

提升国际市场适应性：营销探索与开发战略研究系列丛书

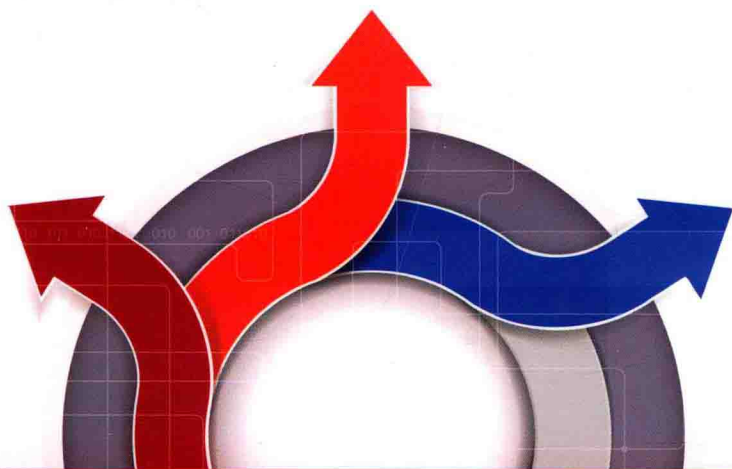
丛书主编 许 晖

RESEARCH ON THE INFLUENCE MECHANISM OF INTER-FIRM NETWORK,  
KNOWLEDGE SEARCH AND ITS AMBIDEXTERITY  
ON INNOVATION PERFORMANCE

# 国际化过程中企业网络、 知识搜寻双元均衡 对创新绩效的影响机制研究

in the Process of Enterprise Internationalization

范雅楠◎著



中国经济出版社  
CHINA ECONOMIC PUBLISHING HOUSE

RESEARCH ON THE INFLUENCE MECHANISM OF INTER-FIRM NETWORK,  
KNOWLEDGE SEARCH AND ITS AMBIDEXTERITY  
ON INNOVATION PERFORMANCE

# 国际化过程中企业网络、 知识搜寻双元均衡 对创新绩效的影响机制研究

in the Process of Enterprise Internationalization

范雅楠◎著



中国经济出版社  
CHINA ECONOMIC PUBLISHING HOUSE

北京

## 图书在版编目 (CIP) 数据

国际化过程中企业网络、知识搜寻二元均衡对创新绩效的影响机制研究 / 范亚楠著.

北京: 中国经济出版社, 2018. 6

ISBN 978 - 7 - 5136 - 5171 - 4

I. ①国… II. ①范… III. ①企业绩效—研究 IV. ①F272. 5

中国版本图书馆 CIP 数据核字 (2018) 第 074644 号

责任编辑 张梦初 杨元丽

责任印制 马小宾

封面设计 华子设计

出版发行 中国经济出版社

印刷者 北京九州迅驰传媒文化有限公司

经销者 各地新华书店

开 本 710mm × 1000mm 1/16

印 张 18. 75

字 数 265 千字

版 次 2018 年 6 月第 1 版

印 次 2018 年 6 月第 1 次

定 价 58. 00 元

广告经营许可证 京西工商广字第 8179 号

中国经济出版社 网址 [www.economyph.com](http://www.economyph.com) 社址 北京市西城区百万庄北街 3 号 邮编 100037

本版图书如存在印装质量问题, 请与本社发行中心联系调换 (联系电话: 010 - 68330607)

版权所有 盗版必究 (举报电话: 010 - 68355416 010 - 68319282)

国家版权局反盗版举报中心 (举报电话: 12390) 服务热线: 010 - 88386794

国家自然科学基金青年项目“国际创业企业知识搜寻双元策略及其对  
机会识别的影响机制研究：基于双重网络嵌入的视角”（项目编号：  
71702086）阶段性研究成果

从“黑天鹅”频发到“灰犀牛”来袭，当今全球经济和政治格局正在发生深刻变化，人类社会正处在大变革和大创新的关键时期。国际经济环境的复杂性和动荡性日益加剧，全球化已经处在一个关键的时间节点上。新一轮科技和产业革命方兴未艾，国际分工体系加速演变，全球价值链深度重塑，新兴市场和新兴中产阶级迅速崛起，全球性贸易保护主义升级，海外投资环境日趋严峻，消费者心理及行为特征发生重大变化。面对各种机遇和挑战并存，全球需要新共识，中国需要新智慧，企业的国际化之路需要新战略和新方案。

习近平总书记提出的“一带一路”倡议带来了新的增长模式和理念，突出了互利共赢、包容、公平与全球普惠，给全球带来名副其实的“中国智慧”和“中国方案”。应对逆全球化思潮和世界经济形势的挑战，“一带一路”倡议不仅为沿途各国的经济发展创造了更为广阔的空间，也给中国企业国际化发展创造了千载难逢的历史机遇。十八大以来，随着我国“创新驱动发展”和“一带一路”倡议的不断深入实施，越来越多的中国企业在中国智慧的指引下发挥中国企业的能动性，不断提升企业国际市场竞争力，为世界经济持续发展注入新的动力，以实际行动重塑全球化。

联合国贸易与发展会议（UNCTAD）2017年最新的世界投资报告显示，2016年中国的对外投资飙升44%，达到1830亿美元，首次成为

全球第二大投资国。2017年进入世界500强的中国企业已达到115家,成为全球市场的有力争夺者。与此同时,来自发展中国家和新兴市场的对外直接投资占全球对外直接投资的比重也已超过40%,越来越多的来自发展中国家和新兴市场的跨国公司已经在本土及全球市场上与传统跨国巨头全面展开竞争。传统的企业国际化理论和方法聚焦于传统的跨国公司,不能完全满足解释新兴国际化企业的需要,研究者提出应该开发新的理论和方法,新兴国家及新兴国际化企业已经成为一个重要的研究情境(Gu, Hung and Tse, 2008; Hoskisson et. al., 2000; Dunlap, et al., 2016; Raghunath and Rose, 2017)。对传统跨国公司和新兴的国际化企业来说,应该在国际化战略、创新管理、营销策略等方面重新思考现有的理论和实践。理论研究应该深入探寻以中国企业为代表的新兴国际化企业带来的实践启示。

新兴国际化企业要适应当前动荡、无常、复杂、模糊(VUCA)的不确定国际市场环境,必须增强企业自身的动态能力,才能不断地跟随外界环境的变化,达成自身的演化与发展。企业一方面需充分利用现有资源,实施战略调整以提升适应性;另一方面则需要不断突破,发展新能力和竞争优势。管理学大师马奇(March, 1991)将这两类学习机制或战略选择定义为开发(Exploitation)与探索(Exploration),认为这两类活动是企业获取和维持竞争优势的关键因素,在组织学习、战略管理、创新等研究领域受到广泛关注。实现“二者兼具”的双元均衡(Ambidexterity)被认为是新兴市场上的国际化企业最适合的战略选择之一。中国从来不缺乏应对矛盾的智慧,传统哲学强调“和谐”“平衡”“阴阳转化”的理念,其背后的悖论思维和解决思维与双元性理论强调兼顾和平衡的观点不谋而合。“一带一路”倡议体现了中国传统哲学中“求同”和“存异”的辩证思维。“和而不同”“因地制宜”也体现在中国企业的国际市场竞争实践中。因此越来越多的研究者将目光投向中国传统的管理哲学,开始探讨使用阴阳等思维、中庸等东方管理理

论来指导企业实践，并尝试提高传统管理理论的科学性和普适性，以更好地实现与西方管理学者的对接（Tan and Meyer, 2011; Luo and Bu, 2017）。近年来有研究者指出营销领域也需要借鉴这一理论视角，用来解释如何通过探索与开发以提升企业市场竞争优势的问题，因此将营销探索与开发引入企业国际化及国际市场营销研究具有重要的理论及实践意义。

创新与国际化是未来中国企业发展的必经之路，是当前中国企业思想最活跃和思想丰富的领域，也是理论研究急需关注和深入探讨的领域。本系列研究关注“国际化”和“创新”两个主题，在整合资源基础观（RBV）、动态能力（DC）、知识观（CK）、“结构—行为—绩效”（SCP）等理论及整合框架的基础上，结合国际市场的动态特征和企业国际化存在的现实问题，引入营销探索与营销开发、营销双元性、国际化知识、知识搜寻、国际市场适应性的概念，针对企业如何通过能力和战略提高国际市场适应性和企业绩效的问题，构建全面的理论研究框架，对当前中国企业应对国际化挑战、提升国际竞争力提供了重要的理论借鉴。

我和指导的博士生研究团队共同对营销双元性、探索与开发、国际营销动态能力、国际市场适应性等相关问题进行了系列探讨，并取得了一系列卓有成效的研究成果。研究过程中，我们参考并借鉴了国内外相关领域学者的大量研究成果，尤其是得到在国际商务与国际营销研究领域享有盛誉的邹绍明教授（The University of Missouri - Columbia, Robert J. Trulaske, Sr. College of Business）的大力支持与帮助，邹教授在全球营销等方面的突出成就为我们的研究奠定了坚实的理论基础。丛书是在我和邹绍明教授共同申请的国家自然科学基金项目“企业营销探索与开发战略及其对国际市场适应性的影响研究：基于能力—战略匹配视角（项目编号：71472097）”的基础上完成的阶段性研究成果。邹教授作

为丛书的总顾问，对课题的研究及丛书的写作给予了很多有价值的建议，并亲自为丛书撰写英文序言。在此代表我个人及研究团队的成员向邹教授表示由衷的感谢！

许 晖

南开大学商学院

教授、博士生导师

美国富布赖特高级研究及驻学访问学者

2017年12月26日



When expanding into the global market, the emerging markets firms can't avoid fast changing global market conditions due to intensified competition, rapid technological advancement, and shifting international political and economic landscapes. They have to compete with not only traditional international firms from developed countries but also unorthodox competitors from emerging markets with aggressive and nontraditional strategies. To survive and prosper in the uncertain and fast changing global markets, international firms from emerging markets must rapidly develop a strong adaptability in various international markets. A firm's adaptability in international markets is an ability to quickly adjust its products, marketing strategies, and organization to fit the changing demand and market conditions of foreign markets.

Unfortunately, research on how emerging market firms develop adaptability in international markets has been scarce. Little knowledge is available as to how international market adaptability is developed and how it can be sustained in the uncertain and fast changing global market. It is against this background that the current research series on emerging market firms' marketing exploration, exploitation, and ambidexterity initiated and supervised by Professor XU Hui and completed by her doctoral students represents an extremely timely and critical contribution to the international business knowledge and literature. The four volumes in this book series are designed to tackle different issues involved in understanding

and fostering the development of international market adaptability by emerging market firms. Collectively, they present an insightful and comprehensive perspective of how emerging market firms develop their international market adaptability through marketing exploration, exploitation, and ambidexterity. Indeed, this series forms a solid foundation upon which future research can be conducted and practical application can be made.

Volume 1 in this series, which is skillfully completed by Dr. XU Shouren, deals with the importance of duality of marketing exploration and marketing exploitation in emerging market firms' creation of international market adaptability and attainment of superior performance. Specifically, Dr. Xu carefully examined the conceptual domains and underlying dimensions of marketing exploration, which involves gaining new knowledge and introducing innovations in international markets, and marketing exploitation, which focuses on using existing knowledge and competitive advantages to grow in international markets. Combining case research method and cross-sectional survey, Dr. Xu has found that both marketing exploration and marketing exploitation have positive effects on emerging market firms' adaptability and performance in international markets, and more importantly that firms seeking ambidexterity by balancing marketing exploration and marketing exploitation tend to have the best performance. Dr. Xu's research findings are very significant because, while past research has made an attempt to examine the effects of marketing exploration and marketing exploitation, most have treated the two strategies as mutually exclusive. Dr. Xu's research has presented a new perspective that marketing exploration and exploitation can and should be pursued simultaneously and in a balanced way.

Volume 2, diligently done by Dr. WANG Ruizhi, examines how marketing exploration and marketing exploitation serve as the underlying mechanisms for emerging market firms to develop their international market adaptability. In fact, Dr. Wang's research has made a couple of significant contributions to the inter-

national business literature. First, using a grounded theory approach, Dr. Wang has delineated the specific dimensions of marketing exploration and marketing exploitation. This has improved our understanding of the two popular concepts from a marketing perspective. Second, drawing from the “capability-strategy-performance” framework in the existing literature, Dr. Wang has developed a “marketing capability-marketing exploration and exploitation-international market adaptability” framework to link marketing exploration and marketing exploitation to emerging market firms’ international market adaptability. This framework has enhanced our understanding of what drives an emerging market firm’s marketing exploration and exploitation. Overall, the framework developed and tested in Dr. Wang’s research is likely to spur future research on the boundary conditions under which the two mechanisms of marketing exploration and exploitation will be especially useful in developing emerging market firms’ adaptability and performance in international markets.

Volume 3, finely crafted by Dr. FENG Yongchun, investigates how emerging market firms’ internationalization knowledge affects their international market adaptability. Dr. Feng argued that internationalization knowledge is a strategic asset that needs to be acquired and accumulated continuously. Yet, the existing literature is void of studies that focus on the mechanisms through which a firm’s internationalization knowledge can be converted into competitive advantages. Building on a mix of qualitative and quantitative research, Dr. Feng has found that emerging market firms have different needs for internationalization knowledge at different stages of internationalization and that various sources need to be tapped to obtain relevant internationalization knowledge. Moreover, Dr. Feng has found that a firm’s learning capacity is key to converting internationalization knowledge into international market adaptability and that its knowledge integration capability moderates the effect of internationalization knowledge on its learning capacity. Dr. Feng has also discovered that market dynamism moderates

the effect of emerging market firm's learning capacity on its international market adaptability. These findings offer valuable insight the role of internationalization knowledge in fostering emerging market firms' international market adaptability.

Volume 4, eloquently developed and contributed by Dr. FAN Yanan, is focused on emerging market firms' innovation performance in international markets as a key dimension of their adaptability in international markets. Specifically, Dr. Fan examined how knowledge search, both exploration and exploitation and ambidexterity, mediates the effects of emerging market firm's interfirm network on their innovation performance in international markets. While much has been said about the importance of interfirm network to a firm's international market performance, little is known in the international business literature about the mechanism by which interfirm network influence performance. Dr. Fan theorized that knowledge search through exploration and exploitation is an important intermediate mechanism through which interfirm network affects emerging market firms' innovation performance in international markets. Based on both qualitative and quantitative studies on Chinese internationalizing firms, Dr. Fan has found strong empirical support for her proposed theoretical framework. She also found that emerging market firms' absorptive capacity and the volatility of market conditions positively moderate the effect of knowledge search on innovation performance. Dr. Fan's research has significantly advanced the international business literature by identifying and supporting knowledge search as a key mediating mechanism by which interfirm network influence emerging market firms' innovation performance.

The four volumes in this research book series have combined to offer a fresh comprehensive perspective of how emerging market firms develop their adaptability and improve their performance in international markets. Given the fact that Chinese firms have been expanding aggressively in international markets and that these research projects were completed on Chinese international firms, the find-

ings of these research projects offer a unique window into understanding how Chinese internationalizing firms are able to enhance their adaptability and achieve impressive performance in international markets. Since international firms from different emerging markets face similar challenges when they embark on the path to internationalization, there seems to be a great potential that the findings reported in this book series can be generalized to other major emerging markets such as Brazil, India, Russia, and Turkey, and that this research series could conceivably help all emerging market firms to develop their adaptability and improve their performance in international markets. The book series should also form a solid theoretical and empirical foundation for future research to further advance the knowledge of how emerging market firms can be successful global competitors.

Overall, the four volumes in this research series are interrelated and complementary. The evidence presented is solid and rigorous; and the authors' presentations are refreshing and insightful. I believe this research series offers major insight to researchers and practitioners on internationalization of emerging market firms.

**Shaoming Zou**

Robert J. Trulaske, Sr. Professor and Professor of Marketing and International Business,

University of Missouri – Columbia

Guest Professor, Nankai Business School

Distinguished Overseas Professor, Central University of Finance and Economics

Series Editor: *Advances in International Marketing*

## 前言

随着全球经济一体化的加快和新兴经济体的快速发展，国际市场竞争环境日益动荡和复杂，为应对日益加剧的环境不确定性带来的挑战，国际化企业需要重新审视自身所处的国际产业分工格局，在变革的产业组织形式和如今的开放式创新范式下积极参与全球竞争与合作，借助全球网络平台获取生存和发展所需的互补性资源并主动构建关键性的产业互动关联以实现向全球价值链高端的转移。对我国国际化企业而言，如何在复杂多变的国际环境中通过开展知识搜寻以获取创新所需互补性资源，从而挖掘和整合多样化和异质性的知识资源以提升自主创新能力，成为学术界和实践界共同关注的热点和难点问题。

在创新范式日益呈现开放式和网络化特征的背景下，企业网络对技术创新的重要意义已得到学术界的广泛认可，同时知识搜寻带来的组织学习与创新也成为我国本土企业在全网络中实现自主创新能力提升和战略升级的关键途径。然而网络理论的现有研究文献对企业网络与知识搜寻作用于创新绩效的内在影响机制和作用情境仍不甚明了，并得出不一致的研究结论，形成了网络嵌入性悖论等矛盾和困境；同时学者们多从知识获取和组织学习的整体角度入手，并未深入探讨网络特征对知识获取过程中知识搜寻阶段的影响。此外，知识搜寻的相关研究主要强调其对企业创新的影响作用，但对知识搜寻策略的概念和分类标准模糊不清，既缺乏一个整合的概念加以协调，也并未系统考察知识搜寻不同策

略间是否存在最佳平衡点、如何通过平衡来取得最佳的搜寻效果等问题。为此,本书试图打开企业网络对创新绩效作用机制的黑箱,整合网络理论和组织搜寻理论,结合我国企业国际化管理实践的研究情境,基于二元性视角对知识搜寻策略加以区分和界定,并深入探讨企业网络影响知识搜寻策略及创新绩效的内在机理和演化过程。

本书基于上述管理实践与研究背景,以我国国际化企业为研究对象,采用定性和定量研究相结合的混合研究方法围绕企业网络如何影响创新绩效这一核心问题展开探讨,并构建了“企业网络—知识搜寻—创新绩效”的理论框架。本书的结论主要包括(1)知识搜寻及其双元均衡正向影响企业创新绩效,企业网络通过知识搜寻策略进而作用于创新绩效;(2)企业所处环境动荡性越高,国际市场知识搜寻对创新绩效的促进作用越显著,而企业吸收能力越高,国内知识搜寻对创新绩效表现越大的正向影响作用;(3)企业网络与知识搜寻策略间存在耦合性和协同演化关系,国际化企业在技术和市场的职能域中采取探索性和开发性的知识搜寻活动,借助域内均衡和域间均衡等方式实现知识搜寻双元平衡,随着企业国际化进程的深化和企业网络结构的调整,二者的相互匹配和协同演化能持续提升企业创新绩效。本书的价值和创新之处主要体现在:第一,对知识搜寻的概念框架进行深化和拓展,从知识类型和知识距离的角度区分了知识搜寻策略,并检验了知识搜寻策略及其双元均衡对创新绩效的不同影响。第二,揭示了企业网络通过知识搜寻作用于创新绩效这一内在机制的黑箱,建立了“企业网络—知识搜寻—创新绩效”的理论框架,有助于解释网络嵌入性悖论,并综合了组织和环境的情境因素探讨企业在多种因素共同影响下的知识搜寻策略选择。第三,采用动态的研究视角,通过案例揭示企业网络与知识搜寻的相互耦合与协同演化及其对创新绩效的影响,有利于明确我国国际化企业在全球网络情境下的知识搜寻策略选择和创新能力提升路径。

本书共包括七部分内容,结构安排如下:第一章,介绍本书的现实

背景和理论背景,明确研究问题和内容、研究方法以及总体的框架体系,并提出研究意义和创新点。第二章,系统梳理组织搜寻、企业网络和二元性理论的相关研究文献,为后续研究奠定文献基础和理论支撑。第三章,根据本书的研究目标和内容,构建整体研究模型并介绍本研究将采用的混合研究方法及整体研究设计思路。第四章,针对企业网络、知识搜寻及其二元均衡对创新绩效的影响机制进行理论推导,分别发展主效应和调节效应的假设关系。第五章,通过规范的量表开发和数据分析流程对理论模型和研究假设进行检验,以中国国际化企业样本数据验证企业网络通过知识搜寻对创新绩效的作用机制,并基于权变视角,考察不同的组织和环境情境下,知识搜寻对创新绩效的影响机制是否存在差异。第六章,采用纵向多案例研究方法选取了4家具有代表性的我国国际化企业展开案例分析,研究结果揭示了企业网络与知识搜寻相互耦合和协同演化的过程和路径。第七章,总结了本书的研究内容与研究结论,提出研究贡献和管理启示,并针对研究不足和局限指出未来的研究方向。



# 目录

第一章 绪论 .....	1
第一节 研究背景 .....	3
第二节 研究问题及内容框架 .....	13
第三节 研究意义及创新点 .....	19
第二章 理论基础与文献综述 .....	25
第一节 网络嵌入性研究 .....	27
第二节 组织搜寻理论研究概述 .....	41
第三节 组织双元性理论 .....	59
第四节 文献述评 .....	77
第三章 理论模型构建与研究设计 .....	81
第一节 理论发展与模型构建 .....	83
第二节 研究设计方法论指导 .....	96
第三节 研究设计与研究流程 .....	102
第四章 企业网络与知识搜寻对创新绩效影响的假设发展 ...	109
第一节 知识搜寻与创新绩效关系 .....	111
第二节 企业网络与知识搜寻关系 .....	124
第三节 知识搜寻与创新绩效权变关系的概念模型 .....	137