

第六章 Chapter 6

市场与政府政策 Markets and Government Policies

市场与政府政策

Markets and Government Policies

🌀 经济学家的作用之一是运用他们的理论帮助制定政府政策。

One of the roles of economists is to use their theories to assist in the development of policies.

🌀 实证分析的重要性：政府政策会不会事与愿违？ Importance of Positive Analysis: Would government policies have effects their architects did not intend or anticipate?

🌀 供求曲线作为分析工具

Analyze various types of policy using only the tools of supply and demand

市场与政府政策

Markets and Government Policies

在自由的、无管制的市场中，市场的力量建立均衡价格，决定交换的数量。

In a free, unregulated market system, market forces establish equilibrium prices and exchange quantities.

虽然均衡的状态可能是有效率的，但可能并非每个人都满意。

While equilibrium conditions may be efficient, it may be true that not everyone is satisfied.

价格控制

Price Controls...

✎ 实行价格控制通常是政府相信市场价格对买方或卖方不公平。

Are usually enacted when policymakers believe the market price is unfair to buyers or sellers.

✎ 两种价格控制： 价格上限和价格下限
Result in government-created **price ceilings and floors.**

价格上限与价格下限

Price Ceilings & Price Floors

价格上限 (Price Ceiling)

📖 法定最高价格。

A legally established maximum price at which a good can be sold.

价格下限 (Price Floor)

📖 法定最低价格

A legally established minimum price at which a good can be sold.

价格控制在中国

Price Control in China

价格上限

经济适用（限价）房或廉租房

药品降价令

化肥限价

价格下限

粮食保护价

民航机票禁折令

对移动通话费降价的限制

价格上限

Price Ceilings

政府实行价格上限时有两种可能结果 Two outcomes are possible when the government imposes a price ceiling:

当价格上限 高于 均衡价格时，价格上限 没有 限制性 The price ceiling is not binding if set above the equilibrium price.

当价格上限 低于 均衡价格时，价格上限 有 限制性，导致短缺。

The price ceiling is binding if set below the equilibrium price, leading to a shortage.

约束条件分类

Types of Constraints

没有有限制作用的约束条件

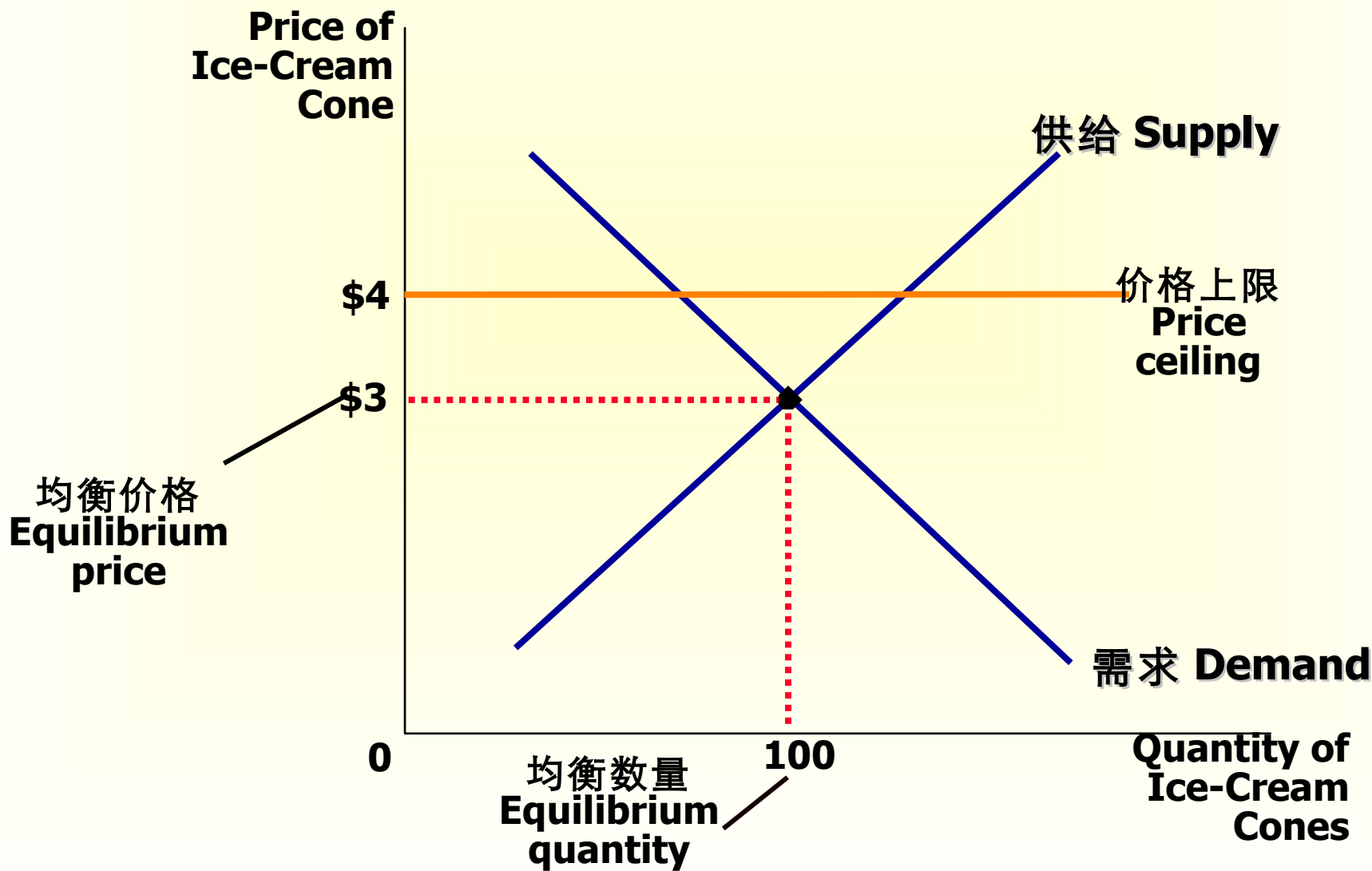
A non-binding constraint

有限制作用的约束条件

A binding constraint

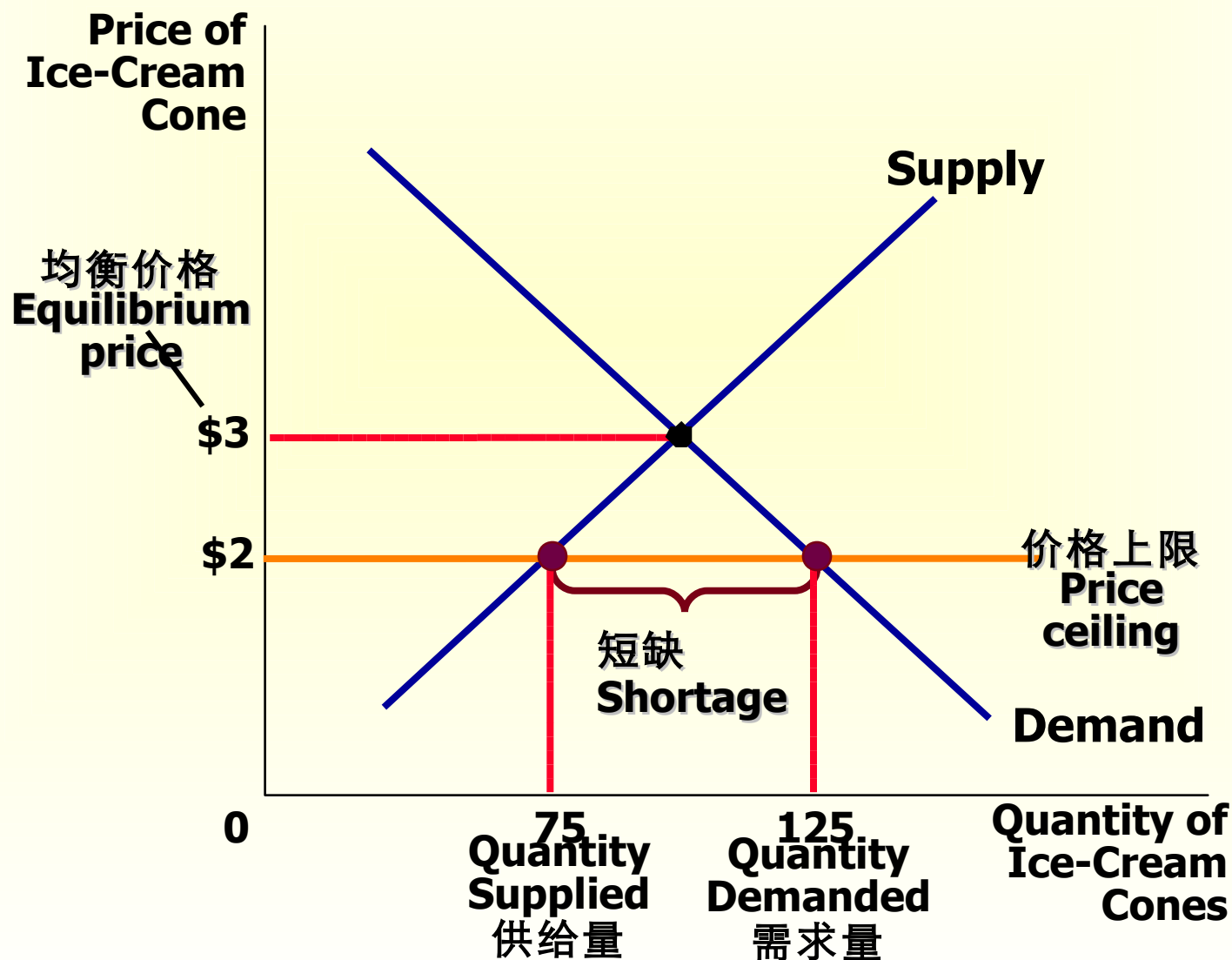
没有限制作用的价格上限

A Price Ceiling That Is Not Binding...



有限制作用的价格上限

A Price Ceiling That Is Binding...



实行价格上限的结果

Effects of Price Ceilings

有限制作用的价格上限导致短缺

A binding price ceiling
creates shortages

因为需求量大于供给量

because $Q_D > Q_S$.

实行价格上限的结果

Effects of Price Ceilings

有限制作用的价格上限导致配给

A binding price ceiling
creates rationing

因为有短缺 Because of shortage

配给的方式：

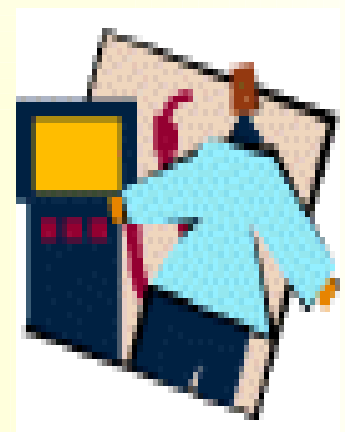
- 排队 queuing
- 票证 coupons
- 审批 examine and approve
- “走后门” going through a “back door”
- 卖者对买者的歧视 discrimination

加油站前的长队

Lines at the Gas Pump

在 1973 年欧佩克提高了原油的世界市场价格。因为原油是制造汽油的主要原料，更高的油价减少了汽油的供给。

In 1973 OPEC raised the price of crude oil in world markets. Because crude oil is the major input used to make gasoline, the higher oil prices reduced the supply of gasoline.

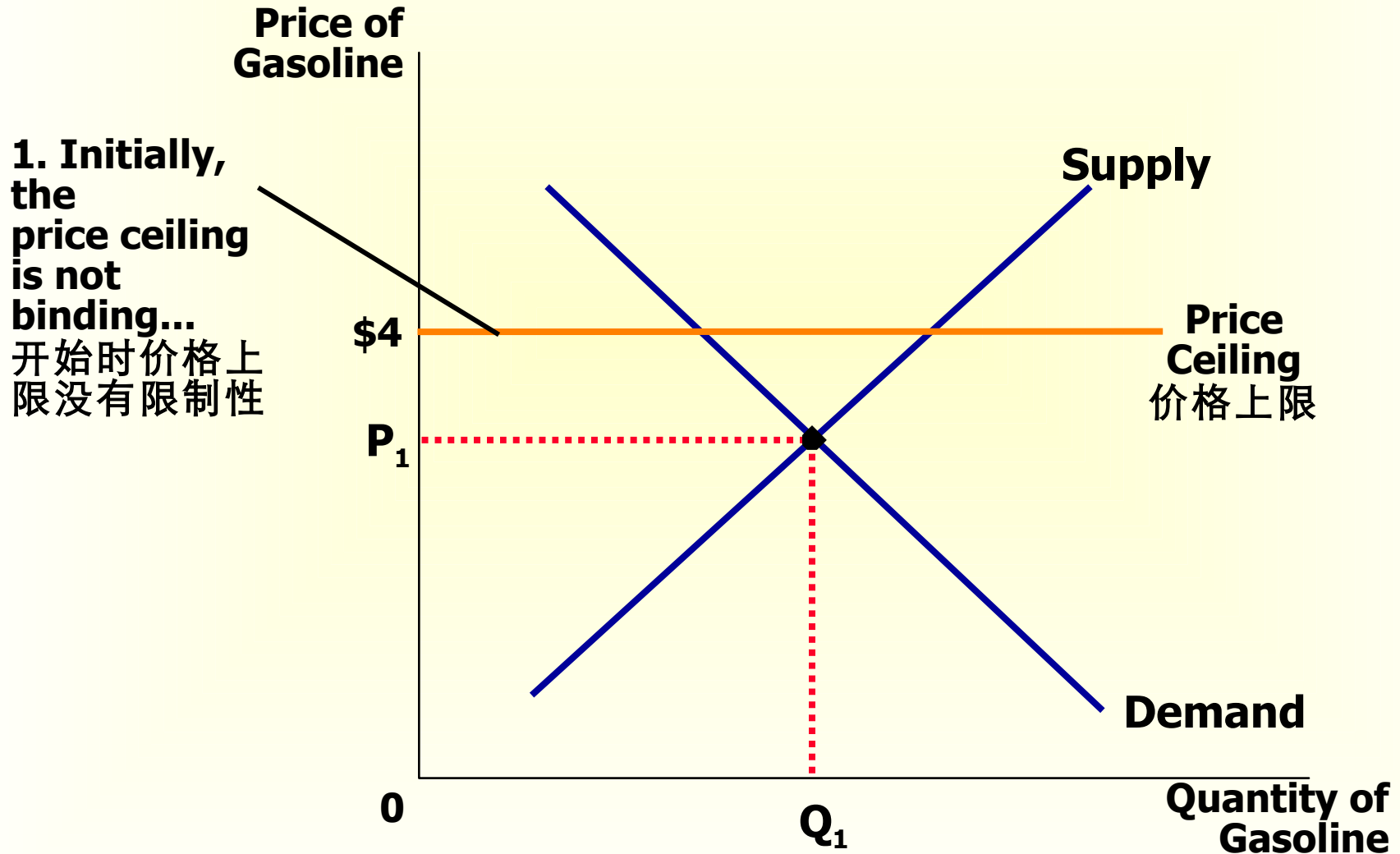


谁应该为加油的长队负责？

What was responsible for the long gas lines?

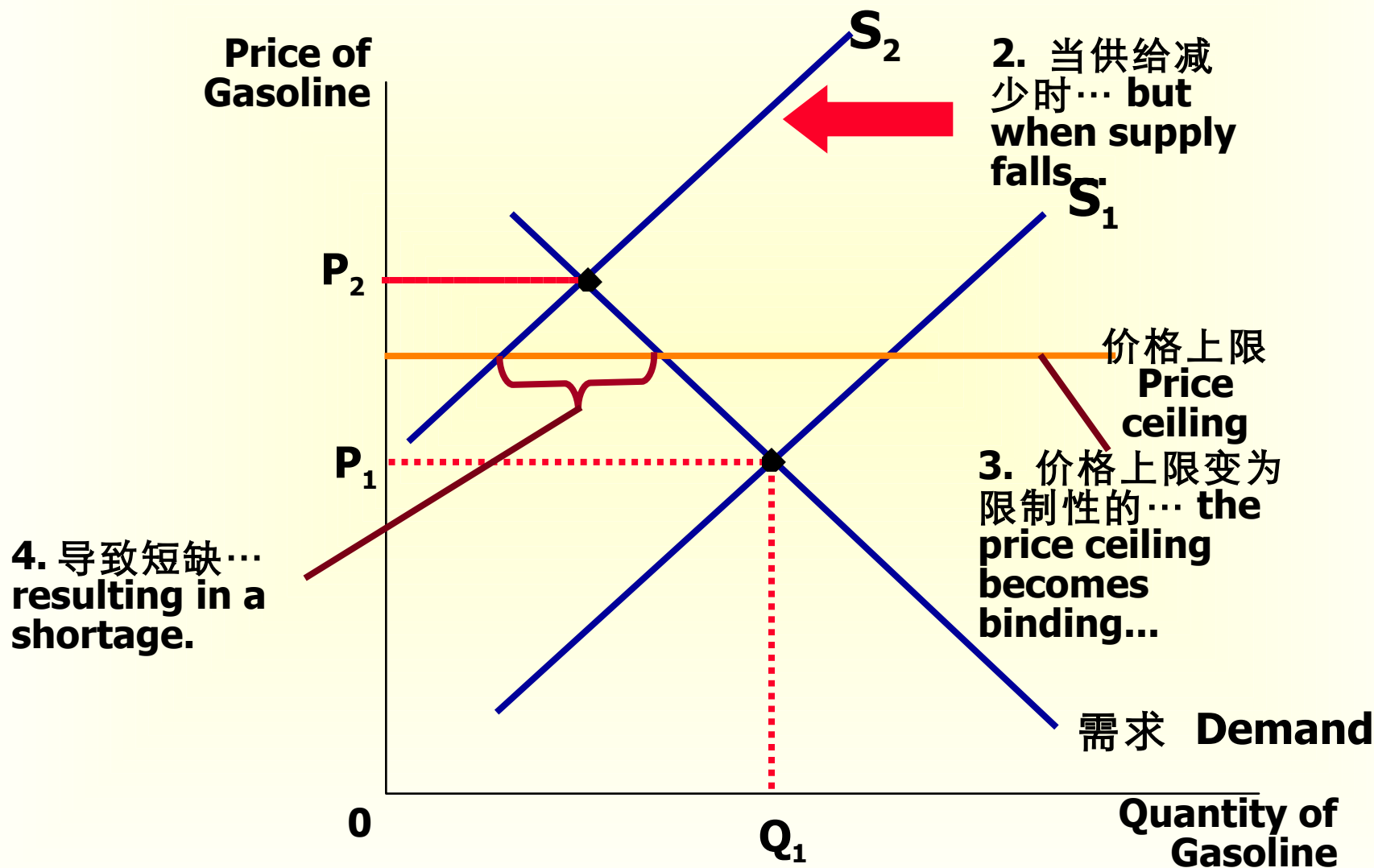
价格上限没有限制性

The Price Ceiling on Gasoline Is Not Binding



价格上限变为有限制性

The Price Ceiling on Gasoline Is Binding



谁为短缺负责？

Who Should Be Blamed for Shortages?

🌀 供给下降或需求增加本身不会导致短缺。

A decrease in supply or increase in demand cannot cause a shortage by itself.

🌀 经济学家认为是政府的价格控制政策导致的短缺。

Economists blame government price controls that limited the price the seller could charge for the shortages.

🌀 即使价格上限的目的是帮助买者，但并非所有买者都从中受益。

Even though the price ceiling was motivated by a desire to help buyers, not all buyers benefit from the policy.

🌀 结果既无效率，也可能不公平。

The outcome is both inefficient and

举例：房租控制 Rent Control

📖 房租控制是指房主出租房屋时所收房租的上限。

Rent controls are ceilings placed on the rents that landlords may charge their tenants.

📖 房租控制的目的是帮助穷人，使他们能负得起房租。

The goal of rent control policy is to help the poor by making housing more affordable.

📖 一名经济学家称房租控制是“除了炸弹外摧毁一座城市的最好的方法”。

One economist called rent

房租控制在短期内的结果

Rent Control in the Short Run...

房租
Rental
Price of
Apartment

供给 Supply

供给和需求较为
缺乏弹性
Supply and
demand for
apartments
are relatively
inelastic

房租控制导致不
太严重的短缺
rent control
causes a small
shortage

Controlled rent 受控制的房租

短缺
Shortage

需求 Demand

0

数量
Quantity of
Apartments

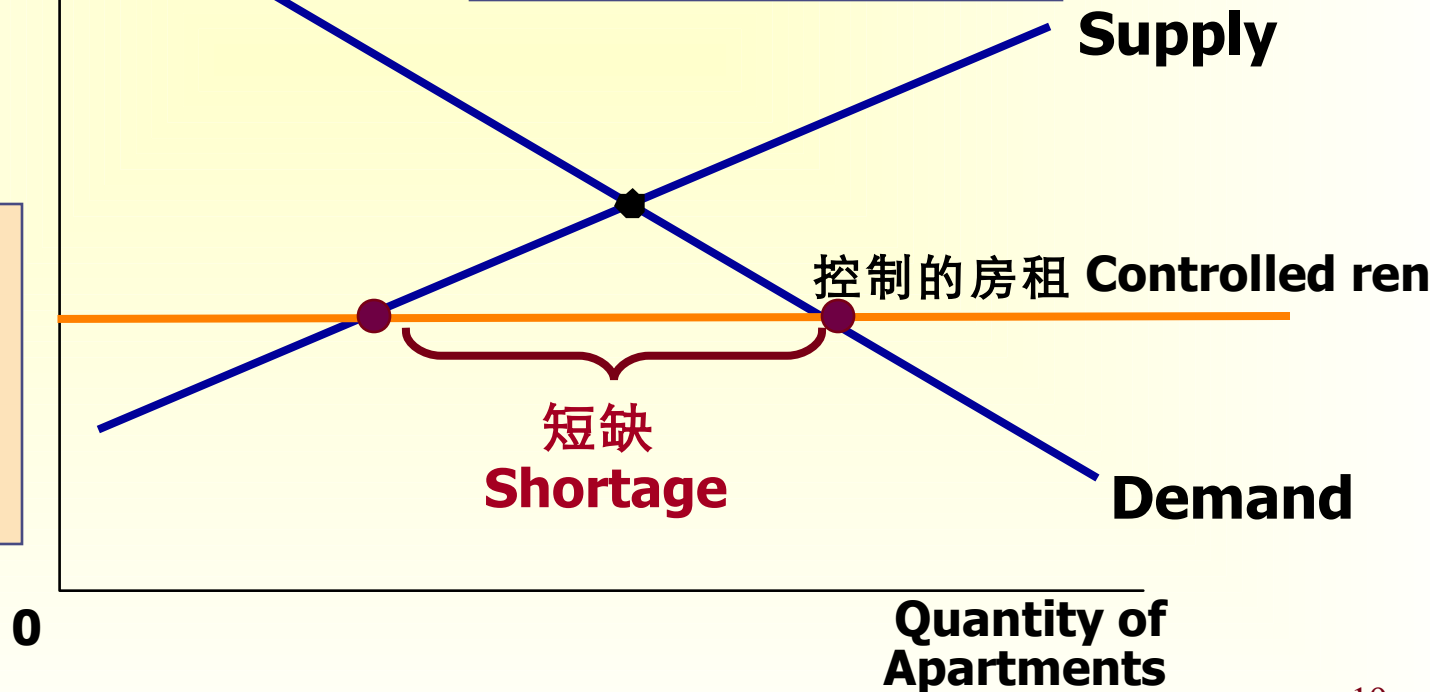
房租控制在长期内的结果

Rent Control in the Long Run...

Rental
Price of
Apartment

因为供给和需求较为有弹性
Because the supply and demand for apartments are more elastic...

房租控制导致严重的短缺
rent control causes a large shortage



价格下限

Price Floors

政府实行价格下限时有两种可能结果。

When the government imposes a price floor, two outcomes are possible.

📌 当价格下限 低于 均衡价格时，价格下限 没有 限制性。

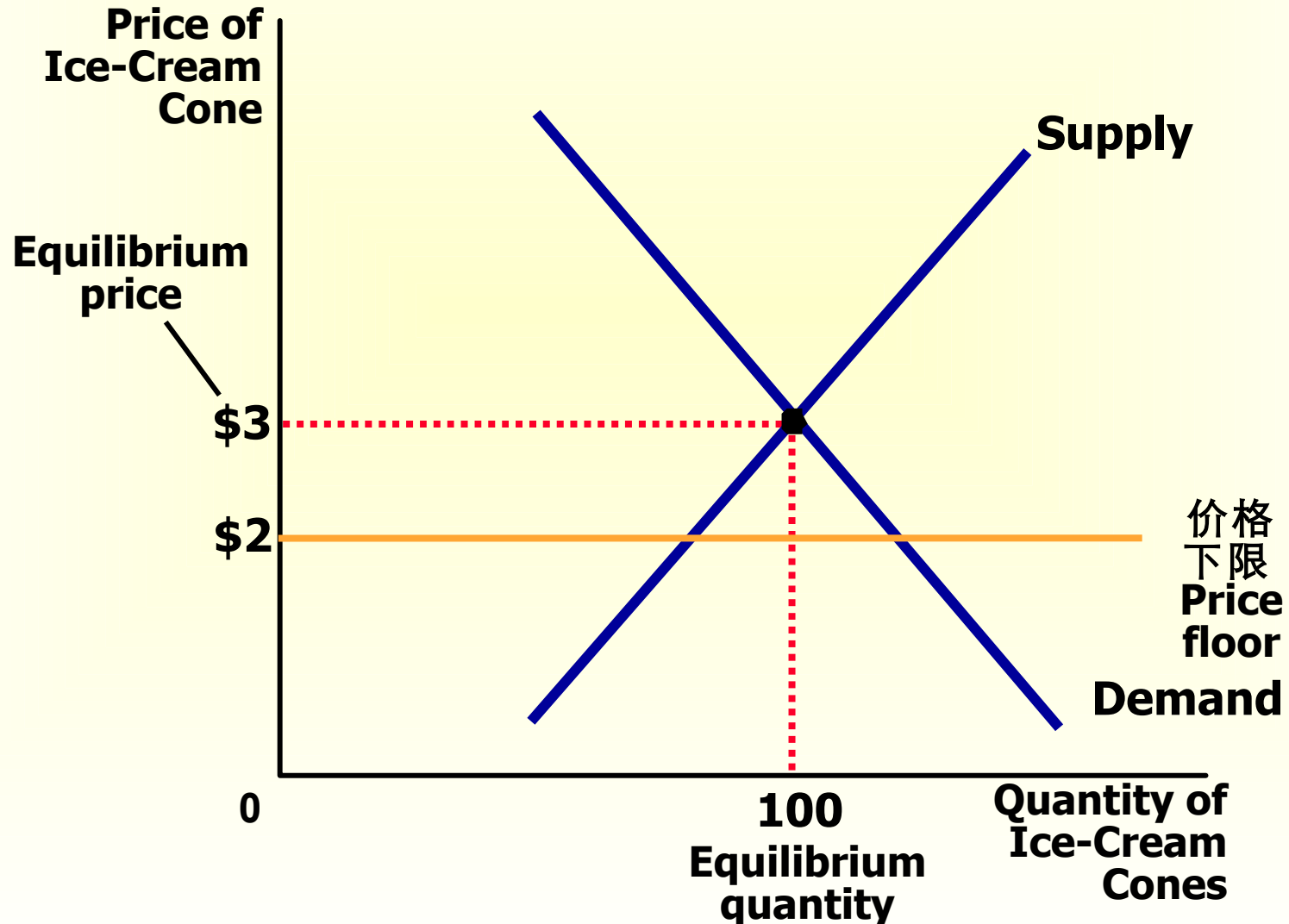
The price floor *is not* binding if set *below* the equilibrium price.

📌 当价格下限 高于 均衡价格时，价格下限 有 限制性，导致过剩。

The price floor *is* binding if set *above* the equilibrium price, leading to a surplus.

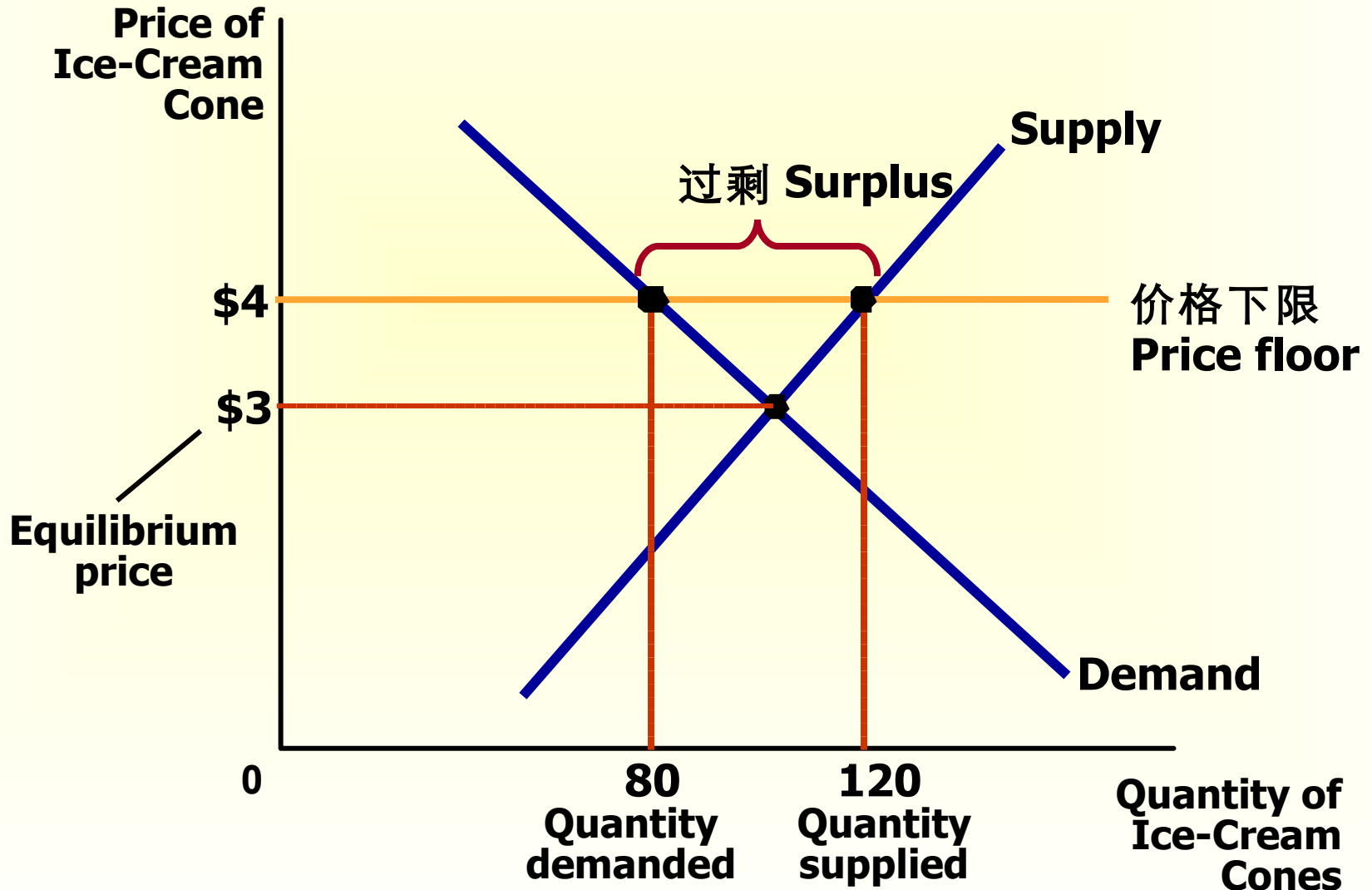
没有限制作用的价格下限

A Price Floor That Is Not Binding...



有限制作用的价格下限

A Price Floor That Is Binding...



实行价格下限的结果

Effects of a Price Floor

价格下限阻止供给和需求向均衡价格和数量移动。

A price floor prevents supply and demand from moving toward the equilibrium price and quantity.

市场价格最多降到价格下限。

When the market price hits the floor, it can fall no further, and the market price equals the floor price.

实行价格下限的结果

Effects of a Price Floor

有限制作用的价格下限导致过剩，因为供给量大于需求量。

A binding price floor causes a surplus because $Q_S > Q_D$.

非价格的配给机制：使用歧视性标准配给物品。
。 nonprice rationing is an alternative mechanism for rationing the good, using discrimination criteria.

例子：最低工资、农产品保护价格

Examples: The minimum wage, Agricultural price supports

最低工资

The Minimum Wage

价格下限的一个重要例子是最低工资
An important example of a price floor is the minimum wage.

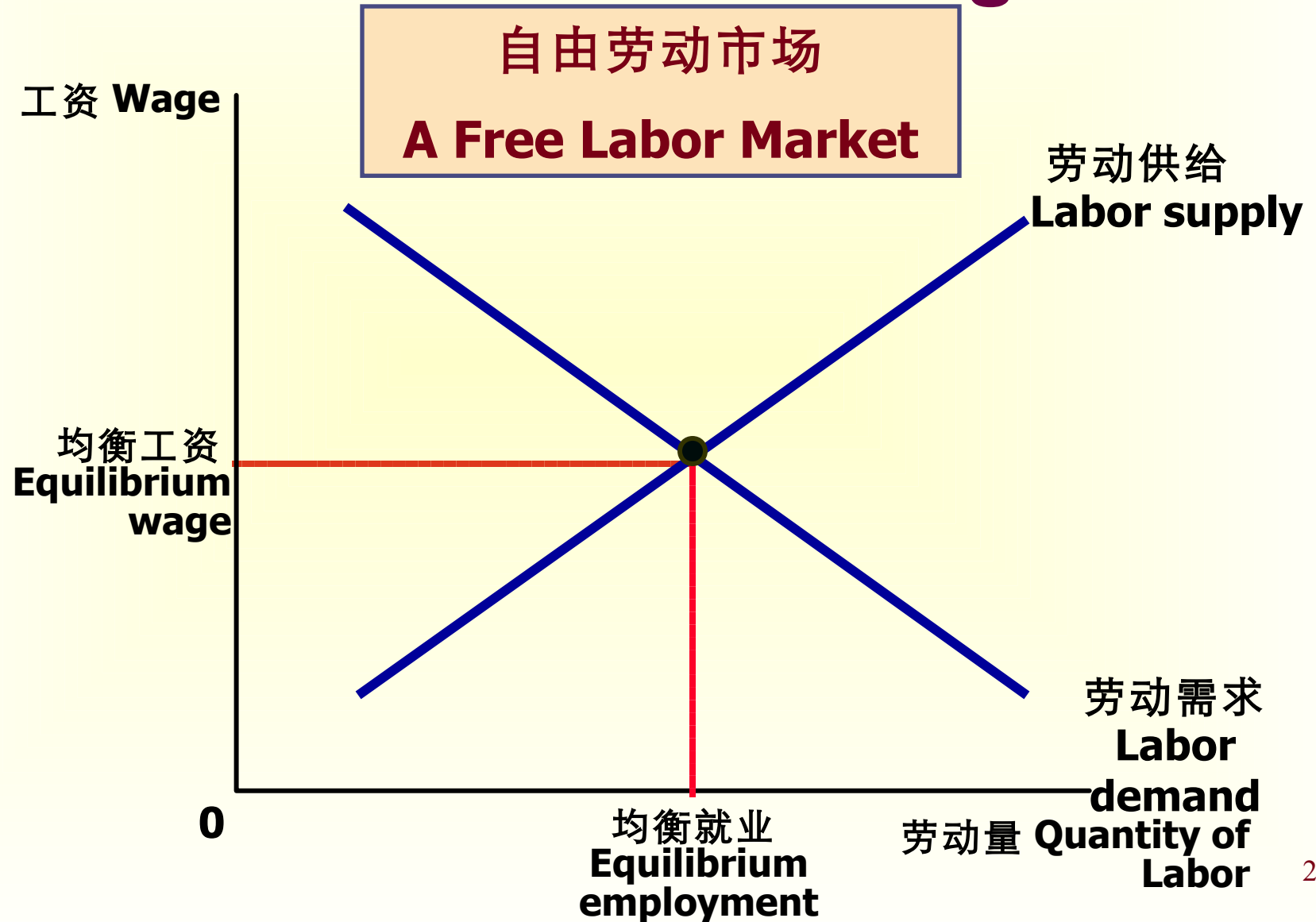
最低工资法规定任何雇主必须支付给受雇者的最低价格

Minimum wage laws dictate the lowest price possible for labor that any employer may pay.



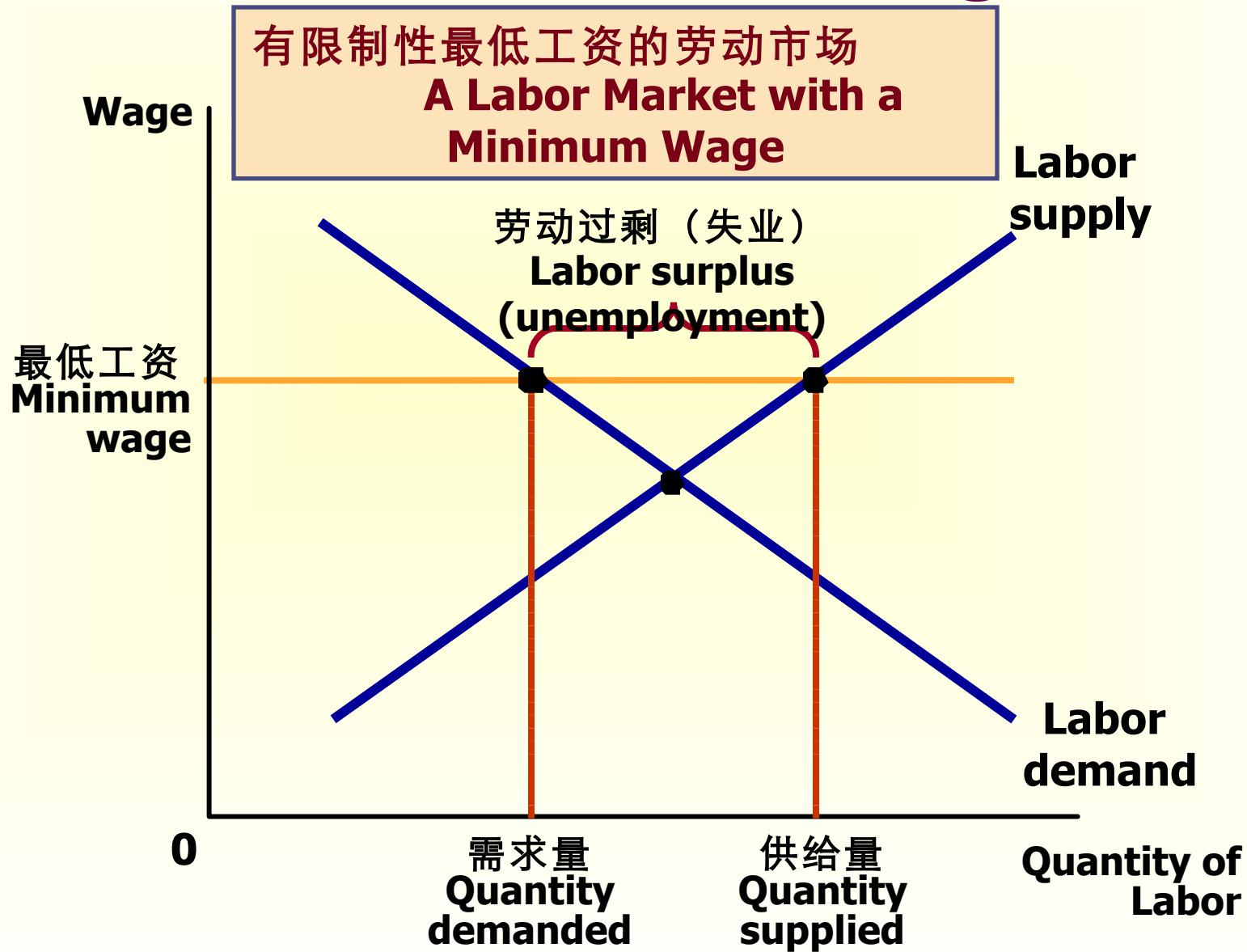
最低工资

The Minimum Wage



最低工资

The Minimum Wage



对价格控制的评价

Evaluating Price Controls

📌 价格有平衡供求，从而协调经济活动的关键作用
Prices have the crucial job of balancing supply and demand and, thereby, coordinating economic activity.

📌 当决策者用立法规定的方法来确定价格时，他们就模糊了正常指引社会资源配置的信号。

When policy makers set prices by legal decree, they obscure the signals that normally guide the allocation of society's resources.

📌 价格控制往往伤害了它想要帮助的人。

Price controls often hurt those they are trying to help.

税收 Taxes

政府用征税方式来为公共
项目筹款。

Governments levy taxes to
raise revenue for public
projects.

税收 Taxes

📖 税收改变市场均衡。

Taxes result in a change in market equilibrium.

📖 税收归宿（负担）研究谁承受税收负担。

Tax incidence is the study of who bears the burden of a tax.

📖 运用供求工具得到关于税收负担的惊人结论。

We can learn some surprising lessons about tax incidence just by applying the tools of supply and demand.

税收 Taxes

🏠 当政府对一种物品征税时……

When government levies a tax on a good……

🏠 谁来承受税收负担，是购买此物品的人，还是出售此物品的人？

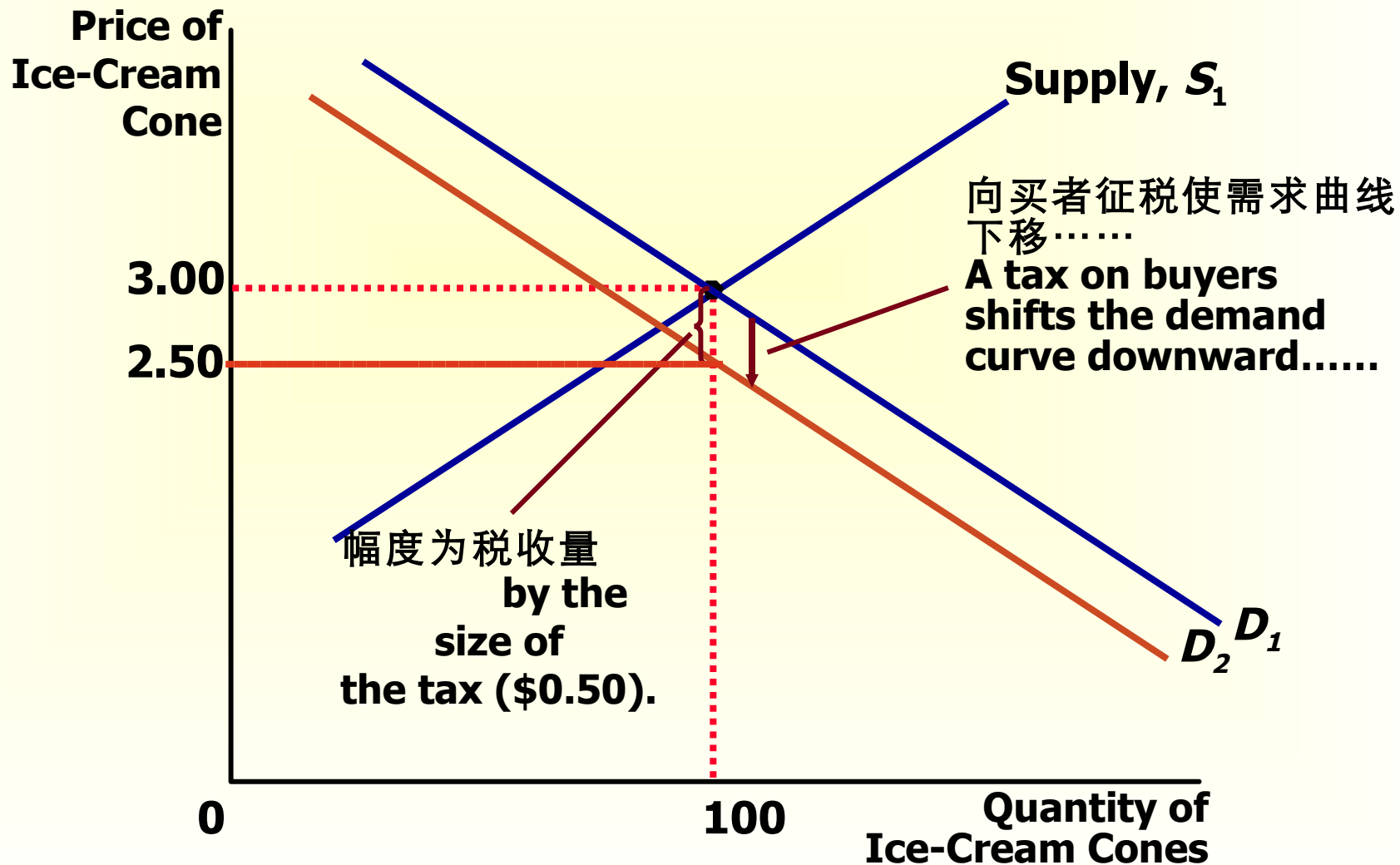
Who bears the burden of the tax? The people buying the good? The people selling the good?

🏠 政府能否用立法来分配税收负担，还是要由经济中更基本的力量来决定税收负担的分配？

Can the government simply legislate the division of the burden, or is the division determined by more fundamental forces in the economy?

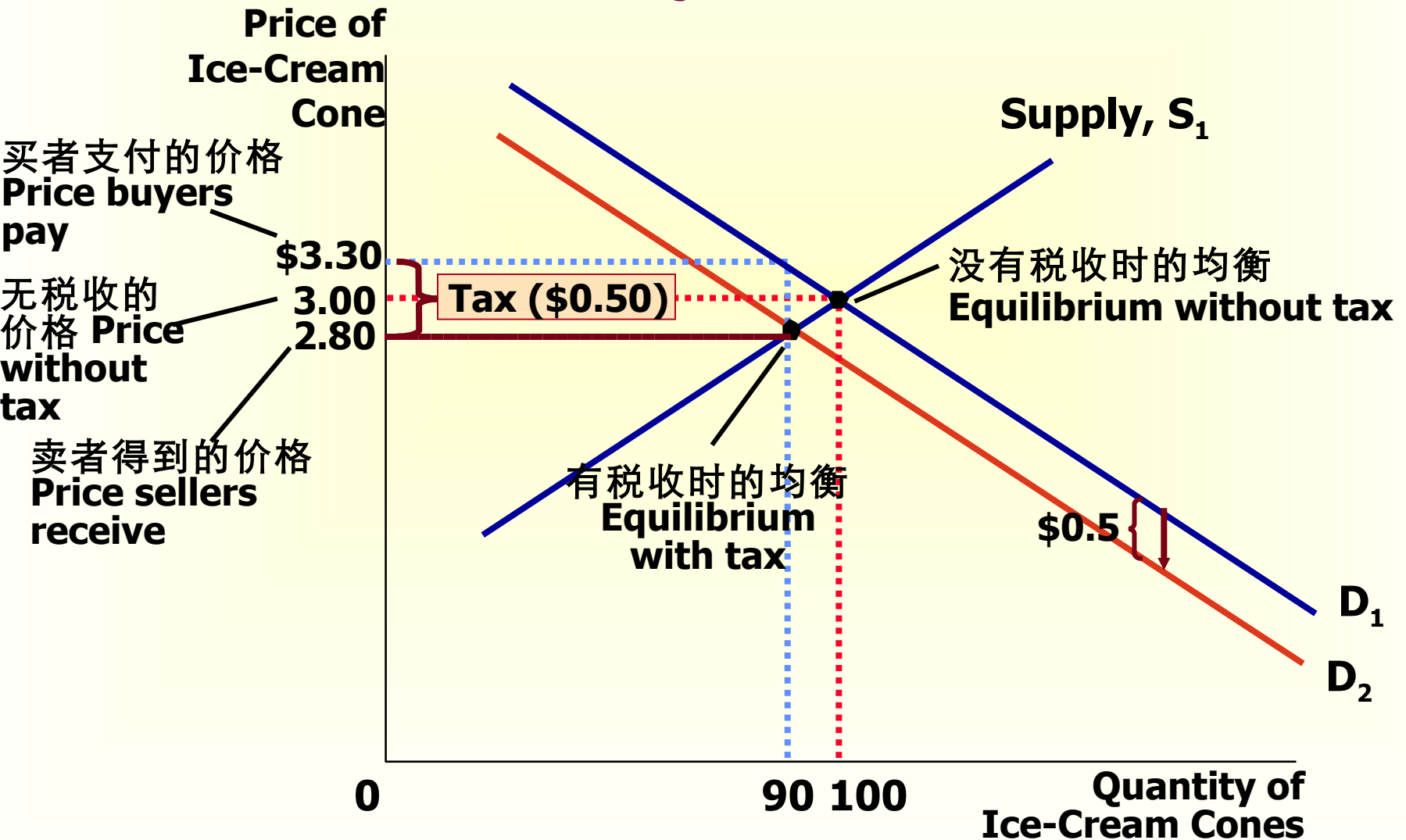
向买者征税的结果

Impact of a 50¢ Tax Levied on Buyers...



向买者征税的结果

Impact of a 50¢ Tax Levied on Buyers...



税收的影响是什么？

What Was the Impact of Tax?



☞ 税收抑制市场活动。

Taxes discourage market activity.

☞ 一个商品被征税，销售量减小。

When a good is taxed, the quantity sold is smaller.

☞ 买卖双方都承担税收负担。

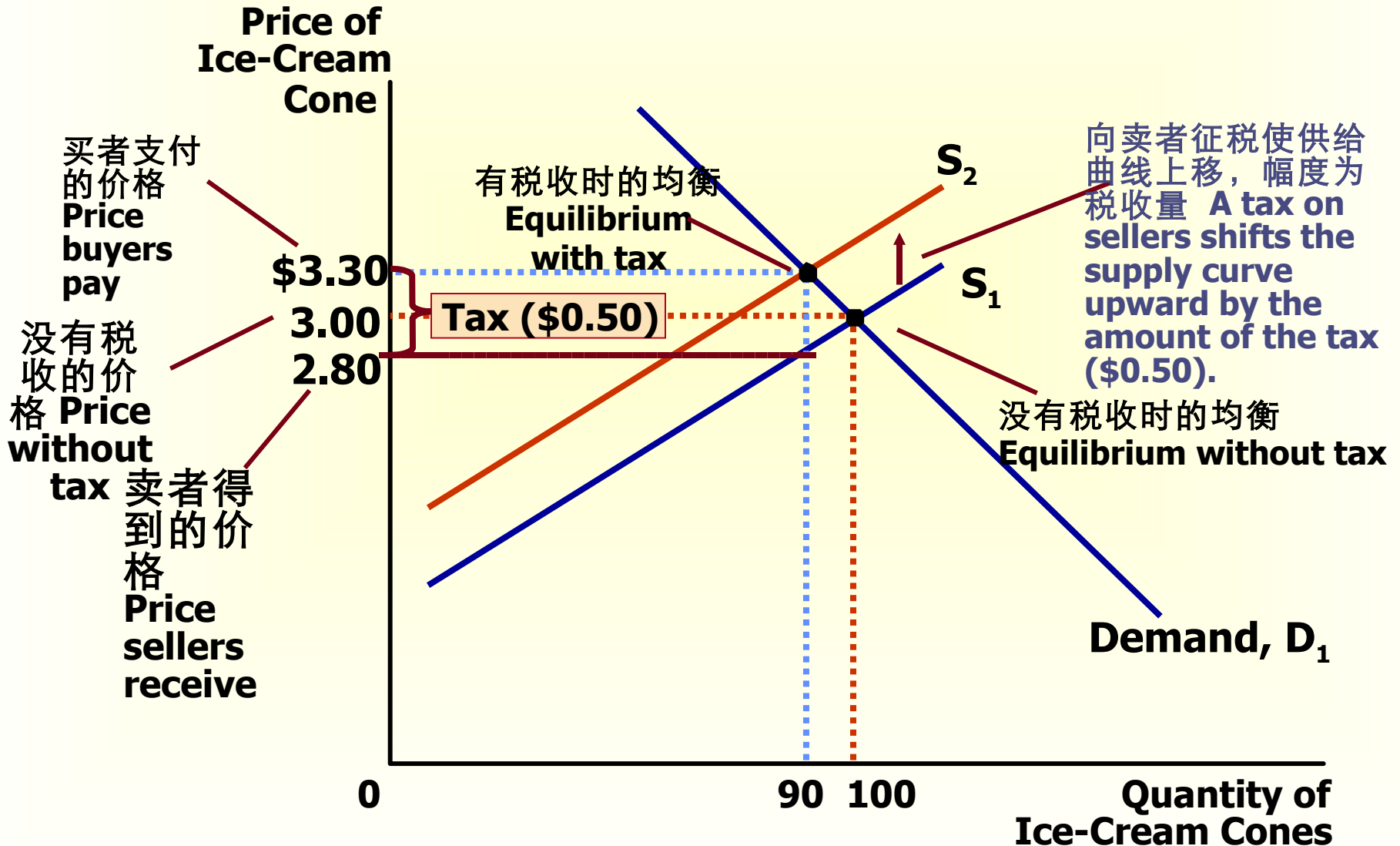
Buyers and sellers share the tax burden.

☞ 税收使得买者付出更多而卖者得到更少。

Buyers pay more and sellers receive less.

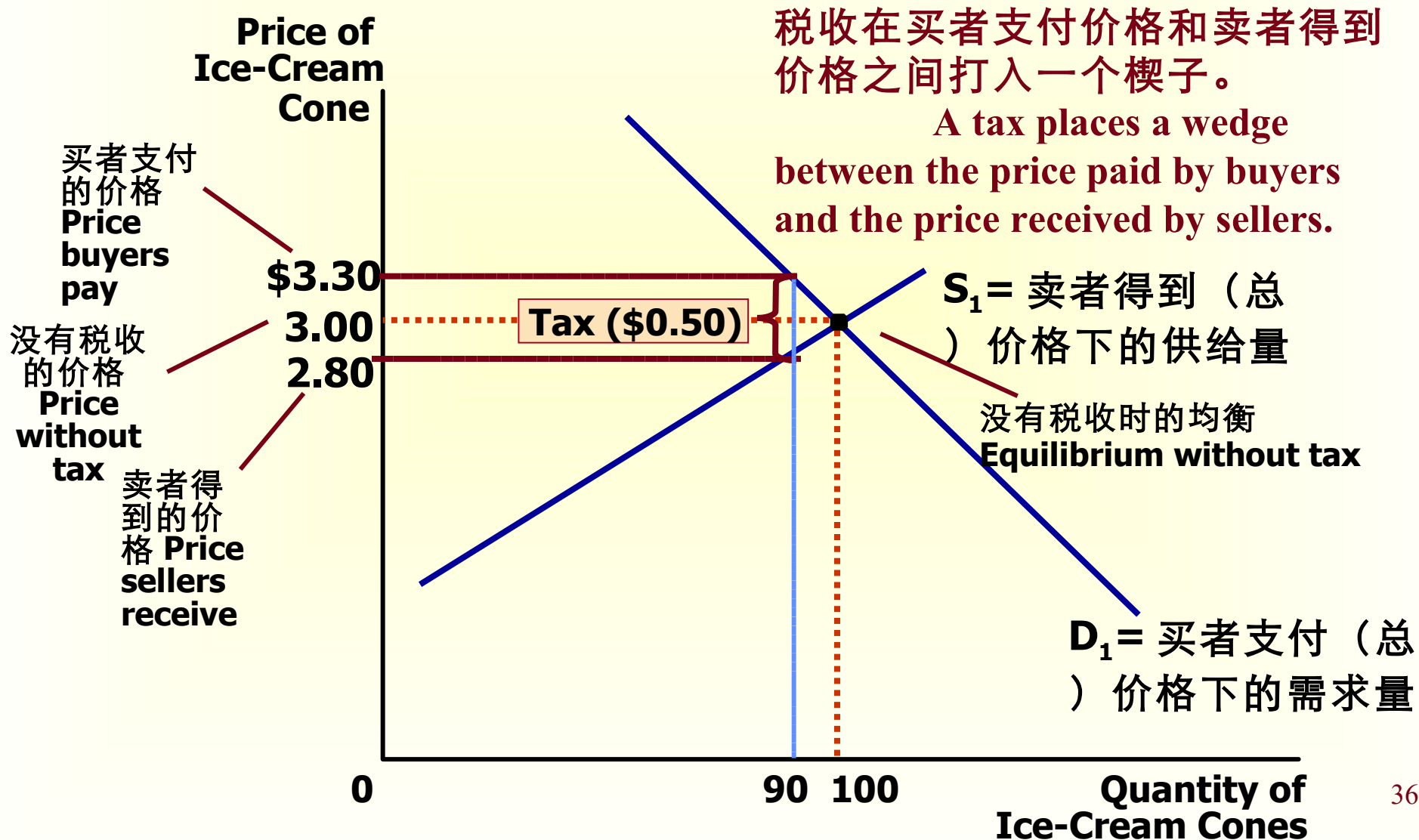
向卖者征税的结果

Impact of a 50¢ Tax on Sellers...



向买者征税和向卖者征税的等价性

Equivalence of Taxation on Buyers and Taxation on Sellers



比较向买者征税和向卖者征税的结果

Compare the effects of taxes on sellers with those on buyers?

🏠 对买者征税和对卖者征税没有区别！

Taxes on buyers and taxes on sellers are equivalent!

🏠 不管向谁征税，买者和卖者分摊税收负担。

Buyers and sellers share the burden of the tax, regardless of whom the tax is levied on.

🏠 对买者征税和对卖者征税的唯一差别是谁把钱交给政府

The only difference between taxes on buyers and taxes on sellers is who sends the money to the government.

🏠 政府可以决定税收负担的规模，但不能决定其分割。
The government can only decide the *size* of burden of tax but not the *division* of it.

税收负担

The Incidence of Tax

那么，税收负担在买者和卖者间究竟是按何种比例划分的？

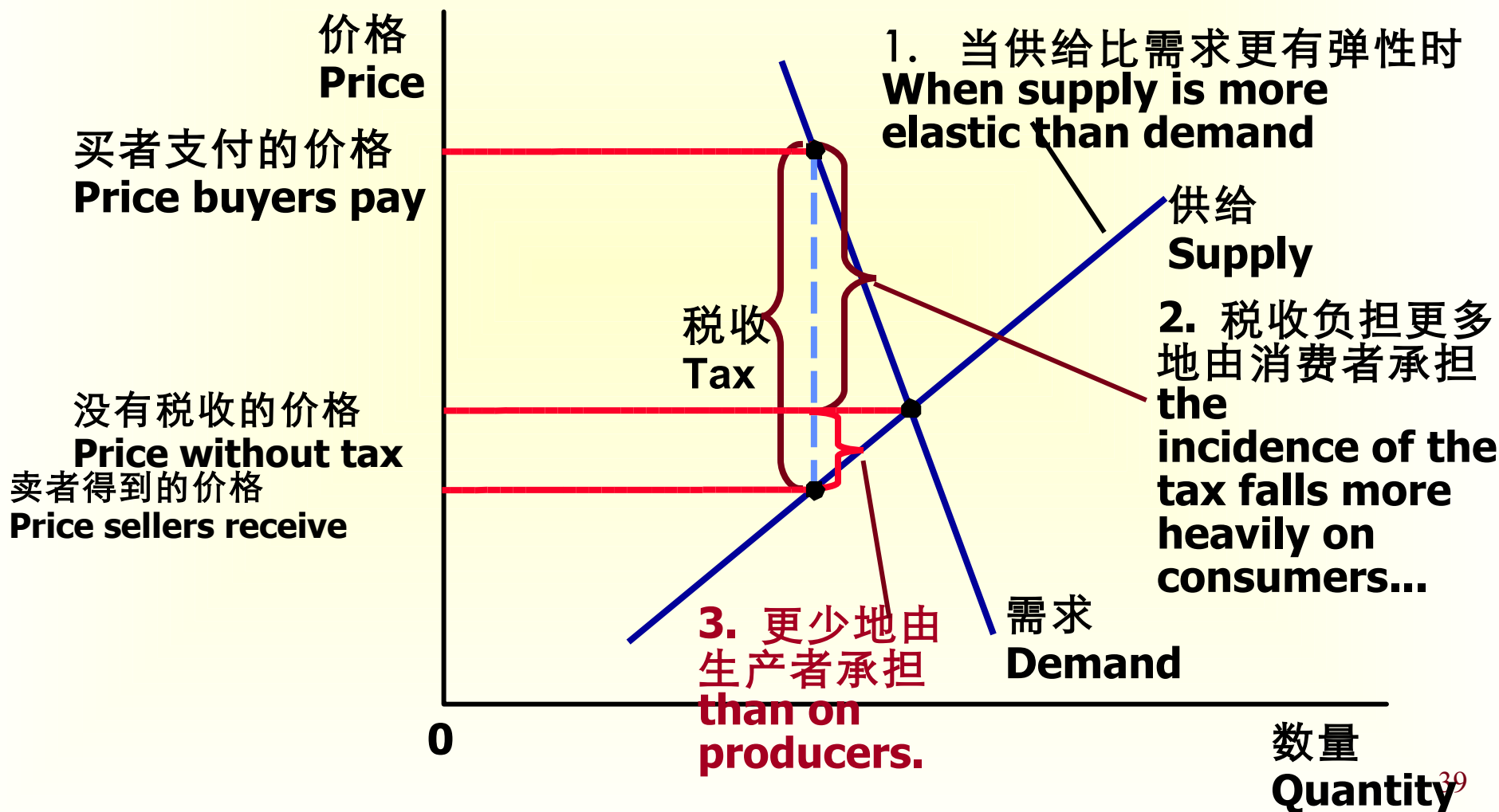
In what
proportions is the burden of the tax divided?

答案取决于需求弹性和供给弹性。

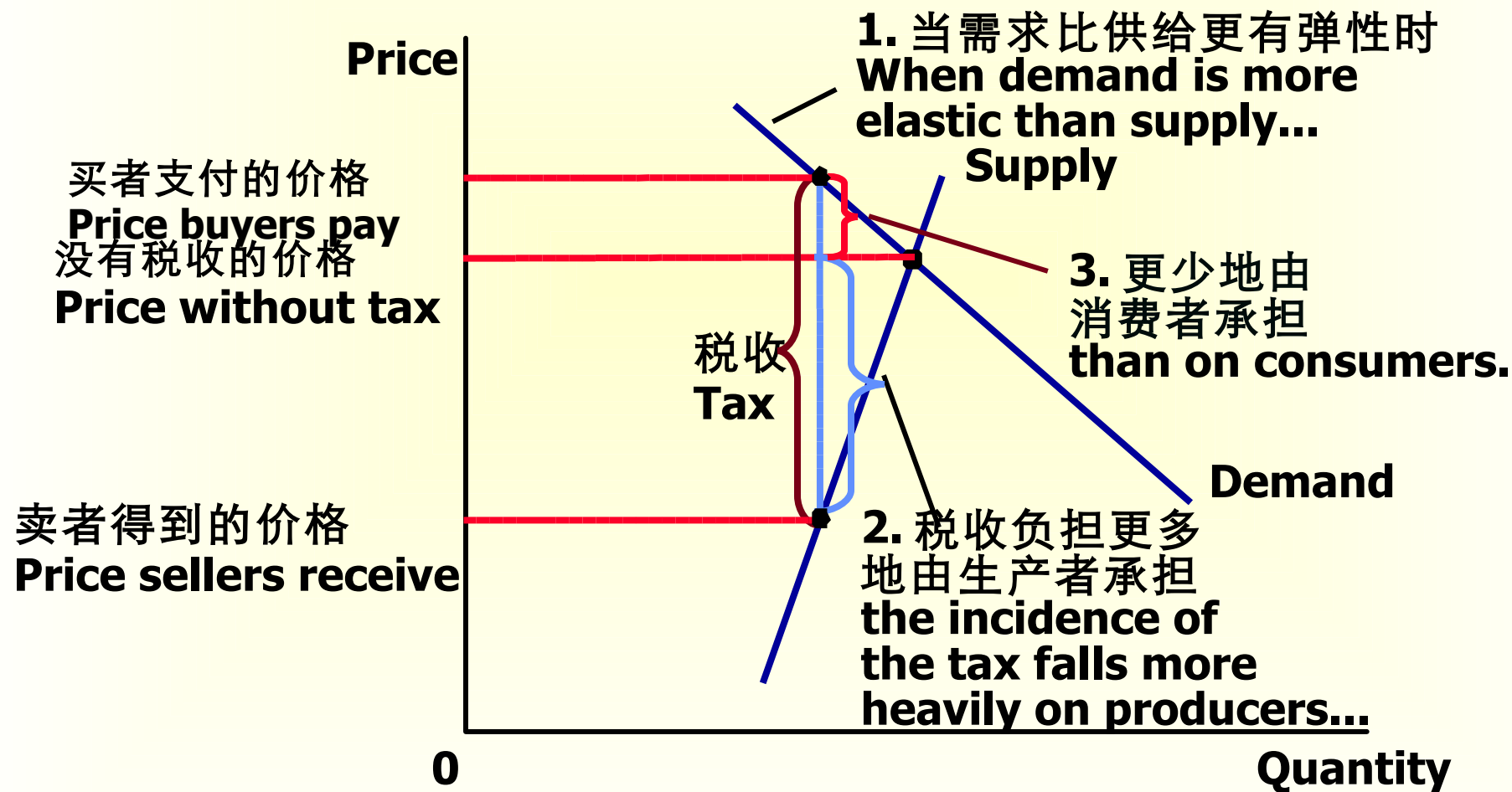
The answers to these questions
depend on the elasticity of demand
and the elasticity of supply.

富有弹性的供给、缺乏弹性的需求

Elastic Supply, Inelastic Demand...

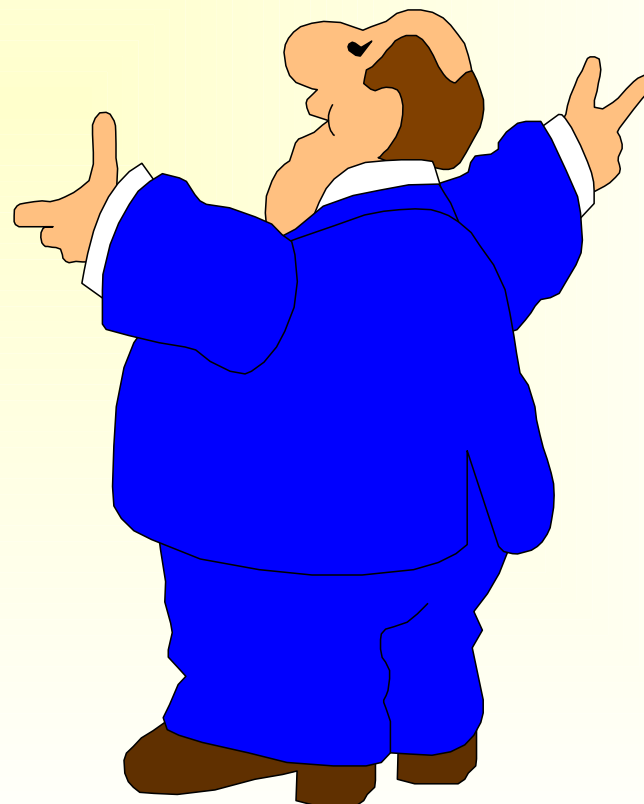


缺乏弹性的供给、富有弹性的需求 *Inelastic Supply, Elastic Demand...*



税收负担是如何划分的？
So, how is the burden of the tax divided?

**税收负担更多地落在
市场中缺乏弹性的一方**
**The burden of a tax
falls more heavily on
the side of the market
that is less elastic.**



为什么? Why?

弹性是衡量当条件变得不利时，买者或卖者离开市场的意愿。

The elasticity measures the willingness of buyers or sellers to leave the market when conditions become unfavorable.

当征税时，弹性小的一方不能轻而易举离开市场，则承担更多的税收负担

When the good is taxed, the side of the market with a less elasticity cannot easily leave the market and must, therefore, bear more

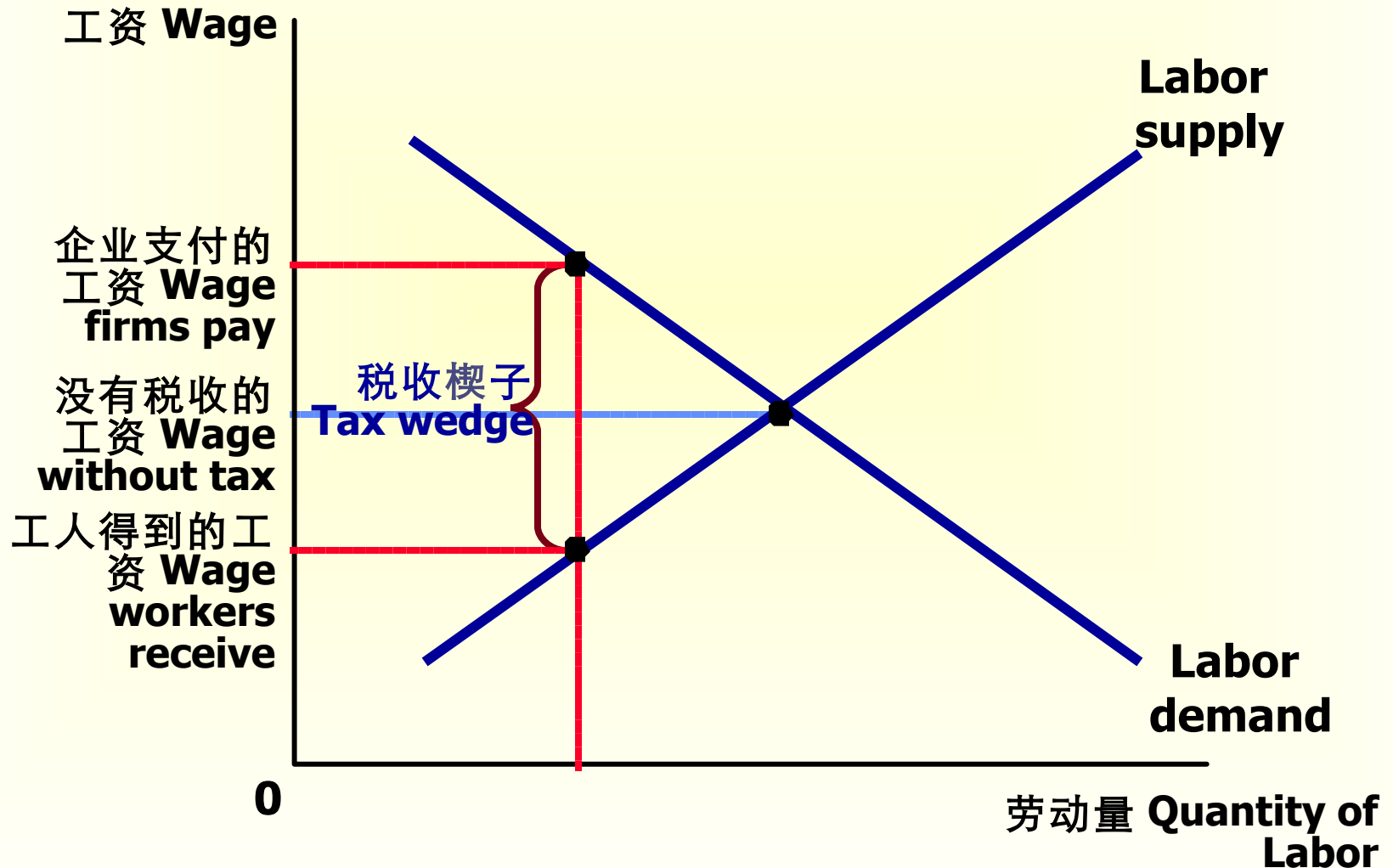


举例：工薪税

Payroll Tax

- 工薪税是从企业支付给工人的工资征收的一种税，
Payroll tax is a tax on the wages that firms pay their workers.
- 工薪税的一个例子是 FICA（联邦保险税法案）。
An example of a payroll tax is FICA (Federal Insurance Contribution Act).
- 联邦政府将来自 FICA 的收入用于支付（老年人的）社会保障和医疗保险。
The federal government uses the revenue from the FICA to pay for Social Security and Medicare.
- 根据法律，该项税收一半由企业支付，一半从工人工资中扣除。
According to the law, half of the tax is paid out of firms' revenues, and half is deducted from workers'

举例：工薪税 Payroll Tax



举例：工薪税

Payroll Tax

工薪税在雇员和企业之间的税收负担的划分与法律规定的划分（比如平摊）无关。

The division of the tax burden between workers and firms has nothing to do with the legislated division.

举例：谁支付奢侈品税？

Who Pays Taxes on Luxury Goods?

对奢侈品征税似乎是向富人征税的合乎逻辑的方式。 Taxing luxuries seems a logical way of taxing the rich.

然而，对某一奢侈品的需求极富弹性，但供给在短期内缺乏弹性。

However, the demand for a luxury goods is quite elastic but the supply is relatively inelastic, at least in the short run.

因而税收负担主要落在生产者（企业和工人）身上。 Thus such a tax places a burden largely on the producers - firms and workers.

事与愿违：奢侈品税的负担落在穷人身上比富人身上要多。

总结

Summary

📖 价格控制包括价格上限和价格下限。

Price controls include price ceilings and price floors.

📖 价格上限是某种物品或服务价格的法定最高限。房租控制是一例。

A price ceiling is a legal maximum on the price of a good or service. An example is rent control.

📖 价格下限是某种物品或服务价格的法定最低价。最低工资是一例。

A price floor is a legal minimum on the price of a good or a service. An example is the minimum wage.

总结

Summary

📖 税收用来为公共目的筹集资金。

Taxes are used to raise revenue for public purposes.

📖 当政府对一种物品征税收时，该物品的均衡数量减少。

When the government levies a tax on a good, the equilibrium quantity of the good falls.

📖 对一种物品征税是在买者支付的价格和卖者支付的价格之间打入了一个楔子。

A tax on a good places a wedge between the price paid by buyers and the price received by sellers.

总结

Summary

📌 税收负担指的是谁承担税负。

The incidence of a tax refers to who bears the burden of a tax.

📌 税收负担不取决于是否向买者征税，还是向卖者征税。

The incidence of a tax does not depend on whether the tax is levied on buyers or sellers.

📌 税收负担取决于供给和需求的价格弹性。

The incidence of the tax depends on the price elasticities of supply and demand.