

# 奥地利学派

## 企业理论研究

项后军 著

A Research on the Austrian  
Theory of the firm

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## 内容摘要

在当前，现代企业理论经过几十年来的快速发展，经过了交易成本理论、资产专用性理论、契约理论、产权理论以及能力理论、知识理论等之后，现在正面临着怎样的发展和创新？而奥地利经济学经过了兴起、成熟、沉寂和再度的复兴之后，现在也面临着如何才能进一步地发展与创新？初看起来，这几乎是两个毫无关联的领域，但正是这两个领域的结合，现在已成为奥地利经济学中近十年来最重要的进展和最有活力的一部分。

但由于这一领域的研究发展较快，许多文献目前都还处于工作论文（Working Paper）的状态，涉及面既广且杂，很多研究思路彼此之间毫无关联性，所以至今这一领域尚没有对现有的研究进行系统的整合以及脉络上梳理并能对其进行冷静的分析和客观评价与反思的文献。本文正是针对上述问题所进行的一个初步的尝试。

本文考察了奥地利企业理论产生的原因，分析了它的研究视角、理论框架、理论基础、研究方法以及具体从哪些方面推动了企业理论的研究等等，指出了它存在的某些缺陷和问题，初步研判了这一研究的发展趋势。并认为纳入了奥地利经济学精神的企

业理论，对企业动态行为的某些特点可能会有更好一些的解释能力。

更重要的是，本文不仅仅只是研究了“基于奥地利视角的企业理论”，而是分析了这一研究对奥地利经济学本身的某些推进，更从这一研究中发现了奥地利学派中此前未曾出现的一些冲突和悖论现象。据此，本文进一步地分析了这些文献本身所未能完全意识到某些深层次的问题，并通过经济思想史的比较考察，认为有些问题触及到了奥地利经济学的理论内核。因此，本文认为，一个力图“嵌入了”企业理论的奥地利经济学，可能会面临着更多的挑战并需要更多地创新。

本文的研究思路是，将目前这些庞杂的文献按其大致的研究方向加以分类，并从各个研究方向中遴选出最有代表性的文献进行解读，然后再将这些研究方向体系化，理出一个整体上有着内在联系的逻辑进路，并在最后从既有的企业理论、奥地利经济学以及经济思想史三个方面来对奥地利学派企业理论进行全面地比较研究并提出自己的观点。

本文的结构共分为八章：第一章首先从当前企业理论中存在的一些问题入手，分析了奥地利经济学企业理论的缘起和其发展的内在动力。然后分析了奥地利经济学与企业理论内在的理论渊源。最后则讨论了奥地利经济学企业理论的研究视角、理论框架及其理论基础以及本文的研究思路、研究方法和可能的创新。

第二章则是从奥地利的秩序与规则理论出发来研究企业理论。首先简单地介绍了经济组织的哈耶克秩序理论基础，研究了组织秩序和市场秩序的区别和联系，以及不同秩序的规则的起源、演化和转化问题。其次，从秩序与规则演化的角度试图构建

一个打破企业——市场两分法的企业理论，将企业从均衡的结果转化为一系列互相作用的过程。并研究了企业形成秩序（惯例）的过程，讨论了企业是否会因此而丧失其组织特征这一问题。接下来，讨论了朗洛依斯和卡尼托等人基于秩序观对企业理论的研究。最后，则介绍了卡帕斯对奥地利秩序与规则理论的批判和反思，以及他据此提出的新的企业理论研究思路。

第三章研究奥地利知识理论对企业理论以及对奥地利经济学本身的启示。在前面的几节中，分别简要介绍了近似于奥地利知识传统几种企业理论以及由奥地利传统引发出来但却是从主流理论角度对企业理论所做的某些研究。在第四节中，介绍了明科勒对不对称信息模型理论的批评以及对分散性知识的强调，以及分散性知识问题对企业理论以及奥地利经济学的挑战。第五节介绍了福斯对知识经济时代分散性知识对权威的挑战这一论断的反驳，以及福斯利用米塞斯的比较经济体制理论对知识经济背景下的权威机制所做的辩护，以及对企业中导入价格作用等混合协调机制的批判。接下来，则通过对分散式知识和分布式知识的区分，进一步地深化了上面的论证。并认为这将不仅对企业理论而且将引发对奥地利经济学本身的一些定论的质疑。

第四章讨论了企业的试验本质，因为，无论是第二章的扩展秩序还是第三章的知识理论，其实质都是在刻画一个不断探索的适应（试验）过程。因此，我们首先分析了当前奥地利企业理论对试验过程的研究意味着奥地利经济学对经济试验研究对象的转换。其次，比较分析了经济试验的定义和作用，并将组织经济试验与企业理论联系在一起。再次，我们提炼出了奥地利组织试验的产权理论基础。接下来，则研究了福斯为奥地利资本异质性理

论建立的一个微观的基于动态的产权观的分析框架，以及它对企业理论的试验本质的关键作用。随即我们还讨论了企业的生产协调和组织创新的试验本质，并论证了企业之所以存在，正是因为企业比起市场能更好地从事这样的试验活动。最后，我们将所有这些研究的出发点或者说企业试验的出发点归结为企业家的判断作用，并论证了企业家判断仍然具有试验的本质，企业就是能更好地组织并实现企业家判断的试验主体。

第五章中，我们论证前面的几章，其实都可以纳入到一个更为基本的市场过程——企业家精神理论的理论背景中。首先，我们论述了市场过程中的企业家精神与组织理论的关系。然后，我们研究了在非均衡框架中，零交易成本假设下企业是否能够存在的问题，以及为什么奥地利的企业家理论需要一个企业理论作为其理论支撑。接下来，我们介绍了一个试图通过以市场过程理论为基础来整合现存的企业契约理论和企业能力（演化）理论的研究。最后则论及了一些其他的观点。

第六章则是对奥地利经济学中一些无法归纳到前面的逻辑主线中的其他论题进行了研究，首先是米塞斯的人类行动学理论、奥地利的认知理论以及米塞斯在社会主义计算辩论中的观点（市场的参照系问题）以及拉赫曼的生产理论等。随后，我们研究了华人经济学家托尼·俞基于米塞斯的人类行动学和拉赫曼生产协调问题对企业协调（认知）理论的研究。接下来，我们研究了福斯对企业作为一种认知实体的研究。最后，则基于米塞斯的市场参照系理论对企业的限度问题进行了分析。

第七章和第八章是本文的重点内容，在第七章中，我们着重对奥地利学派的企业理论研究工作进行了一个系统的总结性回

顾，特别是对这一研究的成败得失进行了较为深入客观的评价，分析了奥地利经济学企业理论研究中的某些特有的优势和局限性；第八章则从现有奥地利学派对企业理论的研究工作出发，反过来对奥地利经济学本身进行了重新思考，不仅讨论了企业理论研究对奥地利经济学的正面推动，而且还讨论了这一研究中出现的一些彼此矛盾之处以及部分文献在研究过程中与奥地利经济学某些定论产生的冲突，并研究了某些文献一边坚持其方法论立场，一边又对主流经济学做出令人意外的妥协、让步甚至“辩护”等在以往的奥地利经济学的发展史上几乎从未出现过的问题，并进一步探讨了某些深层次的问题，提出了一些自己的看法。

**关键词：**奥地利经济学；企业理论；人类行动学理论；市场过程理论；企业家精神



## Abstract

During recent decades, the modern theory of firm has undergone rapid improvement – through Transaction cost theory, assets specialization theory, contract theory, property right theory and knowledge theory – what will be its improvement or breakthrough in future? Having run through the course of rising, prosperity, decline and revival, Austrian economics also confronts the same question. These two domains seem to have nothing to do with each other at first sight. But to our surprise, it is the integrity of these two domains that brings about the greatest breakthrough in Austrian economics during this decade. And acts as the vital part of it.

However, the researches of this domain develop quickly, many literatures exist in form of working paper presently, which involves a lot of factors, and many streams of research have nothing to do with each other, so there don't exist documents in this domain so far, which can integrate and distinguish the present research systematically, and analyze and evaluate its contents im-

personally. This paper tries resolving above problems generally.

This paper analyses the Austrian theory of the firm, including its emergence, angle of view, theoretical frame and fundamental, research method, the aspects which promote the development of this theory, the flaws and trend of this theory, and argues that the theory of the firm which involve Austrian economic theory would not be the original theory of the firm.

More importantly, this paper argues that the research impulses the advance of Austrian economics, but also discloses the contradiction and inconsistency. This article hereby analyses some deep problems which still were not aware by present research, and argues that the problems touch the core of Austrian economics through researching the history of economic thoughts. Therefore, this paper argues that the Austrian economics embedding the theory of the firm will face with serious and important innovation, and probably appear the second renaissance.

The research idea of the essay is, sort these literatures according to their rough research directions, and choose representational literatures to interpret, then systematise these directions. gave them logic line an inherence relation, in the end we study the Austrian theory of the firm from theory of the firm, Austrian economics and history of economics thought to compare them and bring forward own point of view.

This essay will be divided into seven chapters: The first chapter will initially analyze the cause and inner impetus of the

theory of firm of Austrian economics proceeding from some problems of current theory of firm; secondly analyze the inner theoretical origin of Austrian economics and theory of firm, and finally discuss the research perceptive, theoretical frame and theoretical basis of the theory of firm of Austrian economics.

The first chapter will initially analyse the cause and inner impetus of the theory of firm of Austrian economics proceeding with some problems of current theory of firm , secondly analyse the inner theoretical origin of Austrian economics and theory of firm, and finally discuss the research perceptive, theoretical frame and theoretical basis of the theory of firm of Austrian economics.

The second chapter will study the theory of the firm proceeding from the theory of order and regulation in Austria. First of all, it will briefly introduce the theoretical basis of economical organization, study the distinction and connection of organization order and market order, the origin, evolution and transformation of different orders. Secondly , it will try to construct a theory of firm which has broken the train of thoughts of firm - market dichotomy from the perceptive of the revolution of order and regulation, so that firm will be transformed to series of interacting process from result of equilibrium; study firm's process of development from coming into being to bringing about order; discuss whether firm will lose its organizational features due to this. Next, it will discuss other people's research forenterpris according to the perceptive of order such as Langlois \_ and Khalil. Fi-

nally, it will introduce Kapas 's criticism and introspection of the Austrian theory of order and regulation and his trains of thoughts of constructing a new theory of the firm. The third chapter will study how Austrian knowledge theory and Hayek's knowledge theory inspire Austrian economics itself.

It will firstly briefly introduce some present researches on theory of the firm from the point of view of Austrian knowledge theory and its plasmodium. The second section, it will introduce Minkler's criticism on asymmetrical informational model theory and his emphasis on decentralized knowledge and analyse focally the challenge of decentralized knowledge against theory of firm and promoted by him.

The third section will introduce Foss's refutation against the thesis of decentralized knowledge challenge against authority under the background of knowledge economy by way of surprising using Neo-classical theory and Mises's criticism on mixed mechanisms, and his criticism on multi-layered coordinating mechanisms. Next, it will further deepen the criticism above through the reflection of the distinction and connection between decentralized knowledge and distributed knowledge, discuss again the questions researched above on the base of distributed knowledge and show the opinion that the new symposium will challenge both theory of firm and Austrian economics.

The fourth chapter will discuss the experimental essence of firm for both the order of expansion in the previews chapter and

the knowledge theory in the third chapter are essentially depicting a adapting course of continuous exploration. First of all, we hold the research for the course of experiment in Austrian theory of firm suggests the change of object of economical experiment in Austrian economics. Secondly, it will compare and analyse the definition and function of economical experiment, then combine the organizational economical experiment and enterprise theory. Next we will study how Foss construct the theoretical base of a microcosmic and dynamic view of property right for the capital theory of Austria, especially the unusually quality capital theory and this attempt's crucial function for the experimental essence of theory of the firm. Still next we will discuss the experimental essence of firm's manufacturing coordination and organizational improvement and prove that the reason for the existence of firm is that firm is much better at this kind of experiment than market. Finally, we will attribute all the standpoints of these researches or the impetus of firm's experiments to the entrepreneur's function of judgement, prove that the entrepreneur's judgment is essentially experimental and that firm is the experimental object carrying out the entrepreneur's judgement.

In the fifth chapter, we will discuss the previous chapters with special cases about every more essential market process entrepreneurship theory and then naturally push the discussion of theory of the firm to the theoretical frame of market process. Firstly, we will discuss the entrepreneurship in market process

and the relationship between knowledge and real ignorance. Then we will study whether a enterprise can survive with transaction cost in a equilibrium frame and why Austrian entrepreneurship theory need a theory of the firm as its theoretical support. Then we will discuss Lachmann's question in Austrian economics and the relationship between firm and market. Next we will introduce a research which integrate the present construct theory and entrepreneurship theory based on the market process theory. Finally, we will discuss some other opinions.

In the sixth chapter, we will study other propositions in Austrian economics which can't be summed up into the main thread of logic above. Firstly, they are Mises Praxeological Theory, Austrian cognition theory and Lachmann's manufacturing theory and question of coordination etc. Soon afterward, we will study the Chinese conomist Tony. Yu research on coordination theory based on Mises Praxeological Theory and Lachmann's manufacturing coordination question. Next we will study Foss's research which treat enterprise as an cognitive substance and the research on other Austrian cognition theory of the firm. Then we analyse the question based on Mises's system of reference theory.

the seventh chapter and the eighth chapter are the most important content, In the seventh chapter, we will carry out a systematic and summarizing retrospection and introspection, especially estimating objectively the research carried out by Austrian school, point out and discuss some deep level questions and pro-

mote some opinions of my own. In the eighth chapter, we argues that the research impulses the advance of Austrian economics, but also discloses the contradiction and inconsistence. This article hereby analyses some deep problems which still were not awared by present research, and argues that the problems touch the core of Austrian economics through researching the history of economic thoughts.

**Key words:** Austrian economics; Theory of firm; Praxeological Theory; Market Process; Entrepreneur's Theory.

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