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作者简介

臧旭恒,1953年11月生于山东临沂。1985年于山东大学(研究生)毕业,同年于厦门大学获经济学硕士学位,1993年于南开大学获经济学博士学位。现为山东大学经济学院教授,消费与发展研究所所长。

近年来,臧旭恒致力于宏观经济、消费经济和产业经济等领域中一些重大理论课题和现实问题的研究,在《经济研究》、《经济科学》、《经济理论与经济管理》、《南开经济研究》等报刊上发表学术论文数十篇,出版学术专著三部(合作)。本书为作者的第一部个人学术专著。

出版前言

为了全面地、系统地反映当代经济学的全貌及其进程,总结与挖掘当代经济学已有的和潜在的成果,展示当代经济学新的发展方向,我们决定出版“当代经济学系列丛书”。

“当代经济学系列丛书”是大型的、高层次的、综合性的经济学术理论丛书。它包括四个子系列:(1)当代经济学文库;(2)当代经济学译库;(3)当代经济学教学参考书系;(4)当代经济学新知文丛。该丛书在学科领域方面,不仅着眼于各传统经济学科的新成果,更注重经济前沿学科、边缘学科和综合学科的新成就;在选题的采择上,广泛联系海内外学者,努力开掘学术功力深厚、思想新颖独到、作品水平拔尖的“高、新、尖”著作。“文库”力求达到中国经济学界当前的最高水平;“译库”翻译当代经济学的名人名著;“教学参考书系”主要出版国外著名高等院校 80 年代后期 90 年代初期的通用教材;“新知文丛”则运用通俗易懂的语言,介绍国际上当代经济学

的最新发展。

本丛书致力于推动中国经济学的现代化和国际标准化,力图在一个不太长的时期内,从研究范围、研究内容、研究方法、分析技术等方面逐步完成中国经济学从传统向现代的转轨。我们渴望经济学家们支持我们的追求,向这套丛书提供高质量的标准经济学著作,进而为提高中国经济学的水平,使之立足于世界经济学之林而共同努力。

我们和经济学家一起瞻望着中国经济学的未来。

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序

近十年来国内关于消费问题的研究逐渐多了起来,消费经济研究机构、消费经济理论刊物也先后问世,至于研究消费的论文则更是屡见不鲜,只是关于消费函数的研究却不多见,一些偶尔涉及消费函数的文章中,又往往是一带而过,浅尝辄止,不能给人留下深刻的印象。臧旭恒同志的《中国消费函数分析》这篇博士论文,知难而进,紧紧抓住这个较少为人着力研究过的课题作为他的博士论文主攻方向,并花了很大的努力在这块待开垦的领域中潜心求索,终于写出了这部具有一定开创性和填补空白意义的著作,对此,我作为他的导师深感欣慰。

消费函数问题过去所以尚未引起经济学界的广泛重视,我认为最主要的原因是过去的环境所使然,中国过去的低收入政策,使得除了即期消费之外,几乎所剩无几,因此收入与消费的关系并未构成什么问题。但是随着改革的深化和国民经济加快增长,国民的个

人收入也随之迅速增加,个人收入与消费水平的关系也正日益引起社会的关注。从这个意义上讲,研究消费函数问题多少带有一点超前性,但他更多地具有为即将到来的研究热点起着理论准备的作用。

谈到理论的准备,我认为本书在以下两点是颇值得重视的,首先,作者在构筑消费函数模型之前,曾专门分析了消费者行为,他认为这是构筑消费函数模型的理论基础,而这一点在过去有关此类著作中则是较少涉及的。其次,作者在分析中国消费者行为时,坚持从实际出发,他考虑体制改革前后消费环境的变化,导致内在设定的不同,从而提出分期建立不同的消费函数模型。与此同时,他又考虑到中国社会城乡分离造成的消费行为的差异(包括收入水平、精神物质生活差异,以及劳动力自由流动受到人为的限制等),作者提出分别建立城市和农村的消费函数模型,这些作法无疑都是带有开创性的探索,在科学研究上是很有启发性的。

作者在本书中采用的方法主要是计量经济学的方法,利用线性回归模型分析法等有关方法来验证各种假说和模型,对于这些方法我不熟悉,没有发言权,但是我认为在经济学领域中仅仅局限规范的分析是远远不够的,因此,如能有分析地借鉴西方经济学中一些运用数学手段的分析方法,来弥补我们已有研究的不足,无疑是非常必要的。所以在这方面尽管我知之甚少,但是对作者的尝试还是非常欣赏的,如果在这方面有那些不足和缺陷,乃至引起一些评论和异议的话,那对于这个领域的研究来说,也是非常有益的。

谷书堂

1994年2月5日于南开大学

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ABSTRACT

Analysis on Chinese Consumption Function

The subject of this book is consumption function in China, that is, the relationship between household income and its consumption. This book revises several principal hypotheses of consumption function and puts forward hypotheses and models of Chinese consumption function according to the social and economic institution and really available data in China.

Considering consumer behavior to be a point of departure for studying consumption function, the author, first of all, proposes a frame of studying consumer behavior in a neoclassical paradigm, and compares differences in the supposal of consumer behavior among consumption function hypotheses within the frame. Then he analyses external environments faced by Chinese consumers and the factors that have effect on consumer behavior. From this analysis, the author sums up external environment supposal of consumer behavior and internal supposal on the part of the consumer according to

Chinese situations, and compares them with those in the neoclassical paradigm and main theories of consumption function. Finally, the author advances hypotheses on consumer behavior in China. The main conclusion of this book is that the consumer in China before 1978 was bound, nearsighted and rather 'primitive' with short-term behavior. The pre-1978 Chinese consumer, in short, was quite similar to the Keynesian consumer, with much less freedom of choice, though in 1952 — 1978, passive factors played the primary role in consumer behavior. Positive factors were limited by government control of consumption fund, strict rationing and shortage. This book defines such consumer behavior as passive and short-term. On the other hand, the behavior of the consumer in China since 1978 has changed with the change in external environment of consumption. The consumer is being transformed into the neoclassical type from the primitive type in Keynes's description. Their forward-looking behavior has been formed. At the same time, imitative and compet-

itive behavior among consumers becomes stronger. This book identifies the post-1978, consumer behavior as imitative and competitive, transitionally forward-looking.

Based on the research into consumer behavior, this book comes up with hypotheses and models of consumption function in China. There are four hypotheses considered: 1, the simpler consumption function of Keynes can explain the circumstances in China before 1978; 2, those consumption functions within the neoclassical paradigm, which include mainly Friedman's permanent income hypothesis and Modigliani's life cycle hypothesis, can not explain the circumstances in China before 1978; 3, consumption function in 2 can explain the situations in China after 1978; and 4, complicated consumption functions, such as that of rational expectation, are hardly applicable in China. Models of urban Chinese household consumption are

$$1952-1978: C=f(y,z,r);$$

$$1978-1991: C=f(y,a,u).$$

(C is consumption, y is income, z is shortage, r

is rationing, a is residual asset, u is subsidy given by the state.) Models of rural household consumption are

$$1952-1978: \quad C=f(y, rp);$$

$$1978-1991: \quad C=f(y, a).$$

(rp is relative price of industrial products and agricultural products.)

According to these hypotheses and models, this book draws some important conclusions using a lot of temporally serial and cross — sector data on income, consumption, savings, consumption subsidy, and assets and so on. Major ones among them are that

1. current consumption of urban and rural households depended mainly on their current income during 1952—1978;

2. hypotheses of consumption function within the neoclassical paradigm became growingly applicable to Chinese conditions during 1978—1991;

3. rational expectation hypotheses are not applicable to Chinese conditions as was proven by examining Hall's model of “random walk”;

4. average propensity to consumption of urban and rural households was nearly a constant with no considerable fluctuations 1952 — 1978, while a marked decline was registered in the period of 1978—1991, along with a downward tendency in marginal propensity to consumption and income elasticity of consumption. The declining tendency in average propensity to consumption in rural households was not so obvious as that of urban households, although the decline was appreciably steep when compared with that in 1952 — 1978. The declining tendency indicates that: a) the relationship between current consumption and current income is becoming weak; and b) residual savings out of income are increasing;

5. previous consumption has a 'stabling effect' on current consumption;

6. 'the demonstrative effect' among urban and rural households has grown stronger with the expanding gap in income distribution since 1978. This effect is stronger in rural areas than in cities.

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