济合

作组织发展规律的基础上,提出了我国微观多元化农业经济合作组织协调发展 的基本思路和运行模式。

第七章,农业经济合作组织体系的构建。①在论述建立我国农业经济合作组织体系必要性的基础上,结合从事农业生产、销售和融资等领域微观经济组织的现实情况,认为,我国应首先在农业产销领域和农村信用领域分别逐步建立农业产销合作经济组织体系和农村信用合作经济组织体系。②通过借鉴电农协组织系统和澳大利亚的农民联合会组织系统的基本经验,构建了我国农村合作经济组织体系,并就有农场确定(农组)、组织体系的设置、构建方式、构建步骤以及保障机制进行了专门研究。③在论述建立农村信用会工、构建了从中央到地方建立层层独立核算、多层经营、自下而上控股的农村信用。每年银行组织体系,并就各级银行的职责及关系、体系的运行、风险防范、审计及核算机制以及它与中央银行、政府和财政部门之间的关系进行了专门研究。

第八章,农业经济合作组织体系的发展。主要研究了农业产销合作经济组织体系和农村信用合作经济组织体系两个系统的发展问题。①在充分借鉴日本、澳大利亚两国农业经济合作组织体系的发展趋势的基础上,结合我国家际,提出我国农业产销合作经济组织体系的发展趋势是,在初始阶段,随强的支持力度的加大,微观农业经济合作组织体系的发展趋势是,在初始阶段,随强,农业产销合作经济组织体系将会大力发展。同时,各级农业产销合作经济组织体系将会大力发展。同时,各级农业产销合作经济组织体系社大到一定程度后,有可能将农村信用合作银行系统转到一定程度后,有可能将农村信用合作银行系统转信用合作银行系统长期并存。②在充分借鉴国外合作金融组织体系发展的基础上,结合我国实际,提出我国农村信用合作组织体系的发展趋势是,合作金融机构在规模扩大、业务多样化以及管理组织体系的发展趋势是,合作金融机构在规模扩大、业务多样化以及管理组织体系的发展趋力。其原有的合作性质会的于淡化或相对淡化,风险控制和经营效率得到基本的制度和管理保障,自身治理结构日益成熟和改善。

第九章,发展农业经济合作组织的保障机制。①提出政府应加快对农业经济合作组织的立法工作,制定有关促进农业经济合作组织发展的优惠政策,制定促进农业经济合作组织发展的配套政策等措施。②基于目前农村富余劳动力转移中面临的困难,提出加速以第三产业为主的多元城镇化建设、加快乡镇企业发展、继续加大基础设施建设、生态环境综合治理、积极拓宽国外劳动力转移载体和加强劳动力就业培训等措施。③通过分析我国农业企业家成长的制约因素,提出了逐步建立经理市场、规范企业家的行为、形成科学超前的导向机

制、建立体现效率优先的分配机制、增加农业企业家人力资本的投入等措施。 ④通过分析现存农地流转的形式及问题,提出了创立农地市场主体、健全农地市场结构、完善农地市场的制度建设、加强农村土地市场的法制建设、加强政府对农地市场宏观调控和管理力度等措施。 ⑤提出端正农民对合作经济的认识;普及市场经济基本知识,增强农民的市场观念和风险意识;倡导科技下乡,培养农业技术员,实行绿色认证制度,提高农民的文化科技素质等三项措施。

Abstract

The farmer household contract responsibility system has formed the micro-organization of rural economy in China. After 1990s, a series of reforms push rapidly the farmer to the market, which includes the formal establishment of the socialism market economy in the 14th congress of CPC and the sentry into the WTO. The contradiction between the small farmers with the market is obvious. At present, the new-style agricultural economic cooperative organizations (SAECO) are emerging continuously, and the traditional agricultural economic cooperative organizations (TAECO) faces enormous challenge during the course of agriculture industrialization. How to organize the small scale and scattered operating farmers into the existing agricultural economic cooperative organization (AECO) to take part in the intense competition of the international market has become a problem which needs to be solved immediately. Based on these situations, the study on the development of Agricultural Economic Cooperative Organization (AECO) in China is chosen. The framework of the thesis is as follows:

Chapter 1. Introduction

Based on the background of perfecting the socialism market economy system, pushing vigorously forward the agriculture industrialization and building completely the well-off society, the purpose and meanings of the research have been introduced firstly. Then the research scope has been limited and the relevant research trends in the domestic and outer has been summarized and evaluated. At last, the research thoughts, methods and creative ideas have been discussed.

Chapter 2. The Relevant Theories to AECO

Based on the conception of cooperation and AECO, the theories of industrial organization, agricultural institutional change, agriculture industrialization, agricultural share-cooperation, farmer transaction cost and farmer collective action are discussed, which provide the firm theoretical base for the research. The article deems that the research on the issue of the AECO and its development couldn't be confined simply the existed theories of agricultural cooperation, and should be combined with the relevant theories of modern enterprise with the objective condition

changing, which have the directive meanings to the research.

Chapter 3. The Historical Change and Evaluation to AECO

The research is carried out according to the main line of the historical vicissitudes to AECO in the fields of production, marketing and credit. In the historical vicissitudes to AECO in the fields of production, first, the Mutual Cooperative Organization (MCO) is discussed, which includes the MCO in the Su district and Shan-gan-ning border areas of central authorities. Then the agricultural cooperative organization in the period of Socialism Revolution is studied, which includes the elementary cooperative, advanced cooperative and people commune. Finally, the rural double-deck management system is probed. In the historical vicissitudes to AECO in the fields of marketing, primarily the transformation course of rural supply and marketing cooperative is researched and evaluated. Then the model of "company + farmer" is estimated. At last, the farmer specialty cooperative economy organization is discussed. In the historical vicissitudes to AECO in the fields of credit, the different phases of the rural credit cooperatives is discussed and appraised.

Chapter 4. The Development of the New-style AECO

The New-style AECO includes the agriculture enterprise, the organization of farmer specialty cooperative economy as well as community collective economy. ① The paper discusses the present situation and existed issues of the New-style AE-CO. The formation of the New-style AECO is analyzed by the methodology of game theory. The conclusion is that many farmers could form the AECO finally, if they mix long-term in an organization at the drive of individual ration and undergo the repetitious game. Otherwise, the non-cooperative action must be punished, and the punishment can evolve into the informal organization such as commandment, ethics, habits and customs, domestic discipline, village's rule and regulation, etc. 3The vitality of AECO is analysed. The conclusion is that the agricultural cooperation is an important style of modern enterprise system, and its organizational system has some advantages as well as disadvantages. According to the different modes by which the existing microcosmic AECO participate in the agricultural Industrialization, the thesis studies the advantages and disadvantages of the market bargaining model, reciprocal contract model, "company + cooperatives (association) + farmer" model, "company + large farmer + farmer" model, evaluates the performance of the existing micro AECO by the qualitative and quantitative analysis, which provides the theoretical basis for choosing the model in the

light of regional characteristic economy development. ⑤Based on analyzing the basic principles of traditional cooperative system and combining with reality, the research puts forward the new basic principles of developing the AECO on condition of market economy in China, which includes the market guidance principle, system principle, voluntary cooperation principle, share-cooperation principle, enterprise operation principle, democratic management principle, voluntary training principle and caring about the organization principle. ⑥By analyzing the guidance thought of developing the new-style AECO, the thesis advances the development trends of the "company + farmer" model and the farmer specialty cooperative economy organization, and puts forward the share-cooperation innovation to the community cooperative economy organization, and studies specially its thoughts, feasibility, methods and organization operation.

Chapter 5. The Innovation of the Traditional AECO

The traditional AECO includes mainly rural supply and marketing cooperatives and credit unions. ①The current situations of traditional AECO are expounded. ② The existing problems of traditional AECO are advanced. ③Based on analyzing the organization styles of the rural supply and marketing cooperatives participating in the agricultural industrialization, the thesis puts forward the thoughts of diversified innovation. ④By analyzing the market position of rural credit union, its reform project is brought forward. According to the realities of every rural credit union, the stock system is taken in developed areas, the share-cooperative system taken in less developed areas, and the cooperative system taken in underdeveloped areas. In addition, the paper researches specially how to build the inner systems of country credit union.

Chapter 6. The Coordinated Development of the Micro-diversified AECO

For most of the existing AECOs, it is important to promote these styles of AECO at the same time or choose one as a main style during their development. The author deems that the thoughts of the coordinated development of the micro-diversified AECO should be persisted in. ①Compared with the developing model of the farmer specialty cooperative economy organization, of the community cooperative economy organization, and of country supply and marketing cooperative, the author deems that it is unnecessary to limit the main model of promoting AECO development and essential to take the micro-diversified developing model of AECO. All kinds of AECO should be encouraged and supported, which comes from the so-

cial economy reality, accords with the demands of rural reform and farmer's wish, and enhances the farmer's income. ②The enterprise operation of micro-diversified AECO is put forward. The author deems that the path of actualizing the agricultural modernization in China is to set up the share cooperative company on the basis of the farmhouse operation, enlarge the operating scale, optimize the agricultural resources, and complement the transformation from people commune to the farmer household contract responsibility system to the share-cooperative company. Its regional developing trend is from the coastal developed areas to the middle less developed areas to the western underdeveloped areas. ③The thesis advances the extensive and intensive innovation of the farmer household operation in developing the micro-diversified AECO. ④ Based on discussing the regularity in developing the micro-diversified AECO, its basic thoughts and operational model is put forward.

Chapter 7. The Construction of the Agricultural Economic Cooperative Organization System (AECOs)

How to build the AECOs? First, based on analyzing the necessity of constructing the AECOs and combining with the reality of the micro-organization, the author deems that the AECOs engaged in the fields of agricultural production and marketing and engaged in the fields of financing should be constructed respectively gradually. Then, used the experiences of farmer association system in Korea and Australia for reference, the agricultural production and marketing cooperative economic organization system (APSCEOs) in China is built. In addition, the thesis studies specially its name (farmer-organization), setting methods and procedures, and ensured mechanism. Finally, based on analyzing the necessity and the different models of constructing the AECOs in the fields of financing in the world, the agricultural credit cooperative economic organization system (ACCEOs) in China is put forward, which is independent accounting, autonomous operation, bottom-upholding, and from center to region. In addition, the duty and relationship at different levels in operative banks system, system operation, the measures of the risk protection, the mechanism of audit and accounting are researched specially.

Chapter 8. The Development of the AECOs

Used the experiences of farmer association system in the world for reference, the author deems that the development trend of APSCEOs is that its scale and capital strength will boost up at the beginning with the strengthening of government support. Later, micro-APSCEOs will buy a share of the ACCEOs at same level.

After the former has capital strength, the later may be a part of it or they may exist at the same time in long-term development. The development trends of ACCEOs are that its scale will be enlarged, operation diversified, the cooperative nature weakened comparatively, and governing structure improved.

Chapter 9. The Ensured Mechanism for Promoting the AECO Development

It is essential to ensure the accomplishment of the reform. The government should strength the legislation to the AECO, establish preferential policies and other corresponding measures for promoting the AECO's development. ②Facing the problems in transferring rural surplus labors, the thesis puts forward the suggestions to build the diversified small towns and towns and village enterprise, increase the investment on rural infrastructures and environment, transfer the rural surplus labors to foreign labor market, and intensify the employee's training, etc. ③By analyzing the restricting factors of the agricultural enterpriser's development, the thesis has put forward some measures to establish the enterpriser market, manage the enterpriser behavior, form the scientific guidance mechanism, erect the preferential distribution system which embodies the efficiency as well as increase the investment on manpower capital, etc. (1) By analyzing the styles and problems on rural land transition, the measures are brought forward to erect the main body on rural land market, adjust the rural land structure, strengthen the rules of law and governing power on rural land market. 5 Investing vigorously on the manpower capital and cultivating the modern farmer.

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