

基于环境规制和公众参与的 污染产业转移问题研究

彭文斌 邝嫦娥 著

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本书是已结题的国家社科基金青年项目《基于环境规制和公众参与的污染产业转移问题研究》(项目批准号:09CJY044)重要成果,也是目前主持的国家自然科学基金面上项目《环境规制作用下污染密集型产业空间演变的动力机制与调控模式研究》(项目批准号:41271140)阶段性成果。

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个人简历

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内容简介

本书沿着“理论→实证→对策”的逻辑思路展开研究。首先从环境污染现状、环境规制与污染产业时空演变特征以及污染产业转移特征三方面分析中国工业化进程中污染产业转移的现状；其次，从区位选择视角来分析污染产业转移的内生机理，运用“冰山”交易理论构建新经济地理学模型剖析污染产业转移的内生动力机制；再次，从政府规制和公众参与视角来分析污染产业转移的外生机理，并利用动态演化博弈模型剖析环境规制与公众参与作用下污染产业转移的外生动力机制；然后，构建面板数据模型实证检验污染产业区位选择的影响因素以及环境规制和公众参与作用下污染产业转移的动力机制，并且考察“污染天堂假说”在中国是否存在；最后，提出以市场调控为基础、政府环境规制为主导和公众参与为辅助的政策建议。

摘 要

在产业结构调整和生态环境改善需求的双重压力下,曾经对东部沿海、南部沿海等发达区域经济增长做出重大贡献的污染产业,其生存和发展空间日益受到挤压,污染产业转出已成为这些区域发展的首要选择。而长江中游、大西南等欠发达区域正处于工业化加速推进时期,为了吸引外来投资,地方政府不惜以牺牲生态环境为代价竞相放松环境规制,甚至实行零规制,成为吸引污染产业转移的重要因素。污染产业转移带来的污染转移是环境空间维度冲突的重要表现形式,也是中国生态环境质量局部改善而整体难以根本好转的重要原因。基于此,本书选择中国污染产业转移问题作为研究对象,对环境规制、公众参与作用下污染产业转移的动力机制和政策体系进行考察。这不仅能弥补国内现有理论研究的不足,而且也有助于破解工业化进程中生态环境局部好转而整体恶化这一环境规制困局,为发达区域产业转型升级和欠发达区域承接产业转移提供决策参考。

本书沿着“理论→实证→对策”的逻辑思路展开研究。首先从环境污染现状、环境规制与污染产业时空演变特征以及污染产业转移特征三方面分析中国工业化进程中污染产业转移的现状;其次,从区位选择视角来分析污染产业转移的内生机理,运用“冰山”交易理论构建新经济地理学模型剖析污染产业转移的内生动力机制;再次,从政府规制和公众参与视角来分析污染产业转移的外生机理,并利用动态演化博弈模型剖析环境规制与公众参与作用下污染产业转移的外生动力机制;然后,构建面板数据模型实证检验污染产业区位选择的影响因素以及环境规制和公众参与作用下污染产业转移的动力机制,并且考察“污染天堂假说”在中国是否存在;最后,提出以市场调控为基础政府环境规制为主导和公众参与为辅助的政策建议。具体而言,本研究主要涉及了以下几个方面的内容:

第一章:导论。本章系统地阐释选题背景、研究意义、国内外研究现状、研究思路及结构安排、研究方法和创新之处。

第二章:中国工业化进程中污染产业转移的现状分析。本章首先运用图表法

分析中国工业化进程中的环境污染现状;其次,剖析环境规制的变化特征,归纳污染产业分布的时空演变特征;最后,从形式、路径以及效应三方面概括污染产业转移特征。研究发现,环境污染最为严重的区域为黄河中游、北部沿海以及大西南地区,污染产业空间分布呈现出大西北最分散、北部沿海最集中、黄河中游由分散到集中、东部沿海和南部沿海由分散到集中再到分散、长江中游由集中到分散再到集中的变化趋势。

第三章:污染产业转移的内生动力机制研究:基于新经济地理学视角。本章首先介绍“冰山”交易理论的基本思想;然后,分析污染产业转移的内生机理,指出污染产业转移是适应自身区位要素禀赋的一种理性的区位调整行为,而影响污染产业区位选择的主要因素为经济发展现状、要素禀赋、基础设施水平和产业配套能力;最后,运用“冰山”交易理论,并借鉴 Dixit-Stiglitz 模型深入剖析污染产业转移的内生动力机制。

第四章:污染产业转移的外生动力机制研究:基于演化博弈视角。本章首先简单介绍演化博弈模型的基本思想;其次,从地方政府招商引资竞争、现行环境规制体制以及公众参与环境保护三方面分析污染产业转移的外生机理;再次,利用动态演化博弈模型剖析地方政府之间、地方政府与污染产业之间的相互作用过程,总结环境规制作用下污染产业转移的外生动力机制;最后,构建公众与污染产业的动态演化博弈模型,通过公众与污染产业在各种成本下的选择行为分析公众参与作用下污染产业转移的外生动力机制。

第五章:基于环境规制和公众参与的污染产业转移实证研究。本章首先从八大区域构建面板数据模型,实证检验了污染产业转移的区位选择因素,得出劳动力、资本和技术是影响污染产业转移主要影响因素的结论;其次,利用面板单位根检验、协整检验、格兰杰因果关系检验以及回归分析方法对环境规制和公众参与作用下污染产业转移的动力机制进行实证检验,发现环境规制和公众参与都对污染产业转移具有促进作用,但环境规制的影响程度大于公众参与;最后,从八大综合经济区深入考察“污染天堂假说”在中国是否存在。结果显示,“污染天堂假说”在中国是否存在不能一概而论,长江中游地区完全支持“污染天堂假说”,黄河中游、北部沿海和南部沿海地区的部分指标支持“污染天堂假说”,东部沿海、东北地区、大西南和大西北地区完全不支持“污染天堂假说”。

第六章:结论与政策建议。在前面研究的基础上,本书认为推动污染产业转移的重要因素是环境规制和公众参与,由此提出了以市场调控为基础、政府环境规制

为主导和公众参与为辅助的政策,从而构建政府、公众、污染产业、环保 NGO 等不同主体的污染产业转移“多中心”治理模式。

关键词:环境规制,公众参与,污染产业转移,多中心治理

Abstract

Under the double pressures of the adjustment the industrial structure and the ecological environment's improvement, the survival and development space of pollution industry which made significant contributions to the economic growth of developed areas such as southern coast and the northern coast, are increasingly being squeezed. So the pollution industries' transfer becomes the primary choice to the development of this region. In order to attract foreign investmentes, developing areas such as the northwest areas and the southwest areas in the period of accelerating industrialization sacrifices ecological environment to relax environmental regulation, even zero regulation, which become the important factors of the pollution industry transfer. Pollution transfer was caused by the pollution industry transfer is not only the important manifestations of environmental spatial dimension conflict, but also the important reason of partial and not overall improvement of the ecological environment quality. Based on this, this project chooses Chinese pollution industry transfer problem as the research object, and do researches with the dynamic mechanism and policy system of pollution industry transfer under the action of environmental regulation and public participation, which not only enriches the existing theoretical research, but also helps to decode environmental regulation dilemma that ecological environment partial improvement but overall deterioration in the process of industrialization, and providing decisive references for the eastern region industrial transformation and upgrading, also the Midwest undertaking industry transfer.

This project extends the study along with the logic path of "theory - empirical - resolutions". Firstly, it analyzes the presently status of pollution

industry transfer in China's industrialization processes from environmental pollution status, environmental regulation and pollution industry space-time evolvement characteristics, pollution industry transfer characteristics. Secondly, it analyzes the endogenous mechanism of pollution industry transfer from the perspective of locative choice, and the researches the endogenous dynamic mechanism of pollution industry transfer through the new economic geography model. Next, it analyzes the exogenous mechanism of pollution industry which transfer from the perspectives of government regulation and public participation, and the studies of the exogenous dynamic mechanism of pollution industry transfer under the action of environmental regulation and public participation using the dynamic evolution game model. Then, it tests influential factors of pollution industry location selection, empirically analyzes the dynamic mechanism of pollution industry that transfer under the action of environmental regulation and public participation with panel data model, and examines whether the "pollution has hypothesis" exists in China. Finally, it puts forward policy suggestions that acts market regulation as foundation, government environmental regulation as domination and public participation as auxiliary. On the whole, these researches mainly involve the following contents:

Chapter 1: the introduction. It systematically illustrates the thesis background, research significance, research status at home and abroad, research ideas and structure arrangement, research methods and innovations.

Chapter 2: the current situation of pollution industry transfer in China's industrial process. Firstly, it researches environment pollution status in China's industrialization process using the chart method. Secondly, it studies variable characteristics of environmental regulation, including the space-time evolvement characteristics of pollution industry distribution. Finally, it summarizes characteristics of pollution industry transfer from the three aspects including form, path and effect. The study finds that the most serious area of environmental pollution is the middle and lower reaches of the Yellow River, the southern coast, the northern coast, the southwestern region, and pollution

industry spatial distribution shows the trends that the northwest China is the most scattered, the northern coast the most centralized, the middle reaches of the Yellow River from scattered to be centralized, the eastern coast and the southern coast from being scattered to be centralized and scattered, the middle reach of Yangtze river from centralized to scattered to centralized.

Chapter 3: the endogenous dynamic mechanism of pollution industry transfer; based on the perspective of new economic geography. Firstly, this chapter introduces the basic idea of “iceberg” trade theory. Secondly, it analyzes the endogenous mechanism of pollution industry transfer, pointing out that the pollution industry transfer is a rational location adjustment behavior adapted to its locational factor endowments, and the main factors affecting pollution industry location choice have economic development status, factor endowments, infrastructure level and industrial supporting ability. Finally, using the “iceberg” theory of new economic geography and drawing lessons from Dixit-Stiglitz model, it analyzes the endogenous dynamic mechanism of pollution industry transfer.

Chapter 4: the exogenous dynamic mechanism of pollution industry transfer; based on the perspective of evolutionary game theory. Firstly, this chapter introduces the basic ideas of evolutionary game model. Secondly, it analyzes the exogenous mechanism of pollution industry transfer from local government to attract investment, current environmental regulation system, and public participation in environmental protection. Thirdly, using the dynamic evolution game model, it analyzes the interaction process between local governments, between local government and pollution industry, summarizes the exogenous dynamic mechanism of pollution industry transfer under the action of environmental regulation. Finally, it builds the dynamic evolution game model of the public and pollution industry, analyzes the exogenous dynamic mechanism of pollution industry transfer under the action of public participation by the strategy choice behavior between them under various cost.

Chapter 5: empirical researches based on pollution industry transfer of environmental regulation and public participation. Firstly, this chapter builds

panel data model empirical tests location choice factors of pollution industry transfer, concluding that factors such as the labor, capital and technology for pollution industry transfer play a role in promotion. Secondly, it empirically tests the dynamic mechanism of pollution industry transfer under the action of environmental regulation and public participation using panel unit root test, cointegration test, granger causality test and regression analysis methods, discovering that environmental regulation and public participation have promoting effect on pollution industry transfer, but the influence degree of environmental regulation is greater than that of public participation. Finally, it investigates whether “pollution haven hypothesis” exists in China based on the perspective of eight comprehensive developing zones. The results show that a completely definite answer can not been given towards whether “pollution Haven Hypothesis” exists in China or not, places where definitely support “pollution Haven Hypothesis” are regions like the middle reaches of the Yangtze river, places where partially support “pollution Haven Hypothesis” are regions like the middle reaches of the yellow river and the northern coastal areas and the southern coastal areas, while places which don’t support “pollution Haven Hypothesis” are regions like the eastern coastal areas and the northeast areas and the southwest areas and the northwest areas .

Chapter 6: conclusions and policy suggestions. Based on the previous researches, this project holds that the important factors of promoting pollution industry transfer are the environmental regulation and the public participation, thus puts forward the policy that acts the market as regulation, the government environmental regulation as domination and public participation as auxiliary, building polycentric governance pattern of pollution industry transfer from different subject including government, pollution industry, environmental protection NGO.

Key words: environmental regulation, public participation, pollution industry transfer, polycentric governance

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