

2019年9月17日

博士論文審査結果報告
Report on Ph.D. / Doctoral Dissertation Defense

政策研究大学院大学
教授 園部 哲史

審査委員会を代表し、以下のとおり審査結果を報告します。

On behalf of the Doctoral Thesis Review Committee, I would like to report the result of the Doctoral Dissertation Defense as follows.

学位申請者氏名 Ph.D. Candidate	Lintang P. Parnohadiningrat Wibawa		
学籍番号 ID Number	PHD15403		
プログラム名 Program	GRIPS Global Governance Program (G-cube)		
審査委員会 Doctoral Thesis Review Committee	主査 Main referee	園部 哲史 SONOBE, Tetsushi	主指導教員 Main advisor
	審査委員 Referee	高橋 和志 TAKAHASHI, Kazushi	副指導教員 Sub advisor
	審査委員 Referee	隅藏 康一 SUMIKURA, Koichi	博士課程委員会委員長代理 Acting chairperson of the Doctoral Programs Committee
	審査委員 Referee	浦田 秀次郎/ URATA, Shujiro 早稲田大学教授	外部審査委員 External Referee
論文タイトル Dissertation Title (タイトル和訳)※ Title in Japanese	The Limited Utilization of Free Trade Agreements: An Empirical Study of the Use of the Indonesia-Japan Economic Partnership Agreement by Firms 自由貿易協定の限定的な利用状況 — 企業による日本インドネシア経済連携協定の利用の実証研究		
学位名 Degree Title	博士 (政策研究) Ph.D. in Advanced Policy Studies		
論文提出日 Submission Date of the Draft Dissertation	2019年8月5日	論文審査会開催日 Date of the Doctoral Thesis Review Committee	2019年9月2日
論文発表会開催日 Date of the Defense	2019年9月2日	論文最終版提出日 Submission Date of the Final Dissertation	2019年9月17日
審査結果 Result	合格 Pass		

※タイトルが英文の場合、文部科学省に報告するため、和訳を付してください

If the title is in English, please translate in Japanese in order to report MEXT.

1. 論文要旨 Thesis overview and summary of the presentation.

Free trade agreements (FTAs) have been proliferating since the early 1990s. Many empirical studies, however, have found that those tariff rates lowered by FTAs are used only for a limited number of traded goods and by a limited number of trading firms. The existing studies ascribe the limited use of FTAs to the Rules of Origins (ROO), which require trading firms to present evidence that a traded good was produced in or by using materials from a FTA country. To meet ROO, the trading firm has to incur fixed costs of changing material procurement and production process as well as paperwork, registration, application, and going through red tape. Hence, some theoretical studies regard ROO as hidden protection and FTAs as the replacement of high tariffs by lower tariffs plus restrictive ROO requirements at varying degrees rather than simple reductions in tariff rates.

This dissertation attempts to present new evidence for this view by taking the Indonesia-Japan Economic Partnership Agreement (IJEPA) as a case and by conducting a firm survey in Indonesia and analyzing panel data of imports from Indonesia to Japan. IJEPA has been in effect for more than ten years and the only preferential trade agreement between the two countries, which allowed the candidate to isolate the effect of the IJEPA's ROO. The candidate obtained from the Ministry of Trade in Indonesia the dataset of Indonesian exporting firms that have applied administratively for FTAs including IJEPA. Thus, her firm survey focuses on those firms that had both access to foreign markets and knowledge of preferential tariff reductions

and ROO and hence were able to choose whether to use IJEPA preferential tariff rates, unlike the existing studies based on firm surveys in which the vast majority of sample firms did not use an FTA simply because they did not have market access. Also unlike the existing studies, this survey asked managers of exporting firms about their knowledge and experiences in handling ROO. The candidate also used a trade data set compiled by the Japan Customs. It covers about 4000 tariff lines (that is, finely classified codes of traded goods subject to tariff) for five years from 2012 to early 2017. For each tariff line, she calculated the proportion of the value of import that used IJEPA and linked it with the degree of ROO restrictiveness that she estimated following the standard methodology established in the trade literature as well as other variables representing factors that have been discussed in the literature.

Among the major findings of the dissertation is that the utilization rate of IJEPA was not as low as it has been documented in academic and non-academic reports if the fact that tariff rates for the majority of goods traded between the two countries had been zero before IJEPA or were reduced to zero after IJEPA was put into effect. Another finding is that the tariff lines with large reduction in tariff rates tend to be subject to more restrictive ROO probably for the purpose of hidden protection. Some existing studies report, as an unexpected regression result, that the coefficient on ROO restrictiveness is positive in their regression equations explaining the FTA utilization rate. This dissertation obtains both similar results and opposite results, depending on regression specifications or the extent of controlling for other factors. The dissertation gives an

interpretation of these mixed results from the viewpoint mentioned above; that is, a high tariff was replaced by a low tariff plus highly restrictive ROO to increase imports through firms capable of complying with regulations. The results of the firm survey lend strong support to this interpretation.

2. 審査報告 Notes from the Doctoral Thesis Review Committee (including changes required to the thesis by the referees)

The committee gave generally favorable assessment to the dissertation and the oral presentation. On a scale from one to five, two committee members put five, and one member put four. The main examiner (that is, main advisor) marked three because he thought the dissertation could be more concise. Major comments from the committee members are summarized as follows:

- (1) The seemingly contradicting estimation results regarding the coefficient on the ROO restrictive variable in the trade data regression analysis could be more clearly presented and explained.
- (2) To handle corner solutions or the censored dependent variable, a double-hurdle model, which have recently gained popularity among empirical researchers, could be used.
- (3) Relevance and validity of the findings of this study to other FTAs could be more clearly stated.

3. 最終提出論文確認結果 Confirmation by the Main Referee that changes have been done to the satisfaction of the referees

A revised version was submitted on September 13. Three referees out of the four immediately found it satisfactory and left final check to the main referee. On September 17, the main referee checked that all revisions required or suggested by the referees were appropriately incorporated

in the new version of the dissertation.

4. 最終審査結果 Final recommendation

The doctoral thesis review committee recommends that GRIPS award the degree of Ph.D. in Advanced Policy Studies to Lintang Paramitasari Parnohadiningrat Wibawa.