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学　位　論　文　名	ESSAYS ON THE PUBLIC AND NONPROFIT ECONOMY
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論 文 内 容 の 要 旨

This dissertation consists of two separate empirical studies and three separate theoretical studies. The first chapter focuses on the features of the nonprofit sector: the nonprofit sector size varies dramatically by locality. The second chapter focuses on the features of the long-term care service providers. Chapter 3, 4, and 5 focus on tax policy and the endogenous growth of the economy. The principal tools of the analyses are Econometrics modeling techniques and Microeconomic theory for Chapter 1 and 2 and dynamic Macroeconomic theory for Chapter 3, 4, and 5.

The purpose of Chapter 1 is to perform Corbin (1999)'s true test of the robustness of the government failure theory. A core feature of the government failure theory is demand heterogeneity. Previous studies have brought into question the robustness of the government failure theory, due to inconsistent results concerning the explanatory power of demand heterogeneity. Therefore, in this chapter we revisit this important research agenda using U.S. state level panel data. We find the two-way fixed effects model a suitable model for testing the government failure theory's robustness and present findings, which indicate that observable demand heterogeneity has a positive effect on the size of the nonprofit sector. This chapter also empirically examines the relevance of the complementary financing hypothesis in terms of the cooperative nature of the governmental and nonprofit sector relationship; that is where governments delegate the production of quasi-public goods to the nonprofit sector.

Chapter 2 focuses on the home-visit long-term care services (*HLCS*) market. The *HLCS* market is the only market in Japan where nonprofit, for-profit, and public providers compete against each other for consumers. They do so by competition of the quality of their services rather than by means of price, as the price is regulated by the long-term care insurance system. The primary purpose of this chapter is to analyze the effects of provider size and service quality on technical efficiency in *HLCS* production. These effects are estimated in a stochastic production frontier analysis framework developed by Battese and Coelli (1995) and Battese and Broca (1997). The empirical analysis shows that nonprofit providers produce *HLCS* most efficiently of the three. It is shown

that both provider size and service quality have significant impacts on technical efficiency regardless of the service providers' organizational structure.

This chapter also investigates whether technical efficiency increases with provider size and service quality, we find evidence which suggests this to be true. This implies that expanding size and improving quality ameliorate the technical efficiency of production. Thus for policy considerations, programs promoting growth in firm size and improvements in the quality of service provided, will in turn promote technical efficiency.

Chapter 3 focuses on an endogenous growth model of increasing returns resulting from expanding product variety developed by Romer (1987), (1990). In his model, the growth rate of centralized economy always grows faster than that of decentralized economy. On the contrary, we identify the conditions for a decentralized economy, which cause it to grow faster than a centralized economy under three types of representative governments. We also identify the optimal tax/subsidy rates that lead the growth rates of the decentralized economy to converge with those of the centralized economy. Then, using such tax/subsidy rates as benchmarks, this chapter shows that the decentralized economy can grow faster than the centralized economy under certain combinations of tax policy.

Chapter 4 applies an endogenous growth model in a small open economy developed by Turnovsky (1996). This chapter specifically introduces the effects of congestion and tax policy into Turnovsky's model. We show that an increase in the rate of tax on foreign bond holdings ameliorates the growth rate of capital. However, it deteriorates the growth rate of consumption and wealth. On the other hand, an increase in the rate of tax on capital deteriorates the growth rate of capital but has no effect on the growth rate of consumption. We also show that a consumption tax has no growth effect on the growth rate of consumption, wealth, and capital. This chapter also shows that the optimal tax policy is a production tax with consumption and foreign bond holdings being untaxed when the government sets the government expenditure-GDP ratio arbitrarily. In this case, the production tax rate should be equivalent to the government expenditure-GDP ratio. If the government sets its expenditure rule optimally, then the optimal tax policy will give a production tax rate equivalent to the degree of congestion when both consumption and foreign bond holding are untaxed.

Chapter 5 challenges Rebelo's (1990) claim that an increase in the rate of a direct tax such as a capital income tax deteriorates the growth rate of the economy, whereas an indirect tax such as a consumption tax has no effect on growth. This chapter applies an endogenous growth model to show that consumption taxation could affect the growth rate of an economy, as opposed to Rebelo's (1990) findings. This chapter identifies consumption tax as having a growth effect on private consumption when public consumption goods are dependent on private wealth to some degree. This chapter also proposes that government expenditure should be fully financed by a consumption tax when public consumption goods availability is independent of the private wealth level, assuming that the government chooses an optimal level of public consumption.

論 文 審 査 の 結 果 の 要 旨

本論文「Essays on the Public and Nonprofit Economy」は、民間非営利セクターおよび公共経済に関する５編の論文から構成されている。

第１章および第２章は、パネルデータ、マイクロデータを用いて非営利セクターに関する厳密な実証分析を試みたものである。第１章は、非営利セクターの相対的なサイズの地域による違いがどのような要因で説明できるか、アメリカの州別パネルデータで検証しており、需要の異質性が大きい州ほど非営利セクターのサイズが大きいという関係を検出し、政府の失敗理論による説明を支持する結果を得ている。第２章では、日本の訪問介護サービス事業者を対象として独自に収集したサーベイデータを確率フロンティア分析の手法を用いて解析し、非営利事業者の技術的効率

性が最も高いこと、事業規模とサービスの質が技術的効率性に重要な影響を与えること等を見出している。

　第3章〜第5章では、内生的成長モデルの枠組みを用いて、税率などの政策パラメーターが、経済成長にどのような影響を与えるかを分析している。第3章では、分権化された経済システムが集権的経済システムより速く成長するための税体系について検討している。第4章では、小国・開放経済のモデルを用いて、様々な税の最適な組み合わせについて理論的に検討している。第5章では、税が経済成長に与える影響を理論的に比較考察し、消費課税のような間接税でも経済成長に影響を与えることを示している。

　以上のように、本論文の各章は、いずれも非営利セクターおよび公共経済に関するオリジナリティーの高い貢献を含んでおり、5章中3章が学術雑誌（うち2つは査読付き）に公刊済み、また残りの2章についても、海外の定評ある学術雑誌に投稿中である。また、第1章については、2002年度アメリカNPO学会年次大会において、若手研究者を対象とした奨励賞（フォーカス・フィールド賞）を受賞している。

　これらから判断して、本論文は、非営利および公共経済分野の理論・実証研究において、重要な学術的貢献をしているものと評価でき、博士（国際公共政策）の学位に十分値するものであると判断する。