

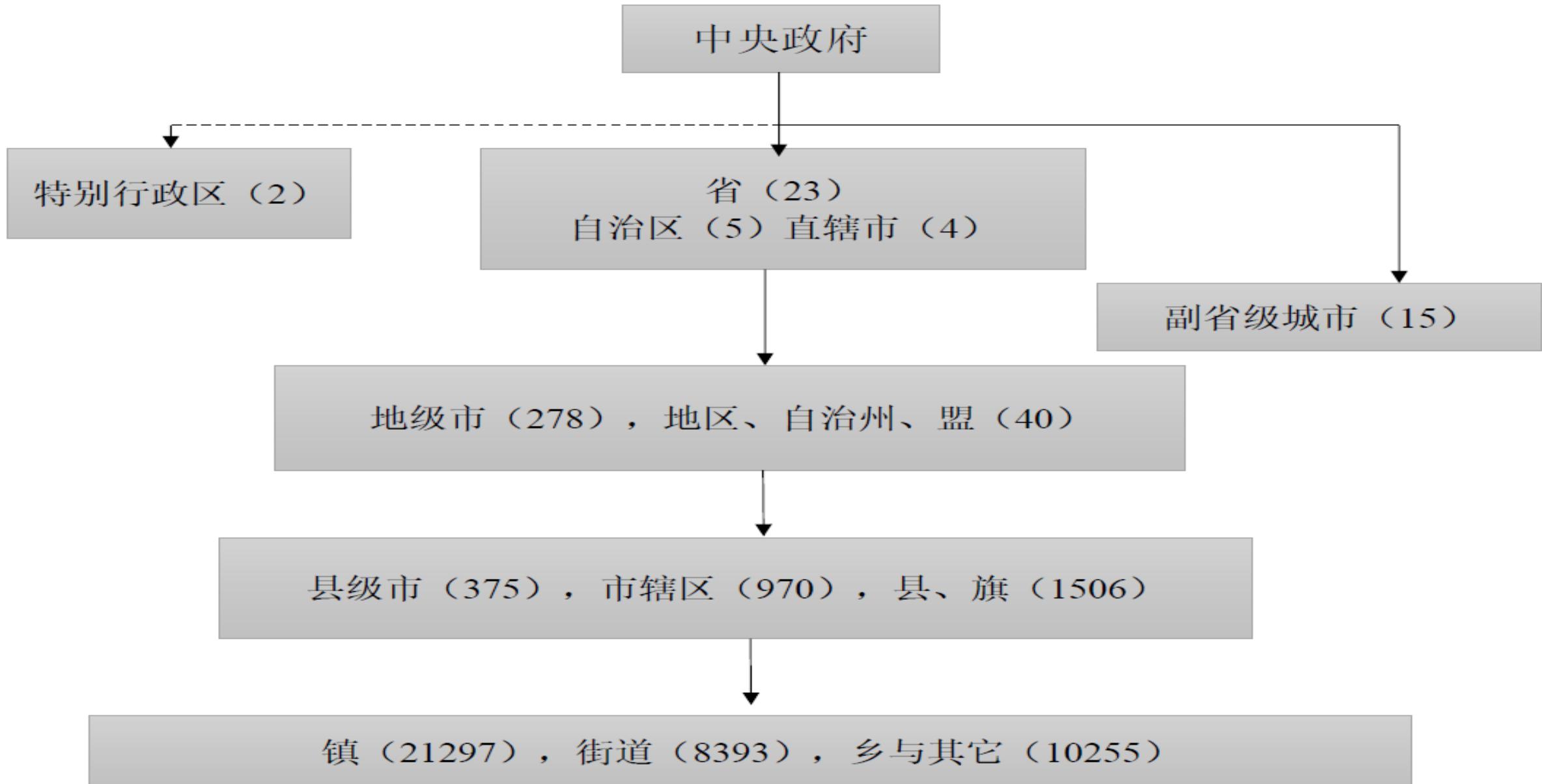
第一讲 政府治理与事权划分

背景阅读

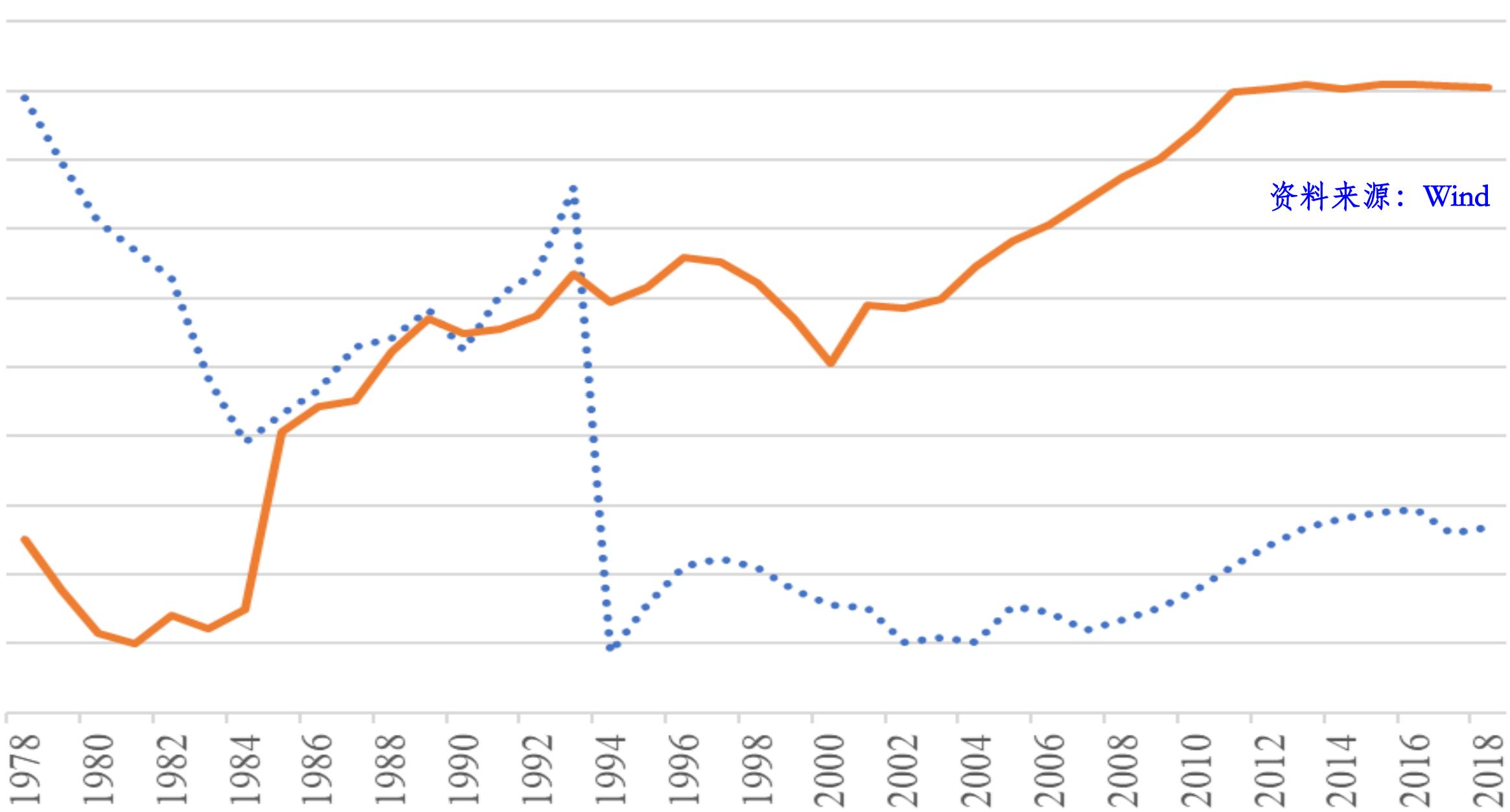
周黎安（2017），转型中的地方政府：官员激励与治理（第二版）（2-3.3章），格致出版社

周雪光（2017），中国国家治理的制度逻辑：一个组织学研究（1-4章），三联书店

中华人民共和国行政区划 2018 年



…… 地方预算收入:比重 — 地方预算支出:比重



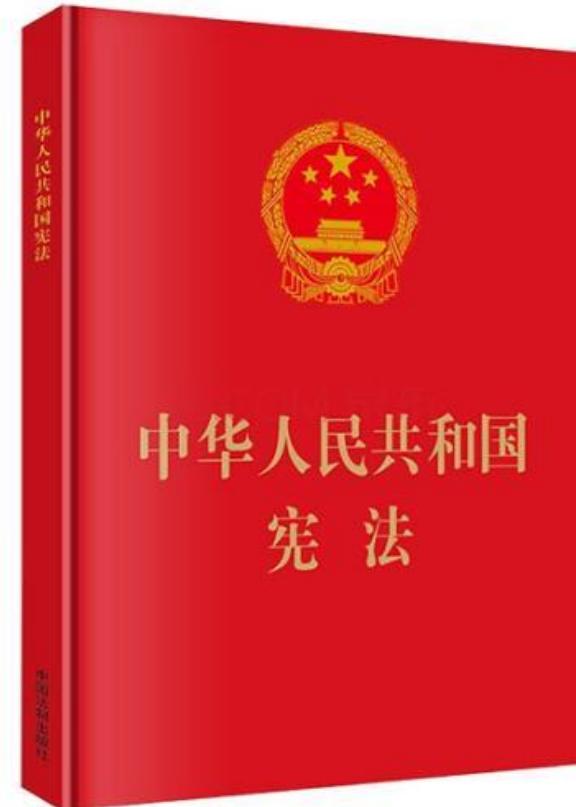
资料来源：Wind

地方政府人员占比

- 公务员（不算事业单位）：94%
- 算上事业单位：96%
- 美国：81%
- 日本：86%
- 德国：89%
- OECD平均值：59%

政府治理体系特点一：中央和地方政府

第三条：“中央和地方的国家机构职权的划分，遵循在中央的统一领导下，充分发挥地方的主动性、积极性的原则。”



政府治理体系特点二：党和政府

- 高度重叠
- 党委直属机构有哪些？（省委或市委）
- 不特别区分，对经济分析不太重要

政府治理体系特点三：条块分割，多重领导

- “四套班子”层层复制
- 条块分割，双重领导
- 业务关系与领导关系

政府治理体系特点四：上级领导与协调

- 为什么上级重要？
- “一把手负责”，为什么？
- 减轻上级决策负担
- 跨部门的“分管领导”或“领导小组”

政府治理体系特点五：官僚体系

- 自古是政治和社会支柱之一
- 科举制：政治领导 & 道德表率
- 人力资本雄厚：大学生比例远超社会平均水平
- 学习和贯彻统一的意识形态
- 由上至下任命

事权划分的一般性原则（楼继伟，2013）

- 外部性原则：公共服务的收益范围确定公共服务成本的辖区范围
- 信息复杂性原则：信息处理和识别的比较优势
- 激励相容原则

理论1：公共物品，规模经济，行政区划

The Division of Jurisdictions: economy of scale in providing public goods & heterogeneity cost ([Alesina & Spolaore, 2005](#))

A linear segment of the world (continuum)

$N \geq 1$, number of jurisdictions

One single public good, “government”, in each jurisdiction

Utility of (immobile) individual i , uniform distribution:

$$U_i = g(1 - al_i) + y - t_i$$

The Social Planner's Solution

$$\max \int_0^1 U_i di ,$$

$$\int_0^1 t_i di = Nk .$$

3-level optimization:

jurisdiction number N^* ;

size of each jurisdiction S_x

In each jurisdiction, the location of the public good “government”

Optimum

$$N^* = \sqrt{ga/4k}.$$

k: cost of the public good.

higher, smaller N, larger jurisdiction size S. (economy of scale)

g: maximum utility of the public good

higher, larger N, smaller jurisdiction size S.

a: disutility from the distance

higher, larger N, smaller jurisdiction size S.

《盐铁论》《地广第十六》大夫 V.S. 文学

“文学曰：秦之用兵，可谓极矣，蒙恬斥境，可谓远矣。今逾蒙恬之塞，立郡县寇虏之地，地弥远而民滋劳……张骞通殊远，纳无用，府库之藏，流于外国……”

“大夫曰：挟管仲之智者，非为厮役之使也。怀陶朱之虑者，不居贫困之处。文学能言而不能行，居下而讪上，处贫而非富，大言而不从，高厉而行卑，诽誉訾议，以要名采善于当世。夫禄不过秉握者，不足以言治，家不满檐石者，不足以计事。儒皆贫羸，衣冠不完，安知国家之政，县官之事乎？”

“文学曰：……苟先利而后义，取夺不厌。公卿积亿万，大夫积千金，士积百金，利己并财以聚；百姓寒苦，流离于路，儒独何以完其衣冠也？”

Economy Of Scale Of Fiscal Policy



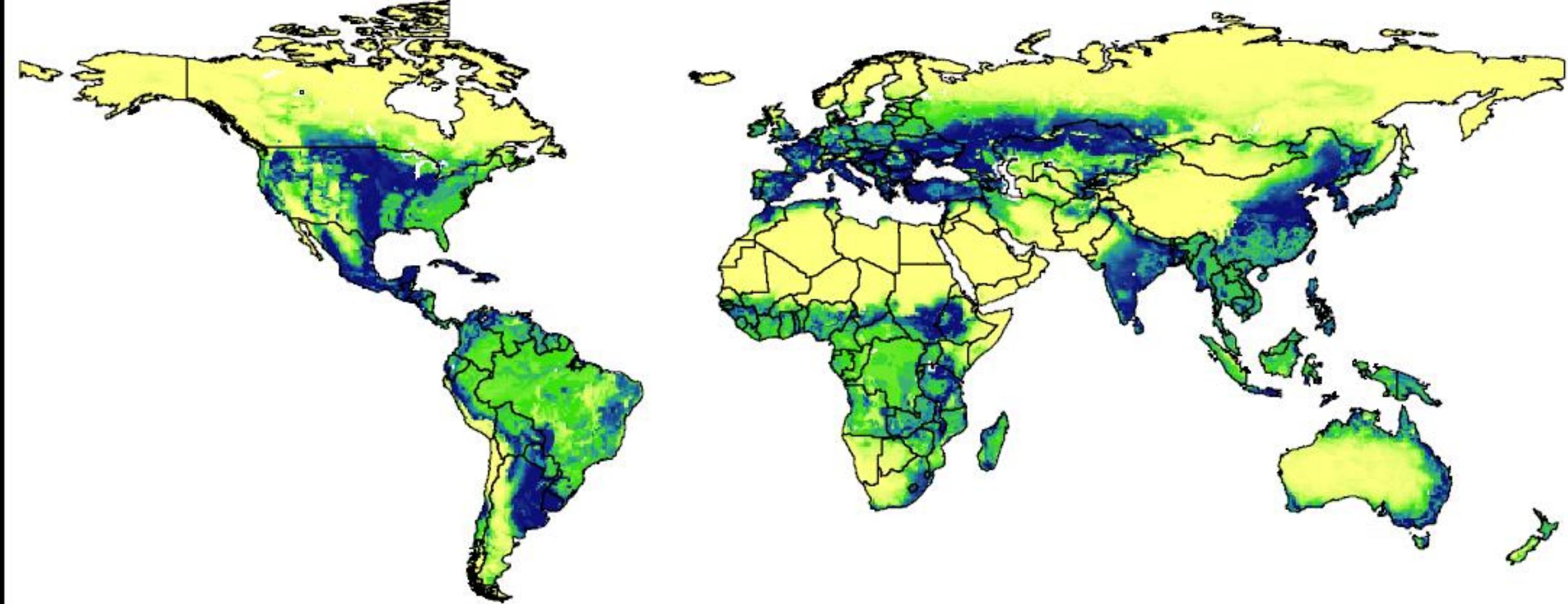
“When the dimensions of a State attain to a certain magnitude, it requires the same energy of government and the same forms of administration which are requisite in one of much greater extent. ”

--- Hamilton, the *Federalist Paper* 13

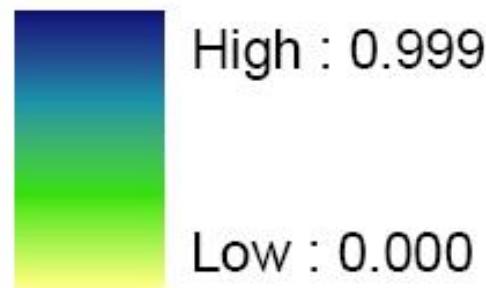
三个重要的其它因素

- 人口密度：“民稠则滅，稀则旷”（《汉书·百官公卿表》）
- “随山川形变” & “犬牙交错”
- 方言与行政区域

为何会有方言？方言多寡与何种因素有关？



Global Land Quality



Michalopoulos (2012)

Ethnolinguistic Diversity and Variation in Land Quality

Conditional on Geography, Population Density, Migratory Distance from East Africa and Continental FE

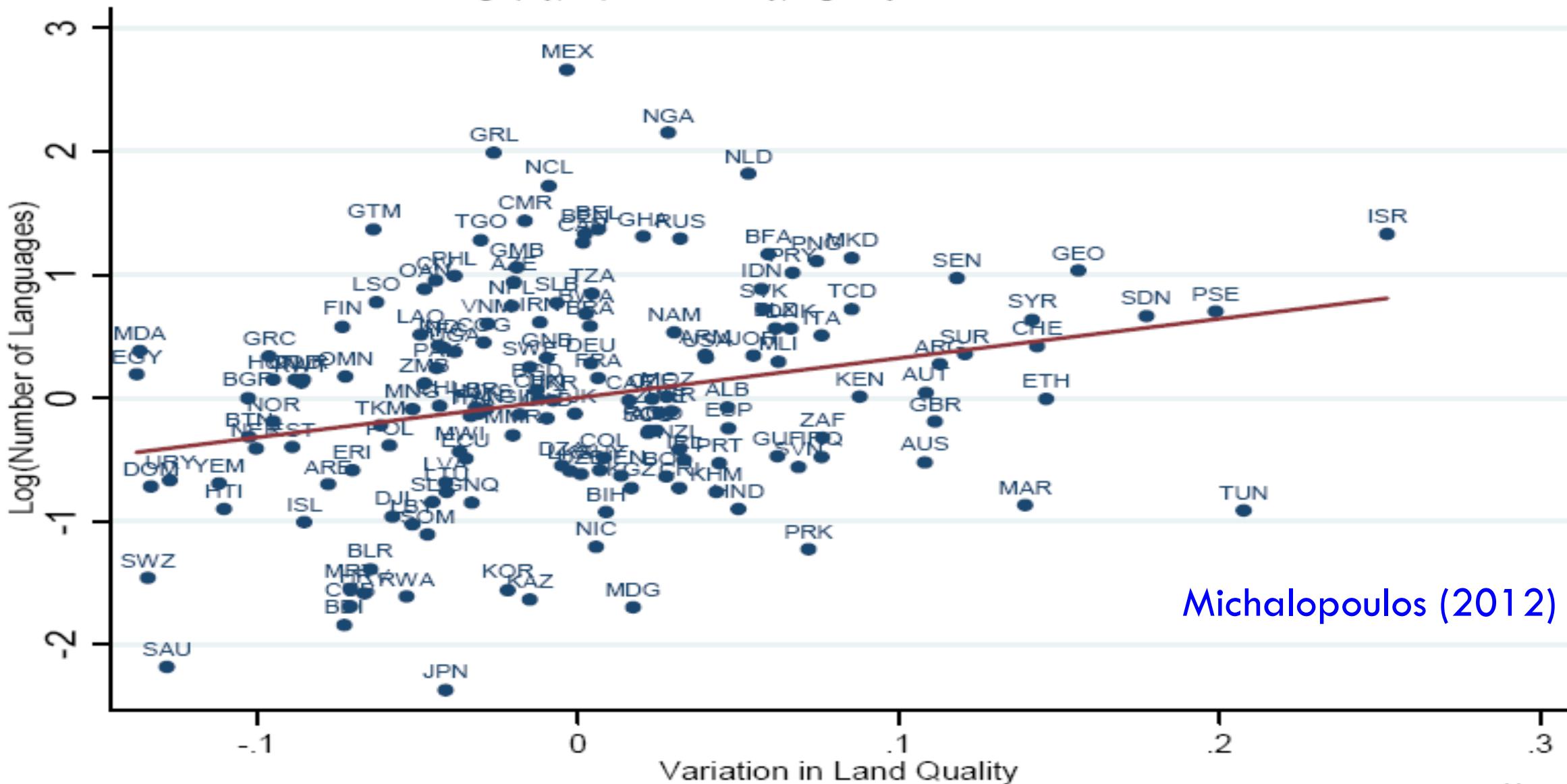


表 7.1 省区交界县与非交界县的经济发展比较

变 量 名	省界县 (1)	非省界县 (2)	差异 (1)–(2)
人均 GDP(元)	3 469.14	3 905.82	-436.68 (5.28)
省内相对人均 GDP	1.020	1.213	-0.192 (14.06)
贫困县比例	0.362	0.258	0.104 (12.49)
距省城的距离(公里)	51.280	30.059	21.221 (43.08)
1990 年文盲率(%)	27.625	26.836	0.789 (3.09)
山区 = 1	0.422	0.421	0.001 (0.07)
丘陵 = 1	0.229	0.247	0.018 (2.03)

资料来源：周黎安、陶婧(2011)。第四列括号里的数字为 t 统计量。

Polluting Thy Neighbor (Cai, Chen, Gong, 2016)

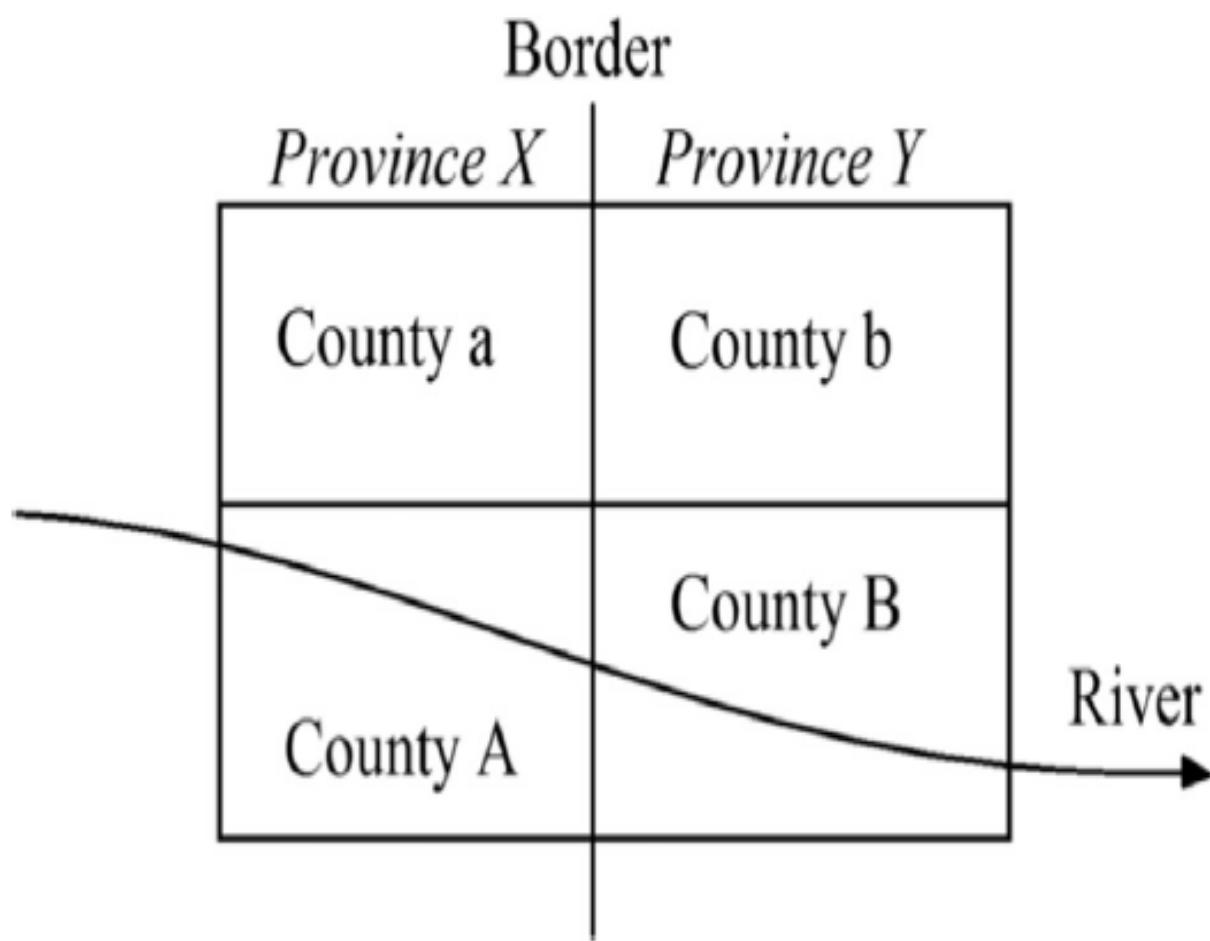
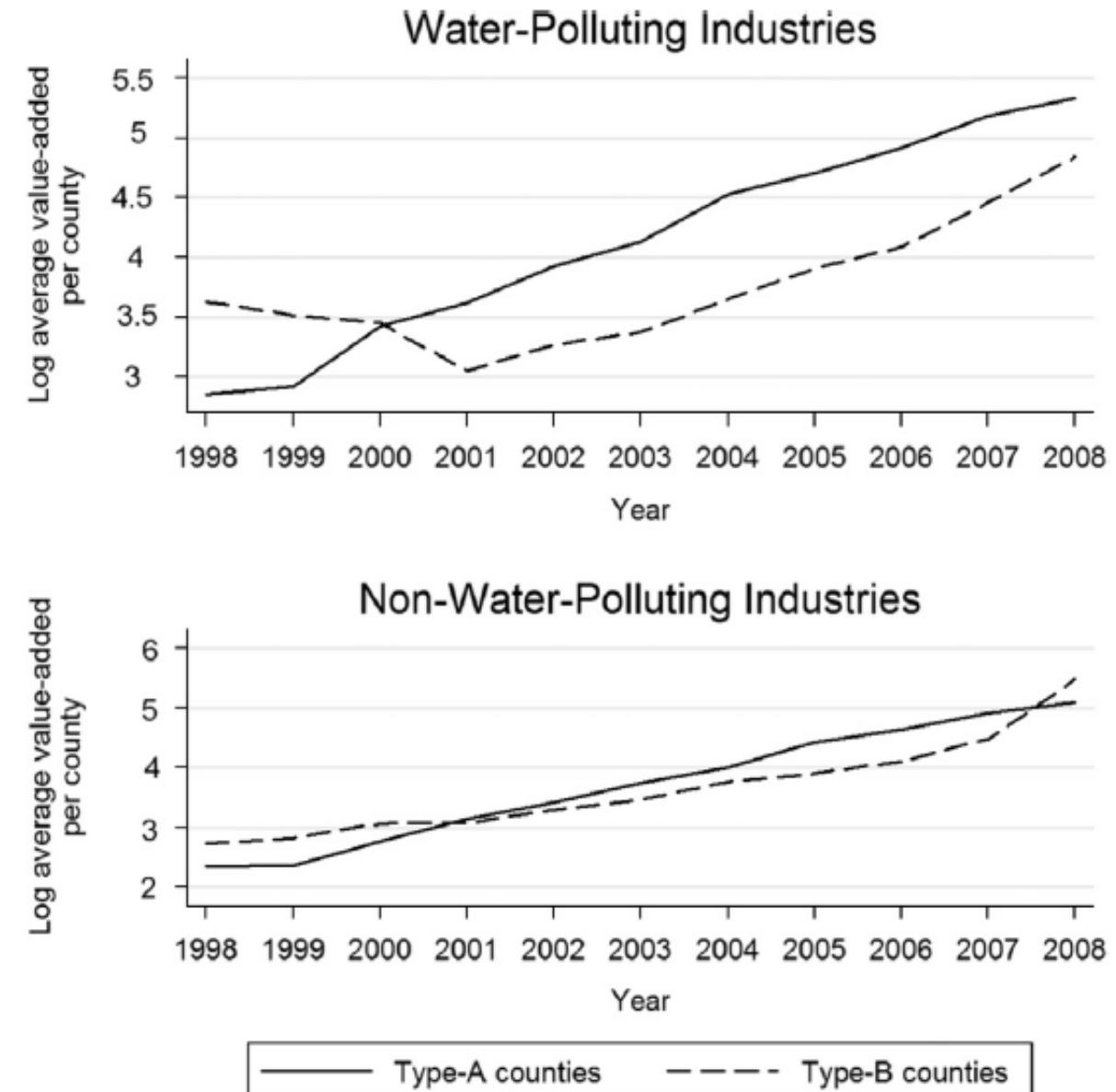
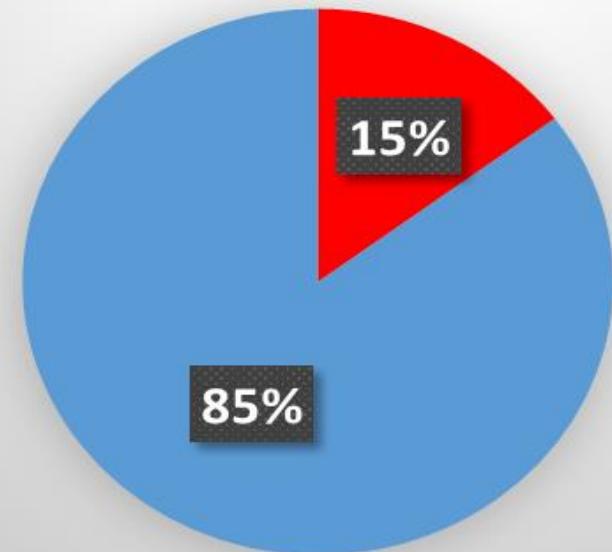


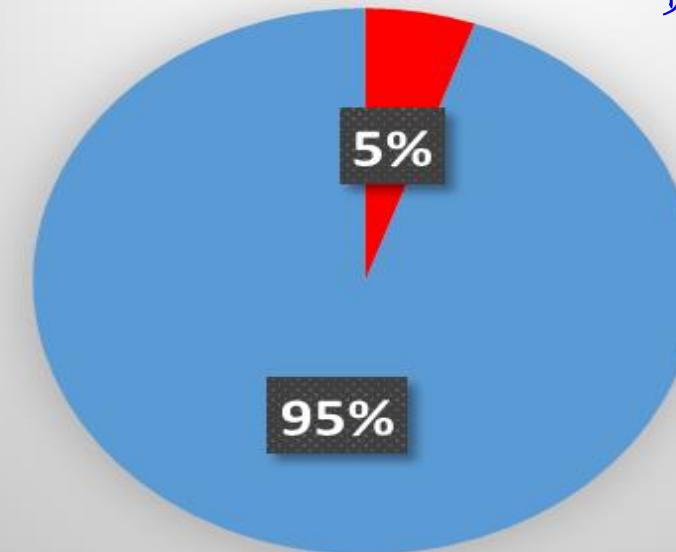
Fig. 1. Heuristic Map of Counties at the Provincial Border.



2018年一般公共预算总支出

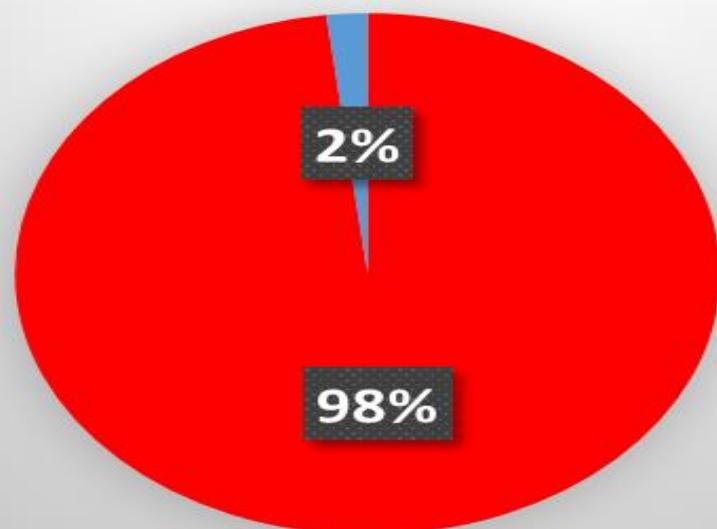


教育支出

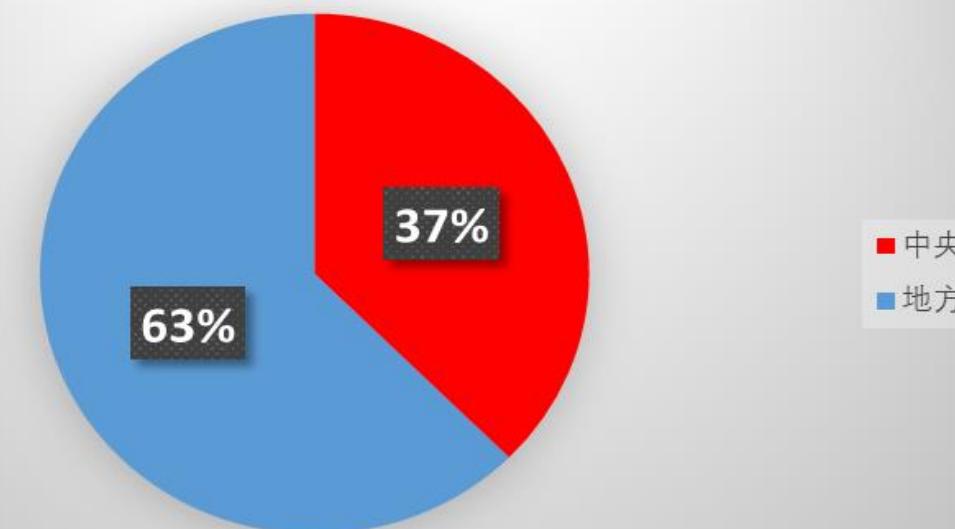


资料来源：Wind

国防支出



2018年科学技术支出





理论2：信息复杂性

Incomplete Contract and Organization

“Given that a contract will not specify all aspects of asset usage in every contingency, who has the right to decide about missing usages? According to the property rights approach, it is the owner of the asset in question who has this right. That is, the owner of an asset has **residual control rights** over that asset: the right to decide all usages of the asset in any way not inconsistent with a prior contract, custom, or law. In fact, possession of residual control rights is taken virtually to be the definition of ownership.”

Oliver Hart (1995), p.30

Formal v.s. Real Authority: Why Delegation? (Aghion & Tirole, 1997)

- Each project $k \in \{1, 2, \dots, n\}$: profit B_k for principal, b_k for agent
- Congruence parameters: $\alpha, \beta \in (0, 1]$
 - If principal's preferred project is chosen: B for principal, expected benefit βb for agent
 - If agent's preferred project is chosen: b for agent, expected benefit αB for principal
- Information Acquisition
 - Agent: perfectly learn with a probability e at private cost $g_a(e)$; $1-e$ learn nothing
 - Principle: perfectly learn with a probability E at private cost $g_p(E)$; $1-E$ learn nothing

THE COMPLETE YES MINISTER

BBC

JONATHAN LYNN & ANTONY JAY



信息优势，实际权威，官与吏

- 清人朱克敬《瞑庵杂识》中有一位吏的自我定位如下：“凡属事者如客，部署如车，我辈如御，堂司官如骡，鞭之左右而已。”
- 体制内办事，“县管不如现管”

Year	Central Targets	Provincial Growth Targets			Compared to Central (%)		
		Mean	Min	Max	Above	Equal	Below
		(1)	(2)	(3)	(4)	(5)	(6)
1997	8.00	10.19	8.50	13.00	1.00	0.00	0.00
1998	8.00	9.67	8.00	12.00	0.93	0.07	0.00
1999	7.00	8.79	7.05	10.05	1.00	0.00	0.00
2000	7.00	8.53	7.00	13.00	0.90	0.10	0.00
2001	7.00	8.90	7.00	12.05	0.97	0.03	0.00
2002	7.00	8.84	7.00	12.05	0.97	0.03	0.00
2003	7.00	9.37	7.55	12.05	1.00	0.00	0.00
2004	7.00	9.77	8.00	13.00	1.00	0.00	0.00
2005	8.00	10.30	8.50	15.00	1.00	0.00	0.00
2006	8.00	10.27	8.50	15.00	1.00	0.00	0.00
2007	8.00	10.40	9.00	15.00	1.00	0.00	0.00
2008	8.00	11.01	9.00	15.00	1.00	0.00	0.00
2009	8.00	10.09	8.00	13.00	0.94	0.06	0.00
2010	8.00	10.36	8.00	13.05	0.94	0.06	0.00
2011	8.00	10.92	8.00	13.50	0.94	0.06	0.00
2012	7.50	11.08	8.00	14.00	1.00	0.00	0.00
2013	7.50	10.66	7.50	14.00	0.97	0.03	0.00
2014	7.50	9.68	7.50	12.50	0.94	0.06	0.00
2015	7.00	8.30	6.00	12.00	0.80	0.07	0.13
2016	6.75	7.81	6.00	10.05	0.84	0.10	0.06

GDP增长目标层
层加码：中央到省

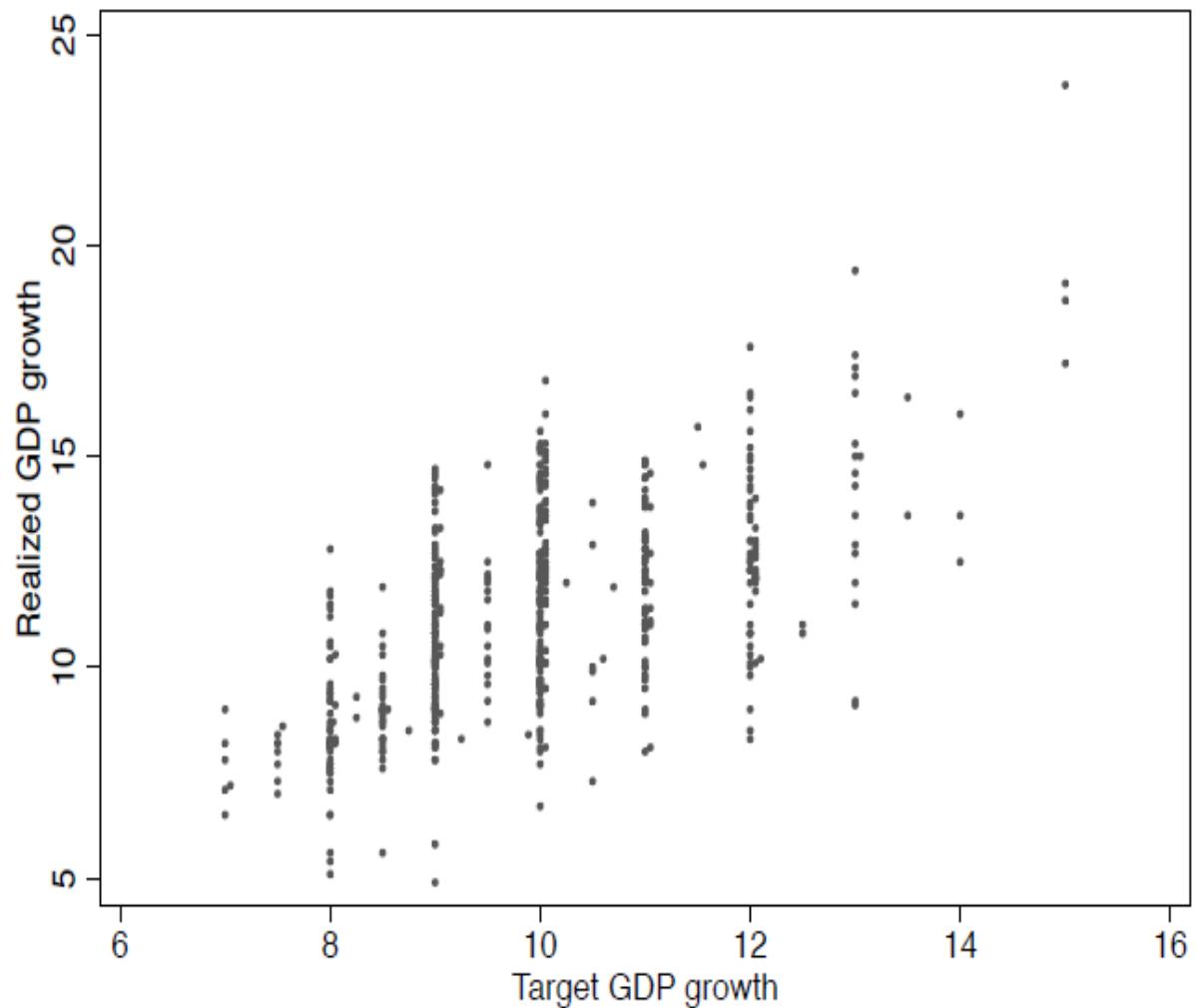
Li et.al (2017)

Year	Provincial Targets		Prefectural Targets	Compared to Superior Provincial (%)			
	Mean	Ampl.		Above	Equal	Below	Missing
	(1)	(2)		(3)	(4)	(5)	(6)
2004	9.73	0.89	12.10	0.74	0.02	0.05	0.18
2005	10.27	0.93	12.65	0.73	0.05	0.05	0.16
2006	10.27	0.93	13.01	0.83	0.03	0.05	0.10
2007	10.46	0.89	13.19	0.86	0.03	0.04	0.07
2008	11.01	0.93	13.52	0.85	0.04	0.03	0.07
2009	10.03	0.93	12.06	0.79	0.12	0.03	0.06
2010	10.30	0.96	12.57	0.82	0.09	0.04	0.05
2011	11.00	0.93	13.69	0.86	0.03	0.02	0.08
2012	11.18	0.93	13.33	0.81	0.06	0.03	0.09
2013	10.78	0.89	12.27	0.78	0.06	0.08	0.08
2014	9.74	0.93	10.63	0.70	0.17	0.06	0.07
2015	8.26	0.82	8.73	0.62	0.19	0.12	0.07

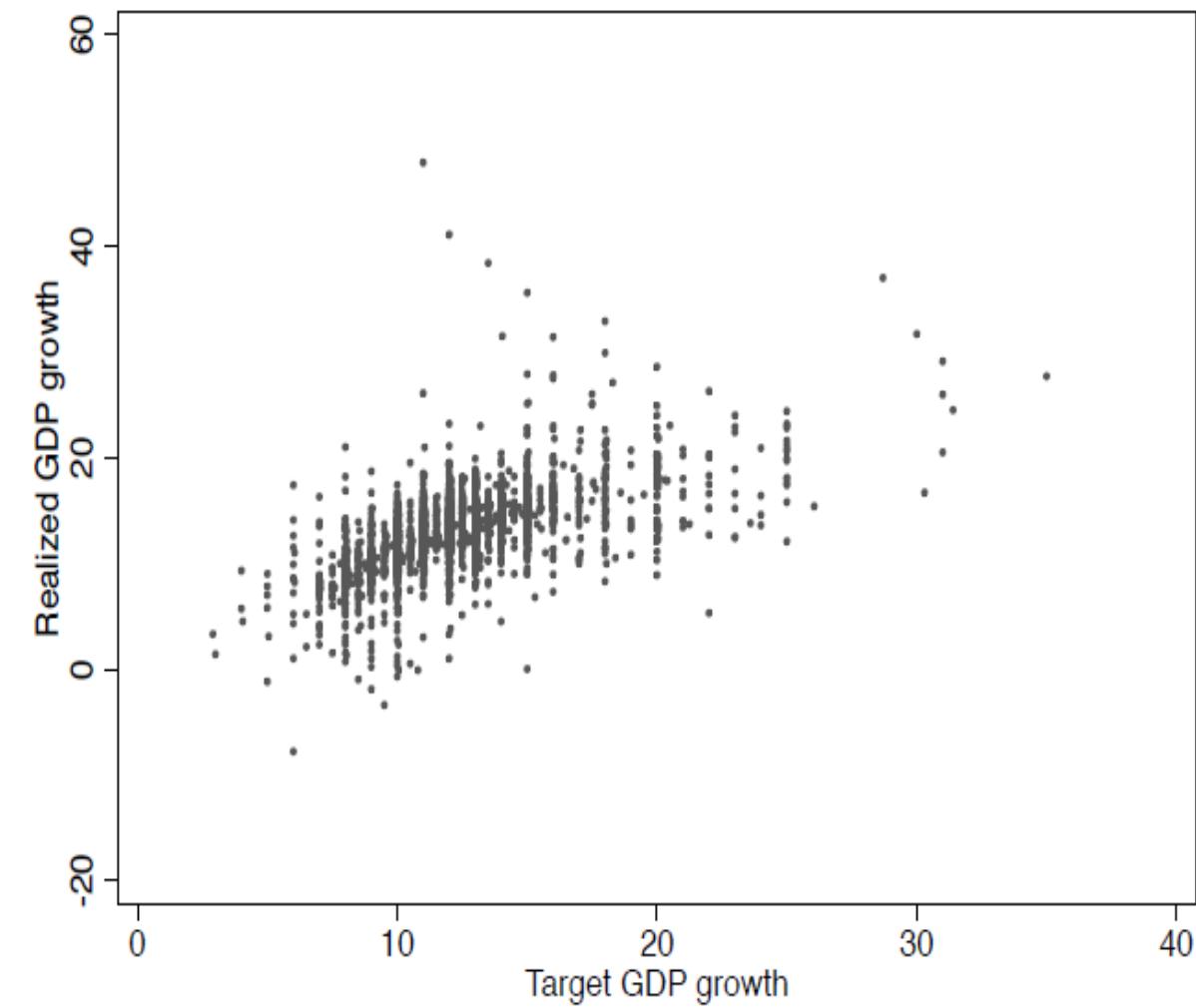
目标增长率v.s. 实际增长率

Li et.al (2017)

(a) Provincial Annual

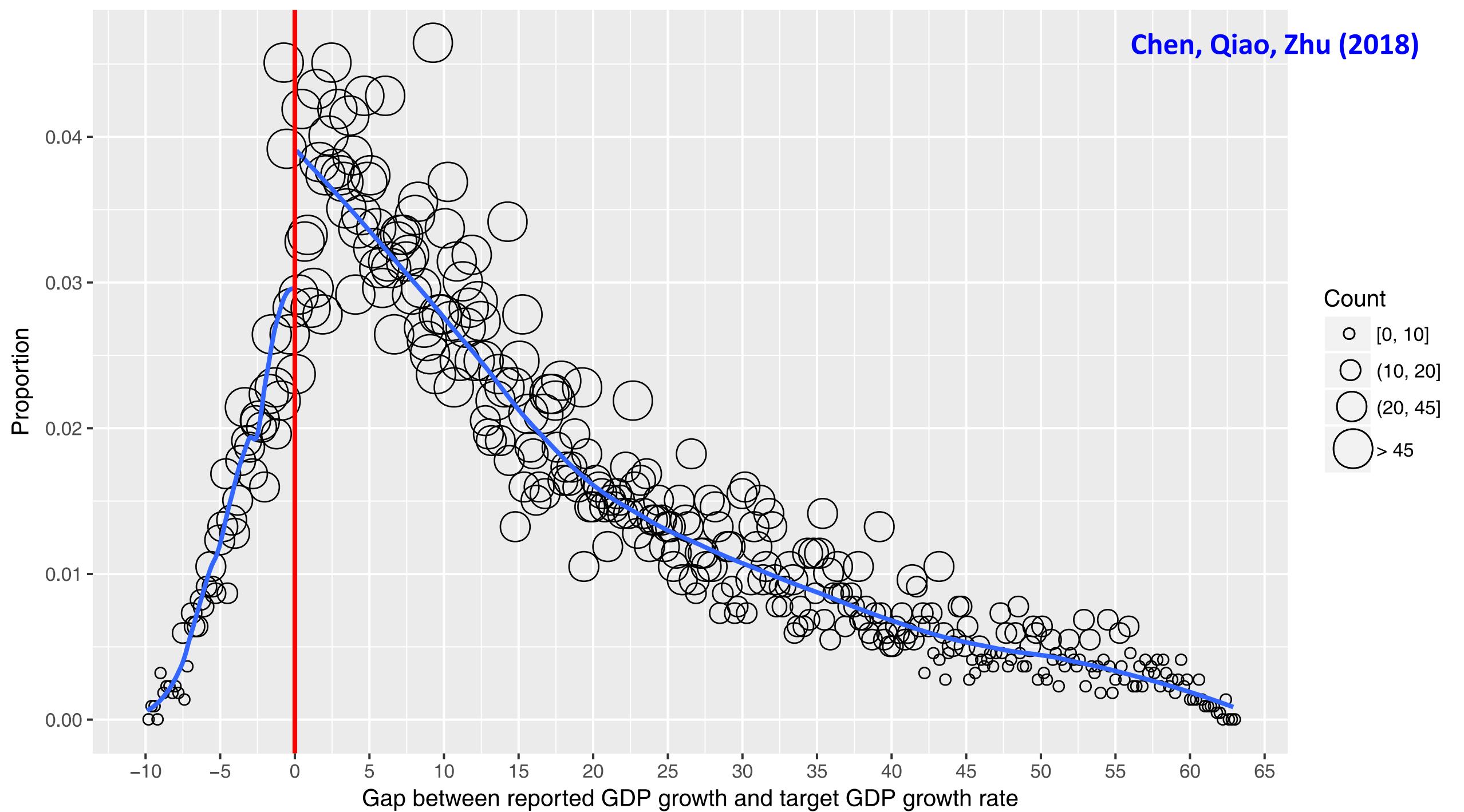


(b) Prefectural Annual



2018年初挤水分

- 2017年辽宁省两会，省长陈求发：“我们顶着面子上难看的压力，认真地挤压水分，2015年夯实了财政收据，2016年以来努力夯实其他经济数据”
- 2018年内蒙古核减2016年规模以上工业增加值2900亿元，占全部工业增加值的40%。
- 天津滨海新区将2017年预期的1万亿GDP挤掉1/3，调整为6654亿元。



(He, Wang, Zhang, 2020)

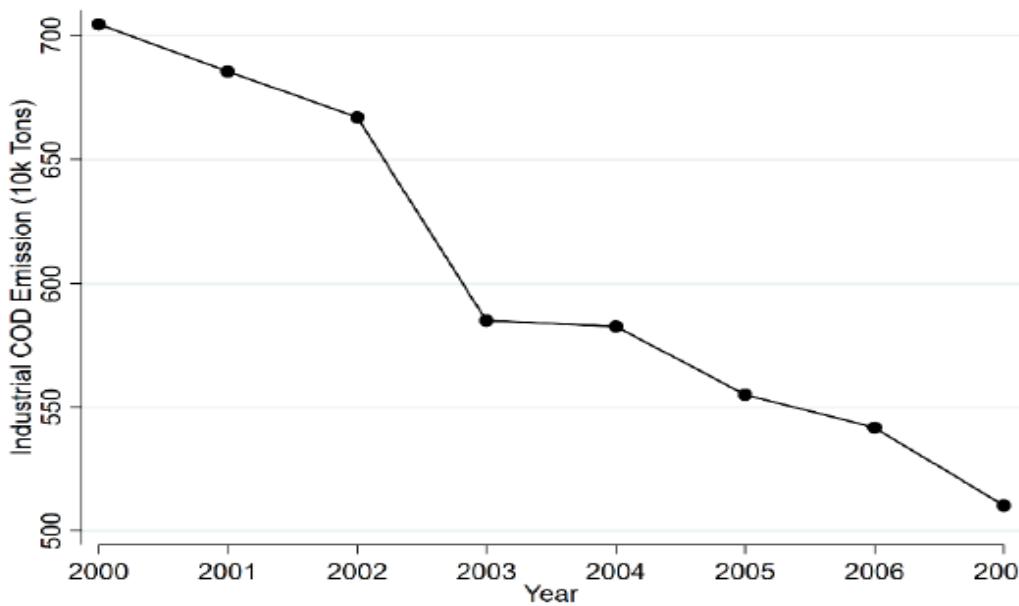
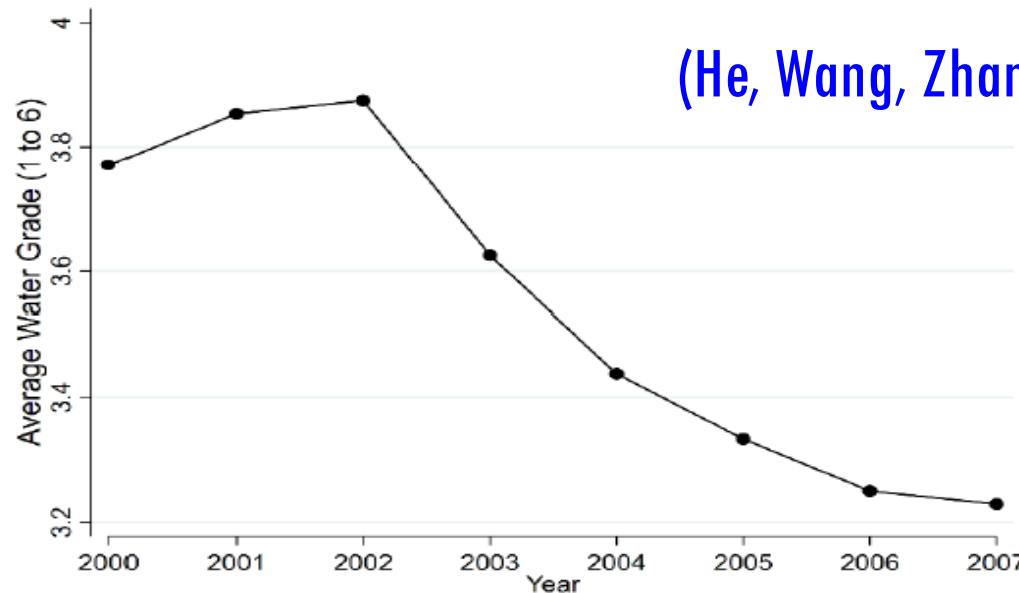
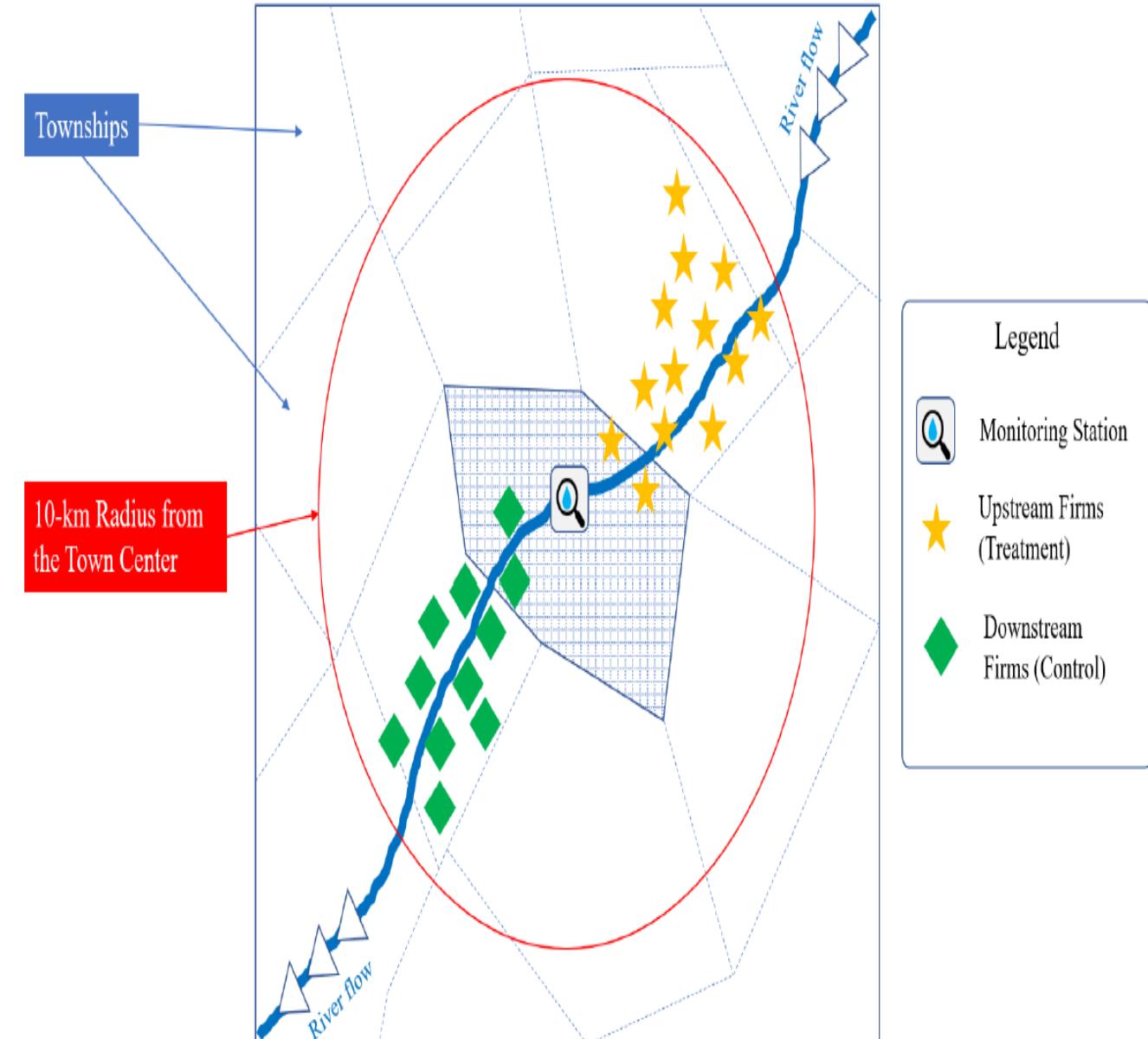


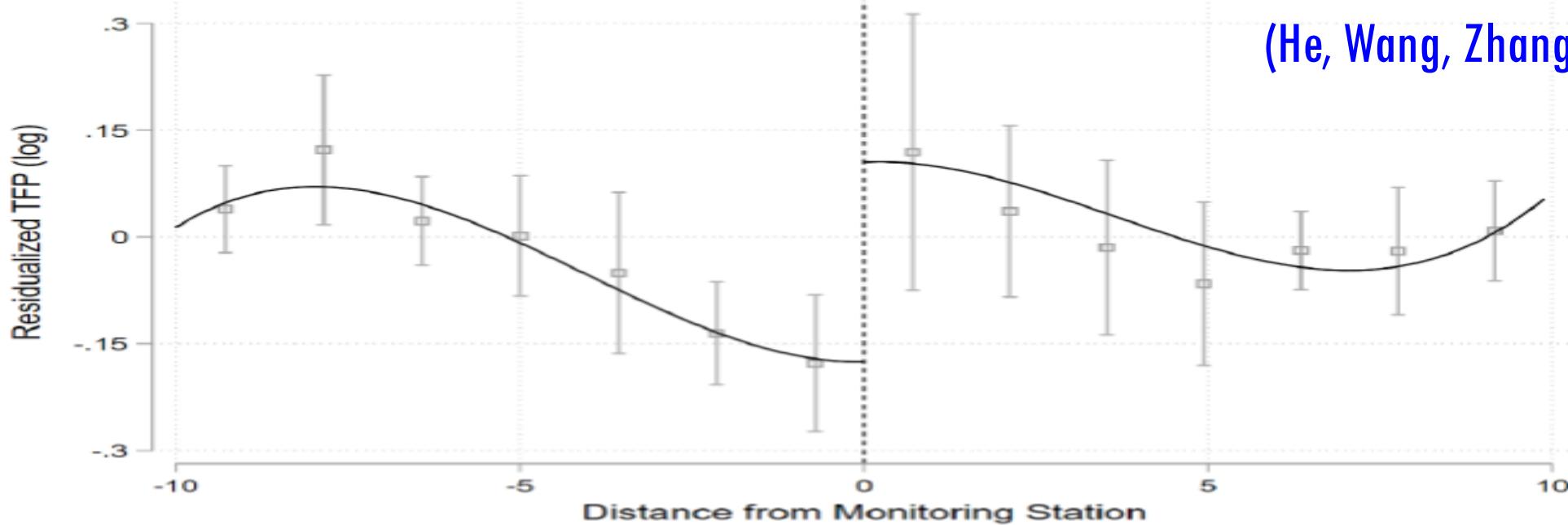
Figure 2. Illustrating the Identification Strategy



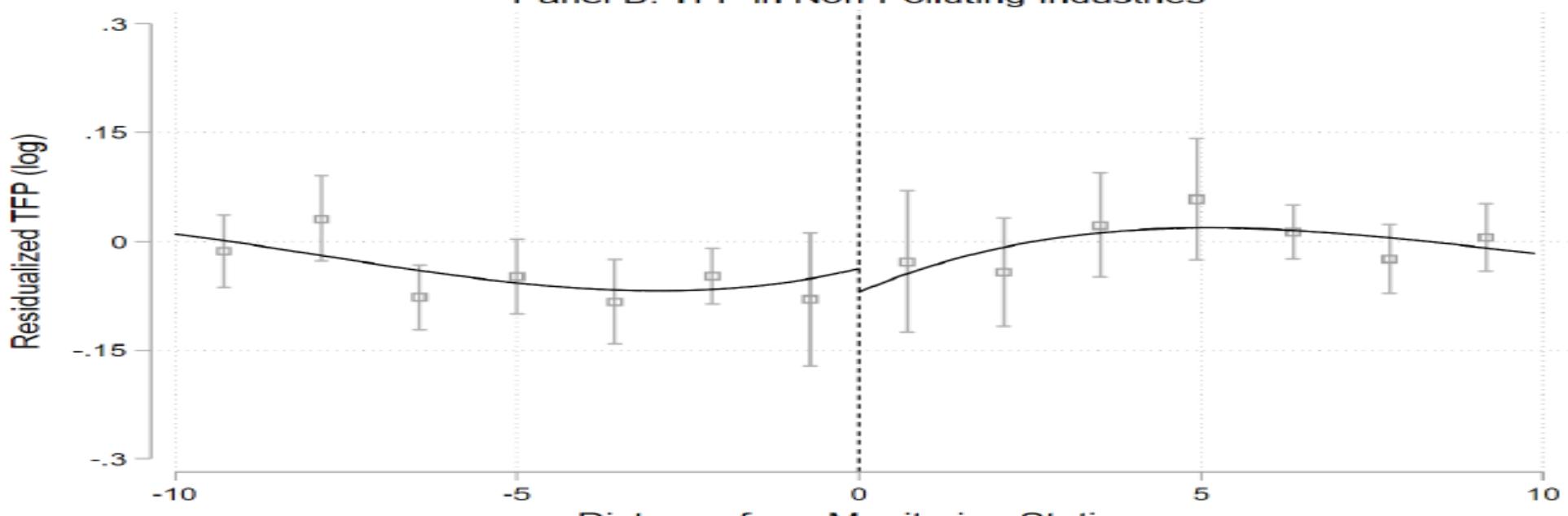
Panel B. Industrial COD Emissions from 2000 to 2007

Panel A. TFP in Polluting Industries

(He, Wang, Zhang, 2020)



Panel B. TFP in Non-Polluting Industries



理论3：激励相容

(无信息获取的不对称，但有利益冲突，且不能用完全的合约来规范)

Quality & Cost Trade-offs, Conflict of Interests (Hart, Shleifer, Vishny 1997)

- Efforts to reduce cost e can lead to the reduction in cost $c(e)$
- Efforts to improve quality i can lead to the improved quality $\beta(i)$

Benefits to G (central government,
the public, etc.)

$$B = B_0 - b(e) + \beta(i),$$

Cost to M (privatized firm, local
government, or employees of central
government etc.)

$$C = C_0 - c(e),$$

- Trade-offs between quality and cost: $b(e)$

The first-best solution: if they can contract on everything and all contingency

$$(1) \quad \max_{e,i} [-b(e) + c(e) + \beta(i) - e - i].$$

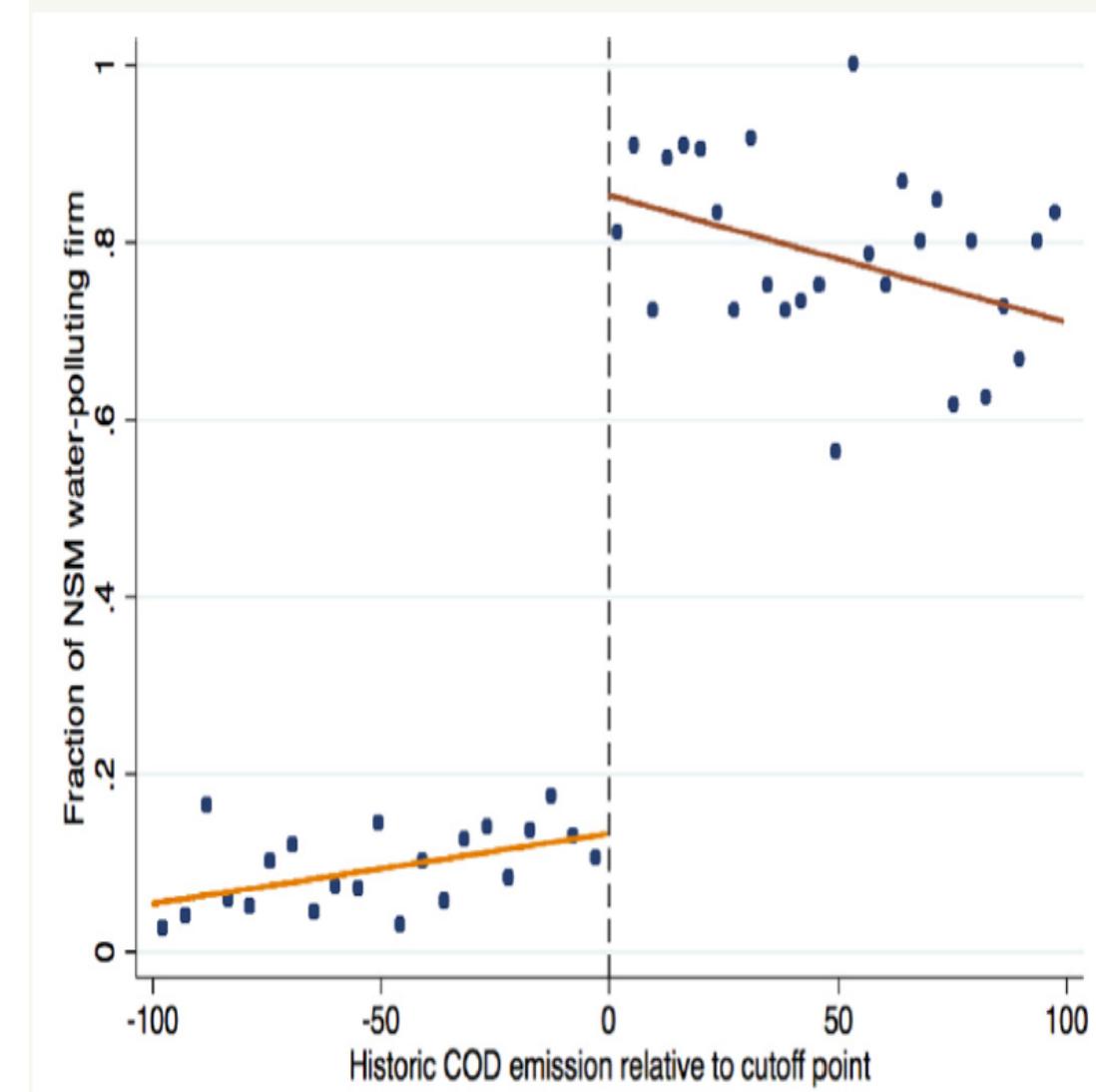
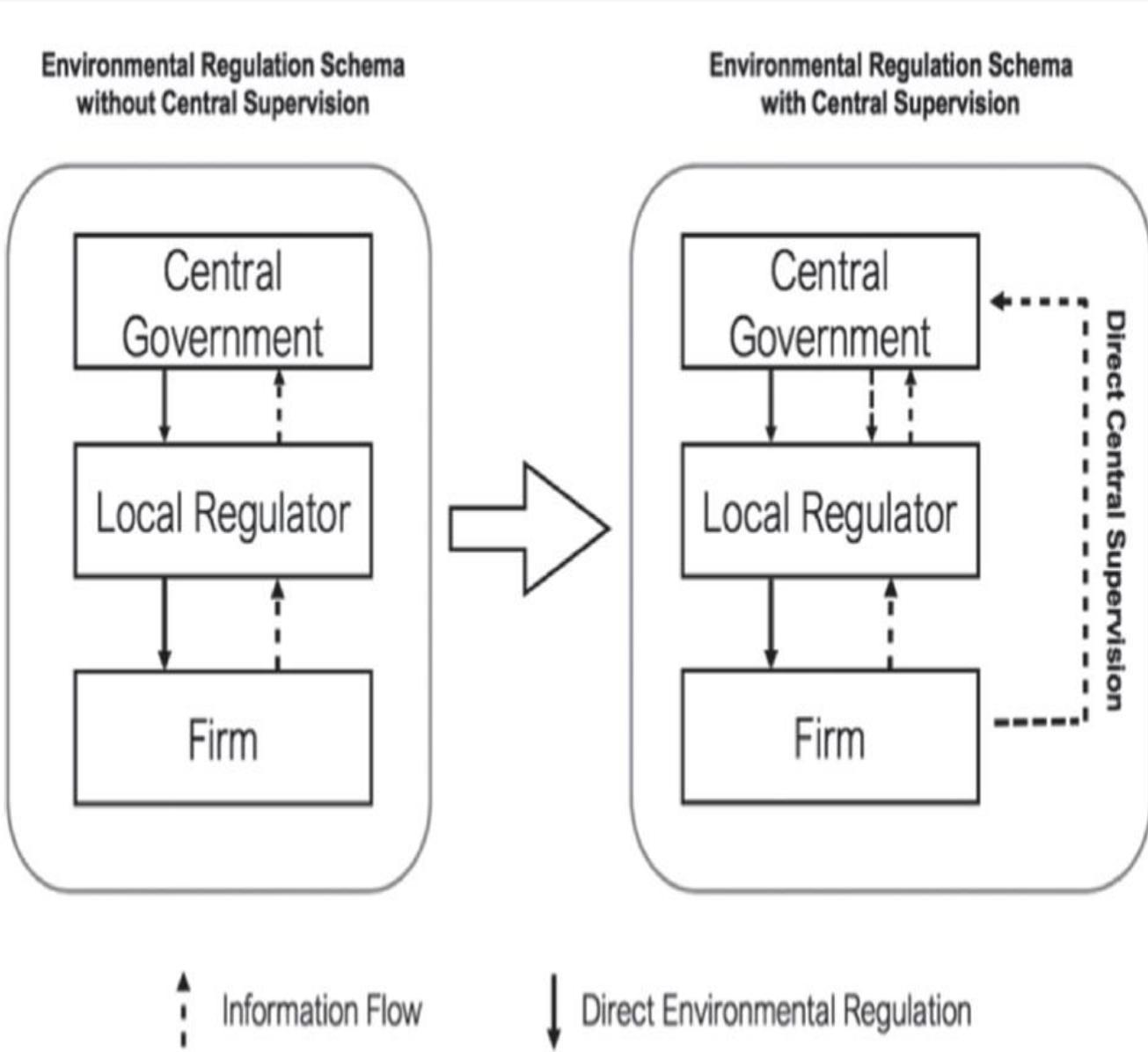
Given our assumptions, (1) has a unique solution (e^*, i^*) , characterized by first-order conditions:

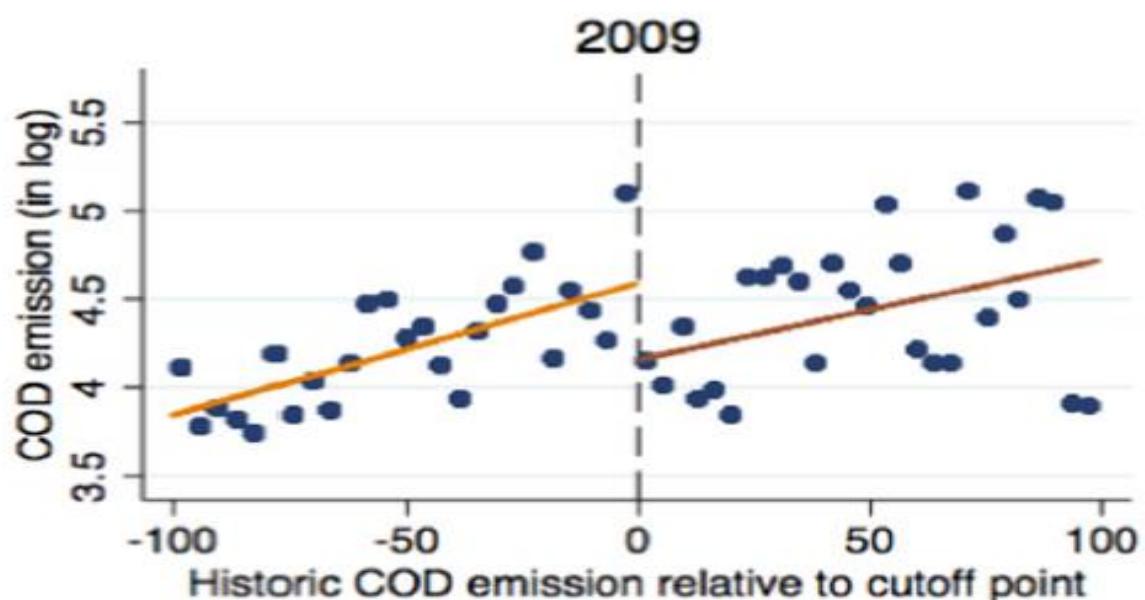
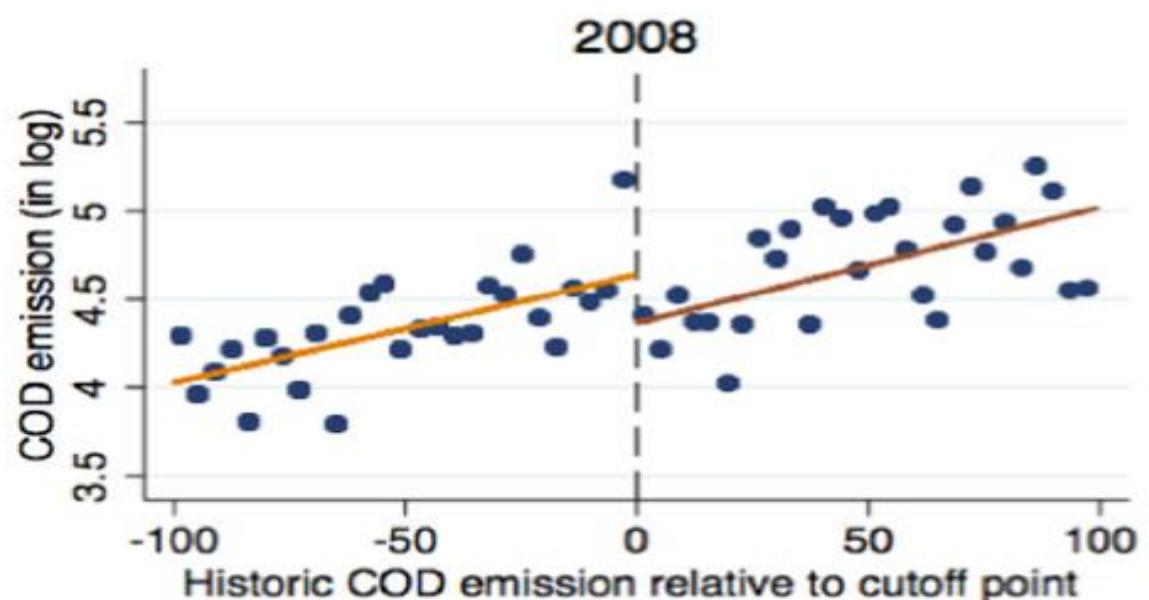
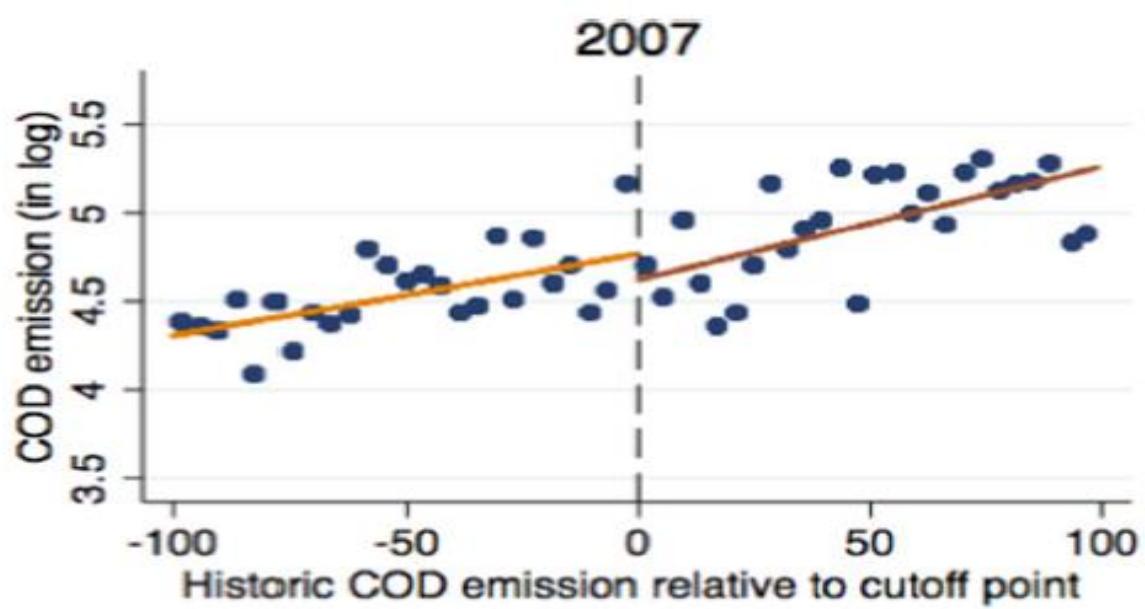
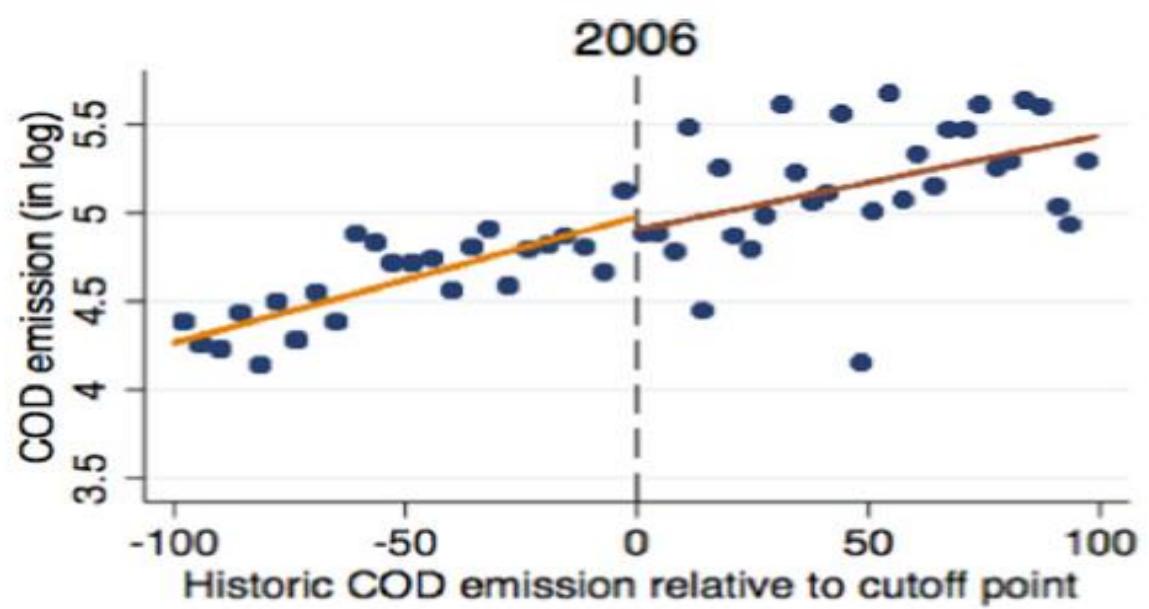
$$(2) \quad -b'(e^*) + c'(e^*) = 1,$$

$$(3) \quad \beta'(i^*) = 1.$$

垂直管理 vs. 地方管理

举例：环境监控与2007年国家重点监控企业改革
(中央看重环境质量，地方看重GDP代价), **ZHANG, CHEN, GUO (2018)**





Note: RD plots with binned sample means of firms mimicking the underlying variability of the data. The vertical dashed line designates the cutoff point (199 metric tons COD). And the fitted lines are constructed with local linear regression method.

影响分权的因素总结

从公共物品生产技术的角度看 (**Alesina & Spolare, 2005**)

- 规模经济，异质性程度，公共物品之间的包含关系

从信息分割的角度看 (**Aghion & Tirole, 1997**)

- 中央、地方各自的利益 (B, b)；中央地方利益的协同 (α, β , 注意两者之间不对称)；各自获取信息的难度 ($E, e, g(\cdot)$)

从公共物品质量和成本操控的角度看 (**Hart, Shleifer, Vishny, 1997**)

- 质量和成本的冲突 (b)；地方与中央能力的对比 (λ)；质量和成本各自的重要性 ($c(e), \beta(i)$)

2013年，十八届三中全会《中共中央关于全面深化改革若干重大问题的决定》

“适度加强中央事权和支出责任，国防、外交、国家安全、关系全国统一市场规则和管理等作为中央事权；部分社会保障、跨区域重大项目建設维护等作为中央和地方共同事权，逐步理顺事权关系；区域性公共服务作为地方事权。”

2016年，国务院《关于推进中央与地方财政事权和支出责任划分改革的指导意见》

“要逐步将国防、外交、国家安全、出入境管理、国防公路、国界河湖治理、全国性重大传染病防治、全国性大通道、全国性战略资源使用和保护等基本公共服务确定为中央事权……要逐步将社会治安、信息较复杂且主要通过公共交通、农村与当地义务教育、医疗卫生、公共卫生、城乡基础设施等基本公共服务确定为地方事权……要逐步将市政交通、养老服务、医疗保险、基本养老保险、跨省（区、市）重大基础设施建设等基本公共服务确定为省（区、市）事权，明确地级及以上城市、就业、粮食安全、中央与地方共同财政事权，并明确各承担主体的职责。”

地方政府职能：超越公共服务与公共物品

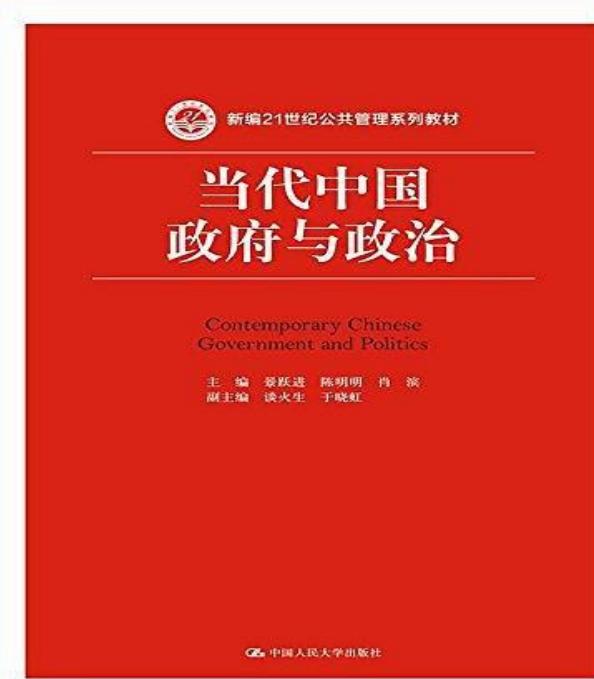
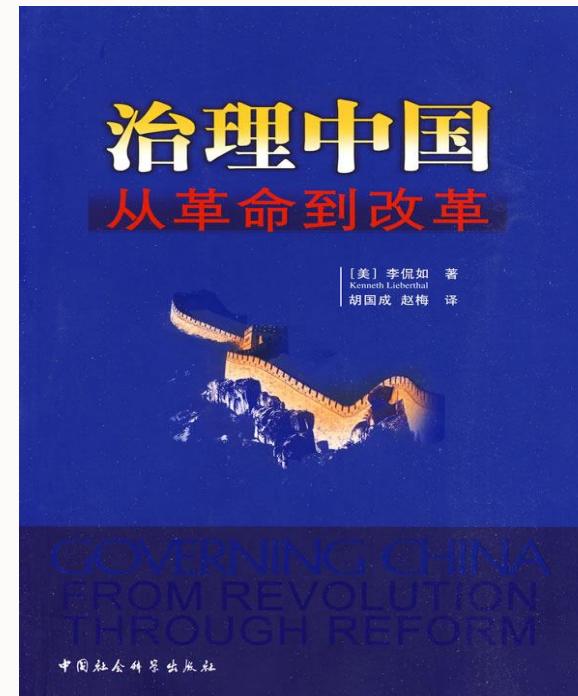
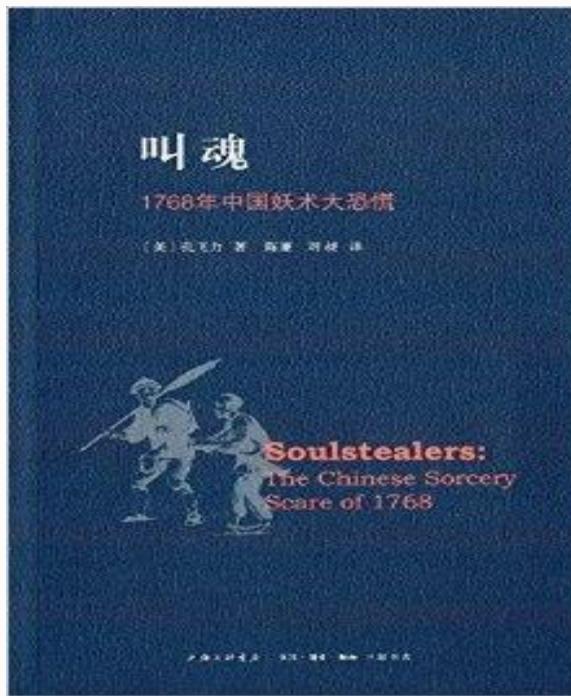
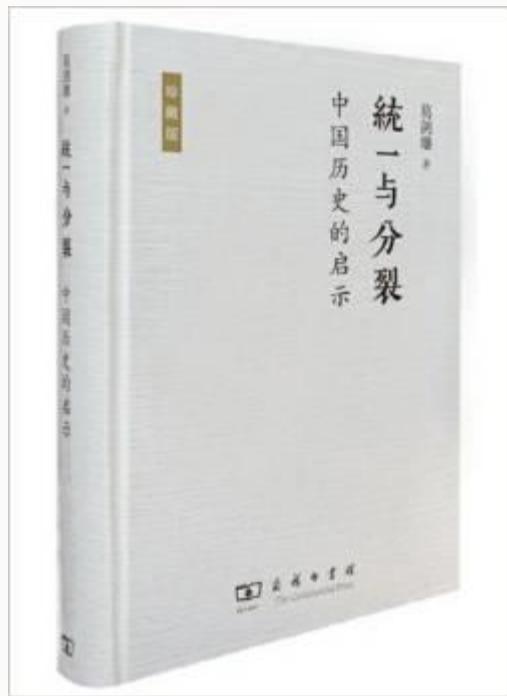
中国地方政府的其它重大职能

- 招商引资、产业规划、项目运作
- 土地开发
- 地方国有资本运营
- 金融与法律服务
- 作为企业“合伙人”的其它职能与服务...

作为企业“合伙人”的地方政府

- 提供资金、担保、及其它金融服务
- 法律法规咨询、其它法律服务
- 流程审批、牌照获取等一系列与上级政府对接的中介指导和服务
- 税收减免，补贴优惠等
- 企业家子女入学，父母就医，甚至职工住房...

拓展阅读



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