

《当代中国社会流动专题》课程

教学大纲

开课教师：刘精明教授

开课院系：社会科学学院社会学系

授课对象：研究生（硕士和博士）

授课形式：讲授和讨论相结合

必备书籍：

- (1) 《社会分层十讲》（李强）
- (2) 《社会分层》（Grusky）
- (3) Kerbo, Harold 2011. *Social Stratification and Inequality: Class Conflict in Historical, Comparative, and Global Perspective*. 8th edition. Boston, MA: McGraw Hill.

评分方式：

(1) 平时成绩 20%

平时成绩由**每堂课**的表现成绩汇总后平均，占总成绩的 20%

非讨论课的平时成绩记为 0, 1 两个档次（参加记 1 分，否则记 0 分）；

讨论课的平时成绩分四个档次：

- 0 分：没有出现在课堂
- 1 分：参加了但没有发言，或很少发言
- 2 分：能在点名指定发言时，提供一定的意见
- 3 分：总是积极参与，课堂表现十分活跃

(2) 责任阅读 10%

责任阅读是指定的个人阅读并向课堂宣讲的阅读材料，占总成绩的 10%。成绩根据宣讲质量（如是否明确介绍了研究问题、研究内容，理解是否准确，等等）来评定。

(3) 阅读笔记 20%

利用布置的阅读材料，每周完成至少 2 篇阅读笔记(summaries)。成绩每周记一次。

- 0 分：没有按时提交阅读笔记
- 1 分：阅读文献有偏误或过于粗略，未能恰当总结材料的观点、方法
- 2 分：对材料的总结有条理，但不详细
- 3 分：详细地整理了材料的理论、分析框架、研究假设、数据、方法、研究发现、讨论等个个要件。

(4) 期末论文 50%：根据论文质量评定成绩。

课程描述

本课程将以近现代中国社会历史变迁为主线，引导同学们结合宏阔的社会历史过程、重大社会事件、重大社会现实问题，探讨社会分层与流动机制的重要转变及其对代际、代内流动的影响，从而更为系统地理解现实社会过程中的社会开放性或社会封闭特征的演变趋势。

This course is a post-graduated level seminar on social stratification which will offer an introduction to major issues and its impact on social stratification and social mobility in contemporary China. This course draws broadly works from social sciences research on China with a thematic discussion of some major issues in socialist and post-socialist Chinese society, specially focusing on social changes since 1978. Furthermore, we will pay much more attention on the impact of those important social changes on intergenerational mobility.

课程大纲：

第一部分、理论与历史现实

一、社会分层与流动研究的理论传统

(一) 社会分层理论传统

1、功能主义社会分层研究传统

功能主义分层观 (Parsons, Davis-Moore, Turner, etc..)

个人主义取向的社会分层传统-SEI

社会经济地位指数 (SEI) 的社会分层研究旨趣

2、马克思主义分层传统

马克思的阶级分析思想体系

新马克思主义研究 (Wright, Bourdieu, 葛兰西 等)

3、韦伯学派分层传统

韦伯的分层思想

新韦伯学派传统 (Giddens, Parkin,)

Tilly 的集团分层观

Goldthorpe 的社会分层框架

4、涂尔干分层传统

社会分工与社会分层

机械团结与有机团结

5、制度主义的社会分层思想

Ivan Szelenyi, Victor Nee, Andrew Warder 等人的制度分层思想

6、社会网络分层观

林南、边燕杰等人的网络资源观

社会网与社会经济地位

(二) 重要的社会流动研究及相关结论

1、社会流动研究的四个阶段

- 2、社会流动与社会不平等
 - 3、社会流动的核心模式
- (三) 社会流动研究的方法及其主要发展

二、我国学界关于中国社会分层框架的主要讨论

- (一) 群体分层观
- 1、李强：利益群体
 - 2、身份分层观
 - 3、其他群体分层观
- (二) 国内社会学的社会阶层框架
- 1、陆学艺先生：十大阶级
 - 2、权威分层观
 - 3、刘欣：制度分层观
 - 4、其他若干分层框架
- (三) 国内社会学的社会经济地位测量
- (四) 社会阶层划分的主要原则

主要阅读材料：

1. Treiman. "Occupational Prestige in Comparative Perspective." (Grusky)
2. Hodge. "The Measurement of Occupational Status." (Grusky)
3. Hauser and Warren. "Socioeconomic Indices for Occupations: A Review, Update, and Critique. (Grusky).
4. Sorensen. "The Basic Concepts of Stratification Research: Class, Status, and Power." (Grusky).
5. Wright, Erik O. 2005. "Foundations of a neo-Marxist Class Analysis." Pp.1-30 in Erik O. Wright (ed.) Approaches to Class Analysis. Cambridge UP.
6. Breen, Richard. 2005. "Foundations of a neo-Weberian Class Analysis." Pp.31-50 in Erik O. Wright (ed.) Approaches to Class Analysis. Cambridge UP.
7. Grusky, David. 2005. "Foundations of a Neo-Durkheimian Class Analysis." Pp.51-81 in Erik
8. Wright (ed.) Approaches to Class Analysis. Cambridge UP.
9. 边燕杰, 李路路, 李煜, and 郝大海. 2006. "结构壁垒、体制转型与地位资源含量" 中国社会科学 (5):100-09.
10. 蔡昉. 2007. "中国经济面临的转折及其对发展和改革的挑战" 中国社会科学 (3).
11. 费孝通. 1982. "关于社会学的几个问题(1982年5月6日在四川省社会学研究会筹备组座谈会上的发言)." 社会科学研究 (05):9-14.
12. 黄宗智, and 彭玉生. 2007. "三大历史性变迁的交汇与中国小规模农业的前景" (4):74-88.
13. 李路路. 2002. "制度转型与分层结构的变迁——阶层相对关系模式的"双重再生产"." 中国社会科学 (06):105-18.
14. 李路路, 秦广强, and 陈建伟. 2012. "权威阶层体系的构建——基于工作状况和组织权威的分析" 社会学研究 (6):33.
15. 李培林, and 张翼. 2000. "消费分层: 启动经济的一个重要视点." 中国社会科学 (1):52-62.
16. 李强. 2000. "当前中国社会的四个利益群体" 学术界 (03):5-19.

17. 李强, 刘精明, and 郑路 (Eds.). 2015. 城镇化与国内移民: 理论与研究议题. 社会科学文献出版社.
18. 李煜. 2009. "代际流动的模式: 理论理想型与中国现实" 社会 29(6):27.
19. 林宗弘, and 吴晓刚. 2010. "中国的制度变迁、阶级结构转型和收入不平等:1978-2005." 社会 (6):1-40.
20. 刘精明. 2006. "市场化与国家规制——转型期城镇劳动力市场中的收入分配" 中国社会科学 (05):111-24.
21. 刘欣. 2005a. "当前中国社会分层的多元动力基础——一种权力衍生论的解释" 中国社会科学 5(5):101-14.
22. —. 2005b. "当前中国社会阶层分化的制度基础" 社会学研究 (5):1-26.
23. 陆学艺 (Ed.). 2002. 当代中国社会阶层研究报告. 北京: 社会科学文献出版社.
24. — (Ed.). 2004. 当代中国社会流动. 北京: 社会科学文献出版社.
25. 秦广强, and 李路路. 2013. "组织权威分化与雇员群体的阶级定位——论权威阶级体系的中间机制问题" 社会科学战线7.
26. 孙立平, 王汉生, 王思斌, 林彬, and 杨善华. 1994. "改革以来中国社会结构变迁." 中国社会科学 (02):47-62.
27. 谭深. 2011. "中国留守儿童研究述评." 中国社会科学 (1):13.
28. 唐世平. 2006. "社会流动、地位市场与经济增长" 中国社会科学 3(3).
29. 吴忠民, and 林聚任. 1998. "城市居民的社会流动——来自山东五省市的调查." 中国社会科学 (2):71-81.
30. 许烺光. 2001. 祖荫下——中国乡村的亲属、人格与社会流动. [台]南天书局有限公司.
31. 严善平. 2000. "大城市社会流动的实态与机制——来自天津市居民问卷调查的实证分析." 中国社会科学 (3):104-14.
32. 郑杭生. 2004. "中国社会的巨大变化与中国社会学的坚实进展——以社会运行论、社会转型论、学科本土论和社会互构论为例." 江苏社会科学 (5):46-52.
33. 郑杭生, and 杨敏. 2008. "新布达佩斯学派狭义转型论的重大理论缺陷" 红旗文稿 (3):6-9.

三、中国社会变迁与流动模式的转换

(一) 传统中国社会的代际流动

- 1、科举制度与代际流动
- 2、绅制度与代际流动
- 3、家族制度与代际流动
- 4、传统文化与代际流动

(二) 社会主义革命与流动机制的转换

- 1、革命时期的社会精英地位
- 2、制度初创时期的社会分层规范
- 3、文化规范与社会声望
- 4、城乡差异制度化定型

(三) “文革”时期的社会分层与流动

- 1、反社会分层：群众推荐制的形成
- 2、教育扩张与代际流动
- 3、僵化的城乡关系与社会流动

(四) 改革开放时期的社会流动

1、改革开放政策对社会流动的影响

2、市场转型与社会流动

(五) 新时代的社会流动局面

1、新阶层：新时代的社会阶层格局

2、城镇化：社会分层结构的震荡与平衡

主要阅读材料：

34. 《剑桥晚清史》
35. 《剑桥中华民国史》
36. 《剑桥中华人民共和国史》
37. Bian, Yanjie. 1997. "Bringing Strong Ties Back In: Indirect Connection, Bridges, and Job Search in China." *American Sociological Review* 62:266-85.
38. Zhou, Xueguang. 2000. "Economic Transformation and Income Inequality in Urban China: Evidence from Panel Data." *American Journal of Sociology* 105:1135-74. See also the debate with Cao and Nee in the same issue of *AJS*.
39. Politics and Life Chances in a State Socialist Regime: Dual Career Paths into the Urban Chinese Elite, 1949 to 1996. Walder, Andrew G. Li, Bobai., Treiman, Donald J, *American Sociological Review*, 2000, 65, 2, Apr, 191-209
40. Walder, Andrew. 1996. "Markets and Inequality in Transitional Economies: Toward Testable Theories." *American Journal of Sociology* 101:1060-73.
41. Walder, Andrew G. 2003. "Elite Opportunity in Transitional Economies." *American Sociological Review* 68:899-916. Income Attainment during Transformation Processes: A Meta-Analysis of the Market Transition Theory.
42. Verhoeven, Willem-Jan; Jansen, Wim; Dessens, Jos, *European Sociological Review*, 2005, 21, 3, July, 201-226 Temporal and Regional Variation in Earnings Inequality: Urban China in Transition between 1988 and 1995
43. Hauser, Seth M; Yu, Xie, *Social Science Research*, 2005, 34, 1, Mar, 44-79 The Household Registration System and Social Stratification in China: 1955-1996.
44. Wu, Xiaogang; Treiman, Donald J, *Demography*, 2004, 41, 2, May, 363-384. Chinese Social Stratification and Social Mobility
45. Bian, Yanjie, *Annual Review of Sociology*, 2002, 28, 91-116 The Impact of the Cultural Revolution on Trends in Educational Attainment in the People's Republic of China.
46. Deng, Zhong; Treiman, Donald J, *American Journal of Sociology*, 1997, 103, 2, Sept, 391-428 Industrialization, Class Structure, and Social Mobility in Postwar Japan.
47. Ishida, Hiroshi, *British Journal of Sociology*, 2001, 52, 4, Dec, 579-604 Gender Inequality in the Japanese Occupational Structure: A Cross-National Comparison with Great Britain and the United States.
48. Shirahase, Sawako; Ishida, Hiroshi, *International Journal of Comparative Sociology*, 1994, 35, 3-4, Sept-Dec, 188-206 Gender Stratification in Contemporary Urban Japan. Brinton, Mary C, *American Sociological Review*, 1989, 54, 4, Aug, 549-564.

第二部分、代际流动与地位获得

四、OED 模型

五、家庭及父代影响

- (一) 家庭结构效应
- (二) 亲子投资、社会化与文化资本
 - 1、学前教育
 - 2、教育
 - 3、其他……
- (三) 家庭社会资本
- (四) 家庭经济地位/财富

主要阅读材料

49. Blau and Duncan. 1967. Ch 5. "The Process of Stratification" in *The American Occupational Structure*. New York: Wiley
50. Sewell, William H., Archibald O. Haller, and Alejandro Portes. 1969. "The Educational and Early Occupational Attainment Process." *American Sociological Review*, 82-92.
51. Featherman, David L., and Robert Mason Hauser. 1978. "A Refined Model of Occupational Mobility," in *Opportunity and Change*. New York: Academic Press.
52. Erikson, Robert, and John H. Goldthorpe (1992). *The Constant Flux: A Study of Class Mobility in Industrial Societies*. Oxford: Clarendon Press, chapters 1 and 2.
53. Harry B. G. Ganzeboom, Donald J. Treiman, and Wout C. Ultee. Comparative intergenerational stratification research: Three generations and beyond. *Annual Review of Sociology*, 17:277-302, 1991.
54. Ganzeboom, Luitjckx and Treiman "Intergenerational Class Mobility in Comparative Perspective," *Research in Social Stratification and Mobility*. 1989. 8:3-84.
55. Richard Breen and Jan O. Jonsson. 2005. "Inequality of Opportunity in Comparative Perspective: Recent Research on Educational Attainment and Social Mobility." *Annual Review of Sociology*. Vol 31
56. R. Breen, R. Luijckx, W. Müller, and R. Pollak. Non-persistent inequality in educational attainment: evidence from eight European countries. *American Journal of Sociology*, 114(5):1475-1521, 2009.
57. Reardon, Sean F. 2013. "The Widening Income Achievement Gap." *Educational Leadership* 70 (8): 10-16.
58. E. Beller. Bringing Intergenerational Social Mobility Research into the Twenty-first Century: Why Mothers Matter. *American Sociological Review*, 74(4):507, 2009.
59. Torche, Florencia. "Intergenerational Mobility and Inequality: The Latin American Case." *Annual Review of Sociology* 40, no. 1 (July 30, 2014): 619-42.
60. *Generational Income Mobility in North America and Europe*, edited by Miles Corak. Cambridge: Cambridge University Press
61. Anders Bjorklund and Markus Jantti. "Intergenerational mobility of socioeconomic status in comparative perspective" *Journal of Economic Literature*.
62. *Intergenerational Economic Inequality* Anders Bjorklund (Stockholm University) and Markus Jantti (UNU WIDER). *Oxford Handbook of Economic Inequality*. 2009
63. S.E. Mayer. *What money can't buy: Family income and children's life chances*. Harvard Univ. Press, 1997. Ch 3. "How Rich and Poor Children Differ." Ch. 9 "Helping Poor Children."
64. S.E. Mayer and L.M. Lopoo. Has the intergenerational transmission of economic status changed? *Journal of Human Resources*, 40(1):169, 2005.
65. Weeden, Kim A., and David B. Grusky. "The Three Worlds of Inequality." *American Journal of Sociology* 117, no. 6 (2012): 1723-85.

66. R.M. Hauser and P.A. Mossel. Fraternal resemblance in educational attainment and occupational status. *American Journal of Sociology*, 91(3):650–673, 1985.
67. A. Bjorklund, K. Hederos Eriksson, and M. Jantti. IQ and Family Background: Are Associations Strong or Weak? IZA Discussion Papers, 2009.
68. John Ermisch and Chiara Pronzato, Causal Effects of Parents' Education on Children's Education, in *Intergenerational Mobility Within and Across Nations: The Transmission of Advantage or Disadvantage Across the Life-Course* (Robert Erikson, Markus Jantti, Tim Smeeding, editors). New York: Russell Sage Foundation, forthcoming 2010.

第三部分、代际流动的宏观约束机制分析

六、制度变迁与社会流动

- 1、制度变迁对分层和流动模式的型塑机制
- 2、革命影响力：颠覆的限度
- 3、从再分配到市场：分层机制中的变与不变

七、教育发展与社会流动

- 1、我国现代教育的发展与扩张历史
- 2、不同时期的教育扩张效应
 - 文革时期的教育扩张效应
 - 市场转型时期的教育扩张效应
- 3、幼儿教育发展的深远意义

八、迁移/城镇化与社会流动

- 1、户籍制度与中国社会流动
- 2、“农民工”与代际流动
- 3、迁移对儿童发展的影响

九、反贫困与社会流动

主要阅读材料

69. Kristal, Tali. 2013. "The Capitalist Machine: Computerization, Workers' Power, and the Decline in Labor's Share within US Industries." *American Sociological Review* 78 (3): 361–89.
70. Liu, Yujia, and David B. Grusky. 2013. "The Payoff to Skill in the Third Industrial Revolution." *American Journal of Sociology* 118 (5): 1330–74.
71. Mouw, Ted, and Arne L. Kalleberg. 2010. "Occupations and the Structure of Wage Inequality in the United States, 1980s to 2000s." *American Sociological Review* 75 (3): 402–31.
72. Western, B., and J. Rosenfeld. "Unions, Norms, and the Rise in U.S. Wage Inequality." *American Sociological Review* 76, no. 4 (August 1, 2011): 513–37.
73. Piketty, Thomas. 2014. *Capital in the Twenty-First Century*. Translated by Arthur Goldhammer. First Edition edition. Cambridge Massachusetts: Belknap Press.
74. Frank, R. H., and P. J. Cook. 2010. *The Winner-take-all Society: Why the Few at the Top Get so Much More Than the Rest of Us*. New York: Penguin Books.
75. Gabaix, Xavier, and Augustin Landier. 2008. "Why Has CEO Pay Increased So Much?" *Quarterly Journal of Economics* 123, no. 1 (2008): 49–100.
76. DiPrete, T. A., G. M. Eirich, and M. Pittinsky. "Compensation Benchmarking, Leapfrogs,

- and the Surge in Executive Pay.” *American Journal of Sociology* 115, no. 6 (2010): 1671–712.
77. Brian Nolan and Ivo Marx. “Economic Inequality, Poverty, and Social Exclusion.” Ch 13. *Oxford Handbook of Economic Inequality*.
 78. Cancian, Maria. and Geoffrey L. Wallace. 2009. “Family Structure, Childbearing, and
 79. Parental Employment: Implications for the Level and Trend in Poverty” Pp. 92-122 in *Changing Poverty, Changing Policies*, edited by Maria Cancian and Sheldon Danziger. New York: Russell Sage Foundation.

第三部分、代内流动

十、阶层限定下的代际流动

十一、婚姻与代际流动

十二、体制转换：我国代内流动的一种典型形式

十三、地理流动与地位升迁

主要阅读材料：

80. Karl Ulrich Mayer’s 2005. “Life Courses and Life Chances in a Comparative perspective.” Pp.17-55 in *Analyzing Inequality: Life Chances and Social Mobility in Comparative Perspective*, edited by Stephen Svallfors. Stanford: Stanford University Press.
81. Spilerman, Seymour (1977). Careers, labor market structure, and socioeconomic achievement. *American Journal of Sociology* 83: 551-593.
82. Rosenfeld, Rachel A. (1992). Job Mobility and Career Processes. *Annual Review of Sociology* 18: 39-61.
83. Intragenerational Inequality and Intertemporal Mobility Rich Burkhauser (Cornell) and Ken Couch (University of Connecticut) . *Oxford Handbook of Economic Inequality*. 2009.
84. Allison, Paul D., J. Scott Long, and T.K. Krauze (1982). Cumulative advantage and inequality in science. *American Sociological Review* 47: 615-625.
85. DiPrete, Thomas A., and Gregory M. Eirich (2006). Cumulative Advantage as a Mechanism for Inequality: A Review of Theoretical and Empirical Developments. *Annual Review of Sociology* 32: 271-297.
86. Brand, Jennie E. (2006). The effects of job displacement on job quality: Findings from the Wisconsin Longitudinal Study. *Research in Social Stratification and Mobility* 24: 275- 298.
87. Warren, John Robert, Robert M. Hauser, and Jennifer T. Sheridan. 2002. “Occupational Strat- ification Across the Life Course: Evidence from the Wisconsin Longitudinal Study.” *American Sociological Research*. 67: 432-55.
88. Weeden, Kim A. (2002). Why Do Some Occupations Pay More than Others? Social Closure and Earnings Inequality in the United States. *American Journal of Sociology* 108: 55-101.
89. Ishida, Hiroshi, Kuo Hsien-Su, and Seymour Spilerman (2002). Models of Career Advancement in Organizations. *European Sociological Review* 18: 179-198.