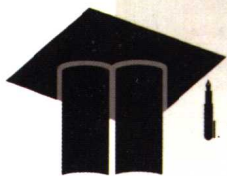


财 经 博 士 论 丛



CAIJING BOSHI LUNCONG

夏杰长 著

反失业的财政政策

中国财政经济出版社

财经博士论丛

反失业的财政政策

夏杰长 著

中国财政经济出版社

图书在版编目 (CIP) 数据

反失业的财政政策/夏杰长著. —北京: 中国财政经济出版社,
2000

ISBN 7-5005-4675-0

(财经博士论丛)

I. 论… II. 夏… III. 失业-财政支出-财政政策-研究
-中国 IV. F812.0

中国版本图书馆 CIP 数据核字 (2000) 第 60277 号

中国财政经济出版社出版

URL: <http://www.cfeph.com>

E-mail: cfeph@cfep.gov.cn

(版权所有 翻印必究)

社址: 北京东城大佛寺东街 8 号 邮政编码: 100010

发行处电话: 64033095 财经书店电话: 64033436

财经图书发行中心电话: 88119132 88119130 (传真)

涿州市新华印刷厂印刷 各地新华书店经销

850 × 1168 毫米 32 开 10.75 印张 255 000 字

2000 年 8 月第 1 版 2000 年 8 月涿州第 1 次印刷

印数: 1-1 200 定价: 20.00 元

ISBN 7-5005-4675-0/F·4203

(图书出现印装问题, 本社负责调换)

序

夏杰长同志告诉我，他的博士论文《反失业的财政政策》经过修改已交给中国财政经济出版社，不久当可问世。当此出版学术专著既少盈利又有风险的时候，中国财政经济出版社愿意这样做，实在令人高兴。

夏杰长 1996 年进入中国社会科学院研究生院读我的博士研究生，主要研究方向是财政政策。在三年的博士生学习期间，他十分刻苦好学，也善于思考，经常就财政经济理论与政策问题与我进行广泛的探讨，这种讨论对我们双方都是有益的。三年学业结束了，他取得了较丰硕的研究成果，为自己的学生生涯划上了一个较满意的句号。博士毕业后，他又留在中国社科院财贸所从事研究工作，今后当有更多的研究与实践机会，更多地了解国内外学术思想的可能，我衷心希望并期盼着，夏杰长同志奋发有为，辛勤耕耘，在财政经济理论研究领域开拓出一份事业。

夏杰长同志的博士论文是他个人独立完成的著作。他盛情邀请我写一篇序言。我借此机会，就他的博士论文谈两点看法。

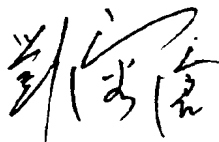
第一点是论文选题。这几年我参加了不少博士生论文答辩，当然有不少论文是很优秀的。但我也觉得不少博士论文在选题上存在着一些问题。比如，有的博士论文过于偏重抽象的理论，完全脱离了中国经济建设与改革的实践；有的则完全是政策研究，对策研究，缺乏基本的理论基础与框架。我以为，作为博士学位论文，应该既有较扎实的理论基础、较前沿的学术思想和较完整

的理论框架，又能够运用经济理论包括马克思主义经济理论和西方的经济理论来分析中国的国情与改革，把两者结合起来，这是比较理想的。夏杰长同志的博士论文较好地做到了这一点。失业理论非常古老，也很现代，无论马克思主义经济学，还是西方经济学，都有较多的论述，当代西方经济学家对失业前沿问题的探讨更是数不胜数。因此，研究这样的问题，既有深度，也有广度。从这一点讲，夏杰长同志的博士论文选题是成功的。当然，也有遗憾之处。这就是他对当代西方失业理论的前沿问题开拓得还不够深入。

第二点是论文写作方法问题。不同的选题对方法论的要求是不同的。方法运用得当与否，是博士论文写作成功与否的关键所在。夏杰长同志的博士论文选题理论性和政策性都很强，而且失业特别是公开失业在中国经济转型时期是一个崭新的问题，我们缺乏成熟的治理经验与举措，那么这就有一个借鉴他人经验的问题。运用比较分析法也就是理所当然的。夏杰长在论文中较好地做到了这一点。论文中的比较分析是详细的，也是很有特色的，对发达的市场经济国家、经济转轨国家、发展中国家都做了对比分析，并从比较中寻求值得我们借鉴的政策举措。他坚持以马克思主义经济学原理和方法为指导，并吸收了现代西方经济学的有关内容和研究方法。定量分析在经济学研究中越来越重要，对博士论文的写作尤为如此。夏杰长同志的博士论文定量分析虽然不是最有特色的内容，但也较多地做了尝试。定量分析的运用，较好地支持了他的理论观点和政策主张，使其结论更加令人信服。另外，还较多地吸收了制度经济学的有关分析方法，特别是吸收了信息经济学与博弈论的有关方法，特别是在第七章通过建立社会福利博弈模型，论述了失业保障制度对解决失业问题的双重影响，提出了在我国社会生产力发展水平不高的情况下，也要避免

过高的失业保障与社会福利水平对劳动就业的负面影响的观点。这一观点是很有启发性的。现在一些发达国家就是因为社会福利水平过高陷入了资本形成率偏低，经济增长缺乏后劲和失业与劳动就业不足并存等问题。

总之，这是一本有较高理论价值和实践价值的著作，反映了作者有较坚实的理论功底和较开阔的研究视野，体现了作者较强的科研潜力和能力。是为序。



2000年4月5日于北京

内 容 提 要

失业问题已成为困扰当代中国社会经济生活的难题，单纯依靠市场机制的力量来治理中国的失业问题是不现实的，政府对治理失业问题有着不可推卸的责任，而财政又是政府实施宏观经济调控最重要的手段之一，因此，充分发挥财政政策在治理失业中的积极作用也就是题中之义了。

全书共有七章，大致可分为四个方面的内容：一是失业理论述评（第一章）；二是中国经济转型时期失业状况的实证分析（第二章）；三是反失业财政政策的比较研究（第三章）；四是中国经济转型时期治理失业问题的财政政策研究（第四、五、六、七章）。第四部分是本书的重点。

第一章介绍和评析了西方的失业理论和马克思的社会主义劳动就业理论。在述评西方失业理论时，重点挑选了凯恩斯主义失业理论、发展经济学失业理论、货币主义失业理论和理性预期学派失业理论等，介绍了各自失业理论的主要内容，并就其理论及其对解决中国失业问题的借鉴意义作了较详细的评论。既分析了他们理论上的缺陷，也本着实事求是的原则肯定了他们理论上的某些可取之处及对中国治理失业问题的借鉴意义。这一章还较详细地介绍了马克思的社会主义劳动就业理论的主要内容，并重点介绍了当代中国学者是如何发展马克思的劳动就业理论的。

第二章对中国经济转型时期的失业状况作了实证分析。该章

包括三部分内容：一是对城镇公开失业的现状作了详实的描述，估算了现阶段城镇实际失业人口和失业率，并分析了中国城镇失业问题的若干特点；二是分析了中国城镇国有企业现阶段隐性失业问题，估算了国有企业隐性失业的实际规模及其分布情况，认为隐性失业已是中国国有企业的巨大隐患，并对隐性失业的制度因素作了详细的剖析；三是对中国农业隐性失业问题作了统计测算，并分析了农业隐性失业的大致走势，提出了“解决失业问题不能仅放在国有企业下岗职工再就业上，也要重视农业隐性失业问题”的政策建议。

第三章对国外反失业的财政政策进行了比较研究，先后介绍了发达国家、发展中国家和经济转轨国家的失业问题及其治理失业的财政政策。本书认为这些国家虽然国情不尽相同，体制及其经济发展水平差距也比较大，但在治理失业问题上无不重视发挥政府的作用，都离不开国家财政和税收政策的有力支持。

第四章从经济增长的角度探讨了如何治理失业问题。通过理论和实证分析，认为经济增长是解决失业问题的根本出路，是实现充分就业的最重要途径，而财政政策又是实现经济增长的重要推动力。特别是在当前市场萧条、内需不足、货币政策效果不甚明显的情况下，更要重视运用财政手段如财政支出、税收、国债等来刺激经济增长，以创造更多的就业机会，为治理失业问题创造基本的经济条件，把失业率控制在可承受的范围内，并力求逐步降低实际失业率。

第五章从调整经济结构的角度来探讨如何治理失业。失业的类型很多，原因也各不相同。就我国的情况而言，除了经济周期和体制转轨等原因外，所有制结构、产业结构、产品结构和产业组织结构等方面的诸多扭曲和不协调，也是造成当前下岗、失业不断增加特别是结构性失业增加的重要原因。因此，要有效地解

决失业问题，除了要保持较高的经济增长速度外，还必须从优化经济结构着手，运用有效的财政经济政策加大所有制结构、产业结构、产品结构和产业组织结构的调整力度，力求实现充分就业的经济目标。

第六章则从人力资本投资的角度探讨如何治理失业问题。70年代以来，大多数西方工业化国家陷入了“滞胀”的窘境，一些西方经济学家在坚持宏观需求管理的基础上，试图找到一条克服通货膨胀、减少失业、保证经济增长的新途径，人力政策因此应运而生，并在西方国家解决失业问题，特别是结构性失业问题，促进人力资源开发和合理配置等方面发挥了积极的作用，越来越受到西方国家政府的重视。西方国家的这一做法，无疑给了我们有益的启示，西方国家政府重视运用人力政策来解决失业特别是结构性失业问题的举措是很值得我们借鉴的。该章从人力资本的一般理论出发，分析了人力资本投资对解决失业特别是摩擦性失业和结构性失业的重要作用及其实现途径，并探讨如何有效地运用多种财政手段来加强和改善对人力资本的投资。

第七章分析了失业保障制度与治理失业的关系，认为失业保障制度虽然不能从根本上解决失业特别是周期性的失业问题，但从各国的实践经验看，完善的失业保障制度是反失业政策体系中不可或缺的组成部分，它是反失业的“稳定器”和“安全网”，是解决失业人员基本生活保障的重要手段，还可以为实现下岗或失业人员再就业创造必要的条件。所以，在现代市场经济条件下，研究反失业的财政政策体系，不能忽略失业保障制度问题，特别是在我国由计划经济向市场经济转轨过程中，随着隐性失业显性化的进程加快，建立规范和健全的失业保障制度就显得尤为迫切和重要。在失业保障制度的建立和发展中，财政起着十分重要而又独特的作用，离开了国家财政的支持，失业保障制度是不

可能建立起来的。因此，充分重视运用财政手段来推动失业保障事业的发展是十分迫切而重要的问题。

本书在借鉴前人的研究成果的基础上，对失业理论、中国失业现状及其治理失业的财政政策作了翔实的分析，力求在分析方法及治理失业的对策上有所突破，这些突破概括起来主要有：

——坚持以马克思主义经济学原理和方法为指导，吸收了现代西方经济学的有关内容和研究方法。在研究方法上注意规范分析与实证分析相结合，并以实证分析为主；定性分析与定量分析相结合，重视定量分析方法的运用；广泛运用比较分析方法，包括横向比较和纵向比较，通过比较研究特别是对国外反失业财政政策的比较研究寻求对我国有益的、值得借鉴的做法；还较多地吸收了制度经济学的有关分析方法，特别是吸收了信息经济学与博弈论的有关方法。

——本书认为导致我国严峻失业状况的原因是多方面的，因此不能够单纯运用反周期的财政政策来治理失业问题，而是应该实施多管齐下的财政政策体系，必须从促进经济增长、调整经济结构、加强人力资本投资和建立失业保障制度等诸多方面着手来治理复杂的失业问题，而这些举措又无不需要强有力的财政政策来支持。在具体的对策上，本书也提出了一些较有新意的观点。如，在第二章分析了转型时期国有企业隐性失业的制度性特征，提出了制度创新是解决隐性失业的根本出路观点，并提出了解决国有企业隐性失业的时序选择。又如，在第四章较翔实地分析了我国目前出现的准“凯恩斯陷阱”，提出了财政政策是经济增长的主力军，进而解决失业问题的主要政策手段的观点，并用较丰富的材料论述了当前扩张性财政政策的回旋空间、制约因素及解决对策。又如，在第五章，提出了运用财税政策促进环保产业的发展是缓解失业压力重要出路观点，认为这是符合中国国

情的重要选择。再如，在第七章通过建立社会福利博弈模型，论述了失业保障制度对解决失业问题的双重影响，提出了在我国社会主义生产力发展水平不高的情况下，也要避免过高的失业保障与社会福利对劳动就业的负面影响的观点。

Abstract

The unemployment has become the difficult problem which troubles China current social and economic life. It is imposible to tackle the problem of unemployment of China just depending on the power of market mechanism. The government should shoulder the inescapable responsibilities for the settlement of unemployment, whereas the financial policy is also one of the most important instruments for government to implement the macro economic administration; therefor, it is the theme of this article to make the best use of the active roles of financial policy for the settlement of unemployment. It is just based on this consideration that I select the Discussion on Financial Policy for Anti - Unemployment as my doctorate thesis.

The whole article is divided into seven chapters, including the contents of the following four sections, i. e. the first is the review on unemployment theory (such as chapter one); the second is the demonstrating analysis on the unemployment situations of China during its economic transferring period (such as chapter two); the third is the comparison study on anti - unemployment financial policy (such as chapter three); the fourth is the financial policy study on the settlement of unemployment of China during its economic transferring period (such as chapter four, five, six, and seven).

The section four is the emphasis of this article.

Chapter one introduces and analyzes the western unemployment theory and the Marxism socialist labor employment theory. When analyzing the western unemployment theory, this chapter gives the emphasis on Keynesianism unemployment theory, developing economy unemployment policy, monetarism unemployment policy and rational anticipatory unemployment theory etc., introduces the main contents of every unemployment policy, and also gives the detailed analysis on their reference meanings to the settlement of China's unemployment problems in terms of their theories. It not only analyzes the disadvantages of their theories, but also confirms some of their merits and the reference meanings to the settlement of China's unemployment problem in a practical and realistic way. This chapter also introduces in details the main contents of Marxism socialist labor employment theory, and lays stress on the analysis of how contemporary Chinese scholars develop Marxism labor employment theory.

Chapter two gives the positive analysis on the unemployment situations of China during its economic transferring period. This chapter includes the contents of following three sections: the first section gives the detail descriptions on the current situations of urban open unemployment, and gives the estimation on the urban actual unemployment population and unemployment rate of current stage, and also analyzes the characters of China's urban unemployment problem; the second section analyzes the recessive unemployment problem of China's state-owned enterprises in current stage, estimates the practical scale and its distribution of recessive unemployment, considers the recessive unemployment as the big hidden trou-

ble of China's state-owned enterprises, and also analyzes in details the system factors of recessive unemployment; the third section gives the statistical estimation on China's rural recessive unemployment problem, analyzes the future trend of rural recessive unemployment, and puts forward the suggestion of for the settlement of unemployment problem, we should not only consider the unemployment problem of state-owned enterprises, but also should consider the rural recessive unemployment problem.

Chapter three gives the comparison study on foreign anti-unemployment financial policy. It introduces the unemployment problems as well as their financial policies for the settlement of unemployment of the developed countries, developing countries and the countries under the stage of economic transference. Although these countries are of different unemployment conditions and different national conditions, and their economic systems and economic development levels are of great difference, but they all pay attention to developing the governmental roles for the settlement of unemployment problem, and all depend on the support of national financial and tax policies.

Chapter four gives the discussion on how to tackle the unemployment problem from the point of view of economic increase. Through theoretical and practical analysis, this article considers the economic increase as the fundamental way out for the settlement of unemployment problem and the most important channel for the realization of full employment; whereas the financial policy is also the important impetus for the realization of economic increase, especially under the current situations of market depression, insufficient do-

Abstract

mestic demand and the non obvious monetary policy results, it is more important to pay attention to the use of financial instruments such as the financial expenditure, taxation and national debt etc. to stimulate economic increase, to create the basic economic conditions for the settlement of unemployment problem, to limit the unemployment rate within the acceptable scope, thus gradually decreasing the actual unemployment rate.

Chapter five gives the discussion on how to tackle the unemployment problem from the point of view of economic structure regulation. The unemployment is of many types, and also of different reasons. As far as the situations of China is concerned, in addition to the reasons of economic cycle and system transference etc. , the distortion and disharmony of many factors such as the ownership structure, industry structure, industry organization structure etc. are also the important reasons which result in the continuous increase of current unemployment, especially the increase of structural unemployment. Therefor, in order to control the unemployment effectively, in addition to maintaining the comparatively high economic increase speed, we should also, taking the first step from the economic structure optimizing, utilize the effective financial economic policy to increase the strength on the adjustment of ownership structure, industry structure, product structure, enterprise organization structure, so as to realize the economic aim of full employment.

Chapter six gives the discussion on how to tackle the unemployment problem from the point of view human resource investment. Since 70s, most of the western industrialized countries fell into the an awkward predicament of stagflation. Some western economists

tried to find out a new way to overcome the inflation, decrease the unemployment and ensure the economic increase under the basis of insisting on the macro demand management, therefor the human resource policy was born at the right moment, which played the active roles for the settlement of unemployment problem of western countries, especially the structural unemployment problem, and for the promotion of human resource development and reasonable disposition etc. , and was more and more valued by the governments of western countries. This practice of western countries undoubtedly brings us the useful inspiration, systems and economic backgrounds, the acts of the governments of western countries to pay attention to the use of human resource policy for the settlement of unemployment problem, especially the structural unemployment problem deserve our use for reference. This chapter analyzes the important roles played by the human resource investment for the settlement of unemployment problem especially the frictional unemployment and the structural unemployment as well as its realization channel, and discusses how to utilize various financial instruments effectively to strengthen and improve the investment on human resource.

Chapter seven analyzes the relation of unemployment insurance system with unemployment settlement, and considers although the unemployment insurance system can not tackle the unemployment problem completely especially the periodical unemployment problem, the perfection of unemployment insurance system is the indispensable component in the anti - unemployment policy system from the point of view of the practice of every country. It is the stabilizer and safe network of anti - unemployment, the important measure for the

Abstract

guarantee of the basic life of unemployed people, and also can provide the unemployed people with the necessary economic conditions for their re - employment. Therefor, under the condition of modern market economy, the unemployment insurance system can not be ignored during the study of anti - employment financial policy system, especially during the process of China's transference from planned economy to market economy, and with the acceleration of the change of recessive unemployment to dominant unemployment, it is of very urgency and importance to establish the standard and sound unemployment insurance system. During the establishment and development of unemployment insurance system, the financial policy plays the very important and unique roles, without the support of national finance, it is impossible to establish the unemployment insurance system. Therefor, it is of very urgency and importance to pay attention to the use of financial instruments for the promotion of the development of unemployment insurance system.

Using the research achievements of other people for reference, this Article systematically analyzes the unemployment theory and china current situations as well as the financial policies for the treatment of unemployment, and strives for the breakthroughs on analysis methods and the countermeasure for the treatment of unemployment. These breakthroughs are mainly expressed in the followings:

This article insists on taking Marxism economics principles and methods as the guidance, and absorbs the relative contents and study methods of modern western economics. As for study methods, this article pays attention to the combination of normative analysis with positive analysis, and lays stress on the positive analysis; the combi-