

# 对外贸易 对中国收入差距的 影响研究

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## 序 言

改革开放 30 年以来，中国的经济实力和人均国民收入得到极大提高。但中国的整体收入差距出现了扩大趋势，具体涉及地区收入差距、城乡收入差距、不同所有制企业或行业的工薪差距等都呈现不同程度的扩大趋势，由此表明改革开放的利益没有均等地被所有人分享。

关注中国的收入分配差距问题，需要深入探讨影响收入差距扩大的内在机制。袁冬梅的著作《对外贸易对中国收入差距的影响研究》是在她的博士论文的基础上完成的。该书从对外贸易角度，运用大量数据资料，实证研究了对外贸易扩大我国地区收入差距、工薪收入差距以及不同利益集团收入差距的内在机制及影响程度，完成了一项工作量较大的综合性研究工作。

当前国内收入差距的不断扩大趋势，不仅不利于中国经济的整体协调发展，也成为中国当前最为突出的社会问题之一。该著作系统探讨对外贸易与我国收入差距的关系，对于更好地促进对外开放，促进经济和谐发展和社会和谐社会的建设，无疑具有重要的现实意义。

该书基于新贸易理论与新经济地理理论，揭示了对外贸易与不同形式的收入分配的内在关系，总结了贸易影响中国收入分配的五大机制，从理论上回答了贸易影响中国收入分配差距的主要渠道与途径，并结合中国现实状况，运用相关数据进行检验和论证，测度

了贸易影响我国收入差距的程度与方向。同时,该书把贸易活动与贸易政策对中国收入初次分配和再分配的影响结合起来进行研究,在体系上较为完整,也是该书的一大特色。

目前,从对外贸易角度来考察中国收入分配差距的文献相对较少,研究角度也各有侧重,它们往往选择收入差距的一个方面(如地区收入差距)进行分析。由于地区收入差距、城乡收入差距和居民个人收入差距是相互交织在一起的,进行某一侧面的分析并提出对策建议并不一定可行,从促进中国收入差距真正缩小的目标来看,需要综合考虑各种收入差距的相互关系。

空间经济学证实了贸易形成的低成本、专业化和比较优势有利于产业的集聚。该书立足于贸易的长期动态利益,在分析总结了国际贸易发展的区域非均衡性基础上,从产业集聚视角探讨贸易对地区收入差距的影响。全球化分工模式下,贸易导致内生的技术进步。贸易和技术进步同时促使发达国家与发展中国家增加对技术工人的需求,从而工资差距扩大。从统计数据来看,中国工资的变化并未遵循S-S定理的预测出现缩小,而是越开放的行业,工资水平越高。该书从技术进步视角探讨了贸易如何扩大中国技术工人与非技术工人的工薪差距。贸易扩大东、中、西三大地区的收入差距,可以认为是从宏观层面剖析贸易对收入差距的影响。而在每一个地区内部,如贸易开放度最高的东部地区,同时还存在贸易对技术工人与非技术工人工薪差距的影响,这可以认为是从中观或微观层面对贸易影响收入差距的考察。因此,对外贸易对收入差距的影响是多层次的、复杂的,而该书作者能够清晰地揭示它们的关系,这也是该书的一大特色与贡献。

同时,作者讨论了贸易政策(如关税政策)的决策和变动对收入再分配的影响过程。贸易保护的政治经济学认为收入分配效应是贸易政策决策的起点,贸易政策的形成是社会各利益集团在政策供给与需求市场上力量均衡的结果。以理论分析为据反观中

国，虽然国家利益和政府目标在政策决策中至高无上，但地方政府、企业和国际组织与外国政府在中国贸易政策决策中发挥日益重要的作用，剖析中国贸易政策决策过程一定程度上解释了当前收入差距的现状。该书选择工业和农业两个行业的横截面/时间序列数据，估计出工业对贸易政策的影响大于农业，关税率的变动有利于工业行业工资收入提高，农业对贸易政策决策没有形成显著影响，同时，外资企业和国有企业也是影响贸易政策决策的特殊群体。这在一定程度上解释了我国城乡收入差距和行业收入差距。

基于此，作者认为贸易的这种影响是在中国特有的政治经济环境中形成的。地区收入差距的扩大与中国非均衡发展战略和开放政策的实施有关；工资差距的扩大与中国以外资企业为主体、主要依靠制造业参与国际分工的贸易发展模式有关；贸易政策对收入差距的影响则与中国的政治体制有关。因此，在缩小收入差距的政策选择上，该书提出了贸易开放战略应向中西部倾斜，以开放政策和产业政策促进农业等落后行业的发展，增加贸易政策决策的民主化，将有助于发挥贸易缩小收入差距的作用。这些政策建议的提出为政府部门的决策提供了理论依据。

该书就对外贸易对中国收入差距的多方面影响进行了深入的思考，但从更高的要求来看，还存在如下一些不足：

首先，中国的收入差距形成是多方面原因综合作用的结果，对外贸易是否与别的因素一起作用于收入分配差距，作者没有进行说明，同时出口、进口是否对收入分配差距有不同影响，该书也未进行有效区分。

其次，该书从不同角度研究对外贸易对收入差距的多方面影响，在体系上比较系统，但由于篇幅所限，对于各个层次的影响还有待于更深入探讨。

总之，尽管存在上述缺陷，该书仍然是一部认真探讨改革开放

以来中国对外贸易活动影响收入差距的较高水平著作，对推动我国的改革开放和和谐社会建设有现实意义，具有较高的学术价值。

**刘海云**

2009年9月4日

## 摘 要

自 1978 年改革开放以来, 对外贸易在促进中国经济增长的同时获得快速发展, 中国因此成为公认的世界贸易大国。但贸易带来的利益并非被每个中国人均等地分享。从现实来看, 中国对外贸易快速发展的时期也是国内收入差距不断扩大的时期。对外贸易是否真正影响了中国的收入差距, 其影响的机制与途径如何, 对此问题的回答将直接关系到中国进一步促进对外开放的政策选择与安排, 也关系到中国经济的整体协调发展。而国内外学术界目前对此问题并没形成一致的结论。有鉴于此, 本书的研究目标就是结合我国现实经济状况, 考察对外贸易对中国收入差距的不同影响。

本书在回顾有关贸易影响收入分配的理论基础上, 主要运用实证研究的方法论证贸易对中国收入差距的影响。全书共分 7 章, 第 1 章为导论, 主要阐述本书的选题背景和研究意义, 评述国内外关于贸易影响收入分配差距的研究成果, 并对研究中采用的主要方法与思路进行说明。第 2 章阐述对外贸易影响收入分配的基本理论, 在综述相关理论的基础上, 总结对外贸易影响收入分配差距的主要机制, 为后面的分析提供理论依据。第 3 章描述对外贸易影响收入差距的现实背景, 通过剖析中国贸易开放的特点和收入差距扩大的现状, 揭示对外贸易影响中国收入差距的现实基础和必然性。第 4 章探讨对外贸易对中国地区收入差距的影响, 将从非均衡发展战略的实施和各地区贸易的非均衡发展入手, 以贸易促进产业集聚和地



区经济发展为依据,阐述贸易通过产业集聚作用于地区收入差距的过程并进行实证检验。第5章探讨对外贸易对中国工资收入差距的影响,通过分析对外贸易和技术进步的关系揭示对外贸易对技术进步类型的影响,并由此分析贸易对技术工人与非技术工人工资差距的影响。第6章探讨贸易政策决策对收入分配的影响,从贸易保护的政治经济学视角,分析中国贸易政策的演变和贸易政策决策中各利益集团的作用,揭示贸易政策决策对收入分配的影响,并运用关税和制造业等行业相关数据进行实证分析。第7章对全书进行总结,分析本书的创新与不足之处,提出研究展望。

本书研究的基本结论是:

1. 中国对外贸易快速发展的时期也是收入差距不断扩大的时期,尽管很多学者从体制改革、国内市场化进程以及要素配置效率等角度对收入差距进行大量研究,但本书的研究表明贸易比其他因素更有可能导致国内收入差距扩大。中国贸易在高速增长的过程中形成了以外资企业为主体、以加工贸易为主要贸易形态、在国内各地区发展很不均衡等特点,尤其是贸易发展的区域非均衡性,直接影响了贸易开放利益分配的均等性。中国收入差距在过去20年间不断扩大的同时也表现出多层次、多群体等复杂特征。贸易发展的特点和贸易作为市场竞争手段的本质决定了贸易是影响中国收入差距的重要因素。

2. 贸易对我国地区经济增长和地区收入分配差距产生了显著影响。本书立足于贸易的长期动态利益,从产业集聚视角探讨贸易对地区收入差距的影响。空间经济学证实了贸易形成的低成本、专业化和比较优势有利于产业的集聚。中国开放以来实施了非均衡发展战略,贸易是实施这一战略的重要手段,这决定了东、中、西三个地区的对外开放存在显著差异,意味着它们在促进产业集聚、吸引资本和人才的流入方面存在巨大的差异。而产业集聚带来的技术外溢、就业增加等正向关联效应对地区收入差距产生更为深刻的影

响。本书利用空间均衡模型的模拟印证了这一点。使用 28 个省份的企业集聚个数与贸易开放度等变量进行截面数据回归, 结果表明贸易对产业集聚的影响显著, 各地区产业集聚的差异本身就是地区收入差距的表现。因此, 从缩小地区收入差距的角度看, 中国经济发展战略和贸易政策向中西部倾斜是必要的。

3. 全球化分工模式下, 贸易导致内生的技术进步。贸易和技术进步同时促使发达国家与发展中国家增加对技术工人的需求, 从而工资差距都扩大。从统计数据来看, 中国工资的变化并未遵循 S-S 定理的预测出现缩小, 而是越开放的行业, 工资水平越高。本书从技术进步视角探讨贸易对中国工人工资差距的影响, 借鉴国外学者关于贸易、技术进步与工资关系的理论分析, 构建了南北贸易体系下贸易、技术进步与工资差距的创新—模仿模型, 该模型揭示了南方国家在南北贸易中技术进步主要表现为出口产品种类数的增加。运用中国制造业数据进行检验, 并假设制造业为开放度高的技术工人密集型行业, 农林牧渔业为开放度低且技术水平低的行业, 估计结果证实了贸易对制造业工人工资的相对上升有显著影响, 可以推断制成品出口种类的增加促使制造业增加对熟练工人的需求, 提高制造业整体工资水平。

4. 对地区收入差距与工资收入差距的探讨是基于既定的贸易政策框架下对贸易活动本身的考察, 而贸易政策的决策和变动对收入分配的影响甚至是先决性的。贸易保护的政治经济学从实证分析出发, 认为收入分配效应是贸易政策决策的起点, 贸易政策的形成是社会各利益集团在政策供给与需求市场上力量均衡的结果。以理论分析为据反观中国, 虽然国家利益和政府目标在政策决策中至高无上, 但地方政府、企业和国际组织与外国政府在中国贸易政策决策中发挥日益重要的作用, 剖析中国贸易政策决策过程一定程度上解释了当前收入差距的现状。本书从效用函数出发构建参与决策者个人的利益函数和政府的目标函数, 选择工业和农业两个行业, 利

用横截面/时间序列数据的计量模型进行检验，估计结果表明，工业对贸易政策的影响大于农业，关税率的变动有利于工业行业工资收入提高，农业对贸易政策决策没有形成显著影响，同时外资企业和国有企业也是影响贸易政策决策的特殊群体。贸易政策的收入分配效应为政府调控收入分配差距提供了一种政策手段和思路。

本书论证了对外贸易对中国收入差距的扩大产生了显著影响，从贸易动态利益角度形成了贸易影响收入差距的两条分析思路：一是从产业集聚视角分析地区收入差距；二是从技术进步视角分析工资收入差距，同时考虑到了贸易作为纯经济变量和政策变量对收入差距产生的各种可能影响。但贸易的这种影响是在中国特有的政治经济环境中形成的。地区差距的扩大与中国非均衡发展战略和开放政策的实施有关；工资差距的扩大与中国以外资企业为主体、主要依靠制造业参与国际分工的贸易发展模式有关；贸易政策对收入差距的影响则与中国的政治体制有关。因此，贸易开放战略向中西部倾斜，以开放政策和产业政策促进农业等落后行业的发展，增加贸易政策决策的民主化，将有助于发挥贸易缩小收入差距的作用。

**关键词：**对外贸易 收入分配差距 产业集聚 技术进步  
贸易政策

## ABSTRACT

Since the implementing of reform and opening up in 1978, China's foreign trade has experienced a sustainable expansion and boosted the country's economy. The country has been the third largest one in the total amount of the world trade in 2003. However, whether the benefits from the growth of foreign trade have been equally shared across the Chinese population is still an issue. The fact is that the inequality between individuals and between regions has been being increasing since 1978. Does the foreign trade have any influence on the country's income inequality level? If it does, how does the foreign trade affect the income inequality? All these are the problems we have to solve urgently and the answers to these questions could provide the references for us to choose and arrange the future policies, however, until now there appears to be no clear consensus among research works on these questions. In light of this, this book investigates how foreign trade influences the country's income inequality.

On the basis of reviewing the theories of foreign trade on income distribution, the book demonstrates the impacts of China's foreign trade on income inequality with much empirical analysis. This book is structured as seven chapters. The first chapter is an introduction. Besides putting forward target of this book, this chapter also reviews related research

literatures, and outlines the study methodology in this book. The second chapter explains the basic theories of foreign trade on income distribution. In this chapter, the author summarizes the mechanisms of foreign trade affecting income distribution. Chapter three describes the reality background of foreign trade on income distribution. In this chapter, the author analyzes the characteristic of China's foreign trade and the situations of income inequality, which reflects the necessity of the income distribution effect of China's foreign trade. Chapter four explores the effect of foreign trade on the inequality of economic growth and income distribution within regions and provinces. In this chapter, the author starts the analysis on the relation between the imbalanced development strategy and the imbalanced development of foreign trade, according to the hypothesis of foreign trade promoting industry agglomeration and economic growth, then discusses the process of income inequality within regions and provinces and provides an empirical test. Chapter five discusses the effect of foreign trade on the wage income inequality. In this chapter, the author analyzes the impacts of foreign trade on the style of technological progress, which suggests the wage inequality between skilled workers and unskilled workers. Chapter six explores the effect of income distribution of trade policy. Starting with the political economics of trade protection, the author describes the formation of China's trade policy and the effect of the interest groups on the trade policy. Chapter Seven summarize the main conclusions and proposes the problems of further study. The main viewpoints of the study are as follows:

1. China's foreign trade witnesses the rising inequality. Although a lot of scholars have explained the rising inequality through the system reform, the degree of marketization and the efficiency of factor distribution, this book puts more importance on foreign trade. With its rapid

growth, China's foreign trade presents some peculiar characteristics, such as foreign-funded enterprises becoming the most important contributors, the processing trade becoming the overwhelming trade pattern, different regions (or provinces) with different openness and imbalanced trade amounts. In particular, the imbalance of trade across China directly affects each region's benefit from trade equally. Simultaneously, China's income inequality is rising between coastal regions and internal regions, between urban and rural, among different industries and different funded enterprises during the past two decades. The peculiarity of China's foreign trade and its essence as an instrument of market competition suggest that foreign trade is the most important factor influencing China's income inequality probably.

2. The book concludes that foreign trade has a strong effect on the inequality of economic growth and income distribution within regions and provinces, and such conclusion is based on the dynamic benefits of trade and the analysis of trade promoting industry agglomeration. The spatial economics demonstrates that the low cost and the specialization as well as comparative advantages from trade are helpful to push industry agglomeration. China has practiced an imbalanced development strategy with foreign trade as one of the essential strategic measures since 1978. The inequality of openness between the east region and the center and west regions means that the east region attracts the industry agglomeration and the inflow of capital and human resources. The positive feedback effect of industry agglomeration, such as technologic spillovers and employment enlarging, plays a more profound role in causing regions' income gap, which is argued in the simulation of the spatial equilibrium model. Using the cross-sector data on enterprise numbers and the degree of openness in 28 provinces, the book demonstrates a distinct correlation between trade

and industry agglomeration. The imbalance of industry agglomeration between regions itself is the exhibition of the income inequality between regions. In order to reducing the inequality between regions, it is necessary that China's development strategy and trade policies put more attention into the center and west regions.

3. Trade brings into endogenous technological progress under the background of production globalization and labor distribution globalization. Trade and technological progress both push developed countries and developing countries to enlarge the demand of skilled workers. The wage income inequality is rising globally. According to the S - S Theorem, the wage gap between skilled workers and unskilled workers should reduce in China. However, the industry which opens up more gets more benefits, and shares a higher salary. The book discusses the impact of trade on wage inequality based on trade promoting technological progress, and referring to the theoretical analysis of foreign scholars, builds an innovation-imitation model to describe the endogenous relationship between the three variables in the South-north Trade System. The innovation-imitation model shows that technological progress means increasing the varieties of exports for the South in South-north Trade. Supposing the manufacture industry as the skilled workers intensive industry with higher openness, the author uses the data from the manufacture industry and tests the impact of trade on wage inequality. The result reports a positive correlation between trade and wage inequality, which suggests increased exports of manufacturing products expand the demand of skilled workers in manufacture industry, and raise the level of wages. The style of technological progress suggests China's situation in international labor distribution, not higher innovation ability in China's manufacture industry.

4. The analysis of regional inequality and wage inequality is simply

based on the trade activities without considerations of trade policies. In fact, the impact of trade policies on income inequality is predetermined. On the benchmark of empirical analysis, the political economics of trade policy argues that the effect of income distribution is the beginning of the political decision-making process of trade policy, and the formation of trade policy is the result of benefit sharing across different interest groups in the market of policy supply and policy demand. Taking China into consideration, although the state benefit and government target are the core of the decision-making of trade policy, the local government, enterprises, international organizations and foreign governments are playing growing important roles in the decision-making process, which to some extent can explain the situation of income inequality in China. The book builds the benefit functions of individual decision-makers and the target functions of government on the basis of utility function, and makes an econometrical test using the cross-sector/time series data from agriculture and industry. The estimated results show that industry plays a more essential role in the formation of trade policies, and gets more benefits from the reduction of tariff, such as the higher salary level. Agriculture has a minor effect on trade policies. Foreign-funded enterprises and state-ownership enterprises plays a special role in the form of trade policies. The effect of income distribution of the decision-making of trade policies means that government can use it as a policy measure to control the income gap.

In summary, the book provides a powerful argument about the impacts of foreign trade on China's rising income inequality mainly through two analysis approaches: one discusses the regional inequality from the perspective of trade pushing industry agglomeration; the other discusses the wage inequality from the perspective of trade promoting



technological progress. Simultaneously, this book analyzes the possible impacts of trade activities and trade policies on the income inequality. However, such conclusion is based on China's political and economic environment. To some extent, the rising inequality between regions is the result of practicing an imbalanced development strategy with foreign trade as one of the essential strategic measures since 1978. The wage income inequality is related to the present trade pattern with foreign-funded enterprises and the manufacture industry being the most contributors. The effect of income distribution of trade policies is based on China's political system. Therefore, it is necessary that China's development strategy and trade policies pay more attention to the center and west regions to reduce the regional inequality. Some industry policies and open policies should be implemented to encourage less-developed industries such as agriculture to enter the international market and to form a multi-participant trade mode in order to reduce wage income inequality. Meanwhile, a more democratic decision-making process of trade policy is desirable.

**Keywords:** Foreign trade    Income inequality    Industry agglomeration    Technological progress    Trade policy