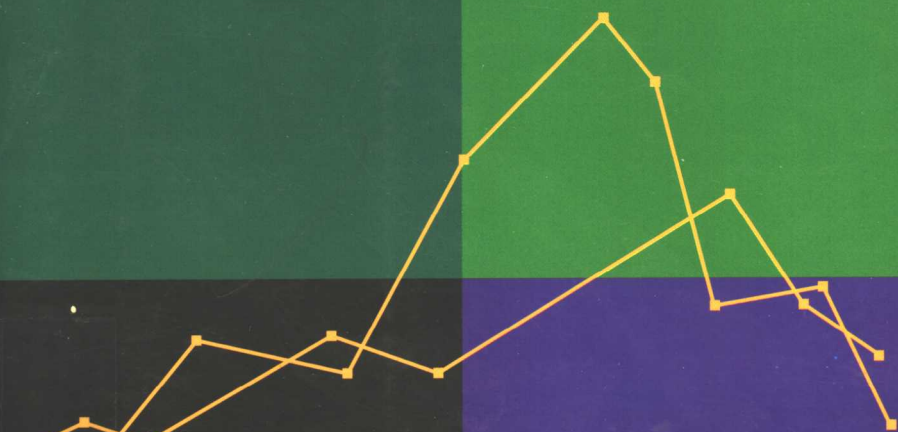


论价格总水平调控

*A STUDY ON ADJUSTMENT AND CONTROL
OF GENERAL PRICE LEVEL*

许光建/著



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序 言

价格是商品价值的货币表现，也是一种市场信号。它受供求关系影响，反映市场供求关系，又反过来调节市场供求变化。价格总水平综合反映全社会各种商品和服务价格的变化程度，是重要的宏观经济参数，是人们用来判断经济运行状况是否出现通货膨胀或通货紧缩的重要依据。现今在我国，改革开放取得丰硕成果，社会主义市场经济体制已经初步建立，国民经济管理的重点已由干预微观经济转向调控供求总量变化，价格总水平已成为宏观调控的重要对象。改革开放 25 年来，我国的价格总水平既出现过持续的上涨，也出现过持续的下降，在调控价格总水平的实践中，我们积累了比较丰富的经验。实践证明，保持价格总水平的基本稳定，始终是社会主义市场经济条件下宏观调控的重要目标。如何有效地实现这一调控目标，这是一项重大的研究课题。显而易见，深入研究我国调控价格总水平的实践，总结实践的新经验，探索其规律性，在理论上作出新概括、提出新观点，并为实际工作提供政策参考，是时代的需要，具有重要的理论意义和实践价值。

呈现在读者面前的这本著作《论价格总水平调控》，正是符合上述客观需要的新著。它原是许光建同志的博士学位论文，我作为他的导师，深知作者在论文写作过程中的艰辛和付出，这是他在完成繁重的教学科研任务和行政工作的情

况下坚韧不拔地刻苦学习，广泛研读国内外著作和资料，潜心研究的成果，在博士论文答辩时曾得到专家们的好评和鼓励。该论文以马克思主义为指导，借鉴现代西方经济学的研究成果，密切结合我国改革开放以来宏观调控的实践和国外的经验，进行深入的分析，比较全面系统地研究了价格总水平调控的基本问题，提出了一些有价值的新见解和政策建议，在一定程度上丰富了我国的价格理论和宏观调控理论，既有理论意义，又有实践价值。在该书出版之际，我很乐意作序，向广大读者推荐这部著作。

这部著作的特色主要体现在以下几个方面：

第一，把价格理论和宏观调控理论连接起来，从宏观调控角度研究价格总水平。作者一方面对价格总水平的含义、度量、决定因素、变动效应等基础性问题作了逐一研究；另一方面对国内外价格总水平调控的目标选择、手段和方式进行了理论分析和比较研究，在此基础上构建了比较完整的价格总水平调控的理论体系，提出了社会主义市场经济条件下价格总水平调控的基本思路。

第二，多视角地考察价格总水平。例如，作者对决定价格总水平的基本因素作了多角度、多层次的研究，既运用马克思主义理论论证了商品价值、货币价值与价格总水平之间的关系，又引入现代宏观经济理论分析了总供求与价格总水平之间的关系，从而全面论证了决定价格总水平的一般因素和具体因素的关系。再如，从不同角度研究了价格总水平变动的效应，包括直接效应和间接效应、预期到的效应和未预期到的效应以及不同经济体制下的效应，这样，就为认识和判断价格总水平变动的各种效应提供了依据。

第三，理论紧密联系实际。作者在正确理论指导下，深入分析了一些现实问题，并针对这些问题提出了一些切合我国实际的意见和建议。例如，在分析我国价格总水平调控实践的基础上，提出了完善宏观调控的建议；在讨论价格总水平的度量时，提出了改进价格指数统计方法的意见；在研究价格总水平与经济增长的关系时，提出了通货膨胀不利于经济增长和菲利普斯曲线不适合用于分析我国宏观经济现象的见解。

第四，坚持实践基础上的理论创新。作者对国内外不同观点进行了评述对比，对不同国家、不同体制和不同历史时期的价格总水平调控实践进行了比较分析，在此基础上提出了新的见解，对某些传统流行观点作了应有的否定，对某些争议问题作出了回答。这些新观点，有的是对马克思价格理论根据新的实践作出的新理解，有的是直接来之于实践，是对实践经验的新概括。当然，价格总水平调控涉及到许多复杂的问题，不可能在一篇论文、一本书里对所有的问题都完全研究透彻，有些问题还有待于今后进一步深入探讨。我希望作者再接再厉，继续努力，不断前进，在科学研究上取得更多成就，为繁荣我国的经济科学作出更大的贡献。

刘威瑞

2003年8月31日

于中国人民大学

内 容 摘 要

本书试图对价格总水平调控进行比较全面、系统的研究，主要内容包括价格总水平的度量方法、价格总水平变动的影响因素、价格总水平变动的经济效应、价格总水平的调控目标、价格总水平的调控手段和方式等。

全书共分为六章，主要内容如下：

第一章研究价格总水平的含义和度量方法，主要研究价格指数的选择和运用。一方面比较详细地介绍了国内外关于价格指数理论和实践的新成果；另一方面对进一步改进和完善我国的价格指数统计工作提出了建议，例如，编制核心价格指数等。

第二章研究价格总水平的决定因素。按照两种不同的理论，即马克思的价格理论和现代西方宏观经济学理论，对决定价格总水平变动的因素进行了全面深入的分析，论证了决定价格总水平的一般因素和具体因素及其相互关系。

价格作为商品价值的货币表现，反映着商品价值和货币价值之间的比例关系。因此，分析价格总水平变动，必须既考虑商品价值的变动，又考虑货币价值的变动。本章通过分析价值总水平和不同货币制度下货币的价值或所代表的价值的决定因素，并通过建立数学模型和曲线，推导出了商品、货币流通量、货币流通速度与价格总水平的关系式。

从市场运行的角度看，价格总水平的决定因素就表现为总需求与总供给及其对比关系。本章深入分析了总需求曲线和总

供给曲线的特征和影响因素，说明了价格总水平的决定与变动。

第三章研究价格总水平变动的经济效应。从不同的角度，研究了未预期到的和预期到的价格总水平变动的不同效应、价格总水平变动的直接效应和间接效应，试图论证价格总水平的剧烈波动对市场机制运行具有消极影响，保持价格总水平稳定对于经济健康发展和运行是最为有利的。

本章对通货膨胀、通货紧缩和价格稳定这几个基本概念的含义进行了深入分析，并提出了明确的定义。我国经济学界关于通货膨胀的传统的定义是不正确的。根据马克思的货币流通理论，在现代货币制度下，并不存在一个客观的货币必要量。通货膨胀就是价格总水平的上涨或持续上涨。

本章对国内经济学界关于通货紧缩的不同理解和分歧进行了评述，对一些比较流行的观点提出了批评，指出应当把通货紧缩看作是与通货膨胀相对应的一个概念，看作是价格总水平运动的一种形态，即指价格总水平的持续下降。因此，那种把价格总水平下降与货币供给量减少并列起来，或者把价格总水平下降与经济衰退联系在一起的观点，都是缺乏理论依据的。

这一部分的重点是从不同的角度对价格总水平变动的一般效应进行分析，包括直接效应和间接效应、预期到的变动的效应和未预期到的变动的效应以及不同经济体制下的效应等。价格总水平变动的直接效应就是可以观察到的或可以衡量的由于价格总水平变动所引起的经济现象，主要是对工资、收入、利率、汇率等经济变量的影响。价格总水平变动的间接效应是指对企业生产经营活动、对经济增长以及对资源配置等方面的影响。未预期到的价格变动对经济生活的影响较大，而在价格总水平的变动被市场主体已经预期到的情况下，价格总水平变动对经济生活的影响就会很小。但是应当认识到，个人或企业是

不可能完全准确地预期到价格总水平的变动的，因而价格总水平变动对经济生活将会产生某些方面的效应。

第四章专门研究价格总水平变动与经济增长之间的关系。一方面对国内外已有的理论观点和实证研究成果进行了述评；另一方面从理论上进一步深入论述了价格总水平变动对经济增长的作用，得出的基本结论是：那种认为通货膨胀有利于经济增长的观点是没有根据的，价格总水平的稳定是经济持续增长的重要条件。

在对经济增长理论进行回顾时，要重视马克思的经济增长理论。马克思在关于资本主义生产方式的运动规律的研究中，有许多对经济增长的精辟论述。马克思关于经济增长的这些论述对于理解现代西方经济学的经济增长理论是有益处的，对于我们研究社会主义市场经济条件下的经济增长具有重要的指导意义。

本章还对制度经济学中的增长理论进行了评论，指出了强调社会制度及其演进对经济增长的重要作用是完全正确的，但这并不是制度经济学家的新观点，马克思早在 19 世纪中叶的著作中就肯定了资本主义制度在当时对经济增长的巨大的促进作用。

这一部分的重点是论证价格总水平变动与经济增长的关系。通过对西方经济学界关于价格总水平变动与经济增长关系观点的演变的回顾与对国内外经济学家关于价格总水平变动与经济增长的实证研究成果的评述，论证了价格总水平和经济增长之间的关系：一般来说，价格总水平的剧烈的、大幅度的变动是不利于经济增长的。只有在短期内，在价格变动没有被市场主体预期到的情况下，才可能对经济增长发生某种作用。通货膨胀在一定程度上可能有利于经济增长，而通货紧缩在一定程度上

上则可能不利于经济增长。但这种作用是不确定的，也是暂时的，不可能是长期的。

第五章研究价格总水平的调控目标的选择。一方面比较详细地对西方国家关于价格总水平调控目标选择的理论和实践进行了评价；另一方面比较全面地对我国改革开放前后的关于价格总水平调控目标的理论和实践进行了回顾与评价，并提出了在社会主义市场经济条件下选择和确定价格总水平调控目标的基本思路。

本章对于世界范围内长期存在的价格总水平持续上涨的现象进行了深入分析。按照马克思的价格理论，深入论证了在贵金属货币制度下，价格总水平的变动趋势是由商品价值和贵金属价值共同决定并具有某种客观的趋势。但在纸币制度或现代货币制度下，价格总水平变动趋势则是由政府的价格总水平调控目标决定的，而非客观规律。

在本章还对我国改革开放前后价格总水平调控目标进行了回顾与评价。在计划经济体制下，坚持价格总水平基本稳定的目标是计划经济体制运行的内在要求，是实现计划价格的基本功能的内在要求。在传统的计划经济体制下，价格的基本职能就是国民经济计划核算的工具或尺度。为了使价格更好地履行计划核算功能，客观上就要求保持价格稳定。

改革开放以来，由于价格总水平的波动，政府十分重视价格总水平的调控，从1987年之后把价格总水平调控目标正式列入国民经济和社会发展年度计划和“九五”、“十五”计划中。但是，在价格总水平波动幅度较大的年份，价格总水平调控目标与实际上涨幅度都有较大的差别，调控目标没有得到很好的实现。今后要不断改进测算和确定价格总水平调控目标的方法。

第六章对不同经济体制下价格总水平的调控手段与方式进

行了比较研究，并紧密结合实际，对改革开放以来价格总水平的调控实践进行了总结。最后，对1997年以来出现的通货紧缩问题进行了深入探讨，提出了相应的政策建议。

在西方发达国家，政府对价格总水平进行调控的主要手段就是货币政策和财政政策，只有在特殊的历史条件下才会采取收入政策，对价格或工资进行直接控制。

在传统的计划经济体制下，国家调控价格总水平的基本手段是国家计划和行政手段。

改革开放以来，随着从计划经济向市场经济的转轨和价格总水平的波动，国家对价格总水平的调控手段也逐步地从以行政手段为主过渡到以经济手段为主，并逐步实现依法调控。

对近几年出现的通货紧缩问题，必须有综合分析的思路，从改革开放与发展的不同侧面进行分析。从总需求的角度看，亚洲金融危机使我国的出口增长缓慢，加剧了国内市场供过于求的状况，从而成为通货紧缩的重要因素。居民收入增长缓慢，特别是农村居民家庭纯收入增长缓慢也是导致消费需求不足的重要原因。

还应看到，由于城乡二元结构的长期存在，由于农村存在着大量的富余劳动力，因此，随着越来越多的农村富余劳动力逐步地向城镇和非农产业转移，将大大增加城镇和非农产业劳动力的供给总量，从而会促使城镇和非农产业劳动力的工资水平呈现下降趋势，至少会限制工资水平的上升。因此，从长远来看，非农产业的工资水平具有下降的压力。这必然会影响到产品成本的上升，从而使价格水平具有向下变动的压力。

货币供给的增长幅度偏低是形成通货紧缩的重要因素。货币供给的增长幅度偏低的原因是多方面的，一方面，国有商业银行的风险管理不断加强，在商业银行缺乏适当的利润激励机

制条件下，就会产生“惜贷”现象；另一方面，由于我国商业银行体系的不健全，缺乏主要为中小企业服务的地方性的中小银行，因而迫切需要资金的中小企业不能得到足够的贷款支持。货币供给增长缓慢的主要原因是体制性因素。

为了抑制通货紧缩的趋势，中央政府及时调整了财政政策和货币政策的方向，及时地采取了积极的财政政策和稳健的货币政策。几年来的实践证明，1998年以来实行的宏观经济调控政策取得了巨大的成效，有力地促进了国民经济的增长，抑制了价格总水平持续下降的趋势。

同时，也应看到实施积极的财政政策可能产生的一些问题，要根据国际和国内经济形势逐步调整财政政策。

提高农村居民的消费水平，不仅要努力提高农民的收入，更要重视降低农村居民的各種社会负担。加快健全和完善社会保障制度对于提高城镇居民的消费水平具有重要意义。

从长期来看，扩大需求的重点是国内市场，但必须同时重视国际市场的拓展和扩大。

本书的不足之处表现在：一是比较注重理论体系的全面性和系统性，对某些重要问题研究的深度不够；二是比较注重理论分析，定量分析不够；三是对开放条件下价格总水平的调控理论没有展开研究。这些都需要今后继续深入研究。

Abstract

This book tries to do an overall and systemic research on adjustment and control of general price level. It involves measurement of general price level, determinants of general price level, impacts of the change of general price level and target, instruments of adjustment and control on general price level, and so on.

The book consists of 6 chapters and the main contents are as follows:

Chapter 1 discusses the meaning and measurements about general price level, choice and application of price indices. The new progress and research about the price indices in domestic as well as abroad are introduced and discussed on one hand. It makes suggestions to approve China's price statistics on the other hand, such as introduction of the core price index and so on.

Chapter 2 studies the determinants of general price level. Marxist price theory and modern western macroeconomics are applied to study the determination of general price level. It discusses the general and concrete factors as well as their relations in the determination of general price level.

Price of the product is monetary expression of the value of product and price reflects the ration between the value of product and value of money. According to this theory, it is needed to consider the change of value of product as well as value of money. Based on the analysis about the determinants of general value level of products and value of money in different monetary systems and models as well as curves, the models about the relations among products, money circulate volume and velocity of money are established.

In the view of market movement, general price level is determined by aggregate demand and aggregate supply as well as their ratio. The paper discusses in depth characteristics and determinants of AD curve and AS curve and clarifies the determination and movement of general price level.

Chapter 3 studies the impacts of change of general price level. Different kinds of impacts of the changes, i. e. , unexpected and well-expected, direct and indirect, are discussed in detail. It tries to expound and prove that severe fluctuate of general price level will produce negative impact on market mechanism and keeping stability of general price level will benefit to health development of economy.

This chapter discusses the different meaning of inflation, deflation and stability of general price level and gives right definitions. The traditional definition in China about inflation is not correct. According to Marxist money and price theory, there is not an objective money volume and inflation is rising of general price level.

This chapter discusses the different definitions about deflation, which has been one of important topics in recent years. There are many misunderstandings about the deflation in economic circles. Deflation is just the opposite of inflation and is decreasing of general price level. Those other understanding about deflation, such as deflation is related with decreasing of money volume or deflation is related with decreasing of GDP, are all not in line with theory.

The emphasis of this chapter is study on the impacts of change of general price level from different aspects. It covers direct and indirect impacts, expected and unexpected impacts and impacts under different economic institutions. The direct impacts refer to those changes could be observed or measured along with change of general price level. The direct impacts include change of wage, income, interest rates, exchange rates and other economic variables. The indirect impacts refer to those impacts on business activities, economic growth and resources allocation. The unexpected change of general price level has significant impact on economy. When the change of general price level is well expected by consumers, firms and other market subjects, there will be little impacts on economy. However, consumers and firms could not have well-expectation on change of general price level and therefore any change of general price level will have impact on economy in some extend.

Chapter 4 studies the relations between change of general price level and

economic growth. The main theories and empirical analyses are reviewed and discussed. The basic conclusion is that the viewpoint of inflation will benefit economic growth is not correct; the stability of general price level is one of key conditions for nation's long-run economic growth.

It is needed to pay attention to Marxist economic growth theory when studying the economic growth theory. There are many valuable theoretical analyses on economic growth in Marxist study on movement law of mode of capitalism production. Economic theory of Marxist will be helpful for us to understand modern western economic growth theory and will be basis for us to study economic growth under the socialist market economy.

This chapter reviews the economic theory of the institutional economics. It points out that the viewpoint of "social systems and their changes are of important to economic growth" is right but it is not a new point and does not belong to the institutional economists also. Marx pointed out in the middle of 19 century that the capitalist system had played great role for promoting economic growth in that time.

The relationship between change of general price level and economic growth is center of this part. It reviews the theories and their changes of western economists and discusses the several empirical studies on this area. The conclusion has drawn based on theoretical analysis. In general, the fluctuation of general price level, especially the substantial or violent fluctuation will hinder economic growth; The change of general price level will have some impact on economic growth when the change is not well-expected by people: inflation would benefit economic growth and deflation would harm economic growth to some extent in some conditions. However, this kind of impact is uncertain and only short-run and there is not impact on long-run growth.

Chapter 5 studies the choice of target for adjustment and control of general price level. Discussion about theory and practice in western countries on targets of adjustment and control of general price level has been made. It reviews and comments about our country's theory and practice before and after the reform and opening-up on the target of adjustment and control of general price

level. It also studies the basic thought and methods about choice of target for adjustment and control for general price level under socialist market economy.

Inflation is one of worldwide phenomena for long time and in-depth analysis to this phenomenon is made in this chapter. According to Marxist price theory, under the gold or silver money system, the trend of general price level is determined by the value of products and value of gold or silver and there is an objective and stable trend also. But, under the paper money system, there will not any objective trend of general price level. The change trend of general price level is adjusted and controlled by the governments according to a certain target.

This chapter reviews and comments about the history of targets of adjustment and control on general price level from 1950's to present. Under the central planning economic system, it is necessary to keep stable of general price level to keep order of the planning system and to ensure the planning price system to become key instrument for planning accounting. In order to make the planning price system serve to planning economy, a stable general price level is needed.

Since the reform and opening-up, as the transition from planning economy to socialist economy and fluctuation of price level, government has paid much more attention to adjustment and control for general price level. The target of adjustment and control has become one of targets of macroeconomic policies in the annual plan of national economic and social development, as well as in the "Ninth Five-year Plan" and "Tenth Five-year Plan". However, the target in many years was not met very well. There were remarkable gaps between the targets and the real change rates in some years with violent fluctuation. It is necessary to do further study to improve the methods of forecasting and determination for change of general price level.

Chapter 6 makes a comparative study on policies and instruments of adjustment and control for general price level and reviews the practice of adjustment and control for general price level since reform and opening-up. In the final, the situation of deflation since 1997 is discussed in-depth and suggestions

of policies are put forward.

In developed countries, the main instruments of adjustment and control for general price level are monetary policy and fiscal policy, the income policy, which controlling wages and prices directly are applied only under some special and severe circumstances.

Under traditional planning economic system, the state plan and administrative instruments are the basic instruments to control the general price level.

Since the reform and opening-up, the economic instruments have strengthened more and more in control of general price level and the function and position of administrative instruments has gone down gradually. The law system for adjustment and control of general price level has been improved also.

Comprehensive study is needed to the trend of deflation since 1997 and it is needed to study from different aspects, such as the deepening of reform and opening-up, as well as development. On the aggregate demand side, the slowdown of net export because of the impact from Asia financial crisis has increased the surplus of domestic market and has become one of factors for the trend of deflation. The slow growth of income of households, farmers in particular, has been an important factor for the situation of deflation.

There is a large surplus rural labor force in our countryside because of the dual structure in the urban and rural economy. It is an inevitable trend for surplus rural labor force to move to non-agricultural industries and to cities and towns. It will increase the supply of labor in urban labor market and it will produce a pressure on the increase of wages and even make the wages go down. There will be a decrease trend of wages for non-agricultural industries in long run. Therefore, the increase of cost level will be limited and it will be a possibility of decrease for general price level.

The slowdown of growth of money stock is a key factor to deflation. There are many reasons for the slowdown. There will be a phenomenon of "cautions about making loans" to firms in recent years. It is because of the strengthening of risk management in the state-owned banks and the lack of

profit incentive mechanism. It is always difficult for small and medium enterprises, which need money urgently for getting financial support from banks. The major reason would be that there are not enough local small and medium banks which supporting to small and medium enterprises in our country. The main reason for the slow growth of money stock is institutional.

The central government adjusted the direction of macroeconomic policies to check the deflation and adopted proactive fiscal policy and sound monetary policy since 1998. Facts have proved that the major macroeconomic policy decisions taken by the government since 1998 have got great achievement. The growth of national economy has been promoted and the trend of deflation has been checked.

Some negative effects with the implementation of proactive fiscal policy should be studied. It is needed to adjust the fiscal policy according to the change of domestic and international economic circumstances.

There are two kinds of policies to increase the consumption level of households in rural areas. Increase of income of farmers is on the one hand and the reduction of farmers' burdens is on another hand. It is urgent to speed up the establishing of social security system in order to increase the consumption level for urban households.

The priority of expanding demand is domestic market in long run and the expanding of international market should be put in an important position too.

The adjustment and control about general price level is very complex and any research will be not satisfying. The shortcomings of my dissertation are as following: First of all, in-depth analysis on some topics is lack when it tries study entirely, systematically and synthetically on the theme; Secondly, quantitative analysis is lack while theoretical analysis is emphasized. Finally, there is not detailed analysis about impacts of change of international market on general price level under the globalization. All of these deserve to study deeply and make perfect in future.