

21世纪统计学丛书

# 自然资源混合市场机制

## 及其优化研究

王万山 著



中国物资出版社

21 世纪统计学丛书

# 自然资源混合市场机制 及其优化研究

中国物资出版社

图书在版编目(CIP)数据

自然资源混合市场机制及其优化研究:兼论中国自然资源混合市场建设 / 王万山著. —北京:中国物资出版社, 2004.11

(21 世纪统计学丛书)

ISBN 7-5047-2277-4

I. 自… II. 王… III. 自然资源—市场经济学—研究  
IV. F062.1

中国版本图书馆 CIP 数据核字(2005)第 014042 号

责任编辑 张冬梅

责任印制 张清钰

责任校对 王云龙

中国物资出版社出版发行

网址: <http://www.clph.cn>

社址:北京市西城区月坛北街 25 号

电话:(010)68589540 邮编:100834

全国新华书店经销

南昌市东城印刷厂印刷

开本:850 毫米×1168 毫米 1/32 印张:81 字数:1889 千字

2004 年 11 月第 1 版 2004 年 11 月第 1 次印刷

书号:ISBN 7-5047-2277-4/F·0889

印数:0001—1000 册

定价:280.00 元 (全套丛书共 10 册)

(图书出现印装质量问题,本社负责调换)

## 摘 要

在自然资源有效配置研究中,要政府还是要市场是伴随经济学成长的一个难解的结。古典经济学认为自然资源的配置问题可以通过市场的价格机制得到解决,庇古的外部性理论强调政府管理的庇古税方式,而科斯的“科斯市场”理论则强调市场的作用。实际上,如何把庇古为代表的政府管理理论与以科斯为代表的市场理论结合起来解决自然资源配置中的市场失灵与政府失灵问题,是近十几年来自然资源经济学研究中的前沿问题。

本文正是基于这个前沿焦点问题去展开研究,力求解决如何建立一种政府与市场“对接”的机制,才能使自然资源的配置达到最高效率这个经济学难题。国外理论研究的多数结论认为,解决自然资源配置中政府与市场对接的问题,关键是政府应该放松规制和优化规制。本文则从新的理论视角出发,把政府和企业均视为自然资源混合市场中的主体,从整体的混合市场角度研究自然资源的配置问题,即把自然资源市场视作公权市场与私权市场的结合体,政府是“混合市场之内”的一份子,而不是传统理论认为的政府是“市场之外”的管理者。为此,本文理论研究部分主要依据新制度经济学分析方法和成本—效益分析方法自下而上研究自然资源混合市场的运行机制及其优化的制度途径:

文第二章首先阐述和介绍自然资源市场相关的基础理论,主要介绍庇古税理论、科斯定理和市场规制理论,后者包括公共利益理论、俘虏理论和现代市场规制理论,如寻租理论、可竞争性市场理论和新制度经济学规制理论等。本文第三章以前人理

论研究为基础,从新制度经济学理论视角创新诠释了市场的内涵,在此基础上创新建立起自然资源混合市场理论,并解释其运行的内在经济机理。本文第四章展开研究自然资源混合市场有效运行的制度基础和制度环境,包括两部分:一是政府有效规制自然资源混合市场的制度安排,主要研讨自然资源公权市场及政府微观规制主体如何有效运行问题;二是企业(农户)有效交易自然资源产权的制度条件,主要研讨混合市场的特色运行主体——资源型国有企业与资源型自然垄断企业有效运行的制度安排与制度条件。论文第五章进一步研究自然资源混合市场制度优化问题,包括两部分,第一部分研究自然资源公共性、外部性和跨代性特征,导致自然资源市场失灵的经济机理,各种治理措施的成本与效益分析以及混合市场优化的制度安排与制度途径;第二部分在此基础上研究各国自然资源市场混合化发展的形态,政府、企业(农户)进入自然资源混合市场的深度及其最优均衡的制度安排。

本文的选题和研究还注重我国理论研究和实践的需要。理论上,近年来我国自然资源优化配置研究很多都集中在产权制度改革、引入市场机制和激励性的经济规制手段方面,强调政府与市场结合,但其内在的经济机理是什么?该如何结合?还没有学者从理论上研究解决这一难题。本文在理论研究部分探讨了这些问题,在应用研究部分具体研究其解决方法。实践上,我国是自然资源相对贫乏的国家,同时又是自然资源使用效率较低的国家,目前自然资源合理利用和保护存在着严重的问题。随着人口增长和经济起飞发展,在今后相当长的时间内,我国自然资源供需紧张的状态将长期存在,这极需要在自然资源配置制度上进行创新,而制度创新的核心是我国至今还依然保持强大“计划”惯性的自然资源管理体制如何引入市场机制以建立起

政府—市场—企业良好衔接的“混合市场”制度。本文应用研究部分力求应用理论研究部分的研究成果来具体解答这个难题。

本文应用研究部分包括两章内容。第六章选择二个代表性的自然资源市场改革案例进行调查,在调查的基础上进行理论分析与理论验证:通过对江西省实施退耕还林政策的调查,研究和分析我国退耕还林政策实施中政府、企业(农户)的产权冲突及其解决的混合市场途径;通过鄱阳湖水资源利用和保护机制演变的调查与分析,来作为自然资源混合市场机制理论的一个历史数据及实践经验实证。第七章具体研究中国自然资源混合市场建设的制度路径,首先研究自然资源市场运行主体制度优化,包括政府规制自然资源市场的微观规制主体制度优化,资源型国有企业、乡镇企业和农户产权安排优化和交易自然资源产权制度优化。在此基础上结合自然资源产权制度改革研究我国自然资源混合市场建设的具体制度路径。

本文研究得出的基本结论是:自然资源是典型的同时具有公共品和私人品特征的混合品,其有效配置需要一个公共产权与私有产权良好衔接的混合市场,这个混合市场不是简单的政府与市场的联合,而是有其自身运行规律的“中间体”市场,包含着一种混合市场制度,即需要政府介入规制和政府微观规制主体能够有效运行,同时具有混合形态的资源型国有企业和资源型自然垄断企业具备竞争压力和市场效率。这种混合市场制度有效运行的前提条件是公权市场和私权市场有效率,在此基础上,还应合理安排公权市场与私权市场在混合市场中的比例和采取两者有效配合的制度安排,以达到避免自然资源因公共性、外部性和跨代性所带来的市场失效和政府失效。我国自然资源混合市场建设,首先必须改革政府规制自然资源市场中的规制主体生成与运行制度、以及规制的方式和手段,同时改革资源型

国有企业、乡镇企业和农户的产权制度,在此基础上与自然资源产权制度改革紧密结合去建立公权与私权互相融通、互相竞争与互相制约的自然资源混合市场。

## Abstract

Does the government work well or the market work well? This is the problem in the theory research on how to use and protect the natural resources in high efficiency, and also this is the difficult problem to resolve in the economics development processing. The classic economics thinks the problem which how to use natural resources efficiently can be resolved automatically by the marketing pricing system. Pigou's externality theory thinks the problem should be resolved by the government's administration of pigouvian tax; and in the other hand, the coase's marketing theory emphasize it should be resolved by the marketing mechanism. In fact, how to combine the theory of government administration which be represented by pigouvian tax and the theory of market mechanism which be represented by coase theorem to eliminate market failure and government failure when people use and protect natural resources, is the proceeding problem which natural resource and environment economics is being researching in near twenty years.

The paper just research this problem, try to establish a mechanism system that government and market can cooperate together well to enhance the efficiency when people use natural resources. The conclusion by the foreign theory research most think the government loose regulation and optimize regulation are the key to solve the problem that government cooperate



with market system. The paper from the new theory angle, put forward a new theory which think government and enterprise are also the main body of the natural resources mixed market, namely, the theory think the natural resources market is integration of public property rights market and the privacy property rights market, government is only one main body of the natural resources market. It is not like the viewpoint that traditional theory thinks which government is the administrative organization besides the market. In other word, the paper from the unitary mixed market to research the problem which natural resources use and protect. To arrive the research target, the paper mostly use the new institution economics theory and its method, and the cost—value analysis method to research the mechanism of natural resources mixed market and its optimum institution way to optimize it.

The second charter of the paper introduces the basic theory about the natural resources market. It comprise the pigouvian tax theory, coase theorem, and the market regulation theory which include the public value theory, the capture theory, and the modern market regulation theory which include the rent—seeking theory, the contestable market theory and the new institution economics regulation theory. The third charter of the paper innovate a new market theory from the institution economics angle and the basic market theory, base it to put forth a new theory about the natural resources mixed market, and interpret its operating mechanism of economics. The forth charter of the paper outspread to discuss the basic institution

system and the institution environment which the natural resources mixed market can operate efficiently, it comprise two parts. The first part research the institution arrangement that government can regulate the natural resources mixed market efficiently basing the research which discuss how to arrange the regulation institution can make the natural resources public property rights market and the microcosmic regulation organization work well. The second part researches the institution environment which enterprise and the farmer can exchange their property rights of the natural resource products efficiently, basing the research which discuss how to arrange the enterprise institution system can make the state-owned enterprise and the natural monopoly enterprise in the natural resources industrial, namely, the characteristic main body of the natural resources mixed market, to operate efficiently. The fifth charter of the paper put a more step to research the problem of institution optimum of the natural resources mixed market. It includes two parts. The first part researches the natural resources' economic characteristic of the public goods character, externality character and striding-life character, and the economic mechanism which cause natural resources market failure. Then, evaluate the effect of regulation countermeasures by analyzing their cost and benefit, and research the optimum institution arrangement and the institution reform pathway for the natural resources mixed market. The second part research the development character of the world natural resources market, and the best deepness that government, en-

enterprise and farmer entry the natural resources mixed market, and the institution arrangement to make the entry of government, enterprise and farmer can reach the most optimization equilibrium.

The paper also pays attention to the requirement of Chinese theory research and practice in natural resources field. In near years, Chinese theory research about natural resources collocation optimization most concentrate on the reformation of property rights, the marketing mechanism which use to instead of some government's administration function and the incentive regulation measures which use to control and administrate the natural resources products yielding and exchanging. These theory researches almost make the same conclusion which emphasize government's administration should combine the marketing mechanism, but why government should do it? How to do it? No theory tells the answer, and no academician resolve this difficult problem by give out a theory that most researcher fell satisfactory and conviction. The paper discusses this problem in theory research part, and put out the resolving methods in appliance research part. China is the country that natural resources are relatively lack, and at the same time, it is the country that efficiency of using natural resources is quite low. At present time, there are lots of serious problems in using and protecting natural resources in china, they will become more serious in the future when population grow up and economy take off, at result, china's natural resources supply will strained in quite a long time in the future. The situation a-

bove thirst for china can reform the institution system of collocating natural resources as quickly as possible. Here, the main problem is the "plan" administration system of natural resources which still keep power inertial how to introduce the marketing mechanism to establish a mixed market institution system which government, market and enterprise can cooperate smoothly together. The paper's appliance research part tries to use the harvest that the theory research part get to solve this difficult problem.

The paper's appliance research part include two charter, the sixth charter select two representative reform cases of natural resources market to investigate, then do the theoretic analyses and theoretic validation base the investigation. First, basing the investigation that Jiangxi province of china carry out the china's sending plough back woodland or lawn policy, the paper research and analyze the property conflict between government and enterprise, farmer in the country to carry out the sending plough back woodland or lawn policy, and its resolve way by establish a mixed market. Second, basing the investigation to the mechanism change in use and protect the water resource of Boyang lake, demonstrate validity of the natural resources mixed market theory by the history data and the practice experience. The seventh charter researches the institution way to establish the china's natural resources mixed market. The first step is to reform the regulation system for the natural resources market by government's microcosmic regulation organization, and reform the property rights institution

arrangement of the state — owned enterprise in natural resources industrial, the villages — owned enterprise and the farmer. The second step is to reform the property rights institution system of china's natural resources, and combine the natural resources property rights reform to establish the natural resources mixed market which fix china's situation.

The paper research makes a basic conclusion. First, the paper think natural resource products is the mixed goods which possess the characteristic of public goods and private goods at the same time, so, it need a mixed market which public property rights market and private property rights market cooperate well to collocate it efficiently. This mixed market is not the market that simply put government and market together, it is the "middle system" market that needs government entry to regulate and the government's microcosmic regulation organization can work efftetely. At the same time, it need the mixed enterprise, namely, the state — owned enterprise and the nature monopoly enterprise in natural resources industrial can operate efftetely. In short, it needs a mixed institution market system. This mixed institution market system can run efftetely only under the situation which public property rights market and private property rights market run efficiently, and their rate have been properly arranged in the mixed market system. Further more, it need design an institution system to make this two market cooperate efficiently. Only the mixed institution market system have been established, the market failure and the government failure that cause by the

effects of public goods, externality and striding — life in the natural resources market can be eliminated. To build a perfect natural resources mixed market system in china, it need follow reformation: First, the institution which government's micro-cosmic regulation organization build and run well, and the measures of regulation should be reformed and optimized. Second, the property rights institution arrangement of the state-owned enterprise in natural resources industrial, the villages-owned enterprise and the farmer should be reformed and optimized. Third, base the above reformation, stride a more step to reform the china's natural resource property rights institution system to create the qualification to build a natural resources mixed market which the public property rights and the private property rights can be in harmony, cooperate, compete and restrict each other.

Key Words: Natural resource; Mixed market; Mechanism; Property rights; Institution

## 目 录

第 1 章 引 论	1
1.1 选题依据与研究目的	1
1.2 研究内容与逻辑框架	8
1.3 研究方法	10
1.4 核心概念阐释	12
1.5 创新之处与不足	13
第 2 章 自然资源市场基础理论评述	15
2.1 庇古式的政府管制理论	15
2.2 科斯式的自由市场理论	21
2.3 市场规制理论	27
第 3 章 自然资源混合市场运行机制	51
3.1 市场的制度经济学诠释	51
3.2 自然资源混合市场运行机制	69
第 4 章 自然资源混合市场有效运行的制度基础	90
4.1 政府有效规制自然资源混合市场的制度安排	91
4.2 企业(农户)有效交易自然资源产权的制度安排	122
第 5 章 自然资源混合市场制度优化研究	159
5.1 基本概念和成本——收益分析方法	159
5.2 公共性与自然资源供求优化	166
5.3 外部性与自然资源供求优化	179

5.4	跨代性与自然资源供求优化 .....	199
5.5	自然资源公私产权混合最优均衡分析 .....	228
第6章	调查与分析 .....	237
6.1	退耕还林政策实施的调查与分析 .....	237
6.2	鄱阳湖区水资源利用与保护机制演变的调查分析 .....	260
第7章	中国自然资源混合市场建设的制度途径 .....	284
7.1	自然资源混合市场运行主体制度优化 .....	284
7.2	我国自然资源产权制度改革与混合市场建设设计 .....	305
参考文献	.....	325
致谢	.....	343



# 第1章

## 引 论

### 1.1 选题依据与研究目的

自然资源经济学的思想,可以追溯到17世纪的威廉·配第和18世纪的马尔萨斯,前者著名的论语:“土地为财富之母,劳动为财富之父”是资源价值论的最早萌芽,后者在1798年发表的《人口原理》中,第一次强烈地提出人口同其他生物一样,具有一种迅速繁殖的倾向,这种倾向受到自然环境(主要指土地——粮食)的限制,第一次为人类的可持续发展敲响了警钟,是后来可持续发展理论激发的思想渊源。18至20世纪初,亚当·斯密、杰文斯、李嘉图、马歇尔等经济学者从自由市场的“稀缺”层面研究了经济与自然资源的关系,如亚当·斯密认为:资源的相对稀缺性在商品市场价格中得到反映,经济发展停滞的根本原因在于相对稀缺资源的分配而非经济发展对自然资源的依靠;李嘉图认为:自然资源的相对稀缺表现在资源市场上价格的上升,相对性稀缺来自于自然有限的再生能力;杰文斯则认为:不