


重要技术标准研究 项目

“十五”国家重大科技专项
技术性贸易措施战略与预警工程方案研究

技术性贸易措施预警工程

方案研究

JISHUXINGMAOYICUOSHISHIYUJINGGONGCHENG
F A N G A N Y A N J I U



主 编 高志前 黄冠胜
副主编 刘 彦 林 伟

 企业管理出版社
ENTERPRISE MANAGEMENT PUBLISHING HOUSE

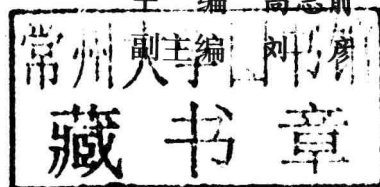
“十五”国家重大科技专项

“重要技术标准研究”项目

《技术性贸易措施战略与预警工程方案研究》

技术性贸易措施预警工程 方案研究

主 编 高志前 黄冠胜



林 伟

图书在版编目 (C I P) 数据

技术性贸易措施预警工程方案研究/高志前, 黄冠胜主编. --北京:

企业管理出版社, 2012

ISBN 978-7-80255-991-2

I. ①技… II. ①高… ②黄… III. ①技术贸易: 进出口贸易—
贸易协定—研究 IV. ①F744

中国版本图书馆 CIP 数据核字(2012)第 021121 号

书 名: 技术性贸易措施预警工程方案研究

作 者: 高志前 黄冠胜

责任编辑: 周灵均

书 号: ISBN 978-7-80255-991-2

出版发行: 企业管理出版社

地 址: 北京市海淀区紫竹院南路 17 号 邮编: 100048

网 址: <http://www.emph.cn>

电 话: 总编室(010)68701719 发行部(010)68701816 编辑部(010)68414643

电子信箱: 80147@sina.com zbs@emph.cn

印 刷: 香河闻泰印刷包装有限公司

经 销: 新华书店

规 格: 170 毫米× 240 毫米 16 开本 22.5 印张 360 千字

版 次: 2012 年 11 月第 1 版 2012 年 11 月 第 1 次印刷

定 价: 56.00 元

本项研究成果获

第七届全国商务发展研究成果奖

《技术性贸易措施战略与预警工程方案研究》

编 委 会

课题指导专家委员会（按姓氏笔画排序）

于欣丽	王 元	王越薇	刘平均	刘 欢	刘源张
申茂向	叶柏林	李少卿	李正邦	李志军	李京文
李春田	李海清	李碧清	李 薇	张小济	张汉林
杜占元	杨圣明	吴远彬	杨国雄	房 庆	单庆江
金 光	郎志正	施用海	赵 静	徐 芑	徐建国
夏 青	秦贞奎	崔 华	黄 伟	裘庆军	穆荣平

主 编：高志前 黄冠胜

副主编：刘 彦 林 伟

编 委：（按姓氏笔画排序）

丁世和	于 武	于 洁	马德军	王大为	方晓燕
王福清	王耀中	刘 彦	毕士冠	杨伟才	张宇春
李金宝	林 伟	聂凤英	钱永忠	郭丽平	高志前
黄冠胜	董云庭	韩作樑	樊高定		

序 言

我国加入 WTO 后，农产品、纺织服装等传统产品出口受到国外技术性贸易措施的限制，贸易摩擦不断出现，应对技术性贸易措施成为我国加入 WTO 后面临的严峻挑战。2000 年，中国科学技术促进发展研究中心（现中国科学技术发展战略研究院）课题组在科技部科技兴贸行动计划的支持下，开展了重点高新技术产业技术标准与技术性贸易措施问题研究，并向科技部发展计划司领导作了专门汇报，建议把技术标准和技术性贸易措施研究作为科技支撑经济与外贸发展的重要工作。

2002 年，中国科学技术促进发展研究中心承担了国家“十五”重大科技专项“重要技术标准研究”课题“技术性贸易措施战略与预警工程方案研究”，在国家质检总局标准法规中心等有关机构的合作支持下，组织了 20 多个行业协会、研究机构和大学的两百四十多名研究人员，以农产品、纺织、电子信息、冶金、机械、石化、电工、家电、环保、消费者保护、知识产权等行业和领域为重点，开展技术性贸易措施战略与预警方案研究。课题组依据 WTO 规则，对技术性贸易措施与技术性贸易壁垒进行了合规性界定，对技术性贸易措施进行了系统分类，分析了世界主要国家的技术性贸易措施体系，探索了技术性贸易措施影响的评价方法，提出了规范研究与合理应对技术性贸易措施的理论方法与政策依据，初步建立起我国技术性贸易措施预警系统的工作基础，为科技部门提出“WTO 后过渡期”科技工作思路提供了决策支持，直接支持了有关部门和行业的技术性贸易措施体系建设工作。课题研究过程中创办了“中国 TBT 论坛”，建立了我国第一个面向行业和企业的技术性贸易措施信息网，推动了我国技术性贸易措施问题的深入研究。

课题研究得到科技部、商务部、国家质检总局和国家标准委等有关部门、行业协会、专家学者和重要技术标准研究专项管理办公室的指导和大力支持，谨此致谢。

编 者

2009 年 10 月

Preface

Since China's entry into WTO, export of such traditional products as agricultural products and textile and garment has been restricted by foreign technical measures to trade, and consequently trade friction has been frequently observed. Therefore, response to technical measures to trade has become a fierce challenge for China after its entry into WTO. In 2000, with the support from Action Plan for Trade-oriented Science and Technology of Ministry of Science and Technology (MOST), the project team of China National Research Center for Science and Technology for Development (NRCSTD) (now as Chinese Academy of Science and Technology for Development or CASTED) has undertaken researches on technical standards and technical measures to trade for high and new technology industry and presented special reports to the leaders of Development Planning Department under MOST, proposing to take the researches on technical standards and technical measures to trade as the important work in S&T-supported development of economy and foreign trade.

In 2002, NRCSTD took on "Research on Technical Measures to Trade Strategy and Warning Project Plan", a special "Research on Important Technical Standards" project under the national "10th Five-year" Key Science and Technology Program and, with the cooperation and support of such relevant agencies as AQSIQ Standard and Regulation Center, organized more than 240 researchers from more than 20 industrial associations, research institutes and universities to undertake the researches on strategies and warning plans of technical measures to trade focusing on such industries and fields as agricultural products, textile, electronic information, machinery, petrochemical, electrical, household appliance, environment protection, consumer protection and intellectual property. According to the WTO rules, the project team carried out the compliance definitions of technical measures to trade and technical barriers to trade, conducted the systematic classification of technical measures to trade, analyzed the technical measures to trade systems of major countries in the world, explored the methods for evaluating impacts of technical measures to trade, proposed the theoretical methods and policy basis for regulating researches and rationally responding to technical measures to trade, primarily established the working base for Chinese technical measures to trade warning system, provided policy support to Ministry of Science and Technology to set forth the science and technology work concepts during "post-transit period of WTO entry", and directly supported the relevant authorities and industries in construction of the technical measures to trade system. During the research, the project team founded "China TBT Forum", established the first information network of technical measures to trade oriented for industries and enterprises in China and promoted the further research on the issue of technical measures to trade.

We hereby express our thanks to Ministry of Science and Technology, Ministry of Commerce, AQSIQ, Standardization Administration and other relevant departments, industrial associations, experts and scholars and Management Office for Special Research of Important Technical Standards for their guidance for and strong support to the research project.

Editors

October 2009

目 录

第一部分 技术性贸易措施预警工程总体方案研究

第一章

预警是我国技术性贸易措施体系建设的重要任务.. (3)

一、预警是我国应对技术性贸易措施的有效方法..... (3)

二、技术性贸易措施预警的可能性..... (6)

第二章

预警原理与系统结构..... (10)

一、预警工作基本原理与程序..... (10)

二、预警系统分类与应用..... (12)

三、预警方法..... (12)

四、预警指标..... (16)

五、预警技术的发展动向..... (16)

六、国外技术性贸易措施预警体系..... (17)

第三章

我国 TBT/SPS 预警工作现状..... (22)

一、我国涉及 TBT/SPS 工作的政府部门..... (22)

二、我国 TBT/SPS 工作运行机制现状..... (27)

三、我国 TBT/SPS 信息资源与服务现状..... (30)

第四章

技术性贸易措施预警系统工程设计方案..... (32)

一、预警系统工程方案设计的目标与原则..... (32)

二、预警系统的设计要求..... (35)

三、预警系统结构..... (39)

四、预警模式..... (45)

- 五、预警系统信息共享机制 (49)
- 六、预警系统的运行 (56)
- 七、预警措施效果监测 (57)

第五章

- 技术性贸易措施预警工程建设实施方案 (58)
- 一、预警工程建设实施步骤 (58)
- 二、预警系统建设的保障措施 (59)

第二部分 行业技术性贸易措施预警工程方案研究

第六章

- 进出境商品检验检疫风险预警及快速反应系统研究 (63)
- 一、目的与意义 (63)
- 二、研究内容 (64)
- 三、研究成果与系统的应用 (89)

第七章

- 农产品技术性贸易措施预警方案研究 (91)
- 一、我国农产品技术性贸易措施预警方案框架研究 (91)
- 二、禽肉技术性贸易措施战略研究 (102)
- 三、大豆技术性贸易措施战略研究 (115)

第八章

- 环境技术性贸易措施预警系统方案研究 (127)
- 一、预警系统组织框架 (127)
- 二、环境技术性贸易措施预警评价指标体系 (129)
- 三、部分定量指标计算公式 (133)

第九章

- 电子信息产品预警系统工程方案研究 (135)
- 一、电子信息产品预警系统总体设计 (135)

二、预警工程方案设计	(140)
------------------	-------

第十章

消费者损害调查措施与预警工程方案研究	(149)
一、国外跨国公司在市场使用“双重标准”的概况.(149)	
二、跨国公司在市场实施“双重标准”造成的后果.(171)	
三、跨国公司在市场实施“双重标准”的原因分析.(173)	
四、制止跨国公司在市场实施“双重标准”的建议.(176)	

第三部分 技术性贸易措施预警专题研究

第十一章

技术性贸易措施预警指标体系及方法研究	(181)
一、基本设定	(181)
二、预警系统指标系统设计问题	(183)
三、预警指标体系的定量描述方法	(188)
四、预警系统工作能力的定量化描述方法	(209)
五、结语	(223)

第十二章

质检系统技术性贸易措施风险预警与快速反应系统研究	(224)
一、研究目的和意义	(224)
二、技术性贸易措施风险预警系统的框架	(225)
三、技术性贸易措施信息平台的建立	(231)

第十三章

技术性贸易措施风险评价体系研究	(241)
一、研究目的和意义	(241)
二、研究方法	(243)
三、研究内容和结果	(249)
四、讨论	(265)

第十四章

技术性贸易措施风险预警及快速反应系统研究.... (267)

- 一、风险预警系统的理论研究..... (267)
- 二、技术性贸易措施..... (273)
- 三、技术性贸易措施风险预警系统..... (278)
- 四、质量监督检验检疫技术性贸易措施风险预警系统.. (280)

第十五章

国外技术性贸易措施风险预警系统研究..... (286)

- 一、欧盟食品饲料预警及快速反应系统 (RASFF).... (287)
- 二、美国的风险预警体系..... (291)
- 三、澳大利亚北部预警系统..... (292)
- 四、加拿大植物检疫早期预警系统..... (296)

第十六章

技术性贸易措施综合损害影响研究..... (298)

- 一、我国出口企业屡遭国外技术性贸易措施限制的原因 (298)
- 二、技术性贸易措施对我国经济和贸易的影响..... (299)
- 三、技术性贸易措施的产业损害研究..... (300)
- 四、技术性贸易措施的贸易损害研究..... (301)
- 五、技术性贸易措施的环境损害研究..... (304)
- 六、打破技术性贸易措施限制的措施..... (306)

第十七章

农产品技术性贸易措施综合损害研究..... (309)

- 一、农产品面临的技术性贸易措施概况..... (309)
- 二、国内外农产品主要技术性贸易措施进展..... (311)
- 三、农产品遭受技术性贸易措施的损害分析..... (317)
- 四、我国技术性贸易措施体系的构建..... (320)
- 五、重点案例分析..... (324)
- 六、应对农产品技术性贸易措施的建议..... (327)

Table of Contents

Part 1 Research on General Planning for Technical Measures to Trade Warning Project

Section 1

Warning as Important Mission for Technical Measures to Trade System Building in China.....(3)

1.1 Warning as Effective Method for China to Respond to Technical Measures to Trade.....(3)

1.2 Possibility for Technical Measures to Trade Warning.....(6)

Section 2

Warning Principles and System Structure.....(10)

2.1 Basic Principles and Procedures for Warning.....(10)

2.2 Warning System Classification and Application.....(12)

2.3 Warning Methods.....(12)

2.4 Warning Indicators.....(16)

2.5 Developments of Warning Technologies.....(16)

2.6 Foreign Technical Measures to Trade Warning Systems.....(17)

Section 3

Status of TBT/SPS Warning in China.....(22)

3.1 Governmental Departments involved in TBT/SPS in China.....(22)

3.2 Status of TBT/SPS Operating Mechanism in China.....(27)

3.3 Status of TBT/SPS Information Resources and Services in China.....(30)

Section 4

Design Plan for Technical Measures to Trade Warning System Project..... (32)

4.1 Targets and Principles for Designing Warning System Project..... (32)

4.2 Design Requirements for Warning System.....(35)

4.3 Structure of Warning System.....(39)

4.4 Warning Modes.....(45)

4.5 Information-sharing Mechanism of Warning System.....(49)

4.6 Operation of Warning System.....(56)

4.7 Effect Monitoring of Warning Measures.....(57)

Section 5

Implementation Plan for Technical Measures to Trade Warning Project Construction.....(58)

5.1 Implementation Steps for Warning Project Construction.....(58)

5.2 Safeguards for Warning System Construction.....(59)

Part 2 Research on Industrial Technical Measures to Trade Warning Project Plan

Section 6

Research on Entry-exit Commodities Inspection and Quarantine Risk Warning and Quick Response System.....(63)

6.1 Purpose and Significance.....(63)

6.2 Research Content.....(64)

6.3 Research Achievements and System Application.....(89)

Section 7

Research on Technical Measures to Trade Warning Plan for Agricultural Products.....(91)

7.1 Research on Technical Measures to Trade Warning Plan Framework for Agricultural Products in China.....(91)

7.2 Strategic Research on Technical Measures to Trade for Poultry Meat.....(102)

7.3. Strategic Research on Technical Measures to Trade for Soy Beans.....(115)

Section 8

Research on Environmental Technical Measures to Trade Warning System Plan.....(127)

8.1 Organizational Framework of Warning System.....(127)

8.2 Environmental Technical Measures to Trade Warning Evaluation Indicators System.....(129)

8.3 Formula for some Quantitative Indicators.....(133)

Section 9

Research on Electronic Information Products Warning System Project Plan.....(135)

9.1 General Design of Electronic Information Products Warning System.....(135)

9.2 Design of Warning Project Plan.....(140)

Section 10

Research on Consumer Impairment Survey Measures and Warning Project Plan.....	(149)
10.1 Introduction of “Double Standards” Applied by Foreign Transnational Companies in Chinese Market.....	(149)
10.2 Consequences of “Double Standards” Applied by Foreign Transnational Companies in Chinese Market.....	(171)
10.3 Analysis on Reasons for Transnational Companies to Implement “Double Standards” in Chinese Market.....	(173)
10.4 Recommendations for Prohibiting Transnational Companies to implement “Double Standards” in Chinese Market.....	(176)

Part 3 Special Research on Technical Measures to Trade Warning**Section 11**

Research on Technical Measures to Trade Warning Indicator System and Methods.....	(181)
11.1 Basic Setting.....	(181)
11.2 Design of Warning System Indicator System.....	(183)
11.3 Methods for Quantitative Description of Warning Indicator System.....	(188)
11.4 Methods for Quantitative Description of Warning System Capacity.....	(209)
11.5 Conclusions.....	(223)

Section 12

Research on Technical Measures to Trade Risk Warning and Quick-response System of Quality Inspection Sector.....	(224)
12.1 Research Purpose and Significance.....	(224)
12.2 Framework of Technical Measures to Trade Risk Warning System.....	(225)
12.3 Establishment of Technical Measures to Trade Information Platform.....	(231)

Section 13

Research on Technical Measures to Trade Risk Evaluation System.....	(241)
13.1 Research Purpose and Significance.....	(241)
13.2 Research Methods.....	(243)
13.3 Research Content and Results.....	(249)
13.4 Discussions.....	(265)

Section 14

Research on Technical Measures to Trade Risk Warning and Quick-response System.....	(267)
14.1 Theoretical Study of Risk Warning System.....	(267)
14.2 Technical Measures to Trade.....	(273)
14.3 Technical Measures to Trade Risk Warning System.....	(278)
14.4 Technical Measures to Trade Risk Warning System for Quality Supervision, Inspection and Quarantine.....	(280)

Section 15

Research on Foreign Technical Measures to Trade Risk Warning System.....	(286)
15.1 EU Rapid Alert System for Food and Feed (RASFF).....	(287)
15.2 USA Risk Warning System.....	(291)
15.3 Australian Northern Warning System.....	(292)
15.4 Canadian Early Warning System for Plant Quarantine.....	(296)

Section 16

Research on Comprehensive Impairment and Impact of Technical Measures to Trade.....	(298)
16.1 Reasons for Chinese Export Enterprises to be Frequently Restricted by Foreign Technical Measures to Trade.....	(298)
16.2 Impact of Technical Measures to Trade on Chinese Economy and Trade.....	(299)
16.3 Research on Industrial Impairment of Technical Measures to Trade.....	(300)
16.4 Research on Trade Impairment of Technical Measures to Trade.....	(301)
16.5 Research on Environmental Impairment of Technical Measures to Trade.....	(304)
16.6 Measures for Breaking through Restrictions of Technical Measures to Trade.....	(306)

Section 17

Research on Comprehensive of Technical Measures to Trade for Agricultural Products.....	(309)
17.1 Introduction of Technical Measures to Trade Encountered by Agricultural Products.....	(309)
17.2 Developments of Major Technical Measures to Trade for Agricultural Products at Home and Abroad.....	(311)
17.3 Analysis on Impairment of Technical Measures to Trade Suffered by Agricultural Products.....	(317)
17.4 Building of Technical Measures to Trade System in China.....	(320)
17.5 Analysis of Key Cases	(324)
17.6 Recommendations for Coping with Technical Measures to Trade for Agricultural Products	(327)

第一部分

技术性贸易措施预警工程总体方案研究

