



中南财经政法大学
青年学术文库

中国“幸福—收入之谜” 的作用机制研究

鲁元平 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。

本文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，形成具有我校特色的学术流派与学术思想体系。因此，本文库重点面向中青年，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 Fanwenlan, Jiwenfu, Panzinian and Mazhemin, 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 specific

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

2009. 10

摘 要

自斯密以来,主流经济学理论都认为财富或者收入是人们获得幸福的前提,收入水平的高低是间接度量福利水平高低的一个主要指标,从而使所有提高社会福利的经济政策,最终都会归结于经济的长期增长。然而,通过幸福感调查的实证研究表明,经济增长几乎不能提高发达国家居民的福利水平。发展中国家经济发展到一定的水平后,也出现了同样的现象。当经济发展到一定程度,居民幸福感水平趋于一个稳定的值,呈现水平状态。经济学者将之称为“幸福—收入之谜”、“幸福悖论”或“伊斯特林悖论”。通过对世界价值观调查(WVS)数据分析发现同样的现象在中国也是存在的。那么,究竟是什么原因导致了该谜题在中国的发生呢,其作用机制是什么?本书将对此进行实证研究。

本书用七章篇幅,从宏观经济因素和社会因素两个方面对中国的“幸福—收入之谜”的作用机制进行检验。首先,检验中国的收入不平等状况对居民幸福感的影响。结果发现我国居民表现出了明显的收入不平等厌恶,由于受到“不患寡而患不均”的历史传统和“社会主义”意识形态的影响,我国居民对不平等的容忍程度较低。较低的收入不平等的容忍度与较高的收入不平等之间的矛盾,使得它对居民的主观幸福感产生较大的负面影响。而且,除了收入不平等自身对居民幸福感有显著的负面影响外,收入差距过大,尤其是不合理、不公正的收入差距扩大,直接影响社会成员的心态平和程度,导致心理失衡和强烈的失落感,滋生对社会的不满情绪,形成社会的不稳定和犯罪因素,这些犯罪活动又会进一步对居民的幸福感产生负面影响。

其次,检验中国的阶层固化、机会不均等对居民幸福感的影响。实证结论显示,向下流动给居民幸福感带来的负面影响(-0.070分)要远远大于向上流动所带来的正面影响(0.045分),这在某种程度上解释了当前中国“幸福—收入之谜”的原因。由于社会阶层固化越来越严重,向上

流动的渠道日益阻塞，剩下的社会阶层状况要么是不流动，要么就是向下流动，这导致居民总体平均幸福感的下降。与此同时，在社会不流动的过程中往往伴随着机会的不平等，因为社会不流动、阶层长期固化，那将意味着大量的底层居民无法顺利向上流动，这即是重大的机会缺失，本书发现不同阶层之间的机会不平等也是导致居民不幸福的主要原因。

再次，检验政府质量对居民幸福感的影响。本书发现腐败对我国居民的主观幸福感造成显著的负面影响，因为它是一种不良的“气候”，破坏了社会的公平和正义，激发人内心的不满情绪，直接造成居民的幸福感受损失。除此之外，腐败对居民主观幸福感的影响中还有一部分是通过影响社会非正式制度（人际间信任水平）实现的。腐败会导致居民对政府机构、政府机构人员的不信任。人际间信任感的丧失意味着非正式制度保障的逐渐破裂，居民的安全感不断降低，从而使得他们难以感到幸福。

最后，检验中国式分权对居民幸福感的影响。中国式分权造成了财政支出结构的扭曲，“地方政府更加注重投资性支出，轻视公共服务和人力资本投入的财政支出”，这几乎已经成为学者中的共识。但是，到目前为止，学界并没有对此种特有的现象进行深入的探讨，即分权导致支出结构偏向，而这种与中国式分权相关联的支出结构偏向又会给居民的社会心态、生活满意度和主观幸福感带来了怎样的影响？本书发现财政分权对我国居民的幸福感受产生了显著的负面影响，其原因主要在于公共支出结构的扭曲。因此，增加民生性支出的比重是破解“幸福—收入之谜”之道。

关键词：主观幸福感 “幸福—收入之谜” 收入不平等 中国式分权

Abstract

After the emergence of Smith's theory, the mainstream economic theories take wealth or income as the premise for people getting happiness, the level of income is regarded as an indirect measure of welfare as a major indicator of the level, making all economic policies to improve social welfare, and finally will due to long-term economic growth. However, the happiness survey evidence shows that economic growth can hardly improve the welfare of the residents when the economy develops to a certain extent, and the level of happiness tends to a stable value, economists call it the "happiness-income puzzle", "happiness paradox" or "Easterlin paradox". In the case of China, the World Values Survey data show the same phenomenon also exists in China. So, what causes the puzzle was happened in China? What is its mechanism? This article will conduct empirical research about this issue.

In this dissertation, we used four chapters to test the mechanism of China's "happiness-income puzzle". Firstly, estimate the relationship and mechanism between income inequality and residents' subjective well-being in China. Our results show that income inequality has negative effects on residents' subjective well-being significantly. Due to the historical tradition of "Not afraid get less, but afraid unequal distribution" and the "socialism ideology", which makes Chinese people showed a significant aversion to income inequality. Moreover, in addition to the significant negative impact of income inequality on Chinese people's happiness, the income gap is too large, especially unreasonable, unfair income disparities directly affect the peace of mind of members in the community, leading to psychological imbalance and a strong sense of loss, the breeding of social discontent, the formation of social instability and crime factors, these criminal activities will further the negative impact of income inequality on residents' hap-

piness.

Secondly, estimate the relationship between social immobility, inequality of and residents' subjective well-being in China. Results show that the negative happiness effects of downward mobility (-0.070 points) is much greater than the positive effects of the upward mobility (0.045 points), which in some extent to explain China's current "happiness-income puzzle". Because of social class curing more serious, growing channel for upward mobility blocked, the rest of the social class status neither not mobile nor downward mobile, which leads to overall population decline in average happiness. At the same time, in the process of social mobility is associated with inequality of opportunity generally. Because society does not mobile, it will mean a lot of people can't be successfully underlying upward mobility, which is the loss of opportunity, this dissertation found that inequality of opportunity between different social class is the main reason leading to unhappy.

Thirdly, estimate the relationship government quality and residents' subjective well-being in China. Results show that corruption has negative effects on residents' subjective well-being significantly, because corruption is a bad "climate", it may destruct the equity and justice of society and stimulate residents' inner discontent. In addition, the effects of corruption on happiness also through change the informal system (interpersonal trust level) to achieve. Corruption will lead to residents don't trust government agencies and government's staff. The loss of interpersonal trust means that the protection of informal system was ruptured. Residents continue to lower the sense of security, making them difficult to feel happy.

Finally, test the Chinese-style decentralization impact on the residents' happiness. Chinese-style decentralization resulted in distortion of the structure of fiscal expenditure, local government pay more attention to investment spending than public services and human capital investment expenditures, which almost has become the consensus of scholars. However, so far, scholars are not peculiar to the depth of this discussion, that Chinese-style decentralization tend to distort the structure of expenditures, and how residents' social psychology, life satisfaction and subjective well-being were effect by this situation? Results show that fiscal

decentralization has negative effects on residents' subjective well-being significantly, and primarily due to the distortion of the structure of public expenditure caused. Therefore, increase the proportion of social expenditure is a way to solve the "happiness-income puzzle" in China.

Key words: subjective well-being "happiness-income puzzle" income inequality Chinese – style decentralization

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