

# 战略管理

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可持续发展观点

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**STRATEGIC  
MANAGEMENT**

**A SUSTAINABLE DEVELOPMENT PERSPECTIVE**

刘力钢 著

辽宁人民出版社

教育部“211工程”重点研究项目

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## 前 言

战略管理问题已经成为现代企业发展和理论界研究的热点和重点问题。伴随着社会 and 科学技术的发展, 经济学和管理学的研究领域也越来越广泛和深入, 不同学科的相互融合性为理论和实践研究提供了更为科学的方法和探索的空间。战略管理的理论研究和实践指导作用的地位越来越突出。

战略管理思想产生于20世纪初, 以法约尔为代表的管理学者提出了管理的五项职能, 形成了早期的战略管理思想。20世纪30年代, 巴纳德 (Barnard, 1938) 在《经理人员的职能》一书中, 提出了组织与环境能够匹配的思想, 奠定了战略分析方法的基础。20世纪60年代是战略管理理论逐渐形成体系并产生主流学派的时期。在这一时期, 以钱德勒 (Chandler, 1962) 的《战略与结构》、安索夫 (Ansoff, 1965) 的《公司战略》等其他管理学者为代表的理论和思想, 形成了设计和计划主流学派, 提出了企业发展与环境匹配的战略分析思想。20世纪80年代战略管理研究领域进入重大的转折时期, 首先在这一研究领域由战略管理学会 (SMS) 创刊了《战略管理杂志》(SMJ), 专门研究战略管理的学术期刊。与此同时, 美国哈佛商学院教授迈克尔·波特 (Michael Porter, 1980) 《竞争战略》和《竞争优势》(1985) 著作公开出版, 带来了新的战略管理思想, 使战略管理研究领域进入了一个新的阶段。主要的战略管理思想是在产业组织的方式下, 提出了产业竞争结构决定了企业的战略制定和选择的“产业竞争力模型”。在此基础上, 交易成本理论和代理理论也开始影

响企业战略管理的研究。20世纪90年代初,以普拉哈拉德和哈默(Prahalad and Hamel, 1990)在《哈佛商业评论》上发表了《企业的核心能力》一文之后,关于核心能力理论的研究在战略管理的领域中占了主要地位,形成了“核心能力学派”。他们认为,产业结构虽然是企业竞争环境的关键组成部分,但产业结构的特征和演变只能是制定竞争战略的主要依据。企业战略研究更重要的是对企业自身资源和能力的研究。90年代中期柯林斯和蒙哥马利(Collins and Motgomery, 1995)的《资源竞争:90年代的战略》一文,对企业资源和能力的认识更深入了一层,提出了企业的资源管理论。至此,核心能力理论和资源基础理论成为20世纪后期的主要战略管理理论流派。21世纪开始,企业战略管理理论的研究进入了一个非主流学派的多种战略管理思想共生的时期。战略管理的研究更多地引进了组织社会学的新制度理论,公司治理理论,动态能力理论,生态系统理论,网络理论,变革与创新理论,超与竞争理论等等。企业战略管理越来越多的引进了相关学科的理论思想和方法,使企业战略管理理论体系日臻完善。企业战略管理走进了新的理论丛林。

迈克尔·波特在《竞争优势》一书的前言中曾经指出:“竞争优势是竞争性市场中企业绩效的核心。然而经过几十年的蓬勃的扩张和繁荣,很多企业在追求疯狂的增长和多角化经营的过程中,将竞争优势抛于脑后。”许多公司战略的失败正是由于不能将广泛的竞争战略转化为获取竞争优势的具体实施步骤。有效的战略是企业寻求竞争优势的前提,而竞争优势的形成依赖于战略的具体实施。在现代的市场竞争中,每一个企业都是通过寻求到一定的竞争优势而生存和发展的,这种竞争优势的形成必须来自于企业对战略的研究。

无论是从理论界还是从企业发展的实践来看,战略管理问题是每一个企业在其发展过程中必须研究和解决的重要问题。从世界金融危机中我们可以看到,很多世界著名的企业在全球性经济危机到来之时毫无应对能力而破产倒闭,而许多企业一直保持着长盛不衰的发展竞争优势。仔细分析我们就会发现,很多企业之所以会兴盛或衰败,其影响的因素很多,但最重要的是看这些企业是否有一个清晰、有效、利于企业长期发展的战略以及对战略的管理和实施。

现代市场竞争中,随着竞争环境的变化,越来越多的不确定因素影响着企业的发展。任何一个企业要想在长期的竞争中不断地寻求竞争优势,实现

可持续发展,就必须根据企业自身的能力和 environment 变化的特征制定出有效的发展战略。在新的竞争环境下,企业要想取得竞争优势的重要条件是企业能够适应外部环境的变化,有效、合理地组织和配置企业内部资源,使其不断地形成企业独特的核心竞争力,而要实现这些管理目标,最重要的是企业战略系统的识别和实施。20 世纪市场竞争成功的重要因素是企业的发展规模和实现规模所要求的专业活动及严格的企业内部管理。21 世纪企业成功发展的重要因素是企业适应外部环境因素变化的能力以及企业对未来发展变化的预期程度。

现代企业的竞争是优势的竞争,如何使企业在自身的发展过程中寻求到与竞争对手不同的特色,并将这些特色优势持续发展,对企业来说是十分重要的。企业竞争的优势可以来自多方面,但最重要的优势是企业战略的优势。只有确定了明确的战略优势,其他方面的优势才会围绕这一优势显现出来。长期以来,国内外许多学者对企业的战略管理理论作了较全面、系统的研究,但从实践上来看还有许多问题需要进行深入的探讨。特别是对企业的管理实践的指导性,还需要从经济学、管理学等诸多的学科融合中对战略管理进行具体的分析。同时,在战略管理研究的领域中还有很大研究的空间,不仅要从理论上对企业战略管理理论进行完善,也要从实践上对企业战略管理理论加以补充。

本书通过大量的文献检索和经典理论的梳理,从企业如何实现可持续发展的命题假设提出为前提,从制度经济学、管理学的视角,运用了系统论的研究思想,对企业战略管理的理论和实践问题进行了较全面的分析。本书的写作力图从一个全新的视角和研究的框架,对战略管理的基本命题,战略管理理论的前沿问题归纳,战略管理的基本模式选择,战略管理的基本方法等理论和实践可操作性的问题进行研究,为战略管理研究提供一个系统的逻辑分析框架和建立一种整体的战略管理理念。

本书的研究路径是按照问题分析的逻辑和战略管理系统的框架进行的,是按照问题的假设、理论体系的研究、战略环境、战略组织、战略模式选择、战略评价方法、战略控制的逻辑分析顺序展开的。在各章节内容中,尽可能地对各种战略管理理论和思想进行吸收、融合和比较,使读者能够较好地对战略管理思想进行深刻的理解。同时,对一些典型的实际案例进行分析,使

问题研究更为具体和鲜活。全书的安排没有拘于一般理论问题研究的框架，注重的是对企业管理实践的指导性，但是没有偏离问题研究的基本逻辑和科学性。本书的主要内容是作者多年来在为博士研究生、硕士研究生、MBA 学生以及为企业策划过程中的研究和实践积累成果的归纳。同时，在写作过程中参考了国内外一些管理学者的研究成果和思想，并在书中予以了明确注释。如果本书能为战略管理理论和实践的研究提供一些有益的借鉴，则是我所期望的。

本书是教育部“211 工程”三期重点项目中，管理创新与大企业竞争力——公司文化与大企业竞争力和大企业竞争力与企业成长战略项目的阶段性成果。

本书的写作过程中，李军岩、袁少峰、葛遵峰、提莫兹博士也参与初稿的部分章节写作和相关工作。加拿大女皇大学 (Queen's University) 的 Shuo Liu 在本书写作的过程中也参与了部分章节和案例的写作，同时还对相关外文文献进行检索并对文字做了大量的翻译工作。

作 者

2010 年 6 月

## Preface

Strategic management has become the focus and priority for the development and theoretical research on modern corporations. In conjunction with social and technological development, economics and management research fields are also increasingly broadening and deepening, and the resulting confluence of different disciplines has provided more scientific methods and exploration space for both theoretical and empirical research. The prominence of theoretical research on strategic management and the role of empirical guidance are increasing as well.

Strategic management thinking started in the early 20th century, based on scholars represented by Fayol who put forward the five functions of management, which formed the basis of early strategic management thinking. During the 1930s, Barnard, through his book, *The Functions of the Executive*(1938), presented the idea of matching the organization with its environment, which laid the foundation for strategic analysis. During the 1960s, strategic management theory evolved systematically to become a mainstream school system. During this period, Chandler's *Strategy and Structure* (1962), Ansoff's *Corporate Strategy*(1965), and other management scholars' theories and ideas formed the design school and the planning school of strategic management, which respectively put forward the idea of corporate development and strategic analysis of the relationship between the firm and the



environment.

During the 1980s, the field of strategic management research reached a major turning point. First of all, in the area of research the Strategic Management Society (SMS) started publishing the Strategic Management Journal (SMJ), an academic journal specializing in strategic management. During the same period, Michael Porter, professor of Harvard Business School, published two books: *Competitive Strategy* (1980) and *Competitive Advantage* (1985). These two books brought new thinking to the field of strategic management and raised strategic management research to a new level. The main ideas of strategic management come from studies of industrial organization and the concept of "the Industry Competitiveness Model" which asserts that industry structure determines the formulation and selection of appropriate corporate strategies. Based on that, transaction cost theory and agency theory also began to influence the research on strategic management of firms.

During the early 1990s, after Prahalad and Hamel published *The Core Competence of the Corporation* (1990) in the *Harvard Business Review*, research articles on core competency theory assumed a major position in the strategic management field, leading to the formation of the Core Competence School. Proponents of the Core Competence School argue that although industry structure is a key component of the competitive environment of the firm, the characteristics and evolution of the industry structure, while constituting the main basis for formulating competitive strategies, cannot provide the sole rationale for those strategies. Research on strategies of the firm is therefore mostly about the firm's own resources and capabilities. During the mid 1990s, Collins and Montgomery's article, *Competing on Resources: Strategy in the 1990's* (1995), provided a much deeper understanding of the resources and capabilities of the firm. They proposed a theory on the management of the firm's resources. Thus, the Core Competence Theory and the Resource-Based Theory became the main schools of strategic management theory of the late 20th century.

At the beginning of the 21st century, research on strategic management theory entered into a multi-disciplinary period, drawing from a variety of non-mainstream schools of strategic management thought. Research on strategic management has

imported institutional theory from organizational sociology, corporate governance theory, dynamic capabilities theory, ecological system theory, network theory, theory of change and innovation, hypercompetition theory and so on. Increasingly, more theoretical ideas and methods from related disciplines are being introduced into strategic management, enabling the strategic management body of theory to constantly improve. Strategic management theory has entered into a new period of complex theoretical interconnectivity.

In the preface of *Competitive Advantage*, Michael Porter pointed out: "Competitive advantage is at the heart of a firm's performance in competitive markets. After several decades of vigorous expansion and prosperity, however, many firms lost sight of competitive advantage in their scramble for growth and pursuit of diversification." Porter's theory explains the reason of failure for most firms is that they fail to translate a broad competitive strategy into the implementation of concrete steps for gaining competitive advantage. An effective strategy is the basis of seeking competitive advantage by firms; moreover, the attainment of competitive advantage depends on the specific implementation of that strategy. In today's competitive marketplace, every firm survives and develops through the seeking of certain competitive advantage, the formation of such a competitive advantage must come from the firm's own research of its corporate strategy.

Whether viewed from a theoretical perspective or from the practice of corporate development, strategic management issues are important issues that every firm needs to study and solve. One can see from the recent world financial crisis that many world renowned firms that lacked the capability to respond went into bankruptcy, while many other firms continued to flourish and develop their competitive advantage. Through careful analysis, we find that the factors that influence firms to either flourish or collapse are many, but the most important thing is to see whether these firms have a focused and effective strategy for their long-term development in conjunction with the management and implementation of that strategy.

In today's competitive marketplace, where changes in the market relationships are constant, an increasing number of uncertain factors affect the development of

firms. Any firm that seeks persistent competitive advantage in the long-term competitive environment and attainment of sustainable development must formulate effective development strategies that are based on both the characteristics of the firm's own capabilities and the changes in the environment. In the new competitive environment, important conditions for gaining competitive advantage by a firm are that the firm must be able to adapt to the changes in the external environment, and that the firm must also effectively and reasonably organize and deploy internal resources, enabling the firm to continually develop unique core competitiveness.

To achieve the aforementioned management objectives, the most important issues are the recognition and implementation of the corporate strategy system. The most important factors for market competitive success during the 20th century were the firm's scale of development, the carrying out of professional activities required by that scale, and the strict internal management of the firm. In contrast, the most critical factors for successful development of the firm in the 21st century are the capability to adapt to changes in the external environmental factors and the anticipated degree of developmental changes by the firm.

Modern competition by firms is competition for advantage. What is crucial for a firm during its development is to obtain characteristics that distinguish it from its competitors and then persistently developing these unique advantages. The sources of competitive advantage can come from many aspects, but the most important advantage is the competitive advantage of the firm's strategy. It is only after establishing a clear strategic advantage that other supplementary advantages can emerge around it. Over the years, a number of scholars in China and abroad have done relatively comprehensive and systematic studies about strategic management theory, however, from an empirical point of view, there are many issues that need in-depth investigations. Specifically, regarding guidance on corporate management practices, there is still a need to conduct specific analysis on strategic management, integrating various disciplines: economics, management and so on. Meanwhile, there is still great potential for further research in the field of strategic management, not only on contributions to the improvement of corporate strategic management theory, but also

on adding contributions to the strategic management theory through empirical studies.

This current book is the product of a review of large quantity of business literature and classical theories. It puts forward a hypothetical proposition of the preconditions for firms to achieve sustainable development from both institutional economics and management perspectives. The book uses systems theory research thinking in carrying out a more comprehensive analysis of the theoretical and empirical issues in strategic management of firms. From a new perspective and research methodology, the writing of the current book strives to provide a framework and concept for systematic logical analysis and building of a holistic strategic management concept for conducting research on implementable theoretical and empirical issues such as the basic propositions of strategic management, generalization about frontiers of strategic management theory, the basic model choices in strategic management, the basic methods of strategic management and so on.

The research approach for the book follows the logic of problem analysis and strategic management systems framework. The study uses assumptions of the problem, research on theoretical systems, strategic environment, strategic organization, choices of strategy models, methods of strategy evaluation, and expanded sequential logical analysis of strategic controls. Throughout the text, as much as possible, the book has assimilated, integrated and compared a variety of strategic management theories and ideas to enable readers to have a better understanding of strategic management thinking. At the same time, analyses are conducted on some representative cases to enable the issues under discussion to become more specific and vivid. The arrangement of the book does not adhere to the general theoretical framework for problem-based research, rather, it focuses on guiding business management practice. However, in no way does it deviate from the basic logic and science of problem-based research. The main content of the book is based on the author's many years of accumulated research and practical experience in the process of teaching and supervising doctoral, master's and MBA students as well as developing business plans for companies. Furthermore, in the process of writing, the author reviewed a number of foreign scholars' research works and ideas, which are clearly documented in the text. It is

sincerely hoped that this book will provide some useful lessons for research on strategic management theory and practice.

This book is published under the “211 Project” Key Project Phase Three of the Ministry of Education, and it reports the initial results of the project entitled “Management Innovation and Competitiveness of Large Firms — Corporate Culture and Competitiveness of Large Firms, and Competitiveness of Large Firms and Growth Strategy of the Firms”.

In the process of writing this book, doctoral students Junyan Li, Shaofeng Yuan, Zunfeng Ge, Timothy Vedastus made contributions to some sections. Shuo Liu of Queen's University (Canada) also assisted in writing some portions of the chapters, as well as contributing case writing and researching and translation of relevant foreign literature.

**Author**

June 2010

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