

中国农村人力资本投资问题研究

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# 中国农村人力资本投资问题研究

A Research on Rural Human Capital Investment Issues in  
China

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## 摘要

人力资本是经济增长的源泉。中国长期以来形成的二元经济结构,使得农村在教育和劳动力流动等人力资本投资中存在多方面的问题。农村人力资本向城市的溢出,致使农村人力资本存量不足,农村平均的人力资本水平很低,这在很大程度上限制了农村经济的发展。农村劳动力大规模流动,由平均人力资本水平决定的工资率水平得不到提高。城乡教育的不均等,农村和城市家庭各自走不同的教育增长路线,城乡收入差距不断扩大。论文以农村人力资本投资为研究对象,采用实证分析与规范分析相结合,以及微观分析与宏观分析相结合的研究方法,沿着舒尔茨、卢卡斯、刘易斯、藤田昌久等西方发展经济学家的思路,结合中国城乡二元经济发展的实践,将西方经济学、发展经济学和劳动经济学等学科的相关知识进行融合,深入探讨中国农村人力资本投资问题。这一问题的研究,在理论上有利于拓展经济学的研究内容,为中国农村经济和社会问题提供理论解释,为城乡经济一体化的形成提供新的分析思路;在实际中有利于推动社会主义新农村建设,促进城乡经济社会的协调发展。

论文研究内容及结论主要包括三个方面:一是农村人力资本投资的溢出效应。在对人力资本溢出效应文献进行综述的基础上,本文提出了中国农民有限理性的假设前提。构建了农村人力资本溢出效应模型,分析了农村人力资本溢出效应和溢出机制,论证了农村人力资本溢出,农村处于低水平发展的观点。农村人力资本外溢,熟练工人都集中于城市,农村的熟练技术工人流失严重,且分布分散,难以形成学习效应。用单位时间内发明的专利数来表示人力资本投资的结果,则农村发明的专利数远低于城市。若以发明的专利数表示经济增长的可能,农村地区和城市地区的经济增长差距呈扩大趋势。农村人力资本溢出机制主要是有限理性下的劳动力迁移溢出机制,和基于知识、技术与城市产业结合的溢出机制。农村人力资本溢出扩大了城市企业的劳动力选择集,加剧了城市劳动力市场的竞争程度,促使当地人力资本保持先进性。城市的产业结构和知识密集程度会影响农村人力资本的溢出效应。二是劳动力城乡流动与低工资率问题。结合人力资本理论、新经济增长理论和城市积聚经济学,用一般均衡框架分析了我国农村劳动力城乡迁移问题。当且仅当非技术工人在农村的工资率和城市的工资率相等时,非技术工人向城市的迁移才会停止。在实现的均衡中,技术工人都迁移到城市,

仍有一部分非技术工人留在农村。农村非技术工人的大规模流动，由平均的人力资本水平决定的均衡工资率处于低水平。因此，大规模的城乡迁移不是社会的最优，技术工人和非技术工人的均衡工资水平都很低。而引导部分非技术工人有序迁移，控制劳动力流动的最优规模以实现社会产出最大化，城市平均的人力资本水平提高了，由此决定的城市的工资率水平也将提高，这对社会是一个帕累托改进。另外，引导部分技术工人在农村就业的政策措施，能提升农村平均的人力资本水平，社会总产出将会增加。因此，本章提出了对农村部门给予补贴和政府进行教育投资的政策措施。大力发展乡镇企业和小城镇建设，有效引导一部分技术工人在农村就业，帮助非技术工人回乡创业的政策建议。第三个问题是城乡教育不均等与城乡收入差距问题。人力资本理论把人力资本作为影响经济增长和收入分配的一个至关重要的因素。从根本上解决城乡收入差距问题，达到均衡发展的目的，关键之一是要实现教育的公平和全面发展。本文建立了一个包含初始人力资本、教育投资和收入增长的理论模型，演绎具有相同经济禀赋但教育机会不均等的家庭收入差距扩大的机理，分析了城乡收入差距之问题所在，探寻实现城乡协调发展的有效路径。高教育家庭和低教育家庭的不同线性组合构成农村地区和城市地区，农村有更多的低教育家庭，城市有更多的高教育家庭。在资本市场不完全和教育完全由私人投资条件下，拥有同等初始财富但教育水平不同的高教育家庭和低教育家庭因为走不同的教育增长路径，高教育家庭收入增长率高于低教育家庭，两类家庭后代的收入差距会扩大，即“相对贫困”。政府向城市征税以补贴农村进行教育投资的政策措施，将使农村的收入增长率高于城市，政府的公共教育政策将缩小城乡收入差距，实现均衡发展。最后，针对以上问题，文章第六章提出了政策建议，包括建设小城镇、发展乡镇企业，吸纳农村劳动力本地就业、转变长期形成的城市偏向的制度安排、强化农村人力资本投资的政府行为等。

本文的创新主要有一个方面。本文以藤田昌久的两区域模型为基础，构建了一个只有农村和城市的两区域模型，从理论上，系统、严谨地论证了农村人力资本的溢出效应，提出了农村人力资本溢出，农村处于低水平发展的观点。并详尽、全面的阐述了农村人力资本的溢出机制。农村人力资本溢出机制主要是有限理性下的劳动力迁移溢出机制，和基于知识、技术与城市产业结合的溢出机制。农村劳动力在城市预期的高收入下选择“理性”进城，为了尽量降低迁移风险多选择

近距离迁移，社会网络和社会资本影响着人力资本溢出效率，知识空间溢出的区域性使人力资本溢出效应呈现出距离衰减趋势。农村人力资本向城市溢出，首先它扩大了城市企业的劳动力选择集，而且农村人力资本溢出会加剧城市劳动力市场的竞争程度，促使当地人力资本保持先进性，另一方面城市的产业结构和知识密集程度影响农村人力资本的溢出效应。农村人力资本溢出影响了农村经济的发展，它造成人力资本投资收益空间错位，会扩大城乡差距，农村人力资本溢出将使农村处于低水平发展。

关键词：农村；人力资本投资；溢出效应；劳动力流动；教育不均等

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## Abstract

Human capital is the main source of economic growth. Due to the urban-rural dual economic disparity in China, human capital investment of rural areas, such as education and labor flow, presents lots of problems. The spillover of rural human capital has caused a serious shortage of human capital in rural areas, a low level of average human capital, which for a long extent limited the economic development of rural areas. A large amount of rural-to-urban migration reduce the average income of both rural and urban dwellers in equilibrium. Unequal education of rural and urban areas, the income disparity of urban-rural has been enlarging. The dissertation make a study on rural human capital investment, adopting horizontal and vertical intergration and regression analysis integration and interdisciplinary research method, following the ideas of Lucas, Todro, Ranis-Fei, and combining Chinese urban-rural dual economic practice with theories in west economics, development economics, regional economics and other relevant knowledge to carry out a deep research on issues of rural human capital investment, to provide a theoretical explanation for the low development of rural areas and a new analytical method for the formation of intergration of urban-rural economy. And practically it is useful in promoting coordinated growth of city and countryside.

The dissertation focus on three issues: the first one is the overflow effects of rural human capital. Based on Lucas exterior effect model of human capital and two-regional modal, this paper carried on a theoretical study on over-flow effect of rural human capital and its operation mechanism. The result indicate that: rural skilled-worker works in city, rural human capital value is small and thin, the knowledge capital determined by it decrease in rural area. As result, rural-urban disparity widened and there will be a lower lever development in rural area. The over-flow effect of rural human capital fulfilled through labor migration over-flow mechanism and knowledge and skill in combination with city industry. The second issue is rural-to-urban migration and low wage rate. Incorporation with new economic development theory and agglomeration economic, a general-equilibrium model deals with unrestricted rural-to-urban migration. Unskilled workers migration reduces the average human capital. Efficiency effect of urban agglomeration can be completely diluted by it. Our modal show that unstricted rural-to-urban migration reduce the average income of both rural and urban dwellers in equilibrium. Measures that aimed at curtailing rural-to-urban migration by unskilled workers can lead to a Pareto improvement for both the rural and urban dwellers. In addition, the government can raise social welfare by reducing the migration of skilled workers to the city, and

induce them to work in rural areas .if the government can restrict migration by allowing only a perfect amount of unskilled worker into the city, then the urban wage will increase. As to the unskilled worker ,the wage rate will still be at the low level ,which is the equilibrium wage rate without any restriction on migration. Thus ,the restriction of rural-to-urban migration can leads to a Pareto improvement. Since the human capital is essentially important in rural areas, when the initial level of human capital is very low ,the increase in output resulting from some skilled individuals working in the rural area will be large .thus ,an interesting political implication is a Pareto improvement if the government were to subsidize some skilled worker in the rural areas so that they will not migrate to the city or that they will move from city to the rural areas. The presence to of a certain number of skilled workers in the rural areas may significantly reduce the rural-to-urban migration of unskilled workers. The third issue is unequal education opportunity and urban-rural income disparity. The artical construct a theoretical modal composed of initial human capital, education investment and income differentiation. It shows that the households originally with the same economic endowments but different education endowment will take different education growth routes, the income between the low- and high-education families can be enlarged. urban areas have more high-educated families than rural areas ,in contrast rural areas is composed of lots of low-educated family. This means that income gap between urban family and rural family will be widened by education. The key to solve this problem is taking active public policy, government to collect the income tax from high-income families and providing education subsidy for low-income families that promote equal education, rational income and equilibrium development.

We have one innovation in this dissertation. Based on two areas model ,The article established human capital overflow effects framework, with the research on the interaction between economic growth and urban-rural location ,the dissertation explains the asymmetrical features of human capital flowing in urban and rural areas and its operational mechanisam, which widens the gap between urban and rural areas; suggests stabilizing the rural human capital ,speeding up the construction of small towns and developing town industry. And gradually narrowing the gap between urban and rural areas .

Key Words: Rural; Human Capital Investment ; Overflow Effect;  
Labor Flow; Unequall Education



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