



中南财经政法大学学术文库

贸易创新论

THEORY OF TRADE CREATION

张建民 著

 中国财政经济出版社

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总 序

一个没有思想活动和缺乏学术氛围的大学校园，哪怕它在物质上再美丽、再现代，在精神上也是荒凉、冷清和贫瘠的。欧洲历史上最早的大学就是源于学术。大学与学术的关联不仅体现在字面上，更重要的是，思想与学术，可谓大学的生命力与活力之源。

我校是一所学术气氛浓郁的财经政法高等学府。范文澜、嵇文甫、潘梓年、马哲民等一代学术宗师播撒的学术火种，五十多年来一代代薪火相传。因此，在世纪之交，在合并组建新校而揭开学校发展新历史篇章的时候，学校确立“学术兴校，科研强校”的发展战略。这不仅是对学校五十多年学术文化与学术传统的历史性传承，而且将成为谱写新世纪学校发展新篇章的战略性手笔。

“学术兴校，科研强校”的“兴”与“强”，是奋斗目标，更是奋斗过程。我们是目的论与过程论的统一论者。我们将对宏伟目标的追求过程寓于脚踏实地的奋斗过程之中。由学校斥资资助出版《中南财经政法大学学术文库》，就是学校采取的具体举措之一。

本文库的指导思想或学术旨趣,首先在于推出学术精品。通过资助出版学术精品,形成精品学术成果的园地,培育精品意识和精品氛围,提高学术成果的质量和水平,为繁荣国家财经、政法、管理以及人文科学研究,解决党和国家面临的重大经济、社会问题,作出我校应有的贡献。其次,培养学术队伍,特别是通过对一批处在“成长期”的中青年学术骨干的成果予以资助推出,促进学术梯队的建设,提高学术队伍的实力与水平。第三,培育学术特色。通过资助在学术思想、学术方法以及学术见解等方面有独到和创新之处的成果,培育科研特色,力争通过努力,形成有我校特色的学术流派与学术思想体系。因此,本文库重点面向中青年,重点面向精品,重点面向原创性学术专著。

春华秋实。让我们共同来精心耕种文库这块学术园地,让学术果实挂满枝头,让思想之花满园飘香。

A stylized, handwritten signature in black ink, likely belonging to the author or a representative of the library.

2001 年 11 月 28 日

On Innovation in Trade

ABSTRACT

The essence of a market economy is exchange and exchange takes place through trade. The more complex the social division and the more advanced an economy, the more dependent production and consumption become on trade, and hence the more important a role trade plays in a national economy. Innovation in trade is a prominent source of trade development, a vital component of a country's innovation systems, and a major means to realize the potentials of other innovations. Since World War II, many countries, especially developed countries, have experienced numerous surges in trade innovations. These innovations drastically expand their domestic and international trade, open up broad markets for their economic growth and development, and stimulate more innovations in other fields. More importantly, these innovations solidify and elevate the role of trade, establishing the trade industry as a leading industry in many national economies. Looking into the future, there is little doubt that innovation in trade will continue to be a key growth engine for the trade in the 21st century. With advances in science and technology, the pace of innovation in trade will accelerate. Only through innovation in trade could a country enhance its competitiveness in trade and keep it in step with its economic development. Therefore, this study of innovation in trade has many important theoretical and practical implications.

Innovation in trade is an area of research that holds many promises. However, few studies, either domestic or overseas, focus on the subject. In an era of innovations and an era when trade becomes a leading industry, it becomes necessary that we study the origins, characteristics, and mechanisms of innovations in trade. To study it, we need not only to learn from relevant theories on innovations developed here and abroad so that we can have a broad perspective on innovations in general, but also to study the issues specifically related to innovation in trade, the issues such as the mechanisms, the regularities, and the determinants, of innovation in trade. The aim of the study is to guide our trade practices.

My dissertation consists of three parts. Part One, consisting of Chapter 1, Chapter 2, and Chapter 3, develops a general framework for analyzing innovation in trade, discusses the concepts and characteristics related to innovation in trade, and studies inherent and external factors that are conducive to innovation in trade. Part Two, consisting of Chapter 4, Chapter 5, Chapter 6, and Chapter 7, combines normative analysis with positive analysis to investigate the contents of innovation in trade, ranging from the innovation in trade institutions, trade technology, trade organizations, and trading formats. Part Three (Chapter 8) further studies Chinese innovation in trade. The final conclusion briefly sums up the significance of this research and the main contributions of this dissertation.

More specifically, Chapter 1 defines the object of this study and details the method of this dissertation. The importance of innovation in trade is established from several angles: innovation is a driving force for the advancement of mankind; innovation is at the core of a knowledge economy; innovation is a source of trade development. The basic con-

cepts and issues are defined. A framework for studying innovation in trade is proposed.

In Chapter 2, the innovation theories of western nations are analyzed. The origin and main achievements of Schumpeter's theory on technology innovation and institution innovation is presented and analyzed. The implications of this theory for innovation in trade is discussed.

Chapter 3 focuses on the motivation and mechanisms of innovation in trade. The author pays a particular attention to the objectives of trade innovations. Based on the cost – and – benefit analysis of trade innovations, the author articulates the inherent factors that drive innovation in trade. The author also analyzes external factors that foster trade innovations. In the process of analyzing those factors, the mechanisms and structure of trade innovations are also presented. The author argues that the incentive system for encouraging trade innovations, that for nurturing entrepreneurship, and that for rewarding new trade enterprises are all important component parts of the system that bring forth trade innovations.

The task of Chapter 4 is to study innovation in trade institutions. Innovation in trade institutions is at the core of innovation in trade. The author details the meanings and functions of trade institutions, discusses the origin and evolution of trade institutions, analyzes the factors affecting innovation in trade institution, studies the contents and the trend of institution innovations, and proposes that innovations in trade institutions must lead the growth and development in trade.

Chapter 5 studies innovation in trade organization. The author traces the evolution process of trade organization, analyzes the factors

affecting innovation in trade organization. These discussions combine theory with practice and investigate the contents of and the causes for, innovation in wholesale organization, retail organization, channel organization, and cooperatives. The author further identifies the trends in such innovations.

Chapter 6 studies innovation in trade technology. The author takes technology as an independent element of trade operations, and analyzes the role of technology innovation in trade. The author argues that innovation in trade technology is fast changing the management – intensive property of trade operations, and discusses the contents of innovation in trade technology. Furthermore, the author studies the characteristics of innovation in trade technology, analyzes the reality of Chinese innovation in trade technology from the perspective of industry organization theory as well as from other perspectives, and discusses the modes and selection standards of innovation in trade technology.

Chapter 7 studies innovation in trading mechanisms. Based on the definition of trading mechanisms, the author first analyzes factors affecting innovation in trading mechanisms, and studies some generalizable facts about innovation in trading manner mechanisms. Secondly, by relating to trading practices, the author elaborates on the contents of innovation in trading mechanisms, and discusses the issues related to Chinese innovation in trading mechanisms. Finally the author discusses electronic commerce as a spring of innovation in trading mechanisms, discusses how electronic commerce may affect trade activities and how we may foster the development of electronic commerce.

Chapter 8 focuses on Chinese innovations in trade. When studying innovation in trade, it is inevitable to study Chinese innovation in

trade. The author analyzes the background of Chinese innovation in trade, including the contents and progress of Chinese innovation in trade. Using the Western experience in trade innovations, the author discusses the characteristics of and existing problems with, Chinese innovation in trade. Based on that analysis, the author proposes some principles, strategic goals and focus, and policies in fostering Chinese innovation in trade.

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