文献阅读报告

2018-05-25

李谷成、冯中朝、范丽霞，“小农户真的更加具有效率吗？来自湖北省的经验证据”，《经济学（季刊）》，2009年第9卷第1期，第95-124页。

**研究的问题**

全面地、综合性地考察农业效率与农户规模之间的关系，全方位的检验是否确实存在小农户相对于大农户具有效率上的比较优势？主要从以下五个方面分析：

* 土地生产率与耕地规模的关系
* 劳动生产率与耕地规模的关系
* 成本利润率与耕地规模的关系
* 全要素生产率与耕地规模的关系
* 技术生产率与耕地规模的关系

**实证假设**

在一种更为宽广的效率指标体系下，小农户是否真的还享有对大农户的比较优势呢？或者说，这种负向关系是否仍然存在呢？

**研究方法**

* 数据来源
* 农业部湖北省15个村级固定观察点1999-2003年所形成的年度统计数据，数据处理后每年有431户农户、5年共计2155个样本所形成的微观面板数据。
* 计量模型
* 规模与土地生产率：*Efficiencyif = C+ βlnOPi + ΣδXij+ εi*

土地生产率 耕地面积 家庭禀赋

* 规模与全要素生产率：
* 农户*i*的产出水平（种植业经营总收入）与物质资本、劳动和土地投入的关系：平均生产函数*Yi = Ao eηt KiαK LiαL MiαM exp(εi)*
* 规模报酬系数：*RTS = αk + αL + αM*
* 计算全要素生产率：*TFPi = Yi /（Kiα\*K Liα\*L Miα\*M*）
* 规模及家庭禀赋与全要素生产率：*TFPi = C + βlnOPi + ΣδXij + εi*
* 规模与技术效率：随机前沿生产函数*Yi = Ao eηt KiαK LiαL MiαM exp(vi-ui)*

技术无效率函数*mi = C + Σδ\*Xij + wij*

*TEi = E(Yi│ui，Zij) / E(Yi│ui=0，Zij) = exp(-ui)*

平均技术效率*TE =ΣTEi*

*TEi= C + βlnOPi + ΣδXij + εi*

* 变量设定

|  |  |  |  |
| --- | --- | --- | --- |
|  | **IV** | **DV** | |
| 农户投入产出变量 | 农户家庭资源禀赋变量 |

|  |  |  |  |
| --- | --- | --- | --- |
| 1 | 土地生产率：*Y/OP* | * 产出变量*Y* * 投入变量*K* * 投入变量*L* * 投入变量*M* * 农户农业劳动力人数 * 总耕地面积 | * 劳均接受正规教育程度 * 非正规教育—技术培训 * 家庭背景—干部户 * 耕地细碎化程度 * 非农经营活动变量 * 市场化程度变量 * 银行信用可获得性 |
| 2 | 劳动生产率：劳动用工-*Y/L*；农户劳动力数量-*Y/Farmer* |
| 3 | 成本利润率：考虑劳动力成本*(Y-K-L\*PL)/(K+L\*P)*；不考虑劳动力成本(*Y-K)/ K* |
| 4 | 全要素生产率：*TFP* |
| 5 | 技术生产率：*TE* |

**研究结果**

实证分析土地生产率、劳动生产率、成本利润率、全要素生产率与技术生产率与耕地规模的关系：

* 小农户的土地单产效率远远高于大农户。以耕地“单产价值”衡量的农户效率与以耕地衡量的农户规模之间的负向关系是存在的，显著性程度很高，力度也很大。
* 大农户相对于小农户享有劳动生产率方面的比较优势。两个劳动生产率指标都与其耕地规模之间存在高度显著的正向关系，尤其以农户劳动力数量衡量的“劳动力平均产出价值”正向关系力度更加突出、明显。
* 在考虑劳动力成本时，大农户在成本利润率上享有相对于小农户一定程度上的比较优势；不考虑劳动力成本是，成本利润率基本上与农户耕地规模无关。
* 农户全要素生产率与其耕地规模基本无关。全要素生产率与其耕地规模之间可能存在一定程度的负向关系，但是这种负向关系高度不明显，力度也较小。
* 农户全要素生产率与其耕地规模基本无关。农户技术效率与其耕地规模之间的关系和全要素生产率的表现基本一致，即它们之间可能存在一定程度的负向关系，但是这种负向关系高度不明显，力度也较小。

2018-05-26

李谷成、冯中朝，“中国农业全要素生产率增长—技术推进抑或效率驱动：一项基于随机前沿生产函数的行业比较研究”，《农业技术经济》，2010年第5期，第4-14页。

**研究的问题**

研究改革开放以来农业内部各行业

**实证假设**

**研究方法**

* 数据来源
* 《全国农产品成本收益资料汇编》调查数据，将每个省份当成一个生产单位作为研究对象，形成面板数据。
* 计量模型
* 变量设定

**研究结果**

李谷成、范丽霞、成刚、冯中朝，“农业全要素生产率增长：基于一种新的窗式DEA生产率指数的再估计”，《农业技术经济》，2013年第5期，第4-17页。

**研究的问题**

**实证假设**

**研究方法**

* 数据来源
* 《全国农产品成本收益资料汇编》调查数据，将每个省份当成一个生产单位作为研究对象，形成面板数据。
* 计量模型
* 变量设定

**研究结果**

2018-05-26

冒佩华、徐骥，“农地制度、土地经营权流转与农民收入增长”，《管理世界》（月刊），2015年第5期，第63-74页+88页。

**研究的问题**

土地经营权流转对农户家庭总收入的影响及影响机制。

* 土地经营权流转与农户收入增长及农地制度完善之间的关系
* 土地流转对农户家庭总收入的影响
* 土地流转对租出土地和租入土地农户的家庭收入增长的效应

**实证假设**

**研究方法**

* 数据来源
* 2000年的农村调研数据：来自于澳大利亚阿德莱德大学中国经济研究中心和中国农业部政策法规司的“CERC/MoA中国农村居民问卷调查数据库”。
* 2012年的农村调研数据：来源于上海财经大学2013年度千村“农村劳动力城乡转移状况调查”课题组入村入户实地问卷定点调查数据。
* 计量模型
* ATT
* ATE
* 变量设定

**研究结果**

* 土地流转能显著增加农户家庭的收入水平，参与土地流转的农户家庭的平均收入水平要显著高于未参与土地流转的家庭。
* 参与土地流转租出土地家庭的收入增幅要高于租入土地的家庭。

2018-05-26

*Literature Notes –The Relationship between Farm Size and Productivity*

**Heltberg R. Rural Market Imperfections and the Farm Size-Productivity Relationship: Evidence from Pakistan [J]. World Development, 1998, 26(10): 1807-1826.**

The subject of this article is the relationships between farm size and productivity and between farm size and profitability in the developing countries.

**HYPOTHESIS**

* Hypothesis 1: There is an overall inverse relationship between operational farm size and productivity and efficiency per unit of land.
* Hypothesis 2: Farmers operate under supervision constraint with respect to hire labor, which is more binding the larger the operated holding relative to the family work force.
* Hypothesis 3: Land sales and rental market are imperfect, giving rise to a land tenure constraint.
* Hypothesis 4: Farmers are subjected a credit constraint, which can be relaxed to ownership of land and other fixed assets.

**THE WORKING ORANNIZATION AND PRIVATE PREDICTION**

* Inverse relationship between operation farm size and productivity: *f’OP* < 0
* Positive relationship between owned land and productivity: *f’OW* > 0
* Positive relationship between family workers and productivity: *f’H* > 0
* *f’IR* is indeterminate.

**MODELS OF THE WORKING ORANNIZATION**

* *Model①:* ***Two-way fixed effects****.* The household fixed effects control for unobserved farm heterogeneity for locational factors, and for differences in land quality. The period effects are accounted for latent year-to-year variation, for example in weather. Complementary random effects are also estimated in order to allow for inclusion of some time-invariant regressors.
* A simple regression of output –farm size (on the full samples as well as for each district and for each village separately), and found *y/OP* decreased strongly and highly significantly with *lnOP* (both)*.*

***y/OP=α+βln(OP)+ Di+ Dt+ε*** ①

***y****:* Farm value-added= the value of crop and livestock less all cash inputs including land rented in but excluding farm labor.

***OP****:* Operated holding size

***Di/Dt****:* Fixed household/year effects respectively

* *Model②:* ***y/OP = f(OP, OW, H, R, Z)***

OW is amount of owned land; H is the number of (adult equivalent) family workers; R is risk; Z is a vector of other exogenous variables influencing farm productivity.

* *Data*

The data are from the Pakistan Rural Household Survey, carried out by the international Food Policy Research Institute (IFPRI) over 14 rounds, covering the five years from 1986-1987 to1990-91.. All data used in this article are on a yearly basis. Thus the two annual cropping seasons, have been aggregated , giving up to five observations for each household.

* The land variables *OP* (operated holding size) and *OW* (owned land) are the mean of the holding over the year.
* The land is made for irrigation by weighting rainfed land at 50% of irrigated land, which corresponds to the difference in land value between irrigated land and rainfed land in those areas.

**RESULTS AND DISCUSSION**

2018-12-13

**Barrett，C. B.，M. F. Bellemare and J. Y. Hou, 2010, “Reconsidering Conventional Explanations of the Inverse Produc⁃ tivity – Size Relationship”, World Development，Vol. 38（1）， pp.88~97.**

This study employs precise soil quality measurements at the plot level with multiple plots per household so as to test both conventional explanations simultaneously. Empirical results show that only a small portion of the inverse productivity–size relationship is explained by market imperfections and none of it seems attributable to the omission of soil quality measurements.

要素市场不完善导致家庭劳动力影子工资的不同与缺乏土地质量的测量是导负向关系的两个传统解释。作者引入精确测量后得到的土地质量数据，以同时检验这两个传统说法的准确性。实证研究结果表明，负向关系并不是因为土地质量的确实，并且只有一小部分是要素市场不完善导致的。

**HYPOTHESIS**

* Hypothesis 1:

**THE WORKING ORANNIZATION AND PRIVATE PREDICTION**

文章使用的数据集包括地块详细土壤质量数据，用家庭固定效应控制未观察到的影子价格。结果表明负向关系并不是因为土地质量的确实，并且只有一小部分是要素市场不完善导致的。

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**RESULTS AND DISCUSSION**