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基于中小企业技术创新激励的环境工具设计

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The design of environmental policy instrument based on the incentives to environmental technology innovation of small and medium sized enterprises

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摘要 环境政策工具对企业环境技术创新的激励程度,是评估环境政策工具的重要标准。但是以往文献主要针对对不完全竞争市场条件下大企业的技术创新激励效果进行研究,忽略了中小企业,而中小企业占我国企业总数的绝大部分,因此对中小企业进行相关研究非常必要;同时以往文献也没有对企业的清洁工艺和末端治理技术做出明确区分,而这两种技术创新对企业的作用机制是不同的。有鉴于此,本文从完全竞争市场条件下的中小企业出发,将环境技术创新严格区分为清洁工艺和末端治理技术,并通过构建企业利润变化模型和社会福利函数,得出了排放标准、排污费、补贴和排污许可证价格的临界值,以及社会福利最大化条件下的最优水平;同时,本文还为企业在四种环境政策工具下灵活选择技术创新方式进行了区分与比较;最后本文对四种环境政策工具的企业环境技术创新的激励效应做出了排序。本文的研究结果能够为政府选择环境政策工具提供政策建议,同时能够为中小企业在不同的环境政策工具下灵活选择环境技术创新方式提供参考意见。

关键词: 环境政策工具 中小企业 技术创新激励 清洁工艺 末端治理

Abstract: One of the important standards to assess the environment policy instruments is how much the environment policy instruments are able to set spurs to the technology innovate of firms. However, the previous literature on environment policy instruments has not differentiated the clean technology from end-of-pipe technology, which has different impacts on the firm technology innovations. Meanwhile, the previous literature put more emphasis on the oligopoly game among the firms, however ignored the status quo that those Small and Medium-sized Enterprises (SMEs) in China play a key role in both of economy and employment. The perfectly competitive market which constitutes tens of thousands SMEs in China is an essential part of Chinese economy. In the view of these reasons, the research is started under the condition of perfect competition, and a strict distinction between clean technology and end-of-pipe technology is made, as well as the profits model of enterprises and social welfare function are constructed. As a result, the critical value of emission quota, emission fee (tax), subsidy and tradable permit as well as the optimal level of social welfare maximization are concluded. Meanwhile, the enterprises' ways of environmental technology innovation and enterprises' choice on whether they choose to innovate are examined and differentiated. At the end of the paper, the effect orders of environment policy instruments on environmental technology innovation are obtained. The result of this paper could provide a policy reference to government on how to spur the innovation.

Keywords: environmental policy instrument SME innovation incentive clean technology end-of-pipe technology

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