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“一带一路”建设的持续性

On Sustainability of the Belt and Road

傅梦孜◎著



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序

自2013年习近平主席提出“一带一路”倡议以来，“一带一路”的推进速度之快、规模之大，堪称盛况空前。“一带一路”这一宏大战略倡议的本质属性在于实现全球大范围互联互通，并以基础设施建设和产能合作互为支撑，和平合作、开放包容、互学互鉴、互利共赢的丝绸之路精神贯穿其中。这一倡议因应着世界发展的期望，日益得到世界各国和一些国际、地区组织的理解认同与接受。“一带一路”建设的现实意义十分巨大，建设实践波澜壮阔，影响也十分深远，将构成世界经济变动的全新景观，实质性地推动各国交往与经济发展，促进全球化的深入与人类命运共同体建设的实践。在这种形势下，学界对“一带一路”的研究稍稍显得滞后。傅梦孜研究员的新作《“一带一路”建设的持续性》（以下简称“傅著”），是一部融世界经济、世界政治、历史学等学科于一体、具有开创性的学术研究著作。

本书选择“一带一路”建设的持续性问题是一个全新的研究命题。“一带一路”作为一项宏大倡议，其漫长的建设过程将是十分复杂的，沿途遇到的世情、域情、国情各不相同，对其建设过程必然会产生难以精准预测的影响。傅著从理论到

实践、从历史到现实，对“一带一路”建设的持续性问题进行的探索，不仅能推动该课题学术研究的进一步深入，同时也能为“一带一路”建设提供有价值的参考。

傅著是一部颇具特色的专著，主要体现在以下三个方面。

第一，傅著对古代丝绸之路发展的历史进行了较系统的梳理，增加了该著作的历史厚重感。“一带一路”是一个源于古代丝绸之路的概念。中国历朝历代关于丝绸之路的史籍十分浩繁，为考察古代丝绸之路的发展提供了文献记载依据。近百余年来，西方学界对丝绸之路也予以巨大关注，很多研究主要运用中国的史籍记述，进行补充性表述、考证、审鉴、解读。但无论中外，对“丝绸之路”的研究还没有引起足够的重视。本书的第一章对古代丝绸之路源起、演变的考察，为观察古代丝绸之路清晰地勾画出了历史演进的脉络，特别是重点研究了古代丝绸之路出现断续性的原因，这种考察既厘清了古代丝绸之路精神与当代“一带一路”继承与发展的关系，又为探讨当代“一带一路”建设的持续性发展提供了历史借鉴。

第二，本书对“一带一路”建设是否具有持续性进行了理论层面的创新性探讨。“一带一路”建设投入大、任务重、周期长，充满着风险与挑战。因此，从理论与政策层面上进行充分的学术研究显得十分必要。本书在理论篇中，通过选取几个不同视角，对“一带一路”倡议进行了全面分析。即通过对“超大规模经济必然形成规模性外溢”效应、“通道辐射型的区位导向”“‘价值链’延伸与攀升效应”和基础设施建设具有长程性等方面的探索，提出了“一带一路”的理论框架，将有助于学界对“一带一路”的理论探索。

第三，本书以多学科的视角对“一带一路”建设的持续性发展进行了深入探讨。作者根据“一带一路”建设实践，

从经济、政治和风险多视角进行全面分析。经济层面主要分析“一带一路”的内生动力，为什么必然会发生；政治层面主要分析国际政治磨合，即各国或地区的接受度；风险层面分析评估所面临的挑战。在进行跨学科研究的基础上，作者提出了“一带一路”建设持续性发展的思路与方略，不仅推动了学术研究的进一步深入，同时也为“一带一路”建设的实施提供了有益的咨询与参考意见。

总之，通览全书，深感跨学科研究的难度，作者能以多学科视角完成这部充满创意的学术著作，体现了渊博的知识和深厚的学术功底。同时，也能深深感受到作者在繁重的日常工作之余潜心研究所付出的艰辛。衷心祝贺该著作的问世，同时也期待作者有更多的新作出版。

胡德坤

2018年11月于武汉大学珞珈山

ABSTRACT

The “Belt and Road” originates from the concept of the ancient Silk Road. Not simply a mere replica of the old concept, it is featured by profound epochal innovation and theoretical connotation. Since President Xi Jinping broached the grand Belt and Road Initiative (BRI), steady progress has been made at global level. The “Belt and Road” is, in essence, a part of international connectivity, pillared by infrastructure building and industrial capacity cooperation. Guided by the Silk Road Spirits, namely, peace and cooperation, openness and inclusiveness, mutual learning and win-win, this grand strategic initiative mirrors the world’s desire for development, and has been understood, acknowledged, and accepted by an increasing number of countries, regional and international organizations. Having both remarkable practical significance and far-reaching impacts, the “Belt and Road” will form a new landscape in the changing world economy, substantially promoting international exchanges and economic development, ushering globalization to a new era and contributing to the formation of the community of shared future for mankind. In this sense, the “Belt and Road” is reasonable, urgent and feasible.

Because the “Belt and Road” is highly relevant to many countries’ development agenda, both domestic and international research, whether policy-

driven, functional, or academic, has already yielded many fruits. However, academic and theoretical research often lags behind practice, and research with a long-term vision is even rarer. This applies to the research work on both the ancient Silk Road and the current “Belt and Road Initiative”. The “Belt and Road”, characterized by intensive inputs, arduous tasks, and long construction cycle, is fraught with risks and challenges. As a major project with great realistic significance, the “Belt and Road” has been advanced all around the world. Since the future success of the initiative is contingent on its sustainability, it is more than necessary to conduct adequate academic, theoretical and policy research.

The bountiful historical records and literature on the Silk Road produced in China's consecutive dynasties provide rich resources to observe and study the development of this ancient road. In the recent hundred years, Western academia has also paid intense attention to the Silk Road, relying mostly on Chinese historical records to make complementary accounts, reviews and interpretations. However, in the modern history which features clashing thoughts and diversified theories, the issue of the Silk Road has never been addressed at theoretical level, as reflected by a deficiency of systemic academic research. The existing international economic, trade, investment and even transportation theories, while shedding some light on the formation of the Silk Road, don't constitute serious theoretical discussion. Although as an ongoing global practice, the BRI can be justified with ample reasons at policy-making level, it is conspicuously embarrassed by a lack of theoretical support.

Up till now, theoretical research on the Silk Road is far from bountiful. This paper aims to explore the theoretical front of this matter. In order to find an answer to the core problem, namely, the sustainability of the “Belt and Road”, this paper tries to draw preliminary conclusions by adopting economic, political and risk perspectives and following an interdisciplinary research principle.

The issue of sustainability of the BRI is a completely new subject, the study of which is conducted within the following research framework.

The main body of this book comprises six chapters followed. Altogether, there are seven chapters. The first chapter gives an examination on the development and evolution of ancient Silk Road, and analyzes its reasons of emergence, prosperity and disruption. The second chapter provides a research framework, including definition of the main concepts, feasibility and appropriateness of the corridor design, and the time-and-space background of both the historical and current Silk Road. Chapter three to six anatomize the “Belt and Road” at three dimensions. The third chapter is the theoretical dimension. It tries to analyze the endogenous driver of the “Belt and Road” from theoretical perspective. By examining a number of effects, such as “the scale and spillover effect of big economies”, “location-specific advantages deriving from the effect of channel radiation”, “the effect of extending and climbing the value chain”, and the long-term nature of infrastructure investments, this chapter tries to construct a theoretical framework of the “Belt and Road”. The fourth chapter deals with the second dimension, assessing the international adaptability and acceptability of the BRI. The fifth chapter, which is also the third research dimension, mainly focuses on risks and risk assessments, which include general strategic environment assessments, geo-political risks at large, conventional and nonconventional security risks, specific risks and challenges, and control measures. The sixth chapter will give some suggestions. With the above three-dimensional research, however, it is still not sufficient to draw the necessary conclusions of this paper. To address this problem, the seventh chapter, from a mid-to-long run perspective, puts forward both the blueprint and specific policy suggestions that are helpful in enhancing the sustainability of the “Belt and Road”. The last chapter is the strategic conclusion.

Given the present developments, the BRI has been making positive progress.

The “Belt and Road” is a complicated process with concomitant interferences and variants. The constantly changing global, regional and national situations will inevitably have on it impacts that can't be calculated accurately. That's why in different periods policies need to be adjusted in accordance with reality. This paper tries to be supportive to forming a certain new analytical angle, thus advancing the theoretical research on this matter and providing a useful reference for the undertaking of the “Belt and Road” .

Keywords: the Silk Road, Belt and Road, connectivity, risk assessment, sustainability

持续性是指一种事物或现象出现后得以不断发展或延续的状态。“一带一路”建设的持续性问题主要是指在有关方主观愿望强烈，但建设环境可能充满不确定性的情况下，能否运用好既有条件，克服各种挑战，在不同时段使互联互通及项目建设整体上得以持续有序推进的态势。

——笔 者

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第一章

丝绸之路源起、演变的历史映像

大漠戈壁上，“驰命走驿，不绝于时月”（《后汉书·西域传》）。汪洋大海中，“云帆高张，昼夜星驰”（南京宝船遗址公园郑和碑文）。这是古代文献对陆海丝绸之路曾所呈现盛况的恢宏描述。古代丝绸之路是联通亚欧等地的贸易路线，开启了中国与域外以及更广大地区的经济、文化交流序幕与进程。丝绸之路的历史已有数千年，作为一种久已存在的历史现象，对亚欧大陆各国人民的交往影响十分深远。在习近平主席提出“一带一路”宏大战略倡议以后，对古代丝绸之路的相关历史进行再考察，有助于今天对“一带一路”建设的持续性问题进行深入研究。

第一节 相关概念溯源

“丝绸之路经济带”和“21 世纪海上丝绸之路”都包括有“丝绸之路”这个概念，它源于古代丝绸之路这一历史符号。尽管“丝绸之路”这一概念的出现是近代以来的事，但与更为久远即已出现的丝绸贸易紧密相关。