

我国海外企业 知识转移与绩效评价

WOGUO HAIWAI QIYE ZHISHI ZHUANYI YU JIXIAO PINGJIA

◎ 肖久灵 著



经济科学出版社
Economic Science Press

本书由南京审计学院重点学术著作出版专项资金资助出版

我国海外企业知识 转移与绩效评价

肖久灵 著

经济科学出版社

责任编辑：李 雪
责任校对：张长松
版式设计：代小卫
技术编辑：董永亭

我国海外企业知识转移与绩效评价

肖久灵 著

经济科学出版社出版、发行 新华书店经销

社址：北京市海淀区阜成路甲 28 号 邮编：100036

总编室电话：88191217 发行部电话：88191540

网址：[www. esp. com. cn](http://www.esp.com.cn)

电子邮件：[esp@ esp. com. cn](mailto:esp@esp.com.cn)

北京汉德鼎印刷有限公司印刷

华丰装订厂装订

880×1230 32 开 8.25 印张 230000 字

2007 年 12 月第一版 2007 年 12 月第一次印刷

ISBN 978 - 7 - 5058 - 6838 - 0/F · 6091 定价：18.00 元

(图书出现印装问题，本社负责调换)

(版权所有 翻印必究)

序 言

肖久灵博士以他的博士学位论文为主体内容，经过修改、补充而撰写的《我国海外企业知识转移与绩效评价》一书，由经济科学出版社出版发行。它是一部视角独特、结构新颖、内容充实、精心探索的学术力作，我很愿意为该书作序。

随着经济全球化和知识经济时代的到来，知识的重要作用业已成为不争的事实。企业知识基础理论（KBV）认为，企业是由多种知识构成的集合体，企业的知识存量和认知结构决定了企业配置、开发和利用资源的能力以及创新能力，从而最终决定企业的竞争优势和市场地位。对于我国跨国公司的整体而言，仍然处于跨国经营的初级阶段，它所拥有的知识源除自身创造知识外，绝大部分还是需要借助外界的知识，因此，如何通过海外企业有效获取和转移东道国的当地知识或技术，并加以整合和综合利用，提升我国跨国公司的知识优势和国际竞争力，已经成为我国企业跨国经营亟待研究和解决的重要问题。

肖久灵博士这部著作，即是以经济全球化和知识经济时代为背景，结合我国“走出去”战略的确立与实施，运用跨国公司理论、企业知识理论和现代统计学等理论与方法，采用理论研究与实证研究相结合、理论诠释与模型构建相结合等研究方法，从知识的视角对我国海外企业知识转移及其绩效评价展开系统深入的探索研究。

该著作内容研究的结构是从回顾评述我国海外企业发展历程和相关文献入手，探讨知识的内隐性、转移能力与国际进入模式之间的影响及综合作用，并构建相关数学模型，对各种进入模式的选择

进行解释；接着在阐述知识转移的概念构架基础上，提出我国海外企业知识转移的概念模型和形成机理，并归纳总结出我国海外企业知识转移的主要影响因素；进而对影响我国海外企业知识转移过程中的主要因素进行实证研究，并通过构建评价指标体系，对我国海外企业知识转移绩效进行综合评价；最后提出促进我国海外企业知识转移的对策措施。上述这些研究内容的资料丰富翔实，理论分析深入浅出，实证分析说服力强，对策措施很有针对性和可操作性，文中颇有创新之处，它对我国跨国公司及海外企业具有理论指导意义和实践应用价值。我相信，这一学术力作的出版，将会受到理论界和实业界读者的关注和青睐。

颜光华

2007 年 12 月作于上海财经大学

前 言

随着经济全球化及知识经济时代的到来，知识已经取代了土地、机器设备等传统生产要素，而成为第一生产要素。知识是企业获取持续竞争优势的重要来源，由于企业的知识存量和认知结构决定了企业配置、开发和利用资源的能力以及创新能力，从而最终决定企业的竞争优势和市场地位。企业所拥有的独特知识决定着企业的能力与经营边界，除了自身创造知识外，绝大部分还是需要借助外界的知识。因此，如何快速、有效地获取并转移知识，成为现代企业不断关注的焦点。本书通过文献回顾和理论探讨，并结合我国海外企业的具体发展实践，对我国海外企业的知识转移过程进行研究，重点研究的是海外企业至企业总部（或母公司）的知识垂直流出的转移过程，并构建相应的指标体系，对知识转移绩效进行综合评价。

本书研究的主要内容如下：

第一章绪论部分，主要介绍本书研究的背景、目的及意义，并对国内外有关知识转移的文献进行综述及对有关概念进行界定，随后探讨了本书的理论基础，最后介绍了本书的研究内容、研究方法和创新之处。

第二章在我国海外企业发展的具体实践的基础上，利用企业知识基础观点，对海外企业形成的原因进行了解释。对于我国企业而言，拓展国际市场即是将现有知识进行复制和转移，并创造新知识的过程，同时也是一种获取外部知识的重要手段，能够为企业保持持久发展及创新的动力。企业之所以要进行对外直接投资以保持企

业跨越国界的整体性，是由于其拥有某些内隐性强且可以产生竞争优势的知识，只有通过对外直接投资，将组织的边界扩展到海外，才能有效地在组织内部进行知识转移，充分发挥其优势。通过对外直接投资进行知识的内部转移，不仅是为了保持企业现有知识存量的完整性，也是为创造新知识而构筑平台。

第三章从知识的基本属性——内隐性和知识转移能力，探讨海外企业国际进入模式的选择问题。首先，根据各种进入模式所涉及知识内隐性的程度高低，将其界定为出口、联盟、WOS、特许或放弃等形式，通过理论分析和数学模型相结合的方式，讨论了知识内隐性的不同程度下国际进入模式的选择。其次，在前文分析的基础上，探讨知识转移能力对国际进入模式的影响，知识转移能力对知识内隐性水平与国际进入模式的选择具有缓和作用。最后，结合这两种与知识相关的因素，讨论了两者对国际进入模式的共同综合作用。

第四章根据一般沟通模式的原理，以及我国海外企业知识转移的过程特点，构建海外企业知识转移的概念架构。主要探讨：①海外企业在跨国公司网络中的策略性角色。海外企业嵌入在两个不同的网络中：全球网络和当地网络。在此两重网络中，海外企业承担不同的策略性角色：知识的接受者、知识获取者、知识创造者、知识转移者。②海外企业的知识转移概念架构的提出，其中主要涉及海外企业知识内化的学习机制，探讨了知识萃取、知识存储、知识建构、知识表达等模块；海外企业的知识整合机制，主要包括交互式整合机制和系统式整合机制；海外企业的知识转移模式，主要包括连续转移、近转移、远转移、策略转移和专家转移，每种转移模式的任务属性、组织背景、知识类型等都有所不同。③运用数理模型对海外企业知识转移的形成机理进行解释。④分析知识转移过程中的主要影响因素。根据知识转移的特点，将其分为内在性因素、主导性因素和支持性因素三个层面进行分析。

第五章对海外企业的知识转移过程进行实证研究。根据国家自

然科学基金项目(70372068)的部分调查数据以及实地访谈数据,对国家文化差异、知识类型、知识转移模式和跨国知识转移绩效之间的关系进行分析。实证研究结果表明:①国家文化差异对于跨国知识转移绩效具有影响,且针对不同的国家文化层面,所影响的知识转移绩效也有所不同。②在知识类型对国家文化差异和跨国知识转移绩效之间的关系影响方面,人员知识对于两者关系具有显著影响,而社会知识、结构知识对两者关系却没有影响。③在知识转移模式对国家文化差异和跨国知识转移绩效之间的关系影响方面,连续转移对国家文化差异和新产品开发绩效具有显著影响,而近转移、远转移、策略转移、专家转移对于国家文化差异与知识吸收和利用具有显著影响。

第六章对海外企业知识转移绩效评价问题进行研究。①本书结合平衡计分卡的原理,将知识转移绩效的评价体系划分为知识资本、技术创新、客户、组织和企业员工等五个层面,并依据模糊评价法的基本原理,将各个层面分解为目标层、准则层和指标层三个部分。②整个评价指标体系共计48项三级评价指标(指标层),13项二级指标(准则层)和4项一级指标(目标层)。在三级评价指标体系中,有14项为定性指标和34项为定量指标,并给出了定性指标和定量指标的无量纲化原则。③提出知识转移绩效评价模式,主要包括利用模糊德尔菲法筛选评价指标;利用模糊层次分析法计算每个层面的模糊权重值,计算知识转移绩效的综合模糊评价价值;利用距离公式计算求出综合模糊评价价值与整体语意变数的距离值;利用语意变数表达知识转移的整体绩效。依据此评价模式可以对知识转移绩效作出科学、合理的评价。

第七章提出促进我国海外企业的知识转移的保障措施。主要从组织结构安排、跨国知识转移系统构建、企业能力培育和激励制度建设等方面展开研究,并提出一些具体的对策措施。

本书的创新之处在于从知识视角对海外企业的演进进行诠释,提出了海外企业知识转移过程的概念架构,以及构建了相关

指标体系对知识转移绩效进行评价，但由于时间、精力、能力等原因限制，未能对有些问题进行深入研究，如外派人员作为知识转移载体，实证样本数据偏小等，以期在今后的研究中进一步深入和展开。

The Research on Knowledge Transfer and Performance of Overseas Subsidiaries in China

Abstract

With the arrival of economical globalization and knowledge economy age, the knowledge had already substituted for traditional elements of production such as land and machine equipment and so on, and had become the first element of production. The knowledge is the important origin of enterprise to acquire the continuous competitive advantage. Enterprise's knowledge storage and cognition structure decide the enterprise's ability of disposing, developing and using resources and innovation ability, and thus finally decide the enterprise's competitive advantage and market status. The unique knowledge possessed by the enterprise decides enterprise's ability and management boundary. Besides the enterprise creates knowledge by itself, it also depends on the outside knowledge. Therefore, how to obtain and transfer knowledge fast and effectively becomes the focus which the modern enterprises unceasingly pay attention to. Through the literature review, theory discussion and the concrete development practices of overseas subsidiaries in China, the book studied the entire knowledge transfer process of overseas subsidiaries. The main research is the reverse transfer process of knowledge's vertical flow out from the overseas subsidiaries to the headquarters (or parent company) and carried on the integrated evaluation on the knowledge transfer performance.

The main contents as follows:

First chapter is the introduction part, which mainly introduced the research background and significance, summarized the domestic and foreign related knowledge transfer literature, defined the related concepts, and then discussed the basic theories of this book, finally introduced the research contents, research methods and innovation of this book.

The main contents of second chapter as follows: on the foundation of the concrete development practices of overseas subsidiaries in China, this book explained the reasons of how the overseas subsidiaries came into being by using the knowledge theory of firm. Regarding our country enterprises, developing international market is the process of duplicating, transferring the present knowledge and creating new knowledge, simultaneously also is the important method to obtain exterior knowledge and can provide the power of lasting development and innovation for the enterprise. The enterprise should carry on the foreign direct investment to maintain the integrity of enterprise internationalization because it has some knowledge which be of strong tacitness and can inspire the competitive advantage. The enterprise can transfer the knowledge effectively within enterprise to display fully its superiority only through foreign direct investment to expand the boundary of organization abroad. Through foreign direct investment to impulse the internal knowledge transfer, it not only can maintain the integrality of storage quantity of enterprise's existing knowledge but also can create new knowledge.

From the aspects of the basic attributes of knowledge—tacitness and transfer ability, the third chapter discussed the tacitness of knowledge, transfer ability and the choice question of the overseas subsidiaries' international entry model. First, according to the tacitness degree of knowledge, the entry models are classed as export, alliance, wholly-owned subsidiaries, license or giving up and so on. Through unified theory

analysis and mathematics model, this book discussed the choice of international entry model under every degree of tacitness of knowledge. Then, this book discussed the influence of knowledge transfer ability on the international entry model, and the knowledge transfer ability has the adjustive function on the tacitness degree of knowledge and the choice of international entry model. Finally unified these two factors related with the knowledge, this book discussed the integrated effect of these two factors on the international entry model.

Based on the general communication model principles and process characteristics of knowledge transfer of overseas subsidiaries in China, the fourth chapter designed the concept framework of knowledge transfer of the overseas enterprises. Main contents as follows: First The strategy role of overseas subsidiaries in the multinational corporation network. The overseas subsidiaries embedded in two different networks: global network and local network. These networks are the knowledge network, relationship network and transaction network. In these dual networks, the overseas subsidiaries played the different strategy role: knowledge receiver, knowledge gainer, knowledge inventor and knowledge transferer. Second The concept framework of overseas subsidiaries knowledge transfer, which mainly includes knowledge internalization learning mechanism of overseas subsidiaries which analyzed knowledge extraction, knowledge repository, knowledge builder, knowledge representation and so on. Knowledge integration mechanism of overseas subsidiaries mainly involves the interactive integration mechanism and the systematic integration mechanism; the overseas subsidiaries' knowledge transfer model which mainly is serial transfer, near transfer, far transfer, strategic transfer and expert transfer; Each kind of transfer model is of different attribute, organization background and knowledge type and so on; Third Using the mathematics model to explain the formation mechanism of

overseas subsidiaries' knowledge transfer. Fourth Analyzed major effect factors in the process of knowledge transfer. According to the characteristics of knowledge transfer, this book divided those factors into the intrinsic factor, dominant factor and supportive factor.

The fifth chapter carried the demonstration research on the overseas subsidiaries' knowledge transfer process. Based on the partial investigations data and field survey data of the state natural science fund project, this book analyzed the relation between transnational knowledge transfer performance and national culture difference, knowledge type, knowledge transfer model, the results of demonstration research indicated as follows: First, the national culture difference has the influence on the transnational knowledge transfer performance, and the influence of different national culture on the knowledge transfer performance is different. Second, at the aspect of the influence of knowledge type on the relation between national culture difference and transnational knowledge transfer performance, the personnel knowledge has the remarkable influence on the relation, but the social knowledge and structure knowledge have not actually affected the relation. Finally, at the aspect of the influence of knowledge transfer model on the relation between the national culture difference and transnational knowledge transfer performance, continuous transfer has the remarkable influence on the national culture and development performance of new product; near transfer, far transfer, strategic transfer and expert transfer also have the remarkable influence on the national culture and knowledge absorption and utilization.

The sixth chapter researched the knowledge transfer performance evaluation of overseas subsidiaries. First, according to the principle of Balanced Scorecard (BSC), this book divided the knowledge transfer performance evaluation system into five items as the knowledge capital, technical innovation, customer, organization and enterprise staff, and

then classed all items as the target, criterion and index based on the basic principle of fuzzy method; Second, entire evaluation system has 48 items of the third class index, 13 items of the second and 4 items of the first class index. In all the indexes, there are 14 items of qualitative index and 34 items of quantitative index, and this book explained the dimensionless analysis principle of qualitative index and quantitative index; Next, proposed the evaluation model of knowledge transfer performance, mainly includes choosing the indexes by using Fuzzy Delphi Technique; using the fuzzy AHP method to calculate the fuzzy weight value of every class and the fuzzy value of knowledge transfer performance; using the distance formula to calculate the distance value between the fuzzy value and entire linguistic variable; using linguistic variable to express the overall performance of knowledge transfer. According to this evaluation model, we can make the scientific and reasonable evaluation of knowledge transfer performance.

The seventh chapter proposed the guarantee measures about promoting knowledge transfer of our country overseas subsidiaries. This book also put forward some concrete countermeasures mainly from the aspects of organizational structure, system establishment of transnational knowledge transfer, enterprise ability cultivation and motivational institutions establishment.

The innovation of this book lies in that proposed the concept framework of knowledge transfer process of overseas subsidiaries and established the index system to evaluate the knowledge transfer performance from the point of view of knowledge to explain the evolution of overseas subsidiaries; but owing to the limit of time, energy and ability, this book could not do thorough research for some questions, for example the expatriation personnel as the carrier of knowledge transfer, the sample data of demonstration was small, such factors will be considered in the further research.

目 录

第一章 绪论	1
第一节 研究背景、目的及意义.....	1
第二节 文献综述.....	7
第三节 理论基础	32
第四节 关键概念的界定	41
第五节 研究内容、方法及创新之处	50
第二章 我国海外企业的发展实践与知识视角的诠释	55
第一节 我国海外企业发展的具体实践	55
第二节 海外企业跨国演进的传统解释与知识视角的 引入	68
第三节 基于知识视角的海外企业演进分析	71
第四节 知识对海外企业国际拓展的效应	76
第三章 知识内隐性、知识转移能力与国际进入模式的选择	81
第一节 国际进入模式概述	81
第二节 知识内隐性与国际进入模式的选择	83
第三节 知识转移能力与国际进入模式的选择	92
第四节 知识内隐性、知识转移能力对国际进入模式 的综合作用	98

第四章 我国海外企业知识转移的概念架构及影响因素·····	102
第一节 海外企业在跨国知识网络中的策略性角色·····	102
第二节 我国海外企业知识转移的概念模型·····	110
第三节 我国海外企业知识转移的形成机理·····	126
第四节 海外企业知识转移过程中的主要影响因素·····	130
第五章 我国海外企业知识转移的实证研究·····	139
第一节 理论基础与研究假设·····	139
第二节 样本及描述性统计·····	142
第三节 研究设计·····	146
第四节 研究结果与讨论·····	162
第六章 我国海外企业知识转移绩效的综合评价·····	166
第一节 绩效及绩效管理概述·····	166
第二节 我国海外企业知识转移绩效评价指标的 构建原则·····	169
第三节 我国海外企业知识转移绩效的评价指标设计·····	171
第四节 我国海外企业知识转移绩效的衡量方法·····	183
第七章 我国海外企业知识转移的促进措施·····	193
第一节 构筑适合海外企业跨国知识转移的组织安排·····	193
第二节 构建海外企业的跨国知识转移系统·····	203
第三节 培育海外企业知识转移的能力束·····	211
第四节 制定海外企业知识转移的激励制度·····	221
参考文献·····	228
附录 海外企业跨国知识转移绩效的研究调查表·····	242
后记·····	245

第一章 绪 论

第一节 研究背景、目的及意义

一、研究背景

1. 经济全球化与“走出去”战略的提出

经济合作与发展组织（OECD）认为，经济全球化是指在货物及劳务贸易，资本流动和技术转移与扩散的基础上，不同国家市场和生产之间的依赖程度不断加深的动态过程，即通过生产要素在世界市场中的广泛流动，以实现全球范围内资源最佳配置的过程。就其意义而言，它将促进“跨国商品及服务贸易与国际资本流动规模和形式的增加，以及技术的广泛传播使世界各国经济的相互依赖性增强”（IMF，1997）。当代世界经济全球化的趋势主要表现在国际贸易的绝对量和相对量迅速增长，全球资本和人力资源的流动加剧，国际分工形式从垂直分工向水平分工的转变。这种趋势主要以生产全球化、投资全球化、贸易全球化、金融全球化、区域性经济合作日益加强等为基本内容，在地理空间上突破了国家和地区的境界，打破了地方市场的分割，促进了区域间经济文化生活的融合，极大加速了世界统一大市场的形成。总体来看，经济全球化是指市场经济运行机制的跨国延伸，资本、货物、服务、劳动力和信息等市场扩展到国界之外，形成世界市场，资源在全球范围内自由流动和合理配置。

为了适应经济全球化的趋势，我国政府提出“走出去”战略