

# 知识资本

理论、运行与知识产业化

► 陈则孚 著

ECONOMIC MANAGEMENT PUBLISHING HOUSE  
经济管理出版社



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## 内容提要

本书以马克思主义基本经济理论为指导，以丰富和发展社会主义市场经济理论为宗旨，以历史考察与逻辑分析、规范分析与实证分析、定性分析与定量分析、现实观察与理论概括和比较与综合有机结合为研究方法，比较全面系统地研究了知识资本。全书由引论、第一章至第五章和结束语七部分构成。

引论，市场经济与资本。论述了市场经济运行方式及其一般范畴资本存在的广泛性与长期性，指出了初现端倪的知识经济也是在市场经济运行方式下运行的经济。引论阐明了本书的背景、依据和意义，是本书的大前提。

第一章，知识商品化。较全面系统地研究和探讨了知识的内涵、分类、特点、商品属性及其商品化的条件与方式，研究了知识商品的价值构成与实现问题，考察了知识产品生产与知识商品化的发展史。主要观点如下：第一，知识是人类的劳动产品，它有不同的分类，具有与物质产品和一般服务产品不同的特点，其生产呈现出加速发展的趋势；第二，知识在市场经济运行方式下具有商品的属性，知识产品商品化的两个条件是，知识产品剩余的出现及其能被自由交换和知识产品私有产权制度的建立，其出现都经历了漫长的历史过程，前者成熟的标志是欧洲文艺复兴运动的开始和现代教育制度的产生与造纸技术及木版印刷术的发明和普遍应用，后者出现的标志是知识产权保护制度的普遍建立；第三，各种学校教育及出版发行是知识商品化的基本方式，在现代还出现了如直接销售、各种传媒和因特网等其他方式；第四，

知识商品还具有公共产品的属性；第五，知识价值是生产知识产品的人类一般劳动的凝结；第六，从价值的观点看，人类的知识库就是知识商品的价值所构成的知识价值库；第七，知识商品价值必须以货币形式实现，知识商品价值的实现比其他商品价值复杂，它有社会实现和个别实现，而社会实现和个别实现之间的关系是极为复杂的，而且，知识商品价值的社会实现导致知识商品市场存在失灵现象；第八，知识的商品化从根本上推动了知识存量增长和科技进步。

第二章，知识资本化。这一章考察了早期知识资本化的事实和知识资本思想的萌芽与发展，探究了知识资本的内涵、特征、基本构成、表现形式及价值构成与积累。笔者提出了以下主要观点：第一，在市场经济早期就存在知识资本化的事实，经典作家们尤其是马克思的经济理论中就有知识资本思想的萌芽，知识资本化的事实与思想随着经济发展而逐步发展；第二，知识资本是蕴藏于知识中、以知识形态存在和运动，并以商品价值形式追求增殖的价值；第三，知识资本由人力资本、知识产权资本和声誉资本构成，其表现形式是各种形式的知识资产，评估知识资产和编制知识资产报表是管理知识资产、提高知识资本增殖的必要措施；第四，知识资本的积累比原始资本积累文明与复杂，知识资本的价值构成分析是评估与管理知识资产的基础；第五，发达国家与新兴工业化国家发展迅速的根本原因之一，是它们积累了丰富的知识资本。

第三章，知识资本的运行。本章较深入地研究了知识资本的运行总公式、知识资本的循环与周转及其在运行中与传统资本的关系。主要结论是：第一，知识资本在其发展的各个阶段与货币资本有不同的关系，知识资本的运行总公式是  $G - K - G'$ ；第二，知识资本有其自身的循环与周转的规律和特点；第三，知识资本不能完全脱离传统资本，而是在独立运行与发展的同时，必

须在一定的社会组织形式和制度安排下，与传统资本紧密结合，共同参与运行和增殖。

第四章，知识资本内生推动的经济增长。此章把现代西方新经济增长理论纳入知识资本理论体系，较系统地归纳和介绍了现代西方知识资本内生推动的经济增长理论。应用数学分析方法较全面地阐明了知识资本对经济增长的内生推动作用。笔者的主要观点是：第一，现代经济增长的实质是知识在经济增长过程中日益广泛的应用，及其逐渐成为经济增长的首要内生推动因素；第二，现代西方新经济增长理论的实质是知识资本内生推动的经济增长理论，因而是知识资本理论重要的有机组成部分；第三，知识资本内生推动的经济增长理论由知识资本的溢出效应内生推动、积累效应内生推动、分工效应内生推动、生产效应内生推动和国际流通效应内生推动的理论组成；第四，新经济是通过知识资本作为首要内生推动因素实现增长的经济。

第五章，知识产业化。该章较系统深刻地揭示了知识产业的产生与发展及现代产业结构的演变规律、高新技术产业的发展规律及其内在机制和传统产业升级的实质，研究了知识产业与高新技术产业发展和传统产业升级的关系，构建了知识产业、高新技术产业和传统产业的互动模型。笔者认为：第一，知识产业必将从三次产业中独立出来成为与三次产业并列的第四产业；第二，在一定条件下，知识产业将获得优先发展，并逐渐成为国民经济的主导产业；第三，高新技术产业的实质是知识资本的应用与发挥主导作用，高新技术产业的实质与发展规律决定了其发展机制是“知识资本 + 货币资本”；第四，发展高新技术产业的关键是鼓励和扶持风险投资业；第五，知识产业、高新技术产业与传统产业的互动，推动现代产业结构的演变与发展，推动国民经济的快速增长。

结束语从人类发展与资本发展的角度，研究和总结了知识资

本的历史作用、历史地位和历史命运。这一部分既是对知识资本的总结，也是对本书的总结。所得结论是，由于知识资本的发展实现了人与劳动过程、人与资本和人与环境的统一，所以，知识资本是资本发展的最高的和最后的形态，它必将与市场经济运行方式同时退出历史舞台！

## **Abstract**

This dissertation makes a very comprehensive and systematic study of knowledge capital guided by Marxist classic theory about economy and aimed at enriching and advancing the theory about socialist market economy. Meanwhile it approaches these problems with various studying methods, such as historical examination and logical analysis, standard and positive analysis, qualitative and quantitative analysis, reality observation and theoretical generalization, comparison and induction and so on in a combining way. The whole dissertation consists of seven parts including an introductory part, concluding part and the rest separate five chapters.

The introductory chapter studies market economy and capital. It makes a comprehensive and systematic study and exploration of the operational modes of market economy and the extensive and permanent nature of capital in a general term. It points out for the first time that the knowledge economy that has begun to take shape is still a kind of economy that operates in a way of market economic operations. So this chapter clarifies the background, theoretical foundation and significance of the chosen theme which are the major premises for the whole paper.

Chapter One discusses the commercialization of knowledge. It makes a rather comprehensive and systematic study and exploration of the contents, classification, and commodity features of knowledge, as



well as the conditions and ways of its commercialization. In addition, the chapter studies the value forms of commercialized knowledge and how to realize them, and also examines the evolutionary course of knowledge products and the commercialization of knowledge. My principal viewpoints are as follows.

First, knowledge is a product of human labor. It has a quite different classification, and possesses some separate features from material products and common service products. The production of knowledge takes on an accelerating trend.

Second, knowledge has the same features as common commodities in the context of market economy. Both the existence of the surplus of knowledge products and the establishment of their free exchange and the system of private property right for them are the two preconditions for the commercialization of knowledge products. This course is a long one. The symbol of the former precondition is the beginning of European Renaissance and the establishment of modern education system, as well as the invention and wide use of paper-making and block printing. The symbol of the latter one is the widespread establishment of the system about knowledge property right protection.

Third, the main ways of commercializing knowledge are the various school education and publication. Now the other ways such as direct selling, all kinds of medium and Internets and so forth have come into being.

Forth, the knowledge products also possess some features of public ones.

Fifth, the value of knowledge is a condensation of common human labor involved in producing knowledge commodity.

Sixth, because the value of knowledge commodity has the special features which exist in value transfer during producing stage, from the perspective of value, human knowledge base is just a base of knowledge value which is composed of the values of knowledge commodities. So the concept of the base of knowledge value is the basis for analyzing the value of knowledge-based commodities.

Seventh, the value of knowledge commodities must be realized by the means of currency, which is much more complicated than the other ones. Furthermore, the realization of the value of knowledge commodities results in the market of this kind of commodities out of order.

Eighth, the commercialization of knowledge fundamentally promotes the increase of knowledge storage and technological advancement.

Chapter two studies the capitalization of knowledge. It reviews the early facts of knowledge capitalization and the rudiment and development of the thoughts about it. The chapter makes a study of the contents, features, basic forms, value structure and accumulation about knowledge capital. The writer brings forward the main points as follows.

First, the early stage of market economy witnessed capitalization of knowledge, especially as we can find the rudiment of the thought about capitalized knowledge in Marxist classic works. The practice and thought about the capitalization of knowledge gradually developed with the pace of economy.

Second, knowledge capital is contained in knowledge itself, and it exists and works in form of knowledge, meanwhile, it goes after growing value in a way of general commodity value.

Third, human capital, the capital of intellectual property and credit capital constitute knowledge capital, which is embodied in various forms of knowledge assets. Evaluating knowledge assets and making up its report are the necessary measures to run this kind of asset and to improve its added value.

Fourth, the accumulation of knowledge capital is much more civilized and complicated than that of original capital. The analysis of value composition about knowledge capital is based on the evaluation and management of knowledge assets. The rich accumulation of knowledge capital is one of the main reasons why the developed countries and newly - industrialized ones grow rapidly.

Chapter three studies the operation of knowledge capital. It makes a rather profound study of the general formula, circulation and turnover of knowledge capital, as well as its relationship with conventional capitals. The main conclusions are as follows.

Firstly, in separate stage, knowledge capital has different relationship with money capital.  $G - K - G'$  is the general formula about how knowledge capital operates.

Secondly, knowledge capital has its own laws and features about circulation and turnover.

Thirdly, knowledge capital cannot be completely isolated from conventional capitals, while it must be closely tied with these conventional capitals to jointly participate in capital operation and value increase in some certain forms of social organization and institutions as knowledge capital works and develops separately.

Chapter four involves the economic growth under the inner - drive of knowledge capital. It brings the new Western theory about economic growth into the system of knowledge capital theory, and

comprehensively introduces and summarizes the modern Western theory about economic growth under the inner – drive of knowledge capital. This part makes a good use of mathematics analysis to clearly explain the inner – drive role of knowledge capital toward economic growth.

The writer's main viewpoints are as follows.

Firstly, in essence, economic growth at modern times is largely caused by the popular and increasing use of knowledge that gradually becomes the primary element of inner – drive.

Secondly, the core of new modern Western theory about economic growth just lies in the theory about economic growth under the inner – drive of knowledge capital, so it is an important component part of the theory about knowledge capital.

Thirdly, the theory about economic growth under the inner – drive of knowledge capital is composed of the following five inner – drive theories, which are about spilling effect, accumulating effect, labor-dividing effect, manufacturing effect and international circulating effect of knowledge capital.

Chapter five discusses about the industrialization of knowledge. It systematically and profoundly expounds the birth and development of knowledge industry, the evolutionary laws about modern industrial structure and high-tech industry, the internal mechanism of high – tech industry, and the crux of upgrading old industries. It studies the relationship among knowledge industry, the growth of high-tech industry and the upgrading of old industries, consequently, forms an interactive model among these three elements. The writer's points are as follows.

Firstly, knowledge industry is bound to isolate itself from the

three industries and ranks itself as a fourth paralleling industry.

Secondly, given some certain conditions, knowledge industry is about to gain priority to develop and become a pillar industry of national economy step by step. Thirdly, in essence, high – tech industry rests with the use and dominant role of knowledge capital. So the mechanism of “knowledge capital plus money capital” plays a decisive role in high – tech industry and its development.

Fourthly, the key to developing high – tech industry is to encourage and support venture investment.

Fifthly, the interaction among knowledge, high – tech industry and traditional industries promotes the evolution and advancement of modern industrial structure as well as the rapid growth of national economy.

The concluding chapters studies and sums up the historical roles and destiny of knowledge capital from the development of mankind and capital. This part is a summation of both knowledge capital and the whole dissertation. It comes to the conclusions that the development of knowledge capital realizes unity between the development of human beings and labor process, between human beings and capital, between mankind and environment. So all in all, knowledge capital is the highest and ultimate form in the course of capital development. It is bound to step down from the stage of history with the modes of market economy.

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