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国际援助的贸易和经济增长效应研究：

以发达国家和中国两种援助模式为例

**Trade and Economic Growth Effects of International
Aid: Cases of Two Aid Models of Developed Countries
and China**

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摘要

自千年发展目标提出以来，发达国家提供的国际发展援助越来越多，为全球减贫目标的实现发挥了重要的作用。然而，截至目前，全球仍然有约 10 亿人生活在绝对贫困线以下，而国际发展援助却存在 500 亿美元的巨额缺口。幸运的是，近几年来新兴援助国提供的国际发展援助日益增加，在国际援助舞台上的影响力越来越大。更重要的是，新兴援助国遵循与传统发达国家援助国截然不同的援助模式，这对现有的发达国家主导的国际援助体系构成了极大的挑战。作为新兴援助国的典型代表，中国的国际发展援助及其模式得到越来越多的关注。那么，发达国家和中国的援助模式究竟有什么区别？两种模式的经济效应如何？两者是否都能够促进受援国的贸易和经济增长？如何能够实现优势互补和相互促进？对这些问题的解答不仅能够进一步完善援助经济学理论，而且能够厘清人们对国际发展援助的质疑和误解，关乎国际发展援助效果的改进乃至整个国际援助体系的改革，具有重大的理论意义和现实意义。

援助的经济效应涉及国际援助对一国消费、投资、贸易、经济增长等经济因素的影响，由于数据可得性制约和施受双方地位的不对等等原因，现有文献多侧重于研究国际援助对援助国的经济影响，关于其对受援国经济效应的研究就显得捉襟见肘了。综观已有关于受援国的研究，发现两个重要的问题：其一，援助与经济增长之间的作用机制。国际援助究竟通过哪些途径推动受援国最终的经济增长？现有文献多集中于探讨援助与经济增长之间的直接关系，关于两者之间的具体传导机制则被视为一个“黑箱”，缺乏系统的讨论和检验。其二，国际援助、对外贸易与经济增长之间的相互作用。关于援助、贸易、经济增长三者之间的关系，现有理论主要分析两两之间的关系，即援助→贸易、援助→经济增长、贸易→经济增长，对于三者之间的关系，尤其是国际贸易在援助与经济增长之间的渠道作用则缺乏一个统一的分析框架。

鉴于此，本文旨在从国际贸易渠道，研究国际发展援助对受援国的经济效应，其研究目标主要有两个：其一是考察援助对受援国国际贸易的影响效应，从而检验“促贸援助”的有效性，即援助的直接经济效应；其二是以国际贸易为中间渠道研究不同援助模式的经济增长效果，即援助的最终经济增长效应。为了实现这两个预期目标，在对国内外理论和经验研究进行述评的基础上，本文首先对比分析了发达国家和中国

两种不同援助模式的特征事实；其次，采用理论分析和实证检验方法分别研究发达国家和中国的国际援助对受援国国际贸易(包括贸易成本、贸易总额、出口多样化三方面)的影响，以此检验“促贸援助”的可行性；之后，研究发达国家和中国的国际援助对受援国最终的经济增长的影响，并检验国际贸易作为中间渠道的效应；最后，根据理论和实证的研究结论，结合发达国家和中国的实际情况，对中外国际援助模式及其改革提出建议。

具体内容，本文一共分 8 个章节进行详细论述。第 1 章为导论，引入全文，交代了本文选题的背景和意义，研究思路、基本框架与研究方法、可能的创新点和不足之处。第 2 章为文献综述，首先对国际发展援助的相关概念予以界定，确定本文的研究对象。在此基础上，本章从三个方面进行文献梳理，并进行了评论和总结。一是，援助对经济增长的直接影响；二是，援助对经济增长的四个作用机制，即从援助→家庭消费→经济增长、援助→资本积累→经济增长、援助→公共支出→经济增长、援助→贸易→经济增长四条途径来展开梳理；最后是援助的条件有效性。由于本文侧重于从贸易渠道研究援助的经济效应，因此在文献梳理时尤其详细地分析和评述了援助与国际贸易之间关系的研究现状，包括援助与贸易成本、援助与出口总额、援助与出口多样化三个层面。第 3 章对发达国家和中国两种不同的援助模式进行分析，归纳出两种模式的核心特征，具体内容涉及援助理念、援助渠道、援助部门、援助方式等等。第 4~7 章，是本文的核心部分，前两章分别为发达国家和中国的国际援助模式的贸易促进效应研究，后两章研究援助的经济增长效应，以及国际贸易在其中的渠道作用，发达国家和中国分别展开，后两章为前两章的进一步扩展和落脚点。具体而言，第 4 章探讨发达国家国际援助对受援国的国际贸易的影响，包括贸易成本、出口总额、出口多样化三个方面。其中，第一节研究发达国家的国际援助对受援国贸易成本的削减效应，首先构建了贸易成本函数探讨了援助影响贸易成本的理论机制并提出理论假说，之后采用 67 个受援国 2002~2011 年的面板数据定量研究两者之间的关系。第二节研究援助对受援国出口总额的促进效应，首先构建一个考虑了双边贸易成本的理论模型，并引入第一节探讨的“冰山型贸易成本”，以得到出口总额与援助之间的关系式；在理论分析的基础上，采用 67 个受援国 2002~2011 年的面板数据进行实证研究，同时会考虑潜在的“门槛效应”，即最优援助额的问题。第三节研究援助对受援国出

口多样化的影响效应,分析思路与前两节类似,即首先定性分析两者之间的理论机制并提出理论假说,之后进行实证检验。第5章研究中国的国际援助对受援国国际贸易的影响,结构和方法与第4章大致相同,主要是利用计量模型分别检验中国的援助对受援国的贸易成本、出口总额以及出口多样化的影响效应;而且,最后一节将中国与发达国家国际援助的贸易效应的差异性及其原因进行了对比分析。考虑到数据可得性,选取非洲地区受援国作为研究样本。总体来讲,第4~5章主要是为了验证“‘促贸易援助’无论是在发达国家还是在中国都是有效的”这一假设。第6章和第7章分别是第4章和第5章的落脚点,研究以国际贸易为中间渠道的援助能否最终促进受援国的经济增长,发达国家和中国分别研究。其中,第6章第一节在援助与贸易完全替代的假设下,采用直接引入法实证考察了发达国家的国际援助对受援国经济增长的影响效应以及国际贸易在其中发挥的渠道作用;第二节则在援助与贸易不完全替代的假设条件下,首先基于一个包括物质资本和人力资本的内生增长模型,分析了援助、贸易与经济增长三者之间的传导机制,继而采用两步回归法实证检验了发达国家的国际援助对受援国经济增长的影响以及国际贸易的渠道作用。第7章采用基本相同的方法检验了中国国际援助的经济增长效应以及对外贸易在其中的传导作用,并对两种援助模式经济增长效应的差别进行了探讨。第8章,是对全文进行总结,归纳主要的研究结论,得到相应的政策启示,并指出进一步研究的方向。

通过理论和经验分析,本文得到的研究结论主要有:

(1)援助与贸易成本。发达国家的国际援助可以明显降低受援国的出口成本和进口成本,但对进口成本的影响效应小于出口成本且其项下不同类别的援助对不同收入水平受援国的影响不同;中国的国际援助可以显著降低受援国的出口和进口成本,但其对进口成本的影响效应略大于出口成本。

(2)援助与出口总额。发达国家的总援助、生产部门援助、经济基础设施援助均可以显著增加受援国的出口总额,且只有经济基础设施援助对出口总额的影响存在“U”型“门槛效应”,不同类别的援助对不同收入水平国家出口总额的影响存在很大差异;中国的国际援助能够显著增加受援国对中国的出口总额,但其影响存在倒“U”型“门槛效应”。

(3)援助与出口多样化。发达国家的援助总额和生产部门援助的增加都能够提高

明显受援国的出口多样化水平，但只有生产部门援助对出口多样化的影响存在倒“U”型“门槛效应”，经济基础设施援助对受援国的出口多样化没有显著影响；中国的国际援助会显著降低受援国的出口多样化水平；受援国的经济发展水平与出口多样化之间呈现明显的倒“U”型态势。

(4)援助与经济增长。发达国家和中国的国际发展援助都能够显著促进受援国的经济增长，而且，中国的国际援助对受援国经济增长的影响存在倒“U”型“门槛效应”，发达国家则不存在该效应。发达国家和中国的国际援助对受援国经济增长的促进作用均是通过出口渠道来实现的，而不通过出口渠道的那部分援助则会阻碍受援国的经济增长。

根据上述结论，本文认为，为了进一步提高国际发展援助的有效性，援助国应该继续增加国际援助，特别是“促贸援助”，尽早满足其国际承诺；国际援助应坚持区别对待，针对不同受援国的具体国情决定援助数额、方式等；援助国需要加强协调与合作，取长补短、相互促进，共同促进受援国的经济增长和减贫等等。

关键词：援助；贸易；经济增长

Abstract

Developed countries have been providing more and more international development assistance since the Millennium Development Goals (MDGs), contributing a lot to the realization of global poverty reduction goals. However, there are still 1 billion people living under absolute poverty line all over the world until now, while there is still 50 billion dollars gap of international development assistance. Fortunately, emerging donors are providing more and more aid in recent years, playing larger and larger role in international aid stage. More importantly, these emerging countries follow so different aid models from traditional developed countries that it poses a great challenge to existing international aid system dominated by developed countries. As a typical example of emerging countries, China's international aid and its aid model is getting more and more concern. So, what is the difference between these two aid models? What is the economic effect of them? Whether they both can promote the trade development and economic growth of recipients or not? How do they complement and promote each other? The answers to these questions can both improve the theory of aid economics further, and clarify people's question and misunderstanding to international development assistance, which matters the improvement of aid effect and even reform of the whole international aid system, hence has great theoretical and practical meanings.

Economic effect of international aid refers to the influence of aid on economic factors such as consumption, investment, foreign trade and economic growth of one country. Existing literature mostly focus on the economic effect on donors owe to data shortage and unequal status, while rarely on recipients. After going through existing literature, there are two important issues found: the first one is about the mechanism between aid and economic growth. What are channels for aid to promote final economic growth? Existing literature mainly focus on discussing the direct relationship between aid and economic growth, but the specific transmitting mechanism between these two are regarded as a "black box" without systematic discussion and examination. The second one is about effects among aid, trade and economic growth. As for relationship among these three, existing literature

mainly analyze the relationship between any two of them, that is, aid→trade, aid→economic growth, trade→economic growth; there lacks of a united analytic framework as to the relationship among these three, especially the channel role of foreign aid between aid and economic growth.

Hence, this thesis aims to study the economic effects of international development assistance on recipients from the perspective of foreign trade. It has two targets: one is that studies the effect of aid on foreign trade so as to test effectiveness of “Aid for Trade”, that is the direct economic effect of aid; one is that studies the economic growth effect of different aid models with international trade as the breakthrough point, that is the final economic growth effect of aid. To achieve these two expecting goals, after reviewing theoretical and empirical literature at home and abroad, the thesis first comparatively analyses the characteristics of the two different aid models; then theoretically and empirically studies impacts of international aid of developed countries and China on foreign trade (including trade cost, trade volume and trade diversification) respectively, so as to test the feasibility of “Aid for Trade”; after that, studies effect of developed countries’ and Chinese aid on final economic growth of recipients and tests the intermediate role of foreign trade; finally, puts forward suggestions on Chinese and developed countries’ aid and their reforms according to conclusions and combining with realities of developed countries and China.

This dissertation is divided into eight chapters in detail. Chapter 1 is introduction, which states the background and significance of the topic, research ideas, framework and methods, as well as the innovation and inadequacies of the text. Chapter 2 is the literature review, which briefly defines relevant conception of international development assistance so as to define research objects. Then, it reviews and combs the relevant important literature from three sections. First section is direct influence of aid on economic growth; second section is four transmission channels from aid to economic growth, saying aid→consumption→growth, aid→investment→growth, aid→public expenditure→growth, aid→trade→growth; final section is aid conditionality. As this thesis focuses on studying

economic effects of aid from trade channel, it especially summaries and combs literature on relationship between aid and trade, including such three parts as aid and trade cost, aid and export volume, aid and export diversification. Chapter 3 analyzes aid models of developed countries and China and summaries core characteristics of two models, concerning about aid idea, aid channel, aid sector and aid modality, etc. Chapters 4~7 are the core parts of this dissertation, whose first two chapters study trade effects of aid from developed countries and China respectively, and second two chapters analyze economic growth effects of two aid models and the channel role of international trade; the latter two are the extension and foothold of the former two. In specific, Chapter 4 discusses trade effect including trade cost, export volume and export diversification of aid from developed countries. First segment studies trade cost reduction effect of aid from developed countries, which first builds a trade cost function to discuss theoretical mechanisms of aid on trade cost and puts forward some hypotheses, and then conducts an empirical study by using 67 recipients' panel data from 2002 to 2011 to test the relationship between these two. Second segment studies export volume effect of aid, which first constructs a theoretical model with trade cost, and introduces into "iceberg trade cost" in the first segment to get the relationship between export volume and aid. After the theoretical analysis, this segment conducts an empirical study by using 67 recipients' panel data from 2002 to 2011. Meanwhile, I will consider the potential "threshold effect", namely, optimal aid amount. Third segment investigates effect of aid on recipients' export diversification, whose idea is similar to the first two segments, that is, first qualitatively analyzes theoretical mechanisms of aid and export diversification, puts forward some hypotheses, and then conducts empirical test. Chapter 5 studies the effects of Chinese aid on recipients' trade with similar structure and method to Chapter 4, which mainly tests effects of Chinese aid on recipients' trade cost, export volume and export diversification; furthermore, the last segment relatively analyzes differences of trade effects between these two models and related reasons. This chapter chooses recipients in Africa as research sample because of aid availability. Overall, Chapter 4~5 are mainly to test the assumption "aid for trade' both

from developed countries and China are effective”. Chapter 6 and 7 are the footholds of Chapter 4 and 5 respectively, studying whether international aid through foreign trade channel can enhance recipients’ economic growth or not from perspective of developed countries and China respectively. Whereby, first segment in Chapter 6 empirically investigates influence of developed countries’ aid on recipients’ economic growth and the channel role of foreign trade between them using direct introduction method under the perfect substitution condition of aid and trade. Under the imperfect substitution condition of aid and trade, second segment in Chapter 6 first analyzes transmission mechanisms among aid, trade and economic growth based on an endogenous growth model involving physical capital and human capital; then empirically tests economic growth effect of developed countries’ aid and trade channel with two-stage regression method. Chapter 7 studies economic growth effect and trade channel of Chinese aid using the similar method and discusses differences of economic growth effects between these two models. Chapter 8 summarizes this dissertation, which consists of the main conclusions, policy implications and the further research directions.

After theoretical and empirical analysis, the major results can be concluded as follows:

(1)aid and trade cost. International aid from developed countries can significantly reduce recipients’ export cost and import cost, but the effect on import cost is weaker than that is for export cost and different categories have different influences on different income level recipients; Chinese aid can also significantly reduce recipients’ export cost and import cost, but the effect on import cost is greater than that is for export cost .

(2)aid and export volume. Developed countries’ overall aid, aid for production sector and aid for economic infrastructure all can increase recipients’ export, but only aid for economic infrastructure has a U-shaped “threshold effect” on recipients’ export, and different categories of aid have different effects on export of recipients with different income levels; Chinese aid can increase recipients’ exports to China remarkably with a inverted U-shaped “threshold effect”.

(3)aid and export diversification. Developed countries’ overall aid and aid for production

sector can enhance recipients' export diversification, and only aid for production sector presents an inverted U-shaped "threshold effect" on export diversification, while aid for economic infrastructure does not have significant effect on recipients' export diversification; Chinese aid may lower the level of recipients' export diversification; recipient' income and their export diversification have an significant inverted U-shaped "threshold effect".

(4) aid and economic growth. Aid both from developed countries and from China can significantly enhance recipients' economic growth, and Chinese aid has an inverted U-shaped "threshold effect" on recipients' economic growth, while it is not true for developed countries' aid. Both the positive effects are realized through export channel, however, aid not through export channel will hinder recipients' economic growth.

Based on conclusions mentioned above, to further improve the effectiveness of international development assistance, donors should further increase aid, especially "aid for trade" to meet their international commitments as soon as possible; when providing foreign aid, donors should treat differently and determine aid amount and modality according to different national situations; donors need to strengthen coordination and cooperation, complement and promote each other to promote recipients' economic growth and poverty reduction together, etc.

Key Words: Aid; Trade; Economic Growth

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