



博士文库

创新力与控制力统一论丛

企业结构·能力·绩效 微观 SCP 框架研究

QIYE JIEGOU NENGLI JIXIAO
WEIGUAN SCP KUANGJIA YANJIU

叶生洪 著



中国财政经济出版社

博士文库

创新力与控制力统一论丛



企业 结构·能力·绩效 微观 SCP 框架研究

QIYE JIEGOU NENGLI JINIAO
WEIGUAN SCP KUANGJIA YANJIU

叶生洪 著

▲ 中国财政经济出版社

图书在版编目(CIP)数据

企业结构·能力·绩效——微观 SCP 框架研究/叶生洪著. —
北京:中国财政经济出版社,2003.8
(博士文库:创新力与控制力统一论丛)
ISBN 7-5005-6687-5

I. 企... II. 叶... III. 企业管理—研究 IV. F270

中国版本图书馆 CIP 数据核字(2003)第 068249 号

中国财政经济出版社出版

URL: <http://www.cfeph.com>

E-mail: cfeph@drcc.gov.cn

(版权所有 翻印必究)

社址:北京海淀区阜成路甲 28 号 邮政编码:100036

发行处电话:(010)88190406 财经书店电话:(010)64033436

湖北南财文化发展有限公司电话:(027)88391589 88391585

武汉市科普教育印刷厂印刷 各地新华书店经销

850×1168 毫米 32 开 58.25 印张 1369 千字

2004 年 4 月第 1 版 2004 年 4 月武汉第 1 次印刷

定价(全五册):125.00 元

ISBN 7-5005-6687-5/F·5836

(图书出现印装问题,南财公司负责调换)

总 序

近年来，中南财经政法大学企业管理博士点对企业创新力与控制力统一的问题，做了大量的研究工作，先后在国内重要的学术刊物上发表了一系列论文来分析阐述这一问题。这从一定程度上反映了经济学界、企业管理学界对企业创新力与控制力统一问题的重视。由于两力统一问题是企业管理中一个重大的新思路，贯彻“两力统一”是一个系统工程，因此我想简要谈谈我们是如何发现和提出这一问题的；国外在这方面有些什么研究成果；我们的研究与国外研究的相同点和差异点；如何进一步深化研究等等。

创新力与控制力统一的思想是我们通过对国内外一些企业从“明星”到“流星”的蜕变过程的考察、跟踪，深入研究后提出来的。本着不唯上，不唯书，只唯实的思路，对我国不少企业运行中出现的下列一些问题引起了我们的深思：为什么会出现“不搞技改等死，搞了技改找死”？为什么有的国有企业，内部人控制严重，出现了“庙穷方丈富”的现象？为什么有的在国外投资的国有企业，“个人富了，国家亏了”，有的甚至携款潜逃？为什么一批企业，很快从明星转入流星？如太阳神、秦池、飞龙、亚细亚等。

上述现象的出现，说明从国有企业到非国有企业，从国内企

2 企业结构·能力·绩效——微观 SCP 框架研究

业到国外企业都存在一个企业创新力与控制力如何统一的问题。

目前企业界、企业管理学界大多强调企业管理中创新的重要，这是很必要的，今后还要不断宣传企业创新的重要。但是应当指出，人们在强调创新力的同时，往往很少注意甚至忽视了企业的控制力。如果只是强调创新力而忽视控制力，就可能对企业的发展，特别是对大中企业的持续发展带来危害，这是我们提出创新力与控制力统一的初衷和出发点。

我们这一思路的公开表述是我在总结海尔大成功的十条经验中出现的，指出海尔的大成功，归根结底是海尔的创新力与控制力的统一。由于这是一个重大的企业管理思路，虽然提出来了，但是为什么国内同声少觅处。带着这个问题我们通过多次报告会的形式，去征询企业家的看法，可以说他们都众口一词地认为“企业创新力与控制力的统一”是大中企业能否持续发展的一个关键问题。之后，新华社记者吴晓波先生的《大败局》一书 2001 年问世。读后，很受启发。吴晓波指出缺乏创新会导致企业长期失血，缺乏控制会导致企业猝死。从而使我们更加坚定了提出这一企业管理新思路的信心。

同在 20 世纪 90 年代，国外学者对企业管理的研究，也提出了与我们相似的观点。伊查克·爱迪思博士在 35 个国家 400 多个组织中担任管理咨询顾问，在他的《企业生命周期》和《把握变革》两本著作中提出“企业成长与老化同生物体一样，主要都是通过灵活性与可控性这两大因素之间的关系来表现的”，“灵活性和控制性是 E（创新精神）和 CAPI（A 指职权，P 指权力，I 指影响，C 指前三者的结合）的函数”。这就是说企业的灵活性与创新性在很大程度上是相重合的，只有不断创新企业才能灵活，而只有保持可控性和灵活性的企业才能得以长久存在。这里实质上反映了创新力与控制力的统一。罗伯特·西蒙斯教授和哈

佛大学商业行政管理学院查尔斯·M·威廉教授，在他们的著作《控制的树干：管理者如何利用创造性控制系统来驾驭策略更新》中指出：“20世纪90年代企业经理们面对的一个主要问题是：如何在一个要求灵活性和创新性的企业施加足够的控制”。这与我们的观点是相当一致的。

我们的研究与国外学者的研究的共同点是：从企业营运的实际出发得出了大中企业的持续发展都必须重视“创新力与控制力的统一”的结论。上述三位学者的三本著作问世，使我们的研究从“国内同声少觅处”，进入到“喜逢海外有知音”。不同点是，无论是伊查克·爱迪思教授，还是罗伯特·西蒙斯教授，他们提出的创新力与控制力统一的观点，是从发达的市场经济和现代企业制度比较健全的企业实际出发，因此，他们大多是偏重从文化的角度而较少地从制度的角度来提出问题和解决问题。如伊查克·爱迪思提出的“健康的管理 = $f(\text{PAEI}), (\text{CAPI})$ ”。罗伯特·西蒙斯提出的缓解创造性和控制性矛盾的四大系统：诊断系统、信仰系统、禁区系统和交叉控制系统。而我国企业现实处境是市场经济和现代企业制度正在建立过程中。企业制度不健全，是创新力与控制力的统一难以实现的关键。因此，中国企业如何做到创新力与控制力的统一，除了要重视企业文化的建设，当务之急是建立健全现代企业制度。因此，从本土实际出发，我们的研究大多是从制度安排上考虑的多一些。当然企业的改革，改到深处，就是企业文化问题，而且企业文化建设与企业制度建设是相辅相成的，任何好的制度安排都需要优秀的企业文化作支撑，这是企业界和企业管理学界的共识。

本论丛的五本专著系在博士论文基础上修改而成的，围绕“企业创新力与控制力统一”这一问题，分别从不同的角度进行了探索。

4 企业结构·能力·绩效——微观 SCP 框架研究

周晖博士的《企业生命模型研究》，在企业创新力与控制力统一的理论基础上，提出了企业生命模型，以揭示影响企业成长的各因素及其相互耦合的作用机理。作者在模型中构建了企业成长“基因”的“DNA 双螺旋结构”——财务资本链与人力资本链。连接双链的四要素是企业家、公司治理、技术与文化。作者从理论与实践的角度进一步阐明企业生命模型中的四因素自身演化以及对企业成长演化的作用机理。并在此基础上初步建立了创新力与控制力统一综合性的企业评价体系和企业的三级预警系统，并以中国的 1000 多家上市公司进行了实证分析。

曾令逸博士的《转型期国企保险式授权经营研究——兼论创新力与控制力的统一》，剖析了我国国有企业为什么难以走出“收”与“放”的困境，为什么有的国有企业改革总是虎头蛇尾等问题，指出建国以来至今的国企改革方案，改革开放前和改革开放初期，国企的主要矛盾是控制力过强，统得过死，企业缺乏足够的活力和自主权，企业创新力几乎被扼杀。而改革开放后至今，国企的主要矛盾是企业有了一定活力甚至创新力，但企业短期行为严重，控制力逐渐削弱，有的乃至丧失。只有真正的公司才具有自我调节的功能，才能实现创新力和控制力的统一。作者在文中提出了国有资本通过引入体制外资本保险式授权经营，重构公司治理结构，以形成新的生命体的国有企业改革思路。

叶生洪博士的《企业结构·能力·绩效——微观 SCP 框架研究》，在既有的企业管理理论的基础上，创造性地提出了微观的结构·能力·绩效（SCP）研究框架。作者较系统地研究了我国企业的结构、能力、绩效问题，并深入探讨了三者的相互关系。作者从企业创新力与控制力统一的管理思想来考察企业的结构、能力和绩效问题，认为企业的结构安排从静态来讲体现的是控制，从动态来讲结构的变迁便是创新，企业的结构优化必须注意

创新力与控制力相统一；创新力与控制力本身就是两种重要的企业能力，企业能力包括核心能力得到提升和转化为现实的竞争优势的必要条件就是坚持创新力与控制力的统一；从三要素的互动来看，在互动过程中充分贯彻创新力与控制力的统一的企业才能实现可持续发展，反之则很难得到有效发展。作者根据研究结论提出了中国企业的现实对策性思考。

肖海林博士的《企业可持续发展——理论基础、生成机制与管理框架》，是国内首部系统分析新经济条件下企业可持续发展生成机制的著作。作者针对新经济对企业成长机制的深刻影响，提出了企业可持续发展的理论基础，揭示了可持续竞争优势四面体协同成长——创新力与控制力动态效率统一——学习能力演进的企业可持续发展时空网状生成机制，并在此基础上提出了以企业可持续发展为目标的 LCT 管理框架。作者发现，企业可持续发展的直接支撑——可持续竞争优势表现为以市场权力、产业平台、制度平台和核心能力为核心慢变量的四面体形结构关系，竞争优势得以持续的机制是四要素的协同作用与缺位支撑；企业可持续发展要通过四面体成长管理来实现，而四面体成长靠创新力与控制力协同驱动，是两力动态效率统一的表现；学习型组织则是实现创新力与控制力动态效率统一的载体和机制，从而是企业可持续发展的原动力。作者比较成功地建立了创新力与控制力统一论的概念体系和逻辑体系，尤其是对海尔集团持续发展的实证性分析，突破了国内外对海尔的分析框架，颇具创新性。

王成慧博士的《市场营销理论的演进逻辑与创新研究》，从市场营销的角度分析了创新力与控制力统一问题。作者从理论上科学地阐释了市场营销的逻辑起源，从营销哲学和总体理论框架、顾客理论与竞争理论三大方面系统阐述了营销理论的发展过程，总结了营销理论中 Ps 学说，并将其与最新发展起来的关系营

6 企业结构·能力·绩效——微观 SCP 框架研究

销 4Rs 理论进行了有效地整合，构建了当今营销学两大理论流派的融合模型。作者将以资源基础理论和企业能力理论为主的“竞争优势内生论”的思想观点引入了营销理论的分析范畴，并将企业顾客价值创造能力体系作为营销理论分析的一个重要组成部分。特别是在营销理论创新框架中，作者运用创新力与控制力动态统一的思想，构建了一个“蝶形”营销理论创新框架。将企业营销活动分为顾客价值搜寻、顾客价值创造和顾客价值传递三个过程，并形成企业价值创造的内部四大能力体系和外部两大合作网络的运行平台。

上述五本著作可以说是我们前期对“创新力与控制力统一”这一问题研究的一个小结。我们虽然在 20 世纪 90 年代，提出了“企业创新力与控制力的统一”问题，近年来围绕这一问题相继发表了一批论文，但我们的研究毕竟是初步的。从理论上讲为什么要坚持创新力与控制力的统一？什么是创新力与控制力的统一？如何建立考核创新力与控制力统一的指标体系？等等，都需要作进一步深入研究。我们前此的作为，只能是一种引玉之砖，为了及早使我们的大中型企业进入国际强手之林，我们切盼广大企业界和企业管理学界的关注和帮助。

彭星间

2003 年 9 月

Study on Structure, Competence and Performance——SCP Framework of the Enterprise (Abstract)

Inspired by the modern industry theory of SCP framework and the thought of professor Peng XingYu——the unification of innovating and controlling ability, the dissertation try to establish a SCP framework of enterprises, in which the thought runs through.

I . the question raised and its meaning

In industry economics, SCP framework belongs to middle – level research category, whose effect on modern business management theory cannot be neglected. Michael Porter introduces the paradigm of SCP into the study of business management, and upholds the competitive strategic theory that is based on the analysis of industry structure, which opens up a new field in enterprise strategic theory. But the study of micro – enterprise management problems from the viewpoint of market or industry on the basis of SCP framework merely brings out exogenous consequences. Marxism philosophy says that internal factors play a decisive role in the development of things, which is true for the study of problems in the process of enterprise – management, that is, the study of enterprise – management surely needs endogenetic

2 企业结构·能力·绩效——微观 SCP 框架研究

SCP framework, not the SCP of industry or market but that of a single enterprise.

In fact, any problem in enterprise – management will relate to one of three endogenetic factors – structure, competence and performance of enterprises. Theoretically, establishing a theoretical system of enterprise – management based on the framework of enterprise structure, competence and performance is not only possible but also meaningful.

The thought, the unification of innovating and controlling ability, was firstly raised by professor Peng Xingyu from Zhongnan University of Economics and Law at the beginning of 1990s. But up to now, it doesn't form a complete theoretical system, which needs further study. This article tries to establish a framework, in which the thought runs through, and we can use it to analyze problems and guide practice.

Practically, in our country, the governance structure of Enterprise Corporation, twisted seriously, is far from reaching ideal condition. There are still many problems existing in the institutional structure of property rights. Domestic enterprises, especially state – owned enterprises lack core competence, which results in poor performance.

This topic is very meaningful in theory and practice. Raising the SCP framework of enterprises at the micro – level, systematically studying this problem, and further exploring the relationship among the three benefit not only to the perfection of the unification of innovative and controlling capacity, and the realization of theoretical innovation, but to deepening of the reform of state owned enterprises, strengthening their competitive competence, and promoting the healthily sustainable development of national economy in our country.

II . the main content and views of this article

This article is divided into five parts according to the outline.

The first chapter chiefly studies the enterprise economic nature, which is the starting point of this article. We summarize previous research conclusions such as scale economy, scope economy, link economy, speed economy and growth economy. On this basis, the enterprise economic nature is taken as structural economy, which induces the attention to enterprise structure.

Briefly, structural economization is that the economy is brought by the structure optimization. The essence of enterprise economization is structural economy. Scale, scope, link and speed are facial phenomenon, whose economization is realized through the optimization of enterprise structure. Scale economy reflects the economization reached by the optimization of enterprise structure in the process of the expansion of enterprise scale from the viewpoint of input. Scope economy does so in the process of output diversification from viewpoint of output. Link economy can be regarded as more complex scope economy. It leads to a wholly new economized phenomenon, because link changes enterprise internal structure and external environment, their mutual relation. Scale economy, scope economy and link economy consider structural economy in space, while speed economy is structural economy considered from the viewpoint of time.

The second chapter mainly studies enterprise structure. Further exploring enterprise from the dimension of structure completely breaks the black box existing as production function in classical microeco-

4 企业结构·能力·绩效——微观 SCP 框架研究

nomics. We chiefly study the structure of enterprise governance, organization layers, knowledge composition and the changing tendency of enterprise structure.

Enterprise structure is the organization and match among every different factors, including their qualitative and quantitative composition. Legally, enterprise organization experiences institutional evolution from ownership and partnership to corporation. From the viewpoint of management, the picturesque characteristics of enterprise organizational structure is the standardization and deepening of hierarchy. Hierarchy structure is the most appropriate condition employed by rational bounded person facing complex things. Enterprise knowledge is deeper portion of enterprise competence, which can play a key role only when it become intellectual capital. The tendency of the evolution of enterprise structure is showed in becoming more flat, softer, partitioned, networklized and boarder blurring.

The third chapter mainly discusses the origin and the present state of enterprise competence. Firstly, the historical source of enterprise competence theory is summarized from two dimensions – the evolution of enterprise theory in economics and that of strategic theory in management, and systematically concludes some views and fruits of the present enterprise competence theory. And then, further exploration is made about enterprise competence as the source of competitive advantage. We still study the identification, evaluation, cultivation and foundation of enterprise competence, and establish the faint evaluating model of enterprise core competence.

Enterprise competence theory is not sporadic to become the focus of the evolution of enterprise theory in economics and that of strategic

theory in management, but essential result of mutual deepening development of enterprise theory and practice. To acquire sustainable competitiveness, enterprises must participate in competition at the three levels – core competence, core products and final products. Core competence is the source of enterprise competitiveness. Final products are market display of core competence. Core products are physical carriers of core competence, which is different from general enterprise competence. Its characteristics are shown in five aspects such as market value, picturesque, extendable, hard to imitate and impossible to trade. Enterprise core competence can be traced back through its final products which can bring profit, which is the organic collective unit of different factors. This article put up comprehensive evaluating index system to assess core competence, and construct faint evaluating model for it. Core competence can be established from the following aspects: constructing learning organization, sustainably strengthening innovation, external restructuring of enterprises, including forming strategic alley alliance with enterprise with complementary advantages, and merging enterprises endowing with certain specialty, restructuring internal resources.

The fourth chapter studies the assessment and management of enterprise performance. We introduce evaluating indexes and ways of enterprise performance, of which more advanced evaluating method of balance scoring is chiefly discussed. Finally, the assessment and management of enterprise performance is further explored.

When evaluating enterprise performance, we need firstly identify key factors that affect enterprise success. Traditional financial evaluation indexes, generally basing on accounting profit, are hard to reflect

6 企业结构·能力·绩效——微观 SCP 框架研究

enterprise management performance. Presently, creative value is another new assessing standard, which is popularly used by European and American enterprise except accounting profit performance system. Creative value, also called Economic Value Added, refers to economic return higher than capital opportunity cost when considering risks of capital investment. Evaluating method of balance scoring perfectly combines financial and non-financial indexes so that we can rapidly and comprehensively evaluate enterprise from several point views. The assessment and management of enterprises is two blade sword, which can either improve their performance, or make them worse.

The fifth chapter studies the relationship among three factors - structure, competence and performance of enterprises, analyzes the practical problems of Chinese enterprises in detail. Starting from three questions in microeconomics, this article analyzes dominant position of enterprise structure in three, explores the relationships between enterprise structure, competence and performance on the basis of the analysis of the mutual relation among enterprise property rights, governance structure and organizational structure, and finally construct a dynamic model of enterprise SCP framework, in which the unification of innovating and controlling competence runs through. This chapter empirically analyzes the relation between structure and performance of real estate stock company in our country, and points out current problems faced by Chinese enterprises on the basis of SCP framework.

Enterprise structure is the fundamental problems in enterprise management. Staticly, a certain enterprise structure determines its performance and competence. But dynamicly, enterprise structure, competence and performance are mutually promoting, which is often

neglected. In fact, the growth of enterprises is not the result of the single aspect of structure, competence and performance, but that of their mutual promotion. With the analysis of SCP framework, we raise some countermeasures to solve the unreasonable structure and the low competence of state owned enterprises. These are to deepen the reform of state owned enterprises and optimize enterprise structure, to strengthen innovation and control and construct core competitive competence so as to improve enterprise competence, and to release the heavy burden from enterprises and strengthen performance management in order to enhance enterprise performance.

Ⅲ. the merits and demerits of the article

1. merits

The article raises the SCP framework of the micro – enterprise management theories; The economic nature of enterprises is summarized as structural economy; The unification of innovating and controlling ability is demonstrated to be necessary, on which four implications are given out; the dynamic model of three factors SCP framework are constructed; Some countermeasures are put up according to the conclusions in the article.

2. demerits

The study on SCP framework at micro – level is just my first trial. The analysis of mutual relation among three factors in SCP framework is not comprehensive, in which many aspects need further explora-

8 企业结构·能力·绩效——微观 SCP 框架研究

tion. It is regrettable that there is no concrete evaluating indexes raised in the article. Enterprise competence is not included in empirical analysis. And the analysis is just relevant research. The mutual promotion of the three factors in SCP framework is not given prominence to analyze.

Keywords: Structure, Competence, Performance, Innovation, Control