

中国

市场经济理论与实践

The Theory and Practice
of Chinese Market Economy

白永秀 任保平 主编



高等教育出版社
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内 容 简 介

本书的主编是中国特色现代市场经济的倡导者和促进派,主编和主要作者多次亲历政府、企业等有关经济改革重大决策项目的制定和问题诊断过程,并在理论研究、教学实践中不断提炼、总结,也形成了自己对中国特色市场经济理论的独特观点,与中国的其他经济学者一道成为中国市场经济的见证者、实践者、研究者。本书沿着理论与实践相结合的一条主线,在研究和介绍市场经济基本问题的同时,以我们身边发生的事件和现实生活为切入点,从中国国情出发,通过对中国市场经济发展中的现实问题进行多角度分析,对中国市场经济的微观体制、宏观体制、市场制度、运行机制及存在的深层次问题等进行了深入浅出的分析,是一部全面、系统地介绍中国特色现代市场经济理论与实践的教科书。

本书主要适用于经济类和管理类专业的本科生、研究生和 MBA 的基础理论课教学,同时也适合对中国市场经济理论与实践感兴趣的中外读者阅读。

本书配备丰富的数字化教学资源,主要内容包括教学大纲、PPT、各章复习思考题的参考答案、热点问题文献综述和相关文献列表等。

The chief authors of this textbook are advocates of the modern market economy with Chinese characteristics, who have participated in many important programs about economic reform held by some local governments and enterprises. They have established a theoretic system of Chinese market economy through researches and teachings, and have become the witnesses, practitioners and researchers of the Chinese market economy together with other Chinese economists. By way of theorizing based upon facts, this book focuses on the multi-dimensional analysis of the development of Chinese market economy, and introduces comprehensively and systematically the theories and practices of the modern market economy with Chinese characteristics, including in-depth analysis of microeconomic and macroeconomic systems, market institutions, and the operating system of the Chinese market economy.

This book is written for the undergraduate, graduate and MBA students who are major in economics or management, and also for international readers who are interested in theories and practices of the Chinese market economy.

This book is equipped with many helpful teaching resources, such as syllabus, PowerPoint slides, questions and answers, literature reviews and references.

前言

20 世纪人类社会最伟大的探索之一,就是对社会主义国家能否发展市场经济的探索,正是在这一伟大的探索中形成和发展了社会主义市场经济理论。中国从 20 世纪 80 年代开始,由农村到城市,由沿海到内地进行了波澜壮阔的经济体制改革,改革使市场机制的作用得到进一步的发挥,中国大地出现了翻天覆地的变化。

中国经济体制改革的目标就是建立一个完善而有效的社会主义市场经济体制,实现资源的有效配置,加速经济的发展,提高人民的生活水平。可以说,建立完善的市场经济体制,既是中国实现经济发展战略目标的体制保障,也是全面建设小康社会所要达到的目标,同时也是作为一个发展中大国崛起的制度基础。市场经济在西方国家已经有几百年的历史,市场经济理论也在不断地完善之中。而市场经济对于中国这样一个正在崛起的发展中大国,在理论和实践上还处在不断的探索中。

■ 本教材的思想源泉

改革是中国市场经济理论发展的动力源泉,中国市场经济理论是对改革实践的总结和概括。从 20 世纪 80 年代初开始,我们在理论上对中国市场经济进行了研究,力求作为市场经济的促进派,提出并倡导中国特色的现代市场经济理论。经过长期探索,先后出版了《中国现代市场经济研究——一种新的社会主义市场经济理论及其实现形式》、《中国现代市场体系研究》、《中国西部区域市场经济研究》、《陕西现代市场体系研究》、《社会主义市场经济概论》、《市场经济教程》、《新编市场经济概论》、《中国现代企业制度研究》、《中国现代企业制度的理论与实践》等专著和教材,在《求是》、《人民日报》、《光明日报》、《经济学家》、《改革》、《经济学动态》等报刊上发表了 100 余篇这方面的论文,其中有些观点先后被《新华文摘》、《经济学文摘》、《理论信息报》、《高校文科学报文摘》、《中国人民大学报刊复印资料》等 10 多家刊物转载或转摘,并被收入《中国社会主义经济理论问题争鸣》、《改革十年社会科学重要理论观点》等书籍。

同时,中国市场经济的发展为我们把理论和实践相结合提供了机会,从 20 世纪 70 年代末 80 年代初开始,我们亲身经历了由计划经济体制向市场经济体制转化的全过程。作为经济研究专家,参与了地方政府多项改革方案的制订,尤其是 20 世纪 90 年代初,参与了陕西省现代企业制度试点、国有企业改革、非公有制经济发展方案的制订。20 世纪末、21 世纪初又参与了国家有关部门及陕西省西部大开发体制创新和政策的研究,同时作为陕西省委、省政府咨询委员,西安市、铜川市、榆林市等多家政府的顾问,陕西鼓风机厂、移动通讯公司等多家公司的独立董事与高级顾问,参与了地方政府和企业的各种决策活动,这些实践活动为我们进行中国市场经济研究提供了丰富的素材。



在教学方面,党的十四大以来我们相继为本科生、硕士生和博士生开设了“社会主义市场经济理论与实践”、“中国市场经济研究”、“中国现代企业制度研究”等课程,受到同学们的普遍欢迎。为了满足本科生及研究生的教学需要,我们经过近两年的努力,在广泛研讨的基础上撰写了本教材。

■ 本教材的使用范围与内容

“中国市场经济理论与实践”是高等学校文科类专业的一门基础课程,也是经济类和管理类各专业的一门专业课。本教材适用于经济类与管理类各专业本科生专业课、研究生和MBA的专业基础课。

本教材的主要内容包括:导论、市场经济理论、中国市场经济理论与实践的演化、中国市场经济的宏观体制、中国市场经济的微观体制、中国市场经济运行的机制与规则、中国市场经济的运行场所、市场经济的运行规律及其在中国的实现、中国市场经济的运行环境、中国市场经济的对外开放、国外的市场经济模式及其借鉴、中国市场经济发展的状态、中国市场经济的发展等。

■ 本教材的方法

※ 理论与实践相结合。本教材从理论与实践两条主线分别介绍市场经济在中国的发展,在研究市场经济基本理论的基础上,更加重视对中国市场经济实践问题的研究,特别是注重对经济改革与发展中一些重大现实问题的研究,包括非公有制企业的发展、国有企业的改革、市场经济秩序的建立等。

※ 制度分析与资源配置分析相结合。本教材在制度层面研究社会主义与市场经济相结合的基础上,重点从资源配置层面研究市场经济在资源配置中的作用、特征和机制,包括市场经济的运行场所、规律和环境等。

※ 国际化和本土化相结合。为了适应中国经济国际化的趋势,本教材在借鉴国外市场经济理论的同时,结合中国经济体制改革实际,力求推进市场经济理论的国际化和本土化相结合。

※ 理论研究与政策研究相结合。本教材既介绍中国市场经济理论发展的过程,也介绍中国市场经济发展中一些重大政策出台的背景及情况,同时还提出市场经济发展的对策。

※ 教学与科研相结合。在教学方面,本教材配合学生的学习和教师的教学,附有光盘,包括案例分析、课件、参考阅读书目、复习思考题及其答案;在科研方面,为讲课教师及学生提供相关学术研究动态,在每章配有相关文献综述及近五年来研究文献目录等。

■ 本教材的特色

※ 本教材的主编和主要作者多次亲历政府、企业有关经济改革重大方案的制订和问题诊断过程,并在理论研究、教学实践中不断提炼、总结,形成了自己对中国特色现代市场经济理论的独特观点,与中国的其他经济学者一道成为中国市场经济的见证者、实践者、研究者。



※ 本教材沿着理论与实践相结合的一条主线,通过史、论、图一体化的方式,在研究和介绍市场经济基本问题的同时,以我们身边发生的事件和现实生活为切入点,重点对中国经济发展中的现实问题进行多角度分析,把理论的简洁性与历史的厚重感相结合。

※ 在综述各方观点中,全面展现中国市场经济的制度、机制、因素及发展轨迹,综合大量鲜活的经济事实映证中国特色的市场经济道路,从中国国情出发,对中国市场经济的微观体制、宏观体制、市场制度、运行机制及存在的深层次问题等进行了深入浅出的分析,既使各家观点异彩纷呈,又使一家之言得到体现。

※ 把广度与深度相结合,在清晰、深刻地阐述理论的同时,通过案例、专栏、相关链接,增加信息量,在广度与深度相结合中体现出教学的实用性。

■ 本教材的作者队伍

本教材由西北大学经济管理学院院长白永秀教授和国家经济学人才培养基地所在的经济系主任任保平教授担任主编,由西北大学、陕西师范大学、宁夏大学、延安大学、西安工程大学、西北政法大学长期从事市场经济理论教学和研究的教授、博士组成作者队伍。以白永秀教授长期积累的“社会主义市场经济理论与实践”讲稿为蓝本,整理、扩展形成了本教材。教材的提纲由白永秀教授、任保平教授讨论确定。全书的写作分工如下:西北大学经济管理学院白永秀 吴振磊(第1章);西北大学经济管理学院白永秀、吴振磊,西安财经学院李丽辉,宁夏大学经济管理学院何凤隼(第2章);西安工程大学王婉玲(第3章);西北大学经济管理学院惠宁、谢攀(第4章);西北大学经济管理学院任保平(第5章);西北大学经济管理学院马小勇(第6章);延安大学武忠远(第7章);陕西师范大学刘敢(第8章);西北大学经济管理学院严汉平(第9章);西北大学经济管理学院郭俊华(第10章);西北大学经济管理学院吴振磊(第11章);西北大学经济管理学院马小勇(第12章);西北政法大学刘光岭(第13章)。在各章初稿的基础上,由白永秀教授、任保平教授统稿和修改。

在统稿过程中,我们对初稿进行了全面的修改,吸收了当前国内出版的各种市场经济教程的精华,力求综述各家观点,将理论界和我们自己的最新成果反映进来。参阅了十六大以来中国共产党代表大会的有关文件,以及近几年颁布的新政策,力图体现最新的政策取向。归纳和梳理了当前中国市场经济发展中的最新现状,力图最大限度地反映中国经济体制改革和市场经济发展中的实践前沿。

■ 本教材的配套资料

为了给教师与学生提供更多的理论背景与实践背景,我们配有教学辅导光盘。光盘的内容分为四部分:一是复习思考题及其答案;二是课件;三是各种相关问题的文献综述及其近年来的相关文献目录;四是相关案例分析。

■ 致谢

在本教材编写过程中,得到了西北大学、陕西师范大学、宁夏大学、西安工程大学、延安大学、西北政法大学等单位的大力支持。高等教育出版社的有关编辑以其严肃认真和高度



中国

市场经济理论与实践

The Theory and Practice of Chinese Market Economy

负责的态度,给予了热情的帮助,提出了许多富有建设性的意见,使本教材增色不少。

在编写过程中,参考了近几年出版的相关专著、教材和发表的论文,在此向相关作者表示诚挚的谢意!

由于时间和水平方面的原因,本书难免会存在一些不足之处。因此,恳切期望广大专家、学者和读者提出宝贵的批评意见。

编者

2007年5月

Preface

One of the greatest explorations of mankind in the 20th century was to develop market economic system in socialist countries, through which the socialist market economic theory was enriched and developed. The 1980s witnessed the significant economic reform in China, which started from rural areas to the cities and from coast areas to inland areas. The reform promoted the role of market mechanisms and led to an enormous change in China.

The goal of economic reform in China is to establish an effective socialist market economy and a sound system of resources allocation in order to accelerate the economic development and to improve the living standard. It can be said that the establishment of market economic system in China is not only an institutional guarantee for the realization of economic development goals, but also the goal of building a well-off society. The existing market economies in the western countries have developed for several hundred years, and the related theories has been in constantly progress. A market economy for such a rising developing country as China, however, is still under constantly exploration both in theory and in practice.

■ Ideological source of this textbook

The Reform is a driving force for the theory of China's market economy, and the latter is the summary of the former. In the 1980s, we began to study the theory of China's market economy, and tried to build a theory of modern market economy with Chinese characteristics. After a long period of searching, as promoters of a market economy, we published several works, including *Modern Market Economy in China—A New Theory of the Socialist Market Economy and Its Forms*, *Modern Market System in China*, *Regional Market Economic Study of the Western Part of China*, *A Study on the Modern Market System in Shaanxi*, *Introduction to the Socialist Market Economy*, *Guide to A Market Economy*, *Modern Enterprise System in China*, *Theory and Practice of Chinese Modern Enterprise System*. We also published some academic papers in *Qiushi*, *People's Daily*, *Guangming Daily*, *Economist*, *Reform*, and *Economic Perspectives*, some of which have been reprinted or reproduced by more than 10 publications and journals, such as *Xinhua Digest*, *China Social Sciences Digest*, *Information Theory*, *University Journal Digest*, *Chinese Socialist Economic Theory Contention*, *Decades of Reform And Social Science*; *Some Important Theoretical Viewpoints*, etc.

The development of Chinese market economy provides us with an opportunity to combine theory with practice. Since the late 1970s and early 1980s, we have experienced the transformation from the planned economy to the market economic system. As experts we participated in the reform



of state-owned enterprises, non-state-owned economy development program and the policy-making process of the local government, and witnessed the establishment of modern enterprise system in Shaanxi Province, especially in the 1990s. We also participated in the research of western development strategy. Meanwhile, as members of Shaanxi Provincial Party Committee and government advisory committee, adviser of Xi'an, Tongchuan, Yulin, and the independent directors of Shaanxi Blower Works, China Mobile and other companies, we participated in a series of decision-making activities held by the local governments and companies. These practical activities provide a wealth of research materials for the study of Chinese market economy.

In the area of teaching, we have taught Socialist Market Economy Theory And Practice and Study of China's Market Economy, Research On China's Modern Enterprise System to the undergraduates, graduates and doctoral candidates after the Fourteenth National Congress. To meet the educational needs for undergraduate and graduate students, we compiled this book from our teaching script, which was the result of nearly two years' work and on the basis of extensive discussions.

■ Readers of this textbook

The course of China's Market Economy Theory and Practice is fundamental to students major in economics and management. This book applies to the teaching of specialized courses in economics and management of undergraduates, graduates and MBA.

The main content of the textbook is the theory of market economy, including the evolution theory and practice of China's market economy, China's market economy, the macro-structure and micro-structure of China's market economy, China's market economic mechanisms and rules of operation, platforms and rules for the operation of the market economy, China's market economy operation, the opening of China's market economy, the experience of world market economy, the status of China's market economy and China's market economy development.

■ Methodology of this textbook

Use the theory in the practice. This book introduces China's market economy development from the view point of both theory and practice. On the basis of basic theory of the market economy, it places emphasis on the study of China's market economy, especially a number of important practical problems of economic reform and development, including the development of non-state-owned enterprises, the reform of state-owned enterprises, and the establishment of the market economic order.

Combine the analyses of system and resource allocation. Based on a combination of socialist and market economy, it deals with the role, characteristics and mechanism of market economy in the allocation of resources, including the operation of the market economy, laws and the environment.

Connect internationalization with localization. Learning from the experience of market



economy theory of other countries, we study the reform practice in China. This textbook adapts to the trends of internationalization of the Chinese economy.

This book introduces the development process of the Chinese market economy, the backgrounds of the important policies, and the solutions to the development of market economy.

Integrate teaching into researching. For teaching, there is a CD that includes case studies, PowerPoint slides, references and questions and answers. For researching, there are related research results and literature reviews and references in the last five years at the end of each chapter.

■ Highlights of this textbook

Chief authors of this book have participated in many analyzing and decision-making process of important programs held by local governments and enterprises. They have built up a system of Chinese market economy through researches and teaching, and become the witnesses, practitioners and researchers of the Chinese market economy with other economists of China.

This book is based on both theories and practices. It introduces the basic issues of market economy through investigating the facts happened in our daily life, analyzes the practical problems of the Chinese market economy from various perspectives, and combines the simplicity of theories with seriousness of history.

This book collects all kinds of viewpoints, thus reveals the development path, mechanism and elements of Chinese market economy and studies problems such as micro-institution, macro-institution, market institution, and operation mechanism so that different viewpoints including the authors' can be presented.

This book introduces theories by using cases, special columns, and relevant materials in order to provide plentiful information and improve practicability of teaching.

■ Authors of this textbook

The chief authors of this textbook are Professor Yongxiu Bai, who is the dean of School of Economics & Management, Northwest University, and Professor Baoping Ren, who is the director of the Department of Economics where the National Teaching Base of Economics is located. Other authors are professors or doctors who have taught or researched market economy for a long time. The authors come from Northwest University, Shaanxi Normal University, Ningxia University, Yan'an University, Xi'an Engineering University, and Northwest University of Politics & Law. This textbook is based on the lecture of Professor Bai about *Theories & Practices of Socialist Market Economy*. The outline of this book is designed by Professor Bai and Professor Ren. The first chapter is written by Yongxiu Bai and Zhenlei Wu from Northwest University; the second chapter is written by Yongxiu Bai and Zhenlei Wu from Northwest University, Lihui



Li from Xi'an Finance College, and Fengjun He from Ningxia University; the third chapter is written by Wanling Wang from Xi'an Engineering University; the fourth chapter is written by Ning Hui and Pan Xie from Northwest University; the fifth chapter is written by Baoping Ren; the sixth chapter is written by Xiaoyong Ma from Northwest University; the seventh chapter is written by Zhongyuan Wu from Yan'an University; the eighth chapter is written by Gan Liu from Shaanxi Normal University; the ninth chapter is written by Hanping Yan from Northwest University; the tenth chapter is written by Junhua Guo from Northwest University; the eleventh chapter is written by Zhenlei Wu from Northwest University; the twelfth chapter is written by Xiaoyong Ma from Northwest University; the thirteenth chapter is written by Guanling Liu from Northwest University of Politics & Law. Each chapter is revised by Professor Yongxiu Bai and Professor Baoping Ren.

During the revision of this book, we absorbed new outcomes of existing textbooks about market economy and tried to reflect the new conclusions of all kinds of viewpoints. We also looked through the relevant documents released by the Communist Party of China and combed the latest development of Chinese economy in order to reflect the latest practices of economic reform and economic development of China.

■ Related teaching resources

In order to provide teachers and students with more backgrounds of the theories and practices, we made a CD which included: 1) Questions and answers; 2) PowerPoint slides; 3) Literature reviews and references; 4) Case studies.

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Because of the limit of time and our ability, this textbook must have all kinds of shortcomings or mistakes. We hope that experts, professors and readers put forward their precious criticism and advices.

Yongxiu Bai

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