

居民收入差距适度性 测度与预警研究

Research on Measures and Early Warning of
Residents' Income Gap Moderation

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中国社会科学出版社

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前 言

居民收入差距，不是越小越好，也不是越大越好。收入差距过大，如果超过居民承受能力，则会引发公众的不满情绪，引发贫富阶层的利益冲突，削弱对国家现行政策的认同，影响社会稳定，抑制经济增长；收入差距过小，如果采用平均主义的分配方式，多劳者不多得，少劳者不少得，不劳者搭便车，既是对能力强、勤奋的劳动者的不公，也会挫伤劳动者的积极性和创造性，导致低效率，阻碍经济增长。

新中国成立以来，我国居民收入分配先后经历了收入差距过小逐渐向收入差距过大的演变过程。改革开放前 30 年，中国居民收入分配基本上实行“平均主义”、“吃大锅饭”的政策，导致生产要素所有者和投入者参与社会再生产的积极性受到了很大抑制，这也是造成改革开放之前我国经济发展缓慢甚至停滞不前、居民共同贫穷局面的重要原因之一。为了克服“平均主义”导致的低效率弊端，党的十一届三中全会以后，改革首先打破平均主义、打破“大锅饭”，政府鼓励一部分人先富起来，充分发挥市场作用，从农村到城市，经济活力被充分激发出来。改革开放以来，中国经济持续增长，居民收入显著增加。城镇居民人均可支配收入从 1978 年的 343.4 元增加到 2013 年的 26955.1 元，增长 77.5 倍；农村居民人均纯收入从 1978 年的 133.6 元增加到 2013 年的 8895.9 元，增长 65.6 倍。扣除物价因素，城乡居民收入年均增长 7% 以上。然而，居民收入差距也在不断扩大，世界银行公布的数据显示，我国基尼系数已由改革开放前的 0.16 上升到目前的 0.47，基尼系数已突破“警戒线”。

对现阶段我国居民收入差距大小的基本判断与评价，学者们观点各异，分歧很大。一种观点认为现阶段我国居民收入差距是适度的；另一种观点认为虽然我国居民收入差距已经进入“警戒”区间，但并没有出现两极分化；

还有一种观点认为我国居民收入差距已经出现了两极分化。学界对我国居民收入差距的判断主要依据度量收入差距的少数指标（如基尼系数）得出的结论，缺少相关理论依据，没有综合考虑居民收入差距与经济增长、与资源配置效率、与社会稳定与公平的适应与协调程度，从而出现不同性质的判断结果。

目前学者关于居民收入差距的现状、形成的原因、产生的影响、相关的政策建议等方面研究较多，而对居民收入差距适度性相关问题研究很少。在理论研究方面，学者对居民收入差距适度性内涵的界定不够科学，主观因素较多；对收入差距适度性判断标准更多地依据经验性标准、定性标准，缺乏理论依据。因此，加强对收入差距适度性内涵和判断标准的理论研究，对于统一对居民收入差距适度性的认识具有一定的理论意义。在居民收入差距适度性评价指标设计上，没有形成一个科学合理的评价指标体系；在测度方法上，通常根据少数指标来判断居民收入差距的大小；对居民收入差距及其适度性的影响因素，往往采用单一或少数几个因素进行探讨，定性分析较多。如何在现有研究的基础上，揭示居民收入差距适度性的影响因素，构建居民收入差距适度性评价体系，这是目前理论研究的薄弱环节。本书将在居民收入差距适度性评价指标和测度方法方面有所突破。目前学界对居民收入差距监测预警研究刚刚起步，预警机制还没有建立起来。本书将从预测、预警、调控三个方面构建居民收入差距适度性预警机制。运用预警理论和方法研究居民收入差距适度性问题本身就是一种理论上的新尝试，需要进行预警理论、预警方法的创新和突破，具有十分重要的理论研究价值。

在实证研究方面，本书在构建居民收入差距适度性评价体系基础上对居民收入差距适度性进行统计测度与分解，有助于考察我国居民收入差距与经济增长、资源配置效率、社会稳定与公平的综合适应与协调程度；对中国居民收入差距适度性相关问题进行问卷调查，有助于考察我国城乡居民对现阶段居民收入差距适度性相关问题的基本判断与评价；在探讨居民收入差距及其适度性影响因素基础上进行实证检验，有助于分析众多因素对我国居民收入差距的影响程度与贡献率，并为居民收入差距适度性预警提供警源指标，有助于从源头上把握居民收入差距不适度的原因，提出具有针对性的政策建议，为政府部门制定科学合理的收入分配政策提供参考借鉴；在构建居民收入差距适度性预警机制的基础上，对居民收入差距不适度状况，即居民收入差距与经济增长、资源配置效率、社会稳定与公平不协调性可能引发的重大经济社会问题进行提前监测与预警，可以为政府部门及时采取防范措施提供

实证依据,对于有效调控居民收入差距、构建和谐社会具有重要的现实意义。

本书的主要研究内容:(1)在理论研究方面,明确界定了居民收入差距适度性的内涵,提出了居民收入差距适度性的判断标准,揭示了居民收入差距及其适度性的主要影响因素,从居民收入差距、经济增长、资源配置效率、社会稳定与公平几方面构建了居民收入差距适度性评价指标体系,提出了居民收入差距适度性的测度方法,从预测、预警、调控三个方面构建了居民收入差距适度性预警机制,由此构建一个相对完整的理论研究框架。(2)在实证研究方面,对中国居民收入差距进行统计测度与分解,对中国居民收入差距及其适度性的主要影响因素进行实证检验,对中国居民收入差距适度性进行综合评价,对中国居民收入差距适度性相关问题进行问卷调查,对国外调节居民收入差距的国际经验与教训进行横向比较,从明确警情、寻找警源、分析警兆和预报警度几大环节对中国居民收入差距适度性进行监测预警,从初次分配领域制度机制设计、再分配领域公共政策选择等方面提出缩小居民收入差距的政策建议,为政府制定科学合理的收入分配政策提供了重要的参考依据。

在理论研究方面,本书与现有相关研究相比,主要创新之处有以下几点:

第一,界定了居民收入差距适度性的内涵,提出了居民收入差距适度性的判断标准。目前基尼系数、泰尔指数、变异系数等是测量收入差距的常用指标,后两个是中性指标,没有警界线大小之说,而通常把基尼系数等于0.4作为收入差距的“警戒线”也缺少理论依据。居民收入差距适度性,实质上是对收入分配结果在公平与效率之间、在增长与稳定之间的均衡问题,是相对于经济增长、资源配置效率、社会稳定与公平而言的一种整体协调性。本书从经济稳定增长、资源有效配置、社会稳定与公平等方面界定了收入差距适度性的内涵,从层次性、相对性、系统性等归纳了居民收入差距适度性的基本特性,从是否有利于促进经济持续增长、是否有利于促进资源配置效率的提高、是否有利于促进社会稳定与公平作为居民收入差距适度性的判断标准。这符合科学发展观的要求和构建和谐社会的理念,有其理论支撑依据。

第二,从居民收入差距、经济增长、资源配置效率、社会稳定与公平等方面构建了居民收入差距适度性评价指标体系。由于收入差距不仅仅是一个单纯的经济问题,而且与各种社会因素交织在一起,衡量居民收入差距适度

性不是单一指标或少数几个指标,而应该是一个相互联系的综合性评价指标体系,否则会出现偏差。只有构建科学合理的评价指标体系,才能对居民收入差距适度性做出较为准确的判断与评价。本书根据科学性、系统性与代表性、可行性与可比性原则,从收入差距(基尼系数、泰尔指数、变差系数)、经济增长(经济规模、经济结构、经济活力)、资源配置效率(劳动效率、资本效率、技术效率、资源利用效率)、社会稳定与公平(社会公平、社会保障、社会安全与稳定)等方面构建评价指标体系,与以往研究指标相比更加全面与合理。

第三,提出了居民收入差距适度性的测度方法,揭示了居民收入差距适度性的主要影响因素。目前理论界对居民收入差距适度性研究缺少合理的测度方法,本书利用因子分析法分别构建收入差距评价指数、经济增长评价指数、资源配置效率评价指数、社会稳定与公平评价指数、经济社会协调发展综合评价指数,利用隶属函数协调度模型构建居民收入差距适度性综合评价指数和适度性分类评价指数。该方法的优点在指标权重的确定上比较客观、人为影响因素较小,适度性评价指数具有一定的科学性和可操作性,有助于对居民收入差距适度性现状进行客观性评价。现有相关研究在探讨居民收入差距及其适度性的影响因素时,往往单独讨论某一特定因素较多,综合考虑多个因素较少;重视客观指标的作用较多,考虑主观指标的作用较少;从宏观视角进行理论分析较多,从微观视角进行理论探讨较少。本书力图克服这些缺陷,既从宏观层面,如经济增长、对外开放、技术进步、经济体制改革、金融发展、政府政策、人力资本、物质资本、城镇化水平、城乡二元结构等方面揭示居民收入差距及其适度性的影响因素;也从微观视角,如个人与家庭基本特征、人力资本、政治资本、物质资本、制度因素、行业特征、地理环境与地区差异等方面对居民收入差距及其适度性的影响因素进行理论探讨,与以往研究相比更加全面与客观。

第四,构建了居民收入差距适度性预警机制,在一定程度上丰富了居民收入差距预警理论。如何掌握居民收入差距适度性在未来的变动趋势,科学监测和防范居民收入差距的扩大,需要建立居民收入差距适度性预警机制,而经济预警理论在我国处于起步阶段,以居民收入差距适度性为研究对象的预警机制还没有建立起来。本书从预测、预警和调控等方面构建居民收入差距适度性预警机制,在一定程度上丰富了居民收入差距预警理论研究;从明确警情、寻找警源、分析警兆、划分警限和预报警度几大环节对居民收入差距适度性进行监测预警分析,对政府制定相应的经济政策具有一定的参考价

值和借鉴意义。

在实证分析方面,本书与现有相关研究相比,主要贡献有以下几点:

第一,本书探讨居民收入差距适度性,研究视角不再局限于客观评价指标,而且考虑居民对收入差距的心理感受,重视主观评价。从目前居民比较关注的热点与难点问题,比如,对现阶段居民收入差距适度性的基本判断、目前居民收入差距扩大的主要原因、现阶段公众对居民收入差距扩大的承受力、当前公众对收入分配状况的满意度、收入分配不公平现象加剧可能导致的后果、与城镇居民相比对农村居民不公平的主要表现、现阶段公平与效率的关系、影响社会稳定的主要因素、当前阻碍效率的主要风险、促进公平分配的政策重点等方面内容,对现阶段我国居民收入差距适度性相关问题进行问卷调查与统计分析,得出了具有启发意义的研究结论,这对政府制定科学合理的收入分配政策具有一定参考价值。

第二,对中国居民收入差距的主要影响因素进行实证研究,既从宏观层面进行模型分析,也从微观层面进行实证研究。本书对 Mincer 收入模型和 Shorrocks 回归分解法进行扩展,利用宏观统计数据 and 微观问卷调查数据,对城镇居民收入差距、农村居民收入差距、地区居民收入差距的主要影响因素进行实证分析,测算各主要影响因素对收入差距的解释程度及其贡献率,这在现有相关研究中是比较少见的。该方法有许多优点,如不受测度收入差距指标的限制,可以把众多影响因素纳入一个分析框架,对于多元回归模型没有附加性条件等。基于 Oaxaca-Ransom 分解法,测算城乡居民收入差距的贡献率,这在现有相关研究中也是比较少见的。该方法一方面可以测算因个人与家庭基本特征、人力资本、地区因素等方面存在的差异对城乡收入差距的贡献率,另一方面还可以测算“城乡二元结构”对城乡收入差距的贡献率。

第三,基于全国 31 个省份 6937 份居民问卷调查数据,本书构建了有序 Probit 模型,从微观视角对农村居民收入差距适度性、城镇居民收入差距适度性和城乡居民收入差距适度性的主要影响因素进行了实证研究,分析其影响程度,这在现有相关研究中也是没有涉及的。本书模型分析所用的调查数据覆盖了全国 31 个省份,样本容量大,有效地解决了以往计量模型所面临的样本容量少、自由度较低、时效性差等问题的困扰,提高了模型系数的估计效果。

当然,本书研究也存在一些不足之处:

本书实证分析中使用的各种宏观数据与中观数据,由于使用的指标与变

量较多,有的指标与变量所用数据在统计年鉴中,有些年份有数据可查,而在另外一些年份无数据可查,为了统一时间,本书多数年份使用了1990—2010年统计数据,这是本书的不足之处。如果使用的统计数据时间跨度更长、样本容量更多,则模型估计的结果更可靠,实证分析结果与研究结论就更有说服力。本书实证分析中使用的各种微观数据,来自2012年本课题组对全国31个省份的城镇居民和农村居民的问卷调查数据,共发放问卷10000份,最终得到有效样本6937份(其中城镇有效样本4085份,农村有效样本2852份),东部地区样本容量较多,西部地区样本容量相对较少,城镇样本容量较多,农村样本容量相对较少,样本容量在全国各省份分布不均匀、在城镇与农村分布不均匀,这也是本书的不足之处。如果能扩大样本容量,使得全国各省份样本分布相对均匀,城镇与农村样本分布相对均匀,将更具有代表性,研究结论及其政策建议也更有推广价值。

目前理论界关于居民收入差距适度性测度与预警研究缺少一个完整的理论研究框架,本书在吸收和借鉴国内外学者观点的基础上,进行了有益的探索,但由于笔者研究能力所限,在居民收入差距适度性的内涵界定与判断标准、居民收入差距适度性评价指标体系的构建、居民收入差距适度性的测度方法、居民收入差距适度性的影响因素、居民收入差距适度性的预警机制等方面的探讨可能还存在一些缺陷与不足,有待在今后的研究中进一步丰富与完善。

Abstract

Currently, in the theoretical field, the definition of residents' income gap moderation is not reasonable because of many subjective factors, the judgments are based more on empirical criteria and lack of theoretical basis, the methods of measurement are not practical and have not formed a scientific and reasonable comprehensive evaluation index system, the influencing factors are often lack of empirical testing and interpreted by only a few factors, researches on early warning of residents' income gap moderation are almost empty, and early warning mechanisms have not been established. Therefore, it has a very important theoretical meaning. In intensifying the theory study on residents' income gap moderation and building a relatively complete theoretical framework.

By studying the definition, standards and evaluation system of residents' income gap moderation, this book can help to make more accurate judgments and objective evaluation, to investigate the degree of adaptation and coordination on income gap of residents, economic growth, the efficiency of resource allocation, and the social stability. Through the research on the influencing factors of residents' income gap moderation, this book contributes to reveal the nature of residents' income gap moderation in China, and proposes some targeted policy recommendations. The research on the influencing warning mechanism of residents' income gap moderation contributes to early warning to take control to take. Therefore, the empirical analysis of residents' income gap moderation has important reference value and significance for government departments to formulate scientific and reasonable policies to regulate residents' income gap effectively.

In the aspect of theoretical research, this book clearly defines the implica-

tions of residents' income gap moderation, puts forward the criteria, reveals the main influencing factors, and builds the evaluation index system from the aspects of income gap, economic growth, efficiency of resource allocation, social stability and equity. This book also puts forward the method to measure residents' income gap moderation and constructs a relatively complete theoretical framework from building early warning mechanism through three aspects of forecasting, early warning and regulating.

Empirically, this book measures and decomposes the residents' income gap moderation in China, analyzes the main factors of residents' income gap moderation, makes a comprehensive evaluation, conducts a questionnaire survey of related problems about residents' income gap moderation, and compares the international experiences and learns from the lessons of foreign regulation. This book monitors residents' income gap moderation from clearing alarm, finding source, analyzing signs and warning degree. Furthermore, it puts forward the policy recommendations of narrowing the income gap and provides the important referable basis for government to formulate a scientific and reasonable income distribution policy from the mechanism design of primary distribution system and the public policy choice of redistribution.

The book is organized into twelve chapters. The first chapter is an introduction. In this chapter, the first step is to set forth the background and significance of the research. And the Literature review. Then this chapter puts forward the contents, research objectives, methodologies and technology roadmap. Lastly, this chapter points out the key scientific issues to be resolved, the characteristics, innovations and insufficiencies of the whole book.

The second chapter is the theoretical basis of residents' income gap moderation. Firstly, this chapter defines the basic concepts of income, income distribution, income gap. Secondly, this chapter elaborates some measuring indexes of the income gap like Gini coefficient, Theil index, coefficient of variation. Thirdly, this chapter defines the connotation of residents' income gap moderation, describes the basic features of income gap, and puts forward the standards from three aspects: whether income gap promotes sustained economic growth, whether it is conducive to promote the efficiency of resource allocation, and whether it is conducive to the promotion of social stability and equity.

The third chapter is to study the evaluation system of residents' income gap moderation. Firstly, it elaborates the basic principles of building a modest income gap evaluation index system. Secondly, it constructs evaluation index system from income gap, economic growth, efficiency of resource allocation, social stability and equity. Thirdly, this chapter describes the measurements of the coordination of economic systems. Fourthly, it proposes the measurements of income gap, i. e. , comprehensive and classified evaluation indexes of income gap.

The fourth chapter is the statistical measurement and decomposing analysis of the income gap among Chinese residents. Based on 6937 questionnaires' data from 31 provinces, this chapter conducts a statistical measure and analyses the income gap among urban residents, the income gap among rural residents, the income gap among industries and the income gap between urban and rural residents. And it draws the corresponding conclusions according to the Gini coefficient, Theil index, coefficient of variation with the decomposing formulas.

The fifth chapter is the analysis of the influencing factors and the contributing rate of income gap. Based on both macro and micro perspective, this chapter reveals the main influencing factors of the income gaps among urban residents, rural residents, urban-rural and regional residents. Secondly, this chapter conducts an empirical analysis on the main factors and contributing rate on the income gaps and draws the corresponding conclusions by using macro statistics and micro survey data.

The sixth chapter makes comprehensive evaluation and analysis of residents' income gap moderation. Firstly, it uses factor analysis and PCA (principal components analysis) method to measure income gap evaluation index, economic growth evaluation index, resource allocation efficiency index, social stability and equity evaluation index and comprehensive evaluation index of the coordinated development of social economy by using macroeconomic statistical data. Secondly, this chapter calculates the comprehensive evaluation index and classified evaluation index of static and dynamic moderation on income gaps. This chapter also makes a reasonable comprehensive evaluation of the status about residents' income gap moderation and draws the corresponding conclusions by inspecting the coordination degree of income gap, economic growth, efficiency of resource allocation and social stability and equity.

The seventh chapter is the survey analysis of residents' income gap moderation in China. Based on 6937 copies of residents questionnaire survey data from 31 provinces, this chapter investigates with questionnaire and draws the conclusions which have the inspiring significance about the hot issues with public concern, like the basic judgment on the present residents' income gap moderation, the main reasons for the income gap expansion, public tolerance of income distribution, public satisfaction rate of income gap, the possible consequences of the increasing income distribution inequity, the apparent effects of the inequity to rural residents compared with urban residents, the most important distributive justice, the relationship between equity and efficiency at this stage, the main factors affecting social stability, the currently main risk of inefficiency and the policies to promote fair distribution.

The eighth chapter analyzes the multiple choices model of residents' income gap moderation in China. Based on 6937 copies of residents questionnaire survey data from 31 provinces, this chapter constructs multi Probit model and makes an empirical test from the main influencing factors from the micro perspective on the income gap suitability of rural residents, urban residents, and urban-rural residents. Finally, this chapter draws the corresponding conclusions and provides references for the government to formulate a scientific and reasonable income distribution policy.

The ninth chapter is the study of the early warning mechanism of residents' income gap moderation. Firstly, this chapter elaborates the theories and methods of economic early warning. Secondly, it determines early warning alarm indicators with a single index. This book chooses a comprehensive evaluation index of static residents' income gap moderation and classified evaluation indexes as the warning indexes of residents' income gap moderation. It also establishes the ARIMA model to predict the alarm value of warning indexes and uses an comprehensive early warning methods to construct an early warning mechanism of residents' income gap moderation from four aspects: confirming warning conditions, finding warning sources, analyzing warning signs, forecasting warning degrees.

The tenth chapter is the monitoring and early warning analysis of residents' income gap moderation. Firstly, by using the evaluation indexes which have been mentioned in chapter six, this chapter uses single index monitoring and early

warning for analysis based on the early warning process of single index. Secondly, according to the comprehensive index of the early warning process, this chapter makes a comprehensive monitoring and early warning analysis of residents' income gap moderation in China and draws the corresponding conclusions from the analysis of warning conditions, warning sources, warning signs, warning indexes, warning limits and warning degrees.

The eleventh chapter is the international experience and enlightenment of regulating income gap. This chapter focuses on the analysis of the experience and enlightenment from narrowing the income gap in the BRIC countries, Japan and Germany. This foreign experience of regulating residents' income gap has a very important significance for references to effectively narrow the income gap in China and to formulate scientific policies and measures.

The twelfth chapter is the conclusions, suggestions and prospects. Firstly, this chapter summarizes the conclusions of the whole book from eleven aspects. Secondly, it puts forward the policy recommendations of narrowing the income gap from twelve aspects mechanism design of the initial distribution system, public policy of the redistribution. Finally, it carries on the forecast to the future direction of the research from five aspects.

Throughout the paper, we get the following conclusions:

(1) From the micro analysis of the questionnaire results, the income gap in China is relatively large, the Gini coefficient is more than 0.4 over the warning line, and the internal gap is far more than the gap between the groups. There are big differences among income gaps of residents because of the basic characteristics of the individual and the family, the human capital, political capital, physical capital, geographical environment, and the regional system.

(2) From the results of the macro statistical data analysis, the income gap among residents in China presents an expanding trend, economic growth continues and the allocating efficiency of resources increases, social stability and equity degree rise in volatility, the overall economic and social development operate well. Furthermore from the suitability evaluation indexes, each system such as economic growth, the efficiency of resources allocation, social stability and fairness is moderate.

(3) From the macro level, the aspects such as economic growth, physical

capital, human capital, open foreign policy, the urbanization level, financial development, government policy have significant effects on income gap. Among them, the contribution rate of residents' income gap on economic growth, physical capital, human capital, open foreign policy on is relatively small. From the micro level, the basic personal and family characteristics, human capital, political capital, regional differences have significant effects on residents' income and the income gap. Human capital, regional differences have larger contribution rates on residents' income gap, while, the basic personal and family characteristics and political capital have relatively small contribution rates.

(4) From the survey results, residents' income gap at present stage exceeds the reasonable limit. "power-trading, rent-seeking and corruption" are the main reasons of the widening of the residents' income gap. Residents' income inequality tolerance is strong, but most of the residents are not satisfied with current income distribution. "The raise in social instability degree" is the major consequence caused by unfair income distribution phenomenon. "Official corruption" and "excessive gap between the rich and the poor" are the most important factors and risks of social stability and economic efficiency. "The government should deal with the relationship between efficiency and equity in the primary distribution and redistribution, and pay more attention to fairness in redistribution." "Ban illegal incomes, punish corruption" are the most important measures to promote fair distribution and narrow the income gaps.

(5) From the questionnaire statistical results, compared with urban residents, "education", "social security", "public infrastructure" are the major unfair manifestations to rural residents. "Financial development differences between urban and rural areas", "public infrastructure and the differences in social security", "urban and rural dual structure" and "urban and rural differences in human capital" are the main factors affecting the income gap between urban and rural areas. "Improving the state of dual structure between urban and rural areas, promoting the development of urban and rural areas", "vigorously developing education, improving the quality of the whole rural labor force", "developing rural small and medium-sized financial institutions, expanding rural policy financing channels" and "building a balanced urban and rural social security system" are the effective ways to narrow the income gap between urban and rural areas. "The

lack of employment skills in rural labor", "the lack of agricultural technology and capital" and "low price of agricultural and sideline products" are the main reasons of the difficulties in increasing the income of farmers. Furthermore, "promoting agricultural technology, developing modern agriculture", "increasing the training for employment skills of rural labor force" and "breaking the barriers between urban and rural areas, establishing a unified, open labor market" and "increasing the purchase price of agricultural products" are the main ways to realize the peasants' income.

(6) From the results of analysis of questionnaire and probit model, household income per capital, human capital, political capital have significant positive influences on the suitability of residents' income gap. The political capital, geographical environment, farmers income per capita are the core factors affecting the suitability of the rural residents' income gap. Urban residents income per capita, educational level, job title, occupation, institutional factor, industry difference, registered permanent residence are the important factors affecting the suitability of the urban residents' income gap. Income per capita, educational level, urban and rural differences are the key factors that influence the suitability of the urban and rural residents' income gap.

(7) From the results of the single early warning indicators and the results of the comprehensive early warning index, residents' income gap moderation in China is basically in a non-alarm state.

Keywords: income gap; moderation; evaluation system; influencing factors; questionnaire; multiple choice model; early warning.

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