

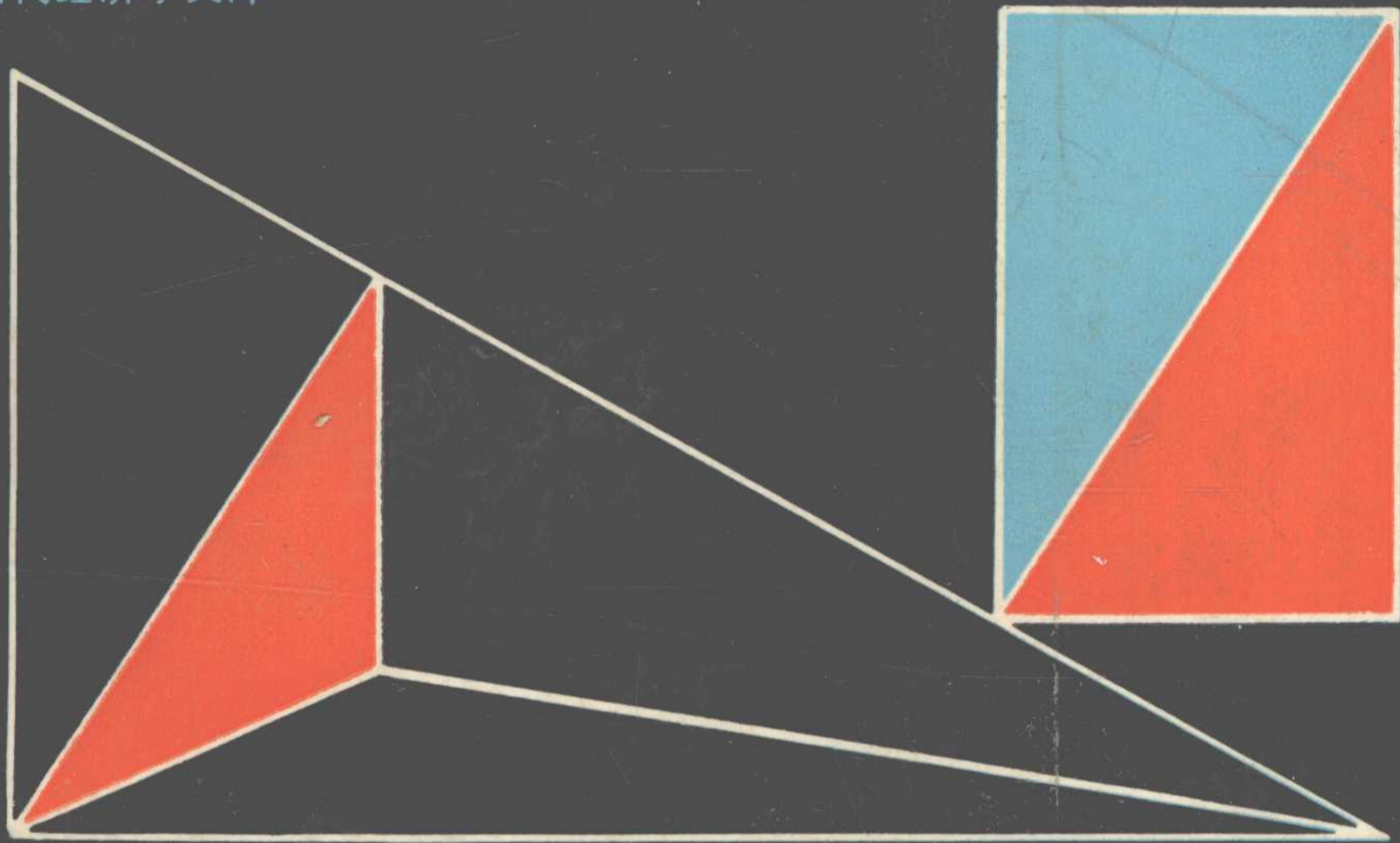


现代三大经济理论体系的 比较与综合

● 著者/樊纲

● 出版者/上海三联书店

当代经济学文库



在中国经济学家面前，摆着两个相互关联的重大理论课题：（一）如何正确地认识和评价当今世界上的各种经济理论及其相互关系，如何搞清与说明理论史上和目前仍然存在的各种理论之间的分歧和争论，如何摆脱和克服在理论比较中非科学的、教条主义的狭隘偏见？（二）如何掌握和利用世界上经济学的一切理论遗产和研究成果，建立、丰富、改进和发展适合我国需要的、科学的、现代化的经济理论体系，从根本上改变中国经济理论的落后状况（不仅落后于别人，也落后于我们自己的实践），使中国的经济学不仅成为一门真正的科学，而且真正成为实践的指导。这两个方面的课题，第一方面应该说是手段或前提，第二方面则构成最终的目的。


这些课题在新的形势下的紧迫性是显而易见的。中国实行改革开放之后，各种经济理论正在被引进；经济学家们正在开始将自己已经接触到的东西引入经济学论文；过去的「范式」正在被打破，而新的「范式」还未建立起来；属于不同经济理论体系的概念、术语和方法，开始被放在一起使用，有时是生硬的、不恰当的使用，并因此而在封闭之后，在

DANGDAI JINGJIXUE XILIE CONGSHU 当代经济学系列丛书

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综合

樊纲著
上海三联书店出版



同”，即分析不同的
或者如何可以某种
以某些理论的科学
正确，或者证明某
比如，有的人论证
便可以转化为凯恩
性质。所有这些研
利于经济各种经济
有利于经济思想的

主 编 陈 昕
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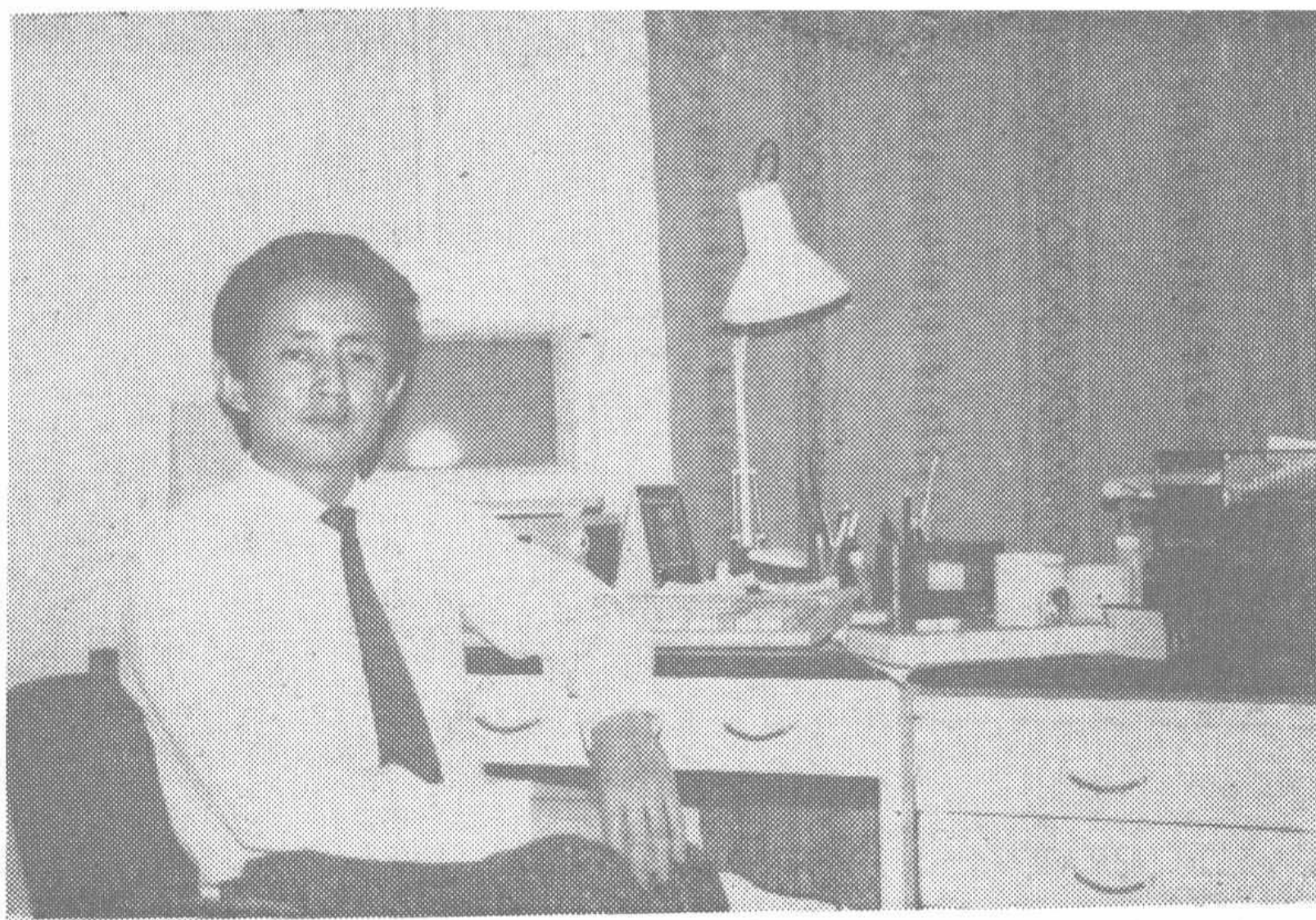
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作者介绍

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。

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 “main-

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

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，

是一个复杂的多面体，它不仅是人与人之间相互交往的社会关系，也是人们利用有限物质资源满足各种需要的物质生产活动。研究对象是多方面的，经济科学本身也就应该包括多方面的内容。一种经济理论，如果在一定的社会制度前提下对人与物的关系这一方面进行了深入的分析，提供了理解有关经济现象的理论和方法，把人类对这些问题的认识推向了前进，有利于解释和解决现实中的一些经济问题，它就具有一定的科学真理性，同样构成经济科学的一个组成部分。用“伪科学”之类的概念对其进行“定性”或区分，是不恰当的，也是不科学的。

另一种也曾颇为流行的观点是：马克思主义研究的是经济运动的实质（社会关系），而西方经济学研究的则是经济运动的形式（物质关系），因而前者揭示了经济现象的本质，而后者只能描述现象；西方经济学中起基