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导 言

所有制是社会经济制度最基本的组成部分，所有制的性质决定社会经济制度的性质。所有制理论是马克思主义理论的最重要的组成部分，所有制结构的再造和变迁是社会主义经济实践的重要内容。

1978年党的十一届三中全会前一段时期里，社会主义社会除公有制经济外，不允许其他经济成分存在和发展，在我国社会中形成了“一大二公”的所有制结构。党的十一届三中全会后，实行改革开放政策，不断发展社会主义商品经济，在社会主义经济结构中出现了公有制以外的多种非公有制经济成分，以及公有制经济与它们的合作、联合等多种经济形式。社会主义社会的这一新的经济现象日益显现，引起了理论与实际工作部门同志的广泛关注。八十年代初，我的导师王永锡教授在研究《资本论》的研究对象时，提出了社会生产关系包括主体生产关系和从属生产关系，《资本论》的研究对象是资本主义社会的主体生产关系以及和它相适应的从属生产关系和交换关系的观点。八十年代中期，针对社会主义社会经济中所出现的多种经济成分的实际，结合邓小平同志提出的“两个主体”的观点，即在公有制为主体的前提下发展多种经济成分，在按劳分配为主的前提下实行多种分配方式，在导师的主持和指导下，我们开始比较集中地对社会主义初级阶段的公有制与其他非公有制的性质、地位和相互关系及

其发展演变，从理论与实际两个方面进行了研究和论述，较为系统地概括了马克思主义关于主体经济的理论。

九十年代中期以后，我国国民经济实现了“软着陆”，所有制改革进入了对国有经济进行结构性调整，对国有企业实施战略性改组，建立和完善现代企业制度的新阶段。社会主义社会经济实践的进程，证明了研究和发展马克思主义关于主体经济的理论的重要意义。

在研究的过程中，我力求从以下四个方面对马克思主义的所有制理论，特别是主体经济理论进行进一步的探索，一是以中华人民共和国成立后，我国社会所有制结构变迁为主线进行分析，从我国当代所有制结构变迁与社会经济发展的相互关系的研究中，进一步证明“任何社会经济都不是纯而又纯的，而是主体经济与从属经济并存的复杂经济结构”这一基本原理；二是对九十年代中期后，我国所有制改革的理论和实践进行总结和概括，以丰富和发展马克思主义主体经济理论；三是在分析所有制结构变迁的过程中，尝试运用“制度分析”的方法，对不同阶段所有制结构变迁的特征、途径、绩效进行了分析；四是对知识经济条件下的所有制变化进行了初步的分析。

第一章 对马克思主义的所有制理论进行了阐述，这是分析研究中国当代所有制结构变迁的理论基础。在坚持“实现生产资料公有制是人类社会发展的必然趋势”这一马克思主义的基本观点的基础上，研究和阐述马克思主义关于社会经济中主体经济与非主体经济并存的基本原理。马克思和恩格斯在研究资本主义经济时，认为任何一种经济形态都不可能是纯粹的，而是复杂的、多样的经济形式并存；在多种经济形式并存的社会经济中，有一种居于主体地位的经济形式；社会经济形态的性质是由居于主体地位的经济形式所决定的。长期以来，马克思恩格斯的这些基本观点被忽视，导致了实践过程中片面追求“一大二公”的纯而又

纯的社会主义社会所有制结构。深入研究并运用这一基本原理来分析中国当代所有制结构变迁具有重要的理论和实践意义。

第二章 《新民主主义时期的所有制结构变迁》，从所有制结构变迁的实践角度，分析新中国成立前我国社会所有制结构的特征，描述了新民主主义时期所有制结构形成的途径与方法，分析了由半殖民地半封建经济向新民主主义经济变迁的伟大意义和特点。认为建国初期社会经济制度变迁具有明显的强制性变迁、制度变迁与恢复和发展经济紧密结合、运用政治手段保证经济制度变迁的成果等特点，这是一次伟大的基础性制度创新，实践证明这一制度变迁总体上是成功的。

第三章 《社会主义时期所有制结构变迁》重点分析公有制经济在社会经济中地位的变迁，即在社会主义改造时期其地位由非主体经济转变为主体经济的途径、特点；生产资料社会主义改造基本完成后，多种所有制经济并存的结构向单一所有制结构变迁；改革开放时期公有制经济的调整 and 改革。社会主义改造完成后，我国的所有制结构总体上是比较合理的，促进了生产力的发展。由于对国情缺乏正确认识和指导思想的偏差，急于搞所有制的升级或过渡，非公有制经济被否定，给整个国民经济造成严重的消极后果。十一届三中全会后，我国的所有制结构又开始了新一轮的向多种所有制并存的结构变迁。

第四章 《国有企业制度变迁分析》重点分析计划经济体制下的国有企业，国有企业改革的变迁过程，国有企业制度创新等问题。我国国有企业制度是在高度集中的计划经济体制下形成和发展起来的，创建初期发挥了促进生产力发展的巨大作用，由于其制度演变是与不断强化的计划经济体制相适应的，其后果一方面束缚了国有企业的发展，另一方面制约了整个国民经济的发展；改革开放时期，对国有企业的改革进行大胆的探索，从扩权让利到承包经营，再到国有企业的制度创新，建立现代企业制

度，其变迁是与市场经济的发展相适应的。

第五章 《我国非公有制经济的发展》分析了个体经济、私营经济、国家资本主义经济的发展演变，及其在我国社会主义初级阶段存在的客观必然性、作用和不同的特点。

第六章 《马克思主义主体经济理论的发展》是在第二、三、四、五章对我国所有制结构变迁的实践过程进行分析的基础上，总结、概括随着实践发展进行理论探索和取得的成果，界定了社会主义社会的主体经济与从属经济、社会主义社会与社会主义经济等基本概念；认为突破把多种经济成份并存仅限于过渡时期、区分主体生产资料和主体分配关系、区分主体地区经济和非主体地方经济、一国两制等是邓小平对马克思主义主体经济理论的创新；全面认识公有制经济、大胆探索公有制的多种实现形式、对所有制结构进行战略性调整等是党的十五大的理论创新。

第七章 《知识经济条件下生产资料变迁的历史趋势》重点分析知识经济条件下社会生产力的深刻变化对生产关系的决定性影响。提出人力资本和知识资本化是知识经济发展的动力，生产要素在生产活动中地位的演变一定程度上决定生产关系的变化；知识经济与市场经济的结合，强化着所有制的社会化特征，说明我国社会以公有制为主体、多种所有制并存的所有制结构变迁的趋势，在知识经济条件下将不会改变。

本书及其附录是多年来学习研究的一些体会，社会主义社会所有制结构变迁是一个不断发展的过程，而自己的研究还远远不够，书中必然存在许多不足和缺陷，希望读者批评指正。

Foreword

Ownership is the most fundamental component of social economic system determining the nature of the latter. As ownership theory is the crucial component of Marxism, the rebuilding and transition of ownership structure comprises a significant part of the practical work in building the socialist economy.

Before the Third Plenary Session of the 11th Chinese Communist Party National Congress in 1978, there was a fairly long period during which China's ownership structure took the form of "the coexistence of a public one and two community ones", namely, there was exclusively public ownership and no existence of any other types of ownership at all. However, since the opening-up and reform policies were introduced in 1978, the merchandise economy has exhibited a remarkable pace of growth. China's socialist economic structure thus saw the springing out of various non-public ownerships and sorts of cooperation as well as their combination with public ownership. The increasing role of this new theoretical area invited the further research into the practical area of the theory. In the early 1980s, Prof. Wang Yongxi, my tutor, launched a research on the object studied in Capital. He proposed that the production relationship in a socie-

ty include a major production relationship and a subordinate one, and it was the major production relationship of capitalist society that was studied in Capital. As is well known, the late leader Deng Xiaoping once proposed the theory, Two Bases, which means developing various types of ownership based on public ownership, and meanwhile, adopting different sorts of allocation systems on the basis of distribution according the work. Based on that proposition and the fact that various types of ownership emerged in the socialist economy, we initiated a research on the Marxian major economy theory under the guidance and assistance of our tutor. In the mid 1980s, we intended to study the nature, the role, the mutual relations, and the development and transitions of the public and non—public ownerships in the preliminary stage of socialism in a relatively intensive way. We carried out the research and did analyses from both the theoretical and the practical perspectives, through which we summed up the Marxian major economy theory systematically.

From the mid 1990s, the national economy gradually entered a phase of “soft landing”, in which the ownership reform was fulfilled by restructuring state economy, strategically reorganizing state—owned enterprises, and establishing and improving the modern enterprise system. The striking development of socialist economy verified the significance of studying and developing the Marxian major economy theory.

This article is dedicated to furthering the research on Marxian ownership theory, especially the major economy theory, from the following four aspects. First focusing on the transitional process of China's ownership structure since the foundation of the

People's Republic of China. It is based on the research of the mutual relations between the ownership structure transition in modern China and the development of social economy. This part is to prove the basic principle that "None of the social economy is pure. Rather, there is always a complex economic structure in which major economy and subordinate economy coexist." Second, summing up and generalizing the ownership reform since the mid 1990s from both theoretical and practical perspectives, with the purpose of improving and developing the Marxian major economy theory. Third, attempting to study the characteristics, methods, and results of the ownership structure transition in different stages by employing the "institutional analysis" method. Finally, carrying out an initial analysis on the ownership transition in the background of knowledge economy.

Chapter 1 A Brief Introduction to Marxian Ownership Theory

This chapter is devoted to illustrating the Marxism Ownership Theory, which serves as the theoretical basis of analyzing the ownership structure transactions in China. From Marxism we can learn that the ultimate aim of society is to realize the public ownership of productive resources. Based on this principle, the essay tries to study and explain the coexistence of major economy and subordinate economy in the social economy. In Marx and Engle's study of capitalist economy, they agreed that none of the economies is of a single type. Instead, all of them are complicated and take the form of several types. Furthermore, there must be a certain dominant economic type, which decides the nature of the social economy. For a long period of time, theses

fundamental principles of Marx and Engle have been neglected. This may well explain why there was along period in china in which we pursued an ownership structure characterized by an absolute socialist style. From this we can see both theoretical and practical importance of carrying out a further study of and applying this basic principle while we are studying Chinese ownership structure.

Chapter 2 Changes in Ownership Structure during Neo — democratism Period

Starting from the actual process of ownership structure transitions, this chapter describes the characteristics of Chinese ownership structure before 1949, records the means through which the ownership structure in neo — democratism period came into being, and also explains the significance and characteristics of the transfer from feudal economy to neo — democratism economy. In the years following the founding of the People's Republic of China, the transfer of social economic regulations, which were closely related to the recovery and development of economy, turned out to be compulsory. What's more, the transfer of economic regulations was reinforced through political means. Regarded as an innovation of the fundamental regulations, the transfer in general has been proved successful.

Chapter 3 Transition of Public Ownership Economy in Socialist Period

This chapter is mainly concerned with the transfer of roles of public ownership in social economy, that is, the process and characteristics of the change from original subordinate economy to major economy, the transfer from multiple ownership to sin-

gle ownership after the socialist reform of production factors, and the modification and reform of public ownership during the opening up and reforming period. Since the socialist reform, the ownership structure as a whole took on a favorable look and facilitated the development of production force. However, due to an incomplete knowledge of the national situations and the inappropriate guiding principles, we were then impatient to upgrade or to transfer the ownership, which resulted in the complete denial of non—public economy and cost the national economy a great deal. Fortunately, the Third Plenary Session of the 11th Chinese Communist Party National Congress in 1978 initiated another turn of transfer, and China once again saw the coexistence of various types of economy.

Chapter 4 Analysis of Changes in State—Owned Enterprises System

This chapter is devoted to the state—owned enterprises in planned economy, the reform of them, as well as the regulation innovations in them. As we know, the state—owned enterprises in China were established and developed in a highly centralized planned economy. In the early stage of their development, these state—owned enterprises made great contributions to the development of China's economy. However, the planned economy was further strengthened in the meantime. Consequently, the development of these state—owned enterprises was hampered on the one hand. And on the other hand, the development of national economy was also impeded. During the period of open—up and reform, great progress has been made in the reforming of these state—owned enterprises. We are glad to see great changes that

match the market economy have taken place in these enterprises: power transferred to lower levels, profits distributed in a much larger area, regulation innovations made from time to time, and more enterprise economic structures being established successfully.

Chapter 5 The Development of Non — public Economy in China

This chapter analyzes the development of private economy, individual economy and national capitalist economy, and the necessity, functions and characteristics of their existence in the preliminary stage of socialist society of China.

Chapter 6 The Development of Marxist Theory of Major Economy

This chapter summarizes the results and achievements obtained through theoretic research and practice based upon the discussions of chapters 2, 3, 4 and 5 and upon the analysis of the process of the changing ownership structure in China. It defines and distinguishes several basic concepts, such as the major and auxiliary economies of socialist society, the socialist economy, and the economy of socialist society. It releases the restrictions that the coexistence of multi-ownership structure can only occur in the transitional period. It also distinguishes the major production relations and major distribution relations, and the economy of major regions and that of non — major regions. It maintains that the theory “one country, two systems” is Mr. Deng Xiaoping’s innovation to Marxist theory of major economy, and that the strategic adjustment to the ownership structure of China, which is based on a thorough understanding of the economy

of public ownership and the exploration of the various forms of realizing public ownership, is a theoretical innovation of the 15 CPC Congress.

Chapter 7 The Historical Trend of Production Relations Transition in Knowledge Economy

This chapter focuses on the crucial impact of dramatic changes of social productivity on the production relations under the condition of knowledge economy. It concludes that the capitalization of human resources and knowledge is an impetus of the development of knowledge economy, that the changing position of production factors in the production activities is ascribed to the changes of production relations, and that the combination of knowledge economy and market economy reinforces the social characteristics of ownership structure, which implies that the changing tendency of ownership structure of China—the coexistence of multi—ownership with the public ownership as domination—remains the same under the condition of knowledge economy.

第一章 马克思主义的所有制理论

所有制理论是马克思主义理论的重要组成部分，建立和完善社会主义公有制是社会主义经济实践的重要内容。马克思和恩格斯关于社会主义社会基本特征的论述，对未来社会所勾划的一幅粗线条的蓝图，由于历史条件的局限，带有理论预测的性质。因此，后来的社会主义实践者对究竟怎样建设社会主义，怎样建立和发展社会主义公有制经济这个问题并不十分清楚。无论是第一个社会主义国家苏联，还是中国，在建立和发展社会主义公有制经济的实践中，都出现了公有制建立之初，国民经济同步增长；公有制经济向单一结构发展，国民经济就暴露出种种弊端；改革所有制结构，国民经济获得较快发展的历史现象。由于这种现象的存在，在改革公有制经济的过程中，又出现了全面否定公有制，鼓吹私有化的倾向。

中国共产党人面对所有制改革的实践课题和各种挑战，坚持马克思主义基本原理，在实践中重新认识和发展了马克思、恩格斯在分析资本主义经济时所形成的主体经济思想。马克思关于主