

三大阶层界定：工人，农民，知识分子

工农相对收入差别的现状

脑体劳动者相对收入差别

相对收入差别的理论分析

相对收入的计量模型

相对收入差别形成的历史

决定相对收入差别的其他因素

现阶段公平分配原则和政策建议

国家社会科学基金项目

中国三大阶层的 收入分配

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中国青年出版社

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前 言

本书所要探讨的是中国比较生产力与相对收入差别之间的关系，重点是城乡之间、工农之间、脑力劳动和体力劳动之间的相对收入差别。

一、本书的理论意义和现实意义

应该说，自改革开放以来，我国经济学界对我国居民的相对收入分配已做了大量的统计分析和经验研究，并取得了许多有价值的成果（参见赵人伟等，1994；于祖尧主笔，1997），尽管不同的学者由于所利用的统计资料和统计方法及统计口径不同，所得出的结论有所不同。但是，对这种相对收入差别，我国经济学界目前尚未作出系统的理论分析，其根本原因在于，目前尚无一种价值和分配理论能被学术界普遍接受作为这种分析的基础：传统的劳动价值论一方面由于只承认劳动是价值的唯一源泉，因而不能对非劳动要素在价值形成中所起的作用以及所得到的收入作出令人满意的数量分析（参见蔡继明，1993），另一方面，由于它否认不同部门的生产力的可比性及其对价值决定的影响，因而也难以揭示不同部门相对收入差别形成的原因；边际生产力价值论由于其内在的逻辑矛盾和固有的辩护性（参见琼·罗宾逊，1960），亦不能被我国学者所认同。

有鉴于此，本书另辟蹊径，利用李嘉图的比较优势原理，构建了一个广义价值论模型（参见蔡继明，1985，1986，1988），以期从比较生产力的角度揭示我国相对收入差别形成

的经济原因，从而为相关的政策选择提供必要的理论依据。本书对于推进我国经济学界有关收入分配问题的研究，具有重要的理论意义。

另一方面，由于国内学者在对现实收入差别进行价值判断时，大都缺乏实证分析的基础，因而所提出的政策建议往往相互矛盾，南辕北辙。本书则着重对我国现阶段的收入分配关系进行实证分析，在构建了理论模型和计量模型的基础上，再根据生产力标准，对各种收入分配关系以及相对收入差别作出价值判断，使本书所提出的政策建议既有浓厚的规范色彩，又有坚实的实证基础，从而具有较强的可操作性。

二、本书的主要内容

本书分为八章。

第一章首先对中国工人、农民、知识分子三大阶层从不同角度加以界定，旨在为全书的研究划定范围。

第二章和第三章利用现有的统计数字，分别对我国目前城乡之间、工农之间、脑力劳动者和体力劳动者之间的相对收入差别进行了详细而客观的描述，并试图揭示其演变的趋势。

第四章详细地阐述了本书的核心即广义价值论的基本内容。这一理论认为：分工和交换产生于比较利益，而比较利益的存在又是以相对生产力的差别为基础的；交换比例或价值是根据比较收益率相等的原则决定的；一种要素或一个部门的比较生产力水平越高，它所创造的价值以及所得到的收入份额就越多；从经济学上说，城乡之间、工农之间、脑力劳动和体力劳动之间的相对收入差别，主要是由它们的比较生产力的差别决定的。

第五章利用自然差距模型和教育收益率模型，间接地说明

在多大程度上，中国城乡和三大阶层的相对收入差别是由纯经济因素即比较生产力差别决定的。

第六章和第七章分析了决定三大阶层相对收入差别的其他因素，其中主要包括：历史因素（第六章），剪刀差政策，户籍制度，经济政策的演变和改革重心的偏离，以及思想上、理论上对知识分子和脑力劳动的轻视（第七章）。

第八章在实证分析的基础上，探讨我国现阶段可供选择的各种公平分配标准，提出了选择公平分配原则的依据，即我国现阶段的生产力发展水平、全社会面临的根本任务、所有制结构以及人们的普遍的思想觉悟水平。根据这些条件，本章认为，我国现阶段的公平分配原则只能是效率优先、兼顾公平：所谓效率优先就是强调要按贡献分配，所谓兼顾公平，就是要建立和完善社会保障制度。本章最后根据作者的规范分析，提出了具体的、相应的政策建议。

三、本书的创新之处

本书取得的具有创新意义的成果主要有以下三点：

1. 创立了一个以比较利益说为基础的广义价值论。这一理论既不同于传统的劳动价值论，也有别于边际生产力价值论。它运用相对生产力、比较生产力、比较收益率、比较价值等一系列新的范畴，揭示了分工与交换的起源、专业化分工的原则，以比较生产力和平均比较收益率作为价值决定的基础，阐明了广义价值决定的基本原理，并以此来分析各部门和各阶层相对收入差别的形成，解决了不同部门和不同生产力的比较问题，澄清了在等价交换问题上存在的许多混乱，使抽象的价值理论具有了可应用的形式，从而为我国收入分配的研究奠定了理论基础。

该理论认为，各部门和各要素的收入份额是由各自的比较生产力水平决定的：一种要素或一个部门的比较生产力水平越高，它所创造的价值以及所得到的收入份额就越多。从经济学上说，中国城乡之间、工农之间、脑力劳动和体力劳动之间的相对收入差别，主要是由它们的比较生产力的差别决定的。这一理论构成本书全部分析的基础。

2. 本书以广义价值论为基础，利用现有统计资料，建立了相关的计量经济模型，说明了在多大程度上，中国城乡之间、工农之间、脑力劳动和体力劳动之间的相对收入差别是由纯经济因素即比较生产力差别决定的。这项研究成果在我国学术界具有开创性意义。它将决定中国城乡和三大阶层相对收入差别的经济因素和非经济因素区别开来，从而为中央政府制定相应的政策以便改善中国城乡之间、工农之间以及脑力劳动者和体力劳动者之间的收入分配关系，提供了必要的理论依据。

3. 本书严格区分了平等和公平这两个概念，指出，平等所表示的是收入均等，是一种客观的收入分配状况，而公平是对收入分配状况的主观评价，虽然不同的人，不同的阶层，由于自身的利益和价值标准不同，对于什么是公平的分配，各有不同的理解，因而很难形成普遍一致的公平观。但一定的收入分配政策，总要以一定的价值判断为基础。本书根据对平等与公平的区分，并以“三个有利于”为标准，分析了所谓“效率优先，兼顾公平”的矛盾，提出，我国现阶段的公平分配原则，只能是“效率优先兼顾平等”，即在坚持按贡献分配的同时，建立和完善社会保障制度。

四、本书的特点和不足

本书的研究，具有如下特点：

1. 在研究方法上,把理论模型和经验验证、实证分析与规范分析有机地结合起来,整个研究体现了从抽象到具体的逻辑进程和理论联系实际的原则。

2. 在研究范围上,从城乡、工农之间的收入差别到脑体劳动者收入差别,从经济因素到政治因素,从历史考察到现实描述,从纯理论研究到政策设计,试图对该领域所涉及的问题给予比较全面的把握和探讨。

3. 在研究角度上,作者对中国三大阶层相对收入差别的研究,不是停留在现象的描述上,而是力图从理论上揭示其产生的经济根源,这自然要涉及到对价值理论这个理论经济学基础问题的再探讨。在这方面作者没有回避矛盾和避重就轻,而是本着严谨的科学态度,在对传统的价值理论做了深入探讨的基础上,提出了一个逻辑上前后一致的新的价值理论。

本书不足之处在于,受现有统计资料的限制,目前,我们尚无法直接测度工业和农业、脑力劳动和体力劳动各自的生产函数及其相对的机会成本,因此,也就无法直接测算出我国目前城乡之间、工农之间以及脑力劳动和体力劳动之间以比较生产力水平为基础的相对收入差别。这个问题也许更具有挑战性,笔者拟作为今后进一步研究的课题。

关键词:绝对生产力,相对生产力,比较生产力,平均比较收益率,比较价值,广义价值,比较收入,城乡相对收入,工农相对收入,脑力劳动和体力劳动相对收入。

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PREFACE

This book examines the relationship between comparative productivity and relative income differences in China. The discussion here centers on the relative income differences between cities and the countryside, industry and agriculture, mental and manual labor.

I . Theoretic and realistic meaning of this book

Since the reform and opening, much statistic analysis and empirical research have focused on the relative income distribution of Chinese residents. Although the results are different due to different statistic data, methods and caliber, some are very valuable (see Zhao Renwei, 1994; Yu Zuyao, 1997). However, the economic academe in China has still not given systemic theory analysis for the relative income differences. The main reason is that there isn't a wide - accepted value and distribution theory as the analysis foundation. On the one hand, as traditional Labor Theory of Value acknowledges labor as the only source of value, it can't give satisfying quantitative analysis of non - labor factors' role in value - forming and income - deciding (see Cai Jiming,

1993). On the other hand, as it denies the comparability of different sectors' productivity and its role in value deciding, it can hardly explain different sectors' relative income difference. Meanwhile, because of its inherent logical contradiction and immanent defensiveness, the Marginal Productivity Theory of Value is not widely accepted by Chinese scholars (See Robinson, 1960).

In view of the above – mentioned facts, this book forms a widely – defined value model with the Doctrine of Ricardo's Comparative Advantage (See Cai Jiming, 1985, 1986, 1988). It attempts to find out the economic explanation of relative income differences from the angle of comparative productivity, and provide necessary theoretic foundation for pertinent policy choice.

On the other hand, with lacking of positive analysis, some policy suggestions are contradictive when making value judge of income differences. This book focuses on positive analysis of the income – distribution relation at this stage in China. According to the productivity criterion, it makes value judgement of various income – distribution relations and relative income differences on the basis of the theoretical and econometric model. The policy suggestions in this book are both normative and positive, which makes them maneuverable.

II . Chief content of this book

Eight chapters are included in this book.

Chapter One defines the three strata of workers, peasants, and intellectuals from different angles, which gives the research scope of the book.

With existing statistic data, Chapter Two and Three make detailed and objective description of relative income differences between cities and the countryside, industry and agriculture, mental and manual labor. The evolving trend is also explored here.

Chapter Four elaborates the book's kernel – the Theory of Widely – defined Value. According to this theory, labor division and exchange take place just because of comparative advantage, which rests on the differences of relative productivity. Exchange ratio or value is determined by the average rate of comparative benefit. The value created and income of a factor or a sector are proportional to its comparative productivity. Economically, the relative income differences between cities and the countryside, industry and agriculture, mental and manual labors are mainly determined by differences of comparative productivity.

In Chapter Five, natural disparity and education – revenue rate model are used to explain on what degree the relative income differences are determined by pure economic fac-

tor, namely comparative productivity differences.

Chapter Six and Seven analyze other factors that determine the relative income differences of three strata, such as history factors (See Chapter Six), policy of price scissors, the system of household registration, the evolving of income distribution policy, the transfer of focal point of reform, and the despise of intellectuals and mental labor (See Chapter Seven).

On the basis of positive analysis, Chapter Eight discusses criteria of fair distribution in China at this stage. It puts forward the basis of fair distribution principle, which includes the productivity level, the fundamental task of the society, the ownership structure and the understanding level of people. This chapter then puts forward the only fair distribution principle at this stage, which is giving priority to efficiency and taking equity into account. Giving priority to efficiency means distributing according to contribution, while taking equity into account means establishing and perfecting social security system. Finally, this chapter puts forward concrete and corresponding policy suggestions according to previous normative analysis.

III . New developments of the book

This book has three major developments as following:

1. It founds the Theory of Widely - defined Value on the

basis of comparative advantage. This theory differs from both traditional Labor Theory of Value and Marginal Productivity Theory. It uses a series of new terms such as relative productivity, comparative productivity, and comparative benefit rate and comparative value to explain the fundamental principle of widely – defined value determination. On this foundation, the book analyzes the forming of relative income differences in various sectors and strata, thus makes the abstract value theory practical and provides theory foundation for research on income distribution in China. The theory believes that income shares of each sector and factor are determined by respective comparative productivity. The whole analysis of the book is fairly based on this theory.

2. On the basis of the Theory of Widely – defined Value, the book makes use of existing statistic data to set econometric models and explains on what degree the relative income differences are determined by pure economic factor, namely comparative productivity differences. The research is original in theory, for it distinguishes economic factors and non – economic factors which determine the relative income differences, and thus provides necessary theory basis for the government's policy to improve the income distribution relation between cities and the countryside, industry and agriculture, mental and manual labor.

3. The book strictly distinguishes between equality and equity. Equality, which means equal income, is an objective condition, while equity is a subjective evaluation of income distribution. With different value criterion and standing, people have different understanding of fair distribution, so it's difficult to form a consistent idea of equity. However, certain income distribution policy must have certain value judgement as its basis. According to the distinction between equality and equity, the book analyzes the paradox of giving priority to efficiency and taking equity into account. Then it argues that the principle of fair distribution at this stage be giving priority to efficiency and taking equality into account, which means distributing according to contribution, and at the same time establishing and perfecting social security system.

IV. The features and flaws of the book

The book has following features:

1. On research methods, the book organically combines theory model with empirical proof and normative analysis with positive analysis. It embodies the logical process from abstraction to specification and the integration of theory and practice.

2. On research scope, the book attempts to explore the pertinent problems comprehensively, from income differences of cities and the countryside, the industry and agriculture to

mental and manual labor, from economic to political factors, from history consideration to reality description, and from pure theory research to policy designing.

3. On research angles, the book attempts to explain the income differences from theory angle, which makes the discussion of value theory necessary. The book doesn't avoid the contradiction, but rigorously advance a consistent new value theory by criticizing of traditional value theory.

There of course exist some flaws in this book. Limited by existing statistic data, we can still not directly calculate the production functions and relative opportunity costs of industry and agriculture, mental and manual labor. Therefore, the relative income differences on the basis of comparative productivity can't be directly calculated either. Further research on this challenging problem is expected to be done in the future.

Key words: absolute productivity, relative productivity, comparative productivity, average rate of comparative benefit, comparative value, widely – defined value, comparative income, relative income of cities and the countryside, relative income of industry and agriculture, relative income of mental and manual labor.

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