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跨国公司在发展中国家 R&D 投资的区位模式研究

楚天骄·著

The Location Patterns of MNCs' Overseas R&D
Investment in Developing Countries



上海社会科学院出版社



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总 序

P R E F A C E

创办中国浦东、井冈山、延安干部学院，是党中央从推进中国特色社会主义伟大事业和党的建设新的伟大工程全局出发作出的一项重大决策。

中国浦东干部学院自 2005 年 3 月正式开办以来，始终坚持胡锦涛同志提出的切实把学院建设成为进行革命传统教育和基本国情教育的基地、提高领导干部素质和本领的熔炉以及开展国际培训交流合作的窗口的办学目标，秉承“实事求是、与时俱进、艰苦奋斗、执政为民”的办学要求，努力体现“国际性、时代性、开放性”的办学特色，取得了较为突出的业绩，正在向“国内一流、国际知名”的新型领导学院的方向稳步迈进。

办好一所学院的关键是教师。人才是事业之本，人才兴则事业兴、事业旺。“所谓大学者，非大楼之谓也，有大师之谓也”，这句话对中国浦东干部学院来讲同样有指导意义。中国浦东干部学院汇集了一批优秀的教师，他们当中，既有国外学成归来的学子，也有来自国内著名

高校、科研机构青年才俊。他们有火热的创业激情，有对干部教育培训事业的执著和热爱。他们大多拥有博士学位，在自己所属的学科领域已崭露头角。这支队伍是建设好中国浦东干部学院的人才支持和智力保证。为他们搭建平台，促进他们成长，引领他们发展，是学院义不容辞的职责。

支撑一所学院的基础是学术。学院之称，有学科、学养、学理之意蕴。没有了学术，学院也就失却了原动力和根基。中国浦东干部学院创办以来，坚决贯彻并创造性地执行中央的战略决策和一系列办学要求，明确了教育培训、科学研究、咨询服务、领导测评、网络教育五位一体的功能定位，突出强调了学术研究、学科建设在学院发展中的重要地位。整合学术资源、加强学科建设对学院发展至关重要。

体现一所学院办学水平的重要标志是品牌。品牌汇集了办学的智慧，凝聚了办学的精华，同时也提升了学院的美誉度。中国浦东干部学院以问题为核心，以能力为导向，以现场教学资源为依托，自创办以来培训了大批学员，培训成果显著，一批具有较高质量的课程品牌、教学品牌正在形成。从一所学院的发展来看，既要有教学的品牌，也要有科研的品牌；既要有品牌学员，也要有品牌教员；而这一切都需要长期积累。求木之长必先固其本。积累品牌素材，探寻品牌来源，滋养品牌发展，是学院发展的长远大计。

基于上述认识,我们组织出版了这套中国浦东干部学院博士文库。入选文库的书稿均为学院青年教研人员的博士学位论文,并经过了严格的“双盲”评审。作者根据评审意见和所论问题的发展以及研究的深化,都进行了认真修改,可以说基本反映了所论问题的学科前沿。我们希望,这套分辑出版的文库能开启和激励我们的后续研究,促进学院自身研究特色和学术传统的形成,促进相关学科领域的建设,促进学术交流与繁荣。

文库的出版得到了上海社会科学院出版社领导和编辑同志的鼎力支持和帮助,借此表示诚挚谢意。同时,对为文库的建设作出贡献的评审专家和付出辛劳的同志表示诚挚的感谢。

文库中存在的不足,敬恳广大读者批评指正。

中国浦东干部学院博士文库编委会

2007年元月

ABSTRACT

MNCs used to conduct little research and development (R&D) outside their home base, especially in developing countries. At the end of 20th century, the rapid increase of MNCs' R&D investment in developing countries has been a new trend of the globalization of industrial R&D. It brings challenge to the traditional theories of MNCs and location theory, and has become an important subject of inquiry for economic and business theory.

Main stream theories have limited possible locations of R&D facilities of MNCs in development countries, where market demands are most demanding and R&D infrastructures are readily available. It has been assumed that MNCs R&D facilities in developing countries are only marginally important to their parent companies' long-term fortune, if such facilities exist at all. It has been assumed that such a point of view is too simplistic in an age where emerging technologies are opening potential "windows of opportunities" for lagging countries. Certain developing countries are becoming increasingly attractive locations for R&D facilities from MNCs, and they are involved not only in development for foreign domestic markets, but also in original research for the

global markets.

How to explain this phenomenon? What are the characteristics of the R&D investment from MNCs in developing world? How to explain the motivations of MNCs' investing in developing world? Are there any laws and patterns determining the location of MNCs' overseas R&D? This thesis reports a comprehensive theoretical and empirical study of the location of MNCs' R&D investment in developing countries.

This thesis explores the developing course and geographical distributing characteristics of MNCs' R&D investment in developing countries. The course that MNCs' R&D investment in developing countries experienced can be divided into three phrases: slow growing, undulate rising, and rapid developing. The characteristics of MNCs' R&D in developing countries can be concluded as follow: Firstly, Asia and Latin America are becoming the poles attracting the lion's share of MNCs R&D in developing world. Secondly, wide industry differences appear in the geographical distribution: the manufacturing of computer and electronics are concentrated in Asia, while the manufacturing of chemical and transportation equipment are more dispersed. Thirdly, the expatriate R&D units which engaged in research are concentrated in only a few regions in a handful countries, while those in development are more dispersed.

An index system is constructed to evaluate the location conditions of MNCs' R&D investment in 24 developing countries. The R&D can be divided into the knowledge-producing phrase and

the knowledge-applying one, which have different demands on location. The former's location factors include R&D resource, infrastructure, and policies in host country, while the latter's market size, FDI and export. According to the factors, 24 indices are selected to evaluate the location conditions. Based on the evaluation, all developing countries that have been evaluated are divided into the knowledge-applying location and the knowledge-producing one.

Singapore is a representative case of knowledge-applying location. An empirical study is conducted to examine the decisive factors for MNCs conducting R&D investment in Singapore. Using the data in the period 1990-2000, statics analysis is employed to examine the factors which affect MNCs conducting local R&D investment. The regression findings show that the main factors are the nature and the scale of MNCs' local manufacture. Furthermore, governmental financial support for R&D and the excellent infrastructure are helpful in attracting more MNCs' R&D.

Taiwan is a representative case of knowledge-producing location, and an empirical study is conducted to examine the decisive factors for MNCs conducting R&D investment in Taiwan. The finding is that the main factors include the accumulated production experiences and management skills, high-quality and relatively low-cost R&D personel, Taiwan's indigenious technical capabilities in the broadly-defined IT industry, and the government investment incentives. All R&D units set up by MNCs are

concentrated in Taipei, in order to embedding in Taiwan's innovation center.

This thesis develops a location theory and raises the patterns of R&D investment abroad by MNCs. The substance of MNCs conducting R&D abroad is to seek for the most feasible resource site all over the world. According to the location theory, the location patterns of MNCs R&D investment abroad are concluded as follow: the knowledge-applying R&D investment is close to MNCs' local manufacture, while the knowledge-producing one is embedding in the local innovation center.

Finally, this thesis suggests that the government of China should put a system of policies attracting and utilizing MNCs' R&D investment into force. The policy framework should include the R&D policies of attracting MNCs' to conduct R&D investment, the correlative policies of supporting, and the policies of accelerating the spillovers of MNCs' R&D activities.

Keywords: Overseas R&D investment; Location; Multinational corporations (MNCs); Developing country; Pattern

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