

失业 Unemployment

为什么研究失业? Why Study Unemployment

- 失去工作可能是一个人一生中最大的不幸
 Losing a job can be the most distressing economic event in a person's life.
- 决定一个国家生活水平的因素中,比储蓄更为显然的一个就是这个国家通常经历的失业量。 An even more obvious determinant of a country's standard of living than savings is the amount of unemployment it typically experiences.

为什么研究失业? Why Study Unemployment

• 总量生产函数:

$$Y = A F(L, K, H, N)$$

• 考虑失业率 (u):

$$Y = A F(L(1-u), K, H, N)$$

- 或者,用(人均)生产率表示:Y/L = A F(1-u, K/L, H/L, N/L)
- 失业率(u)上升导致生产率下降。

失业的种类 Categories of Unemployment

- 失业的问题通常分为两类。
 The problem of unemployment is usually divided into two categories.
- 长期问题和短期问题
 The long-run problem
 and the short-run problem:
 - 自然失业率

 The natural rate of unemployment
 - ●周期失业率

自然失业率 Natural Rate of Unemployment

自然失业率是即使在长期也不会自行消失的失业。

The natural rate of unemployment is unemployment that does not go away on its own even in the long run.

• 它是经济通常所经受的失业数量。
It is the amount of unemployment that the economy normally experiences.

周期性失业 Cyclical Unemployment

周期性失业指的是失业围绕其自然失业率的逐年波动。

Cyclical unemployment refers to the year-to-year fluctuations in unemployment around its natural rate.

• 它和经济周期的短期上升和下降相联系。 It is associated with short-term ups and downs of the business cycle.

描述失业 Describing Unemployment

- 三个基本问题 Three Basic Questions:
- 政府如何衡量经济的失业率?
 How does government measure the economy's rate of unemployment?
- 在解读失业数据时有哪些问题?
 What problems arise in interpreting the unemployment data?
- 失业者没有工作的时间一般是多长?
 How long are the unemployed typically without work?

- 失业是由劳工统计局(BLS)来测量的。 Unemployment is measured by the Bureau of Labor Statistics (BLS).
 - 它每月调查随机选取的 60,000 个家庭。 It surveys 60,000 randomly selected households every month.
 - 这一调查被称为当前人口调查。 The survey is called the Current Population Survey (CPS).

● 基于对调查问题的回答,劳工统计局将每个成年人归入三种类型之一:

Based on the answers to the survey

Based on the answers to the survey questions, the BLS places each adult into one of three categories:

- 就业者 Employed
- 失业者 Unemployed
- 非劳动力 Not in the labor force

劳工统计局将 16 岁以上的 人作为成年人。

The BLS considers a person an adult if he or she is over 16 years old.

如果一个人在最近一周的大部分时间里从事了有报酬的工作,他(她)就被视为就业者。

A person is considered employed if he or she has spent most of the previous week working at a paid job.

如果一个人暂时没有工作,正在寻找工作或等待新工作开始,他(她)就被视为失业者。

A person is unemployed if he or she is on temporary layoff, is looking for a job, or is waiting for the start date of a new job.

如果一个人不属于前两类中的任何一类,例如一个全日制的学生、家务劳动者和退休人员,就被视为非劳动力

A person who fits neither of these categories, such as a full-time student, homemaker, or retiree, is not in the

labor force.

劳工统计局将劳动力定义为就 业者和失业者之和。

The BLS defines the labor force as the sum of the employed and the unemployed.

2007年的人口分类 The Breakdown of the Population in 2007

成年人口

Adult population (231.8 million)

就业者 Employed (146.0 million)

失业者 Unemployed (7.1 million)

非劳动力

Not in labor force (78.7 million)

劳动力 Labor force (153.1 million)

失业率按劳动力中失业者的百 分比来计算。

The unemployment rate is calculated as the percentage of the labor force that is unemployed.

 $Unemployment \ rate = \frac{Number \ unemployed}{Labor \ force} \times 100$

4.6% = (7.1/153.1)*100%

劳动力参工率是成年人口中劳动力的百分比。

The labor-force

participation rate is the percentage of the adult population that is in the labor force.

Labor - force participation rate = $\frac{\text{Labor force}}{\text{Adult population}} \times 100$

66% = (153.1/231.8)*100%

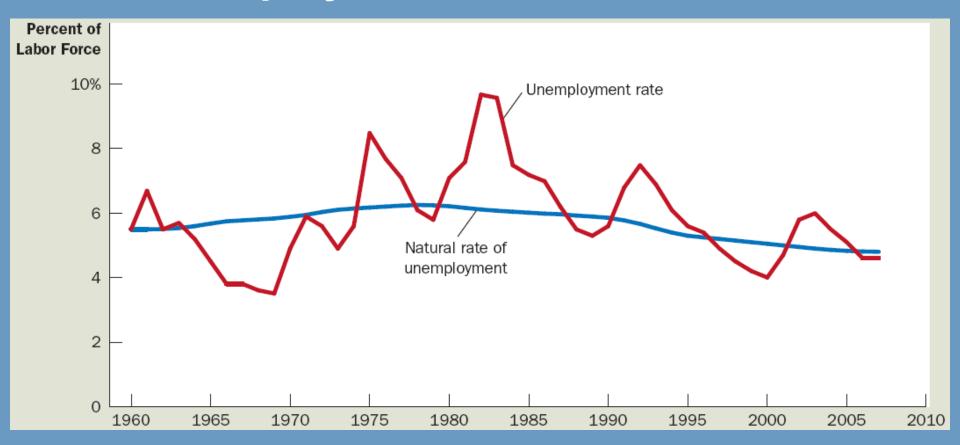
不同人口群体的劳动力市场经历(2007)

Labor-Force Experiences of Various Demographic Groups (2007)

Demographic Group	Unemployment Rate	Labor-force Participation Rate
Adults (ages 20 and older)		
White, male	3.7%	76.3%
White, female	3.6	60.1
Black, male	7.9	71.2
Black, female	6.7	64.0
Teenagers (ages 16–19)		
White, male	15.7	44.3
White, female	12.1	44.6
Black, male	33.8	29.4
Black, female	25.3	31.2

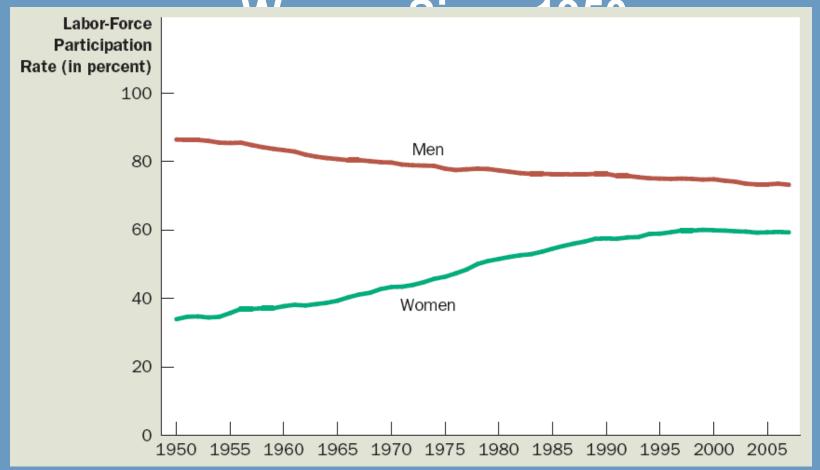
This table shows the unemployment rate and the labor-force participation rate of various groups in the U.S. population for 2007

1960 年以来的失业率 Unemployment Rate Since 1960



This graph uses annual data on the U.S. unemployment rate to show the percentage of the labor force without a job. The natural rate of unemployment is the normal level of unemployment around which the unemployment rate fluctuates.

1950 年以来的男子和妇女的劳动力参工率 Labor-force Participation Rates for Men and



This figure shows the percentage of adult men and women who are members of the labor force. It shows that over the past several decades, women have entered the labor force, and men have left it.

失业率衡量了我们想要的东西吗? Does the Unemployment Rate Measure What We Want It To?

- 要区分一个人是失业者还是非劳动力是困难的。
 It is difficult to distinguish between a person who is unemployed and a person who is not in the labor force.
- 气馁的工人,即那些想工作,但在找不到工作后已放弃了寻找工作的人,并没有体现在失业统计之中。
 Discouraged workers, people who would like to work but have given up looking for jobs after an unsuccessful search, don't show up in unemployment statistics.
- 另有一些人即使没有在找工作,但为了得到资金援助,可能会宣称自己失业了。

Other people may claim to be unemployed in order to receive financial assistance, even though they aren't looking for work.

失业者没有工作的时间有多长? How Long Are the Unemployed without Work?

- 大多数人经历的失业持续期是短的。
 Most spells of unemployment are short.
- 在任何给定时刻观察到的失业大部分是长期的 Most unemployment observed at any given time is long-term.
- 经济的失业问题大部分可归于长时间失去工作的相对少数的工人。

Most of the economy's unemployment problem is attributable to relatively few workers who are jobless for long₂₂ periods of time.

失业者没有工作的时间有多长:例 子

How Long Are the Unemployed without Work: Example

- 经济中有两个企业: 纺织厂和建筑公司。每个企业雇佣 10 个工人。
- 二者平均来讲失业率都是10%。但纺织厂的失业者固定为某一个人;建筑公司的每个工人均等地经历短期失业(每年1.2个月)。
- ●则该经济中大多数人经历的失业(10/11≈90%)都是短期的。
- 但是,在任何时刻观察到的失业大部分 (1/2=50%)是长期的。

中国的劳动力统计

• 目前主要是全面调查而来,主要来源是:

劳动综合统计

根据国家统计局《劳动综合统计报表制度》(调查范围为全部独立核算单位)及《乡村社会经济调查方案》(调查范围为全国乡镇以下农村地区),采用全面调查方法,由各级统计部门逐级上报,再由国家统计局人口和社会科技统计司对搜集汇总的资料进行整理后提供

培训、就业统计

根据劳动和社会保障部的《培训、就业统计报表制度》, 利用行政登记资料加以搜集汇总,由劳动和社会保障部提 供

私营企业及个体工商业统计

- 根据国家工商行政管理局的城乡私营企业基本情况统计表 及城乡个体工商业基本情况统计表搜集汇总的资料,由国 家工商行政管理局提供
- 国家统计局 2005 年 11 月启动的城乡劳动力调查制度则通过抽样调查的方式获取数据(尚未公布结 24

中国的人口分类(2007)

16 岁以上人口数(=成年人口) 104585 万 经济活动人口(=劳动力) 78645 万 全国就业人员年末人数 76990 万

- 参工率 = 78645/104585 *100% = 75.2%
- 失业率 = (1-76990/78645)*100%=2.1%
 - 可能存在就业人员年末人数高估(导致失业率被低估):包含了对在城镇工作的农村劳动力的重复计算,以及包含了不属于劳动力但从事某种工作的人员(例如非本国居民、离退休人员等)。

中国的失业率衡量

中国劳动力统计提供的失业率指标是城镇登记失业率:

城镇登记失业率 =

城镇登记失业人数 / ((城镇单位就业人员-使用的农村劳动力-聘用的离退休人员-聘用的港澳台及外方人员)+不在岗职工+城镇私营业主+城镇个体户主+城镇私营企业及个体就业人员+城镇登记失业人数)

城镇登记失业人员:指有非农业户口,在一定的劳动年龄内(16周岁至退休年龄),有劳动能力,无业而要求就业,并在当地劳动保障部门进行求职登记的人员。

• 2007的城镇登记失业人数为830万,城镇登记失业率为4.0%

中国的城镇登记失业率



用城镇登记失业率衡量失业

将城镇登记失业率作为唯一的失业率衡量 存在低估的可能性:

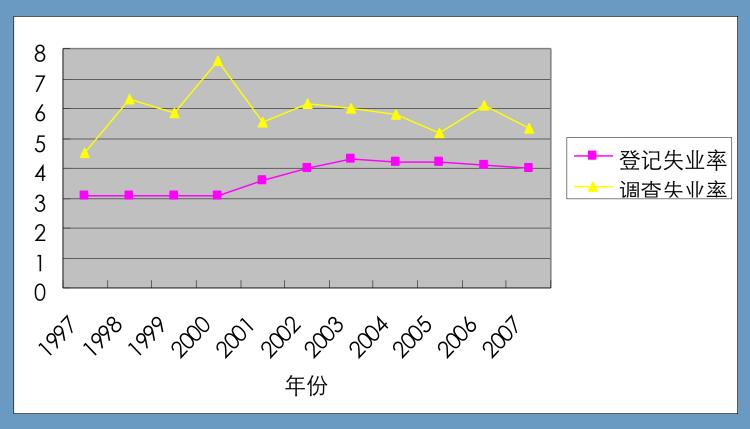
并不是所有失业者都进行登记(当然也存在 未失业者进行登记的相反情况)

• 2008年登记失业率: 4%,调查失业率: 9.6%

只考虑了城镇而非农村的失业状况,而我国的大部分劳动力在农村。许多经济学家认为,我国农村存在比较严重的隐性失业。

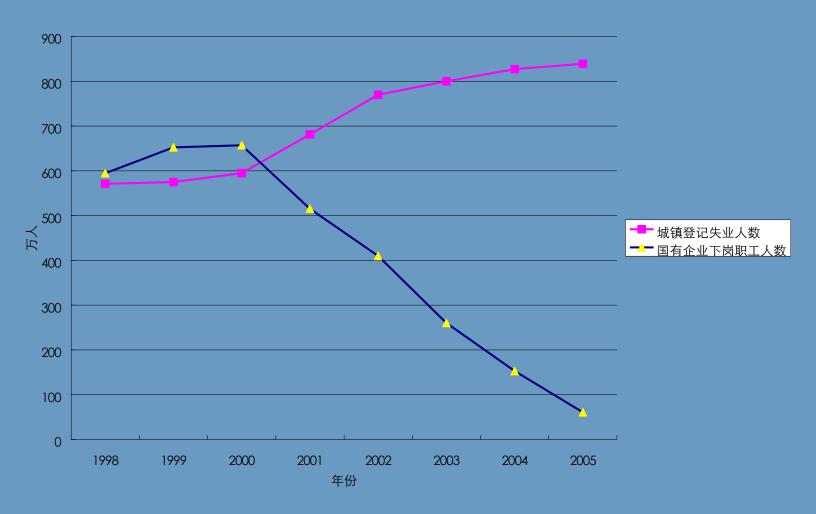
没有将国企下岗职工作为失业者来对待。

中国的城镇登记失业率与调查失业率



资料来源:《中国人口与劳动问题报告——人口与劳动绿皮书(2009)》

中国的国企下岗职工与失业



下岗职工的减少大于登记失业者的增加,可能反映了总体失业人数的下降。也可能反映了有更多的失业者未能加以统计。(注: 2005年以后不再统计国企下岗职工人数)

中国城镇失业人员的失业原因(2007年)

失业原因	总计		别分 女	按受教育科 大学本科 石	
合计	100	100	100	100	100
离退休	1.5	1.5	1.6	1.6	
料理家务	13.8	1.5	25.7	1	
毕业后未工作	21.6	25. 5	17.8	60. 4	31.3
因单位原因失去工作	30.8	34. 2	27.5	14.3	31.3
因个人原因失去工作	18. 9	21.5	16.4	18. 2	18.8
承包土地被征用	1.5	1.8	1.2		
其他	11.9	14	9.9	4. 5	18.8

为什么总会有一些人失业? Why Are There Always Some People Unemployed?

在一个理想的劳动力市场上,工资调节以使劳动力的供求平衡,保证所有工人都能充分就业。

In an ideal labor market, wages would adjust to balance the supply and demand for labor, ensuring that all workers would be fully employed.

为什么总会有一些人失业? Why Are There Always Some People Unemployed?

摩擦性失业指的是将工人和工作相匹配的过程 所引起的失业。也就是说,工人寻找最适合他 们的工作是需要时间的。

Frictional unemployment refers to the unemployment that results from the time that it takes to match workers with jobs. In other words, it takes time for workers to search for the jobs that are best suited for them.

通常认为它可以解释较短的失业持续时间。

It is often thought to explain relatively short spells of unemployment.

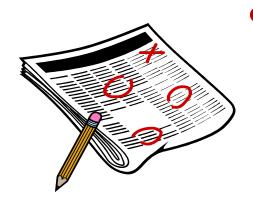
寻找工作的失业 Job Search Unemployment

• 寻找工作是工人发现适合其喜好和技能的工作的过程。

Job search is the process by which workers find appropriate jobs given their tastes and skills.

寻找工作的失业,源于合格人才 与合适工作相匹配需要时间这一 实际情况。

Job search unemployment results from the fact that it takes time for qualified individuals to be matched with



寻找工作的失业 Job Search Unemployment

- 这一失业和其他类型的失业有所不同 This unemployment is different from the other types of unemployment.
 - 它不是由工资高于均衡值引致的
 It is not caused by a wage rate higher than equilibrium.
 - 而是由寻找"好"工作的时间引致的 It is caused by the time spent searching for the "right" job.

寻找工作的失业的必然性 The Inevitability of Job Search Unemployment

寻找工作的失业是不可避免的,因为经济 一直在变化着。

Search unemployment is inevitable because the economy is always changing.

- 需求的行业和地区结构的变动被称为部门 移动 Changes in the composition of demand among industries or regions are called sectoral shifts.
- 工人寻找并找到新部门的工作是需要时间的 It takes time for workers to search for and find jobs in new sectors.

- 政府计划能够影响失业工人找到新工作的时间 Government programs can affect the time it takes unemployed workers to find new jobs.
- 这些计划包括
 These programs include the following:
 - 政府开办的就业代理处 Government-run employment agencies
 - 公共培训计划 Public training programs
 - 失业保险 Unemployment insurance

政府开办的代理处发布工作空缺的信息,以使工人和工作更快地匹配。 Government-run employment agencies give out information about job vacancies in order to match workers and jobs more quickly.

公共培训计划旨在促进工人从夕阳产业向朝阳产业的转移,并帮助不利群体摆脱贫困。

Public training programs aim to ease the transition of workers from declining to growing industries and to help disadvantaged groups escape

poverty.

失业保险是部分保障失业工人收入的一项政府计划。

Unemployment insurance is a government program that partially protects workers' incomes when they become unemployed.

- 提供工人应对失业的部分保障
 Offers workers partial protection against job losses.
- 提供被解雇者有限时间的、原工资待遇的一部分 Offers partial payment of former wages for a limited time to those who are laid off.

- 失业保险增加了寻找工作的失业的数量 Unemployment insurance increases the amount of search unemployment.
- 它减弱了失业者寻找工作的努力 It reduces the search efforts of the unemployed.
- 它可能增加了工人和合适工作相匹配的机会 It may improve the chances of workers being matched with the right jobs.

为什么总会有一些人失业? Why Are There Always Some People Unemployed?

结构性失业发生在劳动力供给数量超出需求数量的时候。通常被认为解释了更长时期的失业 Structural

unemployment occurs when the quantity of labor supplied exceeds the quantity demanded. Structural unemployment is often thought to explain longer spells of unemployment.

当工资由于某些原因定在高于供求均衡的水平时,就产生了这种失业。

This kind of unemployment results when wages are set above the level that brings

工资高于均衡值的三种可能原因 Three Possible Reasons for an Above-Equilibrium Wage

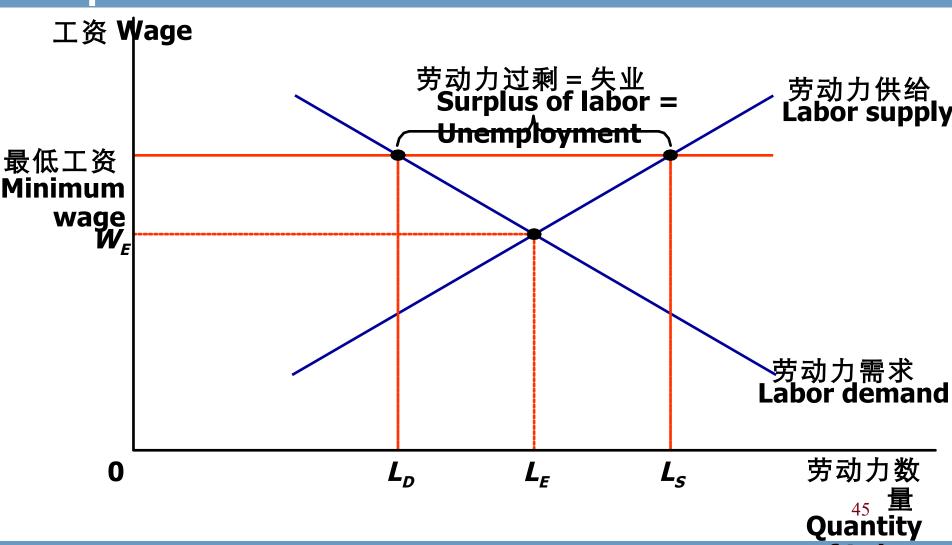
- 最低工资法 Minimum-wage laws
- 工会 Unions
- 效率工资 Efficiency wages

最低工资法 Minimum-Wage Laws

当最低工资设定在高于供求均衡的水平时,它就造成了失业。

When the minimum wage is set above the level that balances supply and demand, it creates unemployment.

源于工资高于均衡值的失业 Unemployment from a Wage Above the Equilibrium Level...



- 工会是与雇主进行工资和工作条件谈判的工人组织。 A union is a worker association that bargains with employers over wages and working conditions.
- 在 19 世纪 40 年代和 50 年代,当工会处于其鼎盛时期时,大约有三分之一的美国劳动力是工会成员。 In the 1940s and 1950s, when unions were at their peak, about a third of the U.S. labor force was unionized.
- 工会是企图施加其市场权力的一种卡特尔组织。
 A union is a type of cartel attempting to exert its market power.

工会与企业就就业条款达成协议的过程被称为集体谈判。
The process by which unions and firms agree on the terms of employment is called collective bargaining.

- 工会与企业进行谈判时,它提出的工资、津贴和工作 条件会比没有工会的企业提出的高。
 - When a union bargains with a firm, it asks for higher wages, better benefits, and better worker conditions than the firm would offer in the absence of a union.
- 如果工会和企业未能达成协议,工会就会组织工人从企业撤走,即罢工。
 - If the union and the firm cannot reach an agreement, the union will organizes a withdrawal of labor from the firm, called a strike.
- 由于罢工减少了生产、销售和利润,所以,面临罢工威胁的企业可能同意支付比没有工会时更高的工资。

Because a strike reduces production, sales, and profit, a firm facing a strike threat is likely to agree to pay higher wages than it otherwise would.

- 通过象卡特尔一样行事——能够强加给雇主高成本,否则就罢工——工会通常能够为其成员争取到高于均衡的工资。
 - By acting as a cartel with ability to strike or otherwise impose high costs on employers, unions usually achieve above equilibrium wages for their members.
- 工会工人的报酬高于非工会工人 10 到 20 个百分点。

Union workers earn 10 to 20 percent more than nonunion workers.

- 当工会把工资提高到均衡水平之上时,它就增加了劳动供给量,减少了劳动需求量,引起了失业。
 - When a union raises the wage above the equilibrium level, it raises the quantity of labor supplied and reduces the quantity of labor demanded, resulting in unemployment.
- 那些仍然就业的工人状况变好了,但那些过去有工作而 在现在的较高工资下失业的工人状况变坏了。
 Those workers who
 - remain employed are better off, but those who were previously employed and now unemployed at the higher wage are worse off.
- 工会内的工人(内部人)攫取了集体谈判的收益,而工会外部的工人(外部人)承担了某些成本。

Workers in unions (insiders) reap the benefits of collective bargaining, while workers not in the union

工会对经济是好还是坏? Are Unions Good or Bad for the Economy?

批评者认为工会导致了劳动力资源的配置 变得没有效率和不公平。

Critics argue that unions cause the allocation of labor to be inefficient and inequitable.

高于竞争水平的工资减少了劳动力的需求量, 导致失业。

Wages above the competitive level reduce the quantity of labor demanded and cause unemployment.

 一些工人的获益是以另一些工人为代价的。 Some workers benefit at the expense of other workers.

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工会对经济是好还是坏? Are Unions Good or Bad for the Economy?

- 工会的支持者主张,工会是对企业在雇佣工人上市场权力的一种必要的矫正方法。
 Advocates of unions contend that unions are a necessary antidote to the market power of firms that hire workers.
- 他们认为,工会对于帮助企业有效地回应工人的考虑是至关重要的。
 They claim that unions are important for helping firms respond efficiently to workers' concerns.

效率工资理论 Theory of Efficiency Wages

- 效率工资是企业为了提高工人生产率而支付的、高于均衡水平的工资。
 - Efficiency wages are above-equilibrium wages paid by firms in order to increase worker productivity.
- 效率工资理论认为,如果工资高于均衡水平,企业的运作会更有效率。

The theory of efficiency wages states that firms operate more efficiently if wages are above the equilibrium level.

效率工资理论 Theory of Efficiency Wages

企业偏好于高于均衡的工资出于以下原因:

A firm may prefer higher than equilibrium wages for the following reasons:

- ●工人健康 Worker Health
- ●工人流动 Worker Turnover
- ●工人素质 Worker Quality
- ●工作努力 Worker Effort

工人健康 Worker Health

• 报酬更高的工人吃得更好,因而生产率更高。

Better paid workers eat a better diet and thus are more productive.

• 这种效率工资理论较适用于发展中国家的企业。在那里,营养不良是一个普遍的问题。 This type of efficiency-wage theory is more relevant for firms in less developed countries where inadequate nutrition is a more common problem.

工人流动 Worker Turnover

- 报酬更高的工人更不会去寻找其他工作 A higher paid worker is less likely to look for another job.
- 企业关心流动是因为企业雇佣并培训 新工人是有成本的。

Firm care about turnover because it is costly for firms to hire and train new worker.

工人素质 Worker Quality

更高工资吸引一群更好的工人来申请工作。

Higher wages attract a better pool of workers to apply for jobs.

如果企业面对过剩的劳动力时降低工资, 它将招致工人组合的不利变动。

If the firm responds to a surplus of labor by reducing the wage, it will induce an adverse change in the mix of workers.

工作努力 Worker Effort

到更高的工资激发工人作出最大的 努力。

Higher wages motivate workers to put forward their best effort.

工作努力 Worker Effort

在许多工作中,工人对工作努力的程度有 某种相机抉择权。

In many jobs, workers have some discretion over how hard to work.

• 企业要监视工人的努力程度,解雇那些玩忽职守者。

Firms monitor the efforts of their workers, and workers caught shirking their responsibilities are fired.

• 不是所有的偷懒都能被当场抓住,因为监督工人是有成本的且不完全。

Not

all shirkers are caught immediately because monitoring workers is costly and imperfect.

工作努力 Worker Effort

• 企业对这个问题的反应就是支付高于均衡水平的工资。

A firm can respond to this problem by paying wages above the equilibrium level.

高工资使得工人更渴望保住工作,从而激励工人尽最大努力。

High wages make workers more eager to keep their jobs and thereby, give workers an incentive to put forward their best effort.

• 这种效率工资理论类似于经典马克思主义者关于"失业者储备大军"的思想。

This type of efficiency-wage theory is similar to the

不对称信息经济学 The Economics of Asymmetric Information

不对称信息出现在交易中的一方比另一方 知道更多的相关信息。

Asymmetric information occurs when one person in a transaction knows more about what is going on than the other person.

- 两类常见的不对称信息问题:
 - 逆向选择 Adverse Selection
 - ●道德风险 Moral Hazard

逆向选择 Adverse Selection

当一个人对物品特性的了解比另一个人多,因而 没有信息的人就有买到低质量产品的危险时,逆 向选择就出现了。

Adverse selection arises when one person knows more about the attributes than the another and, as a result, the uninformed person runs risk of being sold a good of low quality.

- 例子 Examples:
 - 劳动力市场中的工人素质
 Worker Quality in Labor market
 - 旧车市场中车的质量
 Car's Quality in Used-Car Market
 - 保险市场中买者的风险

Buyer's Risk in an Insurance Market

道德风险 Moral Hazard

当代理人代表委托人完成一项任务时,道德风险就产生了

Moral hazard arises when the agent is performing some task on behalf of the principal.

由于委托人不能完全监督代理人的行为,代理人就倾向于付出比委托人希望的更小的努力程度。

Because the principal cannot perfectly monitor the agent's behavior, the agent tends to undertake les effort than the principal considers desirable.

根据工人努力的效率工资理论,企业(委托人)可以通过支付高于均衡水平的工资来鼓励工人(代理人)不偷懒,以此减少道德风险问题。

According to the worker-effort variant of efficiency-wage theory, the principal can encourage the agent not to shirk by paying a wage above the equilibrium 63 level, thus reduce the problem of moral hazard.

道德风险: 例子 Moral Hazard: Examples

- 购买了火灾保险的房主买的灭火器太少。
 A homeowner with fire insurance buys too few fire extinguishers.
- 保姆让小孩看电视的时间超过父母的希望。 A babysitter allow children to watch more television than the parents of the children prefer.
- 可以领取救济金的一家人住在洪水危险高的河流附近。

A family provided disaster relief by the government lives near a river with a high risk of flooding.

总结 Summary

失业率是那些愿意工作但却没有工作的 人的比率。

The unemployment rate is the percentage of those who would like to work but don't have jobs.

- 劳工统计局每月计算这一统计数据。 The Bureau of Labor Statistics calculates this statistic monthly.
- 失业率是失去工作者的不完美的度量。 The unemployment rate is an imperfect measure of joblessness.

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总结 Summary

在美国经济中,大多数人失业后,在很短时间内就会找到工作。

In the U.S. economy, most people who become unemployed find work within a short period of time.

在任一给定时刻观察到的失业大部分可归 于失业时间长的少数人。

Most unemployment observed at any given time is attributable to a few people who are unemployed for long periods of time.

总结

Summary

失业的原因之一是,工人寻找最适合其喜好和 技能的工作是需要时间的。

One reason for unemployment is the time it takes for workers to search for jobs that best suit their tastes and skills.

经济当中总会有某些失业的第二个原因是最低工资法。

A second reason why our economy always has some unemployment is minimum-wage laws.

• 最低工资法增加了劳动力供给、减少了劳动力需求 Minimum-wage laws raise the quantity of 67

总结 Summary

- 失业的第三个原因是工会的市场势力。
 A third reason for unemployment is the market power of unions.
- 失业的第四个原因与效率工资理论有关。
 A fourth reason for unemployment is suggested by the theory of efficiency wages.
- 高工资改善了工人的健康,降低了工人流动,增加了工作努力,同时提高了工人素质。 High wages can improve worker health, lower worker turnover, increase worker effort, and raise worker quality.