

DANGDAIJINGJIXUEXILIE
CONGSHU ● 当代经济学系列丛书

当代经济学文库

● 樊 纲著

● 上海三联书店

上海人民出版社

现代三大经济理论体系的 比较与综合

作者近照



作者近照

作者近照

(沪)新登字 101 号

装帧设计 宋珍妮

现代三大经济理论体系的比较与综合

樊 纲 著

生活·读书·新知
三联书店上海分店
上海绍兴路 5 号
上海人民出版社
上海绍兴路 54 号

新华书店上海发行所经销
祝桥新华印刷厂印刷

1994 年 8 月新 1 版

1995 年 4 月第 2 次印刷

开本：850×1168 1/32

印张：11.5 插页：3 字数：235000

印数：3001—8000

ISBN 7-208-01879-0/F·356

定价 16.50 元

作者介绍

樊纲，1953年生于北京，1982年毕业于河北大学经济系，获经济学学士学位，同年考入中国社会科学院研究生院经济系，主攻方向为当代西方经济学，1988年毕业，先后获经济学硕士、博士学位。1985—1987年间曾赴美国国民经济研究局及哈佛大学访问进修。现为中国社会科学院经济研究所助理研究员。近年来在《经济研究》等学术刊物上发表了《瓦尔拉斯一般均衡理论研究》、《论公有制经济中各种利益目标、利益矛盾和经济行为》、《灰市场理论》、《改革、调整、增长和摩擦性通货膨胀》等论文多篇，在经济学比较研究和社会主义理论经济学研究方面颇有建树，提出了不少独到新颖的理论观点，受到学术界的关注和好评。

出版前言

为了全面地、系统地反映当代经济学的全貌及其进程，总结与挖掘当代经济学已有的和潜在的成果，展示当代经济学新的发展方向，我们决定出版“当代经济学系列丛书”。

“当代经济学系列丛书”是大型的、高层次的、综合性的经济学术理论丛书。它包括四个子系列：(1)当代经济学文库；(2)当代经济学译库；(3)当代经济学教学参考书系；(4)当代经济学新知文丛。该丛书在学科领域方面，不仅着眼于各传统经济学科的新成果，更注重经济前沿学科、边缘学科和综合学科的新成就；在选题的采择上，广泛联系海内外学者，努力开掘学术功力深厚、思想新颖独到、作品水平拔尖的“高、新、尖”著作。“文库”力求达到中国经济学界当前的最高水平；“译库”翻译当代经济学的名人名著；“教学参考书系”主要出版国外著名高等院校 80 年代后

期 90 年代初期的通用教材；“新知文丛”则运用通俗易懂的语言，介绍国际上当代经济学的最新发展。

本丛书致力于推动中国经济学的现代化和国际标准化，力图在一个不太长的时期内，从研究范围、研究内容、研究方法、分析技术等方面逐步完成中国经济学从传统向现代的转轨。我们渴望经济学家们支持我们的追求，向这套丛书提供高质量的标准经济学著作，进而为提高中国经济学的水平，使之立足于世界经济之林而共同努力。

我们和经济学家一起瞻望着中国经济学的未来。

上海三联书店

上海人民出版社

ABSTRACT

COMPARISON AND SYNTHESIS OF THREE MAJOR APPROACHES IN ECONOMICS

This book is an attempt to provide a new understanding of the relations between the three major economic approaches: the neo-classical, the Keynesian and the Marxian.

1. Different angles of view on the economic activity

Based on a brief review of the theories and their originations respectively, the author starts his arguments from the analysis of the nature of economic activities which are the object of economics.

On the basic level, the economic activity can be viewed in two aspects: on the one hand, it is the activity by men to produce goods to meet their various needs, by properly using and allocating scarce resources; on the other hand, it is the activity by men to deal

with each other in the unavoidable conflicts of economic interests when pursuing their own particular interests. From the viewpoint of the first aspect, the economic activity is a relation between man and nature — or the material world; while from the viewpoint of the second, it is a relation among people. By this logic, all economic phenomena and economic variables, which are the outcomes of economic activities, can and should be explained in the two aspects analyzed above.

Economic study should be a work of modelling the economic reality from all sides to give an overall understanding of the object. However, it is hardly avoidable, especially at the early stage of the development of the science, that people grasp only one of the aspects, or, although having noticed that economic activity is many-sided, believe that only one aspect is important. So the different approaches in economics appear. The theories of modern “mains-

stream" economics, including the neo-Classicalism and the mainstream Keynesianism, focus on the resource allocation problems and explain the economic phenomena and variables by the psychological preference and input-output relations, assuming the institutions are given and that there exist no conflicts other than those which take place in market exchanges and which are based on the different tastes and endowments, all of which are exogenously given; meanwhile, Marxism (and some post-Keynesian theories) generally takes the material relations between man and goods as given and therefore concentrates on the study of the effects of the conflicts of interests between different economic classes and the evolution of institutions based on economic contradictions.

From this point of view, it is argued that the fundamental difference between various approaches is the difference in the angles of view, not the "ranges" (as Oscar Lange claim-

ed) or "strata" (as some Marxists argued).

2. A further explication

One missing point in the above analysis is the relations between the objective and information constraint (knowledge of current state of economy and various economic relationships, uncertainty of the future, etc.) in economic activities. This taken into account, the economic activity may be viewed in a more general way: it is the human activities involving relations between the economic objective and various constraints: the material endowments constraint, institutional or social constraint, and information constraint. When economists put their emphasis on one of these three aspects, people will see different approaches taking place: neo-classical theory emphasizes the relation between the utility objective and the endowments constraint; Marxism gives more attention to income objective and social constraints; and Keynesian theories put great weight on the role of the uncertainty

or the incomplete information in the determination of economic variables.

3. The "one-sided truth"

It should be noted that, when it is said that each approach gives more attention to one aspect of the economic activity, it is not meant by that any of them would have totally ignored the other aspects. What it means is that each of them emphasizes and mainly explores one aspect while leaving others given, or believing them to be playing a less important role in the explanation of economic events.

However, we can still see that each approach has its own particular weakness which just results from its assumption of "others given" and somewhat neglecting other aspects. For example, the neo-classical theory declares that the price is only determined by the scarcity of resources and the factor prices are determined therefore only by the marginal returns, neglecting the role of the conflict of interests in the process of production. This

Non-fossil

one-sided view leads to its failure to explain the so-called "normal profit" (a suggested new solution to this problem is given in Ch. 8 of this book). Meanwhile, as the result of one-sided emphasis on the conflicts of interests between "classes", Marxist labor theory of value provides only a "cost explanation" of the price determination (a new interpretation of the relation between the labor theory of value and the marginal utility theory of value is given in Ch. 7 of this book). As far as Keynesian theory is concerned, its over-emphasis on the uncertainty of future return to investment results in a "animal spirit" theory of business cycle, which grants hardly a place for the fluctuations of technology development and the changes in economic institutions or the shifts of power structure in the conflict of interests.

Thus we have reasons to assert that each of these theories is some kind of "partial theory" or "one-sided theory" for its failure to provide an overall and accurate descrip-

tion of economic reality.

However, the one-sidedness is not totally incompatible with the truthfulness. As long as a theory provides us with a profound analysis of one aspect of the economic reality, it unquestionably provides the truth, though partial, and still makes contributions in its special way to the economic science. So we should take all of these three approaches as the truth, though each is only a "one-sided truth."

4. The relative advantages of different analytic frameworks and the organic synthesis.

The above analysis apparently suggests that: (1) the different approaches are "mutually complementary"; (2) there exists the possibility of making, in a proper way, an organic and scientific synthesis of three approaches to capture all the merits and avoid all kinds of one-sidedness, and to construct a comprehensive system by which we can provide a more overall explanation of the

economic activities and economic variables.

In seeking a synthesis of theories, the relative advantages of the analytic frameworks matter. So a comparison of frameworks and methodologies have to be made.

Both neo-classical and Keynesian theories are characterized by the "closeness" of theoretical system, as they set almost all fundamental economic factors as "data" or "exogenous variables", such as the institutional arrangements, technology preferences and endowments. This method has the advantage of being able to make more accurate analysis of the interdependence and interactions of economic variables (as chosen) under consideration in a static state, but it has also the disadvantage of being unable to capture the dynamic nature of the economic reality and to give the description of interactions between the "data". In contrast, Marxist economics is featured by its "openness", as all fundamental factors are, explicitly or implicitly, endogenous in its system. It is diffi-

cult (but not impossible) for this method to make accurate analysis, especially in the earlier stages of the development of theory. However, it provides us with a broader framework to analyze all economic relations in one comprehensive model.

Accordingly, the book suggests exploring a new synthesis in economics: the New Marxian Synthesis — using Marxist theory as the basic framework, incorporating all useful and scientific elements of other theories and joining them together, to build a more comprehensive theoretic system and develop more scientific and realistic explanations of economic phenomena. Undoubtedly, all theories will be subject to some kind of modification in this procedure and there must be some new theoretic elements emerging from this synthesis. And that just means a new development of economics.

序

从1902年严复将亚当·斯密的《国富论》翻译成中文算起，西方经济学被引进我国，已经将近一个世纪了。马克思主义经济学也来自西方，新中国成立之后，在经济学界占据了统治的地位。改革开放以来，更有大量的西方经济理论被介绍给国内理论界。引进了许多理论，如何消化、掌握、融汇贯通，如何对各种理论本身，对不同的理论和方法的相互关系，比如西方主流经济学与马克思主义经济学之间的相互关系，作出科学的分析和评价，从而正确地加以利用，为我们自己的目的服务，却一直是摆在中国经济学家面前的一个重要课题（事实上也是摆在世界上所有经济学家面前的一个重要课题）。樊纲的新著《现代三大经济理论体系的比较与综合》，无疑是在这方面的一个大胆、可贵的新探索。

1

当代西方主流经济学（以新古典主义和凯恩斯主义主流为代表）与马克思主义经济学之间，就其实证内容而不是价值判断而言，究竟是一种怎样的关系？这是一个多年来不断被世界上经济学家们提出来讨论的问题，因而也出现了各式各样的回答。

——一种过去颇为流行的观点是，马克思主义是科学真理，而其他各种经济理论都属于“庸俗经济学”，是“伪科学”，不值得我们研究和学习。仅就忽视对社会经济矛盾的研究，不去努力揭示物质生产和物质交换中所体现的社会关系，维护现存制度这一点而言，西方主流经济学的确符合马克思当年所说的“庸俗经济学”的特定含义。但是，正如《现代三大经济理论体系的比较与综合》一书中指出的，作为经济学研究对象的社会经济活动，