

# 政府竞争力 理论与实证研究

王作成 著

Research  
on Government  
Management Competitiveness



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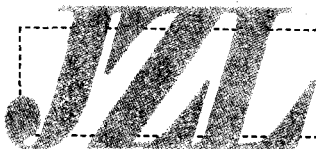
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## 序

犹如一棵根深叶茂的参天大树,展示百年风雨沧桑后的成功;犹如一艘航空母舰,具有一个尚无懈可击的强大系统组合;犹如一箱蜜蜂,自组织了分工协作的高效团队,客观存在的形形色色的竞争力魅力无穷。竞争力研究正向我们走来,也正在征服世界,经济学家、管理学家、统计学家倾注极大兴趣,政府、企业、金融实际部门喜欢她,在社会各界追逐之中,她正在焕发出青春,为人类社会发展作出巨大贡献。

竞争力所表现出的经济学内涵是竞争力资源及其配置的新理论,它们是直接决定经济系统和社会系统的价值创造能力和水平。竞争力所表现出的管理学内涵是竞争力目标、竞争力要素和竞争力耦合关系与互动作用的成长机制。因研究的实际客体不同,竞争力系统的理论概念及其理论也不同。例如企业竞争力、产业竞争力、科技竞争力、政府竞争力、金融竞争力、银行竞争力等等,客体不同,竞争力的表现和要素及其作用有比较大的差别,但是,竞争力的基本原理和方法还是有比较的一致性和相互借鉴意义。竞争力目标是由竞争力资源属性及其配置性质决定的,竞争力目标是对竞争力系统客观解释或识别的关键一环,也正是基于竞争力目

标,我们才能有效地分析竞争力资源的聚集方式和作用力机制,以及分析或判别竞争力优势和劣势。竞争力要素是竞争力资源及配置的流量显现,它是我们研究竞争力结构和竞争力成长动力关系的基础。

竞争力的统计学根基是建立在竞争力标准信息和对标分析与系统动力功能的统计识别上,科学的统计思想和现代统计方法模型为竞争力的应用研究提供了科学基础。用竞争力做竞争力恰恰充分体现了科学运用统计理论与方法的决定性作用。

核心竞争力、基础竞争力、环境竞争力是我们研究竞争力的基本理论体系。所谓核心、基础、环境,是针对竞争力系统的要素作用属性而划分的基本结构,它们在解释竞争力目标上是不同的,而只有三位一体,才能保证竞争力的持续提升的最优成长方式。在实际应用研究中,哪些因素对于聚集竞争力资源和培育竞争力优势最为关键和重要?哪些因素对于短期竞争力状态最为重要?哪些因素对于中长期竞争力形成最为关键和重要?是竞争力研究者必须研究清楚的问题。经过我们二十来年的研究成果和研究经验的积累,我们认为竞争力只有核心,没有范围,识别竞争力要素有客观存在的逻辑顺序和互动的作用,在统计上有待深入发展更有效的理论和方法。


竞争力要素分为硬、软两类,硬竞争力要素体现为事后结果的直接统计测度的特性,而软竞争力要素需要借助统计方法,将定性问题定量化,用以测度或识别竞争力的机制、关系、潜力等要素特征。我们的研究经验表明,竞争力应用研究必须有竞争力数据库和现代统计方法模型的扎实基础,并连续不断地研究一个客观存在的竞争力,累积性研究成果对于复

杂的竞争力系统认识非常关键和重要。

竞争力研究的确是一个魅力无穷的重要研究领域,它集理论、方法、数据、行为、互动等现代应用研究的复杂特征于一体,对实际部门具有非常大的潜在应用价值。我们为之不懈努力奋斗二十来年,积累了大量的数据和模型方法,建立了广泛深入的国内外学术界、实际部门的联系,也作出挑战实际重要应用的许多实际例子,鉴于这种基础和考虑,我们推出竞争力研究丛书,以全面推动我国竞争力理论、方法和应用研究。

赵彦云

2006年9月30日于人民大学明德楼



## 前言

政府竞争力是竞争力理论的一个重要方面,也是经济全球化和信息化时代国际经济发展面临的现实问题。本书尝试从统计分析的角度,在前人研究的基础上,进一步揭示政府竞争力的机制、效应和变动特征。

政府竞争力是在政府竞争系统中某一政府所表现出来的参与竞争的能力。这里的政府竞争是指两个以上的国家或地区竞争性的提供公共产品,以便吸引投资与发展本国或本地区经济的政府间竞争。它是国与国之间或地区与地区之间政府治理能力、政府质量之间的竞争,是各国或各地区之间在投资环境、法律制度、政府效率等方面的竞争。

在分析政府竞争概念的基础上,本书把政府竞争力的概念界定为:所谓政府竞争力,就是指两个或两个以上的国家或地区的政府在竞争过程中所表现出来的相对优势、比较差距、吸引力与收益力的一种综合力。

本书研究的政府竞争力,并不是仅就政府本身进行讨论,而是在国际竞争的大环境和政府在经济发展过程中发挥作用的大背景下,把它作为一个相对独立的系统进行研究。在现有的研究成果中,制度经济学对政府竞争行为进行了比较深入的研究,而且出现了许多政府竞



争模型,这是认识政府竞争力的竞争主体、竞争对象、竞争手段、竞争策略进而分析政府竞争力结构的基础。国际竞争力理论和政府绩效评估等相关理论中,也对政府竞争力或政府管理结构进行了分析,其总的思路是从政府运作涉及的方面和政府作用的效果进行评价,如国际竞争力中是从公共财政、财政政策、制度框架、商务立法、社会框架五方面反映政府效率,国家人事部提出的中国政府绩效评估体系由职能绩效、社会经济影响和潜力指标构成。本书将这些研究的思路进一步延伸,把政府竞争力作为一个系统从动态的角度进行拓展,从其发挥作用的基础、能力和效果这样一个内在的过程出发,第一章在分析政府竞争模型的基础上,对政府竞争力结构进行了设定,把政府竞争力细分为由架构竞争力、能力竞争力和执行竞争力组成的三位一体的结构。第二章在借鉴一些测度方法包含的指标的基础上,以政府竞争力三位一体的结构框架为依托,给出了一套政府竞争力的统计描述体系。第三章利用协方差结构模型,把政府架构竞争力、能力竞争力和执行竞争力作为潜变量,选择上面的统计描述指标中的部分指标作为观测变量,建立了政府竞争力结构与机制分析模型,使用IMD国际竞争力资料中1998年~2003年各个国家共计251个样本的数据,对上面关于政府竞争力结构和机制所作的假设进行了验证。第四章利用IMD国际竞争力体系中的政府竞争力结构框架,使用2004年评价的60个国家和地区的资料进行了研究。第五章对我国政府竞争力表现从静态和动态两个角度进行了研究,研究表明,我国的政府竞争力在国际上的排名近年来处于稳中趋升的走势,相对于国际竞争力的排名比较靠前。第六章对全书的主要结论进行了归纳总结。

本书的创新之处主要包括以下几个方面:

1. 在政府竞争力理论上,区别于现有政府竞争力结构以微观机制和具体内涵为主的理论,本书提出了政府竞争力三位一体的结构,这一政府竞争力结构的特点是把政府竞争力作为一个动态系统,从系统本身的构成、系统的功能、系统的功效三个维度,按照政府架构竞争力、政府能力竞争力、政府执行竞争力三个方面刻画了政府竞争力的本质内涵和骨干框架。

2. 在政府竞争力的评价方法上,过去主要是作为国际竞争力的一部分提出的,重在体现政府在国际竞争力中的功能,对内部机制的反映稍有不足,本书从政府竞争力三位一体的结构出发,提出了一套既反映功能又能测度机制的评价指标体系。

3. 在政府竞争力结构的研究方法上,过去主要是理论分析和统计评价,对其内部机制分析的难点在于原有的机构模型不是一个相互作用的动态结构,本书设定的政府竞争力三位一体的结构,满足了协方差结构模型理论先验性的要求,使得政府竞争力构成要素的结构关系及其相互作用的量化分析得以实现。

4. 本书还利用因子分析和典型相关分析,把政府竞争力结构的分析引入更深的层次,利用典型相关分析分析了政府能力竞争力内部的结构关系,利用因子分析分析了政府执行竞争力的内部机制,使这些模型的结构思想和政府竞争力结构和机制的分析得以很好的结合。

5. 在应用分析中,本书得到了一些关于政府竞争力的有意义的结果。如:通过不同类型国家和地区的比较得出,政府竞争力的结构随着政府竞争力的提升存在着结构升级的变化。在政府竞争力发展的不同阶段,起主导作用的结构要素

存在着差异;通过各个国家优劣势指标的分析得出,目前世界政府竞争力的主流优势突出表现在商务立法和制度框架上。在政府竞争力的提升过程中,在结构框架提升的大趋势下,各国的独特竞争劣势逐渐减少,独特竞争优势逐渐凸现;分析指出我国的政府竞争力在国际上居于中等偏上的位置,但是政府竞争力结构仍以公共财政和财政政策为主导,处在政府竞争力的初级阶段,提升的结构空间仍然很大等。

本书在政府竞争力方面的研究还只是初步的,通过对各国政府竞争力的分析和我国政府竞争力的研究,感到政府竞争力需要研究和分析的问题还很多,本书已经涉及的方面有不少还需要进一步的梳理和深化,和我国实际的对接也有待进一步研究。今后还将在这个领域一步一步的深入探索。



## *Foreword*

Government Competitiveness (GC) is an important aspect of the theory on competitiveness, also a realistic issue confronting the development of international economy in the times of economy globalization and informatization. In the thesis, at the angle of statistical, I will further expound the mechanism, effect and varying characteristics of GC.

The GC refers to the ability that a government displays when engaging in the inter-government competition system. Inter-Government competition means that two or more countries or regions competitively supply public products in order to attract investment and develop home countries or local economy. The competition is a comprehensive competition among countries or regions, including the power of government administration, government quality, investment environments, legal system, government efficiency, and so on.

Based on the concept of intergovernmental competition, we define GC as the comprehensive power involving comparable edges, relative gaps, attraction and

earning ability governments of two or more countries or regions display when participating in competition. GC is an overall assessment of a government in enforcing public administration duties of stabilizing macroeconomic operation, strengthening the country's overall economic strength, and other aspects, so as to furthering the country's international competitiveness. A government with stronger competitiveness will be able to sufficiently enforce public administration duties in such areas as infrastructure, civil quality, and etc, timely adjust and control the macroeconomic, provide suitable fiscal policy and rule environments for enterprises' technology upgrade, operation and management, and developing international market, thus, the country's international competitiveness will be enhanced greatly. Otherwise, a government with weak competitiveness will behave badly in adjusting and controlling macro economy, and the public administration of the government will hinder the enhancement of the country's economic strength and the rising of international competitiveness's level.

In order to study GC, we'll not only make a research on the government itself, but also regard it as a relatively independent system against both the international competition and that governments actively participate in economic development. Among extant results, institutional economics has made rather deep research on the competitive behaviors of governments, and some government competition models have emerged. Thus, the foundations for recognizing competitive

subjects, objects, measures, tactics, and structure of GC have been laid down. Other relative theories, including International Competitiveness and Government Performance Evaluation, also analyze GC or the structure of government administration. The general views of these theories are that evaluations should be made on aspects concerning government's operation and effect of government's functions. For example, the international competitiveness expounds the government's efficiency competitiveness from five aspects of public finance, fiscal policy, institutional framework, business legislation and societal framework. The Ministry of Personal of P. R. C. has promulgated a system of the evaluation of Chinese government's efficiency. The system is composed of duty efficiency, social affection, and potential indexes. We'll go forward from these views and advance from a dynamic angle regarding GC as a system. Starting from the inner operation of the basis, ability and effect of the competitiveness, and based on the models of GC, we'll lay down the structure of GC in chapter 1. We elegantly take GC as a triune structure composed of Government's Organization Competitiveness (GOC), Government's Ability Competitiveness (GAC) and Enformancement Competitiveness (GEC). The GOC, composed of government's institution scale, employee scale, expenditure scale, and structure of government, comprises the foundation of GC, and buttresses the long-term development and growth of GC. The government's financial ability, liability condition, and controlling condition to re-

sources directly determine the government's ability to provide public products, embody the government's GAC, and greatly assure GC. The areas, measures, and efficiency of the government's enforcement directly exhibit the government's affection to administrative objects, and display the effects of GC. The GOC determines GAC and GEC; on the other hand, the GEC has reverse functions to GAC and GOC. This is the theoretical hypothesis to be testified by statistics analysis in the next.

In the researches on government administration, there have been some measuring systems of government efficiency, government credit, and so on. For example, the assessment of government administration under Standard & Poor's credit principal, the system of government efficiency administration, the measurement of GC under world competitiveness have been established. In chapter 2, based on the indexes of the above-mentioned systems, buttressed by triune structure of GC, we'll draw up a descriptive system of GC. By means of the measuring system, the thematic analysis on GC can be made. With respect to means of analysis, because the adopted statistical analyzing technology is an open system, many means, including general descriptive statistics, inferential statistics, simple statistical analysis and multivariate analysis, maybe adoptable. Different analytic themes need different analyzing means. To analyze the structure and mechanism of GC, the Covariance Structure model and its relative Causal Analysis model and Confirmatory Factor Analysis

model have been induced in chapter 2.

In chapter 3, by means of the Covariance Structure model, regarding GOC, GAC, and GEC as latent variables, and a part of the above-mentioned statistical description indexes as select observed variables, the analyzing model of the structure and mechanism of GC has been established. The hypothesis on the structure and mechanism of GC has been testified by utilizing the data of 251 samples of all nations extracted from IMD's world competitiveness data from 1998 to 2003. The researches show the hypothesis of the triune structure of GC is valid in general. In the interrelations among GOC, GAC, and GEC, GOC has the biggest impact on GAC, GAC has a positive impact on GEC, but GOC has a negative impact on GEC. In general, the expansion of the scale and expenditure of government can broaden the government's ability, but can also weaken GEC. A comparative research of the data relating to GOC shows there is a continual expanding trend in the scale of employee and expenditure, but every country tries it's best to resist the trend and improve the efficiency. By the Typical Correlation Analysis of GAC, we can see that the major manifestations of GC are the realistic ability through the fiscal ability and the implicit ability embodied by debt ability. The analytic research using Factor Analysis shows that GEC is displayed in two aspects: the enforcement measure and the enforcement efficiency.

The analysis of the outer impact of GC using Spearman's rank correlation test shows that GC correlates significantly



with world competitiveness, economic performance and business efficiency, but the GC's impact on those three aspects are different. GC has biggest impact on the world competitiveness; the business efficiency and economy performance are next to it. GC is not the sufficient condition to the enhancement of country's competitiveness, but the necessary condition.

To analyze the varying feature of GC, using the GC's framework in the system of IMD's world competitiveness and the data of 60 countries and regions evaluated in 2004, we've made an elaborate study in chapter 4. By comparing counties that their GC in different levels, that their economy development in diverse levels, main international bodies, and Cluster Analysis based on the structure factor of GC, we can deduce that there are changes of structural upgrade coupling with the enhancement of competitiveness. During this period, the institutional framework competitiveness will be enhanced coupling with the increase of GC. The fiscal policy, the public finance, institutional framework and business legislation all display conspicuous characteristics of stages. In the elementary stage of GC, the fiscal policy and public finance displays dominating functions. With the enhancement of GC, in the middle stage, the fiscal policy and public finance still have important functions, but the institutional framework has had a function not less important than the previous two. In the senior stage of GC, the dominant factors have changed fundamentally, and the business legisla-