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总序

近年来，中南财经政法大学企业管理博士点对企业创新力与控制力统一的问题，做了大量的研究工作，先后在国内重要的学术刊物上发表了一系列论文来分析阐述这一问题。这从一定程度上反映了经济学界、企业管理学界对企业创新力与控制力统一问题的重视。由于两力统一问题是企业管理中一个重大的新思路，贯彻“两力统一”是一个系统工程，因此我想简要谈谈我们是怎样发现和提出这一问题的；国外在这方面有些什么研究成果；我们的研究与国外研究的相同点和差异点；如何进一步深化研究等等。

创新力与控制力统一的思想是我们通过对国内外一些企业从“明星”到“流星”的蜕变过程的考察、跟踪，深入研究后提出来的。本着不唯上，不唯书，只唯实的思路，对我国不少企业运行中出现的下列一些问题引起了我们的深思：为什么会出现“不搞技改等死，搞了技改找死”？为什么有的国有企业，内部人控制严重，出现了“庙穷方丈富”的现象？为什么有的在国外投资的国有企业，“个人富了，国家亏了”，有的甚至携款潜逃？为什么一批企业，很快从明星转入流星？如太阳神、秦池、飞龙、亚细亚等。

上述现象的出现，说明从国有企业到非国有企业，从国内企

2 市场营销理论的演进逻辑与创新研究

业到国外企业都存在一个企业创新力与控制力如何统一的问题。

目前企业界、企业管理学界大多强调企业管理中创新的重要，这是很必要的，今后还要不断宣传企业创新的重要。但是应当指出，人们在强调创新力的同时，往往很少注意甚至忽视了企业的控制力。如果只是强调创新力而忽视控制力，就可能对企业的发展，特别是对大中企业的持续发展带来危害，这是我们提出创新力与控制力统一的初衷和出发点。

我们这一思路的公开表述是我在总结海尔大成功的十条经验中出现的，指出海尔的大成功，归根结底是海尔的创新力与控制力的统一。由于这是一个重大的企业管理思路，虽然提出来了，但是为什么国内同声少觅处。带着这个问题我们通过多次报告会的形式，去征询企业家的看法，可以说他们都众口一词地认为“企业创新力与控制力的统一”是大中企业能否持续发展的一个关键问题。之后，新华社记者吴晓波先生的《大败局》一书2001年问世。读后，很受启发。吴晓波指出缺乏创新会导致企业长期失血，缺乏控制会导致企业猝死。从而使我们更加坚定了提出这一企业管理新思路的信心。

同在20世纪90年代，国外学者对企业管理的研究，也提出了与我们相似的观点。伊查克·爱迪思博士在35个国家400多个组织中担任管理咨询顾问，在他的《企业生命周期》和《把握变革》两本著作中提出“企业成长与老化同生物体一样，都是通过灵活性与可控性这两大因素之间的关系来表现的”，“灵活性和控制性是E（创新精神）和CAPI（A指职权，P指权力，I指影响，C指前三者的结合）的函数”。这就是说企业的灵活性与创新性在很大程度上是相重合的，只有不断创新企业才能灵活，而只有保持可控性和灵活性的企业才能得以长久存在。这里实质上反映了创新力与控制力的统一。罗伯特·西蒙斯教授和哈

佛大学商业行政管理学院查尔斯·M·威廉教授，在他们的著作《控制的树干：管理者如何利用创造性控制系统来驾驭策略更新》中指出：“20世纪90年代企业经理们面对的一个主要问题是：如何在一个要求灵活性和创新性的企业施加足够的控制”。这与我们的观点是相当一致的。

我们的研究与国外学者的研究的共同点是：从企业营运的实际出发得出了大中企业的持续发展都必须重视“创新力与控制力的统一”的结论。上述三位学者的三本著作问世，使我们的研究从“国内同声少觅处”，进入到“喜逢海外有知音”。不同点是，无论是伊查克·爱迪思教授，还是罗伯特·西蒙斯教授，他们提出的创新力与控制力统一的观点，是从发达的市场经济和现代企业制度比较健全的企业实际出发，因此，他们大多是偏重从文化的角度而较少地从制度的角度来提出问题和解决问题。如伊查克·爱迪思提出的“健康的管理 = f (PAEI), (CAPI)”。罗伯特·西蒙斯提出的缓解创造性和控制性矛盾的四大系统：诊断系统、信仰系统、禁区系统和交叉控制系统。而我国企业现实处境是市场经济和现代企业制度正在建立过程中。企业制度不健全，是创新力与控制力的统一难以实现的关键。因此，中国企业如何做到创新力与控制力的统一，除了要重视企业文化的建设，当务之急是建立健全现代企业制度。因此，从本土实际出发，我们的研究大多是从制度安排上考虑的多一些。当然企业的改革，改到深处，就是企业文化问题，而且企业文化建设与企业制度建设是相辅相成的，任何好的制度安排都需要优秀的企业文化作支撑，这是企业界和企业管理学界的共识。

本论丛的五本专著系在博士论文基础上修改而成的，围绕“企业创新力与控制力统一”这一问题，分别从不同的角度进行了探索。

4 市场营销理论的演进逻辑与创新研究

周晖博士的《企业生命模型研究》，在企业创新力与控制力统一的理论基础上，提出了企业生命模型，以揭示影响企业成长各因素及其相互耦合的作用机理。作者在模型中构建了企业成长“基因”的“DNA 双螺旋结构”——财务资本链与人力资本链。连接双链的四要素是企业家、公司治理、技术与文化。作者从理论与实践的角度进一步阐明企业生命模型中的四因素自身演化以及对企业成长演化的作用机理。并在此基础上初步建立了创新力与控制力统一综合性的企业评价体系和企业的三级预警系统，并以中国的 1000 多家上市公司进行了实证分析。

曾令逸博士的《转型期国企保险式授权经营研究——兼论创新力与控制力的统一》，剖析了我国国有企业为什么难以走出“收”与“放”的困境，为什么有的国有企业改革总是虎头蛇尾等问题，指出建国以来至今的国企改革方案，改革开放前和改革开放初期，国企的主要矛盾是控制力过强，统得过死，企业缺乏足够的活力和自主权，企业创新力几乎被扼杀。而改革开放后至今，国企的主要矛盾是企业有了一定活力甚至创新力，但企业短期行为严重，控制力逐渐削弱，有的乃至丧失。只有真正的公司才具有自我调节的功能，才能实现创新力和控制力的统一。作者在文中提出了国有资本通过引入体制外资本保险式授权经营，重构公司治理结构，以形成新的生命体的国有企业改革思路。

叶生洪博士的《企业结构·能力·绩效——微观 SCP 框架研究》，在既有的企业管理理论的基础上，创造性地提出了微观的结构·能力·绩效（SCP）研究框架。作者较系统地研究了我国企业的结构、能力、绩效问题，并深入探讨了三者的相互关系。作者从企业创新力与控制力统一的管理思想来考察企业的结构、能力和绩效问题，认为企业的结构安排从静态来讲体现的是控制，从动态来讲结构的变迁便是创新，企业的结构优化必须注意

创新力与控制力相统一；创新力与控制力本身就是两种重要的企业能力，企业能力包括核心能力得到提升和转化为现实的竞争优势的必要条件就是坚持创新力与控制力的统一；从三要素的互动来看，在互动过程中充分贯彻创新力与控制力的统一的企业才能实现可持续发展，反之则很难得到有效发展。作者根据研究结论提出了中国企业的现实对策性思考。

肖海林博士的《企业可持续发展——理论基础、生成机制与管理框架》，是国内首部系统分析新经济条件下企业可持续发展生成机制的著作。作者针对新经济对企业成长机制的深刻影响，提出了企业可持续发展的理论基础，揭示了可持续竞争优势四面体协同成长——创新力与控制力动态效率统一——学习能力演进的企业可持续发展时空网状生成机制，并在此基础上提出了以企业可持续发展为目标的LCT管理框架。作者发现，企业可持续发展的直接支撑——可持续竞争优势表现为以市场权力、产业平台、制度平台和核心能力为核心慢变量的四面体形结构关系，竞争优势得以持续的机制是四要素的协同作用与缺位支撑；企业可持续发展要通过四面体成长管理来实现，而四面体成长靠创新力与控制力协同驱动，是两力动态效率统一的表现；学习型组织则是实现创新力与控制力动态效率统一的载体和机制，从而是企业可持续发展的原动力。作者比较成功地建立了创新力与控制力统一论的概念体系和逻辑体系，尤其是对海尔集团持续发展的实证性分析，突破了国内外对海尔的分析框架，颇具创新性。

王成慧博士的《市场营销理论的演进逻辑与创新研究》，从市场营销的角度分析了创新力与控制力统一问题。作者从理论上科学地阐释了市场营销的逻辑起源，从营销哲学和总体理论框架、顾客理论与竞争理论三大方面系统阐述了营销理论的发展过程，总结了营销理论中Ps学说，并将其与最新发展起来的关系营

6 市场营销理论的演进逻辑与创新研究

销 4Rs 理论进行了有效地整合，构建了当今营销学两大理论流派的融合模型。作者将以资源基础理论和企业能力理论为主的“竞争优势内生论”的思想观点引入了营销理论的分析范畴，并将企业顾客价值创造能力体系作为营销理论分析的一个重要组成部分。特别是在营销理论创新框架中，作者运用创新力与控制力动态统一的思想，构建了一个“蝶形”营销理论创新框架。将企业营销活动分为顾客价值搜寻、顾客价值创造和顾客价值传递三个过程，并形成企业价值创造的内部四大能力体系和外部两大合作网络的运行平台。

上述五本著作可以说是我们前期对“创新力与控制力统一”这一问题研究的一个小结。我们虽然在 20 世纪 90 年代，提出了“企业创新力与控制力的统一”问题，近年来围绕这一问题相继发表了一批论文，但我们的研究毕竟是初步的。从理论上讲为什么要坚持创新力与控制力的统一？什么是创新力与控制力的统一？如何建立考核创新力与控制力统一的指标体系？等等，都需要作进一步深入研究。我们前此的作为，只能是一种引玉之砖，为了及早使我们的大中型企业进入国际强手之林，我们切盼广大企业界和企业管理学界的关注和帮助。

彭星阁

2003 年 9 月

The Evolutional Logic and Innovation of Marketing Theory (Abstract)

I

There are three reasons as follows for the writer to select the research issues of " The Evolutional Logic and Innovation of Marketing Theory" :

1. The requirement of marketing theory development

As an independent subject, marketing has walked through a hundred years since its birth at the beginning of the 20 - century. During its process, marketing has continuously assimilated the related theories such as economics, management science, sociology, behavioral science etc. and formed its own theoretical system. Although many theoretical streams and standpoints have occurred in the history of marketing theory development, by far, marketing theory is basically divided into two mainstreams —— marketing management and relationship marketing.

During the period of 1990s, a theoretical argument emerged between these two mainstreams. This argument focused on several aspects such as: Is marketing philosophy or function? Is the core con-

2 市场营销理论的演进逻辑与创新研究

cept of marketing "exchange" or "relation"? Does the marketing theory need to broaden its range of research? What role should marketing switch to play in the business? Has marketing management theory with the mainframe of 4Ps been out of date? These arguments have caused the re - recognition and consideration to marketing theory in academia and business.

Therefore, it's an ~~inherent~~ obligation for the contemporary marketing scholars to examine the development of marketing theory, to induce and conclude the evolution and development logic, to clear up the formation and development traces of marketing theoretical system and, to scientifically integrate the theory of marketing management and relationship marketing. In addition, on the basis of the above, to construct the innovation framework and analysis system of the marketing theory with an active attitude.

2. Challenge that reality of "new economic" make to marketing theory transformation

Since entering the new century, along with the economic globalization and with the rapid technical development (especially the technical development in network), "new economy" in character with network, technology and globalization begins to present a more and more strong developing trend, and great changes also take place in marketing environment. Subsequently it's inevitable for enterprise to process great transformation of marketing philosophy, marketing strategy and marketing tactic.

New technical revolution and changes of market demand have brought great impact on the corporation, which needs the enterprise

consider the opportunity as well as challenge brought by the globalization. If the enterprise wanted to succeed in business in the circumstance of "new economy", it must make a series of important changes: (1) Changes of the information from the dissymmetry to the democratization; (2) Changes of commodity manufacturing from for a handful of men to for everybody; (3) Changes from "producing then to selling" to "sensing then to responding"; (4) Changes from "native economy" to "global economy"; (5) Changes from "decreasing scale - return economy" to "increasing scale - return economy"; (6) Changes from owning the property to owning the channel; (7) Changes from managing enterprise governing to market controlling; (8) Changes from "common market" to "characteristic market"; (9) Changes from "producing timely" to "producing just in time".

These important changes have brought influences on both exchangers, and, made both consumers and enterprises acquire the unprecedented abilities. For consumers, these new abilities include: (1) The great increase of buyer power; (2) There being more optional commodities and services; (3) To obtain tremendous information quickly; (4) There being more interaction between the buyer and the seller; (5) Customers being able to have information delivery and communicate conveniently.

For enterprise, these new abilities include: (1) With extension of the market, enterprise can acquire much more new information and sources of business, and can quickly deliver the information to customers, which would lower the information dissymmetry greatly, and would make the enterprise expand its product as well as services; (2) Bi - communication become more convenient between enterprise and

4 市场营销理论的演进逻辑与创新研究

customer as well as potential customer, and it also accelerates the trading completion; (3) Enterprise can satisfy the individual customer's demand with specific product or services; (4) Enterprise can allocate the resources in a larger scope of market, in the mean time, can reengineer the internal business process effectively, and increase the efficiency of operation.

All these innovations in practices as mentioned above have challenged the traditional marketing theories and the enterprise marketing mode. How to construct a new marketing theoretical framework and analytical system, so as to explain the economic reality better and to guide the enterprise management practices, has been an urgent mission to marketing scholars.

3. Requirement that marketing theory need to further its research in China

Since the time that marketing theory was introduced into our country at the beginning of 1980s, great improvements have taken place on the research of marketing theory, especially in the teaching and the spreading of the western marketing theory. For example, the scholars have put forward the thoughts of general marketing, the theory of gold triangle in enterprise management, the theory of "dot, line, plane, solid, cluster, and globalization" in marketing developmental process, the standpoint of "from 4 Ps, 4 Cs to 4Rs" in internal evolutionary logic, the core of "the dynamic unification between innovating power and controlling power" in enterprise management, and the theory of macro - marketing and marketing morality. Further more, they have expanded and deepened the theory of green marketing and rela-

tionship marketing, etc.

But it should be admitted that there still exist many deficiencies on the current research of marketing in our country, which mainly embody as follows: First, the translation of foreign books is too much, while the work of actual deep research on marketing theory is too little. Many marketing writings were just copied ones, lacking of lucubrated analysis and verification. Second, theories were out of the practices and lack of interrelations with the enterprise.

Marketing is a practical science, so when it deviates from the practice of enterprise management, it'll lose the vitality. In recent years, it's a fashion to translate western marketing materials in academia but few would actually go deep into the enterprise and find out the real marketing activities in China.

Therefore, the development of marketing in our country should carry on three missions:

First, to make research on the evolution of marketing theory, to track on the latest development of the foreign marketing theory, to master, digest and assimilate the latest outcome in the world, and to find out the trend of marketing theory development to match with the requirement of theoretical logic and the societal practice.

Second, to make the general marketing theory on the ground of socialization - production and market economy apply to the practice of the Chinese enterprises.

Third, to distinguish those marketing theories which adapting to the situation of China, and to correct them appropriately.

Summarily, the selection of the topic "The Evolutional logic and Innovation of Marketing" as a doctoral dissertation, is just based on

6 市场营销理论的演进逻辑与创新研究

the backgrounds of the theories and the practices mentioned above.

II

In order to explain the developmental skeleton of marketing theory scientifically, we should summarize every kind of marketing thoughts and theoretical schools, and select the representative standpoints to analyze. The framework of this dissertation is shown as follows:

At first, this dissertation analyses the logical origins of marketing from the angles of economics and management science.

Then, it analyses the backgrounds of society and economy as well as the related subjects which marketing theory is based on, and sums up the main standpoints and developments of marketing theory in the early period.

Next, this dissertation analyses the formation and development of modern marketing theory, which can be divided into three parts: one is the evolution of marketing philosophy and its general analytical framework, the other two are main branches of modern marketing theory —— customer theory and competition theory.

Finally, on basis of the analysis of developmental skeleton of the modern marketing theory, this dissertation constructs up a new "butterfly - shape" framework of marketing theory on the guide of Professor PengXingLv's thought —— "the dynamic unification between innovating power and controlling power". The core of this framework is the ability to create customer value, and the two wings are the enterprise's cooperative network and the customer's cooperative network.

Consequently, the whole analytical logic of this dissertation is basically showed the structure of "integration—subsection—subsection—integration". This dissertation begins with the analysis of evolutionary logic of marketing theory, and ends in the innovation framework of marketing theory.

III

This dissertation consists of five parts.

The first part analyses the logical origin of marketing along the way as follows: (1) People have innate demand which called endogenetic demand; (2) There is a contradiction between people's unlimited demands and resource scarcity. In addition, there's also a contradiction between the diversification of the people's demand and the limitation of individual's productivity, that is, a person can't produce all that satisfy his/her demand. ; (3) By the means of division and specialization, people can increase productive efficiency, and can manufacture more and versatile products with the same resource; (4) Exchange will definitely occur after division and specialization, while exchange and division will promote each other. Marketing will play the role to reduce transaction costs, smooth the exchange between supplier and demander, maximize both parties' interest, and accordingly increase the whole society's welfare level.

The second part discusses the formation of marketing theory. In order to explain clearly the process of formation and development of marketing theory, at first the writer analyzes the social economic background.