

资源转换论

西部民族地区资源优势转换的经济学分析

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序

资源转换问题和资源配置问题如同“车之两轮、鸟之两翼”，是现代经济学研究中的两个不可或缺的重要内容。但长期以来资源转换没有像资源配置那样引起学者们足够的重视。对于转型中的经济体，尤其对中国西部民族地区这种资源富集而经济发展滞后的地区来说，资源的有效转换比资源的优化配置更显紧迫。基于这种认识，作者以全球性的资源短缺、能源危机现状为背景，从可持续发展角度出发，运用经济学优势理论，来建构资源转换理论框架，并据此对民族地区资源优势转换的路径和模式进行了深入系统的探讨。

作者指出，改革开放以来，尤其是进入新世纪以来，中国经济发展步入了快车道，连续保持高速增长，经济实力显著提高，人民生活水平明显改善。但与此同时，也出现了区域经济发展不平衡，东西部发展差距日益扩大的趋势。西部民族地区具有很大的资源优势和发展潜力，但为什么长期以来经济发展却一直滞后呢？作者认为，其中最根本的就是西部民族地区在经济发展过程中未能将其固有的优势保持住，以至在经济发展的优、劣势转换及其动态发展变化中陷入了被动状态。从资源角度看，主要是：把资源只限定在自然资源范围之内，把资源

开发只当作矿产资源的简单开采的狭隘资源观，导致忽略其他资源的开发和利用，制约了资源优势有效地转化为其它优势；资源产权制度安排的不合理性，影响了多种所有制经济共同发展；资源产业本身引起的重型产业结构以及资源产业经营的垄断性，制约了经济结构的优化和市场竞争；资源的价格扭曲导致了西部民族地区贸易条件恶化和“利润双重流失”现象；资源开发中的盲目投资、无序状态导致了生态破坏、环境污染等外部性的产生；不完备的 GDP 核算体系和不科学的政绩观，导致了政府决策的急功近利和发展战略的短期化现象等等。总之，西部民族地区出现“富饶的贫困”现象的根本原因是未能把资源优势转换成经济优势。

“转换”的含义较为广泛，包括交换、重新整合、功能改变等意思。资源经济学认为，经济的本质是将资源转换为生存资料。所谓资源转换，就是输出本国或本地区优势资源，换取其它国家或地区的优势资源，以促进本国或本地区生产水平的提高；或者利用本国本地区的优势资源，吸引其他国家或地区的资源，进行生产的空间组合，形成现实的生产力，以达到经济可持续发展的目的。资源优势主要是指资源禀赋的绝对优势和比较优势，但这种优势只是一种潜在的优势，把它转化为集聚、竞争等经济优势还需要具备各种条件和环节。如资源价值如何体现、资源结构如何转换、资源优势如何整合以及资源开发模式如何创新等等。本书在现有的资源优势分析及相关研究的基础上，以马克思主义经济学理论为指导，综合运用国际经济学、区域经济学、发展经济学以及新制度经济学和新空间经济学的视野、理论和方法，对民族地区资源与可持续发展方面的一系列问题，尤其是对

资源优势转换的若干命题进行多角度、多层面的综合研究，提出了一些新的独到见解。主要有：

(1) 通过对经济学中的各种优势理论进行归纳梳理，初步建立了以制度优势、比较优势、区位优势、竞争优势、集聚优势和后发优势为主要内容的经济优势理论框架。第一次对马克思主义经济学的制度优势观与新制度经济学的制度优势观进行比较分析，提出了“马克思主义的制度优势观对民族地区经济发展具有直接而现实的指导意义”的论断。

(2) 在马克思劳动价值理论和地租理论基础上，吸收经济学价值理论研究的最新成果，结合新经济现象，对资源概念、资源价值与价格以及资源优势进行重新审视，提出了资源价值是由资源的存在社会价值、潜在社会价值、现实社会价值、重置社会价值和虚假社会价值构成的观点。并据此来解释在资源转型即资源向商品转化过程中价值变形所导致的“产品高价、原料低价、资源无价”等资源价值不能正常体现的现象。

(3) 在科学的资源观和发展观指导下，运用经济学优势理论，分析资源优势及资源转换问题，建构了以资源价值变形、资源结构转换、资源优势整合和资源开发模式创新为核心内容的西部民族地区资源优势转换理论。

当然，本书专门以资源、资源优势及资源优势转换为研究对象的理论著作，还有诸多需要进一步深入研究和完善的问题，如资源优势转换理论涉及到政治经济学、资源经济学、国际经济学和生态学以及系统理论等各方面的综合知识与比较研究；西部民族地区“富饶的贫困”原因，需要从多种角度综合分析；资源价值的确定也需要进一步量化研究等等。我相

信，对这些问题的深入细致的研究，将会推动资源优势转换理论的进一步完善。

胡钧

2006年国庆节于中国人民大学

摘 要

本书由导论、正文四章及结论部分构成，前两章为理论分析，后两章为应用分析。各章内容提要如下：

第 1 章导论部分，首先介绍本书的选题背景、研究价值、具备的条件、研究难点和创新之处，并界定了相关概念；其次对国内外有关资源优势转换方面的研究状况进行综述并作了简要的评述；最后对本书所采用的研究方法和结构框架进行了说明。

第 2 章针对本书研究需要，通过对经济学优势理论进行梳理，归纳出政治经济学中的制度优势论、国际经济学中的比较优势论、区域经济学中的区位优势论、产业经济学中的竞争优势论、集聚经济学中的集聚优势论和发展经济学中的后发优势论六大经济优势理论。这些理论相互联系、互相配套、形成体系，为本书的资源优势及其转换的经济学分析提供了理论模式和研究视角。

第 3 章主要阐述了资源优势理论。首先以可持续发展观，对国内外现行多种资源概念进行辨析，划清资源与非资源的界限，提出了比较完整、合理的资源定义。这对以资源为基础概念的本书而言是题中应有之义。因为，只有对资源概念进行科学的界定，才能把握资源的本质和特点，正确认识其优势和劣势，从而为揭开资源“价值之谜”打下基础。在此基础上，探

索确定资源优势的判断方法，重新概括了资源优势的特征以及变动规律。其次，对劳动生产率、市场规模及贸易条件、资本形成和制度安排等制约资源优势转换的诸因素，进行深入分析后发现，正是这些因素互为因果、相互作用，形成恶性循环，最终变成了民族地区资源优势向经济优势转化的瓶颈。最后，构建了以资源价值变形、资源结构转换、资源优势整合和资源开发模式创新为核心内容的资源优势转换理论。其中，资源价值论涉及的主要是基础理论层面上的问题，因为只有阐述清楚资源价值的内涵和源泉，才能找到资源优势及其转换的路径。资源结构论主要涉及资源优势转换的微观操作层面或宏观调控层面上的问题，经济发展本身就是国民收入的增长和经济结构的升级过程，而这一过程，只有在优化的资源结构基础上才能实现。资源结构论是资源优势转换理论的重要环节，不进行结构分析，就无法选择路径。资源整合论是属于资源优势转换的方法论层面上的问题，主要解决资源转换的方式和途径。资源开发论主要涉及资源优势转换的具体问题，重点探索资源转换的模式创新和具体路径。

第4章在科学资源观指导下，运用经济学优势理论和资源优势转换理论，对西部民族地区优势资源与资源优势进行了实证分析。首先，对民族地区资源禀赋现状及其优势进行了分析和判断。其次，对贫困的概念、标准与度量以及对民族地区的贫困状况进行描述。再次，对民族地区“富饶的贫困”现象进行了经济学分析。最后，通过个案分析，总结了国内外资源优势转换的经验教训。

第5章主要运用经济学优势理论与本书所构建的资源优势转换理论，结合民族地区的资源特点和经济发展实际，提出了

以更新观念、创新制度，调整结构、转变经济增长方式，整合区域优势、提高竞争力、发展特色经济等内容为重点的西部民族地区资源优势转换的新模式与路径选择。

本书研究中存在的主要不足和进一步研究的问题包括：一方面，资源优势转换理论涉及到政治经济学、资源经济学、国际经济学和生态学以及系统理论等各方面的综合知识与比较研究。由于本人的知识结构和条件所限，遇到跨学科的理论问题时，未能很好地从实证的角度透彻分析；另一方面，由于西部民族地区的统计资料欠缺和这方面研究的滞后，一些问题的判断和看法，需要更加长期深入地研究。而这方面问题的深入细致的研究，将会推动资源优势转换理论的进一步完善。

Abstract

The resource transformation and resource distribution are of equal importance, just like the two wheels of the car or two wings of the bird. However, for a long time economists haven't been concerned about the resource transformation as much as about resource distribution. As a matter of fact, the former is more urgent than the latter for the transferring economic structure, especially in the western minority nationality areas with rich resources. With the superior resources of the ethnic areas as research background and from the angle of the sustainable development, this dissertation mainly discusses the ways and models of economic transformation in ethnic areas, setting in the ethnic areas which are rich in resources and applying the superiority theory of economy.

Since the reform and opening up, especially entering the 21st century, China's economic growth has been accelerated and kept the high speed. Consequently, the economic strength has been enhanced, and people's living standard has been obviously improved. Whereas, the tendency has appeared that regional economy grows unbalanced, and the economic gap between the eastern and western areas become increasingly larger. Why have these areas with resources superiority been falling behind in economic growth? Among

the numerous reasons, the basic one is that these areas cannot maintain their dominance in resources, hence, they have been developing passively in the transformation between advantages and disadvantages and the dynamic process of economic growth. As to the resources, narrow view of resources lead the authorities to only focus on the single exploitation of natural resources and ignore the exploitation of other resources without transforming the resources superiority into others; the irrational assignment of property right system of resources affects the development of various economic forms of ownership; the heavy industrial structure and its monopolization caused by industries based on resources limit the optimization of the economic structures and market competition; the distortion of resources price worsen the conditions of trade and the benefits loss in these areas; the blind and disordered investments in resources exploitation destroy the ecology and environment pollution; the incomplete accounting system of GDP and unscientific view of official achievement result in the eagerness for quick success and instant benefit and short-term developing strategies in the government decision-making process. In short, the "rich poverty" in western areas of minorities nationalities is caused by the failure of turning resources superiority into economic advantages.

Transformation has broad implications, including exchange, recombination and function shift and so on. As far as the resources economics is concerned, the nature of economy is to transform resources into living materials. The so-called resources transformation means to export the preponderant resources of the country or the re-

gions for those superior resources from other countries or regions in order to hasten the productivity of the home or the regions themselves; or means to attract other resources abroad and from other areas with the native superior resources for the space combination of production and the realization of practical productivity for the purpose of sustainable economic development. The resources superiority mainly refers to the absolute and relative superiorities, but the superiority is only potential, and various conditions and factors are required like the embodiment of resources value, the transformation of resources structure, the integration of resources superiority and the style innovation of resources exploitation to transform it into the economic superiority such as centralization and competition and so on.

On the basis of the analysis of present resources superiority and relevant researches and under the guidance of Marxism economics, the dissertation conducted a multi—aspect original research on a series of issues of resources and sustainable development of western areas, especially the subjects of transformation of resources superiority and achieved some new improvement, applying the theories, international economics, regional economics, development economics, nationalities economics and the advanced achievements of new space economics, new system economics.

Firstly, all superiority theories of economics are summed up in the dissertation and the theory of economic superiority is established, whose main content includes system superiority, comparison superiority, regions superiority, centralization superiority and later superiority. For the first time, the system superiorities between

Marxism economics and new system economics are compared and analyzed, and the conclusion is drawn that the superiority view of Marxism system has practical significance of guidance for the economic development of areas of minority nationalities.

Secondly, on the basis of theory of Marxism labor value and the theory of land tax, latest achievements of theory research of economic value, and new economic atmospheres, the dissertation reanalyzed the concept of resources, the value and price, and the superiority of resources, and put forward a new point that resources value is composed of the existing social value, potential social value, practical social value, reassignment social value and false social value. On its basis the reasons are found for the phenomena that the resources values cannot be embodied normally such as high price of products, low price of raw materials and invaluable resources as a result of the value distortion during the process of resources transformation, namely, the transformation process of resources to commodity.

Aiming at the study of resources superiority transformation and the reasons for the unacceptable resources values, on the basis of theory of Marxism labor value, the dissertation discussed the various stages of the formation of resource value and put forward the viewpoint that resource value is composed of society value, reality society value, value reassignment, and false social value, and accordingly explain the reasons of value deformation, which leads in the unable reflection of resource value to become valueless during the transformation of resource, e. g. from resource to commodity.

Under the guidance of scientific view of resources and development, the resources superiority transformation theory with the core of resources value transmutation, resources structure transformation, resources superiority integrity and the style innovation of resources development with the application of superiority theory of economics and the analysis of resources superiority and transformation.

The dissertation consists of introduction, body part composed of four chapters, the first two of which are on the theory analysis and other two of which are on the analysis of theory application, and the conclusion part.

The first chapter, introduction part, introduces the background of subject selection, research value, conditions available, problems encountered and original points and define some relevant concepts, summarizes the documents related to the theory of resources superiority transformation and the status quo of research home and abroad, explains the applied analysis methods and contents arrangement.

In the second chapter, six theories of economic superiority are summed up according to the superiority theory of economics, namely, system superiority theory of Plutonomy, comparison superiority theory of international economics, regional superiority theory of regional economics, competition superiority of industry economics, centralization superiority theory of convergency economics and the later superiority theory of development economics. All these theories are related to each other, applied as the theory bases and analysis angles for the economic analysis of resources superiority and its transformation discussed in the dissertation.

The third chapter mainly expatiated the theory of resources superiority. Firstly, the comparatively complete definition of resources is brought forward by distinguishing the concept and classification of resources abroad and at home and defining the resources and non-resources with the sustainable development view. Only with the scientific definition of resources concepts can the nature and features of resources be learned in order to clarify the advantages and disadvantages and unveil the mystery of resources values. As a result, the dissertation explored the approaches of confirming and judging the resources superiority and summarized again the features and alteration rules of resources superiority. Next, all factors affecting the resources superiority transformation were analyzed, such as productivity, market scopes, trade conditions, capital accumulation, system arrangement and so on. It is found that all these factors are related to each other, and causes a vicious circle which hinder the transformation from resources superiority to economic superiority in minority nationality regions. Last but not the least, the theory of resources superiority transformation is established with the core of resources value transformation, structure transformation, superiority integration, and resources exploration. Among these, the theory of resources value is theoretically analyzed, since the superiority cannot be realized before the resources value is clarified; resources structure theory tries to analyze the micro-operation and macro-adjustment. The economic growth itself is the increase of national income and the upgrade of economic structure, based on the optimization of resources structure. Therefore, resources structure theory is a key part

in resources superiority transformation. The approaches cannot be chosen without correct structure analysis. Resources integration theory mainly focuses on the methodology of resources superiority transformation, solving the problems in the methods and approaches in resources transformation. Resources exploitation theory mainly concerns the specific problems in the resources transformation and the exploration of the style innovation and specific approaches of it.

Chapter Four practically analyzed the superior resources and the resources superiority of western areas of minority nationalities with the guidance of scientific resources view and on the basis of theories of economic superiority and resources superiority transformation. In this chapter, the status quo and the superiority of resources in areas of minority nationalities are analyzed first, then the “rich poverty” phenomenon is analyzed from the angle of economics. Then, taking Inner Mongolia Autonomous Region for example, the chapter analyzed and compared the resources superiority of these areas. Finally, the lessons of resources superiority transformation at home and abroad are summarized with specific examples.

With the application of economic superiority theory and resources superiority transformation theory, and the situation of resources and economic growth in these areas, Chapter Five put forward some patterns and approaches to transform the resources superiority of these areas through renovating notions, innovating system, adjusting structures, transforming means, strengthening competitive power, integrating regional superiority and developing economy of regional features.

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