

和立道 / 著

中国城乡基本公共服务 均等化问题研究

THE RESEARCH ON CHINA'S EQUALIZATION OF
BASIC PUBLIC SERVICES IN URBAN AND RURAL AREAS

云南财经大学前沿研究丛书



社会科学文献出版社
SOCIAL SCIENCES ACADEMIC PRESS (CHINA)

中国城乡基本公共服务 均等化问题研究

THE RESEARCH ON CHINA'S EQUALIZATION OF
BASIC PUBLIC SERVICES IN URBAN AND RURAL AREAS

和立道 / 著



社会科学文献出版社
SOCIAL SCIENCES ACADEMIC PRESS (CHINA)

图书在版编目(CIP)数据

中国城乡基本公共服务均等化问题研究/和立道著.
—北京:社会科学文献出版社, 2014. 12
(云南财经大学前沿研究丛书)
ISBN 978-7-5097-4071-2

I. ①中… II. ①和… III. ①社会服务-研究-中国
IV. ①D669.3

中国版本图书馆 CIP 数据核字(2012)第 299854 号

· 云南财经大学前沿研究丛书 ·

中国城乡基本公共服务均等化问题研究

著 者 / 和立道

出 版 人 / 谢寿光

项目统筹 / 恽 薇 蔡莎莎

责任编辑 / 蔡莎莎 张 扬

出 版 / 社会科学文献出版社·经济与管理出版中心(010)59367226

地址:北京市北三环中路甲 29 号院华龙大厦 邮编:100029

网址:www.ssap.com.cn

发 行 / 市场营销中心(010)59367081 59367090

读者服务中心(010)59367028

印 装 / 北京季蜂印刷有限公司

规 格 / 开 本: 787mm × 1092mm 1/16

印 张: 15.5 字 数: 188 千字

版 次 / 2014 年 12 月第 1 版 2014 年 12 月第 1 次印刷

书 号 / ISBN 978-7-5097-4071-2

定 价 / 69.00 元

本书如有破损、缺页、装订错误,请与本社读者服务中心联系更换

 版权所有 翻印必究

序

我国经济体制改革已逾 30 年，市场经济体制的建立也过了 20 年，一系列的制度改革和技术创新使得国内生产力得到前所未有的释放，国民经济取得巨大发展，人民生活水平显著提高。2010 年，我国 GDP 总量更是超过日本，成为“世界第二大经济体”。然而，随着我国经济总量的巨大增长，国民经济发展的质量、国内居民的福祉也得到了巨大提高吗？这要打一个大大的问号。随着我国经济社会的高速发展，人民的物质需求和精神需求都大幅度提高，对教育、医疗、社会保障、基础设施等关乎国民切身基本权益的公共需求越来越多。然而，我国长久以来“重工业、轻农业”“先城市、后农村”等一系列制度造成的历史痼疾，使城乡之间直到现在依然存在全方位的差距，即城乡居民收入差距巨大且分配不均，享受公共服务的量与质的水平都存在巨大差距，城乡贫富差距形势越来越严峻等。如果我们不能处理好这些问题，势必影响我国全面建设小康社会及构建和谐社会的进程，同时也可以认为前期社会转型取得的巨大经济成就将会打折扣，因为我们的社会发展不能保障全体城乡居民平等地共享改革开放取得的成果。而这些问题的解决则可以通过城乡之间公共服务供给改善、公共服务均等化来实现。

2005年,党的十六届五中全会提出了“公共服务均等化”这一新的改革命题。2006年,党的十六届六中全会通过的《中共中央关于构建社会主义和谐社会若干重大问题的决定》提出“完善公共财政制度,逐步实现基本公共服务均等化”。2008年10月,党的十七届三中全会提出“到2020年,要实现城乡基本公共服务均等化明显推进”。2010年10月,党的十七届五中全会提出“着力保障和改善民生,必须逐步完善符合国情、比较完整、覆盖城乡、可持续的基本公共服务体系,提高政府保障能力,推进基本公共服务均等化”。中央政府从战略层面上勾勒了一幅保障和改善民生、重在提高城乡居民福祉、共享经济发展成果的宏伟蓝图。

可见,公共服务均等化是我国当前和今后社会经济发展的一个核心问题,也成为学界研究的一个热点。当前来看,诸多学者对公共服务均等化理论及我国的非均等现状、原因和对策措施等方面进行了广泛研究,为我国政府的公共管理决策提供了许多有益的见解。例如,当前我国省以下财政管理体制的完善、转移支付制度的改进、基于调整收入分配的税收制度改革都充分考虑了城乡公共服务均等化的因素。可以说,公共服务均等化的研究成果为我国经济社会的健康发展做出了巨大贡献。

本书是笔者的学生和立道在其博士论文的基础上进一步加工提炼而成,其研究的内容也属于公共服务均等化中的重点研究领域。该书紧扣与民生关系密切的基础教育、医疗卫生、社会保障和基础设施四个公共服务领域,在较为深入地对保障改进公共服务措施实施的政策通道(财政管理体制和行政管理体制)进行探讨后,分别从理论和实证的角度对四个基本公共服务领域的现状、成因、均等化改进路径进行了全面分析。其中得出的一些与

以往研究不同的结论颇有意义，例如，城镇化水平、农村居民收入的提高可能进一步导致医疗资源向城市集中；单纯地提高人均社保经费支出并不能缩小城乡社会保障公共服务的差距，而会进一步提高已享受诸多社会保障项目的城镇居民的社会保障水平，从而进一步扩大社会保障的城乡差距等。这些研究结论对我国当前完善城乡公共服务均等化政策具有很好的参考价值。

总之，和立道博士作为踏入财政学界的青年学者，攻读博士期间的刻苦努力使我印象深刻，通过广泛的学术成果涉猎，具备了较为扎实的理论功底，体现了较强的学术能力。财政学的发展和壮大需要新鲜血液的不断注入，望财政学界的同人在财政学科建设和财政领域人才培养处于良好契机的时代，给予像和立道博士这样的青年财政学者更多的关注和帮助，一起把财政学做大做强。同时也衷心祝愿我的学生教好书，勤于思考，在教学科研的道路上一步一个脚印，取得更好的成绩。

马海涛

2012年5月7日

摘 要

目前，中国的经济建设虽然取得了举世瞩目的成就，但我国依然处于城市化进程的初期阶段，城镇化率不足 50%，农村人口仍然占多数，在此国情下，政府促进公共服务供给的城乡统筹就显得尤为重要。然而，基于国家发展战略需要，政府对公共服务的管理，从新中国成立一开始就采取了城乡有别的“二元”供给制度。即使改革开放后，一系列公共服务供给措施也城乡有别安排，长此以往，造成了我国城乡公共服务供给严重“非均等”的状况。相应的，政府一直对其“服务”职能不够重视，即便在改革开放后，在“以经济建设为中心”的方针指引下，政府职能也一直表现为“重建设、轻服务”。虽然 1997 年党的十五大首次提出政府职能向“服务”转变，特别是在 2005 年党的十六届五中全会提出要实现“公共服务均等化”的目标后，政府的服务职能大大增强，对城乡公共服务供给的保障能力也大幅度提高，但是因为长期的各种城乡有别的制度执行积累和公共服务供给措施不完善等因素，城乡之间在基础教育、医疗卫生、社会保障、基础设施等方面的公共服务水平差距依然很大。同时，这种严重的城乡公共服务非均等问题影响到了政府对公平正义理念的维护、全社会的稳定团结以及社会经济生活的正常健康

发展。从几个简单的数据就可以看出城乡之间的全面差距,据统计,2010年城镇居民人均可支配收入与农村居民人均纯收入的差距达13190元,城乡居民收入比为3.23:1。而财政在公共服务领域的支出方面,2008年城市人均医疗卫生费用为1855.21元,农村仅为454.76元,城市是农村的4.08倍。可见无论是在收入水平还是在公共服务的保障水平上,城乡之间都存在巨大差距。基于以上背景和严峻的现实状况,本书从管理体制的角度对城乡基本公共服务均等化问题进行研究。

本书研究的视角集中在对公共服务供给进行保障的宏观管理体制上,并通过以下两个方面的研究来实现。

一是财政管理体制与城乡基本公共服务均等化。公共服务均等化的研究,仅从体制角度出发首先是对本国财政管理体制的研究。理论上,公共产品的非排他性和非竞争性特点,从根本上限制了市场为其生产配置资源的功能,也就意味着由政府以财政支出的方式直接生产公共产品或提供公共服务更能增加社会福利。同时对公共服务的供给责任方面,按照分权理论,与中央政府相比,地方政府特别是基层政府在公共服务的供给、需求、成本等各方面有信息上的优势,因此大量的公共服务由各级地方政府分级决策、分级供给要比中央政府集中决策供给更有效率。基于以上理论,在明确政府作为公共服务供给主体的前提下,可以认为用于公共服务供给的资金支出在很大比例上是由财政支出的方式来保障的,因此为了提高财政资金的使用效率,在财政管理体制上应该体现集权和分权相结合、城与乡相协调的理念。然而在我国的财政管理体制实践中:第一,财政管理体制在公共服务供给实践上不能够完全体现财政分权理念。从分权角度,人们普遍认为过度集权会导致政府提供公共服务的低效率,而一个适度分权

的政府可以降低公共服务供给成本并提高其质量。然而，新中国成立以来的财政管理体制在实践中虽然分权思想贯穿始终，但因为包括经济基础、政治体制等因素影响，不能够充分体现分权理念。第二，从新中国成立以来各阶段的公共服务供给制度看，典型的城乡“二元”供给制度安排，财政各类资源从基础设施到科教文卫、社会保障、社会公正等方面的保障都严重向城市倾斜，此种政策的长期实施结果就是城乡公共服务的严重非均等。第三，近年来农村税费改革的实施短期内对农村公共服务的供给造成了一定的影响。长期以来，许多农村公共服务的供给保障资金都是通过向农民以各种方式筹措而得，然而农村税费改革一刀切断了这一长期以来农村公共产品供给最重要的资金筹措渠道，在其他渠道还不足以弥补这部分资金缺口的情况下，短期内严重削弱农村公共服务的供给能力，进一步加剧了城乡公共服务差距。

二是行政管理体制与城乡基本公共服务均等化。众多的有关公共服务供给主体的理论探讨，既有政府、市场、自愿三个主体单独供给的探讨，也有两两联合供给或三种方式联合供给的广泛探讨，但“政府是一个国家或地区公共服务的最主要供给主体”这一看法在世界各国普遍得到认同。另外，政府作为社会经济活动管理主体，其行政管理体制效率的提高对公共服务的供给能力将产生十分重要的影响。基于这一理论，政府为了提高其行政管理体制效率，进行了一系列行政管理体制改革。研究中以“政府是公共服务最主要供给主体”作为出发点，首先把政府视为一个微观主体，从理论上分析政府行政管理体制效率的提升可以提高政府公共服务供给的质量或数量。其次以此为理论基础，探讨新中国成立以来我国行政管理体制改革实践对城乡公共服务供

给的影响。通过研究发现,我国计划经济体制内的行政管理体制改革基本上无暇考虑如何改善农村居民公共服务享受水平的问题,基本上采取单一的保障城镇居民的公共服务供给制度,从而造成城乡公共服务的巨大差距。其后在市场经济条件下,政府职能的转变,行政管理体制的健全可以更好地为公共服务供给服务,并且在此阶段,农村居民的公共服务供给水平相比以前有较大幅度提高,但是由于历史积累的原因和城市公共服务供给水平的快速提升,城乡公共服务差距依然很大。

其次,本书的研究在以上财政管理体制、行政管理体制改革方面对我国城乡公共服务供给的内在逻辑和影响分析的基础上进入实证分析。一是城乡基本公共服务现状的分析,即通过现有数据,从投入情况、设施条件、覆盖状况等方面,分别就基础教育、医疗卫生、社会保障、基础设施等城乡基本公共服务现状进行客观、翔实的分析,结果呈现出的是目前我国城乡基本公共服务水平的巨大差距,即严重非均等;二是管理体制因素对城乡基本公共服务供给影响的实证分析。笔者认为,一切城乡基本公共服务供给措施都必将通过财政管理体制、行政管理体制通道来实施,由此在研究中影响基本公共服务供给的政策因素,例如对各领域的财政支出、城镇化、居民收入水平等进行量化、估计并构建面板模型。通过研究,得出了一些与以往不同、极具政策参考价值的结论,例如城镇化水平、农村人均纯收入的提高可能进一步导致医疗资源向城市集中,单纯地通过提高人均社保经费支出并不能缩小社会保障公共服务在城乡的差距等。这些实证研究得出的结论不仅让我们深刻认识到了当前我国城乡基本公共服务差距巨大的严峻现实,也使本书的研究显得更具有意义。

最后,在理论和实证研究的基础上,进行城乡基本公共服务

均等化的对策探讨,但其探讨也仅限于管理体制范围内,集中于笔者认为的对城乡基本公共服务均等化政策措施影响最为显著的财政转移支付制度、省以下财政管理体制、行政管理体制执行效率三个方面,并就如何进一步完善或深化改革提出自己的见解,同时,就各基本公共服务领域的均等化措施提出了自己的见解。另外,笔者在对策的探讨上,出于本研究的实用性考虑,力求实现其对策的可实现性和可操作性,以便为政策决策者制定城乡基本公共服务均等化政策提供参考。

关键词: 城乡 基本公共服务 均等化 管理体制

Abstract

Currently, our China's economic has made remarkable achievements, but it is still in the early stages of urbanization. It's urbanization rate is less than 50 percent. The rural population still accounts for the majority. In this situation, the government supplying public services must focus on co-ordination between urban and rural areas. Government management of public services supplying take the "dual" supply system because for the needs of national development strategies at the nation-building beginning. The subsequent supply measures were ranged different. For the long time, the result is serious non-equal in urban and rural areas for public services. Accordingly, the government has always been inadequate attentioned on its "service" function. Even if the later start of reform and opening up, the government function performance "weight-build, light services" under the guidance of the approach of "taking economic construction as the center". With the government first proposed it's function changing to "service" in the party's Fifteenth Conference in 1997, and in 2005, Fifth Plenary Session of the Sixteenth Conference proposed to achieve the goal of "equalization of public services", the government services function has substantially increased. The ability of urban and rural public service supplying capacity also increased significantly. However, since the long-term accumulation of implementation of the various systems and measures imperfect on the current supply of public services, the

education, health care, social security and employment, infrastructure and other public services is still a large gap between urban and rural areas. At the same time, this serious unequal influence government to maintenance equity and justice, the stability and unity of the whole society, and impact the social and economic life developing normal and healthy. Based on the above background and grim reality, the paper studies the issue of equalization of basic public services in urban and rural areas from management system perspective.

The paper's study focus on the macro-management safeguard system of public service provision, and the research achieves through the following two aspects.

The first is the financial management system and the urban-rural equalization of basic public services. The research of equalization of public services, only from the institutional view, the most important institution is the financial management system. In theory, because of public goods characteristics of the non-exclusive and non-competitive, it limited the market function to allocate resources to produce fundamentally, which means the spending by the government finance to directly produce public goods or provide public services can much improve social welfare. Further analysis, since the government is the main subject of supplying of public services, it can believe that a large proportion of capital expenditure to the urban and rural public services was guaranteed by the Financial. For to improve the efficiency of the use of funds, the financial management system should be reflected the concept of the relative centralization and decentralization, combination of urban and rural. Theory also support this statement, compared with the central government, local governments, especially base local government has information superiors for supply, demand, cost and other aspects of the public services. So a large number of public services supply by all levels of local government which is decision-making, grading supply is more efficient than the central government focused

supplying. However, in practice of China's financial management system has three aspects. First, our financial management system in the supply of public services can not be fully realized the concept of fiscal decentralization. From the perspective of fiscal decentralization, it is generally believed that excessive centralization will lead to low efficiency of supplying public service by government. A modest decentralization government can reduce costs and improve the quality of supply public services. However, since the founding of New China, the financial management system in practice always has decentralization perspective. But because of the economic base, the political system and other factors influence, the decentralization perspective can not fully embody. Second, since the founding of New China, it can be fund all stages public services supplying arrangements performance the typical urban-rural differences. So the financial resources of all kinds are seriously inclined to the city from infrastructure to science, education, social security and employment, social justice and other areas. The result of the long-term implementation of such policies is a serious non-equal of basic public services in urban and rural areas. Third, the implementation of the rural taxes reform in recent years cause some shackles to supplying of public services in rural areas in short-term. Long-term implementation of the policy formats huge gap between rural and urban of supply public services. However, rural taxes reform cut off the most important financing channels which supply the public goods in rural areas. When the other channels can not enough to make up for this funding gap, it will weak of rural public service supplying capacity in short-term and further exacerbating the gap between urban and rural public services.

The second is the administrative management system and urban-rural equalization of basic public services. Many discussion of the subject of the supplying public services have government, market, voluntary three main subjects alone supplying, also have two ways joint supplying or three ways joint supplying, but this view that "the

government is the main body of the supplying of public services in a country or region" was accepted in all countries of the world.

On this basis, the government as the main body of management social and economic activities, its administrative management efficiency improving will make very important influence on the public services supplying capacity. This part analysis look "the government is the most main body of public services supplying" as the starting point. It put the government as a microcosmic subject analysis its administrative management system's efficiency improving can promote the quality or quantity of government's public service supplying. Then the papers discuss the influention of administrative system reform and practice to the supply of public service in rural and urban. Through the research we found that administrative system reform during the planned economy system basically flawless considering how to improve rural residents' enjoy level of public service, taking single angle on urban security system caused the big gap between urban and rural public services.

Subsequent in market economy condition, with the transition of government function, administrative management system operating can supply the public services better. In this stage, the public service level of rural residents' had greatly improved, but because the reason of historical accumulation and urban public services' level more rapidly ascension, public services gap remains between the urban and rural areas.

On the base of above analyzing immanent logic and influence analysis for the financial management system and administrative management system to the supplying of basic public services, the paper' research came into empirical analysis. One aspect is the present situation of basic public services through the existing data from investment situation, the facilities condition, covering the aspects of education, health, social security and infrastructure. Through the

objective, detailed description, the results show that our country's basic public services level between urban and rural areas are serious not equal at present. Another aspect is the empirical analysis for the management system factors affect to urban and rural basic public services supplying. The author thinks all policy or measures to promote equalization of basic public services of the urban and rural areas will be through the financial management system and the administrative management system channel. So research considers all policy factors affecting the supplying of public services, such as the fiscal expenditure on every field, urbanization, residents' income level quantitatively and constructs the panel model to estimate. Though the research, it is concluded that some different and highly policy reference valued conclusions, such as the improve rural per capita net income and urbanization leading medical resources centralized to the city, simply by raising social security per capita funds expenditure does not shrink social security gap between the urban and rural areas, etc. .

Finally, based on the theoretical and empirical studies, the papers discuss the policy and measures to equalization of public services in urban and rural areas. It only focus on management system about financial transfer payment system, under provincial financial management system and administrative management system efficiency improvement. It also gives author's own views how to further improve or deepening reform in basic public services of education, health, social security and infrastructure areas.

Keywords: Urban and Rural; Basic Public Service; Equalization; Administrative System

目录

Contents

第一章 导论	1
第一节 研究背景及意义	1
第二节 概念界定及研究内容	11
第二章 文献综述	22
第一节 国外研究评述	22
第二节 国内研究评述	32
第三节 简要评述	54
第三章 财政管理体制与城乡基本公共服务均等化	55
第一节 财政分权理论与公共服务供给	56
第二节 财政管理体制演进与公共服务供给	61
第三节 城乡公共服务差异供给演绎	72
第四章 行政管理体制和城乡基本公共服务均等化	88
第一节 政府作为公共服务供给主体的理论分析	88
第二节 行政管理体制改革演绎与公共服务供给分析	93
第三节 我国行政管理体制与公共服务供给的矛盾分析	101