

# 采购与供应链管理

Purchasing and Supply Management

Fifteenth Edition

[加] 弗雷泽·约翰逊 (P. Fraser Johnson)

著

[美] 安娜·弗林 (Anna E. Flynn)

第15版

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P. Fraser Johnson, Anna E. Flynn  
**Purchasing and Supply Management (Fifteenth Edition)**

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# 出 版 说 明

为了适应经济全球化的发展趋势,满足国内广大读者了解、学习和借鉴国外先进的管理经验和掌握经济理论的前沿动态,清华大学出版社与国外著名出版公司合作影印出版一系列英文版经济管理方面的图书。我们所选择的图书,基本上是已再版多次、在国外深受欢迎、并被广泛采用的优秀教材,绝大部分是该领域中较具权威性的经典之作。

由于原作者所处国家的政治、经济和文化背景等与我国不同,对书中所持观点,敬请广大读者在阅读过程中注意加以分析和鉴别。

根据我国的教学实际情况和外方出版社的要求,我们在影印过程中删掉了原书第 15 章、第 16 章、第 17 章以及索引中的内容。

我们期望这套影印书的出版对我国经济科学的发展能有所帮助,对我国经济管理专业的教学能有所促进。

欢迎广大读者给我们提出宝贵的意见和建议;同时也欢迎有关的专业人士向我们推荐您所接触到的国外优秀图书。

清华大学出版社经管事业部

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世纪之交，中国与世界的发展呈现最显著的两大趋势——以网络为代表的信息技术的突飞猛进，以及经济全球化的激烈挑战。无论是无远弗界的因特网，还是日益密切的政治、经济、文化等方面的国际合作，都标示着 21 世纪的中国是一个更加开放的中国，也面临着一个更加开放的世界。

教育，特别是管理教育总是扮演着学习与合作的先行者的角色。改革开放以来，尤其是 20 世纪 90 年代之后，为了探寻中国国情与国际上一切优秀的管理教育思想、方法和手段的完美结合，为了更好地培养高层次的“面向国际市场竞争、具备国际经营头脑”的管理者，我国的教育机构与美国、欧洲、澳洲以及亚洲一些国家和地区的大量的著名管理学院和顶尖跨国企业建立了长期密切的合作关系。以清华大学经济管理学院为例，2000 年，学院顾问委员会成立，并于 10 月举行了第一次会议，2001 年 4 月又举行了第二次会议。这个顾问委员会包括了世界上最大的一些跨国公司和中国几家顶尖企业的最高领导人，其阵容之大、层次之高，超过了世界上任何一所商学院。在这样高层次、多样化、重实效的管理教育国际合作中，教师和学生与国外的交流机会大幅度增加，越来越深刻地融入到全球性的教育、文化和思想观念的时代变革中，我们的管理教育工作者和经济管理学习者，更加真切地体验到这个世界正发生着深刻的变化，也更主动地探寻和把握着世界经济发展和跨国企业运作的脉搏。

我国管理教育的发展，闭关锁国、闭门造车是绝对不行的，必须同国际接轨，按照国际一流的水准来要求自己。正如朱镕基同志在清华大学经济管理学院成立十周年时所发的贺信中指出的那样：“建设有中国特色的社会主义，需要一大批掌握市场经济的一般规律，熟悉其运行规则，而又了解中国企业实情的经济管理人才。清华大学经济管理学院就要敢于借鉴、引进世界上一切优秀的经济管理学院的教学内容、方法和手段，结合中国的国情，办成世界第一流的经管学院。”作为达到世界一流的一个重要基础，朱镕基同志多次建议清华的 MBA 教育要加强英语教学。我体会，这不仅因为英语是当今世界交往中重要的语言工具，是连接中国与世界的重要桥梁和媒介，而且更是中国经济管理人才参与国际竞争，加强国际合作，实现中国企业的国际战略的基石。推动和实行英文教学并不是目的，真正的目的在于培养学生——这些未来的企业家——能够具备同国际竞争对手、合作伙伴沟通和对抗的能力。按照这一要求，清华大学经济管理学院正在不断推动英语教学的步伐，使得英语不仅是一门需要学习的核心课程，而且渗透到各门专业课程的学习当中。



课堂讲授之外,课前课后的大量英文原版著作、案例的阅读对于提高学生的英文水平也是非常关键的。这不仅是积累相当的专业词汇的重要手段,而且是对学习者思维方式的有效训练。

我们知道,就阅读而言,学习和借鉴国外先进的管理经验和掌握经济理论动态,或是阅读翻译作品,或是阅读原著。前者属于间接阅读,后者属于直接阅读。直接阅读取决于读者的外文阅读能力,有较高外语水平的读者当然喜欢直接阅读原著,这样不仅可以避免因译者的疏忽或水平所限而造成的纰漏,同时也可以尽享原作者思想的真实表达。而对于那些有一定外语基础,但又不能完全独立阅读国外原著的读者来说,外文的阅读能力是需要加强培养和训练的,尤其是专业外语的阅读能力更是如此。如果一个人永远不接触专业外版图书,他在获得国外学术信息方面就永远会比别人差半年甚至一年的时间,他就会在无形中减弱自己的竞争能力。因此,我们认为,有一定外语基础的读者,都应该尝试一下阅读外文原版,只要努力并坚持,就一定能过了这道关,到那时就能体验到直接阅读的妙处了。

在掌握大量术语的同时,我们更看重读者在阅读英文原版著作时对于西方管理者或研究者的思维方式的学习和体会。我认为,原汁原味的世界级大师富有特色的表达方式背后,反映了思维习惯,反映了思想精髓,反映了文化特征,也反映了战略偏好。知己知彼,对于跨文化的管理思想、方法的学习,一定要熟悉这些思想、方法所孕育、成长的文化土壤,这样,有朝一日才能真正“具备国际战略头脑”。

以往,普通读者购买和阅读英文原版还有一个书价的障碍。一本外版书少则几十美元,多则上百美元,一般读者只能望书兴叹。随着全球经济合作步伐的加快,目前在出版行业有了一种新的合作出版的方式,即外文影印版,其价格几乎与国内同类图书持平。这样一来,读者可以不必再为书价发愁。清华大学出版社这些年在这方面一直以独特的优势领先于同行。早在1997年,清华大学出版社敢为人先,在国内最早推出一批优秀商学英文版教材,规模宏大,在企业界和管理教育界引起不小的轰动,更使国内莘莘学子受益良多。

为了配合清华大学经济管理学院推动英文授课的急需,也为了向全国更多的MBA试点院校和更多的经济管理学院的教师和学生提供学习上的支持,清华大学出版社再次隆重推出与世界著名出版集团合作的英文原版影印商学教科书,也使广大工商界人士、经济管理类学生享用到最新最好质优价廉的国际教材。

祝愿我国的管理教育事业在社会各界的大力支持和关心下不断发展、日进日新;祝愿我国的经济建设在不断涌现的大批高层次的面向国际市场竞争、具备国际经营头脑的管理者的勉力经营下早日中兴。

赵纯钧 教授

清华大学经济管理学院

# Preface

Purchasing and supply management has become increasingly visible in a world where supply is a major determinant of corporate survival and success. Supply chain performance influences not only operational and financial risks but also reputational risk. Extending the supply chain globally into developing countries places new responsibilities on the supplier and supply, not only to monitor environmental, social, political, and security concerns but also to influence them. Thus, the job of the supply manager of today goes way beyond the scope of supply chain efficiency and value for money spent to search for competitive advantage in the supply chain. Cost containment and improvement represent one challenge; the other is revenue enhancement. Not only must the supply group contribute directly to both the balance sheet and the income statement; it must also enhance the performance of other members of the corporate team. Superior internal relationship and knowledge management need to be matched on the exterior in the supply network to assure that the future operational and strategic needs of the organization will be met by future markets. The joy of purchasing and supply management lives in the magnitude of its challenges and the opportunities to achieve magnificent contributions.

For more than 80 years this text and its predecessors have championed the purchasing and supply management cause. Based on the conviction that supply and suppliers have to contribute effectively to organizational goals and strategies, this and previous editions have focused on how to make that mission a reality.

A great deal has happened in the supply field since the 14th edition was published. Continuing advances in MIS and technology provide new ways to improve supply efficiency and effectiveness. New security, environmental, and transparency requirements and the search for meaningful supply metrics have further complicated the challenges faced by supply managers all over the world. As a consequence, several changes and updates have been made to the 15th edition. First, the new edition provides an opportunity to incorporate the latest theory and best practice in supply chain management into the text. Wherever appropriate, real-world examples and current research are used to illustrate key points. Second, the application of information technology to supply chain processes continues to change rapidly, including the evolution of cloud-based computing. The text has been updated accordingly, including a major revision to Chapter 4. Third, there are also several important emerging issues—including sustainability, challenges of managing risk in a global supply chain, and collaboration—that are addressed in this text. Lastly, nearly one-third of the cases have been replaced with new cases that cover topics such as negotiation, outsourcing, risk management, and sustainability. Thus, the examples in the text and more than 45 real-life supply chain cases afford the chance to apply the latest research and theoretical developments in the field to real-life issues, opportunities, decisions, and problems faced by practitioners.

In this edition the focus on decision making in the supply chain has also been strengthened considerably. The chapter sequence reflects the chronological order of the acquisition process. Criteria for supply decisions have been identified in three categories: (1) strategic, (2) operational, and (3) additional. It is the third category with balance sheet and income statement considerations, all dimensions of risk, environmental, and social considerations that is growing in relevance, making sound supply decisions an even more complex challenge.

Since the sixth edition nearly 40 years ago, Michiel R. Leenders has been an author of this text. As Professor of Operations at the Ivey Business School, Mike has been one of the great leaders in the supply field for more than half a century. His accomplishments include authorship of three other procurement books, founding director of the Ivey Purchasing Managers Index, and a long list of articles and presentations at international conferences. In 2003, Mike received the International Federation of Purchasing and Materials Management's highest research honor in the form of the Hans Ovelgonne Award. Mike did not participate in this edition, although his past contributions are still evident throughout this text.

A book with text and cases depends on many to contribute through their research and writing to expand the body of knowledge of the field. Thus, to our academic colleagues our thanks for pushing out the theoretical boundaries of supply management. To many practitioners, we wish to extend our gratitude for proving what works and what does not and providing their stories in the cases in this text. Also many case writers contributed their efforts so that approximately one-third of all the cases in this edition are new.

Case contributors in alphabetical order included: Carolyn Cameron, Garland Chow, Jorge Colazo, Jenni Denniston, Dominique Fortier, Manish Kumar, Glen Luinenberg, Eric Silverberg, Dave Vannette, and Marsha Watson.

Instructor and student supplements are available on this book's website at **www.mhhe.com/johnson15e**. Instructor ancillaries are password-protected for security.

The production side of any text is more complicated than most authors care to admit. At McGraw-Hill Education Christina Kouvelis, Kaylee Putbrese, Michelle Valenti, Jane Mohr, Dheeraj Chahal and many others contributed to turn our efforts into a presentable text.

The support of Dean Bob Kennedy and our colleagues at the Ivey Business School has been most welcome.

The assistance of the Institute for Supply Management in supporting the continuous improvement of supply education is also very much appreciated.

*P. Fraser Johnson*

*Anna E. Flynn*



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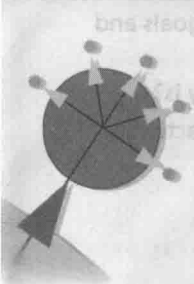
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# Chapter One



## Purchasing and Supply Management

### Chapter Outline

#### Purchasing and Supply Management

*Supply Management Terminology*

*Supply and Logistics*

#### The Size of the Organization's Spend and Financial Significance

#### Supply Contribution

*The Operational versus Strategic*

*Contribution of Supply*

*The Direct and Indirect Contribution of Supply*

#### The Nature of the Organization

#### Supply Qualifications and Associations

#### Challenges Ahead

*Supply Chain Management*

*Measurement*

*Risk Management*

*Sustainability*

*Growth and Influence*

*Effective Contribution to Organizational Success*

#### The Organization of This Text

#### Conclusion

#### Questions for Review and Discussion

#### References

#### Cases

*1-1 Denniston Spices*

*1-2 Erica Carson*

## Key Questions for the Supply Decision Maker

Should we

- Rethink how supply can contribute more effectively to organizational goals and strategies?
- Try to find out what the organization's total spend with suppliers really is?
- Identify opportunities for meaningful involvement in major corporate activities?

How can we

- Align our supply strategy with the organization's strategy?
- Get others to recognize the profit-leverage effect of purchasing/supply management?
- Show how supply can affect our firm's competitive position?

Every organization needs suppliers. No organization can exist without suppliers. Therefore, the organization's approach to suppliers, its acquisition processes and policies, and its relationships with suppliers will impact not only the performance of the suppliers, but also the organization's own performance. No organization can be successful without the support of its supplier base, operationally and strategically, short- and long-term.

Supply management is focused on the acquisition process recognizing the supply chain and organizational contexts. Special emphasis is on decision making that aligns the supplier network and the acquisition process with organizational goals and strategies and ensures short- and long-term value for funds spent.

There is no one best way of organizing the supply function, conducting its activities, and integrating suppliers effectively. This is both interesting and challenging. It is interesting because the acquisition of organizational requirements covers a very wide and complex set of approaches with different needs and different suppliers. It is challenging because of the complexity and because the process is dynamic, not static. Moreover, some of the brightest minds in this world have been hired as marketing and sales experts to persuade supply managers to choose their companies as suppliers. It is also challenging because every supply decision depends on a large variety of factors, the combination of which may well be unique to a particular organization.

For more than 80 years, this text and its predecessors have presented the supply function and suppliers as critical to an organization's success, competitive advantage, and customer satisfaction. Whereas in the 1930s this was a novel idea, over the past few decades there has been growing interest at the executive level in the supply chain management and its impact on strategic goals and objectives.

To increase long-term shareholder value, the company must increase revenue, decrease costs, or both. Supply's contribution should not be perceived as only focused on cost. Supply can and should also be concerned with revenue enhancement. What can supply and suppliers do to help the organization increase revenues or decrease costs? should be a standard question for any supply manager.

The supply function continues to evolve as technology and the worldwide competitive environment require innovative approaches. The traditionally held view that multiple sourcing increases supply security has been challenged by a trend toward single sourcing. Results from closer supplier relations and cooperation with suppliers question the wisdom of the traditional arm's-length dealings between purchaser and supplier. Negotiation is receiving increasing emphasis as opposed to competitive bidding, and longer-term contracts are replacing short-term buying techniques. E-commerce tools permit faster and lower-cost solutions, not only on the transaction side of supply but also in management decision support. Organizations are continually evaluating the risks and opportunities of global sourcing. All of these trends are a logical outcome of increased managerial concern with value and increasing procurement aggressiveness in developing suppliers to meet specific supply objectives of quality, quantity, delivery, price, service, and continuous improvement.

Effective purchasing and supply management contributes significantly to organizational success. This text explores the nature of this contribution and the management requirements for effective and efficient performance. The acquisition of materials, services, and equipment—of the right qualities, in the right quantities, at the right prices, at the right time, with the right quality, and on a continuing basis—long has occupied the attention of managers in both the public and private sectors.

Today, the emphasis is on the total supply management process in the context of organizational goals and management of supply chains. The rapidly changing supply scene, with cycles of abundance and shortages, varying prices, lead times, and availability, provides a continuing challenge to those organizations wishing to obtain a maximum contribution from this area. Furthermore, environmental, security, and financial regulatory requirements have added considerable complexity to the task of ensuring that supply and suppliers provide competitive advantage.

## PURCHASING AND SUPPLY MANAGEMENT

Although some people may view interest in the performance of the supply function as a recent phenomenon, it was recognized as an independent and important function by many of the nation's railroad organizations well before 1900.

Yet, traditionally, most firms regarded the supply function primarily as a clerical activity. However, during World War I and World War II, the success of a firm was not dependent on what it could sell, since the market was almost unlimited. Instead, the ability to obtain from suppliers the raw materials, supplies, and services needed to keep the factories and mines operating was the key determinant of organizational success. Consequently, attention was given to the organization, policies, and procedures of the supply function, and it emerged as a recognized managerial activity.

During the 1950s and 1960s, supply management continued to gain stature as the number of people trained and competent to make sound supply decisions increased. Many companies elevated the chief purchasing officer to top management status, with titles such as vice president of purchasing, director of materials, or vice president of purchasing and supply.

As the decade of the 1970s opened, organizations faced two vexing problems: an international shortage of almost all the basic raw materials needed to support operations