

资本通论

——社会形态概览

黄先勤 著



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A Survey of Social Formation

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起始于七十年代末八十年代初的中国经济体制改革，至今，已走过了十多年的艰辛路程。其间，既取得了令人瞩目的辉煌成就，也遇到了前所未有的巨大困惑。特别是世界局势在八十年代末九十年代初发生的剧烈变化，使社会主义面临严峻挑战：是照老祖宗一百多年前的设想、计划经济下去，还是根据今天的实际、踏上社会主义市场经济的坦途？等等问题，都需要从理论上进行阐释和回答。可至今，传统政治经济学理论都无法有说服力地清楚地阐释和回答这些现实问题。理论严重滞后于实践的问题已经到了非解决不可的地步！

新的时代急切地呼唤新的理论！

《资本通论——社会形态概览》正是在这种情况下以其崭新的探索性姿态问世的！

它——能在一定程度上阐释清楚传统政治经济学难以阐释清楚的问题，并对一些问题作出了圆满的回答。全书，由五大块——价值论、商品论、商品经济论、资本制度论、社会形态论构成，逻辑严密、观点新疑、思考透僻、见解独到，具有层次高、内涵深、信息量大的鲜明特点，为我们深入分析展示了资本及资本社会的孕育、产生、生长、发展、演化的全过程，语言朴实流畅，论述清晰，结构、内容也别具一格，为我国几十年来不可多得之作，值得一读。

本书可供具有大专以上的文化程度的理论工作者、文化教育

内 容 简 介

《资本通论——社会形态概览》是一部政治经济学学术理论专著。全书分五大章：价值论、商品论、商品经济论、资本制度论、社会形态论；建立的是资本社会统一的政治经济学理论体系。

本书无论在方法论方面，还是在内容结构方面都与传统政治经济学不同。

从方法论方面看，本书继承了《资本论》的历史与逻辑结合的研究方法，并进而探索性地采用了尚未发展成熟的组织系统理论作为方法论。组织系统方法是比之历史与逻辑更高一个层次的更为普通的方法，它不仅包含了历史与逻辑结合的方法（因为组织系统的起源、生长、发展、演化本身就是历史与逻辑结合的过程），而且具有历史与逻辑方法不具备的特色，如组织系统的动态性、整体性、稳定性等。本书应用组织系统方法，从人的需要开始研究，研究了对象的价值，产品、商品的价值，商品交换（流通）的规律，商品经济的规律，直到难度较大的资本制度、社会形态。

从结构内容看，本书也不同于传统政治经济学。从结构上看，本书先定义了需要，再定义价值，清晰明了。有了公认的基本概念之后，就可以准确分析产品、商品的价值特性，分析商品交换的性质，并重新明确表述了商品交换的规律：交换价值规律。进而分析商品流通、商品生产系统和商品经济系统，并精确表述了商品经济的规律：剩余价格规律。

了解了商品经济，可以进而了解微观上的资本的运动规律，从而分析资本运动的历程和形态。进一步，就可以了解资本与其环境的关系，从而可以分析资本制度了。了解了资本制度就可以对资本社会有一个本质性的了解，但还不全面。这就需要从政

治、经济、文化的角度去了解资本社会，而这又须将资本社会放在人类社会的整个发展历程中分析才能做到，所以专辟一章“社会形态论”。虽然本书的核心是论述资本的，但又必须涉及宽广得多的社会形态问题，所以才取名《资本通论——社会形态概览》。

在结构方面，还有一个明显的特点，就是整个理论体系是在分析关系中建立起来的。价值理论是分析主体与对象之间，主体与产品、商品之间的关系而建立起来的，商品理论是分析商品与商品之间的交换关系而建立起来的，商品经济理论是分析资本与资本之间的关系而建立起来的，资本制度理论是分析资本与环境的关系而建立起来的，社会形态理论是分析各种社会形态之间的纵向横向关系而建立起来的。这就是说从最基本的关系开始分析，一步一步落实到具体的关系，并从小关系分析到大关系，最后建立了一个完整的理论体系。

从具体内容看，人的需要，作为全书的起点，在价值论中占了很重的篇幅。作者以马斯洛的需要层次论为起点，进行了全面的拓展，形成的新的需要理论不只是静态的理论，而且是历史的动态的理论，这特别突出地体现在精神需要理论中。商品论中不仅彻底弄清了交换的规律：交换价值规律，还对交换、分工进行了深入的分析。为了分析劳动力，还对家庭进行深入的分析，了解了人口生产的特殊规律。进而又对整个商品经济发展历程进行了商品论意义上的分析，即对整个商品化过程进行了分析。在商品经济理论中，一开始就定义了资本，并对资本积累进行比较彻底的分析，建立了资本积累理论。紧接着又用资本化再次分析了商品经济的历程，对商品经济就有了更全面的了解。在分析商品生产中，分析了生产函数，并提出了万能税收法，分析了生产组织形式和结构。在生产结构分析中，建立了 n 类商品的结构模型，并发现了市场的不完备性，而且可以定量分析，并

为后面的能控性分析打下了基础。随后，分析了商品市场，初步提出了均衡市场不是一个点，而是一个有限面的概念，对传统均衡理论提出了疑问。分析商品市场时，紧紧抓住分割劳动价格的谈判地位这个关键，分析了资本集中，进而全面分析了垄断，建立了初步的资本垄断理论。最后在前面分析劳动力商品的基础上，分析了人力资本，建立了人力资本理论，特别是，提出了完全新意的雇佣制和分享制概念。在整个商品经济论中，始终贯穿着一条主线：剩余价格规律，资本运动就是遵循这一规律，资本运动又必然形成各种资本形态，而依据资本形态就可以初步对资本社会的历史阶段进行划分了。

在资本制度理论中，作者首先分析了资本制度各种具体层次，进而分析资本在整个资本社会的价值，并根据资本价值的特点分析资本形态的演化和资本制度的生长发展规律。如分析产权制度时，提出了点有制、链有制、环有制、网有制的新概念，分析资本制度时，重新定义了资本主义、社会主义，并对其良性恶性进行了分析，而且分析了社会主义如何在资本主义的基础上发展而来，并提出了资本主义与社会主义的客观关系。整个分析均是放在历史中来分析的，既可以解释过去，又可以预测未来。

在社会形态理论中，首先将从猿变成人的过程独立出来，定名为原始社会，而将氏族社会单列出来，作为社会发展的一个大阶段，这在史学界也许还是首次。在分析原始社会的过程中，首重分析猿如何变成人的，特别对猿内部的两性关系进行了深入分析，从而使原始社会的理论更为科学。在财产社会一节，作者应用前面已有的产权理论，对奴隶社会、封建社会、资本社会的形态进行了系统的分析，并附带澄清了学术界长期争论的亚细亚生产方式问题。总之，在整个人类社会的历史中来分析了解资本社会，要深刻、全面得多。

当然本书也存在不少弱点：一是组织系统方法应用不全面不

深入，还留有传统方法的残余，所得结论也还不十分简单，还不很符合科学理论的简单美的原则；二是本书在分析论述过程中，不少地方论据还不够充分，论证也未充分展开。这有待于前辈同仁评点补正。

Introduction

“General Capital—A survey of Social Formation” is an academic book on political economics with academic value and originality. It is estimated that it will exert some influence on economics. The book is divided into five parts: Value, Commodity, Commodity Economy, Capital System and Social Formation. It has established an entirely new and integrated theoretical system of political economics in capital society. It is different from the traditional political economics in terms of methodology, content and structure.

As far as methodology is concerned, it inherits the approach of combining history with logic Marx once employed in his “On Capital” and explores the still underdeveloped methodology of organization system, which is far more advanced and more applicable compared with that of combining history with logic. (for the origin, growth, development and evolution of the organizational system by nature are the process of the combination of history and logic). The book not only embodies the method of combining history and logic but also possesses the traits it lacks such as the mobility, entirety and stability of organizational system.

The content and structure also differs from the traditional political economics. It consists of 5 parts: Value, Commodity, Commodity Economy, Capital System and Social Formation. At the beginning it gives the definition of demand and value. After laying down a clear basic

conception, he comes to an accurate analysis. First he makes a precise analysis about the characteristic of the value of products and commodity. Then he expresses the nature and law of commodity exchange in a new form of the law of exchange value. Next he analyses circulation of commodities, the subordinate system of commodity production and the system of commodity economy. Surplus value, the law of commodity economy, is well stated. At last the more difficult parts, the capital system and social formation, are discussed.

The knowledge of commodity economy enables us to understand the law of capital motion in microcosm, to analyse its course and shape, and thus to have further understanding of the relations between capital and its environment so that we can see the capital system in perspective. When we have grasped the capital system, we will have an essential understanding of the capital society. But that doesn't suffice. We need to view it from the angle of politics, economy and culture and this can only be done when the capital society is involved in the whole course of the evolution of human society. For this reason, "Social Formation", a special part, is written. Although this book is mainly about capital, the wide-ranging issue of social formation has to be discussed. That is why this book is named "General Capital—A survey of Social Formation." The book, in terms of structure, has another obvious character. That is to say, the entire theoretical system is established on the relational analysis. The theory of value is based on the relation between subject and object, subject and products, and subject and commodities; the theory of commodity on exchange relations between commodities; the theory of commodity economy on the relations between capitals; the theory of capital system on the relations between capital and environment, and the theory of social formation on the vertical and horizontal relations of various social

patterns. That is to say, the analysis begins with the most basic relation and is carried on step by step to the concrete relations and finally a complete theoretical system has shaped.

As for the content, the human demand, as the starting point of this book, occupies a wide coverage in value theory. For instance, with Maslow's demand of levels as the starting point, the book gives a complete and thorough expansion. The newly-formed theory of demand is not only a static theory, but a dynamic one. This is demonstrated conspicuously in the theory of spiritual demand.

In *Commodity*, not only the law of exchange, namely, the law of exchange value, has been made clear to a great extent, but the exchange and the division of labour are also deeply probed into. Meanwhile, for the further analysis of labour force, the book has dug into families and the special law of the production of population. It then proceeds to engage in study of the entire course of development of commodity economy, in other words, the course of commercialization, with remarkable creativity.

In *Commodity Economy*, the book begins with the definition of capital, makes a thorough study of the accumulation of capital and sets up a theory of it. Then it, with the capitalization analysis, studies the course of commodity economy once again. In *Commodity Production*, much effort is spent on demonstrating production functions. The author advances a universal taxation rule, and analyses the organizational form and structure of production. In the *Structure of Production*, the structure model of n -kind of commodities has been set up and the imperfection of market has been found. The imperfection can also be studied with quantitative analysis, which has laid a foundation for later analysis of controllability. In the meantime, the author studies the commodity market and introduces a tentative concept that the balanced market is not a point

but a limited area, which has raised doubt about the traditional theory of balance. While analysing the commodity market, the author pays special attention to the key point of negotiation status of dividing labour price and makes a study of capital centralization and an overall study of monopoly and has established the preliminary theory of monopoly capital. In the end, the theory of manpower capital, based on the previous analysis of the labour commodity, is formed, especially a brand-new conception of hire system and the share system. A main thread, the law of surplus price, runs through the whole Commodity Economy. The motion of capital follows this law. It inevitably takes on various forms, according to which we can make a preliminary classification of the capital society.

In the theory of capital system, the author first explores the diverse specific stratifications of capital system as well as the value of capital in the whole capital society and then proceeds to make a research on the evolution of the pattern of capital and the growth and development of capital system in the light of the characteristics of the value of capital. For instance, the completely-new conceptions of point-ownership, chain-ownership, ring-ownership and net-ownership are put forward. By the research on capital system, the capitalism and socialism are redefined from the angle of the study of capital. Namely, capitalism is a kind of centralism of capital, a system which takes the capital and the intrinsic economic-civilization of capital as center so as to intensify, protect and stimulate the intrinsic economic-civilization and at the same time to overcome the extrinsic uneconomic-civilization unfavourable for the intrinsic economic-civilization. Socialism is a kind of centralism of society, a system which takes the society and the extrinsic economic-civilization of capital as center so as to intensify the extrinsic economic-civilization of capital and in the meantime to overcome the intrinsic economic-civil-

zation unfavourable for the extrinsic economic—civilization of capital, and to tolerate and strengthen the intrinsic economic—civilization favourable for the extrinsic economic—civilization of the capital. The author has made a scientific research on its historical limitations and its advantages and disadvantages, and told us how socialism has evolved from capitalism and put forward the objective relation between them. We may well say the whole research has been carried out in the entire course of history so that it can offer both a better explanation to the past and a prophecy to the future.

In the theory of social formation, the book separates the process from ape to man as an independent section entitled “Primitive Society” and regards the clan society as an important stage in social development. (This is perhaps the initiative in the realm of history) . In Primitive Society, more accent is laid on the evolution from ape to man, especially the sexual intercourse among apes. Thus the theory of primitive society becomes much more scientific. In the section of property society, with the given theory of property right mentioned previously, a systematic study is made on the formations of slavery society, feudal society and capital society, and the model of production of Asia as has long been a controversial issue has been dissolved. In a word, the capital society can be understood more completely and profoundly from the entire course of human society.

Two weak points, of course, remain of the book. One is that the method of organizational system has not been thoroughly applied, and there still remains the traditional method. The conclusion is a little bit verbose and not in conformity with the principle: “simple but true theory in science is the most beautiful.” The other is that in the process of exposition, some arguments lack sufficient evidence, and are not fully devel-

oped. All this has room for improvement, by the seniors, peers and readers. Only in this way can this book become more perfect.

一本新颖独到的资本理论研究专著

——读《资本通论——社会形态概览》

(代 序)

早就听说先勤的《资本通论——社会形态概览》在资本理论研究方面有了突破（几个看过其书稿的硕士研究生毕业的老师甚至对我们说：“不只是突破，而且是很大突破”），但仍未想到会这么大！

阅后，不得不承认“确实如此”。尽管该书是纯学术理论专著，也难免一般学术理论专著所通常具有的抽象、深奥、难懂的特点，但不少章节，仍不能不使人读后还想再读……那全新的概念、体系，严密的逻辑，推理，系统的分析、研究和深入的思考、独到的见解……如果不了解先勤其人及其面壁十年、苦思冥想、力破纸笔、上下求索的置其它一切于不顾的思维状态、行为方式和高度强烈的社会责任感、使命感的话，甚至会怀疑这是出自于他——一位大学地球物理系毕业的理学学士、才三十来岁的年轻人之手。序作者，当第一次拜读书稿，读到“商品化”一节时，就没想到竟会被其抽象的分析论述所吸引而忘了及时将水壶从电炉上提下来而水干烧坏，以至朋友们开玩笑说，这是先勤兄的“罪过”，要他赔个新的！

该书力图建立的是资本社会统一的政治经济学理论体系，但无论在方法论方面还是在内容结构方面，都与传统政治经济学不同。即使是同一名词，但所赋予的涵意，也不尽相同。如“资本”

一词，传统政治经济学中定义为“带来剩余价值的价值”，该书中则定义为“带来剩余的成本”。

在方法论方面，该书既继承了马恩《资本论》的历史与逻辑相结合的研究方法，又探索性地采用了尚未发展成熟的组织系统理论作方法论。组织系统方法是一种产生于本世纪中叶并在八十年代得到迅速发展和广泛使用的新的更高一个层次的更为普适的方法，它不仅包含了历史与逻辑相结合的方法（因为组织系统的起源、生长、发展、演化本身就是历史与逻辑相结合的过程），而且具有历史与逻辑方法不具备的特色，如组织系统的动态性、整体性、稳定性等。由于此，该书取得的突破，有些方面连作者本人都“始料未及”，如点有制、链有制、环有制、网有制等全新概念的提出等。从某种角度上甚至可以说，该书在资本理论研究方面所取得的突破，在相当程度上应首先归功于方法论选择上的突破。

在结构上，该书从人的需要研究开始，深入研究了对象的价值，产品。商品的价值，商品交换（流通）的规律，商品经济的规律，直到难度较大的资本制度、社会形态。全书，就是由五大块——价值论、商品论、商品经济论、资本制度论、社会形态论构成。这当中，有个明显的特点，就是整个理论体系是在分析关系中建立起来的。如：价值理论是在分析主体与对象之间，主体与产品、商品之间的关系中建立起来的；商品理论是在分析商品与商品之间的交换关系中建立起来的；商品经济理论是在分析资本与资本之间的关系中建立起来的；资本制度理论是在分析资本与社会环境之间的关系中建立起来的；社会形态理论是在分析各种社会的纵向横向之间的关系中建立起来的。这种理论建立方法，自然、客观，所建立的理论，少有附加之感。

在具体内容方面，该书以人的需要作为全书的起点：

——在价值论中，从马斯洛的需要层次论入手，进行了全面