



NORTHEAST NORMAL UNIVERSITY PRESS

WWW.NNEUP.COM

东北师范大学出版社

*STUDY ON TRANSITION FROM
REGIONAL COMPARATIVE TO
COMPETITIVE ADVANTAGE FROM THE
PERSPECTIVE OF FOREIGN
TRADE IN CHINA*

**对外贸易视角下
我国区域比较优势
向竞争优势转化研究**

初大智 著

对外贸易视角下我国 区域比较优势向竞争 优势转化研究

东北师范大学出版社
长 春

图书在版编目 (CIP) 数据

对外贸易视角下我国区域比较优势向竞争优势转化研究 / 初大智著. — 长春: 东北师范大学出版社, 2010. 3

ISBN 978 - 7 - 5602 - 6025 - 9

I. ①对… II. ①初… III. ①对外贸易—研究—中国
IV. ①F752

中国版本图书馆 CIP 数据核字(2010)第 050812 号

责任编辑: 邓江英 封面设计: 李彦彤
责任校对: 刘 芳 责任印制: 张允豪

东北师范大学出版社出版发行
长春净月经济开发区金宝街 118 号 (130117)

销售热线: 0431—85687213

传真: 0431—85691969

网址: <http://www.nenup.com>

电子函件: sdcbs@mail.jl.cn

东北师范大学出版社激光照排中心制版

吉林省吉新月历制版印刷有限公司印装

长吉公路南线 1 公里处 (130031)

2010 年 3 月第 1 版 2010 年 3 月第 1 次印刷

幅面尺寸: 148mm×210mm 印张: 5.375 字数: 200 千

定价: 18.00 元

摘 要

自 20 世纪 90 年代以来，从国际贸易中的比较优势理论视角，研究我国各地区经济发展问题越来越引起学术界的重视，并且取得了众多的研究成果。但是随着研究的深入，我们发现拥有比较优势，并不一定能够持续不断地实现比较利益，获取竞争优势。因此，为了更好地发挥对外贸易作为“经济增长发动机”的作用，从对外贸易的视角研究我国区域比较优势向竞争优势转化问题，就具有重要的理论和实践意义。

本书在界定区域比较优势和竞争优势内涵的基础上，揭示了二者之间的逻辑关联。应用现代演化经济学研究方法，系统地梳理了比较优势的动态演进过程，从综合成本角度统一了贸易的动因，拓展了区域比较优势的内涵，界定了区域竞争优势概念。提出了比较优势与竞争优势并不是两个相互对立的范畴，而是以市场交易为桥梁和纽带，能够实现有机的转化。

在此基础上，系统地阐述了区域比较优势向竞争优势转化的影响因素及其交互作用。影响区域比较优势向竞争优势转化的因素非常复杂，这些因素之间相互联系相互作用，共同构成一个有机的整体。本书从因素确认、功能属性、组织方式、动力因素等方面对影响转化的要素进行了系统的识别和研究，明确了促进转化各要素之间的逻辑关联。

提出交易效率是影响区域比较优势向竞争优势转化的重要因素。

在对交易效率与交易成本进行比较分析的基础上，本书详细分析了区域比较优势向竞争优势转化过程中交易效率因素的重要影响。提出了交易效率概念并分析了其影响因素。在对交易效率指标设计的基础上，采用因素分析法中的主成分分析法对交易效率指标进行了测算，验证了交易效率与区域竞争优势的相关性，由此揭示了区域优势转化过程中市场交易因素的重要影响。

探索性地将区域比较优势向竞争优势转化的一般理论，运用到我国区域经济实践中。结合我国东部和中西部地区比较优势和竞争优势的现实情况，提出通过提高交易效率、改善贸易条件促进欠发达的中西部地区优势转化；通过跨国投资促进发达的东部地区优势转化；通过提高区际交易效率促进区域优势转化；并根据我国东部和中西部地区利用 FDI 的现状，提出了东部和中西部地区利用 FDI 的不同策略选择。

关键词 比较优势；竞争优势；区域；交易效率

Abstract

Since 1990s, more and more attention has been drawn to regional economic development from the theoretical perspective of comparative advantage and a lot of research fruit has been obtained which has positive impact on regional government' decision. While with further investigation, it is found that having comparative advantage does not necessarily realize comparative benefit or possess competitive advantage. In order to more effectively play the role of "trade as regional economic growth engine", the thesis study on the transition from regional comparative to competitive advantage mainly from the perspective of factors identification, functional mechanism and realization approach. The following research has been done:

The definition of both regional comparative and competitive advantage and their logic relation have been given. The thesis systemically sort out the dynamic evolution of comparative advantage and unify trade motive on the basis of comprehensive cost. Also the definition of regional comparative advantage has been broadened and regional competitive advantage has been confirmed.

The thesis put forward that comparative advantage and competitive advantage are not opposite category, they can be mutually transformed through the bridge or tache of market

transaction. Thus the difficulty on how to clearly identify the two definition lying across the study of transition from comparative to competitive advantage has been resolved.

Systemically discuss the impact factors of transition from regional comparative to competitive advantage and their interactive function. There are a lot of factors having impact on the advantages transition, the thesis systemically identify and research the factors from the perspective of factors identification, function and attribution, the mode of organization and motive mechanism. The logic relation among these factors has been clarified.

It is advanced that transaction efficiency is an important factors that have impact on the advantages transition. The thesis analyze the important factors that market transactions's impact on the advantages transition in detail. It also put forward the definition of transaction efficiency and analyze the factors that Abstract have impact on it. The methed of principal components analysis in factor analysis has been applied and the measurement of transaction efficiency has been done. Thus the correlation between transaction efficiciency and regional competitive advantage has been confirmed and the importance of market transaction's impact on the advantages transition has been proved.

Exploratively apply the theory of advantages transition into the regional economic development practice. Combining the realistic fact with China's regional economic development, the thesis put forward that the smooth transition from regional comparative to competitive advantage can be realized through interregional transaction efficiency enhancement, expanding FDI utilization and investment abroad according to different regions' different situation.

Keywords: Comparative Advantage; Competitive Advantage; Region; Transaction Efficiency

目 录

摘 要	1
Abstract	1
第一章 绪 论	1
研究背景及问题提出	1
国内外相关研究现状	3
一 比较优势理论研究现状	3
二 区域竞争优势研究现状	11
三 比较优势向竞争优势转化研究现状	19
四 国内外研究述评	20
研究内容与技术路线	23
一 研究内容	23
二 研究方法与技术路线	25
研究意义	27
第二章 区域比较优势与竞争优势内涵及关联	28
2.1 比较优势理论的演进	28
2.1.1 古典及新古典贸易理论下比较优势的静态性	28
2.1.2 新贸易理论下比较优势的动态性	31
2.2 比较优势理论的进一步拓展	35
2.3 比较优势的特性分析	38

2.4	区域竞争优势概念界定及评价指标	40
2.4.1	区域竞争优势概念界定	40
2.4.2	区域竞争优势评价指标	43
2.5	区域比较优势与竞争优势的联系与区别	45
2.6	本章小结	46
第三章	区域比较优势向竞争优势转化机理	47
3.1	区域比较优势向竞争优势转化影响因素的确认	47
3.2	区域比较优势向竞争优势转化的基础性 因素分析	48
3.2.1	自然资源与劳动力	48
3.2.2	物质资本与人力资本积累	49
3.2.3	技术创新	51
3.2.4	要素的流动对区域优势转化的作用	52
3.3	交易效率在区域优势转化中的作用	55
3.3.1	交易效率的内涵及其与交易成本的比较	55
3.3.2	区域对外贸易中的交易成本	57
3.3.3	交易效率对区域对外贸易的影响	58
3.3.4	影响交易效率的因素及提升交易效率的 方式	62
3.4	制度对区域比较优势向竞争优势转化的作用	69
3.4.1	制度与制度创新的内涵	69
3.4.2	制度促进区域比较优势向竞争优势转化的 动力作用	70
3.5	政府的角色定位及其在区域优势转化中的作用	72
3.5.1	政府的角色定位	72
3.5.2	政府对区域比较优势向竞争优势转化的 作用	74
3.6	区域比较优势向竞争优势转化影响因素交互 作用机理	76

3.7 本章小结	78
第四章 区域竞争优势变动及关键影响因素检验	79
4.1 区域竞争优势变动实证分析	79
4.1.1 数据说明及变量选择	80
4.1.2 指标测算	80
4.1.3 数据结果分析	84
4.2 交易效率的定量测度及其与区域竞争优势 相关性分析	86
4.2.1 交易效率的定量测度	86
4.2.2 交易效率与区域竞争优势的相关性分析	97
4.3 对实证分析结果的讨论	100
4.4 本章小结	101
第五章 我国东部和中西部地区比较优势向竞争优势 转化实现途径	102
5.1 我国东部和中西部地区比较优势与竞争 优势的差异	102
5.1.1 我国东部和中西部地区竞争优势的差异	102
5.1.2 我国东部和中西部地区比较优势的差异	104
5.2 提高交易效率改善贸易条件促进中西部 优势转化	108
5.2.1 贸易条件恶化及其对获取比较利益的 影响	108
5.2.2 提高交易效率改善贸易条件与获得更多 比较利益	111
5.3 提高区际交易效率促进我国东部和中西部 地区优势转化	113
5.3.1 我国区际交易效率较低的原因分析	113
5.3.2 区际交易效率较低对区域竞争优势的影响	116

5.3.3	提高区际交易效率的途径	117
5.4	通过扩大利用外资促进我国东部和中西部地区 优势转化	118
5.4.1	利用外资对我国不同区域优势转化的作用	119
5.4.2	我国东部和中西部地区利用外资的差异	121
5.4.3	我国东部和中西部地区利用外资的 策略选择	123
5.5	通过跨国投资促进我国东部发达地区优势转化	128
5.5.1	跨国投资对东部发达地区优势转化的 作用	128
5.5.2	通过跨国投资促进东部发达地区优势转化的 途径	130
5.6	本章小结	133
结 论		134
参考文献		137
致 谢		151

Contents

Abstract (Chinese)	1
Abstract (English)	1
Chapter 1 Introduction	1
Research Background	1
Domestic and Foreign Overview	3
— Overview on Comparative Advantage	3
二 Overview on Regional Competitive Advantage	11
三 Overview on Transition from Comparative to Competitiveness	19
四 Comprehensive Comment on Domestic and Foreign Research	20
The Main Contents and the Main Research Methods of the Paper	23
— The Main Contents	23
二 The Main Research Methods of the Paper	25
Research Significance	27
Chapter 2 Definitions of Regional Comparative and Competitive Ad- vantage.	28
2.1 Development of Regional Comparative Advantage	28
2.1.1 Comparative Advantage Under Classic & New	

Classic Trade Theory	28
2.1.2 Comparative Advantage Under New Trade Theory	31
2.2 Further Development of Regional Comparative Advantage Theory	35
2.3 Characteristic Analysis of Regional Comparative Advantage	38
2.4 Definitions of Regional Competitive Advantage	40
2.4.1 Definition of Regional Competitive Advantage	40
2.4.2 Assessment Index of Regional Competitive Advantage	43
2.5 Relation and Difference Between Comparative and Competitive Advantage and their Logic Relation	45
2.6 Chapter Summary	46
Chapter 3 Analysis on Transition Mechanism from Regional Compara- tive to Competitive Advantage	47
3.1 Principles of Identifying Impact Factors on Transition from Regional Comparative to Competitive Advantage	47
3.2 The Function of Capital & Technology and Their Agglomeration upon Advantages Transition	48
3.2.1 Natural Resource and Labour	48
3.2.2 Physical and Human Capital Accumulation	49
3.2.3 Technology Innovation	51
3.2.4 Manufacture Elements Flow and Regional Competitive Advantage	52
3.3 Transaction Efficiency on Transition From Regional Compar- ative to Competitive Advantage	55
3.3.1 Comparative Between Transaction Efficiency and Trans-	

action Cost	55
3.3.2 Transaction Efficiency in Foreign Trade	57
3.3.3 Transaction Efficiency' Impact on Transition from Regional Comparative to Competitive Advantage	58
3.3.4 Classification on Main Impact Factors of Transaction Efficiency and Approaches on Transaction Efficiency Advancement	62
3.4 Motive Mechanism on Transition from Regional Comparative to Competitive Advantage	69
3.4.1 Function of Institution on Transition	69
3.4.2 Role of Government on Motivating Transition from Regional Comparative to Competitive Advantage	70
3.5 Interactive Analysis of Impact Factors on Transition from Regional Comparative to Competitive Advantage	72
3.5.1 Phase Classification and its Characteristics of Transition from Regional Comparative to Competitive Advantage	72
3.5.2 Phase Classification of Transition from Regional Comparative to Competitive Advantage	74
3.6 Phase Characteristics of Transition from Regional Comparative to Competitive Advantage	76
3.7 Chapter Summary	78
Chapter 4 Empirical Study on Regional Competitiveness Evolvement and Main Impact Factors Test	79
4.1 Empirical Study on Regional Competitive Advantage in China	79
4.1.1 Data Explanation and Variable Selection	80

4. 1. 2	Indexes Measurement	80
4. 1. 3	Analysis of Data Results	84
4. 2	Transaction Efficiency Measurement and its Correlation Analysis with Regional Competitive Advantage	86
4. 2. 1	Transaction Efficiency Measurement	86
4. 2. 2	Correlation Analysis between Transaction Efficiency and Regional Competitive Advantage	97
4. 3	Discussion and Inspiration	100
4. 4	Chapter Summary	101
Chapter 5	Realization Approach of Transition from East China and Middle & West China's Comparative to Competitive Advantage	102
5. 1	The Difference of East and Middle & West China's Competitive & Comparative Advantage	102
5. 1. 1	The Difference of East and Middle & West China's Competitiveness	102
5. 1. 2	The Difference of East and Middle & West China's Comparative Advantage	104
5. 2	Promote Transaction Efficiency & Improve Trade Terms to Encourage Underdeveloped Regions' Transition from Comparative to Competitive Advantage	108
5. 2. 1	Trade Terms Deterioration and its Impact on Gaining Comparative Benefit	108
5. 2. 2	Transaction Efficiency Advancement & Foreign Trade Improvement to Encourage Transition from Regional Comparative to Competitive Advantage	111
5. 3	Promote Advantages Transition by Enhancing	

Interregional Transaction Efficiency	113
5.3.1 Reason for Lower Interregional Transaction Efficiency in China	113
5.3.2 Lower Interregional Transaction Efficiency's Impact on Regional Competitive Advantage	116
5.3.3 To Obtain More Comparative Benefit by Improving In- terregional Transaction Efficiency	117
5.4 Transition Realization by Expanding FDI Utilization	118
5.4.1 Function of FDI on Transition from Comparative to Competitive Advantage	119
5.4.2 The Difference of FDI Utilization between East and Mid- dle & West China	121
5.4.3 East and Middle & West China's Different FDI Utilization Strategy Selection	123
5.5 Transition Realization by Investment Abroad for Developed Regions	128
5.5.1 Function of Investment Abroad on Developed Regions	128
5.5.2 Approaches of Investment Abroad for Developed Regions to Encourage Advantages Transition	130
5.6 Chapter Summary	133
Conclusion	134
References	137
Acknowledgement	151

第一章 绪 论

研究背景及问题提出

20 世纪 30 年代经济学家罗伯逊首次提出了对外贸易是“经济增长的发动机”的命题。50 年代，诺克斯根据对 19 世纪英国与新移民地区的经济发展原因的分析，进一步补充和发展了这一命题。他认为，19 世纪对外贸易的发展是许多国家和地区经济增长的主要原因。各国和各地区按照比较成本进行对外贸易，不仅获得了静态利益，即在资源总量不增加，生产技术条件没有改进的前提下，通过贸易分工而实现实际福利的增长，并获得了动态利益，即随着对外贸易的发展，通过一系列的动态转换过程，把经济增长传递到区域内各个经济部门，从而带动区域经济的全面增长。改革开放以来，我国沿海地区利用劳动力资源丰裕的优势，大力发展玩具、鞋帽、服装、电子配件等劳动密集型产品的生产和出口，获取比较利益，有力地促进了地区经济快速发展也是鲜明的佐证。

比较优势理论是自由贸易的基石。长期以来，指导着国际和区际分工，从而说明对外贸易的基本理论是传统比较优势理论。在 18、19 世纪，由于那时生产力不发达，生产更多地表现为劳动密集型，市场有效供给不足，拥有比较优势就能够实现比较利益，获取竞争优势。然而进入 20 世纪 90 年代以来，在经济全球化和新经济的浪潮下，生产力高度发展，贸易结构发生重大变化：在一般情况下，发达