

赵晓雷◎著

The Study of Industrialization Thought
and Developing Strategy in China

中国工业化思想及 发展战略研究

世界经济史表明，大抵从18世纪开始，工业化一直是世界经济发展的主题。当代的一些发达国家，无一不是通过工业化而成为经济、文化高度发展的国家。20世纪中叶以后，工业化更是在发展中国家广泛开展。发展中国家纷纷制定和实施了各种工业化发展战略，其中有些国家和地区已取得了显著的成效，社会经济有了巨大进步。从19世纪中叶以后，工业化亦成为中国经济发展的主题。19世纪40年代，中国开始产生了外国人所办的大机器工业。从此，在19世纪下半叶和整个20世纪，中国一直在经历着工业化过程。

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再版前言

本书是在我的博士学位论文《中国工业化思想的产生和发展》的基础上成书的。1989年到1992年,我师从胡寄窗先生攻读博士学位。在博士论文选题时,受胡老学术思想的启发,我向导师汇报了想从中国近代和现代贯通的时间维度凝炼一个论题,或者说选择一个论题能从中国近代延续到现代,主要是想将经济思想史的考察和研究向现代历史时期延展。胡老同意我的想法,并指出外国经济学说史是一个开放体系,近50年的代表性经济思想和理论都能吸收进来。新中国经济思想到20世纪末也有50年的历史,应该进行整理、考察和研究了。胡老还有一个思想,即中国经济思想史研究要面向现代化、面向世界、面向未来。其研究方向和范围必须有所改变,不能局限在古代经济思想整理的框架之内,而应该把研究的课题扩大到社会主义现代化中国的经济科学领域。导师的学术思想及支持使我心中有了底,我就循着这一思路确定选题,展开研究。这一研究课题的学术主旨是将中国近现代社会经济发展归结为工业化进程,将工业化思想视为中国近现代经济思想发展的主线,同时将中国经济思想史的研究延展到现代历史阶段,融会于世界经济学说的发展过程之中。

博士论文答辩顺利通过后,我将论文整理成《中国工业化思想及发展战略研究》书稿,申请了上海市马克思主义学术著作出版基金资助出版,获得资助后由上海社会科学院出版社于1995年1月出版。第一版的印数是1200册,早已售罄。本书于15年后再版,内容、体例、学术观点等未作修改,只是一些注释根据新的要求作了修订。胡寄窗先生为本书所作的序中说,中国工业化进程到20世纪末已有150多年的历史,但这仅是中国工业化进程的初始阶段,中国完全实现工业化的进程还很长。在中国漫长的工业化进程中,本书关于中国工业化思想的产生及发展的考察研究应该有绵薄的学术价值。

赵晓雷

2010年5月于上海财经大学

序

工业化是任何现代国家均必须经历的一个历史过程。这个过程随着一国的自然条件和社会经济条件之不同,其发展模式和完成时期也有极大的差异。例如,一个阿拉伯石油输出小国或如新加坡,它们既有极丰富的其他经济收入而人口又不多,完全可以进口食粮,不必要建立自给的农业,这就使它们的工业化过程较为单纯,只需致力于工业发展模式的适当选择,即可实现工业化目标。但这样类型的国家在世界上毕竟是极少数,其他绝大多数的国家无不在不同程度上并存着传统的自足自给小农经济。故怎样将传统的小农经济转换为现代化的大规模农业生产,成为一国工业化过程中无可避免的关键问题,小农经济在国民经济中所占的比重愈大,其难度又将倍增。幅员较小的英国在 15 世纪开始其工业化进程时,曾以极残酷的“圈地运动”迫使农民脱离其耕地,即使是这样还花了 3 个世纪的时间才实现了现代化的农业生产。当然,现代国家可以借鉴别国各种工业化进程的许多经验教训,即无必要采用极残酷的原始积累过程,也不必浪费更长的时间以完成其工业化任务。无论如何,一个国家的幅员愈广,人口愈多和小农经济在国民经济中所占的比重愈大,给工业化进程所带来的滞碍作用是绝对不能轻视的。但是,不论工业化进程的难度有多大,一个经济落后的国家如不能倾其全力以实现工业化任务,就不足以置身于现代国家之林。

中国工业化思想之产生,如追溯自 1840 年第一次鸦片战争失败之刺激,到现在已有 150 多年的历史。在一般情况下,有这样长的发展历史,应在工业化道路上取得相当大的成就。但事实上却是远远不够理想,其原因是多方面的。小农经济的巩固和繁荣在我国已支配了 2000 多年,人们安于现实,很难在思想深处自觉产生放弃小农经济,另走工业化道路的要求。另一方面,那时发展近代工业思想之产生系在帝国主义者炮舰威胁下被动激起的,缺乏社会经济结构本身内在的积极动力,故发展工业思想产生后又经历了二三十年才于 19 世纪 70 年代零星的建成一些近代民族工业。19 世纪末至 20 世纪初通过“商战”、“恃工为本”、“以工立国”等呼声所反映的发展工业之要求,在工业化思想上可谓前进了一大步,但那时的清廷统治已接近它的垂死阶段,哪有心思来发展近代工业。辛亥革命的胜利结束了数千年的封建统治,再加上孙中山给中国工业化所提供的宏伟构想和规划,应是发展实业的最好机缘。但辛亥革命又给中国带来了军阀割据和四分五裂的政治局面,随后又爆发了长期的抗日战争,在这种内忧外患交织的形势下,再宏伟的构想和规划也将流为纸上谈兵。这里有必要顺便消除一个可能出现的错觉。根据前面的分析可能给人们造成一种错觉,似乎自第一次鸦片战争以来的最初

100年中,中国近代工业根本没有什么发展。绝对不是这样。工业统计史料表明,从1872—1910年这30余年中,近代工厂已由73家增至574家,如将外资经营的100多家工厂合算,增加了将近10倍。辛亥革命以后新建厂数也成倍增长。因为一国的近代工业只要一开始萌芽,它就会自发地持续扩展。如又有优良投资环境和适当的指导决策,就可在二三十年中走完发达国家以往要花费一个世纪才能走完的工业化道路。如缺乏适当的投资环境和决策,则工业化发展进程就会缓慢下来,但仍会有所发展的。所以我们说“流为纸上谈兵”,并不意味毫无实际成效,只是远远不够理想而已。新中国成立后,首先是给工业顺畅发展奠定了必不可少的一个安定统一的政治局面,而党中央又将发展轻重工业作为主要政治任务来抓,特别是“一五”时期苏联帮助我们建设156个关系国民经济命脉的重点项目,改变了我国工业部门残缺不全的状况,给工业化打下初步基础。可惜,在“一五”计划后期就出现了“大跃进”,接着又是“文革”十年动乱,浪费掉大好时光。因此,在过去这一个半世纪中,中国真正获得实行工业化的国内国际良好环境,仅是十一届三中全会以来这十余年的事。时间虽然不长,其成就确是相当辉煌的,尤其是在社会主义经济理论方面产生革命性突破,被当今世界认为是有独特成就的唯一国家。社会主义者以羡慕的心情向中国学习,西方开明人士把中国之成就视为奇迹,第三世界视为足资借鉴的楷模,但不论成就有多么大,只有十余年的时间,毕竟是短暂的。中国的工业化进程基于其本身的自然和社会特殊条件,在进程中所遭遇的困难特别是所需要的时间长度,不知比当今世界的任何其他国家要大多少倍。别的困难且不谈,仅就将小农经济转型为大规模生产的现代化农业经济一端而言,有多大困难和需要多少年份这是无法预计的。所谓工业化的真正含义,并不完全取决于工业部门设置之完备或多少工业部门的总产值在世界同行业中名列前茅,这样只能使一国成为一个昌盛的工业国,还不是真正的工业化。必须使一国包括农业在内各产业部门普遍采行现代化大规模生产经营方式,才算是实现了工业化。中国农业仍以小农经济为其支配形式,仅个体农民的人口就占7亿左右。怎样使个体农民的小生产为现代化大规模农业生产所取代以及在农业现代化进程中如何安置被游离出来的6亿多待业农民,是目前尚无法设想的严重问题,只有在未来的实践中才能解决。这种未来实践的时期究竟有多长?邓小平曾经指出,中国社会主义现代化是一个需要几代人、十几代人艰苦奋斗的时期。这里所谓社会主义现代化,肯定是包括农业在内的全盘现代化,否则不可能需要十几代人的时期。真正工业化进程的时期愈长如几个世纪,则分阶段总结前期的经验教训,用作对后期实践的指针,其参考价值与意义是相当大的。

第一次鸦片战争到20世纪90年代初这150余年是中国工业化进程的初始阶段,赵晓雷博士的专著《中国工业化思想及发展战略研究》即以此阶段也只能以此阶段作为其研究的历史时限。既处在初始阶段,就不大可能在工业化的实质进程中获得异常独特的成绩,但有关工业化的思想却是众说纷纭、争议甚多,也出现了不少次热烈的争论。不论争论各方所持的理论观点是否成熟和正确,多争论总是好的,至少可以使人们对工业化的认识加速前进。本书极丰富地征集了有关史料,并对各种不同观点各按其产生的历史背景有所评议,也是本书的特点之一。更需要指出的是,本书还大量引进了西方有关工业化的理论原则,使人们在新的工业化阶段未到来之前,就能预期未来可能发生

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的若干新事态以及如何应付这些新事态的各种不同对策及其利弊。这显然对我国工业化之实践是有很大帮助的。中国要实现包括农业在内的全盘工业化,也许还需要二三个世纪的时期。希望本书在未来修订再版过程中,继续原有的特点并不断增添新的内容,这不仅是学术价值问题,对工业化的实践进程也将是具有现实意义的。

胡寄窗

1992年11月

Abstract

It's widely known that the history of industrialization thoughts can be traced back to the Western Classical Economics of the 18th and 19th century. The Classical Economics, which is the theoretical representative of industrial capitalism, deals with the fact that industrial production is the major cause of enhancing productivity and national wealth focusing on comparing benefit between industry and agriculture. Therefore, the possibility of the national wealth growth (economic growth) will be led to from the modern metropolitan society and industrialization. However, it's after the second world war that people began to explain the industrialization widely and deeply. During this period, many economists were engaged in the research on industrialization, putting forward a lot of theoretical points of view.

According to the principle of Marxism, industrialization is referred to the process of economic progress based on the revolution of production mode. The characteristic of this revolution shows that machines and the system of machines replace manual tools in means of labour (the technical foundation of production), that socialized or common work replace individual work in the division of labour and the mode of labour combination, and that modern industries replace traditional agriculture as dominated and major social sectors of production in the aspect of industrial structure. Since this process extend gradually to the whole social production, a nation's industrialization must cover its whole social economy in a certain period of time. In other words, industrialization is a specific phase of a nation's development of social economy.

The history of the world economy shows that, starting from about the 18th century, industrialization has been always one of the main subjects of the world economic development. After the middle of the 19th century, industrialization become the main subject of China's economic development as well. In the 40s of the 19th century, China began to develop the industry of large machine. In the later part of the 19th century and the whole 20th century China has experienced industrialization processing. Especially after new China was founded in 1949, China has engaged in the socialist construction of industrialization in a more large scale. thus, we can say that industrialization has always been the leading direction of China's development of social economy

since the middle of the 19th century. To realize the industrialization has always been one of the important issues for China's economic and social development.

Let's take a look from the position of the history of economic thoughts, economic thoughts in a certain period reflects the economic relationships in the field of ideological form at that time, and a definite period of leading economic thoughts is certainly determined by leading production mode of the period, As industrialization is the main thread of the development of China's modern society and economy, industrialization thoughts is naturally the main stream of the development of China's modern economy thoughts. China's industrialization thoughts can be generally divided into two stages: the initial stage from the 60s of the 19th century to the upper part of 20th century and the developing stage in the later part of the 20th century. The development of industrialization thoughts has not only the character of stages, but also the continuity. Its continuity reflected the whole historical process and historical relations of the development of China's industrialization. The character of stages reflected the salient features of the level of industrialization development and social, economic, political status in a specific period of time. The first industrialization wave began to be emerged in China with the characteristic of the Westernization Movement (the Foreign Service Movement) in the 60s of the 19th century. Although these were several peak waves of industrialization processing in China, the development was difficult and the achievement was rather small due to the political corruption, civil wars, and foreigners, humiliation before the founding of the people's Republic of China in 1949. For these reasons, the development of industrialization thoughts in that period was in the preliminary phase. Although there were some topics dealing with this matter, there was not much theoretical creation and no systematic doctrine. The contents were basically quoted and repeated from the relevant Western theory with many brands of classical thoughts. However this stage was the turning point from classical economic thoughts to modern economic thoughts and it is the preliminary stage of the development of industrialization thoughts. Beginning from this stage, great changes took place in the contents and nature of China's economic thoughts. This transformation included studying the modern industrial production mode instead of the feudal production mode and studying modern industrialization thoughts instead of classical economic thoughts of agriculture. Since the establishment of new China, China has started a long march on the socialist construction of industrialization. Great achievements have been made for these 40 years, though the road was circuitous. This period was the main developing stage of China's industrialization thoughts. Many creative thoughts emerged with the combination of the socialist China's economic practice and some theoretical framework were formed as well in this stage. Favorable situations have been created for developing industrialization thoughts especially after 1980s due to the depth of the econom-

ic reform, the rapid development of the national economy, the unprecedented animation of academic thoughts, and a lot of introduction of Western modern economic theory. thus, industrialization thoughts of this period was another new atmosphere compared with that of 1950s—1970s.

Let's take a look from the position of the process of the development of China's industrialization thoughts. The Westernization Thoughts in 60s of 19th century first pointed out the need for establishing a industry of large machine. This can be regarded as the beginning of China's industrialization thoughts. The thoughts of Mercantilism in the later part of 19th century, which involved in the capitalist business of modern industry and transportation, was called "Commercial affairs", "commercial policy", advocating stimulating "commercial affairs", "establishing nations with commerce" etc, to express the thoughts of developing capitalist business. therefore, modern China's thoughts of Mercantilism included the contents of both industry and commerce. Its aim was to develop capitalist industrialization, and this marked the preliminary form of China's industrialization thoughts. At the end of the 19th century and the beginning of the 20th century, the characteristic of the development of China's industrialization thoughts was obviously shown as emphasizing the leading role of industrial production, putting forward the typical advocacy of industrialization by "establishing nations with industry". The transformation shows that people gradually understood the objective economic laws deeply and understood the industrialization contents thoroughly. The formal statement of realizing industrialization was the final transformation from China's classical economic thoughts to industrialization thoughts. Henceforth, industrialization thoughts, replaced the classical economic thoughts of agriculture, became the main stream of the development of China's economic thoughts.

China's industry developed more rapidly in the upper part of the 20th century. In industry, light and textile industries were the most developed and urban public utilities began to develop. In heavy industries, the mining industry developed rather significantly while iron and steel industry and machinery manufactures developed slightly. In this period, China's industrialization thoughts also come to develop preliminarily. Its main contents contained the government's industrialization policy, economic legislation, and the theoretical study on industrialization issues. In general, one of the biggest characteristics of the development of China's industrialization thoughts in this period was that the theories discussed were combined with China's real situation. Some scholars put forward rather systematic industrialization plans. Many points of view were clearly concerned with the topic of industrialization in many aspects such as economic structure, domestic market, foreign trade, capital supply and demand, and labour force transfer. The stress of the analysis was placed on our country's real condition and on the comparison with the experience of other countries. The analysis shows

that the development of China's industrialization thoughts in this period was already concerned with the theoretical altitude of the overall strategic research and economic system.

After the founding of new China, the development of industrialization thoughts has entered into a new stage. From 1949 to 90s of the 20th century, China's industrialization thoughts formed the complete theoretical framework such as the road of the development of industrialization, the strategy of the development of industrialization, agricultural modernization in the process of industrialization, the strategy of the development of industrialization zone and the relations between industrialization and the reform in economic system. These not only reflected the outlook and the latest level of the development of China's industrialization thoughts in the stage, but also gave rise to the deep effects on the real process of industrialization and economic development.

author: zhao xiao lei

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