

# 中国吕梁山区贫困问题研究

A Study of Poverty Issues in the Mountainous Areas of Lúliang, China

郭海亮

GUO, Hailiang

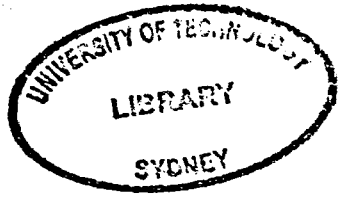
博士

PhD

悉尼科技大学

University of Technology, Sydney

2007



## CERTIFICATE OF AUTHORSHIP/ORIGINALITY

I certify that the work in this thesis has not previously been submitted for a degree nor has it been submitted as part of requirements for a degree except as fully acknowledged within the text.

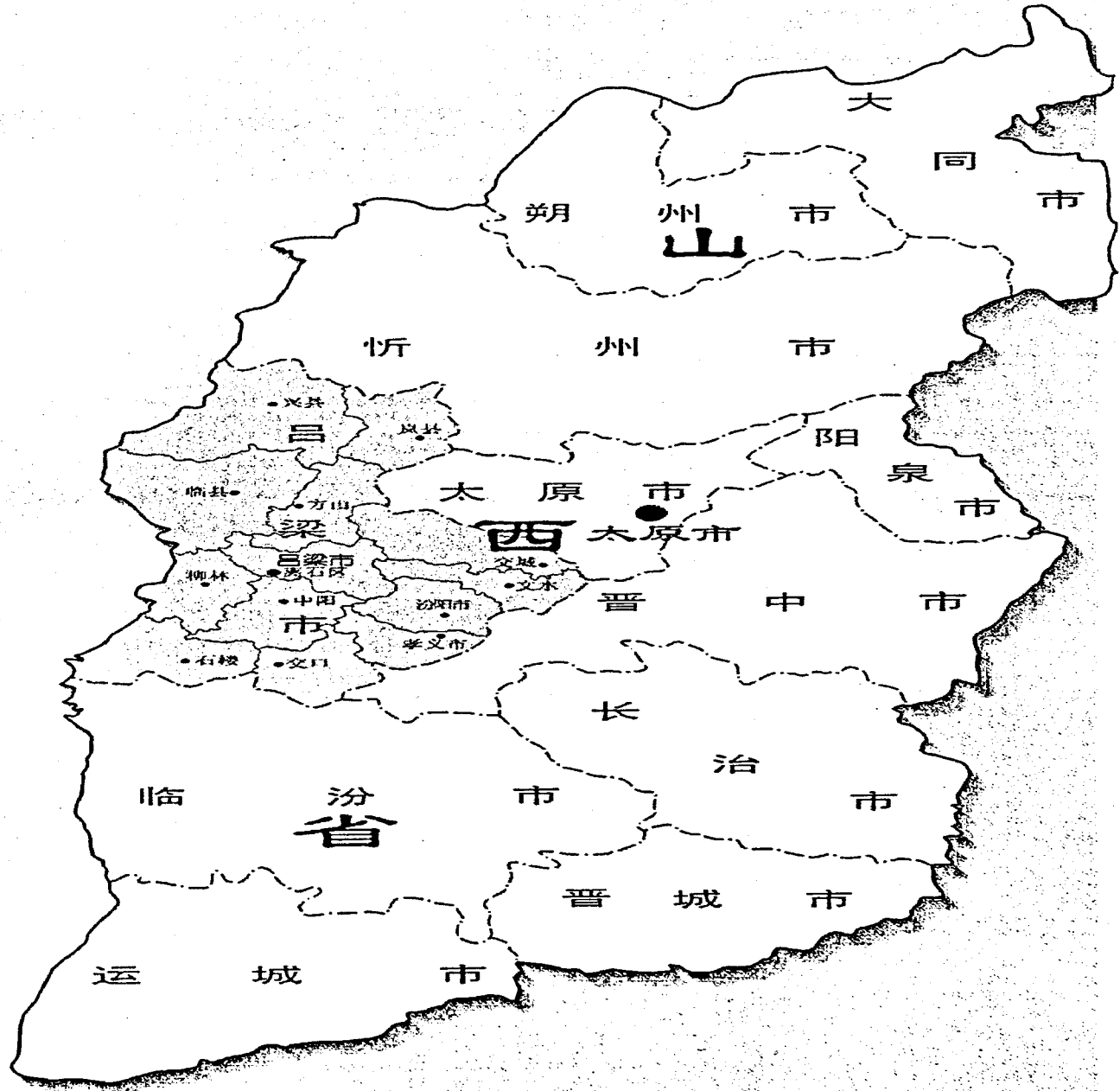
I also certify that the thesis has been written by me. Any help that I have received in my research work and the preparation of the thesis itself has been acknowledged. In addition, I certify that all information sources and literature used are indicated in the thesis.

Signature of Candidate

Production Note:  
Signature removed prior to publication.

2007.01.29.

# 吕梁市在山西省的位置



# 目 录

|                                |    |
|--------------------------------|----|
| 内容摘要.....                      | II |
| ABSTRACT.....                  | IV |
| 绪 论.....                       | 1  |
| 一、选题的学术价值.....                 | 1  |
| 二、选题的理论意义和实践意义.....            | 2  |
| 三、内容结构.....                    | 4  |
| 四、研究方法.....                    | 6  |
| 第一章 国内外关于贫困问题的研究.....          | 7  |
| 一、贫困的界定.....                   | 7  |
| 二、贫困的类型.....                   | 9  |
| 三 贫困的标准.....                   | 11 |
| 四 反贫困的理论.....                  | 14 |
| 五 反贫困的意义.....                  | 20 |
| 第二章 中国吕梁山区的贫困状况和贫困成因.....      | 21 |
| 一、中国吕梁山区概貌.....                | 21 |
| 二、吕梁山区经济和社会发展现状.....           | 23 |
| 三、吕梁山区的贫困状况.....               | 24 |
| 四、吕梁山区的贫困成因.....               | 27 |
| 第三章 扶贫开发的吕梁模式.....             | 33 |
| 一、中国扶贫开发的三个阶段.....             | 34 |
| 二、中国吕梁山区扶贫开发的历程.....           | 36 |
| 三、吕梁模式：“六基一控”+“一主三化”.....      | 38 |
| 第四章 中国吕梁山区反贫困斗争面临的新机遇和新挑战..... | 45 |
| 一、吕梁山区面临的国际机遇.....             | 46 |
| 二、吕梁山区面临的国内特殊机遇.....           | 48 |
| 三、吕梁山区面临的国内普遍机遇.....           | 51 |
| 四、吕梁山区面临的新挑战.....              | 53 |
| 第五章 中国吕梁山区反贫困斗争的战略规划.....      | 55 |
| 一、吕梁山区反贫困斗争的战略基础.....          | 56 |
| 二、吕梁山区反贫困斗争的战略目标.....          | 57 |
| 三、吕梁山区反贫困斗争的战略任务.....          | 58 |
| 四、吕梁山区反贫困斗争的战略部署.....          | 59 |
| 第六章 中国吕梁山区反贫困斗争的政策建议.....      | 62 |
| 一、关于吕梁山区反贫困斗争的思想认识问题.....      | 63 |
| 二、关于吕梁山区反贫困斗争的扶贫方式问题.....      | 67 |
| 三、关于吕梁山区反贫困斗争的优势发挥问题.....      | 68 |
| 四、关于吕梁山区反贫困斗争的软件问题.....        | 70 |
| 结论.....                        | 73 |
| 参 考 文 献.....                   | 81 |

## 内容摘要

中国吕梁山区位于山西省的晋西北、晋西、晋西南，自然条件十分恶劣，不适宜人类居住和生存。按中国政府人均年收入低于 625 元的贫困标准计算，吕梁山区现有贫困人口 180 万人，占总人口的 50%；按世界银行每人每天生活费用 1 美元的贫困标准计算，吕梁山区现有贫困人口 315 万人，占总人口的 90%。

迄今为止，中国尚没有全面系统地研究吕梁山区贫困问题的专著，也没有全面系统地研究吕梁山区贫困问题的研究报告，更没有从自然、经济、政治、文化规律出发，研究吕梁山区的贫困问题。本研究试图运用前人关于贫困问题研究的理论成果，把吕梁贫困山区的实际情况与中国政府的扶贫开发政策结合起来，总结吕梁山区人民反贫困斗争的历史经验，探讨吕梁山区人民在长期反贫困斗争中创造的扶贫开发模式，分析吕梁山区人民反贫困斗争面临的机遇和挑战，论证吕梁山区人民扶贫攻坚的战略规划和战略对策。

从学术研究的角度讲，本研究独一无二的首要原创性在于，这是作者几十年来从事反贫困事业的经验总结和理论概括。本研究广泛采用了作者长期以来在吕梁山区从事扶贫解困实践中所发掘、积累和掌握的丰富的第一手资料，将吕梁山区的贫困问题放在全球、全国视野中，以解决吕梁山区的收入贫困为主题对吕梁山区集中连片的贫困问题进行系统的探讨和论述，这是前人所没有做过的。

吕梁山区贫困的原因（如恶劣的自然环境）和社会性因素（如落后的人文环境），具有长期积累的顽固性，使吕梁山区的反贫困斗争不仅具有艰难性和复杂性，更具有长期性和反复性。本论文总结了吕梁山区在反贫困斗争实践中取得的阶段性成果，归纳出扶贫开发的吕梁模式：“六基一控”（改变农业基本生产条件，改善农村基础设施建设，发展农村基础产业，提高农民基本素质，加强农村基层组织建设，落实国家在农村的基本政策，严格控制人口增长）加“一主三化”（以发展私营经济为主，全面推进吕梁山区的工业化、城市化、现代化）。吕梁模式是吕梁山区近 30 年反贫困斗争中实施的举措，是吕梁山区近 30 年反贫困斗争的历史纪录，是对吕梁山区近三十年反贫困斗争实践的总结，是从自己的实际出发摸索创造出的实践经验，是吕梁山区从实际出发贯彻中国政府扶贫开发政策的产物，也基本符合中国中西部黄土高原地区的实际，对中国中西部欠发达地区的扶贫开发具有普遍的借鉴意义，或许还能为中国其它地区乃至世界范围内解决区域性贫困问题提供实证依据和做出示范。

本文的基本观点是：收入贫困是最终层次的贫困，是贫困的核心问题，是一切贫困问题的源头，消除收入贫困是解决一系列后序深层次贫困的基础，反贫困首先要消除收入贫困；

收入贫困问题，完全靠市场经济的力量解决不了，因为贫困山区的农民本身就是市场经济的弱者，政府必须承担起贫困山区贫苦农民的社会保障和公共设施建设的责任；贫困山区的贫苦农民，既是贫困的受害者和扶贫的受益者，又是反贫困斗争的主体，政府必须帮助他们解决教育、医疗、资金、技术等，提高他们自身的生存能力和发展能力，才能使他们最终彻底摆脱贫困；贫困山区贫困成因的两大基本因素——生态环境的极端恶劣和人文环境的极端落后所具有的历史顽固性，决定了反贫困斗争的长期性和反复性，政府解决贫困问题，不可能一蹴而就，不可能一劳永逸，必须长期坚持反贫困斗争；一个地区的反贫困斗争离不开国家的发展战略和国家的生产力布局；只有把贫困地区的反贫困战略和规划纳入国家的发展战略和国家的生产力布局，贫困地区的反贫困斗争才有可能卓有成效地进行下去，才有可能尽快地解决收入贫困问题；一个地区的反贫困也离不开外部世界的要素输入，只有外部世界的资本要素和技术要素输入贫困地区，其利益的诱惑力足可以改变贫苦农民头脑中的价值观时，足可以撬动贫苦农民为拥抱机会甚至不惜离开故土时，贫苦农民才会挣脱旧传统的桎梏，拚力和拼命同贫困作斗争；吕梁山区反贫困斗争所面临的问题和困惑，说明中国政府扶贫开发政策存在着某些缺陷和失误。

## Abstract

China's Lúliang Mountain Area is located in northwest, west and southwest of Shanxi Province, featuring a formidable natural condition hardly suitable for human livelihood. In the 1980s, according to the poverty standard set by the Chinese government with annual income per capita lower than 625 Yuan, Lúliang currently has 1.8 million poverty-stricken population, accounting for 50% of the total; according to the poverty line set by the World Bank with consumption of one US dollar per person per day, there are 3.15 million people living below the poverty line in this area, 90% of the total.

There is no book-length study on the poverty issues in the Luliang mountainous areas before. Taking a multi-disciplinary approach, this study is an attempt to investigate the poverty issues in the Lúliang mountainous areas in a systematic way, combining theoretical exploration and empirical research. It provides an account of the poverty alleviation endeavors in the Lúliang mountainous areas, including government policies and strategies and the practice of the local people.

A major aspect of the original contribution made by this study lies in the fact that it is based on the personal experience of the author as a leading local government official in charge of the poverty alleviation work for three decades. Over the years the author has accumulated rich first-hand material for research and many ideas have been put into practice.

In this study the "Lúliang Model" is put forward to sum up the experience of the poverty alleviation Endeavour in the Lúliang mountainous areas. This model is characterized by "Six Basics and One Control" on the one hand and "One Leading Position with Three Tasks" on the other. The term "Six Basics" refers to improvements in the six basic areas of agriculture production, rural infrastructure, rural industries, education and skills of peasants, grass-roots rural organizations, and the implementation of government policies at the rural grass-roots level; "One Control" refers to the strict control on population growth; "One Leading Position" refers to the strategy taking the development of private economy as the lead; and "Three Tasks" refers to industrialization, urbanization and modernization. Given that poverty in the Lúliang mountainous areas is an epitome of poverty in rural China, the Lúliang Model might be able to serve as a guide for the poverty alleviation endeavor in other underdeveloped areas of China.

The main arguments of the thesis can be summarised as follows: low income is the core of poverty and in final analysis elimination of poverty means an increase in income; reliance on market force cannot solve the problem of poverty, simply because poor peasants are disadvantaged in the market place; the government is responsible for the provision of social security and public infrastructure for poor peasants in the poverty-stricken mountainous areas; poor peasants in the poverty-stricken mountainous areas, in their position as not only the victims of poverty but also beneficiary of poverty alleviation, should receive assistance in developing their own capability to solve the problem of poverty; due to the poor natural and human conditions accumulated in a long history, poverty alleviation in Lúliang mountainous areas is a long-term struggle and can only be won through sustained efforts by both local people and the government; the problem of poverty in a poverty-stricken area cannot be solved without external input, such as investment, technology and human resources; the opportunities created by the external input are instrumental in changing some out-moded values of poor peasants and motivating them for the anti-poverty struggle; unresolved poverty issues in Lúliang mountainous areas are an indication that there is a room for improvements in the poverty alleviation policies of the Chinese government.