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摘 要

经济增长是就业的基本前提。著名的“奥肯定律”表明失业率与国民生产总值增长率之间呈反向变化，即二者存在负相关关系，经济的高增长率伴随着低失业率，低增长率伴随着高失业率。然而，我国的实际情况却并没有遵循这一法则。改革开放以来，特别是进入 20 世纪 90 年代后期以来，经济的高增长并没有带来相应的高就业；相反，失业率维持在较高水平。这一现象已经引起了国内理论界的关注，最近几年，一些学者对此进行了研究，但尚缺乏深入和系统。本书认为导致我国经济增长的就业效应不足的原因与我国目前特定的改革和发展时期有重大关系，我国经济转型和结构调整加快是引起就业效应不足的主要原因。

本书导论部分简要回顾了我国经济增长与失业增加的事实，从而明确了本书的现实意义。接下来，交代了本书的研究方法和基本思路。

第一章是文献综述。包括西方就业理论及对就业与经济增长关系的研究综述，以及国内理论界对我国转型期就业不足问题的研究综述。

第二章是对中国经济增长的低就业效应问题的一个整体的实证研究。首先,通过我国经济增长率与就业增长率的关系、经济增长率与失业率的关系、经济增长的就业弹性的变动三个角度,直观描述了我国经济增长的就业效应不足之现实。其次,通过建立我国宏观生产函数并进行估计和验证,研究发现我国劳动要素对经济增长的解释力在样本期间严重下降,资本投入对经济增长的贡献呈增大趋势,而劳动投入对经济增长的贡献变得越来越小,这表明经济增长的就业效应处于下降状态;而且参数稳定性很差,意味着生产函数系统之外的因素。例如,结构调整和制度变革,对经济的影响程度较大。进一步分析认为,我国就业弹性变动的影响因素主要包括经济结构因素、体制或制度政策因素、资源禀赋条件、技术进步以及收入水平五个方面。考虑到技术进步是所有经济中的共性的因素,并且技术进步对就业的影响在很大程度上是通过产业结构调整来实现的,而且与科技体制、微观创新机制有重大关系,所以本书在第六章另作专门分析。回归结果与计量检验,表明我国目前经济发展水平决定了社会居民收入因素一般不会对劳动供给产生消极作用;资源禀赋条件主要体现为资本和劳动资源的稀缺程度,我国劳动资源丰富,资本约束已经大为缓和,所应关注的核心问题当是我国不同所有制经济获取资本资源的便利性以及发展过程中对资本和劳动偏向的诱导性。模型的实证结果显示,我国经济增长的就业效应下降与当前经济结构调整和经济转型中的制度变革有极大关系。

第三章讨论结构调整对就业的影响。本书在对经济结构与就业结构变动一般趋势概括的基础上,考察我国经济结构

变迁中就业的结构性变动。通过对所有制结构与就业结构的变动关系的研究,发现在城镇经济中国有经济部门就业弹性下降,与乡村经济中乡镇企业就业能力下降是导致我国整体就业需求减少的一个重要原因。

就产业结构与就业结构的变动关系来看,无论国内生产总值构成还是就业分布的变化,改革开放以来,我国产业结构调整的功效十分明显,产业结构正趋向合理化。但在总体上,工业部门所占的比重仍然偏高。特别是近十多年来,第二产业产出构成的变动在总体上并不显著,但第二产业的投资增长大大高于第一产业和第三产业的投资增长。由于工业是资本和技术相对密集的产业,它在国民经济中的比重越高,就越会造成经济高速增长下就业扩大困难的局面。为进一步说明这一判断,接下来,通过计算各层次产业的产出结构和就业结构、产业的偏离度与比较劳动生产率、各产业对GDP的贡献率和对就业的贡献率,发现我国就业结构的转换主要发生在第一产业和第三产业之间,第二产业的产出构成超过 $1/2$,但其就业构成只及 $1/5$ 。这种偏离是由各产业的劳动生产率水平差异引起的。

从城乡经济结构来看,我国城乡差异并没有缩小,相反有扩大化的趋势,这可以从我国城乡家庭居民人均收入水平和恩格尔系数的变动轨迹中得到反映。由于农村经济落后和由来已久的人均耕地资源稀少,导致农业劳动力大量剩余。在向乡镇企业转移过程中,粗放型发展初期的制度性优势和市场环境已经不复存在,资本和劳动的要素替代变得越来越困难,替代弹性处于明显下降趋势,造成乡镇企业扩大就业的能力减弱。而农业剩余劳动力向城市部门转移要依赖于工业

化和城市化的发展情况。我国城市化水平还比较低，城市人口就业压力本身也比较大，短期内指望依靠城市化大量接受农业剩余劳动力转移的思路并不现实。

第四章讨论经济转型对经济增长与就业效应的影响。本书认为经济转型对就业的影响主要是借助于资源配置效应的改变来产生的。按照市场规则，微观经济主体合理的生产要素组合从而产出决策要服从或满足一定条件，企业生产和要素配比运行在经济区间之内。但传统体制下的国有企业存在大量的冗员问题，也就是说，对劳动的需求超越了与资本量的合理配比，产生实际的低效或无效劳动，劳动的边际产品收益低于劳动工资，是典型的企业预算软约束形式。本书应用两部门模型的分析框架，分析了转制时期国有部门就业需求曲线的移动情形，认为国有企业改制造成的下岗、失业现象只是长期以来旧体制下形成的隐性失业的显性化，而且具有暂时性。在长期中，国有企业的现代企业制度真正建立起来以后，其市场行为与私营部门并无二致，利益最大化目标下的生产规模扩张同样能够增加就业需求。

从劳动供给的角度来看，劳动者以使自己的效用水平获得最大化，必须要面对工作和闲暇的合理选择与组合。我国转型时期，受到许多不确定性因素的影响，绝大多数居民收入预期与预算支出线发生了深刻变化，其效用函数通常是偏向收入增加而非闲暇增加，其劳动供给曲线平缓地向右上方倾斜；对于那些无论是通过正当渠道致富还是非正当手段迅速实现的“新贵”阶层，依靠劳动工资收入获取消费的效用极其低甚至为零，其劳动供给曲线是向左上方倾斜的；改革中涌现出来的社会贫困群体在工资率很低甚至下降的情况下，

也会扩大劳动供给，其劳动供给曲线向右下方倾斜。

劳动供求关系终究要依赖劳动力市场来实现。我国劳动力市场具有灵活性的一面，同时也具有分割性。我国劳动力市场分割不同于一般市场经济中自然形成的状态分割，而是体现为行政性分割。户籍制度造成的城乡分割，使得农业劳动人口城市化转移困难重重；劳动市场所有制分割形成不同的劳动就业制度和工资（福利）决定机制，劳动市场价格（工资）扭曲极大束缚了向均衡点逼近；垄断、半垄断部门对就业的影响主要在于市场进入壁垒造成经济增长低于潜在水平，处于垄断部门的厂商的劳动需求曲线低于竞争性行业中厂商的劳动需求曲线。

本章还考察了为什么在我国劳动就业压力极大的情况下还会发生“民工荒”现象。其中，工会组织或其职能的缺失使工资决定为资方所操控，是民工劳动供给行为转变而出现“民工荒”现象的根本原因。另外，失业保险和职业培训制度对于扩大就业也具有重要意义。

第五章研究技术进步对我国就业的影响。首先，从理论上对技术进步的就业效应进行了概括和归纳。技术进步对就业总量的影响决定于技术进步的资本化效应和破坏性效应的权衡，而技术进步对就业结构的影响则是一贯的和长期的。其次，实证部分通过建立计量模型并采用较为先进的检验手段对技术进步的就业效应的判断，结论表明，技术进步对我国就业的影响主要在于就业结构方面，对就业总量的影响没有取得有效证据。

第六章是基于前面相关研究的基础上，并借鉴西方国家促进就业的基本经验，所做出的关于治理失业和促进就业的政

策取向的简要分析。

本书的主要贡献及创新：从经济转型和结构调整角度较为系统地研究了我国经济增长的就业效应不足问题产生的原因；利用大量的数据进行统计分析和计量分析，为进一步研究这一课题奠定了基础；设计了经济转型期劳动供给和需求行为的规范性分析框架。

Abstract

Economic growth is the premise of employment. The famous “Okun’s Law” shows that there is a reversed change, that is, negative relativity between unemployment rate and GDP growth rate, high economic growth rate will be accompanied by low unemployment rate and vice versa. However, the situation in our country fails to follow this law. Since the reform and opening of the country, especially since the latter years of 1990s, high economic growth doesn’t bring high employment, on the contrary, unemployment rate remains at a relatively high level. This phenomenon attracts the focus of domestic academic circles and in recent years, some scholars make some research on it, which lacks deepness and system. This thesis believes that the insufficiency of effect of economic growth on employment is significantly due to the fact that our country stands in a specific reform and development period currently, and the acceleration of our economic reshuffle and structure adjustment is the major reason to result in insufficiency of employment effect.

In the introductive section, it reviews economic growth accompanied by unemployment growth of our country briefly, hence establishing the practical significance of the theme of the thesis. Then, it offers the research method and basic outline of the thesis.

Section One is literature summary, including summary of study on western employment theories and the relation between employment and economic growth, and summary of study on employment insufficiency problem of the transition period by domestic academic circles.

Section Two is an overall positive analysis of the low employment effect of China economy. Firstly, it reviews the changes in the relation between economic growth rate and employment growth rate, between economic growth rate and unemployment rate and between economic growth and employment elasticity of our country, and narrates the fact of insufficiency of effect of economic growth on employment of our country directly. Then, it erects macro production function and makes evaluation and validation, and finds that the contribution of labor factor to economic growth reduces greatly in the period of the sampling, contribution of capital input to economic growth is on the rise but contribution of labor input to economic growth is going down, which shows employment effect of economic growth is decreasing. And the poor parameter stability means that factors outside of production function have greater effect on economy, such as structure adjustment and institutional reform. Further analysis believes that the factors influencing the employment elasticity change of our country mainly include five aspects of economic structure, institutional of systematic policy, factor condition, technological progress and income level. Considering that technological progress is the common factor in all economies, and effect of technological progress on employment is realized through industrial structure adjustment to

a large extent, and it is closely related to scientific system and micro innovation mechanism, this thesis makes a separate analysis of it in Section Five. Regression and quantitative validation show that current economic development status of our country determines that resident income factor will generally produce no negative effect on labor supply, factor condition is mainly shown as the scarcity of capital and labor. There is an abundant labor resource in our country, and capital scarcity is considerably alleviated, thus, the core problem of focus shall be the extent of convenience for businesses of different ownership to access capital resource and inducement of capital and labor propensity in the development process. The positive result of the model shows that the decrease in effect of economic growth on employment of our country is greatly related to current economic structure adjustment and institutional changes in the transition period.

Section Three discusses the effect of structure adjustment on employment. On the basis of summarizing the general trend of economic structure and employment structure changes, the thesis surveys the structural changes in employment during the economic structure vicissitude. Through analyzing the change relation between ownership structure and employment structure, it finds that decrease in employment elasticity in state - owned economic sections in township economies and employment absorption capability of village enterprises in village economies is an important reason for the decrease in overall employment demand of our country.

From the change relation of industrial structure and employment

structure and the changes in GDP composition and employment distribution, the result of industrial structure adjustment of our country since the reform and opening has been very obvious, and the industrial structure is on the road to rationalization. However, in general, the percentage of industrial sections is still relatively high. Especially in the recent 10 – odd years, the changes in output composition of secondary industry are unobvious, however, investment growth in the secondary industry surpasses investment growth in the primary industry and tertiary industry greatly. As industry is relatively capital intensive and technology intensive industry, the higher of its percentage in national economy, the more difficult employment increase under the condition of high economic growth will be. In order to further explain this judgment, the thesis subsequently calculates output structure, employment structure and industrial deviation of each industry, compares the contribution of productivity and each industry to GDP and employment, and finds that the employment structure transition of our country mainly occurs between the primary industry and the tertiary industry, output of the secondary industry surpasses $1/2$, but its employment contribution accounts for only $1/5$. This kind of deviation is caused by differences in productivity of each industry.

From township and village economic structure, the gap between towns and villages of our country is not narrowed, but on the contrary, it has a widening tendency, which can be reflected from the trail of township and village household average income level and Engel coefficient changes. Due to the backward economy and long – exist-

ing scarcity of average tillable land resource in rural area, it leads to great redundancy of agricultural labor. In the process of transferring labor to township enterprises, the institutional advantage and market environment at the beginning of the rough operation no longer exist, the factor substitution of capital and labor becomes more and more difficult, and the substitution elasticity is on an apparent downward trend, weakening the employment absorption expansion capability of township enterprises. And the transfer of redundant agricultural labor to towns and cities relies on the process of industrialization and urbanization. The urbanization process of our country is still at a relatively low level, and the employment pressure of city population is also considerably heavy, thus, hoping to depend on urbanization to absorb agricultural redundant labor in large number in the short run is unrealistic.

Section Four discusses the effect of economic reshuffle on economic growth and employment effect. The thesis believes that the effect of economic reshuffle on employment can be mainly realized by resorting to change in resource allocation effect. According to market rule, the reasonable factor mix and output decision of micro-economic entity shall be subject to or meet a certain condition, that is, enterprise production and factor ratio shall be within economical section. However, there are great numbers of redundant staff in state-owned enterprises under traditional system, that is to say, the labor employment exceeds the reasonable ratio of labor and capital mix, thus resulting in inefficient or vain labor, marginal product revenue of labor is lower than labor wages, which is a typical soft

binding form of enterprise budget. This thesis uses the analysis frame of two - division model, analyzes the moving of employment demand curve of state - owned sections in the transition period, and believes that the lay - off and unemployment caused by state - owned reshuffle is only the expression of the recessive unemployment forming under the old system for a long time and is only temporary. In the long run, after modern enterprise system is really established in state - owned enterprises, the market behavior of such enterprises has no difference from that of private sectors, production scale expansion for the purpose of profit maximization can also increase employment demand.

From the angle of labor supply, in order to maximize the utility level of its own, the laborer shall face the choice of work and leisure time make reasonable mix. In the transition period in our country, and due to effect of many uncertain factors, the income expectation and budget expense curves of a large majority of residents in our country change greatly. The utility function always diverts to income increase instead of leisure time increase. The labor supply curve leans right upward steadily. For those "parvenus" who make instant wealth whether through proper means or through improper means, consumption utility obtained from labor income is extremely low and even zero, and their labor supply leans left upward. The indigence group arising from the reform of the country will also, under the condition of low wage rate and wage decrease, increase labor supply, and their labor supply curve leans right downward.

Labor supply relation has to rely on labor market to be realized

finally. The labor market of our country has its flexibility, simultaneously, it is also segmented. The segmentation of the labor market of our country is different from the naturally formed segmentation in common market economies, but is shown as administrative segmentation. Hukou system leads to the segmentation of towns and villages, making the transfer of agricultural laborers to towns and cities in great difficulty. Business ownership segmentation leads to different labor employment system and wage (welfare) decision mechanism, the distortion of labor price (wage) greatly pinions the closeness to the equilibrium point. The effect of monopoly and quasi-monopoly sections on employment mainly lies in that market access obstacle makes economic growth below potential level and the labor demand curve of firms in monopoly sectors below that of firms in competitive sectors.

In this section, the thesis also surveys why there also exists the phenomenon of "migrant worker scarcity" under the condition of great employment pressure in our country. That the lack of trade unions and their duties makes wage decision manipulated by employer is the fundamental reason for the change of labor supply behavior of migrant workers and the occurrence of "migrant worker scarcity" phenomenon. Furthermore, unemployment insurance and professional training system are also of great significance for increasing employment.

Section Five studies the effect of technological progress on employment of our country. It firstly briefs and summarizes the employment effect of technological progress theoretically. The effect of tech-

nological progress on total employment relies on the consideration of capitalization effect and destruction effect of technological progress, meanwhile, the effect of technological progress on employment structure is consistent and long-term. The positive section establishes metric model and applies relatively advanced validation means to judge the effect of technological progress on employment, and concludes that the effect of technological progress on employment of our country lies mainly in employment structure, and no effective evidence is obtained concerning the effect on total employment.

Section Six bases itself on related study in Section Two, Section Three, Section Four and Section Five and learns from the basic experience of promoting employment of western countries, and makes brief analysis of policy direction of governing unemployment and promoting employment.

Main contribution and innovation of this thesis: It studies the reason of the problem of employment effect insufficiency of economic growth of our country considerably systematically from the angle of economic reshuffle and structure adjustment, uses a great many data to make statistical analysis and metric analysis, sets a foundation for further study of this subject, and designs normative analytical frame of labor supply and demand behavior of economic transition period.