

东北振兴

黑龙江
吉林
辽宁

区域后发优势 ——实现机制研究——

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区域后发优势实现机制研究

**Research on realization mechanism of
regional backward advantages**

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内 容 提 要

改革开放后,中国经济在保持持续高速增长态势的同时,也存在一些对经济进一步发展不利的因素,其中之一就是区域经济差距不断扩大的趋势。探讨解决区域经济差距过大、实现区域经济协调发展的有效途径,具有非常重要的理论意义和实践意义。实现区域经济协调发展,关键问题是要解决后发区域的发展问题。本书对区域经济协调发展问题的探讨,就是从后发区域的视角展开的:首先,本书对区域经济协调发展和后发优势的相关理论观点进行了梳理,旨在为下面的论述提供理论基础;其次,界定了后发区域、区域后发优势等相关概念,并对区域后发优势的存在性进行了分析;第三,介绍了发展中国家和发达国家在缩小区域经济差距过程中的实践经验;第四,从微观层面(企业)、中观层面(产业)和宏观层面(政府),分别讨论了区域后发优势的实现机制,主要探讨了如何使区域后发优势从潜在的势能转化为现实的生产力;最后,选择了辽宁省、江西省和内蒙古自治区的经验数据,对区域后发优势实现机制进行了实证分析。在分析过程中,本书坚持以马克思主义经济学理论为指导,结合发展经济学、区域经济学、制度经济学和技术经济学等学科的理论方法,运用系统分析方法、制度分析方法、实证分析与规范分析相结合的方法等,对研究主题展开了较为全面、系统的分析。

序

《区域后发优势实现机制研究》一书，是郭丽博士在其博士论文的基础上，经过拓展后完成的一部学术著作。该书在我国落实科学发展观、构建和谐社会的历史背景下，从后发区域所独有的后发优势视角，探讨了如何通过加快后发区域的发展实现我国区域经济的协调发展，是一本比较有特色、有创意的著作，对促进我国区域经济协调发展具有重要的理论和实践意义。该书的特色和创意主要体现在以下几个方面：

1. 从区域后发优势实现机制入手研究区域经济协调发展问题，开拓了一个该领域研究的全新视角。实现区域经济协调发展，关键问题是要促进后发区域的经济的发展。后发区域因其落后性而拥有后发展的独特优势，该书围绕如何将这种潜在的后发优势转变为现实的发展能力、成为促进后发区域经济发展的动力而展开，为研究区域经济协调发展问题提供了一个更贴近矛盾焦点的新视角。

2. 构建了一个基于后发优势利用的制度分析框架，深化了后发优势理论的研究。该书认为制度落后是后发区域之所以发展缓慢的更为根本的原因，技术后发优势、资本后发优势、结构后发优势的充分利用，都必须以良好的制度为条件。因此，通过建立一个基于后发优势利用的、较为完整的制度分析框架，该书为研究后发区域的发展进行了一个有益的尝试。

3. 创建性地对区域后发优势的实现机制进行了实证分析，具有开拓性的实践意义。西部大开发以来，我国的区域经济协调发展取得了实质性的进展，一些后发区域在实践中取得了丰富的经验，该书通过调取经验数据，并将部分制度因素进行量化分析，比较充分地辅证了全书要展开的主题，对该领域的研究做出了一定的贡献。

中国的区域经济协调发展问题，在相当长时期内仍然会是一个需要

高度关注和认真研究的课题，郭丽博士为此进行了有益的、具有开拓性的探讨，为丰富该领域的研究做出了努力。后发区域的经济发展，还是尚未完全解决的问题，在这个领域内还有许多值得继续深入研究和探讨的问题。例如，各个区域版块内的先发展和后发展地区间的协调发展问题；由文化、传统、习俗等因素决定的非正式制度对后发区域经济发展所产生的影响；对区域后发优势实现机制进行更为细致准确的实证分析，等等。这些问题可以作为郭丽博士以后继续在该领域进行深度研究的课题，相信经过不断的攀登，一定会取得更为丰硕的研究成果。

宋冬林

2009 年 11 月于长春

摘 要

中国区域经济的不平衡发展,已经成为经济进一步发展的阻碍因素。因此,缩小区域经济差距、实现区域经济协调发展,对中国经济长期可持续发展具有重要意义。实现区域经济协调发展,关键问题是要解决后发区域的经济发展问题。后发区域因其落后性而拥有后发展的独特优势,如果能够加以充分利用,就能带来后发利益。但是,区域后发优势是一种潜在的势能,如何将这种潜在的势能转化为现实的生产力,成为促进后发区域经济快速发展的动力?本书从后发区域的视角,讨论了如何构建使后发优势由潜在势能转化为现实生产力的实现机制问题。

区域经济差距及区域经济协调发展问题是近年来理论界关注的重点课题之一,学者们从不同角度对这些问题展开了较为深入的探讨。几乎所有相关的研究,都肯定了中国区域经济差距存在的现实,特别是从20世纪90年代中后期开始,差距有不断扩大的趋势。区域经济差距产生的主要原因,包括区域间的物质资本、人力资本禀赋、结构变动、市场化进程、地方政府间竞争、自然地理历史等方面的差异。对于区域经济协调发展问题的研究,目前国内学者大多还是借助于西方经济学的趋同理论,而对中国所处的特殊时期和特殊阶段考虑不多。马克思主义的后发展经济学思想,以及格申克龙等学者的后发优势理论给我们以启示,从后发区域视角更能深入到解决问题的实质。国内对于后发区域和后发优势的理论研究虽然已经开始,但还不系统,特别是对于后发优势实现机制的研究还比较薄弱,这是本书研究的目标。

中国区域经济不平衡发展的历史由来已久,我们将处于不同发展态势的地区划分为先发区域和后发区域。后发区域因其落后性,而拥有独特的后发优势,主要包括资本后发优势、技术后发优势、制度后发优势和结构后发优势。资本边际生产率递减规律的作用,会导致资本由先发区域向后发区域的转移,使后发区域可以利用资本后发优势。技术差距的存在和技术的溢出效应,使后发区域可以通过引进技术并加以模仿、创新,充分利用技

术后发优势。制度变迁的过程是一个反复试错、不断调整的过程,中国的先发区域在改革开放进程中,经过这样的过程形成了一系列有效率的制度,后发区域通过制度的移植、模仿与创新,可以降低制度变迁的成本,从而利用制度后发优势。产业结构是伴随着经济增长而不断演进的,后发区域同先发区域由于经济发展水平的差异形成了产业结构上的梯度差异,后发区域通过承接先发区域的产业转移而实现结构后发优势。

企业作为微观经济活动主体,是推动区域经济发展的最基本力量。后发区域企业虽然面临不利的生存环境,但可以利用有利的资源条件和现有基础,选择适当的发展模式,包括内生型企业发展模式、植入型企业发展模式和混合型企业发展模式。内生型企业由于自身内部机制还存在一些问题,需要通过企业内部制度的创新不断成长,并且采取集群式的发展模式,这更有助于推动区域经济增长。植入型企业主要是针对后发区域原来薄弱或没有的高技术企业而言,后发区域可以通过高科技园区的建设,引入“飞地企业”概念,在空白的基础上也可以发展起高技术企业。

产业结构优化升级是促进后发区域经济发展的重要途径。后发区域与先发区域存在一定的产业梯度差异,后发区域利用先发区域产业结构调整契机,通过承接先发区域产业转移,可以接受更多高水平技术和产业的辐射。然而,产业区域转移粘性的存在,以及后发区域制度的滞后,制约了产业从先发区域向后发区域的转移。在尊重经济规律的前提下,利用适当的政策手段,通过先发区域地方政府、后发区域地方政府和中央政府的共同努力,可以促进产业的区域转移,对后发区域经济发展具有重要促进作用。

在协调区域经济发展问题上,地方政府和中央政府各自发挥着不同的作用。地方政府和中央政府之间、后发区域地方政府和先发区域地方政府之间,在行为目标上存在着差异。中央政府代表着国家的整体利益,地方政府既是中央政府的代理人,又是辖区局部利益的代表,他们之间不断进行着利益博弈。利益博弈中后发区域地方政府总是处于竞争弱势,这对后发区域经济发展不利,也会影响到国家区域协调发展目标实现。要改变这种局面,一方面,需要中央政府的宏观调控和先发区域地方政府的大局意识,另一方面,还需要后发区域地方政府自身的努力,通过制度创新提升竞争能力。

限于框架结构,本书只涉及了国家范围内的后发区域及其后发优势,对区域范围内的后发区域及其后发优势问题没有讨论;本书只考察了影响后发优势实现的正式制度,而对非正式制度涉及不深;本书对后发区域中取得较好绩效的省份的实证研究还显不足。这些没有充分展开的问题,为本人的后续研究提供了努力的方向。

本书的创新之处主要有:

1. 研究视角的创新。研究中国区域经济协调发展问题的文献很多,但大多是从宏观角度,运用西方经济学的趋同理论进行实证研究,从单因素或几个因素分析区域经济差距的现实和成因,并相应提出一些区域经济协调发展的政策建议。从后发区域角度的分析虽然也有,但还比较少见,而且不系统。本书选取了后发区域所独有的后发优势的视角,研究分析区域经济协调发展问题,这为解决问题提供了一个更贴近矛盾焦点、更具理论和实践意义的视角。

2. 基于后发优势利用的制度分析框架。既往的、包括区域后发优势理论在内的、关于区域经济协调发展的理论研究,主要是从技术的角度展开,认为技术差距是落后地区之所以落后的原因,后发优势的利用也主要是技术后发优势。本书认为,技术差距当然是落后的重要原因,但是,制度的落后是更为根本的原因。技术差距很重要的一个原因是由于制度落后所致,而且,技术后发优势的利用,必须以良好的制度安排为基础。此外,资本后发优势、结构后发优势的充分利用,也都要以良好的制度为条件。因此,本书建立了一个基于后发优势利用的、较为完整的制度分析框架,对区域后发优势的实现机制,进行较为深入的探讨。

3. 区域后发优势的实证分析。从区域角度对后发优势理论的研究还不多见,实证研究特别是制度方面的实证研究更是少见。本书在第6章中,以内蒙古乳业发展为例,分析了后发区域内生增长型企业成功的经验;在第7章中,本文选取了吉林省与江苏省的相关数据,运用回归分析的方法,比较了后发区域与先发区域的制度差异,从而为后发区域改进制度、通过承接先发区域产业转移调整结构提供经验参考;第9章利用辽宁、江西、内蒙古三个省和自治区的相关数据,对区域后发优势实现机制进行了系统的实证分析,对后发区域跨越发展进行了有益的探讨。

关键词:后发区域;后发优势;实现机制

Abstract

Research on realization mechanism of regional backward advantages

Unbalanced development of Chinese regional economy has become an impeding factor which impacts economy's further developments. As a result, narrow the economic gap among regions and achieve balanced regional economic developments have great significance on long-term sustainable development of Chinese economy. To realize the coordinated development of regional economy, the key is to address the economic development issue of late-developing regions. Late-developing regions have unique developing advantages because of their backwardness. If we can make full use of them we can bring out post interests. However, the post advantage is a kind of potential energy. How to transfer this potential energy into real productivity and developing momentum of late-developing regions? In this paper I start from the perspective of late-developing regions and discuss how to achieve the mechanism issues through building post advantage to transfer potential energy into practical productivity.

The problem of regional economic disparities and regional economic coordinated development is one of the key subjects concerned by theory circle in recent years. Scholars carry out more in-depth discussions on this issue from different perspectives. Almost all of the relevant researches affirm the reality of existing disparities in Chinese regional economy. Especially from the middle and late 1990s, the gaps are widening. The main reasons for regional economic disparities include the regional material capital, human capital endowment, structural changes, market process, competition between local governments, nature, geography, history. For the research of coordinated regional economic development, at present most domestic scholars rely on convergence theory of western economics but consider inadequate of special time and stage which China is loca-

ted in. Post – development economics theory of Marxism and backward advantage theory of Gerschenkron and other scholars give us enlightenments. They let us realize the real essence of problems from late – developing region's perspective. Although they have started late – developing regions and backward advantage researches in domestic areas, they are not systematic; we are still weak especially in the research of backward advantage's realization mechanism. This is the target of this paper.

China has a long history of imbalance in regional economic developments. We can divide different regions which have different development situations into early – developing regions and late – developing regions. Since the late – developing regions have under – developed properties they have unique advantages, including the backward advantages of capital, backward advantages of technology, backward advantages of system and backward advantages of structure. Under the effects of diminishing marginal productivity of capital's role, it will lead capital transfer from early – developing regions to late – developing regions. So that late – developing regions can make use of capital's backward advantage. The existence gaps between technology and technology spillovers can make late – developing regions do imitation, innovation and full use of technical advantages through introduction of technology. Institutional change is a process of repeated trial, errors and adjustments. Chinese early – developing regions undergo this procedure in the process of reform and opening – up and form a series of efficient system, late – developing regions' transplant system, imitation and innovation. These can reduce the cost of changing the systems so as to make use of the backward advantages of systems. The industrial structure is constantly evolving with economic growth, the differences between early – developing regions and late – developing regions in the level of economic developments form gradient difference in industrial structure. Follow the adoption of industrial transfer of early – developing regions; late – developing regions can realize backward advantages.

Enterprise is the most basic force to promote regional economic development as the main body of micro economics. Although enterprises in late – devel-

oping regions are in face of adverse living environment , they can make use of favorable conditions and existing resources ; they can select appropriate modes of development which include entophytic model of development , implantable enterprise development model and hybrid model development . Entophytic enterprises still need growth through enterprise systematic innovation due to some problems in its own internal mechanisms . They will take cluster - style development model which also helps to promote regional economic growth . Implantable enterprises are those which compare with weak or non high - tech enterprises in late - developing regions . Follow by high - tech park construction and the introduction of " enclave business " concept we can also develop high technology companies on blank basis .

The optimization and upgrading of industrial structure is an important way to promote regional economic developments . There are certain gradient differences between early - developing regions and late - developing regions . The late - developing regions make use of regional industrial structure adjustment opportunity , go through transfer of regional industries in ate - developing regions and accept more high level industrial technologies and radiations . However , the existence of industrial region ' s viscous transfer and lagging system of late - developing regions restrict the transfer from early - developing regions to late - developing regions . Under the promise of respecting economic laws , making use of appropriate policy and going through local government and central government ' s efforts of working together , we can promote regional transfer of industries . This has important promoting role for economic developments in late - developing regions .

In coordinating regional economic developments , local governments and central government play different roles . There are differences between central government and local government , early - developing region and late - developing regions ' government action and goals . The central government is on behalf of country's overall interest ; the local government is not only an agent of central government but also a representative of local area interests , they conduct consistent interest game . In interest game the local government of late - developing

region is always vulnerable, which will affect to achieve the goals of following regional coordinated economic developments. To change this situation, on one hand, we need the central government macro - control and early - developing region governments' overall consciousness; on the other hand, we still need late - developing region governments go through institutional innovation to improve competitiveness by their own efforts.

This chapter puts forward a conclusion, defects and imperfections of the whole paper. This paper only occupies late - developing region and its advantages within the country; there is no discussion in regional late - developing area and its backward advantages; this paper only studies the formal system which impacts the realization of backward advantages, it does not make deep involving with informal systems; this paper is still inadequate in empirical research of provinces which achieve better performance in late - developing region. These issues are not fully carried out which will provide direction for my efforts in following - up researches.

The main innovations of this paper includes:

1. The innovation of research perspective. There are a lot of literatures which do research on Chinese regional economic development, but most of them are from macro points of view and adopts convergence theory of western economics to do empirical research. They start from single factor or multi - factors to make analysis on the reality and causes of regional economic gaps; and then put forward a number of economic policy proposals for regional coordinated developments. There is analysis which comes from the perspective of late - developing region; however, it is still relatively rare and not systematic. This paper selects the backward advantage perspective of late - developing region and makes analysis of regional economic development issues. These provide a perspective which is closer to focus, more theoretical and more practical for solving conflicts.

2. Base on systematic analysis framework of backward advantage utilization. The prior theoretical researches including the research on regional backward advantages are mainly carried out from a technical point of view. They think the technology gaps are the reasons of lagging behind, the utilization of

backward advantage is also the usage of technology backward advantage. This article believes that technology gap definitely is an important reason, but the backward system is the fundamental reason. The technology gaps are caused by backward system. Moreover, the utilization of technical backward advantage shall base on good institutional arrangements. In addition, fully utilization of capital and structure's backward advantages shall base on good system. As a result, this paper will establish a complete system analyzing framework and conduct in - depth discussions for the realization mechanism of regional backward advantages.

3. The empirical analysis of regional backward advantages. There are rare studies on backward advantage study from regional perspective. The empirical research, in particular empirical research in system aspects is rare. In chapter 3 of this paper, it takes the development of Inner Mongolia dairy industry as example and makes analysis of successful experiences of growth - oriented enterprises in late - developing regions; in Chapter 4, this article takes Jilin province and Jiangsu province's relevant data and apply the manner of regression analysis to illustrate systematic differences between early - developing regions and late - developing regions, then it will provide experiences and references for late - developing regions so as to improve systems and adjust industrial structure through connecting with early - developing regions.

Key words: Late - developing regions, Backward advantages, Realization mechanisms

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