

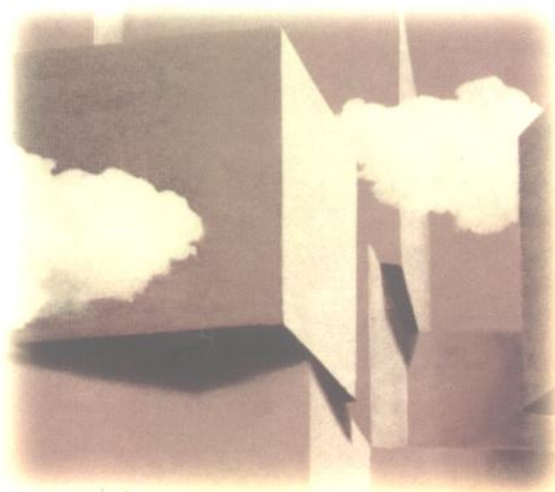
戴树成

著

DAISHUOCHENGZHU

世纪的独白

中国国有企业改革的思考



中国广播电视出版社

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序

搁笔之际，我仿佛变成了《皇帝的新衣》故事中的那个小孩。小孩嘴里出实话。我也曾想过，改革乃国之大事，“肉食者谋之，汝何间焉？”但古训锤耳：“位卑未敢忘忧国。”

有这样一个问题，总是在我的脑海里挥之不去：医治国企痼疾的药方已经开出不少，但仍未实现所谓的“大军突围”，是“药效”作用的时间未到？还是药不对症？带着这些问题，笔者试图从活生生的社会实践中去寻找答案。由于在 20 余年间，笔者有幸先后从事过基层及县级政府的领导工作，地（市）、省的工业、财税、国资、社会保障等多个部门的行业管理，国家级开发区的区域开发和省政府的政策研究工作，虽然工作岗位有过多次的变化，但一直没有间断对国企问题的研究和探索。因为有多个不同行业和部门的工作经历，使得笔者对国企改革所涉及的方方面面有一个较为系统和全面的接触，积累了大量的第一手资料，为研究这一问题奠定了比较牢靠的实践基础。

虽然笔者多年来对与之有关的专门性问题曾分别进行过

一些专项研究，但从整体上研究国企改革这一世纪性的难题，常常感到力不从心。拙著仅仅属于个人对国企改革的一点心得和认识，难免存在以偏概全之处，然并非出自本意。

鉴于解决认识问题是正确研究国企改革的前提，本书因而一开篇就提出了国企改革需要从六个方面进行思维方式的转变，其中可能有一些逆耳之言，但请相信，笔者的本意绝对是善良的。

“三力”说是本书的核心。笔者试图应用这一理论框架去探寻国企经营失败的症结，尽管为之倾注了大量的心血，也想尽力把问题阐述得更加透彻明了，至于是否达到了这样一个目的，还有待读者评说。

本书后半部分用了相当的篇幅，设计了国企改革的具体操作方案。不敢奢求获得人们的普遍认同，若能对关心国企改革的人们有点滴的启示，笔者也就知足了。

一种新的探索，总是伴随着艰难和风险，但只要找到路，就不怕路远。

戴树成

1999年8月3日

**Thinking Aloud at
the Turn of the Century**
——Reflections on the Reform of
State-owned Enterprises in China

Preface

Upon the finishing of this book, I suddenly perceive myself to be the little boy who dared to tell the embarrassing truth at the end of the fairy tale "The Emperor's New Dress". Admittedly, I have ever thought that reform, a matter of prime importance of the state, is for high officials to consider, not for the small potatoes like me. But an old Chinese maxim always rings in my ears and encourages me to think: "The petty and low should not forget to worry about the country and home."

I keep asking myself: Why hasn't a breakthrough been made after such a long-term searching for the "cure" for the "chronic illness" of State-owned enterprises in China? Is it because the "medicine" has not taken effect yet? Or is it because the "remedy" is not suitable for the case at all? With these questions in mind, I tried to seek answers from the society. During the past twenty more years,

with the experience of leadership and management in various departments and diversified walks of life, ranging from industry, finance and taxes, state-owned assets, social security at county, regional or provincial level to the development of state-level economic zone and policy making for the provincial government, I am enabled to gain a general and systematic knowledge and increasingly deep understanding of the issue of reform of state-owned enterprises in China, and accumulate a great deal of first-hand materials, forming a solid basis for the research.

Although I have conducted some monographic research on the issues of state-owned enterprises, I found my ability almost falling short of my wishes when I tried to approach the hard nut from a more holistic perspective like what I did in this book. Owing to my personal understanding, some generalizations are hard to avoid, but they, if any, are not out of my will.

Seeing that only when we have a right approach to the reform of state-owned enterprises in China can we understand the issue better, I put forward the idea, at the outset of this book, that China's state-owned enterprises need a transformation of way of thinking in six major aspects. There might be some words or advice unpleasant to hear, but they are well-meant, that is for sure.

The theory of "Three Forces" (motive force, dynamic force and external force) is the core of this book. I tried to draw support from this theoretical framework to probe the crux of the failure in

operation of our state-owned enterprises.

Wide coverage of the latter half of this book goes to some specifically designed operational plans of state-owned enterprises in China. They may not be able to receive general recognition, but it would be to my delight if they could ignite some inspiration among those who are concerned with the reform of state-owned enterprises in China.

A new exploration is always accompanied with risks and hardships. However, as long as there is a way, the destination will be reached, no matter how far it is.

Dai Shucheng

Aug.3, 1999

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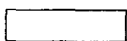
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第一章



国有企业改革需要 思维方式的转变

世界上有些人渴望寻获真理,他们的要求非常强烈,为了达到这个目的,就是叫他们把生活的基础完全打翻,也在所不惜。

—— [英] 毛 姆

真相往往是粒难以下咽的苦药,但我们不能让幻想像野草似地继续生长。

—— [奥] 茨威格

从急于求成转到求真务实

国有企业的改革既是一个困难的经济问题,也是一个敏感的政治问题。从十一届三中全会揭开经济改革的序幕开始,弹指挥间,转眼已经20年过去。几多探索,几经实践,在血与火的煎熬中摔打出了令人赞叹的成绩。回顾走过的改革历程,似乎以行政性分权为主要内容的第一阶段改革显得比较顺利,而进入以制度创新为主要内容的第二阶段改革后,就出现了拉锯战的势头,这就提醒人们,改革一定存在误区,需要及时地加以反省。

也许是因为穷，穷则急于思变；抑或是国人善良，善良则容易把问题看得简单的缘故，急于求成的悲剧总是在我们的社会生活中一而再再而三地重演。50年代的“大跃进”、70年代的“洋跃进”，人们不堪回首，唯一的希望是祈祷今天和未来的日子不再让类似地现象发生。然而，事与愿违的是，在事关中国经济改革能否成功的国有企业改革问题上，我们又犯下了同样的错误。

在国有企业改革中总是把问题简单化。改革虽经历了20年，但还是局限于外围作战，先是在不触动原有体制的前提下搞行政性分权，在实践证明此路不通的情况下，又热衷于形式上的创新体制，殊不知，任何体制都是以存在一定的前提为条件的，世界上不存在没有基础的楼阁。虽说人们都知道如果不能把曾经是中国经济的主宰——国有企业有效地推向市场，那么我们所确定的市场经济体制将子虚乌有。然而，人们在叫嚷着把国有企业推向市场时，却忘了给其发放进入市场的“门票”。当发现国家对国有企业承担无限责任不堪重负，从国外找来公司制秘方祛除病魔时，又丢失这剂良药的配方“引子”，以致“服药”后的公司制企业走火入魔，成了难以驾驭的怪物。我们应当懂得，股份制从中世纪的欧洲产生到20世纪，之所以还是人们最崇敬的财产组织形式，除了其有一套在漫长岁月中逐步形成和完善的组织、管理制度外，最重要的是得益于私有制的基础。无论是从古罗马帝国时期股份制的萌芽出现，到中世纪末期的15世纪这一被称为原始股份制阶段，还是16世纪开始资本主义时代到17世纪末这一股份公司形成的时期，以及到19世纪股份公司成为企业的主要组织形式，其无不是建立在一定