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执行主编

周业安 张斌 柯荣住 马湘君

CHINESE ECONOMICS

2013

中国经济学

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Foreword

Zhou Ye-an, Zhang Bin, Ke Rongzhu and Ma Xiangjun

How can Economics Serve the Society

Some economists insist that economics is a construct of pure mathematical logic; they can make deductions of reasonable explanation of a series of social and economic phenomena on paper, even staying in the house and closing the door. However, more economists recognize that what these people adhere to is just the “blackboard economics” that Ronald Coase has criticized in earlier years. If economics could not face the reality and fully reveal the social concern, what remains is meaningless mathematical formula. Fortunately, most economists in China are not stuck with the mud of blackboard economics, but have courage to face the complex social and economic phenomena and try to reveal the vivid picture of China’s economy development using their theories and methods.

The publications in major academic journals can reflect the thoughts of China’s economists in the past few years. Although their research subjects are various, there are still some similarities such as concerning about the most urgent issues in China currently. Economists try to solve these problems using their theories, which is the innate responsibility of China’s economists. That is to say, China’s economists must do their best for the reform as born in the reforming era. The issues of inequality, government and social governance, middle-income trap etc. are undoubtedly the most prominent ones in the past few years, while China’s economists conducted in-depth and detailed research on these issues in theory and produced many outstanding papers, from which we select the representative ones to compile this series of book. What to be mentioned specially is, China’s economy was also greatly influenced by the global economic downturn after 2008, which made the international trade fall to the bottom for a time. As the global economy recovered from the trough, the issue of international trade became to be the focus for economists once again. China’s economists made a lot of research in the field of international trade over the past few years, therefore the topics of international trade is added to show representative papers.

When we look at the authors of the representative papers, we find a trend for China's economics. There are two important emerging features of the authors: First, it is becoming normal for researchers returning from overseas and local researchers to cooperate extensively, which is an inevitable result for the marriage between the systematic scientific knowledge/methods and local knowledge. Second, the cooperation between young researchers and mature scholars is more and more extensive, as mature scholars have rich scientific research experience and good theoretical intuition, while young researchers have obvious advantages in techniques and energy, their cooperation should improve the inheritance and development for China's economics in the future. Of course, when compiling this book, we also find some bad phenomena. Some returnees made slight modification of their published paper in overseas journals and then published them in domestic journals, this approach seems to facilitate the knowledge spread, however, in the globalization of today's knowledge diffusion, it does not respect intellectual property rights, therefore we cancelled these papers immediately.

When compiling *Chinese Economics—2013*, we were supported by top academic journals including *Social Sciences in China*, *Economic Research Journal*, *Management World*, *China Economic Quarterly*, *The Journal of World Economy*, *World Economic Papers* and *The Review of New Political Economy*. Limited by the space, some excellent papers are not selected. We would like to express our sincere regrets to the authors and journals. Due to the large number of recommended papers in the field of international trade, we decided to include the topics of international trade in this book. At the same time, considering the expertise of our three executive editors, we invited Dr. Ma Xiangjun who is from the University of International Business and Economics as the executive editor in the topics of international trade. Special thanks are expressed to Dr. Ma Xiangjun for his hard work. We also make special thanks to Dr. Song Feng and Yang Xiaojing who wrote the foreword of English version and thanks to Mr. Yu Dazhang from Unirule Institute of Economics, who are making great efforts for editing *Chinese Economics*.

Introduction of Collected Papers

Based on the recommended papers by journal editors, each executive editor made primary selections in their field of expertise, and then submitted the results to the other three executive editors. These selected papers then went through peer review process.

Finally there are 13 papers selected. In these papers, five are related to public policy, two are related to macroeconomics, three are related to microeconomics and three are related to international trade. We need to make two notes. First, as one of executive editors is the author of one selected paper, he did not participate the selection process. The paper was selected by Dr.Ke Rongzhu. Second, two selected papers in the topics of international trade share the same two authors. Considering that there are few high level papers in this field, and the authors of the two papers are not completely the same, both papers are also selected following the suggestion of Dr.Ma Xiangjun.

The Topics of Public Policies

The issue of inequality has been a worldwide problem that concerns economists. This issue is increasingly salient in China that the effective governance of poverty is one of Chinese economists' most concerned problems. The personal income tax system is a conventional method that has been widely adopted in the world so far. Does this system promote equality after being implemented several years? Evaluation of this system is rare until now. The paper by Xu Jianwei et al. uses the micro household survey data to examine the income distribution effects of China's personal income tax since 1997. The results show that the distribution effects of personal income tax had been increasing before 2006 but weakened after 2006. The authors believe that China has a higher level of personal income tax progressivity and a lower average tax rate, which have led to a limited role of personal income tax policies in the regulation of income distribution. This study provides rich scientific evidence for improvement of personal income tax system in the future. Nevertheless, there is room for improvement. As what Dr.Song Yang and Dr.Lian Hongquan point out in the comments, the calculation of some index needs to be discussed. Moreover, the production effect and the usage problem of personal income tax are not included, which are indispensable elements for the evaluation of personal income tax system.

Inequality is inevitably accompanied by poverty. While China's economists have done many researches on this phenomenon, the measurement of poverty is rarely discussed. The paper by Zhang Yuan et al. tries to fill this gap. Using a new method, this paper decomposes poverty into components of chronic poverty and transient poverty. Based on the panel data of peasant households during 1995—2005 of five provinces, this paper finds that the decline in total poverty is mainly from the component of transient poverty. The goal of anti-poverty should be the reduction of chronic poverty which can

only be achieved by improving the human capital, political capital and financial capital. This study has great importance for the design of anti-poverty policy currently. However, just as what Dr.Sun Wenkai points out in the comments, the decomposition method needs to be further discussed. Particularly, the definition and measurement of chronic poverty can be related to some core problems of policy design which are not clearly presented.

The governance of inequality is not only a macro phenomenon, but more a micro phenomenon. Micro economic organizations can affect the governance of income distribution and inequality, and the labor unions are the representatives of this kind. Wei Xiahai et al. try to address this important problem and discuss the effect of labor unions on labor income share and labor productivity from theoretical and empirical analysis. They find that the labor unions enhance the wage rate and labor productivity of firms significantly. However, labor productivity increases more than the wage rate, which leads to the decline of labor income share. This conclusion is very interesting. But the inherent mechanism of this conclusion is not addressed enough. Just as what Dr.Sun Jingwei points out in the comments, the variables, regression method, interpretation of the results and the treatment of endogeneity need to be further discussed.

Social security is another issue that related with inequality. Undoubtedly, social security is an important system design of anti-poverty and inequality control, of which health care is a very important part, on which there are rich research so far. Zhao Shaoyang et al. choose the specific group—sandwich class—to analyze. The sandwich class refers to urban employed or retired workers who are not insured because their employers reject or delay paying medical insurance premium. Based on a survey, this paper finds that the sandwich class have worse health situation, receive less in-hospital services, pay more hospital costs, and are easily depressed. The resulting social cost could be increased. This research is very important since it makes us to pay attention to the vulnerable groups that are easily overlooked by public policy, and contributes to improving the equality of public policy. Just as what Dr.Lu Fangwen points out, this paper does not discuss the formation mechanism of sandwich class deeply, and need to be improved in the regression method, correlation treatment and interpretation.

In the field of public policy, the behavior of local government is a hot topic which has been abundantly researched. Employing a large cross-year survey data, Liu Mingxing et al. make in-depth discussion about the assessment and incentive at county and township, and inter-village level. The study finds that the evaluation weight of eco-

economic development and social stability is increasing while the evaluation weight of increasing income of peasants is weakening. Compared with previous research, this study reveals the problems of local government evaluation more profoundly. Inferred from this study, the behavior of local government might not benefit the sustainable and healthy development of local economy in the future. The paper does not use the complex mathematical and econometric model, but still is a very valuable academic paper. However, the paper does not discuss the institutional foundation and social economic causes that induce the change of focus of the assessment indicators, as well as the possible consequences. As what Dr.Zhao Wenzhe points out in the comments, the overall analysis is a bit superficial.

The Topics of Macroeconomics

Publications in 2013 witness a changing trend from conventional topics of macroeconomics, to the topics that are in accord with realities in China. Zhang Derong explores the driving forces of China's economic growth starting from the middle-income trap. The paper has several conclusions. First, many economies are caught in the "middle-income trap". Second, during the first stage of the growth, capital and labor are the major driving forces. In the next stage the growth engines should shift to the institutions and technology, otherwise, the economy will be locked in the middle-income trap. Third, governmental governance is a key factor for switching economic growth engine. Fourth, by international comparison, Chinese economy is facing the challenge of switching economic growth engine. The only way to escape out of the middle-income trap is to rely on institutional reform and technology innovation.

In terms of structure, literature review and model choice, this paper is far from perfect, but is chosen for two reasons. First, this subject is of great importance and urgency at this moment. There are very few studies on China's economic transition so far. Second, current studies on China's economic transition is still based on neoclassical growth models and growth accounting framework, which is far from enough to understand the long-term future of China's economic growth and the challenges during the transition process. This paper is a good starting to investigate the change of growth engines mechanisms, which is worthy of encouraging.

Chen Yanbin et al. discuss the wealth inequality of households' assets from the view of macroeconomics. Based on the analysis of asset portfolio and consumption structure, this paper builds up a Bewley model with two sectors and two products to study the

effects of China's inflation on wealth inequality. The results show that as inflation rate rises from 0 to 5%, wealth inequality will be intensified, and the percentage of net wealth loss of poor urban households could be over 30 times as many as that of rich urban households, and rural households suffer higher welfare loss than the urban counterparts. Due to holding higher proportion of cash, the poor generally suffer more wealth reduction and welfare loss. Furthermore, China's inflation with structural characteristic would further deteriorate consumption structure of high-Engel-Index households, especially the rural and the poor, causing wealth reduction and higher welfare loss.

This paper is chosen for two reasons. First, it contributes to the literature in several aspects, including building up the model well suited for China's condition, using methodology insignificantly improved and showing consistence and completeness in logic. Second, this paper deepened our understanding on the distribution effects of inflation.

The Topics of Microeconomics

In recent years, compared with other fields, the microeconomic field may be the one that catches up with the research frontier of the world. The researchers not only attach importance to conducting research on the realities of China, but also continue to track and explore many forefront topics. The paper by Cai Guowei and Qian Jinbao is the representative in this field. The classical gravity model in spatial economics may be viewed as a reduced form to capture the interaction between the two economies, which is a black box. The theory is to open the black box and provide some underlying economic structure for the model. In other words, we need to provide a micro foundation of the model. Cai and Qian's paper is a successful attempt in this regard. The authors study factor flows in both the supply and demand aspects. The demand function is derived based on the consumer's utility maximization, and the supply function is based on the producer's profit maximization. Then they construct market equilibrium, and thus derive the factor mobility between the two economic regions. After simplification, they can obtain the conventional equations that can be used for empirical testing. This paper thus provides a theoretical explanation of the spatial autocorrelation in the literature. The authors also use mainland China interprovincial migration data to test the implications of the model, and the results show the consistence of the model. The authors note that this paper may contribute to some interesting question such as "border effect" or "the missing part of globalization" and other phenomena. There are some challenging

issues, both theoretical and empirical, needing to be further studied, for example, the network effects of spatial competition. In-depth study of these issues will help to understand and measure the complex interactions between economies. This is of great significance, especially when China is at an important stage of urbanization and imbalance of regional development.

In China, the issue of food safety has become one of the biggest concerns, from both government and citizens. Basically, the root of the problem is that there is mismatch between technology development and market expansion, leading to the distortion of incentive and excessive opportunistic behavior. Here is a simple example. If the production cost of the food additives(toxic) is high(due to production technology), people can not use them and thus the market for the chemicals is small. Once the chemical technology breakthroughs happen, the market will expand and the use of additives will create huge profits. At this time, food safety issue becomes more serious as the market expands. The information is not considered in the above analysis of technology. Gong Qiang et al. study how the information disclosure or revelation can improve the efficiency of food safety regulation. In general, to reverse the opportunity behavior due to the cost advantage of using low quality material, we need that the returns to good reputation is large enough, dominating the former, as the size of market increases. Under China's current situation, the dependence on government supervision may easily lead to "regulatory capture", which makes the problem even worse. A reasonable information revelation mechanism, even if it is implemented by third parties or non-governmental organizations, may also help to reduce the information asymmetry and provide a good return to reputable producer, and ultimately crowd out the low-quality products. The paper also discusses some of the consequences of regulatory policies, including that price controls may not promote welfare, and some means of regulation can correct market failures due to asymmetric information. Although the modeling structure is not complicated, the authors show their skills in applying the industrial organization theory to study some interesting phenomena in China, which offers a good example for other Chinese researcher to follow.

Over the past more than 20 years, experimental economics have made great progress, which provides a new approach for understanding of human behavior. One fundamental problem remains, i.e. how to understand the possibility of cooperation among human beings. For example, how to solve problem of the under-investment in public goods, given that individuals are guided by self-interest. Here, the existence of public

goods is very general, in the sense that any good with positive externalities can more or less be seen as a public good. The paper by Lian Hongquan et al. is an attempt in the field of experimental economics by domestic scholars. The paper experimentally investigates the impact of different punishment mechanisms on individual behavior. In theory, the punishment is a double-edged sword. On one hand, the punishment can increase the cost of default, making cooperation relatively profitable; on the other hand, the punishment may lead to retaliation, thereby triggering more uncooperation, or even a chain reaction. The fear of retaliation makes punisher pay too high a price to punish. Moreover, if it is to punish those who think that the punishment is “inappropriate”, then the possibility of retaliation is likely greater. Their experimental results show that there is indeed some limitation of those punishment mechanisms, which indicates that punishment alone cannot completely eliminate the uncooperative behavior. It is worth thinking about to what extent the punishment is optimal. The optimal level is not only based on rational cost-benefit analysis of economic agents, but also need to consider individual’s other social preferences (for example, an individual self-image concern, fairness concern, etc.). If the results of these experimental studies can be applied to some important research areas such as criminal behavior, the impact of research may be significant. Of course, as what the authors point out, this paper is only a first step. Many experimental designs and theoretical problems have yet to be improved in the future.

The Topics of International Trade

Since 2008, confidence has been gradually established and taken place of the concerns for international trade, which obviously affects the researchers in this field. Tian Wei and Yu Miaojie test how trade liberalization affects export intensity from a unique perspective. Using the micro-level production data and customs trade data of Chinese manufacturing firms, they find that reducing intermediate input tariffs leads to a larger share of exports in total sales. The paper develops a simple but clear model and conducts careful and thorough empirical analysis. The authors use Heckman two-step procedure and instrument variables to deal with the potential endogeneity problems. The results are robust after considering the factors of processing trade, firms in transition, and productivity changes. The potential problems that might create bias are that (1) imports used in the paper include both intermediate imports and final imports and (2) that transportation modes, which has similar effect as tariff on trade costs, are not controlled.

By employing the data of antidumping duties imposed by India on Chinese goods and

building on the protection for sales model presented by Grossman and Helpman in 1994, Wang Xiaosong and Xie Shenxiang find that antidumping duties are significantly higher when an industry is organized into a lobby. Furthermore, the authors find that Indian trade deficit is positively related to antidumping duty significantly, implying that the Indian government is influenced by the lobby groups when imposing antidumping duties, which lead to trade friction with another large trade country—China. The paper innovatively constructs the measurement indicator of whether an industry can be effectively organized into an interest group. Although there are problems in the estimation strategies and in the selection of explanatory variables and instrument variables, this paper provides important policy implication.

Tian Wei et al. focus on the relations of demography and international trade. This paper introduces the ratio of working-age labor in total population (working-age ratio) into the gravity equation and finds that a 1% increase in exporters' (importers') working-age ratio leads to at least a 3% (2%) increase in its exports (imports). This explains the correlation between the labor surplus and export-oriented development strategy in the emerging developing countries. In the careful and thorough empirical analysis, the authors control for multilateral resistance and deal with the endogeneity problems using the PPML method, Heckman two-step procedure, and instrument variables. They also estimate how Chinese trade volumes will change if China experiences the same demographic transition as in India or the U.S. However, since the industry-level data are aggregated at the one-digit SITC level, there is not enough variation to closely estimate the theoretical model. In addition, there are potential omitted variable problems on the exporter-year (importer-year) dimension.

前 言

周业安 张 斌 柯荣住 马湘君

一、经济学如何实现社会关怀

虽然一些经济学家坚持认为,经济学是一种纯数理逻辑的建构,即使待在屋子里,足不出户,仍然可以在纸上推演出一系列社会经济现象的合理解释。但更多的经济学家认识到,这些人坚持的理念不过是科斯早些年批评的“黑板经济学”。经济学如果不能面对现实,不能充分展示其内在的社会关怀,那就只能剩下一堆毫无意义的数学公式而已。所幸的是,如今中国的经济学家中很多人没有陷入“黑板经济学”的泥沼,而是勇敢地直面复杂多变的社会经济现象,并试图运用所掌握的相关理论和方法,力求揭示中国经济发展背后隐藏的鲜活画面。

从这次选编的过程看,2013年经济类各主要刊物所发表的学术论文,可以反映出中国经济学家在过去几年的所思所想。在这些论文中,虽然各自的研究主题花样繁多,但仍存在一些共性,那就是始终关注着中国现阶段所发生的一些最迫切的难题,而经济学家试图运用自己的理论知识来破解这些难题。这是中国经济学家与生俱来的责任。也就是说,生在变革时代,中国经济学家必须为变革本身尽自己的一份力。在过去几年,无疑不平等问题、政府和社会治理问题、中等收入陷阱问题等都属于最突出的社会经济问题,而中国经济学家从理论上对这些问题进行了深入细致的研究,并且产生了许多优秀的成果。本辑就是这些优秀代表性论文的汇集。特别需要提及的是,2008年之后中国经济同样受到全球经济衰退的巨大影响,从而一度使国际贸易跌入低谷,但随着全球经济在低谷中艰难复苏,国际贸易问题再次成为经济学家关注的焦点。由于过去几年中国经济学家围绕国际贸易问题进行了较多的研究,本辑特意辟出国际贸易专题,来展示这个领域在过去所发表的代表性成果。

如果我们看一下所选编的代表性论文的作者群,也会发现中国经济学的一个变化轨迹。作者群正呈现两个重要的特征:一是海外归国人员与本土研究者之间的广泛合作正成为常态,这是系统的科学知识和方法与本土知识有机结合的必然结果;二是年轻研究者和成熟的学者之间的合作也日趋广泛,成熟学者具有丰富的科学研究经验和

良好的理论直觉,而年轻的研究者在技术和精力上具有明显优势,双方的合作应该更有利于未来中国经济学的传承和发展。当然,在选编这一辑的过程中,也发现了一些不好的现象。个别海外归国人员把在海外期刊已发表的论文略作修改,又发表在国内期刊上,这种做法看似有利于知识的传播,但在知识全球化扩散的今天,似乎不尊重知识产权。对于这样的论文,我们一经发现,立即取消了入选资格。

在编辑《中国经济学——2013》的过程中,《中国社会科学》、《经济研究》、《管理世界》、《经济学(季刊)》、《世界经济》、《世界经济文汇》、《新政治经济学评论》等国内顶级期刊给予了大力支持,对以上刊物以及参与编辑的老师,编者致以最真诚的谢意!由于受篇幅限制,许多高水平的论文无法入选,在此编者也向作者和刊物表示最真挚的歉意!由于各期刊编辑部推荐的论文中有关国际贸易问题研究的论文数量较多,我们决定增开国际贸易专题,选编这方面的论文。同时考虑到我们三个执行主编专业领域的局限性,特邀对外经济贸易大学的马湘君博士作为这个板块的执行主编,负责进行这方面的编辑工作,在此特别感谢马湘君博士所付出的艰辛努力!特别感谢宋枫博士和杨小静撰写了前言的英文版,特别感谢天则经济研究所余大章研究员对编辑《中国经济学》各辑文集付出的巨大努力!

二、本辑所收论文简介

在选编本辑的过程中,我们每个执行主编在各期刊编辑部推荐的论文基础上,都针对各自负责领域的论文进行了初选,然后把初选结果提交给其他三位执行主编,经过进一步筛选后提交同行评议,全部通过的论文才能入选。本辑共有13篇论文正式入选。在这些论文中,有5篇涉及公共政策领域,数量较多,仍然作为公共政策专题呈现给大家;宏观经济学专题有2篇,微观经济学专题3篇,国际贸易专题3篇。其中有两个问题需要特别说明:第一,执行主编之一是其中一篇入选论文的作者,但不是第一作者,并且在推选中也进行了回避,最后经柯荣住主编决定入选。第二,国际贸易专题有两篇论文的作者部分重叠,考虑到国际贸易领域国内研究者出品的高水平论文不多,同时作者也不完全重复,因此,在听取马湘君主编的建议后,这两篇论文同时入选。

(一) 公共政策专题

不平等问题一直是让经济学家苦恼的世界性难题,如何有效治理我国日益凸显的不平等状况成为中国经济学家最为关切的目标之一。其中个人所得税制度是迄今被各国广泛采纳的常规办法,但这种制度在实施了若干年后,究竟有没有起到促进公平的作用呢?对这方面的系统评价还少之又少。徐建炜等人试图利用微观住户调查数据,评估1997年以来我国个人所得税的收入分配效应,他们的研究发现,2006年之前,个人所得税的收入分配效应是在增强的,但在此之后,这种效应开始弱化。作者认为,

由于我国个税累进性较高,但平均税率偏低,使得个人所得税制度在调节收入分配方面的作用有限。这项研究无疑为今后改进个税制度提供了丰富的科学证据。但这项研究还存在许多值得商榷之处,如宋扬博士和连洪泉博士在评论中所指出的,除了一些指标的算法需要讨论外,个税本身的生产效应以及税收使用方面的问题等都没有涉及,而这些对于评估个税制度是不可或缺的。

不平等必然伴随着贫困现象的出现,中国经济学家对这一现象做了非常多的研究,但就贫困本身的度量鲜有讨论。章元等人的论文试图弥补这方面的缺憾。这篇论文通过采用新的方法将总贫困分解为暂时性贫困成分和慢性贫困成分,通过5个省份1995—2005年的农户面板数据进行实证研究,发现目前农户总贫困的下降主要来自于暂时性贫困成分,而反贫困的目标应该是降低慢性贫困。作者认为,只有改善人力资本、政治资本和金融资本才能做到这一点。这项研究对当前反贫困的公共政策设计具有重要的参考意义。但如孙文凯博士在评论中所指出的,这种分解方法本身还需要进一步讨论。特别是,慢性贫困的界定及其度量涉及相关政策设计的核心问题,这方面还不是特别清晰。

治理不平等不仅是一个宏观现象,更是一个微观现象。微观经济组织会影响收入分配以及不平等的治理,工会组织就是这方面的代表。魏下海等人抓住了这一重要问题,从理论和实证上深入探讨了工会对劳动收入占比以及劳动生产率的影响。他们发现,工会显著提升了企业的工资率和劳动生产率,但劳动生产率提升幅度更大,反而造成劳动收入份额下降。这一结论非常有趣。但对导致这一结果的内在机制,该文还阐述得不够。并且如孙蔚蔚博士在评论中所指出的,其中的变量、回归方法、结果解释以及内生性的处理等还需要进一步讨论。

和不平等相关的一个问题就是社会保障,毫无疑问,社会保障是反贫困、治理不平等的重要制度设计,而其中医疗保障又是非常重要的一环。迄今对健康和公共卫生方面的研究非常丰富,而赵绍阳等人的论文则抓住了“医保夹心层”这个特定群体进行研究,所谓“医保夹心层”就是指就业单位不缴或欠缴医疗保险费而被迫无法纳入医疗保险体系的城镇职工。基于一份调查数据,作者的研究发现,“医保夹心层”职工的健康状况较差,无法有效享有医疗服务,并且容易消极,这反过来可能增加社会成本。作者的这项研究非常重要,通过翔实的数据分析,让我们关注到了公共政策中一些容易被忽略的角落,而处于这一角落的恰恰都是弱势群体。本文的研究有助于改进公共政策的公平性。但如陆方文博士所指出的,论文没有深入讨论“医保夹心层”的形成机理,并且在回归方法、相关性的处理以及解释等方面值得斟酌。

在公共政策领域当中,地方政府行为是一个时常被热议的话题,相关研究也非常多。刘明兴等人基于一个大型跨年度调查数据,深入探讨了县乡之间、乡村之间的考核与激励,他们的研究发现,经济发展和社会稳定方面的考核权重在持续增大,而和农

民增收有关的考核则在弱化。和过去的相关研究相比,这项研究无疑更深刻和更真实地揭示了我国地方政府考评中存在的问题,并且可以由这项研究推知,地方政府的行为将可能不利于地方经济未来的持续健康发展。虽然该论文并没有采取复杂的数理和计量模型,但不失为一篇非常优秀的很有价值的学术论文。不过,这篇论文在探讨考核指标重心的变化时,缺乏相应的制度基础和社会经济成因的阐述,对于这一重心偏移可能的后果也没有更深入的估计。如赵文哲博士在评论中所指出的,整体上的分析还欠深入。

(二) 宏观经济专题

和过去宏观经济研究仅仅关注传统话题不同,从 2013 年所发表的论文看,越来越多的研究者开始从我国特定的宏观经济事实出发,来探讨切合我国实际情况的一些研究主题。张德荣的论文从中等收入陷阱出发,讨论了我国经济增长的动力来源。文章的主要发现和观点如下:(1)很多国家在经济发展进程中被锁定在“中等收入陷阱”。(2)经济增长初级阶段,资本和劳动投入是主导力量;接下来,制度和技术进步会成为下一个阶段的主导力量。如果一个经济体不能适时转换动力机制,将面临“中等收入陷阱”。(3)政府治理水平是决定动力机制转换的关键。(4)从国际比较看,中国正在面临“中等收入陷阱”挑战,依托制度改革和技术创新才能走出陷阱。

不过在文章结构、文献掌握情况、模型选择等多个方面,这篇文章还不成熟,有很多需要完善的地方。挑剔的读者可以从文章中找到很多瑕疵,但是瑕不掩瑜。选择这篇文章的主要原因有两个:一是选题,当前对中国经济发展阶段转换的相关研究太少,而这个问题的重要性与日俱增,甚至可以说是当前中国宏观经济问题研究中最迫切、最重要的问题;二是视角,国内学术界对中国经济发展阶段转换的研究角度过于单一,主要还是停留在新古典模型和对增长核算分解的研究上,这对于我们理解未来中国经济增长前景以及找到这个过程中遇到的主要挑战远远不够。这篇文章拓展了研究视野,对于增长动力机制转换的研究,虽然还很不成熟,但是个好的开始。

陈彦斌等人的论文则从宏观经济的视角,讨论了居民财产不平等问题。这篇论文基于居民资产与消费结构差异等特征,通过构建一个两部门两产品的 Bewley 模型来研究中国通货膨胀对财产不平等的影响。主要的发现是:如果通货膨胀率从 0 上升到 5%,那么总体财产不平等程度将会加剧,城镇穷人家庭的净财产减持比例将达到城镇富人家庭的 30 倍以上,农村家庭将遭受到较城镇家庭更高的福利损失。究其原因,除了穷人家庭因为在资产结构中持有更高比例的货币资产,所以在通货膨胀过程中遭受到财产减持与福利损失之外,更重要的是,带有结构性特征的中国通货膨胀会进一步恶化以穷人(尤其是农村的穷人)为代表的高恩格尔系数居民的消费结构,从而导致财产减持与更高的福利损失。

选择这篇文章的主要理由是:(1)这篇文章较好地结合中国国情设立模型,在研究