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中国农村地区的家庭禀赋 与迁移劳动力回流

石智雷 著

中国社会科学出版社



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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。

本书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，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成果，培育科研特色，力争通过努力，形成有我校特色的学术流派与学术思想体系。因此，本书库重点面向中青年，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 Fan Wenlan, Ji Wenfu, Pan Zinian and Ma Zhemin, 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 specif-

ic 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

前 言

劳动力流动是工业化和非农化过程中资源优化配置的必然结果，也是每个国家城镇化、现代化的重要推动力量。改革开放后，在外向型经济的带动下，中国大量劳动力在城乡间和地区间流动，不仅促进了城市化进程，也为新农村建设提供了新的契机。但是，中国农村劳动力城市迁移30多年来并没像西方国家经验那样，大量外来人口融入城市社会，成为新的市民。明显迥异于世界上其他国家的人口城市化过程，中国农村进城人口的“半城市化”状态和“往复式循环流动”已成为一种普遍的现象，迁移劳动力的市民化进程缓慢，中国的城市化进程明显滞后于工业化。进入21世纪，中国城乡收入差距持续扩大，在“民工潮”未退，政府仍在为如何消化农村大量剩余劳动力而绞尽脑汁的同时，大批迁移劳动力开始离城返乡，部分地区还出现了“民工荒”现象。因此，对迁移劳动力城市融入障碍以及回流动机进行深入剖析，探讨迁移劳动力和回流劳动力的能力建设问题，对于破解中国的“半城市化”难题，加快推动新农村建设，无疑具有非常重要的理论意义和现实意义。

本书是关于农村迁移劳动力回流的理论研究和实证分析，具体地说，是为描述和解释迁移劳动力回流的内在机理、根本动因及其影响因素提供一个理论框架和分析方法，并运用中国的城市和农户调查数据对理论模型给予检验和论证。从本书的基本框架结构和研究方法来说，本书首先构建了个人发展能力影响个体行为选择的分析框架，然后从新古典主义的假设出发，运用一般均衡和动态均衡等现代经济学分析模式，建立了关于迁移劳动力回流的理论模型并做出了实证分析，从而较全面地研究了影响迁移劳动力回流的内在机理和微观因素。特别是运用个人能力、边际效应、一般均衡和计量模型等前沿理论和方法，把传统农村经济问题和现代经济学前沿思想结合起来，使个人发展能力、迁移劳动力回流和农村经济发展有机地联系在一起，对传统的劳动力转移和人口城市化理论进行了有益的补

充。整体来看,本书可以分为五个部分:

第一部分是本书的前三章,是全书的理论基础和现实基础。在第一章阐述了所研究问题的背景和缘由、研究框架和研究方法的基础上,第二章首先回顾了国内外关于劳动力回流的基本理论及研究现状,特别是重点回顾了关于劳动力回流动因和回流后个人能力变化的相关研究。第三章分析了中国农村迁移劳动力回流的历史、现状与发展趋势,并利用农户调查数据归纳了我国农村回流劳动力的个人特征和家庭禀赋状况。

第二部分是本书的第四章,主要是构建本书的总分析框架和理论模型。首先,提出了个人发展能力决定劳动力行为选择的分析框架,并进一步分析了城市化进程中农村迁移劳动力个人发展能力的损失与重建,以及能力变化对迁移劳动力回流的影响。然后,重点探讨了作为个人发展能力主要组成部分的家庭禀赋的内涵和维度,以及家庭禀赋变量的内生性及来源。接着,以我国特殊的转轨过程和制度环境为背景,从个体利益最大化的角度出发,我们尝试建立的是一个解释劳动力回流决策的微观模型,重点分析在家庭禀赋改变劳动者迁移预期以及投资回报率的条件下,劳动力如何通过方向不同的迁移决策来回应制度约束,改善自己的长期福利。

第三部分是本书的第五至第七章,是基于实地调查数据的经验分析,主要论证家庭禀赋对迁移劳动力回流意愿和回流行为的影响。第五章借助计量经济学的工具,研究中国农村迁移劳动力的城乡收入预期和回流意愿,并重点探讨了城乡收入预期和长期保障状况对迁移劳动力回流意愿的影响。第六章从家庭禀赋的角度来估计农村劳动力回流行为,为了进一步考察外生性的家庭禀赋对劳动力就业流动的影响,我们还另外构建两个计量模型:新生代迁移劳动力和户主子女的回流决策。第七章构建经济学分析框架来解释家庭禀赋、人力资本同女性就业流动性之间的关系,并利用农户调查数据进行了经验论证,并重点考察了家庭禀赋对女性迁移劳动力回流行为的影响。

第四部分是本书的第八章,是迁移劳动力能力发展模型的构建。本章在前文对家庭禀赋效应和劳动力回流机制分析的基础上,探讨了迁移劳动力的能力贫困,并结合湖北省主要城市和农村的社会调查数据,考察了城市中迁移劳动力的能力贫困状态,然后基于前文的理论和经验分析构建迁移和回流劳动力能力建设模型。第九章是本书的总结和对策建议部分。本书最后指出了研究的不足之处以及需要进一步研究的问题和方向。

基于上述研究,本书的创新之处主要有以下几点:(1)从研究选题来看,本书提出的“个人发展能力”和“能力建设”目前在国内还没有类似的提法,较为常见的是迁移劳动力的“人力资本”和“就业能力”,这和本书提出的个人发展能力有着较大的差异。另外在以往对劳动力迁移的研究中多是分析个人特征的影响,而本研究以家庭因素为重点研究对象,特别是研究家庭禀赋对迁移劳动力回流的影响。当今最重要的劳动力转移研究的新进展之一——新迁移经济学也把家庭作为研究对象,但是该理论是把家庭作为行为决策的基本单位,而在本研究中家庭禀赋只是个人能力的一部分,劳动者依然从个体利益最大化的角度出发作出行为选择,这样可以从更宽阔的视野来审视家庭禀赋效应。(2)劳动力回流决策模型的构建。以我国特殊的转轨过程和制度环境为背景,从个体利益最大化的角度出发,在充分考虑劳动者个人发展能力的基础上,尝试构建一个解释迁移劳动力回流决策的微观模型。本模型从迁移劳动力面临的制度约束出发,借鉴人力资本理论和新迁移经济理论,论证了长期保障和投资回报对劳动力回流的重要性,认为迁移劳动力回流是在城市限制性政策压抑下为适应环境变化而做出的理性选择。本书利用湖北省实地调查数据,构建计量模型进行的经验分析,充分证实了模型分析的结果。(3)家庭禀赋影响劳动力回流的内在机理。以往研究中多是论证个人特征对劳动力回流决策的影响,本研究提出并论证了作为个人发展能力的重要组成部分——家庭禀赋是决定迁移劳动力回流的重要因素。本书首先分析了作为个人发展能力的家庭禀赋的维度及各因素间的相互关系,然后构建家庭禀赋影响劳动力回流的计量模型,并探讨家庭延续效应及其作用的内在机理。(4)迁移劳动力能力形成机制。借鉴以往对于个人可行能力和可持续发展能力的研究,结合前文对农村迁移劳动力和回流劳动力的分析,本部分构建了劳动力个人发展能力形成多维模型。该模型由六部分组成,包括个人发展能力的四个组成因素和体现能力发展的两个因素。随后,还分析了劳动力能力形成的机制和过程。

Abstract

Labor mobility is the inevitable outcome of industrialization and optimum distribution of resources during the process of non-agriculturalization, and is the driven force of urbanization and modernization. After reform and opening up, spectacular rural-urban and regional migration driven by export-oriented economy not only promotes urbanization, but creates opportunity for new rural communities' construction. However, the migration pattern of Chinese rural-urban migrants is significantly different from that of other countries where the migrants become new urban citizen. The majority of Chinese rural-urban migrants are in short term migration process called "circular migrants", which causes the level of urbanization in our country lagging behind that of industrialization. The trend of semi-urbanization tends to become everlasting and permanent. This is a big challenge to the social development and the transformation of the social structure in China.

As large-scale rural-urban migration did not begin in China until the mid-1980s, urban-rural return migration is a relatively recent phenomenon and research on return migration is relatively scant. Still, several recent studies have shown that urban-rural return migration is quite prevalent. However, the body of research on return migration is small and we have little empirical information on who the returnees are and how they made their decisions. In the empirical analysis below, we aim at examining the selectivity of return migration and illustrating how return reasons can shed light on our arguments. This dissertation is a theoretical and empirical analysis about rural return migration. To be specific, it tries to provide a frame and methods to describe and explain the internal mechanism, basic motivation and influencing factors to the return of migrant in China. Both macro-data and micro-data are used to support and prove theories and the frame in the thesis. In this dissertation, we firstly adopt a modern economic pattern to

establish theoretical frame of labor migration from the approaches of neoclassicism respectively. And a further empirical analysis has been undertaken to completely study micro-factors affecting labor migration and the internal mechanism to return migration. Especially, by using Personal Ability, Marginal Effect, General Equilibrium and Econometric analysis, it combines traditional rural economic questions with the concepts of modern economics perfectly so that it further combines internal economic growth with rural labor migration and rural economic development systematically, which improve the labor migration theory and population urbanization theory as a significant complement. This dissertation includes five parts:

The first part of this dissertation includes three chapters which provide the theoretical and practical basis for the whole dissertation. It mainly discusses the relevant background situation, the reason why we need study this issue and its theoretical and practical significance. This part firstly reviews all the fundamental theories and current studies abroad and at home. It especially reviews the mechanism and motivations to labor migration. Then it analyzes the history, current situation and trend of return migration in China, and summarized its features and the main problems existed.

The second part of this dissertation is chapter 4, which has established the overall analysis framework and some theoretical models. Firstly, this chapter constructs an economic analysis framework to discusses how personal development capability decide the behavior choice of labor, and further analyses the loss and reconstruction of the rural labor migration's personal development capability in the urbanization process. And then it analyses the content, dimensions and the endogenous variables of family endowments. Then, with the special transition process and institutional environment for background, from the perspective of individual benefit maximization, it tries to establish a micro model for explaining the return migration and analyzing how the labor, given the family endowment changes the expect of migration and the return on investment, responds to institutional constraints and improves their long-term welfare through the multi-directional migration decision.

The third part is from Chapter 5 to Chapter 7, which illustrates some empir-

ical study based on neoclassicism methods. With the tools of econometrics, Chapter 5 analyses rural-urban migrant workers' income expectations and Social Security, willingness and behavior of return and their factors. By looking at inter-relationships among the dimensions of family endowments, Chapter 6 explores the factors influencing decision why and how the migrants make their decision to return. Based on, 4442 female samples from Hubei provinces, Chapter 5 analyses the differences between urban and rural female labor force in job floating, then constructs an econometric model to show the effect of human capital variables and family variables on women's job floating.

The fourth part is Chapter 8, which constructs the capability development model of the migrants and returner migration. Firstly, the three-stage theory of urbanization and the capability poverty of migrant are introduced. Data used in this part comes from the stable survey offices in rural and urban area. Based on the foregoing theoretical and empirical analysis, it finally constructs the capability re-creation model of returner and migrant.

The last part is Chapter 9, which is conclusion and summary. It draws the conclusions of the whole dissertation, and proposes a series of suggestions on how to promote the development of urban and rural areas in our country.

Grounded on the reference to relative studies both at home and abroad and a great deal of survey data, the innovations of this dissertation are displayed as follows.

(1) Initiative of the study topic: At present terms like "personal development capability" and "capability re-creation" put forward in this thesis have been seldom mentioned except for the similar terms as "human capital" and "employability". In this dissertation, we think that there are great differences between "personal development capabilities" and "employability", for "employability" is not restrained in migration and it has specific studying object and base. Also in the past, the study of labor migration was to analyze the impact of personal characteristics, while this study focused on family factors, especially the impact of family endowments on returning of migrants. It especially studies how family features affect labor migration, which are in accord with new migration theory which holds the view that labor migration is a decision of the whole family but not indi-

vidual alone.

(2) Decision Model of labor return: Establish a micro model for explaining the return migration and analyzing how the labor, given the family endowment changes the expect of migration and the return on investment, responds to institutional constraints and improves their long-term welfare through the multi-directional migration decision. And then it uses methods of Econometrics and the relevant data from the results of surveys undertaken in rural area by the writer, to set up multi-line regressive models, which proves theoretical model and the conclusion.

(3) The internal mechanism of family endowments' effect on the labor returning: Regarding the method of neoclassicism, on the one hand, the former studies mainly adopted individual as their subject, while in this thesis, from the view of new household economics, it uses family endowments as subjects. It especially studies how family endowments affect labor return. Through analyzing the impact of family endowments on labor return, the effect of the family endowments on developing of person is estimated.

(4) The capability re-creation mechanism of returner and migrants: Grounded on the reference to relative studies both at home and abroad and a great deal of survey data, this dissertation constructs a multi-dimensional model of personal capability re-creation. This model has six parts, including four compositions of personal development capability and two factors which reflect the development of capability. And then, it also analyzes the process and mechanism of capability re-creation, especially analyzes the role of family endowments in the process of capability re-creation. Overall, the social support and personal attitude are very important for recreating personal development capability.

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