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# 体制变革与经济增长

## ——中国经验与范式分析

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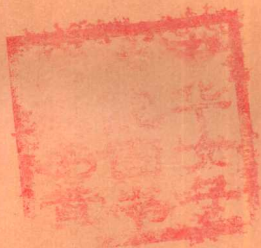
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女子学院 0103560

责任编辑 施宏俊  
封面装帧 宋珍妮

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周振华 著

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# 出版前言

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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、综合性的经济学木理论丛书。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 90 年代的通用教材;“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

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中国改革开放整整走过了20年的历程。在这不平凡的历程中，我们“摸着石头过河”，进行了卓有成效的制度创新，取得了举世瞩目的成就。特别是体制变革带来的经济高速增长，与俄罗斯及东欧等体制转轨国家的情况形成了鲜明对照。虽然这一体制转轨过程仍在继续之中，现在下定论还为时过早，但我国的经验与范式已向世人提供了非常值得研究和挖掘的宝贵素材。因此，目前有越来越多的西方学者开始转向研究中国问题，试图通过中国独特而丰富的实践来检验或修正其理论观点。显然，认真总结中国改革开放及经济增长的经验，并将其提升为一种体制转轨的范式进行分析，更是中国学者义不容辞的职责。

当然，这是一项高难度，具有较强前沿性、尖端性的研究工作，其涉及内容之多、范围之广、层次之复杂、关系之交错绝非一般研究所能比拟。它不仅要求我们具有对事物敏锐的感觉和领悟，富有想象力和创造性的思

维,以及驾御全局的综合能力,而且要求有科学严谨的态度,扎实深厚的理论功底,深入细致的资料整理与积累。只有这样,对此问题的研究才能达到较高学术水平和深度分析的境界。

我院中青年学者周振华博士勇于面对这种高难度的理论挑战,积多年学术研究的辛勤耕耘,在纪念我国改革开放 20 周年之际,出版了个人专著《体制变革与经济增长——中国经验与范式分析》,这是值得庆贺的。

本书对我国 1978—1998 年体制变革与经济增长的交互关系进行了全面、深入的实证分析,从不同角度总结了我国改革开放与经济发展一系列富有成效和具有特色的经验,并将其提升到理论高度,进行了中国范式分析,通过国际比较归纳出中国范式的一系列基本特征。在此过程中,作者创造性地提出制度—增长的分析框架及各种理论假设,并予以初步检验。

本书最大的理论贡献是提出了一个以利

益关系调整为主线,以行为主体间的博弈方式为联结的体制变革与经济增长互动模型,并通过“行为—过程—结构”的分析框架全面阐述了体制变革与经济增长的交互关系。

在这样一个模型和分析框架下,作者把政府决策者的“改革程序”设定,中央与地方分权化及地方政府角色转换,基层组织打政策擦边球的策略行为及国有部门与非国有部门在双轨制条件下的互动,国民收入分配格局调整中的新型居民部门崛起等问题有机融为一体加以论述。

特别值得提出的是,作者对政府决策者“改革程序”设定的论述是全书的灵魂。这种改革程序是体制变革过程中行为主体之间展开博弈的环境或结构,它决定了博弈的结果(改革结果)。作者很有创见地把我国政府决策者的“改革程序”设定归纳为:市场化取向的改革目标动态化;诱致性激励的改革选择集弹性化;制度交易的合同非完全化。而在这当中所贯穿的核心,是改革与发展的一体化。



这种改革程序的设定,决定了我国体制改革的基本方式是一种不完全信息多次动态博弈,并以其路径依赖性决定了各项具体改革及其过程的逻辑展开。这对于我们深入认识和理解我国体制改革渐进式发展及其过程中出现的各种矛盾与冲突,是很有帮助的。

在对中央政府、地方政府、基层组织(企业)和居民的行为分析基础上,作者进一步考察了市场化、新工业化、城市化和经济开放化各自的发展轨迹及其互动关系,阐述了体制变革中增长体系与增长机制的根本性改造,揭示了体制变革引发的新的增长源及推动力,从而使体制变革与经济成长的互动关系更加具体化。这种体系结构下的实证分析与理性阐述的结合,在现有文献中是很少见的,表明作者具有崭新开阔的视野和把握复杂经济关系及其变化的分析能力。

对于体制变革与经济增长交互关系中出现的结构性问题,作者进行了深入细致的分析。在宏观体制构建与微观制度基础、全国统

一市场发展与地区发展的差距、产业空洞化与新增长点培育以及体制改革与经济增长方式转变等问题分析中,作者提出了不少真知灼见和颇有新意的理论见解。其中有些观点事先在《经济研究》等刊物发表后,即被其他刊物转载并有较高的引用率。

尽管周振华博士在本书中提出的体制变革与经济增长交互关系这一模型还有不够完善的地方(如进一步形式化问题),但作为一种理论创新是有重大意义的,不仅有助于推动我国经济学理论的发展,而且对我国继续深入推进的改革开放与经济发展有积极的指导作用。

我一直主张并要求科研人员出精品,拿出传世之作,为繁荣社会科学,为我国社会主义现代化建设作贡献。周振华博士对此作出了积极反应,在繁忙的事务工作和社会活动之余,潜心著书立说,每年都有丰厚的科研成果,并具有较高的学术质量,在学术界和社会各方面引起重视和反响。特别是今天他又拿

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出这本“十年磨一剑”、有相当分量的学术专著，是十分值得称道的，同时也使我感到欣喜，特为此作序。至于此书的学术价值，我想自有广大读者的公论，还是让历史来鉴定吧。

张仲礼

1998年7月于上海社科院

# SUMMARY

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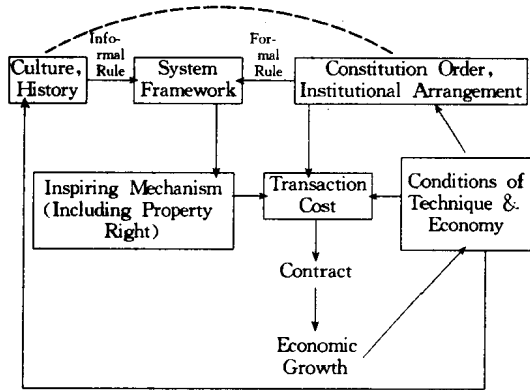
**A**mong the countries in reform of the system of ownership, at present, China is the only one whose system reform and economic growth has assumed obviously mutual promoting relation, and Russia and East-European countries have assumed vicious economic situation in some degree. Traditional Growth Theory (Factor Growth Way and Pattern Growth Way) was not able to answer such a question about growth in system reform. This book takes institution as a major “illustrating” variable of economic growth in Institution-Growth research to illustrate the relationship between system reform and economic growth.

The prerequisites assumed in the Institution-Growth research are as follows: ① Growth mechanism and pattern change along with transition of institutional arrangement; ② Defects of growth mechanism and growth pattern could not be overcome by usual adjustment of economic policy; ③ There are a lot of interest frictions in transi-

tion of growth mechanism and growth pattern. Obviously, we investigate the problems of economic growth on the hypothesis that institution could not keep balance itself.

Since the characteristics and intensity of reaction with which the institutional structure responds to the dynamic transition of economic conditions actually depends on the characteristics of interest relationship and the degree of interest requirement, the adjustment of interest should be the main line of the interaction relations between system reform and economic growth. Adjustment of interest, however, will be executed through the dual activities of goods transaction and institution transaction, its transaction cost and contract pattern are really important. In our model, the special inspiring mechanism of the game type in dual transition activity will affect the transaction cost, thus determine the speed and quality of economic growth. So, the game type should be

the joint of system reform and economic growth, also be the key variable to illustrate the circle of economic growth and economic conditions (see Figure 1)



**Figure 1 System Framework and Economic Growth**

In the above-mentioned interaction model of system reform and economic growth, the written draws “Possibility Combination” of interaction of system reform and economic growth further with the game and its structural pattern among behavior subjects, and not only gets the index

of the intensity of feedback of theirs, but also the index of direction of feedback of theirs. All of these are to analyze the relationship between system reform and economic growth with a new viewpoint.

Thus, in the research of system reform, we should not only investigate its form or pattern, but also pay great attention to identify and define the reform pattern with its substantial connotation, in order to master correctly the function relationship between reform pattern and reform effect. If we define reform pattern simply with the characteristics of reform form and then take the achievement of economic reform in china as the result of what is called "Gradually Progressive Reform Way", which will not only cause people's misunderstanding that just adopting "Gradually Progressive Way" will result in success, but also block to further investigation to summarize the experience with worldwide universal significance.

In order to find out the connotation of the reform pattern of economic system in China, the selective environment of reform and game structure should be fully investigated. This game structure of reform is called "Reform Process" in this book by the writer. This reform process is similar to the vote process in public selection, which will determine the reform process. "Reform Process" will determine not only reform pattern, but also reform consequence. China, Russia and East-European countries have taken different ways of system reform, the core is different means of dealing with the "Legality" of reform, which results in different reform process.

The writer would like to summarize the "Reform Process" of system reform in China in three aspects: ① Dynamic target of market-oriented reform; ② Elastic reform selection set of inducing inspiration; ③ Incompleteness of the contrast of system transaction. The red line that will go



through the above-mentioned three aspects is identification of reform and development (see Chapter 1). The connotation and characteristics of reform pattern of economic system in China are to result from the identification.

Reform pattern assumed by “Reform Process” of system reform in China implies such a philosophic theory: the final target may be resolved in chronological order, and logically, there are a variety of intermediate states between the reform of marginal adjustment and above-mentioned final target. Market-oriented final target may be reflected by different intermediate states in different stages. In the evolution process, there are much more inducing opportunity and elastic reform selection sets, of course, with them a lot of artificial subjective factors are mixed, which causes more institution transactions of incomplete contract. In the chapters of this book, the writer tries his best to find out the rich connotation in this aspect