

注释

综述

- 1 Atsmon等 (2012)。
- 2 Samake和Yang (2011)。
- 3 人口红利被认为是当劳动年龄人口比例增加时带来额外经济增长的“机会之窗”。随着在人口转变过程中生育率的下降，儿童数量将减少，而同时劳动人口的比例将增加，从而导致抚养比率在一开始出现下降。一个国家的抚养人口比例下降会导致其生产能力增加，并因此令该国受益。但随着生育率继续下降和退休工人的比例增加，抚养比率将最终提高。

引言

- 1 根据世界银行 (2012a) 统计的2009年GDP平均增长率，高收入的经济合作与发展组织 (OECD) 成员国在2009年的增长率为-3.9%。相比之下，东亚和太平洋地区为7.5%、南亚地区为7.4%、中东和北非地区为3.6%、撒哈拉以南非洲地区为2.1%。
- 2 根据Maddison (2010) 的估算结果。英国的人均GDP从1700年的\$1250增加到1850年的\$2330 (单位为国际美元) 美国的人均GDP从1820年的\$1257增加到1870年的\$2445。
- 3 Atsmon等 (2012)。
- 4 除了在世界银行和国际货币基金组织担任具有投票权的职务和高级职务的人越来越多外，近些年来，来自南方国家的人员还开始在世界贸易组织、世界知识产权组织、国际劳工组织和世界卫生组织担任领导职务。
- 5 Chen和Ravallion (2012)，以每天\$1.25美元为贫困线。
- 6 例如，1990年乌干达的人类发展指数为0.306，与冈比亚、中非共和国和贝宁相当。到2012年，乌干达的人类发展指数已上升到0.456，与同类国家相比进步显著 (在统计学意义上已达到95%的水平)，在此期间，贝宁的人类发展指数从0.314上升到0.436，中非共和国从0.312上升到0.352，冈比亚从0.323上升到0.439。

- 7 就购买力平价而言，采用人类发展报告的GDP和GNI标准计算方法。
- 8 在对巴西、中国和印度三个国家与其他7国集团成员的长期历史数据进行对比时未将日本包括在内，因为日本在19世纪末期并未实现工业化，直到20世纪下半叶才成为世界上一个主要经济强国。
- 9 以当前美元计。
- 10 日平均生活费低于1.25美元 (2005年购买力平价) 的人口比例，根据世界银行 (2012a) 的统计数据。
- 11 2002到2011年的估计数据。
- 12 采用的指标 (预期寿命和平均受教育年限) 均具有上限，且发展中国家最终往往会到达该上限。而收入则没有上限。
- 13 人类发展报告研究处根据布鲁金斯学会的数据 (2012) 计算得出。中产阶级包括每人每天的收入或支出介于\$10和\$100之间的人 (2005年购买力平价美元)。
- 14 Dobbs等 (2012)，Ali和Dadush (2012)，如果以拥有汽车作为中产阶级的标志，则在20国集团的发展中国家中将有6亿人为中产阶级，这比之前Milanovic和Yitzhaki (2002) 的估算数据要高约50%，Milanovic和Yitzhaki将日均收入介于\$10和\$50 (购买力平价美元) 之间的人口算作中产阶级。
- 15 联合国开发计划署 (2009)；世界银行 (2010a)。
- 16 联合国贸易和发展会议 (2010)
- 17 Zuckerberg (2012)。
- 18 Estevadeordal, Frantz和Taylor (2003)；贸易占GDP的比例为货物和服务的进出口总额除以总产值。
- 19 该比例为2006年到2010年的五年平均值，来自世界银行 (2012a)。
- 20 Hamdani: (2013)。
- 21 Heilmann (2008)。
- 22 联合国 (2012a)。
- 23 联合国 (2012a)。
- 24 根据Kharas、Makino和Jung等 (2011) 提供的2005到2008年的数据，并对之后年份进行推算。

第一章

- 1 此处采用票面值计算。如采用购买力平价计算，则该比例约为46%。
- 2 国际货币基金组织 (2011b)。
- 3 Iley和Lewis (2011)；也可参阅国际货币基金组织 (2011b)。
- 4 人类发展报告研究处根据来自经济合作与发展组织关于社会保障方面一般性政府支出的计算结果表明，2007到2010年间，澳大利亚、奥地利、丹麦和挪威等工业化国家在社会保障方面的政府支出有所增加。
- 5 对于一些面临高额债务的国家 (如希腊、意大利和日本) 而言，次贷危机迅速上升为主权债务危机，因此使这些国家必须立刻进行财政整顿。Holland和Portes (2012) 表示，在正常时期财政整顿可降低债务占国内生产总值的比重，但在目前欧盟各国的形势下，则可能导致在2013年，除爱尔兰以外该地区其他国家债务占国内生产总值的比重增加。
- 6 Guajardo、Leigh和Pescatori (2011)。
- 7 国际劳工组织 (ILO) (2012)。
- 8 Sen (2012)。
- 9 Keynes (1937)。
- 10 国际劳工组织 (2012)。
- 11 本次危机期间采取的一些应对措施 (如财政整顿和宽松货币政策) 因作用有限、次生效应和临时性质而受到指责。应对措施导致一些国家经济萎缩，另一些国家在关键货币市场的短期利率几乎为零。这些政策可能导致新的资产泡沫形成和将通胀压力转移到南方国家。详细内容请参见Naqvi和Acharya的著作 (2012，11-12页)。
- 12 国际货币基金组织 (2011b，29页) 指出“就购买力平价而言，新兴国家和发展中国家约占全球经济增长总产出的一半左右，全球经济增长总量的三分之二左右。”此外还指出，尽管新兴国家和发展中国家的消费总额 (用不变价值美元表示的消费额，而非用购买力平价表示的国内生产总值) 不能弥补发达国家消费额的下降，但当与美国 (或欧洲) 的消费总额加在一

- 起时，则足以平衡发达国家的消费下降。
- 13 人类发展报告研究处的计算结果表明，许多国情各不相同的国家 (如中国和美国) 均享受到了卫生和教育领域投资带来的长远利益 (详情请参见第3章)。
- 14 塞舌尔 (\$22,615) 和刚果民主共和国 (\$319) 的人均国民总收入之比。
- 15 人类发展报告研究处根据Burd-Sharp和Lewis (2010) 的计算结果。
- 16 这些差距相当于墨西哥 (0.78) 或厄瓜多尔 (0.72) 与尼日利亚、塞内加尔或毛里塔尼亚 (0.47) 之间的人类发展指数水平差距。注意，不能直接对地方人类发展指数和国家人类发展指数进行比较，因为前者包含的指标不同，并且来自不同年份。
- 17 该差距相当于比利时 (0.90) 和洪都拉斯或基里巴斯 (0.63) 之间的人类发展指数水平差距。
- 18 基于一组平衡面板比较数据，数据来自世界银行 (2012a)
- 19 由于收入是一个流量变数，而教育和健康成果则是存量变数，因此有时候当某国 (如津巴布韦) 在取得发展成就的同时收入却在短期内下降时，人均国民总收入位次和人类发展指数位次之间也会出现正差。
- 20 联合国 (2012a)。
- 21 世界银行 (2012a)。
- 22 联合国与残疾人 (2012)。
- 23 Sen (2007b)。
- 24 Smith (1776)。
- 25 联合国开发计划署 (2011a)。
- 26 2002到2011年间的估算数据。
- 27 世界银行 (2012b)。
- 28 例如Wilkinson和Pickett (2009)。
- 29 人类发展指数各组成部分的不平等用阿特金森 (Atkinson) 不平等指数来衡量，该指数将各组别内收入分配的不平等情况考虑在内。此外，该指数更关注低端收入人群，因此在说明儿童死亡率、识字率和收入贫困等问题时比基尼系数效果更好。
- 30 OECD (2011b) 的研究表明，在经济合作与发展组织的各成员国内，提供教育、医疗卫生服务和令人

- 满意的生活标准具有重要的直接和间接再分配效应，尤其是对于濒临贫困边缘的人群而言。在一系列公共服务中，教育和医疗卫生服务对缓解不平等现象的作用最大。
- 31 Anand和Segal (2008)。
- 32 Sala-i-Martin (2006)。他用人口加权后的人均国内生产总值计算出国家层面的平均收入分配情况，并通过微观调查得到每个国家平均值的离差。在估算出各个国家和年份的收入分配情况后，他将所有国家的分配情况综合起来，从而得到全球收入分配情况。
- 33 Milanovic (2009)。
- 34 Bourguignon和Morrisson (2002)。
- 35 印度最高法院近期通过了一项政府命令，要求私立学校将其四分之一的入学名额提供给贫困儿童，该举措可显著缓解贫富差距对受教育机会的影响。
- 36 基于可获得性别不平等指数的78个国家的数据库。
- 37 中国 (1.18)、阿塞拜疆 (1.15)、亚美尼亚 (1.14)、格鲁吉亚 (1.11)、韩国 (1.10)、所罗门群岛 (1.09)、印度 (1.08)、前马其顿社会主义共和国 (1.08)、黑山共和国 (1.08)、巴布亚新几内亚 (1.08)、萨摩亚 (1.08)、塞尔维亚 (1.08) 和苏里南 (1.08)。
- 38 这里的嫁妆指结婚时女方家庭提供给男方家庭的现金和礼物。尽管许多国家都存在涉及少量或一般数量的礼物的嫁妆习俗，但在如印度等其他一些国家，结婚时新娘的家庭可能需提供大量嫁妆。
- 39 例如，1961年《禁止嫁妆法》规定：在印度陪送或收取嫁妆为非法行为。但在现实生活中，收送嫁妆的做法却仍在继续，并成为妇女堕胎和新娘因嫁妆而死亡等偶发事件的根源。
- 40 Cleland (2002)，Dreze和Murthi (1999)，Martin和Juarez (1995)。
- 41 Elson (2002)。
- 42 Fukuda-Parr (2003)。
- 43 如1994年人类发展报告所述，尽管在文明社会，每个人的基本生活最低收入都应得到保障，但生活普遍性原则倡导的却是机会平等，而非收入平等。
- 44 联合国开发计划署(1994，第18页)。
- 45 Rockström等 (2009，第32页)。
- 46 联合国秘书长全球可持续发展高级别小组 (2012)。
- 47 环球足迹网络 (2011)。
- 48 生态足迹是衡量人类对自然资源及生态需求的一种方法。衡量一个国家从自然界可获得的能满足人类生产生活需要的土地面积和水源面积。它包括生产的面积、消费的资源、日常所需的房屋和道路的空间、消化所产生的废弃物如二氧化碳的生态系统等等。(全球足迹网络2011)。
- 49 Blanden等 (2005)；Wilkinson和Pickett (2012)。
- 50 联合国开发计划署 (2010b)。
- 51 Bourguignon、Ferreira和Menéndez (2007)。
- 52 De Hoyos、Martinez de la Calle和Szekely (2009)。
- 53 Ivanov等 (2003和2006)。
- 54 联合国开发计划署 (1994)。
- 55 Rosenfeld、Messner和Baumer (2001) 假设：作为社会融合的核心要素，公民参与和信任程度与强大的社会组织有关，因此可作为暴力犯罪率的衡量指标。
- 56 联合国开发计划署 (2012)。
- 57 数据为2005至2012年间可获得的数据。《杀人犯罪补充报告》(Supplementary Homicide Reports) 中的一些错误、各个国家层面报告体系的不一和其他一些问题使杀人犯罪率数据的准确性受到一定影响。
- 58 Sen (2008，第106页)。
- 59 所有印度城市的平均谋杀犯罪率为2.7 (每10万人)，德里为2.9。相比之下，伦敦为2.4，纽约为5.0，洛杉矶为8.8，约翰内斯堡为21.5，圣保罗为24.0，里约热内卢为惊人的34.9。
- 60 英国副首相办公室，社会排斥专责组 (2002)。许多犯人在生活的各个方面均遭到社会排斥。在所有罪犯中，儿童、失业人员、家庭成员中有人被判刑的人和HIV检测呈阳性的人分别为普通人的13倍、13倍、2.5倍和15倍。
- 61 许多犯人均被严重排斥在社会服务之外。据估计，约有50%的犯人在被监禁以前没有自己的医师；在所有犯人中，被学校拒绝的犯人为普通人的20多倍；至少有一个以上案例研究表明，尽管有70%的入狱犯人都曾遇到过滥用药物问题，但他们中却有80%从未接受过任何药物治疗 (英国副首相办公室2002)。
- 62 Pinker (2011)；系统和平中心 (2012)。
- 63 Branczik (2004)。
- 64 Dahal等 (2003)。
- 65 Iyer (2009)。
- 66 由于许多参与国内冲突的均为非政府行为方，因此没有关于其武器开支的官方记录。关于军费开支的数据仅指政府开支，不包括非政府行为方的开支。
- 67 Bird (1981)。
- 68 Green (2010)。
- 69 Justino (2008)。
- 70 联合国开发计划署UNDP (1991，第37页)。
- ## 第2章
- 在16亿多维贫困人口中，四分之一生活在南方的中等收入国家。
 - 人类发展报告研究处根据联合国统计司 (2012) 的数据计算得出。
 - 互联网相关数据来自世界银行 (2012a)；旅游方面的统计数据来自世界旅游组织 (2011)。
 - Estevadeordal, Frantz 和 Taylor (2003)。
 - 世界银行 (2012a)。这些比率均基于总值，并非出口和进口的附加值。目前尚未得到关于后者 (附加值) 的全球可比数据。世界贸易组织正在进行一项名为“世界制造” (“Made in the World”) 的倡议，以测量和分析附加值。
 - 该数据源自一组包括127个发展中国家的平衡面板数据。根据人类发展报告研究处计算，当对贸易总额占国内生产总值的比重进行调整，使之仅包括与南方国家的贸易时，在144个国家中，有141个 (拥有全球数据的国家) 在1990-1991年和2010-2011年与南方国家的贸易额均有所增加 (多米尼加、马尔代夫和图瓦卢3个小国例外)；相比之下，有92个国家在同一时期与北方国家的贸易额有所减少。
 - 世界银行 (2008b)。与普遍看法相反，自20世纪70年代以来，航空和海上运输的实际费用变化并不大，但国际运输市场重量价值比的减小和航空运输的日益增多却使如时装、加工食品和电子产品等一些时效性较强的货物的运输受惠。
 - 人类发展报告研究处根据联合国统计司 (2012) 的数据计算得出。
 - 世界银行 (2012a)。
 - 8个发展中国家分别是阿根廷、巴西、中国、印度、印度尼西亚、墨西哥、南非和土耳其。但最不发达国家仅增加了8倍左右，从不到200亿美元增加到1500亿美元。
 - 服务出口被算作商品出口，撒哈拉以南非洲地区和印度的人均出口收入差距从221美元缩小到130美元。较小国家往往比那些较大国家 (如国内贸易额很高的印度) 在国际贸易中的参与程度更高。此外，非洲国家的出口主要为商品，这些商品的价格在21世纪前10年有所增加。
 - 基于2011年名义价值的估算数据，并进行了调整，以使其与1996年的价值具有可比性。
 - 将燃料、金属和矿石的贸易额从贸易总额中除去，南南贸易在世界贸易总额中所占的份额从1980年的6.3%增加到2011年的26.1%。北北贸易则从1980年的50.6%下降到2011年的31.4%。
 - 随着零部件出口的增加，将商品分为高科技或低科技的传统分类方法意义已经不大。
 - Romero (2012)。
 - AfDB等 (2011)。
 - Gupta和Wang (2012)。
 - Hook和Clark (2012)。
 - 本段中与旅游业相关的统计数据来自联合国世界旅游组织 (2011)。
 - 基于联合国贸易和发展会议的数据。发展中经济体类别包括中国香港 (特别行政区)、大韩民国、新加坡和中国台湾省，但不包括独立国家联邦，这些国家在1990-1991年和2009-2010分别占到全部流入外国直接投资的5.3%和8%。
 - 联合国贸易和发展会议 (2011d)。
 - 此外，南方国家之间的外国直接投资较少受到投资国和接受投资国机构能力差距的影响。雇佣当地工人和减少间接费用还可能增加南方国家之间的外国直接投资抵御当地危机的能力。由于投资和选择投资领域的动机往往不同，因此，南方国家之间的外国直接投资不一定能取代北方国家对南方国家的直接投资；甚至可借此吸引更多北方投资。Bera和Gupta (2009)；Aleksynska和Havrylychuk (2011)。
 - 该数字为2010年的数字，且包括中国香港 (特别行政区)。

24 本段中所引用的例证来源于Hamdani (2013)。

25 Blinder (2006)。

26 联合国工业发展组织(UNIDO)(2009)。

27 联合国开发计划署 (2009); 世界银行 (2010a)。

28 人类发展报告研究处的该计算结果基于世界银行 (2010a) 的双边移民数据。

29 Ratha和Shaw (2007)。

30 据世界银行 (2006) 解释, 南方国家相互之间的汇款额取决于在分配各个国家收到的汇款额时采用的解释变量。当只采用移民存量一个变量时, 该比例较高 (30%), 当采用移民存量和汇出国与汇入国的平均收入两个变量时, 该比例较低 (18%)。最高值45%是将沙特阿拉伯算作发展中国家时得到的。

31 Felbermayr和Jung (2009), Kugler and Rapoport (2011)。

32 Foley 和 Kerr (2011)。

33 《经济学人》(2011a) 及其引用著作。

34 人类发展报告研究处根据来自世界银行 (2012a) 和国际电信联盟 (2012) 的144个国家的数据计算得出。

35 www.socialbakers.com, 于2012年4月26日得到。Zuckerberg最近 (2012年) 更新的数据为: Facebook目前每月约有10亿活跃用户, 其中用户最多的国家为巴西、印度、墨西哥和美国。

36 劳动力包括在业人员和目前正在积极寻找工作的失业人员。

37 Fu (2008)。

38 当把发达国家从样本中剔除时, 相关关系仍很明显, 但相关系数却从0.66下降到0.48。

39 来自中国的直接投资对如安哥拉、刚果民主共和国、尼日尔、尼日利亚、苏丹和赞比亚等资源丰富的国家的年经济增长率的贡献率请参见Whalley and Weisbrod (2011)。根据联合国贸易和发展会议 (2011a) 的数据, 流入这6个国家的外国直接投资平均值将近翻了两番, 从1990-2000年间的24亿美元增加到2001-2011年间的90亿美元。

40 Jones和Kierzkowski (2001)。

41 Vos (2010)。

42 国际货币基金组织 (2011a)。

43 Samake和Yang (2011)。

44 Whalley和Weisbrod (2011)。

45 Hazard等(2009); Kamau、McCormick和Pinaud (2009); Kaplinsky (2008)。

46 肯尼亚的情况详见Kamau、McCormick和Pinaud的著作 (2009); Kaplinsky和Morris (2009)。

47 Jenkins 和 Barbosa (2012)。

48 国际贸易和可持续发展中心 (2011)。

49 Davies (2011)。

50 Bräutigam (2009)。

51 Sonobe、Akoten和Otsuka (2009)。

52 Bräutigam (2009)。

53 联合国 (2012a)。

54 Moyo (2012)。

55 根据Hiemstra-van der Horst (2011) 提供的数据, 中国目前占到世界家具市场的三分之一。

56 Kaplinsky、Terheggen和Tijaja (2011)。

57 联合国 (2012a)。

58 数据来自麦肯锡全球研究所 (McKinsey Global Institute)(2012a); 调查发现, 朋友和家人对产品所做的积极推荐对消费者的影响在埃及比在美国或英国大三倍。

59 人类发展报告研究处根据布鲁金斯学会 (Brookings Institution) 的数据 (2012) 计算得出。

60 麦肯锡全球研究所 (2012a)。

61 世界银行 (2012a)。

62 2008年, 南南援助总额为153亿美元, 约占全部援助额的10% (联合国经济和社会事务部, 2010)。

63 基于Kharas、Makino和Jung (2011) 提供的2005到2008年的数据, 并对之后几年进行了外推。

64 Kragelund (2013)。

65 联合国 (2012a)。

66 其广泛的技术援助计划还包括: 在非洲的卫生和教育研究所与印度同类研究所之间建立宽带连接, 以及每年派约1600名非洲青年前往印度学习 (联合国, 2012a)。

67 联合国 (2012a)。

68 一些较大的发展中国家在印度的发展援助项目已有很长或较长历史。例如, 印度的技术和经济合作项目 (Technical and Economic Cooperation Programme) 启动于1964年。巴西合作机构 (Brazilian Cooperation Agency) 建立于1987年。而中国与非洲国家的合作历史则更久远, 该合作目前采用创建于2000年的中非合作论坛 (Forum on China-Africa Cooperation) 这一正规机制 (Kragelund 2013)。

69 Bremmer (2012)。

70 世界银行 (2010c)。

71 根据来自联合国 (2012a) 的数据, 这些银行和基金包括伊斯兰开发银行 (Islamic Development Bank)、科威特阿拉伯经济发展基金 (Kuwait Fund for Arab Economic Development)、阿拉伯经济和社会发展基金 (Arab Fund for Economic and Social Development)、阿拉伯非洲经济发展银行 (Arab Bank for Economic Development in Africa)、沙特发展基金 (Saudi Fund for Development) 和阿布扎比发展基金 (Abu Dhabi Fund for Development)。

72 这些区域机构常常从布雷顿森林体系中得到政策启示。无论亚洲开发银行还是美洲开发银行, 在其现行章程下, 均可以以任何一种方式对其所有权结构做出重大改变。但美国拥有对资本基础所做的变化的否决权, 因此限制了这两家机构的政策空间。例如, 如果亚洲开发银行希望重组为一家完全属于亚洲的拥有自己制定政策的灵活选择权的机构, 则需通过赋予中国、印度和韩国等国更大出资比例和更多投票权的形式重组其所有权结构 (Sobhan, 2013)。

73 Mwase和Yang (2012)。

74 Zuzana和Ndikumana (即将出版)。

75 如果将南南贸易关税降低到北南贸易水平, 则发展中国家的利润将增加590亿美元左右 (经济合作与发展组织, 2010)。

76 Gabel (2013)。

77 Gabel (2013)。

78 机会成本指将这些资源用作其他用途时可收获的效益, 参见Rodrik (2006) 和国际货币基金组织 (2011b) 的相关资料。

79 中国目前的投票权股票份额排名第五, 但根据一份理事会在2010年达成的协议, 在该协议执行后, 中国将成为第三大投票权股东 (国际货币基金组织, 2010b)。

80 世界银行 (2010e)。

81 Hansen (2010)。

82 联合国开发计划署 (2009)。

83 Leape (2012)。

84 Romero和Broder (2012)。

85 Keohane和Victor (2010)。

86 Li (2010); Bradsher (2010)。

87 REN21 (2012)。

88 Jacob (2012); 例如, 目前一些基础设施领域的中国企业正在非洲扩大非洲国家对重型机械和其他资本进口的需求。

89 Akyuz (2012) 认为, 大国应改变发展路线。在21世纪前10年, 一些发达经济体不可持续的消费模式令许多发展中国家显著受益。全球金融危机发生以来, 发展中国家则更加依赖国内需求。

第3章

1 例如预期寿命从1949年的35岁增加到1981年的67.9岁, 几乎翻了一番 (CIRD和联合国开发计划署, 2008)。

2 需要注意的一点是, 通过该方法衡量国家人类发展指数迅速提高的方法偏向于人类发展指数值相对较高的国家。另一方面, 通过简单地计算人类发展指数提高的百分比衡量人类发展指数迅速提高的方法则往往偏向于人类发展指数值相对较低的国家。两种方法都不能完全令人满意 (Ranis和Stewart, 2013)。

3 该表不包括1990年时的所有发达经济体和中国香港 (特别行政区)、以色列、新加坡以及现已加入欧盟的所有中欧和东欧国家。本数据为1990到2012年间包括96个国家的平衡面板数据。

4 国内武装冲突致使该国的统计数据往往不包括该国东北地区。

5 联合国开发计划署 (1993, 1996)。

6 联合国开发计划署 (1996)。

7 Abe (2006)。

8 关于发展的自主性和能力的详细说明请参见Fukuda-Parr等的著作 (2002)。

9 增长与发展委员会 (Commission on Growth and Development) (2008)。

10 例如, Rodrik (2004) 强调, 没有一份可用于推动发展中国家经济增长的政策改革备选方案。

11 Hausmann、Pritchett和Rodrik (2005)。

12 Serra和Stiglitz (2008)。

13 Hausmann、Rodrik和Velasco (2005)。

14 Arrighi (2007) 认为, 自我调节的市场并非实现发展的正确方式, 政府必须在组织市场交换和劳动分工方面发挥主导作用。

15 如果一个国家从事某项经济活动的机会成本低于另一个国家, 便可以说这个国家在该项经济活动上具有相对优势。

16 关于婴幼儿产业保护和其他形式的产业政策的主要产业、交叉产业和跨国证据请参见Harrison和Rodriguez-Clare的著作 (2010)。在世

- 界市场取得成功只是证明有理由提供政府支持的标准之一（穆勒（“Mill”）标准），而此类成功却可能带来社会福利成本，因此不能满足巴斯塔布尔（“Bastable”）标准（该标准要求未来收益的贴现值应大于保护引起的短期成本）。根据Harrison和Rodriguez-Clare的著作（2010），满足穆勒标准的产业政策多于满足巴斯塔布尔标准的产业政策。
- 17 Rodrik (2012), 第9页脚注17, <http://www.americasquarterly.org/rodrik> Para 13。
- 18 Chibber (1999)。
- 19 Osmani (2005)。
- 20 Ranis和Stewart (2005)。
- 21 印度财政部 (2012)。
- 22 Rodrik (2005)。
- 23 Das (2000)和DeLong (2004)。
- 24 联合国贸易和发展会议 (2003)。
- 25 FT (2011)。1996到2005年间, Embraer 在全球范围内共交付了710架支线喷气式飞机 (Baer, 2008)。
- 26 Pasha和Palanivel (2004)。
- 27 联合国开发计划署 (1993, 1996)
- 28 麦肯锡全球研究所 (2012b)。该报告中的非洲不只包括撒哈拉以南非洲地区, 也包括北非地区。
- 29 麦肯锡全球研究所 (2012b)。
- 30 AfDB等 (2012)。
- 31 Subramanian和Roy (2001)。
- 32 世界银行 (2011)。
- 33 贫困人口的比例从1983-1984年的52%下降到1991-1992年的50%; 到2000年, 又进一步下降到40% (Osmani, 2004, Osmani 2005)。
- 34 Khan (2005)。
- 35 Nielsen和Spenceley (2011)。
- 36 Kabanankye等 (2004)。
- 37 本段中泰国和巴西的数据来自麦肯锡全球研究所 (2012b)。
- 38 Khan (2005) 和Islam (未注明日期)。
- 39 Khan (2005)。
- 40 Kaminski和Ng (2006)。
- 41 Ayadi等 (2005)。
- 42 Cammett (2007)。
- 43 Lautier (2008)。
- 44 Agosin (1997)。
- 45 Hussain和Stern (2006) 第14页。
- 46 Malik (2006)。
- 47 Howell (2004)。
- 48 Ravallion (2009)。
- 49 Malik (2012)。
- 50 Rodrik (2011)。
- 51 如需实现经济快速增长, 单靠参与世界市场还不够: 与出口相关的一系列因素具有同等重要的地位, 其中借助国外知识不断对市场进行升级是一项关键因素 (参见Hausmann、Hwang和Rodrik的著作, 2007)。
- 52 增长与发展委员会 (2008, 第22页)。
- 53 Rodrik (2001)。
- 54 Rodriguez和Rodrik的著作 (2001) 中给出了在该问题上具有影响力的4篇著作: Dollar (1992), Sachs和Warner (1995), Edwards (1998) 以及Frankel和Romer (1998)。
- 55 Winters (2004)。
- 56 Bhagwati和Srinivasan在其著作中 (2001) 借助对特定国家的深入研究来理解和评价政策体制的方法进行了清晰阐释。他们注意到, 即使忽略大部分跨国回归分析固有的理论、数据和方法不足, 跨国分析结果也只能说明平均效应, 因此掩盖了各个国家的差异。
- 57 Rodrik (2001)。
- 58 相关国家案例研究请参见Baldwin的著作 (2004) 及其参考文献。
- 59 Wacziarg和Welch (2008)。
- 60 Rodrik (2011)。
- 61 毛里求斯于20世纪70年代通过充分利用贸易优惠和配额政策进入全球市场, 尤其值得注意的是该国食糖和服装的出口。在21世纪前10年, 随着纺织品和服装贸易配额的终结和欧盟食糖协议价格的降低, 毛里求斯开始发展轻工业和如境外银行业务和信息通信技术产业等服务业, 以发展多元化产业 (Zafar, 2011)。
- 62 虽然国家专营制度早已被废除, 却被关税、非关税壁垒和限制进口的各种牌照所取代, 该情况一直持续到20世纪90年。1980到2000年间, 在没有世界贸易组织国际规则限制的情况下, 中国巩固了其工业基础 (中国于2001年加入世界贸易组织)。
- 63 2008到2010年间, 中国 (不包括中国香港特别行政区) 平均每年吸引的外国直接投资占全世界的7.2%。(联合国贸易和发展会议, 2011a)。
- 64 中国可被视为成功运用循序渐进方法的典型。Arrighi (2007) 认为, 中国的改革包含了渐进主义的思想, 主要体现在以下方面: 运用市场作为管理手段, 改革首先从农业开始, 然后逐步转向工业和对外贸易领域, 从而令资本家相互竞争。
- 65 Ahluwalia (2002)。
- 66 OECD (2007)。
- 67 Ahluwalia (2002)。
- 68 世界银行 (2012a)。
- 69 Celasun (1994)。
- 70 除进口保护外, 出口促进措施也被用来促进工业发展, 其中包括信贷补贴、税项减免、出口加工区、保税仓库、退税、海关行政管理机构私有化和直接出口补贴。
- 71 世界银行 (2010b)。许多外国公司均注意到, 尽管近年来泰国的政治局势不稳定, 但各方面能力却在加强。2010年, 福特、通用汽车、马自达汽车和丰田等公司均宣布了在美国的新投资计划, 此外, 如宝马公司和塔塔集团等研发型企业也可能进入泰国市场。
- 72 关于对槟榔屿发展为一座出口中心的详细研究请参见Athukorala的著作 (2011)。
- 73 世界银行 (2011b)。
- 74 NEAC (2010)。
- 75 Athukorala和Waglé (2011)。
- 76 Radelet、Sachs和Lee (1997)。
- 77 Sharma (2012)。
- 78 Clapp (1995); Agosin (1997); Rodrik (2004)。
- 79 联合国贸易和发展会议 (2006)。
- 80 世界服装和纺织品贸易已受配额政策管制了40多年, 首先是20世纪60年代的《关于国际棉纺织品的短期协议和长期协议》, 再是1974到1994年间的《多种纤维协议》(Multi-Fibre Arrangement, MFA) 和一直持续到2004年的世界贸易组织《纺织品和服装协定》(Agreement on Textiles and Clothing)。尤其是MFA, 该协议迫使许多成功的出口经济体 (尤其是来自东亚地区) 将投资转移到受双边配额限制较小的国家。这使世界贸易发生扭曲, 却令如毛里求斯和孟加拉国等努力发展多元化制造业的国家受益。
- 81 Kabeer和Mahmud (2004)。
- 82 基于来自联合国商品贸易数据库的镜像贸易数据; 属于国际贸易标准分类 (第3版) 第84部分的产品被分类为服装出口。分析仅限于每年均公布服装出口数据的国家。
- 83 Subramanian和Roy (2001)。
- 84 世界银行 (2011c)。
- 85 Ofosu-Asare (2011)。
- 86 Suri等 (2010)。尤其是发现如果婴儿死亡率的标准差减小1, 则经济增长率将在10年后增加2.2个百分点。同样, 如果预期寿命的标准差增加1, 则经济增长率将在10年后增加2.7个百分点, 而如果中等教育入学率的标准差增加1, 则经济增长率将在10年后增加1.9个百分点。
- 87 增长与发展委员会 (2008)。
- 88 Hanushek等 (2008) 发现, 在所研究的50个国家内, 如果某个国家的平均受教育年限增加1年, 该国家在40年间的国内生产总值每年平均增加0.37个百分点。但他们同时还发现, 如果某个国家在20世纪60年代的考试成绩的标准差比其他国家高0.5, 则前者在之后40年间的年平均增长率比后者高出整整一个百分点。
- 89 为了说明该问题, Hanushek等统计出了在每个国家数学和科学成绩达到基本能力水平的学生比例和成绩非常好的学生比例。
- 90 Bloom、Canning和Sevilla (2007) 发现, 人口预期寿命每增加1年, 国内生产总值便增加4%。在生殖健康的改善和国内生产总值之间也存在类似的正向效应。Bloom等 (2009) 通过对97个国家进行研究发现, 生育率越高, 育龄妇女的劳动力市场参与率越低。平均而言, 介于20到44岁之间的妇女每多生一名小孩, 劳动力市场参与率便降低5-10个百分点。
- 91 Stern (2003)。
- 92 Cornia (2004)。
- 93 Rodrik (1998)。
- 94 Stern (2003)。
- 95 Ssewanyana等 (2011)。
- 96 Foster和Mijumbi (2002)。
- 97 Bertrand和Mullainathan (2003)。
- 98 Essama-Nssah (2011)。
- 99 Sivananthiran和Venkata Ratnam (2005)。
- 100 Tsounta (2009)。
- 101 Tangcharoensathien等 (2011)。
- 102 联合国亚洲及太平洋经济社会委员会 (UNESCAP) (2011)。
- 103 Frenk、Gómez-Dantés和Knaul (2009)。
- 104 Kanbur (2004)。
- 105 Ravallion (2009)。
- 106 Glewwe和Kassouf (2008)。

第4章

- 1 公平和平等的差别在于其是否能够观察和衡量。公平意味着相等

- 的机会，而机会却不易观察。令人遗憾的是，因为只有结果才可以观察和衡量，因此，评价一个社会是否公平只能通过对不平等程度进行大致衡量。
- 2 种族、民族和宗教群体的不平等特别容易引起政治暴力，这种不平等往往具有持久性，必须健全完善有关政策，加以控制。Stewart (2013)。
 - 3 拉丁美洲呈现良好发展趋势，这是因为劳动收入不平等下降，熟练工人和非熟练工人之间的工资差距降低，并且实现了有条件的现金转移支付。见López-Calva和Lustig (2010)。
 - 4 Cleland (2002)。Martin 和Juarez (1995)认为，在某些情况下，教育在短期内对生育行为的影响并不能立竿见影。参阅Hori (2011); Serbessa (2002); Cochrane (1979); Bloom等人 (2007); Psacharopoulos和Tzannatos (1992)。
 - 5 Taylor, Newman和Kelly (1976)。
 - 6 联合国经济和社会事务部 (UNDESA) (2007); Diamond, Newby和Varle (1999); 人口资料局 (2000)。
 - 7 这项指标通常称为每1000活产婴儿的死亡率，或婴儿死亡率，每年每1000名活产婴儿中死亡人数为61.7人。
 - 8 国际劳工组织 (ILO) (2012)。国际劳工组织使用盖洛普调查数据构建了社会动荡指数。
 - 9 Westaway (2012)。
 - 10 Lagi, Bertrand和Bar-Yam (2011)。联合国粮食和农业组织发布的2008年食品价格指数突破180。
 - 11 国际劳工组织 (ILO) (2012)。国际劳工组织根据盖洛普数据估计，世界各地的大多数人民对就业机会不满意。报告表明，工作满意度最低的区域是中东、东欧和撒哈拉以南非洲地区，其次是中东和北非地区。
 - 12 Bland (2012)。
 - 13 Tejada (2012)。
 - 14 Gooch (2012)。
 - 15 国际劳工组织 (2012)。
 - 16 例如：Jenkins and Wallace (1996) 发现教育和参与抗议之间具有关联性，Dalton, Van Sickle and Weldon (2010) 发现发达和发展中国家的教育水平和参与抗议之间具有很强的正相关关系。
 - 17 从现在到2050年，根据不同情景假设，15岁以上未接受教育的占全球人口比重预计将由2010年的12%下降为3%-8%；接受中等或高等教育的人口将由2010年的44%上升为50%-64% (见图4.1)。
 - 18 Hook (2012)。
 - 19 LaFraniere (2011); Wines和LaFraniere (2011)。
 - 20 Amartya Sen指出这种区别：不公平的排挤意味着一些人被拒之门外或排除在外：不公平的包容意味着有些人被迫接受不利条件 APRI (2003)。
 - 21 Huntington (1968)，转自Campante和Chor (2012)。
 - 22 参见 Campante和Chor (2012)。
 - 23 基于1980年至2011年78个国家的健康、教育和收入情况。在此期间，一些国家的平均教育年限、健康和收入情况已经发生了逆转。
 - 24 Campante和Chor (2012)。
 - 25 Campante和Chor (2012)。第175页。
 - 26 Polanyi (1944)。
 - 27 Stewart et al (2006)。
 - 28 例如，广东省和辽宁省人类发展指数相当，但是广东的碳排放率是辽宁的3倍。(UNDP 2009-2010)
 - 29 联合国开发计划署 (2011a)。
 - 30 详见联合国开发计划署 (2011a)。
 - 31 联合国国际减灾战略组织将“复原力”定义为：“一个系统、社区或社会暴露于危害之后及时、有效地抵抗、吸收、容纳并恢复的能力，包括保护和恢复其基本结构及功能的能力。” <http://www.unisdr.org/we/inform/terminology#letter-r>
 - 32 Daniell and Vervaeck (2012)。
 - 33 联合国政府间气候变化专门委员会 (IPCC) (2012)。
 - 34 人口中不同年龄组别需求不同，行为也不同。儿童 (0-14岁) 需要在健康和教育方面投资。工作年龄的成年人 (15-64岁) 要求就业和金融基础设施，以确保生存和储蓄。老年人 (65岁以上) 要求医疗保健和退休收入。因此，人口年龄结构决定了一国之机遇和挑战。
 - 35 随着抚养子女人数减少，父母增加对孩子教育投资 (Becker, Murphy等, 1990; Galor 2006)，为保障自己退休生活增加储蓄 (Bloom, Canning等, 2003)，越来越多女性走上正规劳动力市场 (Bloom等, 2009)。因此，经济增长速度加快，产生了人口红利 (Bloom, Canning et al. 2003)。
 - 36 如果抚养对象的花费需求较低，劳动力增加能够刺激经济增长和投资增多，那么抚养比率降低则可以产生人口红利 (见2013年Abdurazakov, Minsat和Pineda关于人口发展趋势详解及预测，Lutz和K.C. 2013)。但只有当国家为市场新进入劳动力提供生产性就业机会，国家才能够真正受益于人口红利。
 - 37 Lutz 和 K.C. 2013。
 - 38 在不同教育水平分布情景下，普及率最高的初等教育和基础广泛的中等教育最适用于一个典型的人类发展指数 (HDI) 低、年轻人比例较高的国家。IIAS (2012)。把每个国家的人口按年龄、性别和教育程度进行分组。亦即，每隔五岁分为一个梯队，梯队中进一步分为没有受过教育、初等教育、中等教育或高等教育四个组别。这些小组还可以按照性别分组。每一个五岁梯队占总人口中的比例将随着生育率、死亡率和移民的发展趋势不断变化。儿童、工作年龄人口和老龄人口的规模将随着时间的推移而发生改变。
 - 39 这种方法与千年发展目标和全民教育倡议相一致。在这种情景下需要实现以下几个关键目标：2015年初等教育基本全部普及 (99%)，2030年中等教育普及率为50%，而到2050年高等教育普及率达60%。
 - 40 人类发展报告研究处根据Lutz和K.C. (2012) 数据计算。
 - 41 联合国经济和社会事务部 (2007)。对于发达国家而言，国际移民未必能缓解人口老龄化对经济的影响，因为需要的移民数量远远大于在政治上的可行性。在本研究中的第三种情景下，如果要在1995年至2050年期间实现老龄人口比例停止增长，英国需要每年引进移民110万人，法国170万，而日本和美国需要1千万。
 - 42 Becker等, (1990); Galor (2006), Bloom等 (2003, 2009)。
 - 43 Bloom等 (2012)。撒哈拉以南非洲地区20%最贫穷家庭的青少年抚养比率是1.07，20%最富有家庭的是0.72。拉丁美洲最贫穷家庭和最有家庭的青少年抚养比率分别为0.57和0.91。
 - 44 参阅《经济人》(2012b) 关于对Bloom等 (2012) 研究结果的讨论。
 - 45 Hausmann and Szekely (2001) 认为，在拉丁美洲人口结构转变加剧了现有的不平等趋势，在最富有的人群中更快更易进行人口转变，从而加大了贫富差距。Giroux等 (2008) 发现，在撒哈拉以南非洲国家，虽然生育率已经下降，不平等加剧，但是因教育而造成的生育率差别一直保持相对稳定。研究结果显示，人口教育构成变化引起了该地区生育不平等的最新变化。
 - 46 Bloom等 (2012)。
 - 47 世界银行 (2011e)。
 - 48 在许多国家，如果目前的退休年龄保持不变，短短的几十年内，这扇窗户将被关闭。这表明我们可以预见，在许多人口老龄化比较快的国家，退休年龄将成为热议的焦点问题。
 - 49 在上一章中，我们讨论了移民在人口结构变化中发挥的作用；在此，移民的作用更全面，移民完全融入到模型当中，人口发展趋势只是本预测研究几个模块中的一部分。参见Pardee IFS Center (2012)。

第5章

- 1 2008年以来，世界贸易组织 (WTO) 多哈贸易谈判就已陷入了僵局 (Castle和Landler 2008, 世界贸易组织2012)。2012年12月，多哈《联合国气候变化框架公约》(UNFCCC) 第18届缔约方大会召开，气候变化相关具有法律约束力的总协定——《京都议定书》的法律效力延长至2020年。各国重申，他们决心在2015年采纳“新议定书、另一法律文件或具有法律效力的新协定”，自2020年开始实施。然而，关于新议定书结构、融资机制等项目将待来年进行审议。(Broder 2012和Harvey 2012)。
- 2 Heller (2013)。
- 3 全球公益物指那些具有跨界影响效果的产品。国家政府或市场各扫门前雪，无法生产出足够的全球公益物品，因此，必须加强政府间的集体协作。当前世界贸易、资金流量、环境资源和污染逐渐超越国界，全球公益物品供应的多边合作成为人类发展的决定性因素。Kaul (2013)。

- 4 双边协定有时会将对劣势伙伴带来不利影响，而区域性协定有利于贫困地区从与富裕地区谈判中争取利益。
- 5 这就是所谓的贸易转移。降低贸易关税壁垒，扩大贸易，这就称为贸易创造。参见Krugman(1991)。
- 6 Krugman (1991) 进一步论证指出，世界效率的净效应为负的可能性较小，这是因为贸易同盟由地理上毗邻的国家组成。即便没有特别协定，这些国家也是自然贸易伙伴，贸易转移所造成的损失较小，而贸易创造的收益巨大。
- 7 为实现区域主义的多边化，必须使各种贸易法规（因地制宜，遵循不同原产地规则，制定当地协定）协调一致，同时也要扩大区域协定，以尽可能多地吸收发展中国家为合作伙伴。参照Baldwin (2007)。
- 8 国际移民组织并不隶属于联合国机构，是所有国际机构中最为权威的移民问题管理组织。该组织拥有146个成员国，不断举办卓越的论坛，讨论国际移民问题。
- 9 联合国开发计划署(2009)。
- 10 Hansen (2010)。
- 11 Betts等(2013)。
- 12 King, Richards和Tyldesley (2011)。
- 13 联合国开发计划署(UNDP)(2011a)。
- 14 Han (2012)。
- 15 Leape (2012)。
- 16 Leape (2012)。
- 17 Romero和Broder (2012)。
- 18 Glennie (2011)。
- 19 有效发展合作釜山伙伴关系 (OECD, 2011)。
- 20 八国集团 (2005)。
- 21 Ocampo (2010)。
- 22 9月25日-10月1日联合国大会政府首脑发言：联合国新闻服务 <http://www.un.org/news/>
- 23 在2012年G-20洛斯卡沃斯 (Los Cabos) 峰会上，“金砖四国”宣布，向国际货币基金组织 (IMF) 增资750亿美元。这些资金附带若干使用条件。只有当现有资源基本用完后，才可以启动这部分资金。附加条件还要求“所有在2010年商定的改革必须及时全面实施，包括对投票权和投票份额进行的全面改革。” Chowfla (2012)。
- 24 Heller (2013)。
- 25 视频浏览量超过1亿次，成为所有“病毒”视频之最。
- 26 Chandhoke (2005) 和Heller (2013)。
- 27 管理形式多样，如制定和实施非政府组织限制性法律、外汇及税收相关法规、登记规定等。政府加强监管的基本出发点是确保国家安全、防止非政府组织渎职、加强协调和控制等。国际非盈利法中心和全球公民参与联盟一直对全球情况进行报告和分析。
- 28 Castells (2003) 和Burawoy (2003)。
- 29 英国政治理论家Andrew Dobson提出了“生态公民”理念。这个理念从生态角度定义了一个广义上的公民身份，目标之一就是减少生态足迹。生态公民身份超越了个人责任，生态思想将公民视为能够对社区（以及它们的生态系统）发生影响的产品 (Revkin 2012)。
- 30 Chorev (2012)。
- 31 Grabel (2013)。概括性总结参见 Lamberte 和Morgan (2012)。
- 32 印度储备银行 (2012)。
- 33 Grabel (2013)。
- 34 Ocampo和Titelman (2009)。
- 35 Grabel (2013)。
- 36 南方银行 (BDS) 成立于2007年，由委内瑞拉总统查韦斯 (Hugo Chavez) 创办，并在2009年正式开业。初步设想的业务非常广泛，然而在其2009年运营时，BDS的权限范围已缩小，仅负责南美地区项目融资 (Chin 2010)。BDS的功能和目标仍是成员国之间不断争议的话题。
- 37 世界经济合作与发展组织 (2010b)。
- 38 Baldwin (2006)。
- 39 参见联合国大会安理会 (2011)，其中包含对巴西政府提出的“责任”和“保护”的概念说明。
- 40 印度外交部 (2012)。
- 41 Bhattacharya, Romani和Stern (2012)。
- 42 Bhattacharya, Romani和Stern (2012)。
- 43 人类发展报告研究处使用世界银行 (2012a) 发布的2005年和2010年区域国家平均支出数据计算。
- 44 根据人类发展报告研究处使用世界银行 (2012a) 的国际储备数据计算得出。
- 45 有人提出全球基础设施项目建设动议，在该动议下，富裕国家基金向发展中国家投资所产生的投资回报大于国内投资。参见Harding (2012)。该动议同样适用于对新兴经济体的投资。
- 46 Bolton, Samama和Stiglitz (2011)。挪威还向巴西提供了10亿美元用于减少森林砍伐，这笔资金并非其主权财富基金。
- 47 公共和私营部门伙伴关系、社区层面倡议也有助于扩大主权财富基金投资的范围和影响。
- 48 参见Hamdani (2013) 和南方委员会 (1990)。
- 49 南方委员会经过南方首脑多年的非正式讨论决定，正式成立于一1987年。南方委员会在报告 (1990) 中强调，发展中国家有很多共同的问题和经历。南方没有在全球层面上建立良好组织，不能有效地调动其综合专业知识和丰富经验，也不能提高其议价能力。报告向有关的政策制定者提出了切实可行的建议。
- 50 Mwase和Yang (2012)。
- 51 据经济合作与发展组织 (2010a)。

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