



博士文丛·经管系列  
Economics and Management

◎ 龙 怒 著

# 生态关系视角下的 企业战略联盟研究

**R**esearch on Enterprise Strategic Alliance  
from the Ecological Relationship Perspective



ZHEJIANG UNIVERSITY PRESS  
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## 生态关系视角下的企业战略联盟研究

龙 怒 著

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# A 摘要 ..... abstract

## —

激烈的竞争促进了企业合作,企业合作又使竞争更加激烈。战略联盟就是这样一种新型合作竞争组织。中国企业实施战略联盟参与市场竞争已是必然之势。首先,本书对已有的企业联盟理论进行简要的回顾和评述,指出现有理论上可继续研究的空间——战略联盟是企业间各种关系的总和,这些关系在很大程度上影响了企业的战略决策和经营行为。对战略联盟企业间关系的研究,有助于认识企业战略经营行为的动机和根源,了解企业间相互关系的作用机理,有助于深入研究战略联盟的运作和治理。

## 二

企业间相互关系如同生物种群之间的相互关系,具有竞争、共生等主要特征。企业间生态关系是企业与企业之间具有生物种群关系特点的相互关系,这种关系的维持和延续要求各企业不仅要竞争合作,而且还要协同进化。本书通过运用生态学的相关知识,从一个新的视角分析了企业间的关系,希望使企业间的关系更加清晰和明确,以便人们更好地认识企业战略联盟这种新型组织,并对联盟内部企业间关系进行有效治理。

企业的生存与发展离不开周围的环境。企业与环境共同进化需要企业不断的学习,成为学习型组织,因此,组织间学习也就成为企业间关系互动,进而形成协同进化的桥梁。企业学习的目的不仅是为了促

进企业生态系统的良性循环,也是为了正确地选择企业生态位。由于企业的生态位与企业的竞争状况密切相关,所以企业要对自身的生态位进行有效的控制和创新。

企业的竞争力在网络经济时代不仅体现在个体竞争力上,更体现在群体竞争力上。企业竞争力的大小取决于企业与外界适应性的强弱,因此,企业的组织结构要随环境的变化发生相应的改变,以提高企业的核心竞争力。

### 三

本书借用国际政治和国际关系学的一些理论,分析了影响联盟企业间生态关系因素的六个方面:联盟企业的利益、联盟企业的权力、联盟企业的相互依存、联盟企业的合作、联盟企业的认同和联盟企业的冲突。

联盟企业利益包含着经济利益、政治利益、精神利益等。一个企业与其他企业的合作意愿,不仅取决于该企业的绝对获益,更取决于该企业的相对获益。

联盟企业出于自身利益的需要也是追求权力的。一般来说,联盟企业的权力来源于企业本身拥有的能力。由于能力不同,因此联盟企业的权力大小也不一样。权力常常表现为“对抗型”的硬权力和“合作型”的软权力。

联盟企业的经济实力的差异导致了企业之间相互影响力的非对称性。相互依存能产生权力,能够左右相互依存对称性的企业就拥有权力,因此,相互依存的非对称性会导致企业间冲突的加剧。

联盟企业要实现共同利益就需要企业间合作。然而,合作并不意味着没有冲突。在追求自身利益的过程中,联盟企业常常会产生共同利益困境和共同背离困境,这就需要联盟企业在集体行动和联盟机制的约束下,对企业间合作进行维护。

联盟企业间的生态关系绝不能忽视企业间意识形态的能动作用。只有集体认同,才能使各企业对联盟关系拥有共同的理解,并以此为基础采取共同行动,形成相互依存感。

由于各企业追求的利益不同,所产生的权力需求各异,因而联盟冲突必然存在。不同类型的冲突对联盟的影响是不同的,这需要采取不同的策略进行化解。

### 四



良好的联盟企业间的生态关系能形成关系资本。联盟中的关系资本是企业

所拥有的独特资源,它能够减少联盟企业间的竞争压力和冲突行为,促进合作,并且有助于企业和联盟创造收益,提高关系各方的绩效,增加联盟的稳定性。

不同企业间的生态关系对联盟绩效和联盟稳定性的影响是不同的。在不同的企业间的生态关系作用下,生态关系的影响因素会导致企业不同的行为决策,从而对联盟企业的绩效以及联盟的稳定性产生不同的影响。

企业间生态关系对战略联盟结构的转化也是有影响的。如果企业间的相互关系和相互作用不同,战略联盟的结构就会不同,战略联盟的功能和作用也会有所不同。企业对个体利益的追求将使得企业间的矛盾加深。在企业间互动的过程中,如果企业间矛盾能够被妥善解决,那么紊乱的联盟秩序就会重新稳定下来;否则,结果只能是联盟解体。

## 五

创新力与控制力统一是企业管理的新思路,本书运用这种新思路对联盟企业间生态关系的治理进行了阐述。

这个新理论的提出者彭星间教授认为,创新力与控制力的统一是企业基业长青永恒的主题。实践表明,战略联盟失败或低效率的根本原因是由于企业间生态关系的创新力与控制力失衡。建立良好的联盟企业间生态关系,促使各企业友善共处、协同进化的关键在于创新力与控制力的动态统一。

联盟企业间生态关系的创新主要有四个方面:机制创新、组织创新、文化创新和管理创新。在一个没有统一行政管理机构的联盟里,联盟机制的作用是非常重要的,然而,联盟机制的局限性也很突出,这些局限性不利于联盟的发展,需要对联盟机制进行改革和创新。

要协调好企业间的生态关系,组织创新非常必要。组织创新既可以体现在联盟内(或企业间)设置新的沟通、联络机构,又可以通过第三方机构或组织来协调。

战略联盟往往是由具有不同企业文化的企业组成,企业文化的差别是企业冲突的一个重要来源。因此,联盟内各企业间需要建立共同愿景,创造一种共有的联盟文化来发展联盟企业间的生态关系。

联盟的建立就是为了提高联盟运作的整体性能,发挥不同企业的各自优势,因此,联盟各企业需要打破原有的组织边界,施行无缝管理。同时,人力资源管理的创新也是十分必要的。联盟企业应该顺应人性管理的特点,提高员工的积极性和创造性。



联盟企业间生态关系的控制主要包括四个方面:机制控制、信任控制、自我约束和专用资产投资。联盟可以通过联盟机制有形的激励或约束来制导企业的行为预期,确保企业间交往的正常展开及合作的连续性。

以信任为基础的非正式控制同样也是有效的治理形式。经过长期相处和考验建立起来的信任是企业的一种无形资产,信任的缺失意味着关系资本的丧失,担心信任的失去实际上成了企业的一种软约束。

联盟秩序的维护仅靠外部制约是不够的,还需要企业对各自的经营行为实行自律。自我约束这种善意的动机在促进生态关系发展、实现协同进化的过程中起到了很好的作用。

参与联盟的企业都知道合作是具有风险的,所以企业会采取种种战略措施来降低风险。企业时常通过承诺或督促关系各方投入高度专用性资产来加深相互依存的程度,进行彼此约束。

在联盟企业间生态关系的治理过程中,创新力与控制力应该是统一的。因为创新力与控制力不是绝对独立存在的,两者需要协调平衡。同时,创新力与控制力都具有约束和推动作用,并且贯穿于关系治理过程的始末。

## 六

随着战略联盟的发展,战略联盟从形式到内容上都发生了很大的变化,因此中国企业应该对战略联盟有一个全新的认识。在处理联盟企业间生态关系的过程中,企业要在协同进化的基础上,通过创新力与控制力的统一更好地提升企业的竞争能力。只有权力,才能制约权力;只有互利互惠,各联盟伙伴才能相互依存地合作在一起。

企业要洞察合作伙伴的战略意图,认清企业间文化和制度的差异。弱小企业不能过分依赖联盟机制,同时,对于没有制度保障的信任也需要谨慎小心。

在联盟中,实力弱小始终对企业不利。企业缺乏自主创新,缺乏独立性,过分依赖合作伙伴极易受到伤害。因此,企业应该在实力和相互依存之间把握平衡。

联盟企业为了减少竞争,促进合作,需要在生态位上进行必要的创新和控制。企业可以通过对价值链进行分解与整合,构建企业在价值链节点上的优势。

企业在从合作伙伴那里学得知识和技能的同时,也需要保护自身避免核心能力的泄漏。因此,联盟各企业有必要建立相应的机制,防止成员的核心能力被窃取。



企业要获得竞争的有利地位仅靠保护核心能力不受侵害是不够的,企业还必须加强学习,不断创新。企业借助外力是提高企业竞争能力的一个良好途径。

## 本书的创新与不足

### (一)本书的创新

1. 本书运用生态学的相关知识作为分析工具较为系统地对企业战略联盟进行了探索。
2. 本书借用国际政治和国际关系学的一些理论对战略联盟企业间生态关系进行了分析。
3. 本书运用创新力与控制力统一的思想对战略联盟企业间生态关系的治理进行了研究。

### (二)本书的不足

1. 本书运用了不同学科的知识对企业战略联盟进行研究,由于对各学科知识缺乏深厚的理论根基,在运用各学科知识时,论述会显得较为肤浅。
2. 本书只是从企业间生态关系这一视角对企业战略联盟进行研究,因而研究的结论难免会有失偏颇。
3. 由于联盟企业的资料获取难度很大,因而本书缺乏相关的实证分析对所做研究进行有效验证。

### 关键词

战略联盟 生态关系 创新 控制





## ABSTRACT .....

### I

The fierce competition promotes cooperation between enterprises, and cooperation between enterprises makes competition more vigorous. Strategic alliance is thus a kind of new cooperation-competition organization. It is inevitable for Chinese enterprises to carry out strategic alliance to participate in the market competition. This article first briefly reviews some theories about strategic alliance, pointing out the theoretical space for further study, that is, the strategic alliance is a total of various relations between enterprises, which, to a large extent, affect the strategic decisions and management behaviors of the enterprises. The study of the inter-enterprise relations of strategic alliance contributes to better understanding of enterprise's behavioral motives and sources, the functional mechanism underlying the relations, and the operation and management of strategic alliance.

### II

The relations between enterprises, similar to those of living organisms, have such main characteristics as competition, symbiosis, etc. The development of the ecological relations between enterprises not only requires cooperation and competition but also concurrent evolution. By making use of related ecological knowledge, this article analyzes the

inter-enterprise relations in strategic alliance from a new point of view, hoping to make the relations more explicit and help people to comprehend and manage the relations better.

The existence and development of an enterprise cannot get away from its environment. For adapting to the environment, the enterprise needs constant study as a learning organization. Therefore, learning from each other becomes a bridge of interaction and concurrent evolution among the enterprises. The purpose of learning is not only to promote virtuous circulation of the enterprise ecosystem, but also to choose proper organization niche. The organization niche is closely related to the competition condition of the enterprise, so the enterprise should practice effective control and innovation to its organization niche.

In the network economic ages, the competitive ability of an enterprise represents not only its individual competitive ability, even more that of the community. The size of an enterprise' competitive ability is decided by the enterprise's adaptability to the environment, therefore, the organizational structure of the enterprise should change correspondingly with the environmental variations so as to strengthen its core competence.

### III

Using some theories of international politics and international relations, this article analyzes six factors that affect ecological relations between enterprises of strategic alliance: power, benefits, interdependence, cooperation, identification, and conflicts. The benefits of the enterprise include economic benefits, political benefits, spirit benefits, etc. The will of an enterprise to cooperate with others is decided by both absolute benefits and relative benefits.

The enterprise pursues power to gain more benefits. Generally speaking, the power of the alliance enterprise comes from its ability. With different ability, each enterprise has a different share of power.

The difference in economic power will lead to dissymmetry of mutual influence between the enterprises. Interdependence can produce power. The enterprise that can manipulate symmetry of interdependence gains power. This way the interdependence dissymmetry will cause more conflicts among enterprises.

The common benefits require enterprises to cooperate with each other. However, cooperation doesn't mean without conflict. In the process of pursuing benefits, the enterprises usually get into the common benefit predicament and the common deviation predicament, so cooperation among enterprises is needed to solve these problems under the restriction of the alliance collective action and mechanism.

The ideology of the enterprises plays a very important role in the ecological relations. Only collective identification can lead to common understanding in the strategic alliance. Collective identification is also the basis of common action and interdependence sense of enterprises.

Because the benefits pursued by each enterprise are different, the alliance conflicts exist by all means. Different conflicts have different effects on strategic alliance, so they ask for different settlements.

## IV

Good ecological relations among the alliance enterprises constitute the relation capital. The relation capital is a special resource of enterprises, which can promote cooperation and reduce competition pressure and the conflicting behaviors among the alliance enterprises, contributing to increased profits and increased stability of the alliance.

Different ecological relations among the enterprises have different influence on the performance and stability of the strategic alliance. The factors affecting the ecological relations will result in different enterprise policies and behaviors, which consequently affects the performance and stability of the strategic alliance.

The ecological relations among the enterprises also have influence on the conversion of strategic alliance's structure. The structure of the strategic alliance would vary with the relations and interaction among the enterprises, and so does its functions. Enterprises' excessively pursuing individual benefits will deepen conflicts. In the process of interactions, if contradictions among the enterprises can be appropriately solved, the order of the alliance would be restored. Otherwise, the result can be an alliance to disintegrate only.



## V

The integration of innovation and control is a new theory of enterprise management. This article applies this theory to the management of the ecological relations among enterprises of strategic alliance.

Professor Peng Xinglv, the advocator of the new theory, thinks that the integration of innovation and control is a forever topic for sustained development of enterprises. Practices make it clear that the basic reason for the failure low efficiency of strategic alliances is that innovation and control of the ecological relations of enterprises is out of balance. So the integration of innovation and control is the key to building up good ecological relations, and, to promoting sociable coexistence and concurrent evolution of the enterprises.

The innovation of the enterprises' ecological relations mainly involves four aspects: mechanism innovation, organization innovation, cultural innovation and management innovation. In a strategic alliance without a uniform administrative institution, the alliance mechanism performs a very important function. However, the alliance mechanism has noticeable limitations, which can block the development of the strategic alliance, so reformation and innovation of the alliance mechanism is necessary.

Innovation of the organization is also very necessary to harmonize the ecological relations between enterprises. Organization innovation can be the establishment of new communication organizations inside the alliance or be the mediation of a third-party institution.

Strategic alliance is usually composed of different enterprises with different cultures which are a source of conflicts. Therefore, common vision and common culture need to be cultivated in the alliance to improve the ecological relations among the enterprises.

The establishment of strategic alliance is for the sake of exalting the overall operational function of the alliance and exploiting respective advantages of different enterprises, therefore, each enterprise of the alliance needs to break its organization boundary, implementing the non-gap management. At the same time, innovation of the human resource management is also necessary. The alliance enterprise should adjust to the characteristics of human nature management, trying to enhance the



employees' enthusiasm and creativity.

The control of the ecological relations among enterprises in strategic alliance mainly includes four aspects: mechanism control, trust control, self-control, the appropriation property investment. The alliance needs to control and guide the behavioral expectations of enterprises by means of stimulation or restriction through the alliance mechanism so as to ensure healthy cooperation between enterprises.

Informal control based on trust is just as effective to manage the alliance. Trust is a kind of immaterial asset of the enterprises, and the imperfection of trust means the loss of the relation capital, so worrying about the loss of trust actually becomes a kind of soft restriction on an enterprise.

The maintenance of order inside the alliance cannot be achieved only by the exterior check and supervision of the enterprises. It still requires self-discipline of the enterprises. Self-discipline out of a goodwill motivation is intended to promote the ecological relations and concurrent evolution of the enterprises.

All the enterprises in strategic alliance know that risks exist in cooperation, so they adopt various strategic measures to lower risks. For deepening mutual dependence, the enterprises usually exert control on each other by way of commitment and supervision of the investment of high appropriation property.

In the process of managing the ecological relations between the enterprises, innovation and control should be united, because innovation and control are not absolutely independent of each other, both needing balance. At the same time, innovation and control both perform the double function of promotion and restriction, which permeate the whole process of management of the strategic alliance.

## VI

The strategic alliance keeps changing both in form and content while it develops, so the Chinese enterprises need to keep track of the changes in the strategic alliance. In handling the ecological relations in the alliance, each enterprise should integrate innovation and control to upgrade its competitive abilities on the basis of concurrent evolution. Only power can restrict power. The alliance enterprises can depend on each other to cooperate only by way of mutual



benefits.

First, the enterprise should perceive the strategic intention of the cooperators and recognize the differences in cultures and systems of the enterprises. The weak enterprise can't depend on the alliance mechanism excessively, and, at the same time, must be careful of the non-system-guaranteed trust.

In strategic alliance, weakness in competence is disadvantageous to an enterprise. Lacking in innovation and independence, the enterprise is vulnerable by depending too much on cooperators. Therefore, the enterprise should learn to strike a balance between self-reliance and interdependence.

Innovation and control of the organization niche by the enterprise is needed to reduce competition and promote cooperation. By resolving and integrating the value chain, the enterprise can set up its advantage at the node of the value chain.

While the enterprise learns knowledge and skill from its cooperators, it also needs to protect its core abilities from leaking. Thus it is necessary for strategic alliance to establish the mechanism to prevent the filching of the core abilities of the enterprises.

To occupy an advantageous position in competition, in addition to preventing its core abilities from being violated, the enterprise must further its study and innovation. Above all, cooperating with others is an effective way to reinforce its competitive ability.

### **Key words**

Strategic alliance   Ecological relations   Innovation   Control



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# 01 导论

## 1.1 中国企业战略联盟研究的背景

### 1.1.1 中国企业战略联盟研究的背景

企业战略联盟是在 20 世纪 80 年代末 90 年代初才出现的,它的出现与竞争环境的变化有紧密关系。20 世纪 60 年代之前,成本是企业主要的竞争优势;70 年代是质量;80 年代之后是交货时间,即所谓基于时间的竞争。但随着科技的迅猛发展,世界经济一体化的步伐不断加快,企业传统的内部资源优势,如低廉的成本、合格的质量、及时的交货,已很难保证取得竞争的胜利。同时,随着人们生活水平的提高,产品买方市场的出现,消费者需求日益呈现多样化、个性化,这就要求企业具有快速的市场应变能力和生产柔性。在市场需求日益多变的情况下,产品的寿命周期变得越来越短,开发新产品的风险越来越大。大多数市场机遇是短暂、隐蔽的并且具有高风险性,这就需要企业在短期内具备应对机遇所要求的资源和能力。在这种情况下,企业不论规模大小,均有力不从心的感觉。因此传统的企业观念和企业战略已经暴露出自身的局限性,必须要有思想观念上的转变。传统的你死我活、你输我赢的零和竞争理念已不再适应现代企业经营之道,取而代之的是新的“双赢”观念,在竞争中合作的战略思想。只有与其他公司团结合作,才有可能在激烈的市场竞争中占有一席之地。事实证明,合作与竞争之间并不是绝对对立的,它们也是相互影响、相互促进的。激烈的竞争促进了企业合作,企业合作又使竞争更加激烈。战略联盟就是在这样