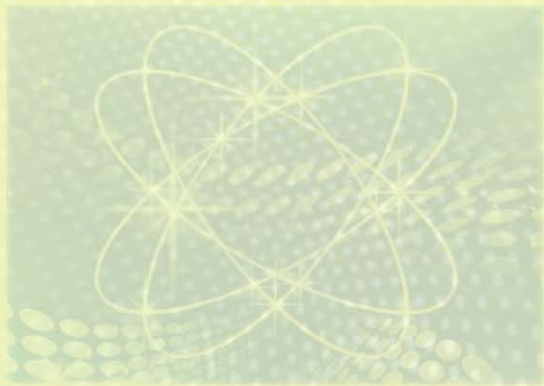


# 中国农村公共品供给效率研究

廖清成 著



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## 摘 要

进入上世纪 90 年代以来,“三农”问题逐渐成为理论界、决策层关注的焦点、平民百姓议论的热点。在中央的政策文件中,在理论界的研讨会上,甚至是朋友间的闲聊中,“三农”问题也往往是一个“关键词”。农民增收困难、农村发展缓慢、城乡差距扩大等问题已成为建设全面小康社会的制约因素。因此,全面解决“三农”问题,统筹城乡经济、社会发展是关系到全面建设小康社会的战略任务。

党和政府历来重视“三农”问题,党的“十六大”报告用了很大篇幅讨论“三农”问题;中共中央、国务院在 2004、2005 年连续下发“一号文件”,就农民增收和提高农业综合生产能力等问题作出了周密部署。

理论界多年来围绕“三农”问题也进行了广泛的研究。在关于“三农”问题的研究中,形成了以下几个焦点问题:一是“三农”问题的核心是什么,二是“三农”问题产生的根源是什么,三是解决“三农”问题的出路在哪里。笔者认为,“三农”问题的核心实质上是农民的生存权和发展权问题,并具体地体现在农民的收入和发展机会上,公共品则为农民的生存权和发展权提供最基本的保障。

公共品所具有的特性使得市场机制在提供公共品时失灵。但是,类似国防、公共秩序、法律制度、天气预报、义务教育、科技推广等物品或服务又是人类社会存在与发展须臾不可分离的,因此,这类物品或服务只有依靠政府来提供,提供公共品也就成为政府的一项基本职能。

在工业化初始阶段,经济增长成为决策者的首选目标,农业支持工业、为工业提供积累是世界各国带有普遍性的趋向。这实际上就是我国自新中国成立以来实施城市偏向、工业偏向型发展战略的重要原因。这一非均衡发展模式逐步形成并强化了城乡二元经济结构,同时也形成了城乡相对独立的公共品供给体系:城市公共品基本上由国家财政供给,而农村公共品则主要由农民以出钱出力的方式“自给自足”,财政提供的公共品十分有限,诸如农村义务教育等许多本应由财政提供的公共品却由农民“买单”。所以,在工业化的初始阶段,非均衡发展模式下城市偏向型的财政体制使农村公共品的短缺成为一种必然。

当工业化达到相当程度后,“工业反哺农业”、城市支持农村,实现工业与农业、城市与农村协调发展,这也是诸多国家带有普遍性的趋向。实行“工业反哺农业”,支持农村发展的战略是加快推进现代化建设的必由之路。我国已经进入工业化中期阶段,采取“工业反哺农业”、城市支持农村的相应措施,以实现工业与农业、城市与农村协调发展的条件已成熟。这就意味着,我国非均衡发展的战略已完成其历史使命,构建和谐社会、统筹城乡经济社会发展将成为新时期新阶段的发展战略。“工业反哺农业”,支持农村发展将成为今后的农村公共品供给制度的安排,所以,财政用于农村公共品供给资金总量的增加将成为必然的趋势。

尽管“工业反哺农业”,支持农村发展成为新的农村公共品供给制度的安排,但是,在未来相当长的一个时期内,相对于农民、农业、农村对公共品的需求而言,国家的财力毕竟有限,因此,在此约

束条件下有必要优先考虑有限的公共资源如何发挥最大效用的问题,这就提出了公共品供给的效率问题。

根据财政支出效率理论,在既定的供给规模下,不同的供需偏好将形成不同的供求决策,从而形成不同的供给结构,最终产生不同的供给效率。农村公共品供给效率可以分为三个层次:一是宏观层次的制度效率,即在特定的公共品供给制度安排下,资源配置是否符合帕累托要求,是否能体现公平,或者说,在这种制度安排下社会能否得到和谐发展。可见,公共品供给制度中效率是形成总量性短缺的直接原因。二是中观层次的供需均衡效率,即当供需处于均衡状态时,资源得到有效配置,从而实现均衡效率。三是微观层次的技术效率。技术效率是指不同公共品间的组合效率。并且,这三个层次的效率之间是相互影响的。因此,均衡问题、技术结构问题都可能导致出现结构性短缺的状况。所以,效率问题是一个相当复杂的系统,单独研究某一层次的效率是远远不够的。

因此,要加快解决“三农”问题的进程,统筹城乡发展,建设全面小康社会,一方面,要改变形成城乡经济二元结构的制度安排,实现制度变迁,构建完备的农村支持体系,实行均等化财政政策,不断加大对农村公共品的供给;另一方面,必须看到,在未来相当长的一个时期内,相对于农民、农业、农村对公共品的需求而言,国家的财力是有限的,即受制于预算硬约束。有鉴于此,开展有关农村公共品的供给效率问题的研究具有一定的理论价值与实践意义。

本书采用实证分析与规范分析、定量分析与定性分析相结合的研究方法,系统研究了农村公共品供给效率问题。全书共分7部分展开。

第一部分主要介绍了选题的目的、意义,国内外研究现状和研究框架。通过对研究现状的分析发现,现有有关农村公共品问题的研究主要集中于从制度变迁、农民负担、税费改革、供给体制创

新等角度论证了增加农村公共品供给问题的重要性、必要性、可能性。而有关农村公共品的供给效率问题尚未引起人们的足够重视。发展中国家在宏观经济改革过程中不断遇到预算吃紧的问题,因此,在现有的预算支出格局中,在不断增加支农支出的同时,如何提高资金使用效率就显得十分重要。

第二部分主要介绍了研究公共品问题的主要理论基础。公共品问题目前已成为理论界研究的一个热点问题。公共品是公共财政学的核心范畴,而研究公共品问题并不仅仅限于公共财政学、经济学的其他分支,甚至其他学科,如政治学、社会学等也很重视对公共品问题的研究。本选题主要以公共品理论、效率及财政支出效率理论作为理论基点,综合运用有关学科的相关理论研究公共品供给效率问题。

第三部分通过建立理论模型,研究了在政府不同的目标函数下的政策选择及其对农村公共品供给制度效率的影响。在经济社会发展的一定历史阶段,城市偏向型的财政体制会引起更高的经济增长,但也会造成财政资源在城乡分配公平上的损失;而城乡均等化的财政资源分配方式能提高财政资源分配的公平程度,但却会造成经济增长的损失。这是任何一个决策者都要面对的矛盾,协调这一矛盾的办法就是要在公平与效率之间找到一个动态的平衡点,即当公平问题或效率问题影响到社会的发展时,就必须按照相机决策原则作出相应的调整。

第四部分则从实证的角度分析了新中国成立以来,不同时期农村公共品供给制度特征及其制度效率。长期以来,在城市偏向、工业偏向型的二元经济社会结构下,建立在公平缺失情况下的农村公共品供给制度是缺乏效率的,这就从实证分析的角度论证了理论模型。

第五部分在分析了农村公共品供求规律和供需偏好的基础上,研究了农村公共品供给均衡效率,指出公共品的供给和需求是

相互对应的,最佳状态应是二者的均衡,从而形成均衡效率。因为公共品供给不足会对经济增长造成损害,而超额供给也会导致效率损失,资源配置失当,浪费了经济资源,同样也最终会损害到经济增长。

第六部分应用计量经济学的方法计算了几项主要的农村公共品的收入弹性,认为政府用于农村公共品的支出中,教育与科技的收入弹性比较高。一般而言,当资源配置在相关项目上所产生的边际收益相等或接近时,公共资源的利用处于较为理想的状态。因此,从优化结构的要求出发,有必要逐步增加教育与科技的支出,特别是在今后的支农支出的增量部分,教育与科技的支出应该有更大幅度的增长。

第七部分基于对农村公共品供给效率的系统分析,概括出了提高农村公共品供给效率的4点政策主张:一是调整财政支农支出政策,不断提高财政对农村公共品的供给强度;二是引导社会各方面资金介入农村公共品的领域,增加农村公共品的供给渠道;三是完善决策方式,提高公共满意度,实现均衡效率;四是优化农村公共品支出结构,提高有限的公共资源的使用效率。

与现有的研究成果相比,笔者认为本书在以下几个方面有所创新。

一是初步构建了农村公共品供给效率体系。本书借鉴有关学者对其他效率问题研究的成果,初步构建了农村公共品效率体系,指出,农村公共品供给效率包括宏观层次的制度效率、中观层次的均衡效率、微观层次的技术效率,并明确指出单独强调某一层次的效率是片面与偏颇的。

二是论证了农村公共品供给结构对效率的意义。由于公共品之间存在“协同效应”或“匹配效应”,因此,公共品之间不同的组合会形成不同的收益,所以,农村公共品之间的微观结构对于农村公共品的供给效率有着十分重要的影响。

三是研究了农村公共品的供需优先序问题。笔者利用问卷调查方法分析了供需双方的偏好特征,发现在几项主要农村公共品中,供给优先序为:义务教育>农村道路>农田水利>医疗保健>科技推广>农村电力>社会保障>职业教育>信息服务>村庄规划>文化娱乐>其他。需求优先序为:普及农村教育>推行合作医疗>增加农村基础设施>农业科技的运用>最低生活保障及政府补贴>其他。

在归纳出几个创新点的同时,笔者也深知,尽管自己尽了最大的努力,但由于多方面的原因,本书还存在一些不足之处:由于我国现有统计资料不完整,且统计口径不统一,给计量分析造成了一定的困难。笔者原先准备系统分析每项农村公共品的边际回报率和收入弹性,但在研究过程中却发现有些历史资料无法取得,有些统计资料准确性较差,有些统计资料之间存在交叉重叠的情况,由此造成文中有些内容本应进行更深入的研究,以期挖掘出更多具有理论与实践意义的结论来,但结果却是不能尽如人意。此外,受笔者知识面、研究能力所限,文中有些观点尚待更进一步的深入探讨。



# Abstract

The “three rural – related issues” ( refers to the agriculture, the village, and the farmers) has become a concern, not only for the academic circle and the decision makers, but also for the ordinary people since 1990. You can find “three rural – related issues” has been a key word in the governmental documents, in the symposiums of the academic circle, and in the chats of friends. As issues such as the difficulty in increasing farmer’s income, the slow development of rural economy and the broadening urban and rural differences have become limiting factors to the construction of a well – off society, a thorough understanding of the “three rural – related issues”, and an overall planning of city and countryside economic and social development is the key to the smooth accomplishment of the strategic mission: the construction of a well – off society.

The communist party and the government have been paying a close attention to the “three rural – related issues”. It was discussed in a great deal in the 16th CCP conference report. The issues of increasing farmers’ income, and promoting the comprehensive agricultural production were carefully deployed by Central Committee of CCP

and the State Council in their First Document of both 2004 and 2005.

The academic circle has studied the “three rural – related issues” for years and the following three focal issues surfaced. Issue number one is what is the core of the “three rural – related issues”? Issue number two is the origin of the “three rural – related issues”; And issue number three is the solutions to the “three rural – related issues”. This study demonstrates that the core of the “three rural – related issues” is the farmers’ right to live and to develop. It manifests the farmers’ income and their opportunity for development. Public goods, then, provide a guarantee for the right of the farmers to live and development.

The properties of public goods cause the malfunction of market mechanism in the supply of public goods. However, services such as national defense, public peace and order, legal system, weather broadcasting, compulsory education, and science and technology promotion, are essential to the human survival and development and can only be provided by the government. Therefore, public goods supply becomes a basic function of the government.

At the early stage of industrialization, economic growth was the first priority of the decision makers. It was a general trend that agriculture supported industry and its accumulation. This is exactly the main reason why we had the “city deviation, the industry deviation non – balanced development strategy” when new China was founded. This non – balanced development model gradually fortified the city and countryside dual economic structure. Meanwhile, relatively different public goods supply systems were formed between city and countryside: the city public goods were basically provided by national finance revenue, whereas the rural public goods supply was mainly supported

by the money and labor of the farmers themselves, which is called “self – support”. Support by the national finance revenue was very limited in rural areas. Some services, such as rural compulsory education which was supposed to be provided by the national finance revenue, was even paid by the farmers. Thus, the shortage of rural public goods became inevitable with the revenue system developed under the city deviated non – balanced model.

With the industrialization to a certain extent “industry in return nurtures agriculture, city supports the countryside, coordinated development between industry and agriculture, and between city and countryside” is a general trend. The strategy of having “industry nurturing agriculture” to support agriculture is the only way for accelerating modernization. Our country is in her mid – phase of industrialization. It is the right time for adapting the strategy of having industry nurturing agriculture, city supporting countryside to achieve coordinated development between industry and agriculture, and between city and countryside. This means that the non – balanced development strategy has become history. To construct a harmonious society, and to do overall planning of the development of the city and country economy and the development of the whole society, will be the development strategy for the new era. “Industry nurturing agriculture”, supporting agriculture will become the core of the rural public goods supply system. And increasing governmental funds for rural public goods supply will be a must.

Although “industry nurturing agriculture”, supporting agriculture will be the feature of the new rural public goods supply system, the total spending of revenue on rural public goods will definitely increase. But, for a rather long period of time, the national financial support

will be limited relative to the demand of farmers, agriculture and countryside for the public goods. Under these circumstances, the first priority is to maximize the use of the limited public resources.

According to the expenditure efficiency theory, under certain scale of supply, different supply and demand preferences will form different supply decisions and different supply structure, which will finally create different supply efficiencies. There are three levels in the supply efficiency of rural public goods. Level 1 is the system efficiency, a macroscopic level. It determines whether the resource distribution agrees with the Pareto's Principle, or if it is fair. In another word, it determines if the society could develop harmoniously with such a system arrangement. It is obvious that public goods supply efficiency is the direct cause for the formation of problematic shortage. Level 2 is the balanced supply efficiency, a mesoscopic level. At a balanced state, resource distribution is efficient and balanced efficiency is created. Level 3 is the economic efficiency and technical efficiency, a microscopic level. Economic efficiency is the input and output (i/o) ratio of each individual item of the public goods, whereas the technical efficiency is the combination efficiency of different public goods. The efficiencies at these three levels interact with one another. Therefore, balance and technical structure could cause the structural shortage. It is clear that efficiency is a very complicated system. It is not enough just to study only one level of the efficiency.

In order to expedite the resolution of the "three rural - related issues", and overall planning of the urban and rural development, and the construction of a well - off society, on one hand, we should change the system that created the dual structure of urban and rural economy, improve the rural supporting system and form balanced finan-

cial policies, constantly increase the rural public goods supply; on the other hand, we must realize that for a long period of time in the future, national revenue is not enough for the growing demand of public goods from farmers, agriculture and countryside. With a limited budget, supply efficiency becomes the priority. And the study on the supply efficiency of rural public goods has theoretical and practical values.

This study employs a methodology of combining real case analysis, standard analysis, quantitative analysis and qualitative analysis. It systematically studied the supply efficiency of rural public goods. This paper has seven sections.

Section 1 covers objectives and background information about the current domestic and international research status and research frame. The research status analysis indicates that current research mainly focuses on the importance, the essentiality and the possibility of increasing rural public supply in a view of system change, farmers' burden, tax reform, creative reform of supply system. However, the attention for the supply efficiency has not been sufficiently paid on. For developing countries, limited budget is inevitably an issue during the process of macroscopic economic reform. It is therefore vitally important to improve the fund use efficiency, with a growing agricultural expenditure.

Section 2 covers the analysis of characteristics and efficiency of the supply system of rural public goods at different stages after the founding of the new China. For a long period of time, the efficiency of rural public goods supply system, created with no fairness, is low due to "the city deviated and industry deviated dual economic and social structure". This proves the theoretical model for the perspective of real case analysis.

Section 3 applies the measurement economics to calculate income elasticity of several major items in the rural public goods. It indicates that education and science and technology have higher income elasticity among the government expenditure on rural public goods. According to project balance rule, all the expenditure of public goods should have similar income elasticity or marginal return rate. In order to optimize structure, the expenditure on education and science and technology should gradually increase.

Section 7 proposes four policies regarding increasing supply efficiency of rural public goods, based on the systematic analysis of the supply efficiency of the rural public goods. Proposal one is to adjust the financial expenditure policy on agriculture to increase the supply to rural public goods; Proposal two is to gate the funds from different social areas into rural public goods to increase more channels of rural public good supply. Proposal three is to improve the decision making process. to increase the public satisfactory fairness. Proposal four is to optimize the expenditure structure of rural public goods to increase the use efficiency of the limited public resources.

Novelties of this paper compared to what is available.

1. This paper has constructed a preliminary supply efficiency system for rural public goods, with the help of other scholars' results of their studies on efficiency. It indicates that supply efficiency of rural public goods includes macroscopic system efficiency, mesoscopic balanced efficiency and microscopic economic efficiency and technical efficiency. Focusing on only one level is not sufficient.

2. This paper proposes a theoretic model of the supply efficiency of rural public goods. System efficiency is a qualitative concept, difficult to apply quantitative analytical approach. However, I tried to

construct a theoretic model to do comparison analysis. It opens a new angle for analysis, even though the theoretic model needs optimization.

3. This paper proves that the shortage of rural public goods include quantitative shortage and structural shortage. It suggested that the structure should be improved, while increasing the quantity.

4. This paper suggests that there is a coordinating effect and matching effect among the public goods. Different combination of the public goods would produce different outcome. Therefore, the microscopic structure of rural public goods has a big impact on the supply efficiency.

5. This paper calculates the income elasticity of several major public goods. The principles of measurement economics were applied in the quantitative study of relationship of national revenue expenditure on rural public goods and total agricultural output value, gross national production ( GNP ), and financial revenue. A more reasonable expenditure structure was explored. It provides references for optimizing revenue expenditure structure and increase expenditure efficiency.

6. This paper proposes the supply priority of rural public goods, from the results of public surveys on the preference of both the supply and demand parties on several major rural public goods. The priority supply order is as follows: compulsory education > rural road > rural water resource > medical health care > science and technology promotion > rural electricity > social security > vocational education > information service > village landscape > culture and entertainment > others. The demand priority order is: popularize rural education > rural cooperatives medical service > increase rural basic services > application of agricultural science and technology > basic life security and

governmental subsidization > others.

Although this paper has several novelties, the author is aware that, despite the great effort, there is a lot of room for improvement. The insufficient national statistic data and the different statistic standards made it very difficult for the econometric analysis. The author's plan for doing systematic analysis of every marginal return rate and income elasticity of rural public goods was not carried out due to the lack of the historical data, the lack of data accuracy and the redundancy of data. All of these made it impossible do further investigation and get better conclusion. The author's limited knowledge and research ability also made some of the viewpoints open for further discussion.



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