

21世纪
高等学校

物流管理
与物流工程
规划教材

当代国际物流实务

Practice for International Logistics



主编 戴正翔

Logistics 



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内 容 简 介

本书从国际贸易对国际物流的依存性入手,以“当代国际物流流程体系结构图”为核心,选取具有较强说服力的前沿案例,采用中英文恰当混编的形式,全面阐述国际物流实务之精髓,旨在让学生了解国际物流的运作范畴、掌握必备的专业知识技能,同时实现外语能力的提升。国际物流始于国际商业交易的发生,止于其标的实体送达客户,这其中包含一系列关键环节,如国际结算、国际货运与保险等。国际物流实务涉及管理学、经济学和工程学等多方面的知识,货物在不同国家或不同地区(不同关税区)之间所有权转移的基础上,实现实体的转移。本书适合作为国际贸易及物流相关专业课程教材。

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前言

为了在国际物流教材建设方面取得创新与突破，体现出国际物流实务之本原，也为了让学生在学习专业知识的同时外语能力得到提升，本书根据高校本科生英语能力的平均水平，采用中英文恰当混编的形式，以期弥补原版外文教材在实际课堂教学中的实用性和可操作性的缺失，提高中文教材的国际化水平。

本书案例多数取材于机电装备业，贴近现实、服务课堂是本书作者一贯坚持的原则；主题内容以响应党中央关于产业转型升级的经济方针为导向，并顺应我国在国际分工中的高价潮流，以及实现追逐大国重器和装备大国之中国梦的主要目标，同时也与“一带一路”中产能置换的理念相吻合。

在编写过程中，本书远离两大误区：一是强调教材的高层次性而陷于空洞理论的探讨；二是借口培养应用型人才而流于泛泛而谈。教材的高层次性与应用型人才培养的完美融合，不仅是可能和可行的，也是当今国际物流业界的要求。

本书由戴正翔独撰，是中国物流学会课题（编号：2015CSLKT3-236）研究的主干成果之一。

Preface

For textbook construction of international logistics, innovation and breakthrough are required to highlight the practical property of international logistics, and to achieve a double effect of professional knowledge acquisition and English proficiency improvement. Based on the general level of undergraduates' English proficiency, an "alternating writing format" of Chinese and English is adopted in this book to avoid the deficiency of original foreign textbooks in terms of practicability and readability and to explore the internationalization of Chinese textbooks.

With most of the examples and cases taken from the electro-mechanical equipment industry, being closer to real situation practice and more convenient for classroom teaching has been the principle of the author in writing this book. It also aims to contribute to the industrial transformation and upgrading, to go with the tide of international labor market, and to realize the "Chinese Dream" of a powerful country with strong equipment industry. Moreover, it also reflects the idea of "capacity replacement" in "Belt and Road Initiative".

This book emphasizes the depth of analysis, but does not fall into discussion of abstract theories; it aims to cultivate application-oriented talents, but avoids to be too general in content. A perfect combination of a comprehensive textbook and high-quality application-oriented talents cultivation is not only possible but also the requirement of contemporary international logistics.

This book is written by Dai Zhengxiang, and is one of the major achievements of the Research Project(2015CSLKT3-236) under China Logistics Institute.

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1

国际贸易对国际物流的依存性

International Trade Depending on International Logistics

国际贸易是指跨越不同国境或不同地区（关税区，以下均同）的货物、技术和服务之交易。而国际物流就发生在跨越不同国境或不同地区的实物转移的过程中。当然，这个过程是复杂的，甚至是漫长的。在国际供应链的实际运行中，国际贸易与国际物流是无法截然分离的，而恰恰相反，二者必须有机地融合到一起，即所谓的商物整合。也就是说，国际贸易脱离不了国际物流。

Usually people just take for granted that international logistics is nothing but international transportation or warehousing. This results in a ridiculous and fuzzy concept of international logistics. International logistics is far beyond the range of that simple notion. How wide is the scope of international logistics and how does international logistics operate? Of course, logistics consists of transportation and warehousing, but it is unnecessarily limited to such activities. As Pierre David, an American scholar, defines: international logistics is the management of international trade and operations. This is an absolutely scientific and pragmatic notion of international logistics and in fact it should be the case, on condition that no more advanced theories come into being in future.

1.1 国际商务谈判始于交付条款的议定

International Business Negotiation Starting from Delivery Terms

国际商务谈判的主要条款，即贸易条款，免不了涉及货物的交付条款和支付条款，

而且均直接涉及国际物流的主干活动——运输及（或）派生作业。

Incoterms 2010 对于货物交易合同买卖双方 in 交接货物时的责任和义务以 11 种贸易术语进行了界定，其中常见的有两组，共 6 种术语：FOB、CFR、CIF（仅适合水路运输）和 FCA、CPT、CIP（适合于任何运输方式）。第一组中的 FOB 解释为：买方通知卖方，与谁（通常为货运代理）联系交货事项；卖方按照该货运代理的指定地点送货，委托商检和清关，待货物装上指定的船舶后，风险即由卖方转移给买方。虽然由买方委托货运代理办理，但卖方也必须通知买方具体的装运时间，便于买方提前办理保险。第一组中的后两种条款只是增加了卖方租船订舱并负担运费，或者再加保险费的责任，其他责任义务相同。至于第二组，只是在风险转移上有所不同：卖方将货物交给承运人时，即转移风险至买方，其余义务与第一组完全相同。下面来看看 Incoterms 2010 对 11 种国际贸易术语的解释。

The following rules are binding upon any modes of transport.

1. EXW—Ex Works

工厂交货。卖方责任最小，风险近乎于零；买方风险最大，离境前在产地的所有手续与事务，均由买方承担。

“Ex Works” means that the seller delivers (交付) when it places the goods at the disposal of the buyer at the seller’s premises or at another named place (i.e. works, factory, or warehouse, etc.). The seller does not need to load the goods on any collecting vehicles, nor does it need to clear the goods for export, where such clearance is applicable.

2. FCA—Free Carrier

货交承运人。卖方风险比 EXW 条款略增，买方收货风险略减，卖方负责出口清关。

“Free Carrier” means that the seller delivers the goods to the carrier or forwarder nominated by the buyer at the seller’s premises or another named place. The parties (当事人) are well advised to specify as clearly as possible the point within the named place of delivery, as the risk passes to the buyer at that point. If that agreed point is at the premises of the seller, loading is the seller’s responsibility. If it is at the designated place by the carrier or forwarder the seller need not unload. The following terms (CPT and CIP) are the same except for the freight or insurance.

3. CPT—Carriage Paid to

运费付至指定目的地。风险同 FCA，卖方负责出口清关。

“Carriage Paid to” means that the seller delivers the goods to the carrier or another

person nominated by the seller at an agreed place (if any such place is agreed between parties) and that the seller must contract for and pay the costs of carriage necessary to bring the goods to the named place of destination.

4. CIP—Carriage and Insurance Paid to

运保费付至指定目的地。风险同 FCA，卖方负责出口清关。

“Carriage and Insurance Paid to” means that the seller delivers the goods to the carrier or another person nominated by the seller at an agreed place (if any such place is agreed between parties) and that the seller must contract for and pay the costs of carriage necessary to bring the goods to the named place of destination.

The seller also contracts for insurance cover against the buyer's risk of loss of or damage to the goods during the carriage. Therefore the seller has to provide insurance policy along with settlement documents (结算单证)。

5. DAT—Delivered at Terminal

目的地场站交货。卖方负责卸货，买方负责进口清关。

“Delivered at Terminal” means that the seller delivers when the goods, once unloaded from the arriving means of transport, are placed at the disposal of the buyer at a named terminal at the named port or place of destination. “Terminal” includes a place, whether covered or not, such as a quay, warehouse, container yard or road, rail or air cargo terminal. The seller bears all risks involved in bringing the goods to and unloading them at the terminal at the named port or place of destination.

6. DAP—Delivered at Place

目的地指定地点交货。买方负责卸货和进口清关。

“Delivered at Place” means that the seller delivers when the goods are placed at the disposal of the buyer on the arriving means of transport ready for unloading at the named place of destination. The seller bears all risks involved in bringing the goods to the named place.

7. DDP—Delivered Duty Paid

完税交货。卖方风险最大，需于目的地完税清关，买方负责卸货。

“Delivered Duty Paid” means that the seller delivers the goods when the goods are placed at the disposal of the buyer, cleared for import on the arriving means of transport ready for unloading at the named place of destination. The seller bears all the costs and risks involved in

bringing the goods to the place of destination and has an obligation to clear the goods not only for export but also for import, to pay any duty for both export and import and to carry out all customs formalities.

The following rules are binding only upon sea and inland waterway of transport.

1. FAS—Free Alongside Ship

船边交货。卖方仅负责出口清关。

“Free Alongside Ship” means that the seller delivers when the goods are placed alongside the vessel (e.g., on a quay or a barge) nominated by the buyer at the named port of shipment. The risk of loss of or damage to the goods passes on when the goods are alongside the ship, and the buyer bears all costs from that moment onwards.

Note that the goods should be delivered at a place within the reach of the vessel's hook.

2. FOB—Free on Board

装运港船上交货。卖方负责出口清关，装船。

“Free on Board” means that the seller delivers the goods on board the vessel nominated by the buyer at the named port of shipment or procures the goods already so delivered. The risk of loss of or damage to the goods passes on when the goods are on board the vessel, and the buyer bears all costs from that moment onwards. The following terms (CFR and CIF) are the same except for the freight and insurance.

3. CFR—Cost and Freight

成本加运费。其余同 FOB。

“Cost and Freight” means that the seller delivers the goods on board the vessel or procures the goods already so delivered. The risk of loss of or damage to the goods passes on when the goods are on board the vessel. The seller must contract for and pay the freight necessary to bring the goods to the named port of destination.

4. CIF—Cost, Insurance and Freight

成本、保险费加运费。其余同 FOB。

“Cost, Insurance and Freight” means that the seller delivers the goods on board the vessel or procures the goods already so delivered. The risk of loss of or damage to the goods passes on when the goods are on board the vessel. The seller must contract for and pay the freight and insurance necessary to bring the goods to the named port of destination.

If negotiators are unfamiliar with international transport and pertinent procedures, how can they make business negotiations? Therefore, in negotiation the transportation mode will be chosen first, e.g., water, air, rail or international inter-modal transport. How much is the concerned tariff and freight for one TEU or FEU from the origin to the destination? Is CIQ (China Entry & Exit Inspection and Quarantine Association) inspection needed and where is the customs clearing point? And, are insurance terms defined in PICC or ICC? Those just fall within the scope of international logistics.

另外, 银行结算时, 要进行审单。要么对照信用证 (letter of credit, L/C) 审单, 要么对照托收指示书 (instruction for collection) 审单。信用证结算业务对单据非常挑剔, 一般有两原则: 单证一致和单单一致。如果缺乏这些知识, 对于签发的提、运单, 产地、品质或数量、重量检验证书疏于审核, 或处理不当, 很可能造成不符点, 即单证与信用证不一致。出现这种情况, 起码要被扣费 100 美金左右。如果不符点太严重, 则可能导致买方弃货拒付。如果对商检与运输考虑不周, 必将造成对提、运单的制作和流转不清楚; 还有对商检环节的出证, 往往也会造成失误。比如, 前已述及的质量、数量和重量检验证书, 多为结算的必要单证。信用证会规定检验标准和出证机构, 比如可能要求由 SGS、NKKK 或 CIQ 出证。这一步骤不到位, 也将大大影响结算的速度和可靠度。没有原则性不符点的单据容易押汇, 为融资提供坚实的条件。

The above-mentioned regulations for shipment, delivery, currency settlement, commodity inspection, customs clearance, transport and etc., will be explicated in the following chapters. Those are practical operations requiring advanced technological support, experience and skills, and certainly are complicated and sophisticated work for beginners.

1.2 国际贸易的成败取决于国际物流环节

International Logistics Determining the Success or Failure of International Trade

任何一笔货物交易, 都必然要深入商谈料件的采购、产品的生产和产成品的运销问题。这些环节都或多或少应用了物流活动的要素: 运输、仓储、装卸搬运、包装、流通加工和信息处理。当然, 也不一定是面面俱到, 各种要素齐全并举。有的活动往往可能不产生, 比如仓储、包装和流通加工, 不一定在每笔交易后都必须进行。但是, 这些作

业，特别是运输环节及其派生业务，如果不到位，该笔交易可能就会失败。显然，该笔交易所期待获得的利益也就不存在了；反之，就能获取极大的效益。

》》 Case Incident I

During a Chinese Canton Fair, an American purchaser showed interest in Chinese leaf-springs for medium type trucks with the illustration and favourable quotation. Then an intent was reached for the American purchaser to buy the sample of leaf-spring against the drawing shown there from the Chinese company and soon a check was issued by him on site. It was agreed on air freight of such sample from China as soon as possible to Chicago, where the American purchaser would be in an exhibition to display such sample of leaf-spring. And his down-stream customers would meet him for the business. However, the Chinese company's transport department trusted the shipment to a nobody air freight forwarder. The American purchaser kept urging the Chinese part to send the master air waybill and house air waybill. But the sample zigzagged long to arrive in Chicago after half a month. The American purchaser could do nothing without the sample but look for other suppliers, which consequently caused a loss of expected sales amount in one million US dollars on the Chinese part. Furthermore, the export of leaf-spring belonged to a kind of export of electro-mechanical commodity supported by the Chinese government in finance and in other aspects. What a pity!

》》 Case Incident II

Once a Taiwanese client was urgent in the market for a kind of industrial commodity produced in Chinese mainland. Owing to the tiny order with small quantity and profit, as well as the tight schedule for shipment, fewer suppliers showed concern for it. Nonetheless a certain domestic company grasped such an opportunity to accept that order of only one TEU. Soon the client went to the factory participating in the processing and tried together with the workers and technicians on the key links of productive logistics. And then commodity inspection was finished and transported to Huangpu Sea Port in two lorries along with the stipulated documents. At the same time the firm had electronic reporting to the customs house. After one day and night via over 2,000 km the cargo arrived at the port and rapidly passed the customs procedures. Then the goods were on board. The fax of bill of lading almost brought forth the tears from the eyes of that Taiwanese client, because his shipment was realized so movingly. Later his business