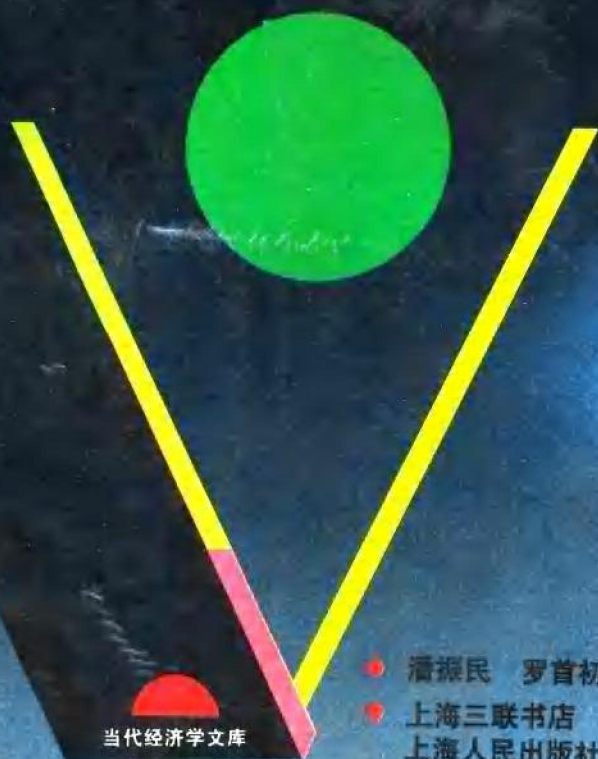


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社会主义微观经济均衡论

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436213

(沪)新登字 101 号

责任编辑 陈 昕

装帧设计 宋珍妮

社会主义微观经济均衡论

潘振民 罗首初 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发行
丹阳新华印刷厂印刷

1995 年 4 月新 1 版
1995 年 4 月第 1 次印刷
开本: 850×1168 1/32
印张: 12.75 插页: 3 字数: 267,000
印数: 1—5000

ISBN7-208-01986-X/F·412

定价: 18.80 元

作者照片



作者介绍

潘振民，男，1950年生，1978年考入复旦大学经济系，1982年获经济学学士学位，后留校执教。1984年至1985年曾在美国西北大学经济系进修。现为复旦大学世界经济系讲师、在职博士学位研究生。近年来，先后在《经济研究》等学术刊物上发表了数篇学术论文，对企业行为、政府管制，企业规模等问题提出了新颖独到的见解，引起了学术界的关注。本书为潘振民的第一部学术专著。

罗首初，女，1952年生，1978年考进复旦大学经济系，1982年获经济学学士学位，随即留校执教，1984年考入复旦大学经济系研究生班，1986年转为在职博士学位研究生。罗首初对社会主义经济运行问题有很深的研究，与人合著有《探寻新的模式》一书，并曾在《中国社会科学》等杂志上发表学术论文20多篇，其中与人合作撰写的“吸引外资和内部应力”一文曾获全国中青年经济体制改革理论讨论会优秀论文奖。

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学之林而共同努力。

我们和经济学家一起瞻望着中国经济学的未来。

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ABSTRACT

EQUILIBRIUM OF SOCIALIST MICROECONOMY

This book is a pioneering work in China for systematic analysis of the mechanism of socialist microeconomy. It applies the principles and methods of modern economics and is based on the performance of Chinese economy. It analyses the behavior of economic agents, particularly enterprises, in the pre-reform "administration system" and the post-reform "double-track system", and describes the equilibrium of various economic activities.

The contributions of the book are as follows:

In socialist economy, presence or absence of planning is not the criterion for distinguishing different systems. Opposed to market adjustment is not planned adjustment, but "administrative" adjustment. The authors define pre-reform system as administration system and the

present transitional system as double-track system. However, the target of economic reform is to establish a market system, i.e., a planned commodity economy. The features of all these systems are elaborately described in this book.

Within the administration system, the objective of the enterprise is not output or bonus maximum but "leisure", which is different from the position taken by many eastern and western economists specializing in socialist economy. And the enterprise is not completely passive when carrying out a mandatory plan; instead, governed by a special cost-benefit structure, it actively realizes its own objective in the process of carrying out the mandatory plan. In their activities, the enterprises will each reach partial equilibrium. When there is a lax of control by the central authorities to allow more local autonomy (as is the case with China), the enterprises may realize their objectives more easily; their difference in partial equilibrium will not affect each other, so that the general equilibrium is heterogeneous. If the aspects of administrative

adjustment are viewed separately, the administration system has a lot of disadvantages which would even make the existence of the system itself impossible. But, as an integrated system, the disadvantages of the administration system tend to restrict and offset each other, thus not only keeping the system working but also making it adaptable to an underdeveloped economy to achieve high growth rate. Nevertheless, with the development of economy in the administration system, both technological and economic structures become more and more diversified and the relations of various economic entities more and more complicated, which lead to the inadaptability of the administration system to the developed productive forces and inevitable replacement of the market system.

In the double-track system, the objective of the enterprise is per capita income. As economists focusing on labor-run enterprises¹ have already described the behavior of such enterprises, the authors contribute fresh ideas and modifications.

- (1) How entry barrier of labor market takes

shape in the process of realizing the objective and how the existence of entry barrier makes the enterprise meet certain level of income-per-worker instead of over-emphasizing income-per-worker. Such behavior is particularly conspicuous in the double-track system. (2) If the market system is perfect, the behavior of the enterprise with income-per-worker objective will not be short-termed as compared to that of enterprise with profit objective. The former will be short-termed only if administrative adjustment still exists, i.e., in the double-track system. (3) Some unusual behaviors of enterprises with income-per-worker objective, such as downward supply curve, are logical in the theoretical model. But in a perfect market system they will not occur in reality or, if they do occur, draw attention. Only in the double-track system will they occur and even demonstrate themselves distinctively.

In the double-track system, administrative and market adjustment interweave with and penetrate through each other. So the features and

functions of the combined administrative and market adjustment are different from either of the two existing independently, which makes the behaviors of the enterprise as "nonstandard" as selling something to A on condition of not only getting money but also buying something from A, bribery, the shift of supply and demand curve in the partial market, unsymmetrical cost-benefit structure in the process of innovation, and so on. The result is that the economic reform can not get the expected achievements. So the double-track system is only a transitional system. But even so, the double-track system is better than the administration system. (1) Although the equilibrium of various economic activities in the double-track system exists abnormally, as compared with the administration system, it is closer to the equilibrium in the market system. (2) The most important role of the double-track system is to undermine gradually the administrative control and adjustment and provide "growth point" for various markets continuously.

In mention of the socialist market system, the authors point out: (1) While the prescriptive plan defies market adjustment, the plan can be combined with such an adjustment. (2) The market system can display socialist principles and fit in with the developed productive force more than the administration system.

The book includes a lot of statistical data to describe the features of different systems and to test the authors' conclusions.

The authors are two faculty members of Shanghai's Fudan University. Pan Zhen-min is a lecturer in the World Economy Department and Luo Shou-chu is a lecturer in the Economics Department. They are both conducting concurrent graduate work towards doctoral degree.

序

潘振民、罗首初合著的《社会主义微观经济均衡论》的出版,是我国理论经济学近几年来开拓新视野、发展新观念、进入新境界的又一朵报春花。

关心我国理论经济学动态的同志不难发现,党的十一届三中全会以来,特别是1984年党的十二届三中全会以来,我国的社会主义理论经济学正在发生一个值得注意的变化:从历来只研究生产关系即经济制度,开拓出一个研究经济运行的新领域。这个变化的出现不是偶然的,这正是在社会主义经济学的研究工作中纠正“左”的教条主义,贯彻理论联系实际、理论为我国社会主义建设服务的一个表现。

建国以来,我国经济学界流行着这样一种观念:马克思主义的理论经济学就只是政治经济学,而政治经济学的研究对象只是生

产关系。具体到社会主义时期，理论经济学就只是社会主义政治经济学（或政治经济学的社会主义部分），它的研究对象就是社会主义生产关系，任务是阐明社会主义生产关系发生、发展及其向共产主义过渡的规律性。对理论经济学的这种狭隘观念，再加上受“左”的指导思想的影响，以致于从建国到党的十一届三中全会的30年间，我国理论经济学的教师和研究工作者，把大部分精力都耗费在研究和宣传这样一个主题：如何尽快地在我国建立社会主义生产关系，如何使已经建立起来的社会主义经济尽快地扩大其规模和提高其公有化程度，促使小集体经济发展为大集体经济，使大集体经济发展为全民所有制经济，并尽可能快地在社会主义经济关系中培养共产主义经济关系的幼芽，使其尽快成长，以便整个社会“跑步进入共产主义”。

上述这种情况的产生不是偶然的，而是

有其实践的和理论的背景的。从实践背景看，大家知道，党的十一届三中全会以前，我国的社会主义建设实践是受“左”的指导思想支配的：把本来计划在 15 年左右时间完成的对生产资料私有制的改造，急急忙忙地在不到 4 年的时间里搞完了；把本来需要几十年甚至上百年时间才能完成的赶超发达资本主义国家的历史任务，企图通过一场“大跃进”运动在短时间内使之实现；对刚刚建立起来、应该花大力气使之巩固的高级农业生产合作社，在其立足未稳之际，就匆匆地将它推向“一大二公”的人民公社化；在一个脱胎于半殖民地半封建社会、没有经过资本主义充分发展阶段、本来应该首先致力于肃清封建主义残余的初级阶段的社会主义社会里，竟然花 10 多年的时间，从上到下，从城市到穷乡僻壤，到处去搜索资产阶级和“走资本主义道路的当权派”来加以反对；如此等等。在这样的时代

背景下，强调要“为无产阶级政治服务”的经济理论工作者，自觉或不自觉地陷入“左”的错误，是不足为奇的。至于理论的背景，那就得一直追溯到马克思对资本主义经济的理论分析。

马克思基于他作为无产阶级革命导师的职责，他的任务是通过分析资本主义经济运动规律，揭示资本主义经济制度产生、发展及其灭亡的客观必然性。他在完成这一任务的时候，不是把资本主义生产关系作为一个孤立的静止的东西来研究，而是一方面联系生产力的决定作用，另一方面联系上层建筑对生产关系的反作用，把资本主义经济当作一个不断运动的客观过程来考察。对于资本主义经济，马克思是既从整体上来考察它的总量变化，又从单个企业来考察它的个别量变化。但是，马克思只是在阐明资本主义经济关系的实质及其发展变化所必要的范围