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当代经济学文库

● 潘振民 罗首初著

● 上海三联书店出版

# 社会主义微观经济均衡论

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**社会主义微观经济均衡论**

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# ABSTRACT

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## EQUILIBRIUM OF SOCIALIST MICROECONOMY

**T**his book is a pioneering work in China for systematic analysis of the mechanism of socialist microeconomy. It applies the principles and methods of modern economics and is based on the performance of Chinese economy. It analyses the behavior of economic agents, particularly enterprises, in the pre-reform "administration system" and the post-reform "double-track system", and describes the equilibrium of various economic activities.

The contributions of the book are as follows:

In socialist economy, presence or absence of planning is not the criterion for distinguishing different systems. Opposed to market adjustment is not planned adjustment, but "administrative" adjustment. The authors define pre-reform system as administration system and the

present transitional system as double-track system. However, the target of economic reform is to establish a market system, i.e., a planned commodity economy. The features of all these systems are elaborately described in this book.

Within the administration system, the objective of the enterprise is not output or bonus maximum but "leisure", which is different from the position taken by many eastern and western economists specializing in socialist economy. And the enterprise is not completely passive when carrying out a mandatory plan; instead, governed by a special cost-benefit structure, it actively realizes its own objective in the process of carrying out the mandatory plan. In their activities, the enterprises will each reach partial equilibrium. When there is a lax of control by the central authorities to allow more local autonomy (as is the case with China), the enterprises may realize their objectives more easily; their difference in partial equilibrium will not affect each other, so that the general equilibrium is heterogeneous. If the aspects of administrative

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adjustment are viewed separately, the administration system has a lot of disadvantages which would even make the existence of the system itself impossible. But, as an integrated system, the disadvantages of the administration system tend to restrict and offset each other, thus not only keeping the system working but also making it adaptable to an underdeveloped economy to achieve high growth rate. Nevertheless, with the development of economy in the administration system, both technological and economic structures become more and more diversified and the relations of various economic entities more and more complicated, which lead to the inadaptability of the administration system to the developed productive forces and inevitable replacement of the market system.

In the double-track system, the objective of the enterprise is per capita income. As economists focusing on labor-run enterprises have already described the behavior of such enterprises, the authors contribute fresh ideas and modifications.

(1) How entry barrier of labor market takes

shape in the process of realizing the objective and how the existence of entry barrier makes the enterprise meet certain level of income-per-worker instead of over-emphasizing income-per-worker. Such behavior is particularly conspicuous in the double-track system. (2) If the market system is perfect, the behavior of the enterprise with income-per-worker objective will not be short-termed as compared to that of enterprise with profit objective. The former will be short-termed only if administrative adjustment still exists, i.e., in the double-track system. (3) Some unusual behaviors of enterprises with income-per-worker objective, such as downward supply curve, are logical in the theoretical model. But in a perfect market system they will not occur in reality or, if they do occur, draw attention. Only in the double-track system will they occur and even demonstrate themselves distinctively.

In the double-track system, administrative and market adjustment interweave with and penetrate through each other. So the features and

functions of the combined administrative and market adjustment are different from either of the two existing independently, which makes the behaviors of the enterprise as "nonstandard" as selling something to A on condition of not only getting money but also buying something from A, bribery, the shift of supply and demand curve in the partial market, unsymmetrical cost-benefit structure in the process of innovation, and so on. The result is that the economic reform can not get the expected achievements. So the double-track system is only a transitional system. But even so, the double-track system is better than the administration system. (1) Although the equilibrium of various economic activities in the double-track system exists abnormally, as compared with the administration system, it is closer to the equilibrium in the market system. (2) The most important role of the double-track system is to undermine gradually the administrative control and adjustment and provide "growth point" for various markets continuously.



In mention of the socialist market system, the authors point out: (1) While the prescriptive plan defies market adjustment, the plan can be combined with such an adjustment. (2) The market system can display socialist principles and fit in with the developed productive force more than the administration system.

The book includes a lot of statistical data to describe the features of different systems and to test the authors' conclusions.

The authors are two faculty members of Shanghai's Fudan University. Pan Zhen-min is a lecturer in the World Economy Department and Luo Shou-chu is a lecturer in the Economics Department. They are both conducting concurrent graduate work towards doctoral degree.

# 序

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**潘**振民、罗首初合著的《社会主义微观经济均衡论》的出版,是我国理论经济学近几年来开拓新视野、发展新观念、进入新境界的又一朵报春花。

关心我国理论经济学动态的同志不难发现,党的十一届三中全会以来,特别是1984年党的十二届三中全会以来,我国的社会主义理论经济学正在发生一个值得注意的变化,从历来只研究生产关系即经济制度,开拓出一个研究经济运行的新领域。这个变化的出现不是偶然的,这正是在社会主义经济学的研究工作中纠正“左”的教条主义,贯彻理论联系实际、理论为我国社会主义建设服务的一个表现。

建国以来,我国经济学界流行着这样一种观念:马克思主义的理论经济学就只是政治经济学,而政治经济学的研究对象只是生

产关系。具体到社会主义时期，理论经济学就只是社会主义政治经济学（或政治经济学的社会主义部分），它的研究对象就是社会主义生产关系，任务是阐明社会主义生产关系发生、发展及其向共产主义过渡的规律性。对理论经济学的这种狭隘观念，再加上受“左”的指导思想的影响，以致于从建国到党的十一届三中全会的30年间，我国理论经济学的教师和研究工作者，把大部分精力都耗费在研究和宣传这样一个主题：如何尽快地在我国建立社会主义生产关系，如何使已经建立起来的社会主义经济尽快地扩大其规模和提高其公有化程度，促使小集体经济发展为大集体经济，使大集体经济发展为全民所有制经济，并尽可能快地在社会主义经济关系中培养共产主义经济关系的幼芽，使其尽快成长，以便整个社会“跑步进入共产主义”。

上述这种情况的产生不是偶然的，而是

有其实践的和理论的背景的。从实践背景看，大家知道，党的十一届三中全会以前，我国的社会主义建设实践是受“左”的指导思想支配的：把本来计划在 15 年左右时间完成的对生产资料私有制的改造，急急忙忙地在不到 4 年的时间里搞完了；把本来需要几十年甚至上百年的时间才能完成的赶超发达资本主义国家的历史任务，企图通过一场“大跃进”运动在短时间内使之实现；对刚刚建立起来、应该花大力气使之巩固的高级农业生产合作社，在其立足未稳之际，就匆匆地将它推向“一大二公”的人民公社化；在一个脱胎于半殖民地半封建社会、没有经过资本主义充分发展阶段、本来应该首先致力于肃清封建主义残余的初级阶段的社会主义社会里，竟然花 10 多年的时间，从上到下，从城市到穷乡僻壤，到处去搜索资产阶级和“走资本主义道路的当权派”来加以反对；如此等等。在这样的时代

背景下，强调要“为无产阶级政治服务”的经济理论工作者，自觉或不自觉地陷入“左”的错误，是不足为奇的。至于理论的背景，那就得一直追溯到马克思对资本主义经济的理论分析。

马克思基于他作为无产阶级革命导师的职责，他的任务是通过资本主义经济运动规律的分析，揭示资本主义经济制度产生、发展及其灭亡的客观必然性。他在完成这一任务的时候，不是把资本主义生产关系作为一个孤立的静止的东西来研究，而是一方面，联系生产力的决定作用，另一方面联系上层建筑对生产关系的反作用，把资本主义经济当作一个不断运动的客观过程来考察。对于资本主义经济，马克思是既从整体上来考察它的总量变化，又从单个企业来考察它的个量变化。但是，马克思只是在阐明资本主义经济关系的实质及其发展变化所必要的范围

内，才把资本主义经济的宏观运行和微观运行置于自己的考察之下的。与此无关而只同资产阶级管理经济相关的那些问题，例如，资产阶级国家怎样才能缓解经济危机？采取什么措施才能使资本主义经济摆脱衰退，走向复苏？居民个人消费和储蓄行为的变化受什么因素支配？厂商在不同的市场竞争条件下会有什么不同的行为规律？等等。资本主义经济的这一类问题，既然同无产阶级争取解放的斗争关系不很密切，当然也就不会进入马克思的理论研究范围之内。马克思这样做，当然是完全正确的。但是，在无产阶级取得政权以后，马克思主义者对社会主义经济的研究又该怎样进行呢？是否仍然只把生产关系作为理论经济学的研究对象呢？

这个问题，苏联在 50 年代，我国在 60 年代，都曾有人提出来过。当时问题的关键是：政治经济学的社会主义部分，除了研究生产

关系以外，要不要同时研究生产力或生产力的合理组织？由于众所周知的原因，那时的讨论是以学术争鸣始而以政治批判终，问题并没有深入展开，当然不会得出正确的结论，也没有对理论研究产生实际的影响。

党的十一届三中全会后，形势发生了很大的变化。一方面，经过拨乱反正，特别是经过真理标准问题的讨论，百家争鸣方针得到了较好的贯彻；另一方面，经济体制改革也要求经济理论研究工作在观点方面或研究领域方面突破旧框框的束缚。经过30年与世隔绝的闭关锁国，我国经济理论工作者惊奇地发现，凯恩斯以后的西方经济学，在二次大战以后已发展起了一个新的分支，即以研究资本主义经济运行作为对象的宏观经济学和微观经济学。人们不能不思考，胜利了的已经取得了政权的工人阶级，除了仍然需要以生产关系为研究对象的政治经济学来探讨社会

主义经济制度不断完善的途径以外，是否也需要以分析社会主义经济运行为对象的理论经济学作为经济决策的理论依据呢？回答是肯定的。建国以来，我们不仅在经济关系的变革上急于改造，急于过渡，犯了不少“左”的错误，而且在经济建设上，在速度与效益、积累与消费，以及财政、信贷、工资、价格等问题的决策上，也犯了不少“左”的急躁冒进、主观片面的错误，使自己吃足了苦头。很明显，在工人阶级已经取得政权、成为社会主义国家的领导阶级的时候，当组织经济生活、规划经济发展已经成为社会主义国家的一项基本职能的时候，马克思主义者对于社会主义经济的理论研究，就不能再单纯局限于生产关系，而应该扩展到社会主义经济的运行规律和运行机制方面。只有这样，才能充分发挥经济理论为社会主义建设服务的作用。正是基于这样的原因，所以在党的十一届三中全会以



后,在纠正了长时期来“左”的错误,在明确发展社会生产力、建设有中国特色的社会主义是全党全民的根本任务以后,以研究经济运行和经济决策科学化任务的社会主义宏观经济理论和微观经济理论,就越来越受到我国经济理论工作者的重视。

必须重视对社会主义经济运行的研究,这是我国经济理论工作者一致的意见。但是,这一研究是被包容在社会主义政治经济学之中,还是应该开辟理论经济学的新学科,大家的意见却不尽一致。在这个问题上,大体上有三种主张和做法。

一种主张认为,社会主义政治经济学应该主要是研究经济运行的。社会主义经济关系作为既定的前提略加阐述就可以了。这种主张在实行过程中遇到了两个方面的问题。第一,社会主义生产关系基本建立起来以后,还有一个适应于生产力发展需要而不断完善