

公共经济与公共政策 齐鲁文库

从

闵琪 著

公共品需求到公共品供需均衡：
理论与现实

From Demand for Public Goods to
Equilibrium of Public Goods:
Theoretical and Empirical Analysis



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经济科学出版社
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公共经济与公共政策齐鲁文库

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总 序

《公共经济与公共政策齐鲁文库》第五批论著付梓出版之际，恰逢山东大学 110 周年校庆之时。校庆是一个回顾历史、反思理念、光大传统、继往开来的绝佳契机。抚今追昔，“为天下储人才，为国家图富强”的“祖训”熠熠闪光；崇实求新，是百年山大薪火相传的不竭动力。此次校庆的鲜明主题是“学术校庆”、“文化校庆”，我们这批论著就是山大青年学子献给母校的一份贺礼吧！

收入这批文库的论著有 4 部，《从公共品需求到公共品供需均衡：理论与现实》、《基于需求与供给视角的机构养老服务发展现状研究》、《我国慈善组织绩效及公共政策》和《税制结构变迁、效应及优化研究》。它们无一不是青年学者深切关注中国公共经济与公共政策的重大问题而进行研究的成果，无一不是从基础理论探究到中国现实剖析的结合之作，且大都是作者自主设计调研、开展实地调查、数据收集处理或进行案例剖析之作。尽管个别观点的论证还可以更加缜密，样本选择还可以更多，但瑕不掩瑜，值得鼓励。

到今年末，山东大学公共经济与公共政策研究中心、山东省公共经济与公共政策重点研究基地成立已有五年。

一批志同道合之人在资政育人、科学研究方面献计献策，通力合作，积极探索，使中心和基地业绩初显，师生受益，且形成一定社会影响力和学术竞争力。藉此机会，衷心感谢鼎力支持我们的各界朋友和社会贤达。

是为序。

樊丽明

2011年10月15日于山大

20 世纪中期,公共品概念的兴起推动了公共经济问题的研究。几十年来,公共品供给数量、供给模式、供给决策等供给角度的研究突飞猛进,但对于公共品需求的研究却只是散见于对公共品供求均衡、公共品需求表达机制等方面的研究中。尽管公共品的非排他性、非竞争性使得公共品研究无法像私人品一样,基于严格的市场机制假设求解均衡,但公共品需求应该如私人品一样,是供给的重要决定因素。

近年来,公共品需求被广泛关注,尤其是城乡公共品均等化的呼声对农村公共品供给完善提出了挑战。一直较为落后的中国农村地区,为公共品需求研究提供了全面的信息,这成为本书的重要研究范围之一。樊丽明等(2008)基于3省245个农户的调查表明,在调查所涉及到的农村基础设施、农村卫生医疗服务、农村科技服务及农村金融服务等多项农村公共品中,农民当前最急需的公共品是卫生医疗、农田基础设施。农民的公共品需求有如下特点:硬品优先于软品;物质需求优先于精神需求;现实优于长远;切身利益重于宏观环境。合意的公共品供给有新型农村合作医疗、粮食直补政策和义务教育,农民对公共品供给最不满意的是农村社会养老、农业科技信息服务和农村金融。农民对公共品供给的满意度主要取决于公共品的规模、质量、价格和农户的人口社会学背景。最后,樊丽明等对农村公共品供需均衡矩阵进行了分析,并建议根据公共品供需衔接状况、农民对公共品供给的满意程度,实行不同的公共

品供给策略。可见，只有充分考虑需求的供给才是有效的供给。如不考虑需求状况（包括需求的规模和需求结构），则供给只是单方的主观意愿；缺少了需方的呼应与认可，即使供给数量再多、质量再好也难以形成供需之间的有效均衡，往往会造成供给的效率低下与社会资源的巨大浪费^①。

了解现实生活中居民对公共品的需求，对解决公共品供给问题有着重要意义。但与私人产品不同，公共品无法通过市场价格来反映居民的需求信息，从而不仅对供给决策造成困难，而且也难以对供给者形成有效的激励和约束，究其原因是多层面的：

首先，居民具有隐藏自身真实需求的倾向。在信息非对称条件下，基于公共品特性，作为“经济人”的居民会夸大或低水平显示，甚至是隐瞒自身需求的动机。其次，处于不同时空下的居民对公共品的需求偏好具有差异性与动态性，如何把握其对公共品的异质化、动态化需求也是一个难题。最后，在目前的公共品供给体制下，居民缺乏能够表达自身需求的机制或渠道。作为公共品主要供给者的基层政府，虽然在了解居民对公共品的需求偏好上具有优势，但作为“经济人”的基层政府追求的是经济利益和政治利益的双重目标，受此驱使，他们有可能更偏好于供给那些能够满足自身效用最大化的公共品。

由此可见，公共品需求研究是基于现实难题而进行的理论梳理与探索。相关理论和方法的研究将直接影响到能否对公共品需求有着真实、准确的了解。本书在总结和吸收已有研究成果的基础上，探寻公共品需求基本规律，论证公共品需求的客观存在性，发现公共品需求特点，寻找影响公共品需求的因素；在此基础上，分析满足公共品需求的具体路径，认为顺畅的公共品需求表达、需求识别、供给决策及供给执行，是科学的公共品需求管理的内涵；只有遵循公共品需求规律、有效地进行公共品需求管理，才能达到有效供给公共品的最终目标，实现公共品供需均衡。因此，本研究围绕

^① 樊丽明、石绍宾：《当前中国农村公共品政府供给机制的运行及完善》，载《税务研究》，2008年第12期，第9-14页。

公共品需求展开,最终解决以需求为导向的公共品供给问题。

本书采用规范分析、历史分析、实证分析和调查分析相结合的研究方法,构建从公共品需求到公共品供需均衡的分析框架。依此思路,本书共分7章。

第1章为引言,主要介绍研究的背景,研究方法及研究思路,相关概念界定及研究假设,主要的创新点与不足。第2章为文献综述,梳理了公共品需求影响因素、公共品需求表达、公共品供需均衡以及需求导向的公共品供给制度等相关研究。第3~4章是本书的理论基础。第3章是公共品需求一般经济规律分析,分析了公共品需求的层次性以及影响公共品需求的因素,进而构建了公共品需求函数。第4章是公共品需求的满足机理分析,构建了从公共品需求表达、公共品需求识别、公共品供给决策到公共品供给执行的公共品需求满足路径,目标在于实现公共品供需均衡。第5~6章是基于中国现实公共品需求的实证分析。第5章,中国公共品现实需求分析,验证了收入水平、税收负担对公共品需求的正向影响,人口因素、财政幻觉和技术进步对公共品需求产生负向影响,验证了收入分配对公共品需求层次的正向影响。第6章分析了中国从公共品需求到公共品供需均衡的路径,描述了目前中国公共品需求表达和决策机制,中国公共品根据用脚投票和支付意愿来进行需求识别,目前中国农民对低层次公共品需求满意度高,对社会依存层次和延伸层次公共品表现出强烈需求。第7章是分析结论及建议,遵循公共品需求一般规律、建立顺畅的公共品需求表达与决策机制以及完善参与式预算是建立需求导向的公共品供给体制的探索。

本书的创新之处表现在:

(1) 构建了一个从公共品需求到公共品供需均衡的分析框架,打破以供给为出发点的公共品研究模式。公共品需求研究在于分析公共品需求一般规律,优化公共品需求管理,构建满足居民需求的公共品有效供给机制,实现公共品供需均衡。

(2) 基于人类的需求特点,从马斯洛需求层次理论出发,对公共品需求层次进行了重新划分,分为生存需求、安全需求、管理需

求、发展需求、社会依存需求及延伸需求六个层次，这六个层次由低到高，呈阶梯状上升。从长期看，居民公共品需求呈现出阶梯状的层次上升；从短期看，居民公共品需求呈现出明显的数量变化。不同层次公共品的需求价格弹性是有差异的。低层次公共品无需求价格弹性，需求曲线不受价格的影响。更高层次的公共品，需求价格弹性更为敏感。

(3) 公共品需求变动既包含数量的变化，又包括层次的提升。经济发展水平对公共品需求产生正向影响；收入水平对公共品需求产生正向影响，收入分配对公共品需求层次产生正向影响；税收负担对公共品需求产生负向影响；人口因素对公共品需求产生负向影响；宏观经济政策对于公共品需求的影响取决于政府的作用目标；技术进步对公共品需求产生负向影响。用6个假说进一步修正了中位选民模型，在模型中进一步突出了财政幻觉的影响，并求解出公共品税收价格与公共品覆盖范围内居民数量之间的直接相关性。基于经济发展水平、人均收入、基尼系数、税收负担、人口水平、财政幻觉和全要素生产率，验证了收入水平、税收负担对公共品需求产生正向影响，收入分配状况、人口因素、财政幻觉和技术进步对公共品需求产生负向影响。通过VAR模型证明了税收负担对居民公共品需求产生滞后影响；基于全国数据的面板数据分析可以看出公共品需求影响因素作用的大小存在地区差异；基于山东省数据的分析证明了公共品需求影响因素体现出层次差异性。目前的公共品供给水平能够满足当前水平人口的需求；居民能够感受到税收负担，从而做出相应的公共品消费选择；政府的宏观调控机制，尤其是多年连续的积极财政政策，使得居民赤字幻觉明显，拉高了居民的公共品需求；中国公共品供给导向明显。

(4) 构建了公共品需求层次变动影响函数，突出了收入分配在影响公共品需求层次变动中的作用。基于“农民收支结构变迁与公共服务需求”的调查，对农民村庄环境改善的延伸层次需求进行分析，发现收入分配对公共品需求层次变动产生正向影响。

(5) 基于“农民收支结构变迁与公共服务需求”的调查，对

农民垃圾处理支付意愿进行分析,发现农民的垃圾处理支付意愿与性别、文化程度、家庭规模、家庭成员中村干部人数和对村庄环境满意程度密切相关。

(6) 基于“农民收支结构变迁与公共服务需求”的调查,分析出农民目前表现出对低层次公共品较高的满意度,对社会依存层次和延伸层次需求强烈,这与农民对各种公共品的满意度相吻合。农民公共品满意度也表现出较大的收入差异。

关键词 公共品; 需求; 层次; 影响因素; 供需均衡

ABSTRACT

From middle of the twentieth century, the research of public economics has been promoting by the analysis of public goods. Although the research on the supply quantity, supply model, decision-making of public goods have developed so much, the research on demand for public goods is not enough. Although public goods is non-exclusive and non-rival, there is not an equilibrium based on marketing system. Supplying of public goods should be determined by demanding.

In recent years, demanding for public goods has been paid attention. What's more, the widely gap between urban and rural in China gave so many informations for research. Fan (2008) analyzed the current situations of rural public goods based on 245 rural families in 3 provinces. The result shows that the urgent demand of public goods is medical and health service and farmland infrastructure facilities. Four characteristics of the farmers' demands for public goods emerge in the current days, that is, hard goods are prior to soft goods, material demands to culture demands, the reality to the future and personal interests to the macro-environment. The satisfactory supply of public goods include public anti-epidemic and the cooperative medical care in rural areas, grain direct subsidy and the rural compulsory education. The unsatisfactory ones include rural social security system, rural finance service as well as rural science and technology services. The farmers' satisfaction degree

of public goods supply is mainly depended on supply condition, supply gap, marginal effect and equality condition of the public goods. In the end, the equilibrium matrix is analyzed and some suggestions are put forward according to the equilibrium situation on supply and demand and the farmers' satisfaction of rural public goods. Therefore, the demand analysis is the basic analysis to supply public goods.

Although it is important to analysis the demand for public goods. There is not enough informations to make analysis. Because that:

First of all, the residents have a tendency to hide their real needs. Under asymmetric information, based on characteristics of public goods, as "economic man" they have shown a low level or exaggerated or even motivation to conceal their needs. Secondly, demand for public goods of the residents at different time and space preferences different and dynamical. Finally, it was lacking the expressing pathways of demand for public goods. As the main provider of public goods - the local government, although it understand the farmers' demand for public goods, as "economic man", local governments would be in pursuit of economic interests and political interests, may prefer to supply those who can meet their public goods to maximize utility.

This research tried to find out the law of demand for public goods, prove the exiting of demand for public goods, find the characterstics of demand for public goods, find out the influencing factors of demand for public goods. Then, it would find the channel from demand to equilibrium, which included expressing demand, indentification demand, decision-making and performance. After these steps, it would satisfy the demand for public goods and find the equilibrium of public goods.

The methodologies are normative analysis, histocial analysis, empirical analysis and survey. Then, it completed an analysis from demand to equilibrium. Under the above idea, this book had 7 chapters, which were organized as follows:

Chapter 1 was the introduction, which mainly introduced the background of research, the main definitions, the organization and the main innovative points and shortcomings. Chapter 2 was the literature reviews, which included the literatures on influence factors of demand for public goods, expressing demand, equilibrium models and supply institution of public goods based on demand orientation. Chapter 3 - 4 were theoretical analysis. Chapter 3 analysed the law of demand. The demand hierarchy, influencing factors and demand function are analysed in this chapter. Chapter 4 analysed the satisfying mechanism of demand for public goods, made a channel to link expressing demand, identification demand, decision-making and performance with equilibrium of public goods. Chapter 5 - 6 were empirical analysis. Chapter 5 proved income and tax burden making positive influence on demand for public goods, population, fiscal illusion and technology would negatively influence on demand for public goods. Chapter 6 tried to analysis the channel to make equilibrium of public goods. It described the expressing demand and decision-making system in China. Voting with their feet and willingness to pay are identification marks of demand. Compared with higher level public goods, it's much statisfaction for low level public goods. Chapter 7 was conclusions and suggestions. It should accord with law of demand for public goods, improve policies for pefecting expressing and decision-making, reform of "one case one meeting", reform of participatory budgeting.

The main innovative points are as follows:

1. Differenting from supply orientation system, the research made a system from demand to equilibrium of public goods. This research found the law of demand for public goods, and found the channel from demand to equilibrium, which included expressing demand, indentification demand, decision-making and performance. After these steps, it would satisfy the demand for public goods and find the equilibrium of public goods.

2. Based on the characteristics of individual demand and Maslow demand hierarchy theory, the research divided public goods to six levels as survival demand, safety demand, governance demand, development demand, social dependent demand and extension demand, which improved staged. In the long run, the demand for public goods improved staged; in the short run, the demand quantity had changed. The price elasticities of demand are different among different levels. The low level public goods would not change when price changed. The high level public goods would change shortly.

3. The research had six hypotheses. Economic growth would positive affect demand for public goods; income levels produced positive influence on the demand for public goods, income distribution produced positive influence on demand hierarchy; tax burden would produce negative influence on the demand for public goods; population factors produce negative influence on the demand for public goods; macroeconomic policy had effects depending on the targets role of government of the demand for public goods; technology produce negative influence on the demand for public goods. Further modified the median voter model with six hypothesis, the model highlighted the influence of fiscal illusion, and proved the direct correlation between tax prices with residents quantity. Using the level of economic development, per capita income, the gini coefficient, tax burden, population level, fiscal illusion and total factor productivity verified the model, which found that the economic development level was not related to the demand for public goods; income level and tax burden produced positive influence on the demand for public goods, income distribution, population, fiscal illusion and technical progress produced negative influence on the demand for public goods. VAR model proved the tax burden had a lagging effect on the demand for public goods. The panel data analysis, we can see that the factors affecting public demand existing regional differences. Based on the analysis of shandong data

proved the effects reflected public goods demand levels difference. The current public goods supply level met the needs of current population level. Residents can feel the tax burden, which made the corresponding public consumption choice. The government's macroeconomic control mechanism, especially positive fiscal policy in recent years, made deficit illusion obviously.

4. Constructing the demand hierarchy function, highlighted the income distribution in affecting the demand hierarchy of public goods. Based on survey of "Peasants Expenditure Structure Change and the Demand of Public Service", the extension environment improvement demand was significantly, found the income distribution produced positive influence on the changes of demand hierarchy.

5. Based on survey of "Peasants Expenditure Structure Change and the Demand of Public Service", willingness to pay for waste disposal in rural China was significantly influenced by gender, educational level, the family size, family members of the village leader and environmental satisfaction.

6. Based on survey of "Peasants Expenditure Structure Change and the Demand of Public Service", this paper analysed the peasants public satisfaction. The peasants strongly demanded extensions level and social dependent level public goods. Peasants also showed a great correlation between public satisfaction and income.

Key words: Public Goods; Demand; Hierarchy; Influence Factors; Equilibrium

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