

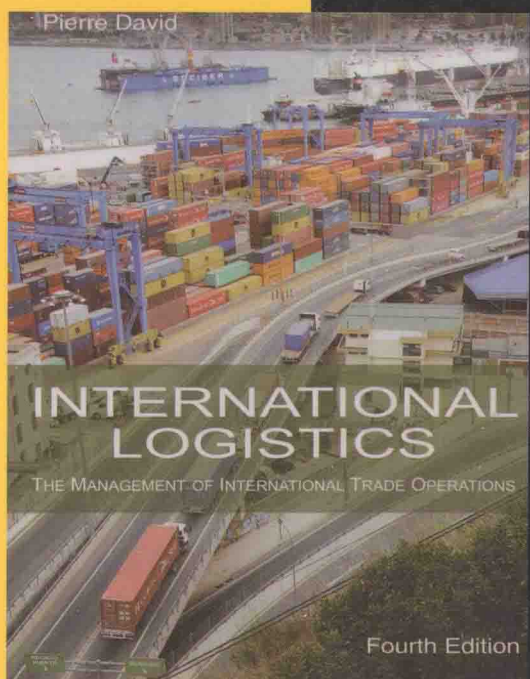
国外大学优秀教材——工业工程系列（影印版）

[美] Pierre A. David

# 国际物流

## ——国际贸易中的运作管理

（第4版）



清华大学出版社

国外大学优秀教材——工业工程系列（影印版）

# **International Logistics**

The Management of International Trade Operations

Fourth Edition

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[美]Pierre A. David

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北 京

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# 出版说明

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为了满足国内广大读者了解、学习和借鉴国外先进技术和管理经验的需要，清华大学出版社与国外几家著名的出版公司合作，影印出版了一系列工业工程英文版教材。《国际物流——国际贸易中的运作管理（第2版）》自引进以来，受到了广大师生的认可，被多所学校选为教材。因此，我们又积极引入了该书第4版。由于原书篇幅过长，且其中的部分内容与我国的教学需要不符，我们请作者删除了第10章“International Insurance”，并对图书重新进行了排版和索引编写。在此对 Pierre A.David 教授的积极配合与大力支持表示衷心的感谢！

欢迎广大读者给我们提出宝贵的意见和建议！

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# Forward

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This textbook series is published at a very opportunity time when the discipline of industrial engineering is experiencing a phenomenal growth in China academia and with its increased interests in the utilization of the concepts, methods and tools of industrial engineering in the workplace. Effective utilization of these industrial engineering approaches in the workplace should result in increased productivity, quality of work, satisfaction and profitability to the cooperation.

The books in this series should be most suitable to junior and senior undergraduate students and first year graduate students, and to those in industry who need to solve problems on the design, operation and management of industrial systems.

  
Gavriel Salvendy

Department of Industrial Engineering, Tsinghua University

School of Industrial Engineering, Purdue University

April, 2002

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# 序 言

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本教材系列的出版正值中国学术界工业工程学科经历巨大发展、实际工作中对工业工程的概念、方法和工具的使用兴趣日渐浓厚之时。在实际工作中有效地应用工业工程的手段将无疑会提高生产率、工作质量、合作的满意度和效果。

该系列中的书籍对工业工程的本科生、研究生和工业界中需要解决工程系统设计、运作和管理诸方面问题的人士最为适用。

加弗瑞尔·沙尔文迪  
清华大学工业工程系  
普渡大学工业工程学院（美国）  
2002年4月

# Preface

## A User's Perspective

The content of this textbook is directed at the users of international logistics services. It covers all of the concepts that are important to managers who are actively exporting or importing goods, or are otherwise involved in international trade operations. All of the relevant issues are thoroughly explained, including documentation, terms of payment, terms of trade (Incoterms® rules), exchange rate exposure, international insurance, Customs clearance, agency and distributorship sales contracts, packaging, transportation, and security issues.

The book is accessible to the reader: the concepts are clearly and accurately portrayed and the vocabulary is precise and accurate, which makes it an easy read for all, including non-native speakers of English. The presentation of the material is logical and the reader can understand a concept without having to refer to material that is presented later in the book. Nevertheless, the interested reader should attempt to read the book “quickly” once, before delving into some of its finer details, in order to get an indication of the interdependencies of the decisions to be made.

Since the book introduces topics that tend to be technical or unfamiliar to many readers, there are more than a hundred and forty color illustrations, tables, and figures in the text to support the core content. All were chosen carefully to accurately depict the concepts presented in the text.

This textbook has been adopted by most of the logistics programs in the United States and many abroad. It is the official reference textbook for the international portion of the Certification in Transportation and Logistics offered by the American Society of Transportation and Logistics, and is recommended for the Certified Global Business Professional examination of the North American Small Business International Trade Educators.

## Instructors' Supplements

There is a series of **Powerpoint presentations** linked to all of the chapters in this book, which can be freely edited to reflect a particular pedagogical style.

There is a **test bank** available as well, written in Word, so the questions can be edited to reflect the style and the level of the classroom.

There is a brief **instructor's manual** with sample syllabi and other suggestions, to suit a particular academic emphasis.

Finally, there are three **DVDs of videos and photographs** that complement the materials in this book. They are available to faculty members upon request, by contacting Pierre David at [pdavid@bw.edu](mailto:pdavid@bw.edu).

## Acknowledgements

This book is the result of the work of many: Richard Stewart, of the University of Wisconsin-Superior, who was my co-author for the second and third edition, and whose influence is most felt in Chapter 11, Robert Materna, of Embry-Riddle Aeronautical University Worldwide, who was instrumental on a revision of Chapter 12 in the third edition, and of Earl Peck, professor *emeritus* at Baldwin Wallace University, who gave much material for Chapter 8.

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I am also indebted to Steve Scoble, Kendra Leonard, and Matt Walker at Atomic Dog-Thomson Publishing, as well as Sarah Blasco and Greg Albert at Cengage for their help with prior editions.

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Thank you.

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# Chapter 1

## International Trade

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The years since World War II have seen an unprecedented increase in international trade and a parallel improvement in the economic development of most nations. Countries that were barely able to feed their population sixty years ago are now economic powerhouses where inhabitants enjoy a modern standard of living and where many companies trade internationally. In most developing countries, political concerns have shifted from famine and abject poverty to pollution and urban gridlock, which were once the concerns of developed countries only.

This increase in international trade was triggered by the realization that countries' economies benefit by trading with each other and that trade increases the overall well-being of the world's population. Figure 1.1 illustrates how much international trade has grown in constant dollars, and the respective shares of the twenty-seven European Union countries, the United States, Japan, China, and of the remainder of the world in international trade from 1952 until 2012.<sup>1</sup> Although the economic crisis of 2008-2009 had an impact on the overall volume of international trade, this decrease was temporary. As people's standards of living increase worldwide, so do their abilities to purchase a greater number of goods, and therefore so does international trade.

Professionals in international logistics have been the main facilitators of that trade growth. They have been the managers responsible for the safe and timely deliveries of these millions of dollars worth of goods. They are responsible for:

- arranging transportation of these goods over thousands of miles
- understanding the trade-offs between the different modes of transportation available and making the correct decision
- making sure that the goods are packaged properly for their journey

**international trade**  
The sale of goods and services across international borders.

**constant dollars**  
Dollars adjusted for inflation so that it is possible to compare dollar values from one period to another.

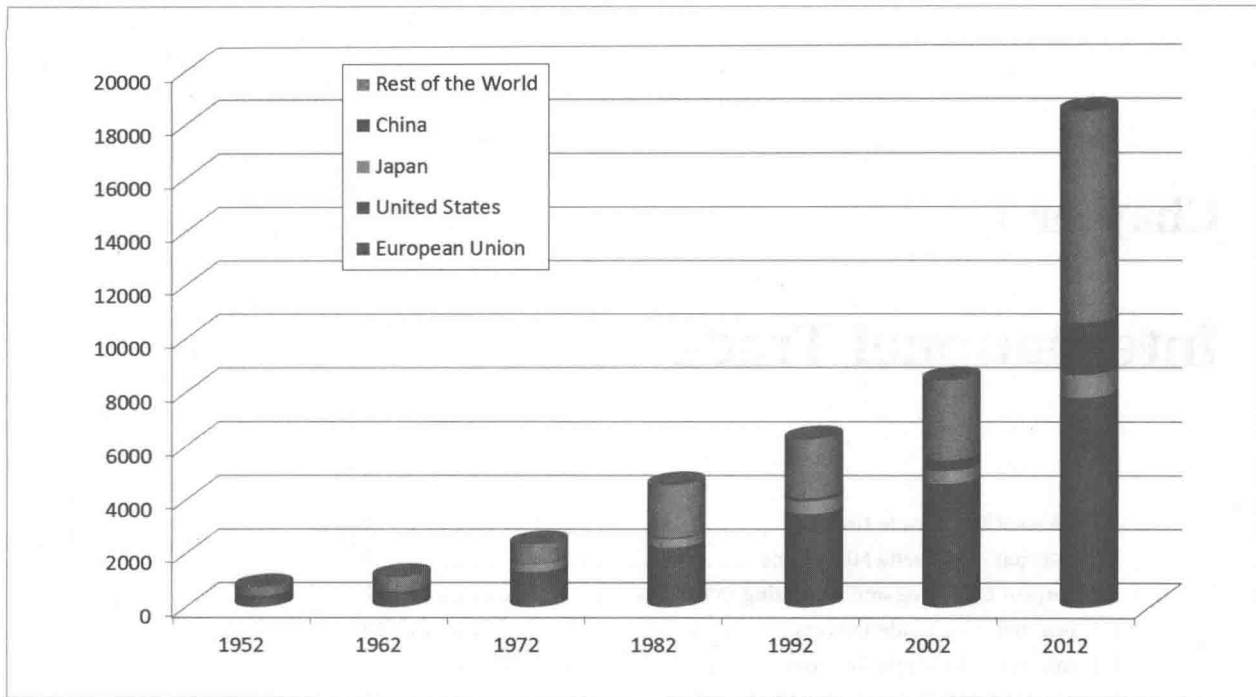


Figure 1.1: Growth in International Trade and Share of Selected Countries (in constant [2012] US\$ billions)

World Trade Organization.

- understanding the risks the goods face while in transit, and insuring them appropriately
- minimizing the risks associated with international payments by selecting the right payment currency or the right hedging strategy
- making sure that the goods are accompanied by the proper documents so that they can clear Customs in the country of destination
- defining properly who, between them and their foreign counterparts, is responsible for which aspects of the voyage and which documents
- determining which method is most suitable for payment between the exporter and the importer
- following security measures designed to prevent damage to the goods while they are in transit, and following regulations imposed by the governments of importing countries and international organizations
- storing the goods in appropriate warehouses and distribution centers when they are not in transit.

While all of these responsibilities of an international logistics manager will be covered in the remainder of this textbook, this chapter gives an overview of the extent of international trade, of the economic theories of international trade and

of some of the difficulties associated with conducting business in an international environment.

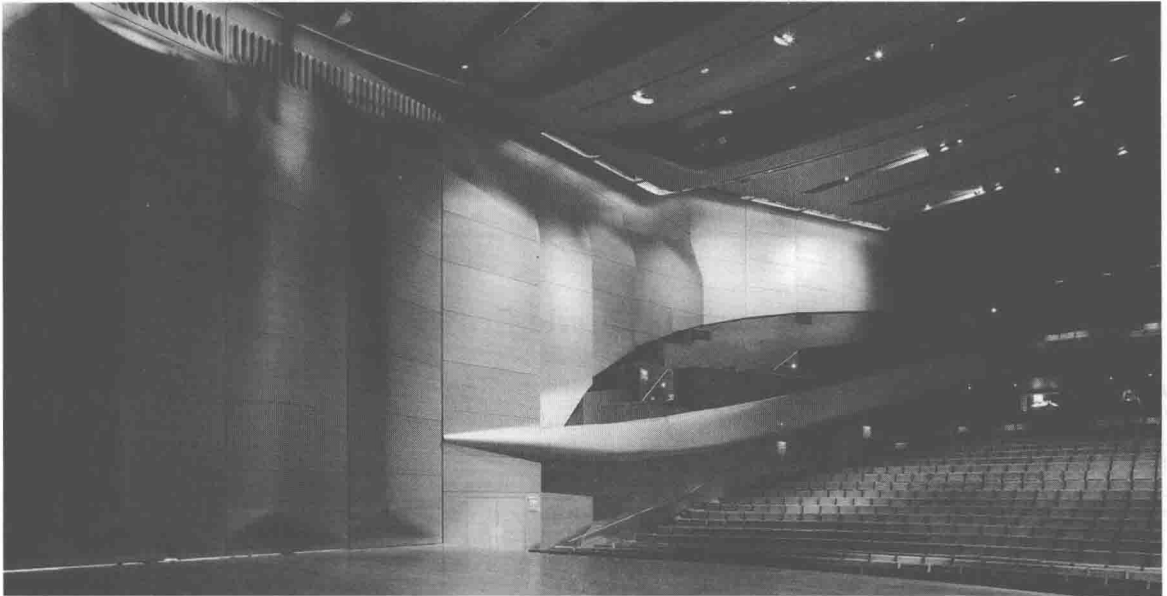


Figure 1.2: The maobi wood panels of the Alice Tully Theater in New York City

Photo ©Iwan Baan. Used with permission.

### The Alice Tully Theater Project

The 2008 renovation of Lincoln Center's Alice Tully Theater (see Figure 1.2) in New York City included the complete renovation of its decorative and acoustic elements. The architectural firm in charge of the renovation collaborated with an acoustic-research firm to include walls which were shaped to give the theater better acoustic characteristics. The walls were covered by panels made with a very thin wood veneer, so thin that small lights placed behind the wood could shine through it and give the theater a warm, pleasant glow when the main lights were turned off. The theater can add a light show to some of its acoustic performances. The wood veneer used in those panels came from a single moabi tree

harvested in the forests of Gabon, a country in West Africa. The tree species is endangered, so a minimal amount was used; the hundreds of plywood sheets needed for the project were created from a single log that was about one meter in diameter (about forty inches). In order to achieve this enormous yield, the log was first shipped from Gabon to Ryugasaki City, Japan, where it was cut into slices that were two tenths of a millimeter thick (eight hundredths of an inch). The wood veneer was then shipped to Miami, Florida, where it was inspected before being shipped to Salt Lake City, Utah. There it was glued to a substrate and then formed to the shapes that the acoustic engineers had designed for the

theater. The resulting plywood sheets were then eventually shipped to New York City for final installation. Patrons of the Alice Tully Theater are undoubtedly enjoying these magnificent wood-veneered walls, but few of them can fathom that the wood that was used to build them had traveled more than 40,000 kilometers (25,000 miles), a distance equal to the circumference of

the earth at the equator. The wood had traveled by road, rail and ocean before its final destination; all along the way, international logisticians made sure that it was transported economically, packaged properly, and that it cleared Customs and complied with international regulations without difficulty.<sup>2,3</sup>

## 1.1 International Trade Growth

### current dollars

Dollars not adjusted for inflation. Their value is determined by the year they were actually received or paid.

In current U.S. dollars (that is, not corrected for inflation), international trade in merchandise has grown 30,600 percent between 1948 and 2012<sup>4</sup>—that is, international trade is 307 times larger—an average annual growth rate of 9.21 percent. In constant US dollars (corrected for inflation, and expressed in 2012 dollars), the growth was 3,180 percent for the same period—that is, international trade is 32.8 times larger—an average annual growth rate of 5.51 percent.

In constant US dollars (2012 dollars), international trade in merchandise and services has almost tripled since 1992, an average annual growth rate of 5.5 percent. Tables 1-1<sup>5</sup>, 1-2<sup>6</sup>, and 1-3<sup>7</sup> on the following two pages show the World Trade Organization's data for international trade for merchandise and services for the period for which it has kept that information. The differences between exports and imports reflect the different ways in which the values of exports and imports are calculated.

### World Trade Organization

The international organization responsible for enforcing international trade agreements and for ensuring that countries deal fairly with one another.

The economic contraction of 2008-2009 had a substantial impact on world trade; the WTO reported that total exports decreased 22.3 percent between 2008 and 2009, from \$16,140 billion to \$12,542 billion. They increased 21.8 percent between 2009 and 2010 to reach \$15,274 billion, but needed another year to recover completely. The total value of worldwide exports reached \$18,255 billion in 2012.<sup>8</sup> The contraction was substantial for many countries, but it was a temporary setback in the overall growth of the worldwide economy.

The increase in international trade was triggered by a massive liberalization of international commerce following World War II and the creation of a number of international organizations designed to facilitate international commerce, as well as a significant decrease in transportation costs and transit times. During that period, a much greater consumer acceptance of things "foreign," from food to automobiles, allowed an increasing number of companies to expand their sales beyond their domestic borders.

## 1.2 International Trade Milestones

The development of international trade has been fostered over the years by several critical milestones, the ratification of several key international treaties, and the

| International Merchandise Trade Volume in US\$ billions |                    |         |                          |         |
|---------------------------------------------------------|--------------------|---------|--------------------------|---------|
| Year                                                    | Current US dollars |         | 2011 Constant US dollars |         |
|                                                         | Exports            | Imports | Exports                  | Imports |
| 1957                                                    | 114                | 121     | 931                      | 989     |
| 1962                                                    | 143                | 151     | 1,087                    | 1,148   |
| 1967                                                    | 218                | 228     | 1,499                    | 1,567   |
| 1972                                                    | 419                | 433     | 2,301                    | 2,378   |
| 1977                                                    | 1,128              | 1,171   | 4,274                    | 4,437   |
| 1982                                                    | 1,883              | 1,941   | 4,480                    | 4,618   |
| 1987                                                    | 2,516              | 2,582   | 5,085                    | 5,219   |
| 1992                                                    | 3,766              | 3,881   | 6,163                    | 6,351   |
| 1997                                                    | 5,591              | 5,737   | 7,998                    | 8,207   |
| 2002                                                    | 6,494              | 6,742   | 8,288                    | 8,605   |
| 2007                                                    | 14,017             | 14,325  | 15,525                   | 15,866  |
| 2012                                                    | 18,323             | 18,567  | 18,323                   | 18,567  |

Table 1.1: International Merchandise Trade Volume in US\$ billions

World Trade Organization.

| International Service Trade Volume in US\$ billions |                    |         |                          |         |
|-----------------------------------------------------|--------------------|---------|--------------------------|---------|
| Year                                                | Current US dollars |         | 2011 Constant US dollars |         |
|                                                     | Exports            | Imports | Exports                  | Imports |
| 1982                                                | 368                | 404     | 876                      | 961     |
| 1987                                                | 537                | 544     | 1,085                    | 1,099   |
| 1992                                                | 932                | 949     | 1,525                    | 1,553   |
| 1997                                                | 1,316              | 1,294   | 1,883                    | 1,851   |
| 2002                                                | 1,597              | 1,561   | 2,038                    | 1,992   |
| 2007                                                | 3,420              | 3,174   | 3,788                    | 3,515   |
| 2012                                                | 4,347              | 4,106   | 4,347                    | 4,106   |

Table 1.2: International Service Trade Volume in US\$ billionsWorld Trade Organization.

establishment of international organizations designed to facilitate and support international trade activities.

Total International Trade Volume in US\$ billions

| Year | Current US dollars |         | 2011 Constant US dollars |         |
|------|--------------------|---------|--------------------------|---------|
|      | Exports            | Imports | Exports                  | Imports |
| 1982 | 2,251              | 2,345   | 5,356                    | 5,579   |
| 1987 | 3,053              | 3,126   | 6,171                    | 6,318   |
| 1992 | 4,698              | 4,830   | 7,688                    | 7,904   |
| 1997 | 6,907              | 7,031   | 9,881                    | 10,058  |
| 2002 | 8,091              | 8,303   | 10,326                   | 10,597  |
| 2007 | 17,437             | 17,499  | 19,313                   | 19,381  |
| 2012 | 22,670             | 22,673  | 22,670                   | 22,673  |

Table 1.3: World's Total International Trade in Merchandise and Services in US\$ billions

### 1.2.1 The Bretton-Woods Conference

#### Bretton-Woods

A 1944 conference at which many of the international institutions were created.

#### International Monetary Fund

The international organization created in 1945 to oversee exchange rates and develop an international system of payments.

#### General Agreement on Tariffs and Trade

An agreement between countries to lower tariffs and trade barriers.

#### tariff

A tax collected by an importing country on the value of imported goods.

In the last year of World War II, world leaders of the Allied nations met in July 1944 in the resort town of Bretton-Woods in New Hampshire in the United States, a conference that led to the creation of several international institutions, two of which were specifically designed to facilitate world trade:

- The International Monetary Fund (IMF), created on December 27, 1945, which established an international system of payment and introduced stable currency exchange rates.
- The General Agreement on Tariffs and Trade (GATT), which through multiple negotiation periods (in Geneva [1948], Annecy [1949], Torquay [1951], Geneva [1956], the Dillon Round [1960-61], the Kennedy Round [1964-67], the Tokyo Round [1973-79], and the Uruguay Round [1986-94]), led to a decrease of duty rate from an average of over 40 percent in 1947 to an average slightly above 4 percent in 2011.<sup>9</sup>

### 1.2.2 The World Trade Organization

The World Trade Organization (WTO) was officially created on January 1, 1995.<sup>10</sup> It replaced the GATT and is the organization in charge of enforcing free trade. From 2001 to 2008, the WTO worked on the Doha Developmental Round of multilateral negotiations, whose goal is to improve trade in agricultural commodities, which is impeded by a large number of non-tariff barriers, and replete with agricultural subsidies in developed countries. The round stalled in July 2008, and no progress has been made in the discussions since then. In April 2011, Pascal Lamy, the Director-General of the WTO, urged the reconsideration of the round, but recognized that there were major remaining obstacles.<sup>11</sup> The main points of dissention are the agricultural subsidies that the developed countries (specifically the United States and the European Union countries) continue to grant to their farmers. The United