



中南财经政法大学
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总 序

一个没有思想活动和缺乏学术氛围的大学校园，哪怕它在物质上再美丽、再现代，在精神上也是荒凉和贫瘠的。欧洲历史上最早的大学就是源于学术。大学与学术的关联不仅体现在字面上，更重要的是，思想与学术，可谓大学的生命力与活力之源。

中南财经政法大学是一所学术气氛浓郁的财经政法类高等学府。范文澜、嵇文甫、潘梓年、马哲民等一代学术宗师播撒的学术火种，五十多年来一代代薪火相传。世纪之交，在合并组建新校而揭开学校发展新的历史篇章的时候，学校确立了“学术兴校，科研强校”的发展战略。这不仅是对学校五十多年学术文化与学术传统的历史性传承，而且是谱写 21 世纪学校发展新篇章的战略手笔。

“学术兴校，科研强校”的“兴”与“强”，是奋斗目标，更是奋斗过程。我们是目的论与过程论的统一论者。我们将对宏伟目标的追求过程寓于脚踏实地的奋斗过程之中。由学校斥资资助出版《中南财经政法大学青年学术文库》，就是学校采取的具体举措之一。

本文库的指导思想或学术旨趣，首先在于推出学术精品。通过资助出版学术精品，形成精品学术成果的园地，培育精品意识和精品氛围，以提高学术成果的质量和水平，为繁荣国家财经、政法、管理以及人文科学研究，解决党和国家面临的重大经济、社会问题，作出我校应有的贡献。其次，培养学术队伍，特别是通过对一批处在“成长期”的中青年学术骨干的成果予以资助推出，促进学术梯队的建设，提高学术队伍的实力与水平。再次，培育学术特色。通过资助出版在学术思想、学术方法以及学术见解等方面有独到和创新之处的科研成果，培育科研特色，以形成有我校特色的学术流派与学术思想体系。因此，本文库重点面向中青年，重点面

向精品，重点面向原创性学术专著。

春华秋实。让我们共同来精心耕种文库这块学术园地，让学术果实挂满枝头，让思想之花满园飘香。



2009 年 10 月

Preface

A university campus, if it holds no intellectual activities or possesses no academic atmosphere, no matter how physically beautiful or modern it is, it would be spiritually desolate and barren. In fact, the earliest historical European universities started from academic learning. The relationship between a university and the academic learning cannot just be interpreted literally, but more importantly, it should be set on the ideas and academic learning which are the so – called sources of the energy and vitality of all universities.

Zhongnan University of Economics and Law is a high education institution which enjoys rich academic atmosphere. Having the academic germs seeded by such great masters as Fanwenlan, Jiwenfu, Panzinian and Mazhemin, generations of scholars and students in this university have been sharing the favorable academic atmosphere and making their own contributions to it, especially during the past fifty – five years. As a result, at the beginning of the new century when a new historical new page is turned over with the combination of Zhongnan University of Finance and Economics and Zhongnan University of Politics and Law, the newly established university has set its developing strategy as “Making the University Prosperous with academic learning; Strengthening the University with scientific research”, which is not only a historical inheritance of more than fifty years of academic culture and tradition, but also a strategic decision which is to lift our university onto a higher developing stage in the 21st century.

Our ultimate goal is to make the university prosperous and strong, even through our struggling process, in a greater sense. We tend to unify the destination and the process as to combine the pursuing process of our magnificent goal with the practical struggling process. The youth's Academic Library of Zhongnan University of Economics and Law, funded by the university, is one of our specific

measures.

The guideline or academic theme of this Library lies first at promoting the publishing of selected academic works. By funding them, an academic garden with high – quality fruits can come into being. We should also make great efforts to form the awareness and atmosphere of selected works and improve the quality and standard of our academic productions, so as to make our own contributions in developing such fields as finance, economics, politics, law and literate humanity, as well as in working out solutions for major economic and social problems facing our country and the Communist Party. Secondly, our aim is to form some academic teams, especially through funding the publishing of works of the middle – aged and young academic cadreman, to boost the construction of academic teams and enhance the strength and standard of our academic groups. Thirdly, we aim at making a specific academic field of our university. By funding those academic fruits which have some original or innovative points in their ideas, methods and views, we expect to engender our own characteristic in scientific research. Our final goal is to form an academic school and establish an academic idea system of our university through our efforts. Thus, this Library makes great emphases particularly on the middle – aged and young people, selected works, and original academic monographs.

Sowing seeds in the spring will lead to a prospective harvest in the autumn. Thus, let us get together to cultivate this academic garden and make it be opulent with academic fruits and intellectual flowers.

Wu Handong

摘 要

生态资本是一种十分重要的资本形态,更是经济社会可持续发展的基础资本。然而,人类对生态资本的需求已经超出了地球生态系统承载力的50%。要确保地球能可持续发展,支撑2050年全球人口突破90亿的预期需求,必须找到合理的解决方案,增加对生态资本保护的投入。因此,要实现经济社会的可持续发展,必须重视生态资源节约利用和生态环境建设,建立健全区域生态资本运营机制,实现生态资本的良性运营,维持区域生态资本存量的非减性。这是建设资源节约型、环境友好型、人口均衡型、区域协调型社会的前提条件和重要基础。由于各位学者的研究视角和方法各异,对如何加强区域生态资本运营及其管理,提高区域生态资本运营质量,保持区域生态资本存量的非减性等方面的研究成果比较鲜见。中国要完全实现向“C模式”转型,既面临区域差距不断拉大的现实,又面临经济加快发展与资源环境约束的双重压力,如何选择一条协调区域发展和保护生态环境“双赢”的可持续道路,不断增加国家的绿色财富,是一个重要而紧迫的现实问题。

本研究采用文献回顾与社会调查相结合、定性分析与定量分析相结合、系统分析与案例分析相结合等多种方法,以生态资本理论、资本运营理论、产权理论、外部性理论、公共物品理论、“熵”理论、区域经济发展理论和委托—代理理论等为基础,以生态资本运营的国内外实践为前提,分析探讨区域生态资本运营机制问题。在深入分析影响区域生态资本运营机制构建的障碍因素与成因,以及区域生态资本运营机制构建的必要性与可能性的基础上,构建“市场—政府—社会”三种力量相互制衡、协调发展的区域生态资本运营机制框架体系,并以典型区域为例,对区域生态资本运营机制构建进行实践探索与案例分析。本研究主要包括:

绪论。在绪论部分,交代了选题的背景和研究的理论与现实意义;考察国内外与本选题有关的研究动态,对相关文献和研究成果进行了回顾与

述评；陈述研究的技术路线和研究中采用的基本方法；介绍本书框架和可能的创新点，指出有待进一步深入研究的问题。

第一章 核心概念与理论基础。本章对区域、生态资本运营、生态资本运营机制等核心概念加以界定，阐明了本研究的理论基础，以及区域外部性与生态资本运营的关系。

第二章 区域生态资本运营机制的分析框架。本章指明了区域生态资本运营机制构建的必要性和可能性，并对区域生态资本运营机制构建的障碍因素及其成因进行了剖析，构建了区域生态资本运营机制的框架体系，具体包括区域生态资本运营的积累机制、转换机制、补偿机制与激励机制。

第三章 区域生态资本运营的积累机制。本章从生态学基本原理出发，阐明了要维持经济社会的可持续发展，就要增加生态系统中生态资本的存量，不断积累生态资本，尤其是要保护好重要生态功能区的生态资本存量，完善相应机制与政策，采取多种途径和措施，保持人们赖以生存的生态资本存量的非减性和增值性，并以浙江省为例，探讨了省域生态资本积累机制实践所取得的成效和经验。

第四章 区域生态资本运营的转换机制。本章分析了生态资源向生态资本顺利转换的一般原理和过程，指出了区域生态资本运营的价值取向，重点对生态资源向生态资本转换的产权和价格因素进行了深入分析，构建了生态资本价值评估方法和定价模型，以湖北省水资源资本化运营为对象进行案例分析。

第五章 区域生态资本运营的补偿机制。本章从外部性和区域生态利益“外溢”的角度出发，就如何协调区域间生态建设者与受益者的现实矛盾，平衡生态建设者的投入和收益，充分调动生态建设者的积极性进行了详细分析，得出了区域生态资本运营补偿机制的运行过程和原理，构建了区域生态补偿机制和政策体系，对鄂西生态文化旅游圈生态补偿机制的总体框架、重点领域、核心问题与平台建设进行了探讨。

第六章 区域生态资本运营的激励机制。本章以实地调研数据为依据，从政府态度、企业认知与公众意识三个角度分析了区域生态资本运营激励机制的作用原理，从委托—代理的视角对区域生态资本运营的激励机制进行了设计，提出了区域生态资本运营激励的政策措施和制度安排，以湖北省恩施土家族苗族自治州为例，对区域生态资本运营激励机制构建进

行案例分析。

研究结论与展望。阐述基于前面的综合研究所得出的基本结论,即稀缺模式的转变要求进行生态资本运营,“区域协调、生态和谐”的目标要求推进区域生态资本运营,生态资本运营需要政府、市场、社会三种力量的制衡,区域生态资本运营机制的健全需要建立完整的框架体系;对生态资本运营绩效管理、生态资本运营风险防范与管理、生态资本运营组织体系及相关实证研究是后续研究的努力方向。

本研究在充分借鉴国内外关于生态资本运营理论研究与实践探索成果的基础上,对区域生态资本运营机制及其相关问题进行了有益探讨,可能的创新点,包括:

一是将生态资本运营及其机制构建问题,放在区域层面进行研究,是一个比较新的视角。从相关研究的广度上看,企业层面的生态资本运营研究主要是通过案例分析进行途径和措施总结;产业层面的生态资本运营研究开始探索模式构建与制度设计问题;而区域层面的生态资本运营研究更多地还停留在理念宣导和机理初探层次。概括起来,生态资本运营进一步深入研究的趋势是结合特定区域和具体产业探索总结各自领域中关键生态资本运营的制度设计。因此,本研究将区域定位在行政区划的基础上,并以生态功能区划和主体功能区划为指导来进行区域生态资本运营机制研究,具有一定的实践和理论创新性。

二是从“市场失灵”“政府失效”“社会失调”多角度分析了区域生态资本运营机制构建的障碍因素与成因,构建了市场、政府与社会力量三者制衡并协调发展的区域生态资本运营机制框架体系。具体包括区域生态资本运营的积累机制、转换机制、补偿机制和激励机制,其中,“积累机制”和“转换机制”是区域生态资本运营的内部机制,“补偿机制”和“激励机制”是区域生态资本运营的外部机制。

三是在区域生态资本运营转换机制分析中,提出了区域生态资本运营的一般原理和步骤。生态资本运营的第一步是生态资源转化为生态资产,这一步是由生态资源的使用价值与稀缺性决定的;生态资本运营的第二步是生态资产作为生产要素投入而形成生态资本,是在生态投资与产权界定的共同作用下形成的;生态资本运营的第三步是通过生态资本形态的转变生产出生态产品(或生态服务),生态技术在这一过程起着决定作用;生态资本运营的第四步是生态产品(或生态服务)通过生态市场的生态消费

与交易实现其交换价值,这是生态资本运营的最终结果,即实现生态资本价值的货币化。在此基础上,将所获得的生态收益中的一部分以实物、技术、资金和劳动力等形式再投入到区域生态环境保护与建设中,不断增加区域生态资本存量,从而实现区域生态资本运营的良性循环。

虽然本研究有所创新,但还存在某些局限性,尚有需要进一步深入研究的问题:

一是本研究选取“区域”视角对生态资本运营及其机制构建问题进行研究,虽有一定创新性,但角度较为单一。在生态资本运营的理论研究方面,较浅程度的研究侧重于分析生态资本运营与环境保护、资源节约、经济增长的关系;较深程度的研究侧重于探讨生态资本运营与调整产业结构、转变增长方式的关系;更深层次的研究则倾向于探讨生态资本运营对生态伦理价值体系构建、生态文明社会建设的推动作用。因此,在后续理论研究中,应根据研究需要和实际情况,从多角度、多层次探讨区域生态资本运营及其相关问题。

二是本研究比较侧重于定性分析,定量分析略显不足。在后续研究中,应加强对生态资本及其运营的定量分析,如对区域生态资本的“外溢”效应分析、区域生态资本的存量与增量剖析、区域生态资本运营与经济增长的关系分析、生态资本的价值计量和生态补偿标准的确定等问题,都需要运用定量的方法从微观层面进行研究,以得出更可靠的结论。

三是本研究基本上是从中观层面探讨区域生态资本运营机制问题,而生态资本运营研究也需要从宏观层面对生态资本运营的管理模式与政策取向,进行全面系统的研究,尤其要加强生态资本运营的风险管理研究,判定和识别生态资本运营的潜在风险,测度生态资本运营风险的损益程度,尝试确定生态资本运营的最低安全标准,实证分析区域生态资本运营风险管理成效,进而提出生态资本运营风险管理工作思路与方略。这也是完善生态资本运营理论的迫切需要和后续研究的努力方向。

关键词: 区域 生态资本 运营机制

Abstract

Ecological capital is one important capital form, which is a basic capital for sustainable development of economy and society in the future. However, ecological capital demand has exceeded 50% over the carrying capacity of our earth. We must find a reasonable solution to increase the investment in protecting ecological capital in order to ensure the sustainable development and support over 9 billion population in 2050. Therefore, we must attach importance to use ecological resources, construct ecological environment, build sound operational mechanism of regional ecological capital operation, implement benign operation and maintain non-reduce of regional ecological capital stock to realise sustainable development of economy and society. This is the prerequisite for building a society that is resource thrift, environment friendly, population balancing and regional coordination. Because scholars have different research aspects and ways on this topic, the results of how to strengthen regional ecological capital operation, boost the quality of regional ecological capital operation, maintain the stock of regional ecological capital has not yet appeared. China is facing the growing gap among regions and dual pressure caused by the contradiction between economic development and environmental constraint. In order to realise the "C pattern" and increase green wealth of our country, it is an urgent and realistic issue to choose a "win-win" sustainable roads which requires coordinating regional development and environment protection.

This research focuses on the mechanism of regional ecological capital operation. It mainly uses synthetical methods of literature and social survey, qualitative and quantitative analysis, system research and case studying. The basic theories of this research include theory of ecological capital, theory of capital operation, theory of property rights, theory of externality, theory of public goods, theory of

regional economic development and theory of principal-agent, and so on. And it takes practise of ecological capital operation both at home and abroad as a precondition to analyse the mechanism of regional ecological capital operation. After analysing the barriers and its causes, necessities and possibilities of constructing the mechanism of regional ecological capital operation, this research builds the framework of the mechanism of regional ecological capital operation composing by "Market-Government-Society" which are balancing and coordinated development each other. And then, it does practise and case analysis on typical areas. The main contents of this research include:

Introduction. Firstly, the introduction explains the background and theoretical as well as practical significance of this topic. Secondly, it reviews the trends of this topic at home and abroad and comments on relevant literature and research. Thirdly, it describes the research techniques and basic methods of this research, introduces its framework, innovations and problems which need to be researched deeperly.

Chapter I, Core concepts and theoretical basis. This chapter defines concepts of region, ecological capital operation and the mechanism of ecological capital operation. And then it clarifys the theoretical basis of this research, the relationship between regional externalities and ecological capital operation.

Chapter II, Analytical framework of the mechanism of regional ecological operation. This chapter analyses the barriers and its causes of constructing mechanism of regional ecological capital operation, and points out the necessities and possibilities of building the mechanism of regional ecological capital operation. Then it builds the framework of the mechanism of regional ecological operation which includes accumulation mechanism, conversion mechanism, compensation mechanism and incentive mechanism.

Chapter III, Accumulation mechanism of regional ecological capital operation. From the angle of the basic principles of ecology, it needs to increase the stock of ecological capital in ecological system, especially to protect the ecological capital stock in the important ecological areas to maintain the sustainable development of economy and society. So it needs to improve relevant mechanisms and policies, and take ways and measures to maintain the proliferation of ecologi-

cal capital stock. At last, this chapter takes Zhejiang Province as an example to study the results and experience of accumulation mechanism of regional ecological capital operation.

Chapter IV, Conversion mechanism of regional ecological operation. This chapter analyses the general principle and transition of ecological resources to ecological capital, and points out the values of capital operation. Then it analyses deeply the property and price in the process of transition of ecological resources to ecological capital. And it builds assessment methods and pricing models of ecological capital. At last, this chapter takes the operation of water resources to water capital in Hubei province as an case study.

Chapter V, Compensation mechanism of regional ecological capital operation. From the perspective of external and ecological benefits "spillover", this chapter analyses how to coordinate the contradiction between regional eco-builders and beneficiaries, and balance inputs and benefits of eco-builders to mobilize the enthusiasm of eco-builders. And then it obtains the process and principles of regional compensation mechanism, and builds compensation mechanism and policy system. At last, this chapter focuses on the overall framework, core issues and platform construction of ecological compensation mechanism in the zone of ecological and cultural tourism in western Hubei.

Chapter VI, Incentive mechanism of regional ecological capital. Basing on actual research, this chapter analyses the operation principle of regional ecological capital operation from the aspects of government, enterprises and public awareness. From the agency aspect, it designs the incentive mechanism and proposes policies and institutional arrangements of incentive mechanism of regional ecological capital. At last, this chapter researches on building incentive mechanism of regional ecological capital taking Enshi Autonomous Prefecture of Tujia and Miao in Hubei Province as an example.

Conclusions and research prospects. Basing on the previous research, this chapter explains the basic conclusions as follow: Changing the pattern of scarcity requires ecological capital operation. The objective of "regional coordination and ecological harmony" requires promoting regional ecological capital operation. Ecological capital operation needs to balance the power among government,

market and society. The integrity of mechanism of regional ecological capital operation needs to establish a complete framework. Performance management, risk prevention, organization system and related empirical research of ecological capital operation is the direction of researching in the future.

Basing on the theory and practice of ecological capital operation, this research discusses the mechanism of regional ecological capital operation and relevant issues. Its possible innovations include:

Firstly, it is a relative new perspective to research ecological capital operation and its mechanism constructing from the regional level. Looking at the breadth of researches at present, researches on ecological capital operation from the enterprise level mainly summarizes ways and measures through cases studying, researches on ecological capital operation from the industry level begins to build mode and design system, researches on ecological capital operation from the regional level mainly stays on the level of advocacy and concept. To sum up, the trend of research on ecological capital operation is system designing combining with specific areas and industry. Therefore, locating region on the basis of administrative divisions, this research studies the mechanism of regional ecological capital operation guided by ecological function and certain practical. This is perhaps a practical and theoretical innovation.

Secondly, from multi-angle of “market failure”, “government failure” and “social deficit”, this research analyses the barriers and its causes of constructing the mechanism of regional ecological capital operation. It builds a system of regional ecological capital institution which balances the force of market, government and publics. This system includes accumulation mechanism, conversion mechanism, compensation mechanism and incentive mechanism. Accumulation mechanism and conversion mechanism are the internal mechanism of ecological capital operation, compensation mechanism and incentive mechanism are the external mechanisms of ecological capital operation.

Thirdly, it puts forward the general principle and process of regional ecological capital operation. The first step of ecological capital operation is transferring ecological resources to ecological capital, which is decided by the value and scarcity of ecological resources. The second step is turning ecological assets into eco-

logical capital, which is formed by the joint action of ecological investment and property definition. The third step is producing eco-product through changing the form of ecological capital, which is decided by ecological technology. The forth step is realising eco-product's value through dealing in ecological market, which is the result of ecological capital operation. Basing on that, to increase regional ecological capital stock, it is need to put some ecological result as the form of preacticality, technology, capital and labor into the protection and construction of regional ecological environment. This can achieve a virtuous circle of regional ecological capital operation.

Although this research has some innovations, there are still some limitations which need study further:

Firstly, Selecting "regional" as the perspective to study ecological capital operation is just a single point of view. In theory, a shallow research is focusing on the relationship among environmental protection, resources conservation, economic growth and ecological capital operation. A deep research is focusing on the relationship between industrial structure, growth ways and ecological capital operation. A deeper research tends to explore the constructing of ecological ethics and civilized society which is forced by ecological capital operation. Therefore, it needs to research regional ecological capital operation from multiple perspectives in subsequent theoretical studies.

Secondly, this research places more weight on qualitative analysis than quantitative analysis. Some issues need to be strengthened through quantitative analysis in the following study, such as, the regional "spillover" effect of ecological capital, stock and incremental analysis of regional ecological capital, relationship between regional ecological capital operation and economic growth, measurement of ecological capital value and determination of ecological compensation, and so on.

Thirdly, this research discusses regional ecological capital operation mainly from the middle view. But it also needs to research management and policy of ecological capital operation from the macroscopic view to do a comprehensive research. Especially it needs to strengthen risk management of ecological capital operation. This aspect includes identifying potential risk, measuring safety standards,