

Sixth Edition

Gerry Johnson Kevan Scholes

EXPLORING CORPORATE STRATEGY

战略管理

双语教学版

[英] 格里·约翰逊 凯万·斯科尔斯 著 陈敏 王军 等译注

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第6版

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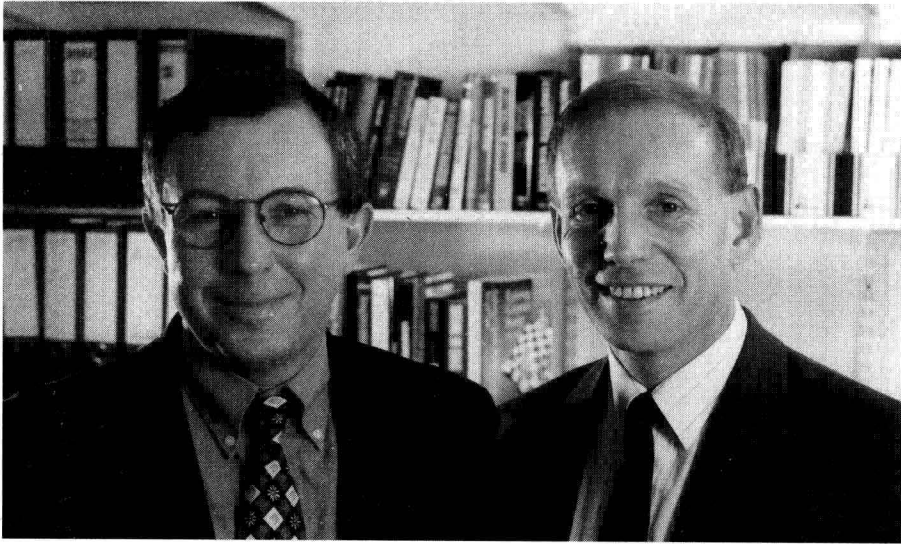
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To Jenny and Phy!

作者简介



格里·约翰逊 (Gerry Johnson) 博士，战略管理学教授，执教于 Strathclyde 大学商学院（在此之前，他在 Cranfield 大学管理学院工作）。他著有战略管理方面的多部书籍，发表过大量战略管理方面的论文，还担任《战略管理杂志》的编委，并且是很多欧美学术刊物的审阅人。他的主要研究方向是战略制定程序和组织变革。他是欧洲、美国和澳大利亚多所大学的定期访问学者；同时，作为战略制定和战略变革方面的高级顾问，他还为很多英国公司和跨国公司提供广泛的咨询服务。

凯万·斯科尔斯 (Kevan Scholes) 硕士、博士、DMS、CIMgt、FR-SA，斯科尔斯咨询公司（该公司主要从事战略管理方面的咨询）的首席合伙人。他是英国 Sheffield Hallam 大学的战略管理访问教授。他经验丰富，为公共和私营部门提供过很多讲座和咨询，其中包括在爱尔兰、澳大利亚和新西兰仍正在进行的大量国际性工作。他对专业服务机构的战略管理有特别浓厚的兴趣。他担任许多国家机构的战略发展顾问，同时还是管理研究协会的会员。

《战略管理》中文版作者序

《战略管理》第1版于1984年在英国出版，从那以后，它就成为英国各大学首选的战略管理教材，并且在欧洲和全球被广泛使用。这本书已经被译成法语、西班牙语、捷克语和葡萄牙语，并在有关国家出版发行，现在我们又很高兴地看到中文版的推出。作为作者，我们对这本书在全球的流行感到特别自豪。我们尤其高兴的是，这本书的最新版能够被译成中文，在中国出版发行。

20年前当我们开始写作这本书的时候，在西方很少有人能够想像中国可能在新世纪成为世界上一个强有力的经济大国。当然了，那时也没有人认为，在中国商业和企业理会受到如此重视。但是现在，大家的看法都发生了改变。今天，缺少中国的市场战略、或者没有在中国开设分支机构的西方大公司，已经是凤毛麟角了。与此同时，中国企业也开始走向全球，成为一支日益强大的力量。20年前，同样很难在一所英国大学看到中国学生，但是现在，他们随处可见。由此可见，管理在中国的国际化已经获得了突飞猛进的发展。

我们希望，《战略管理》这本书能够有助于中国管理和中国经济的发展。我们承认，此书涉及的内容大部分是西方人理解中的战略和战略管理。从我们的中国学生和中国商业朋友那里，我们知道，中国如果准备在世界上取得经济成功，就必须学习这些西方管理知识。但是我们也承认，西方也必须向中国学习。因此，我们希望本书中文版的出版也能够使我们及时获得来自中国的智慧和经验。我们认为，本书中文版的使用将是一个双向的学习过程——我们很荣幸得到这样的机会。

鉴于此，我们希望中国读者更多地进行思辨，而不要毫不批判地接受这些西方管理思想和经验。《战略管理》一直鼓励读者以一种思辨的眼光学习战略和战略管理的相关知识。我们鼓励读者结合你们所在公司、机构和文化环境来学习本书中有关的思想、概念和工具。为了帮助大家进行思辨性的阅读，本书中包含了关于战略管理实际经验的讨论，以及每编后面的评述（这些评述进行了理论上的总结和概括）。这些理论上的视角，有助于读者从各种角度来看待和理解战略以及战略管理；这些不同的理解，有助于管理者思辨性地思考本书其他部分内容的相关性和价值。

最后，特别要感谢我们的朋友们，王军、赵媛、肖远企、贾维国、陈海潮、姚骁和王红，他们为此书的翻译付出了大量心血。当格里·约翰逊教授在英国克兰菲尔德大学任教时，他们都是他的学生，翻译这本书的想法最早也始于那个时候。他们毕业后回到中国，在政府部门、中资和外资企业担任管理者；他们都非常热心于帮助他人，希望别人也能分享他们在Cranfield大学的学习所得。我们也完全相信，通过翻译这本书，他们能够做到这一点。对于他们在这本书的翻译中所投入的大量工作和表现出的智慧，我们在这里要表示最诚挚的谢意！

格里·约翰逊
凯万·斯科尔斯
2003年11月10日

Introduction to Chinese Edition of Exploring Corporate Strategy

Exploring Corporate Strategy was first launched in the UK in 1984. Since then it has established itself as the leading strategy text in British universities and is widely adopted throughout Europe and elsewhere in the world. It has been translated into French, Spanish, Czech, Portuguese and now into Chinese. As authors we are very proud of this international coverage; and we are especially pleased that a current edition is now available in China.

When we first started to write the book over 20 years ago few people in the West envisaged that China would be widely regarded as one of the great economic powers in the world by the new millennium. It was not felt that China would be a country in which the management of commercial and public enterprises would be taken so seriously. Yet this is now widely recognised. There is hardly a major business in the West that does not have a strategy for and a presence in China. We also know that Chinese businesses are, themselves, beginning to exercise great influence across the world. Twenty years ago it was also unusual to see a Chinese student in a UK university. It is now common. So the internationalisation of Chinese management has rapidly gathered speed.

We hope that Exploring Corporate Strategy will add to this development of Chinese management and of Chinese business. We accept that the book is largely to do with strategy and strategic management as understood in the West. We are told by our students and by Chinese businessmen that it is important for managers in China to understand this if China is to have a successful economy with international dimensions. But we also accept that we in the West have to learn from China. So we hope that the translation of our book into Chinese will in time lead to a greater influence from China on our book. We regard the Chinese edition as a two-way learning process and therefore are grateful for its opportunity.

In this context we hope that Chinese readers will engage with the book in a critical fashion rather than just uncritically accepting Western practices. Exploring Corporate Strategy has always encouraged a critical approach to the study of strategy and strategic management. We encourage readers to reflect on the relevance of ideas, concepts and tools in the context of their own businesses, organisations and cultures. To help this critical process the book contains discussion about how strategy is managed in practice and commentaries which provide theoretical lenses through which strategy and strategic management can be viewed and understood in different ways. These different understandings can help provide managers with the opportunity to critically reflect upon the relevance and value of what is discussed in the rest of the book.

Finally we would like to thank our friends, Jun Wang, Yuan Zhao, Ralph Jia, Sean Yao, Haichao Chen, Hong Wang, Yuanqi Xiao, who have worked to translate this book. It all started when Gerry Johnson was teaching at Cranfield School of Management in the UK and they were his students. Since then they have gone on to become managers in Chinese and foreign firms. They are keen to help others in China benefit from the sort of experience they had at Cranfield and we are keen that they should be able to do so through the vehicle of this book. We would like to extend our warmest thanks and appreciation for all the work they have put in and the initiative they have taken in this translation.

Gerry Johnson
Kevan Scholes

前 言

《战略管理》一书第1版出版至今已有18年，在这段时间里，企业界和公共服务行业都发生了巨大的变化。在过去的18年里，“战略管理”这一学科也有了很大变化，其中最主要的一点就是：这一学科对公共和私营部门中的管理者的重要性得到了广泛认同；这种对战略管理重要性的认同也体现在：该学科被广泛包含于大学课程中——本科生、研究生和专业研究者都将战略管理作为一门课程；此外，短期培训课程和管理咨询服务都将战略管理作为内容之一。需要了解战略原理和实务的不只是公司高层管理者，不同层次的管理人员都必须了解（尽管他们各自的侧重点有所不同）。我们一直呼吁战略问题应引起广泛重视，所以这样的变化让我们感到欣慰。

前五版的总销量超过了50万册。第6版付梓之时，恰逢很多（如果不是绝大部分的话）组织感觉到全球化、信息技术和商业环境飞速变化的夹击。尽管本书的结构与前几版大致相同，我们还是尽力突出了“新经济”问题（虽然新旧界限的划分是人为的）。本书更多地讨论了知识、学习和创新、超竞争、战略反应速度、新的组织模式以及这些问题之间的联系，同时更新和修改了一些概念与方法。这些变化是根据本书读者和使用者提出的意见和建议做出的——在此我们对他们深表感谢！

我们保留了第5版在版面和设计方面所做的较大改动并有所提高，使本书更加清楚和容易查找，让阅读本书成为一种享受。每一章都有清楚的学习目标和小结，而且对实例和案例尤其重视。该版中绝大部分实例和案例是新的——在这些例子的选取上，我们充分考虑到要能反映上面提到过的主要问题。所有87个实例都附有习题，教师可将其当做“小案例”，学生可用其检查自己对本书内容的理解程度。本书第5版一个特点是：每一章末尾增加了一个案例——它有助于学生对本章涉及的主要内容进行复习，了解自己的掌握程度，这受到了大家的欢迎。

本书一个新的特点是：每编的末尾增加了客观性评述——这样做的目的有三个：首先，指出每一编各个章节不同主题之间的联系；其次，帮助读者对战略问题培养一个全面的视野（例如对一个组织的战略定位，见第二编）。这两个问题（不同主题之间关系的重要性的全局观的重要性）是战略本质的基础；引入评述的第三个目的是，通过三个不同视角回顾每编所涉及的内容（这三个视角是设计视角、经验视角和创意视角，我们会在下面进行介绍）。我们认为这些评述对管理者和研究生尤为重要。总之，我们的目标是进一步丰富本书内容并改进本书风格，希望大家对此感到满意。在“导读”中，我们就如何从本书中获得最大的学习效果提出了建议。

《战略管理》介绍的不是企业的战略规划技巧，而是战略管理这个领域中研究人员和专业人员所熟悉的管理实践和做法。本书主要供大学和学院中工商管理专业的研究生和本科生课堂学习之用，需要学习《公司战略》、《业务策略》、《战略管理》、《组织策略》和《公司策略》之类课程的学生，都可以使用本书。我们知道，这些学生中很多人现在其实已经是管理者了，他们参加学习只能利用业余时间，因此，这本书是写给现在和未

来的管理者们的。

这本书的风格体现了我们作为积极的教学者和咨询人员的长达 25 年的个人经验，是理论与实践的结合，这种有机的结合对于出色的战略管理尤其重要，对战略问题的学习应该利用这些经验（如案例研究，它可以让学生的理论联系实际，同样重要的是，它还能让学生形成自己的观点）。另外，不断增强的研究力量和不断丰富的理论，大大促进了对战略问题和战略管理的更深入的了解。我们的方法正是以这些研究和理论的重要部分为基础的，同时我们还鼓励读者参考更广泛、更深入的研究和理论知识。当然，我们也认为读者有机会利用案例研究或项目来处理战略问题（如果读者是管理者，则可通过其在组织中的工作处理战略问题）；在这个问题上，我们的观点与医学或工程学教科书的作者完全一样，我们鼓励读者也采取同样的态度：好的理论有助于指导好的实践，但是纸上谈兵却非常有害（尤其当你正在医治一个病人或者建造一座桥，抑或只是根据本书中的理论去管理一个组织时）。突出理论和实践之间的联系，是我们增加上述评述的原因之一，也是我们引入下面将要提到的三个战略视角概念的原因之一。

因此，我们在第 6 版中所做的一个较大改变，就是引进了三个战略视角的概念，旨在强调用多种角度研究和认识战略的重要性。“传统”的设计视角之外，我们讨论了战略如何源自经验和文化，也讨论了它作为创意的结果是怎样从纷繁复杂的组织内外环境中出现的。这三个战略视角在第 2 章中被充分讨论；就像真正的透镜一样，这三个视角认识战略和战略管理的方法尽管不同，却是互补的；所有这三种视角都与战略研究有关，并在书中得到体现。

例如，贯穿本书的主题之一，是对组织所面对的战略形势进行清晰分析和对未来战略选择进行理性评估的重要性。在涉及这些问题时，本书讨论了以下问题的价值：环境评估、竞争环境的结构与战略集团分析、价值链分析、战略选择模型以及组织的战略定位与财务状况之间的关系。简言之，主题之一就是：在组织中运用理性模型进行分析和选择，对战略管理是很重要的。

当然，本书也注意到，一些研究和文献更多地强调决策过程脱离不了组织所处的政治与文化背景，并研究了如何了解这些影响以及在这样的环境中进行战略管理需要何种机制的问题。

创意视角也在本书中有所体现，例如阐释创新的重要性，以及知识是如何在组织内外被创造和共享的。计划和体制并不能完全解释组织是如何从自身知识中获得竞争优势的——组织内外的非正式流程同样是非常重要的。

本书也认为，战略管理与公共部门、非营利组织有关，就像它与工商业中的私营部门有关一样。事实上，第 1 版出版后的这段时间，对公共部门战略管理的认知发生了前所未有的变化（包括战略管理的作用以及运行方式的显著变化），这个“新时代”反映在本书的讨论和案例中。我们也提供了关于公共部门战略管理的大量参考文献和实例。自上一版以来，我们还编辑出版了另一本关于公共部门战略的书（见导读）。公共部门的很多变化也出现在较大的私营组织中，本书关于组织结构和业务流程重要性的相关章节，反映了这些变化。

第 1 章对本书结构有较为详细的介绍，但最好在这里简单交代一下——本书分为四编：

第一编是战略管理概论。首先是战略特点和战略管理的要素（第 1 章），然后是通

过不同的方式理解组织的战略制定（第2章）。

第二编是关于组织的战略定位。第3章阐述了组织在其所处商业环境中的定位（包括竞争定位）；第4章分析了决定组织战略能力的因素，即资源和能力，重点突出了知识的重要性；第5章是关于组织的目标，中心问题是组织为谁提供服务，这包括公司治理结构、与利益相关者的关系、商业伦理以及文化等问题。

第三编分析了战略选择。第6章关注公司层次战略，即公司总部是如何为业务单位增加价值的（或者反过来，如何减损价值）；第7章讨论了业务单位战略（或竞争战略），主要问题是竞争优势的基础以及如何瞬息万变的环境中更好地竞争；第8章讨论了战略方向和方法的更为具体的选择方式，然后讨论了评估战略成败的标准。

最后一编——第四编——是关于战略实施的。第9章关注要使战略实施成功需如何进行组织，该章还介绍近来在组织结构关系、组织流程、建立和保持内外部联系和界限的重要性方面的一些研究成果；第10章从一个全新的角度分析了组织整体战略与四个关键资源领域（人才、信息、资金和技术）中战略的关系；第11章探讨了变革管理的方法，介绍了该章与前面第2章和第5章之间的重要联系。

很多人对本书第6版的出版提供了帮助：首先和最重要的就是上一版的使用者（在我们的年度教学研讨会上，我们有幸与他们中的很多人相识）；他们中的很多人给了我们建设性的批评意见，对新一版的编写提出了一些建议，我们希望他们对现在这个版本能够满足。同样提供帮助的，还有我们在谢菲尔德大学、克兰菲尔德大学、斯特拉斯克莱德大学和其他很多地方的学生与用户，他们不断提出新的创意和挑战，没有他们的直接反馈，就不可能完成此书。这本书使我们大大拓展了自身的工作和对外联系：我们两人现在的朋友遍布世界各地，他们一直是促使我们不断努力的动力之一。我们尤其看重与爱尔兰、荷兰、丹麦、瑞典、法国、加拿大、澳大利亚、新西兰和新加坡的联系。

感谢那些为本书无私提供案例的人们，以及那些敢于将自身经历写入案例的组织《战略管理》一书的日益普及，也使案例中涉及的公司经常受到教师和学生的直接询问，从而给它们带来了一些实际问题——我们希望读者能尊重这些公司的意愿，不要为了获取更多的信息而直接与它们联系（谢菲尔德剧院在提供案例时附带了这个条件）。

还要感谢很多帮助我们对战略管理某方面或相关领域加深认识的同事。战略管理是一个非常广阔的领域，所以，如果要使本书与时俱进，这些帮助是非常必要的；要感谢 John Bessant、Julia Balogun、Graham Beaver、Tony Clayton、Andrew Coleman、John Ellis、Jan Horwath、Phyl Johnson、Greg Parrish、Richard Schoenberg、Jill Shepherd、Steve Tallman、Joe Tidd 和 Katarina Wass；另外还要特别感谢那些提供和帮助编写实例的人们，我们在实例的末尾列出了他们的名字——斯特拉斯克莱德大学的 Urmilla Lawson 也在这一项工作中帮助了我们；还要感谢斯特拉斯克莱德大学和谢菲尔德哈勒姆大学图书馆的工作人员，他们在文献资料方面提供了宝贵的帮助，也感谢那些参与了本书手稿准备工作的人们，尤其是斯特拉斯克莱德大学的 Lesley Nixon 和谢菲尔德大学的 Jenny Scholes。

格里·约翰逊 (Gerry Johnson)

凯万·斯科尔斯 (Kevan Scholes)

2001年11月

导 读

读者一直要求增加本书的内容——在保证本书的大小方便读者使用的同时，通过《战略管理》不同版本的出版，我们一直努力满足这些要求。这些要求包括深化某些主题、增加某部分的篇幅或者为学生提供更多的案例和作业。我们已经推出了辅助学习资料和书籍，并且完善了与本书某一部分有关的参考文献。本部分主要提供一些实用的建议，即如何从这些广博多样的内容中获取最大的价值。

使用《战略管理》

为了从《战略管理》和相关学习材料中取得最大的收获，我们对学生和管理者的建议是，确保你们已经实现了三个目标：

- ◆ 理解概念；
- ◆ 能够将这些概念用于实践（如果你是一名管理者，将这些概念用于你自己的工作尤为重要）；
- ◆ 在本书之外进行广泛的阅读。


本书特点

- ◆ 每章的开始都有一个学习目标，它表明了你在完成本章学习之后应该掌握的东西——可以用它来检验你是否理解了有关内容。
- ◆ 重要术语在文中都被重点标出，而且本书最后的索引对它们按照字母顺序进行了排列。
- ◆ 实例每章中都有，它们包含一些问题，因此可被用做小案例。确定你读过并且回答了问题，以检验你是否理解了理论与实践之间的联系。若你是一名管理者，你应该一直问自己另外一个问题“从这个案例中我和我的组织能够学到什么？”如果可能的话，对每个案例都这样做。最优秀的战略管理者能够将所学知识举一反三。
- ◆ 本章小结帮助你回顾该章的主要知识点。
- ◆ 重点推荐读物列在每一章的结尾，确定你熟悉这些与课程学习有关的内容，有一些参考文献是供你进行更详细的学习和更深入的研究的。
- ◆ 作业按照难度分为两个等级，教师可能将其中的一些用于课堂测验，在任何情况下你都要将其当成考卷来完成，以检测你对概念和应用的掌握程度。如果你是一名管理者，找机会将这些作业应用于你自己的组织，并尽量让你的团队中的其他成员也加入进来。
- ◆ 每一章最后的案例帮助你巩固所学的主要内容；回答案例后面的问题。
- ◆ 每一编后面都有评述，它们可以使你明白该编中不同章节所涉及问题之间的联系，使你能够用不同的方法（通过第2章中介绍的战略视角）来分析该编中的问题。

GUIDED TOUR

PART II

THE STRATEGIC POSITION



THIS PART EXPLAINS:

- The impact of the environment, organisational opportunities and objectives on strategy.
- How to understand an organisation's position in the environment.
- The determinants of strategic capability – resources, competences and the linkages between them.
- The factors which shape organisational purpose – corporate governance, stakeholder expectations, business ethics and the cultural context.

THE PART OF THE BOOK IS CONCERNED WITH UNDERSTANDING THE FORCES WHICH influence, or have to be taken into account in, the development of strategy. There are those who argue that the forces at work in an industry or market are the most important for example, that companies in more attractive environments will perform better than those in less attractive environments. So strategy development is about 'fit': that is, identifying opportunities in the environment and building strategy by matching resources to capabilities to those opportunities. Others argue that the resources and competences of organisations are what are most important because they explain differences between organisations, potential uniqueness and therefore superior performance. They take a 'stretch' view, arguing that strategies should be built on the unique competences and resources of an organisation, by seeking out markets in which such competences have special value or by trying to create new markets on the basis of such competences.

There are other considerations too. Organisations have different stakeholders (shareholders, customers, employees, perhaps government) who have expectations of the organisation and may exercise considerable influence and power over the strategy to be followed. As Chapter 2 showed, cultural similarities across industries or within, for example, professions, may also exercise an influence on strategy.


Strategic management involves understanding and managing these different forces affecting the organisation and this part of the book discusses them.

The overall theme of Chapter 3 is how managers might make sense of an uncertain and increasingly complex world around them. This is addressed by considering various layers of influence from macro influences to specific forces affecting competition. However, simply identifying particular influences is not sufficient. The challenge for a strategist is to cope with the interaction of these different forces.

Chapter 4 is concerned with understanding an organisation's strategic capability and how it underpins the competitive advantage of the organisation or sustains excellence in providing value-for-money products or services. Running through the chapter is the theme that strategic capability is really about the knowledge organisations have in relation to three issues: the resource base of the organisation, how these resources are deployed and controlled to create organisational competences, and how activities are

3

The Environment



LEARNING OUTCOMES:

After reading this chapter you should be able to:

- Describe the forces in the macro-environment of an organisation using the PESTEL framework.
- Identify key structural drivers of change and the differential impact on organisations.
- Develop scenarios and explain their implications.
- Define an industry and give examples of industry convergence.
- Use the five forces framework to identify the sources of competition for a strategic business unit.
- Explain what is meant by cycles of competition and the impact of hypercompetition.
- Define strategic groups and explain how the concept helps with an understanding of competition.
- Explain the concept of organisational fields.
- Explain what is meant by market segmentation and how it helps in understanding what customers value.
- Explain the different types of strategic gap that might present opportunities to organisations.

3.1 INTRODUCTION

The theme of this chapter is how managers – whether private or public sector – can make sense of an uncertain world around their organisation – the business environment. This can be difficult for several reasons, as discussed in section 2.4.3. First, the environment 'magnifies' many different influences – the difficulty is making sense of this diversity. Identifying very many environmental influences may be possible, but it may not be much use because no overall picture emerges of the really important influences on the organisation. The second difficulty is that of the speed of change. Managers typically feel that the pace of technological change and the speed of global communications mean more and faster change now than ever before. Third is the problem of

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Illustration 3.2

Global forces at Pilkington

Global forces can impact differently in different parts of the same business.

The early twenty-first century continued to provide tough challenges for manufacturing organisations based in developed economies. This was particularly true for manufacturers of basic materials such as steel or glass as they experienced fierce competition around the world. Pilkington, based in St Helens, UK, started glass manufacturing in 1826. But the major breakthrough for the company was development of the float glass manufacturing process, announced in 1959. This revolutionised glass manufacturing and led to a major international expansion of the company – largely through acquisition. By the 1990s the company turnover was some \$5 billion and had major operations in Europe, North America, South America and Australasia.

Flat glass has two major uses – in the building industry for windows and doors in domestic and commercial properties, and for glazing systems in automobiles. Competition in the glass industry and their customers' industries was increasingly globalising the operation of glass companies. Some of these global forces impacted right across the business while others impacted differently in the building products and automotive sectors.

Government influence

Issues in this category included a general increase in free trade, regulations about the insulation standards in houses and office buildings, and government actions to attract inward investment – for example, in the location of manufacturing plants for automobiles. Eastern Europe had opened up as a market since the revolutions of the late 1980s and the new

governments were less willing to subsidise uneconomic locally owned plants.

Global market convergence

The automobile industry was highly globalised with the major manufacturers operating in most parts of the world. Their product standardisation programmes led them to prefer suppliers who could source worldwide. In contrast, the building industry was very fragmented and building design, methods and requirements varied considerably from one continent to another. Climate was a crucial issue.

Cost advantages

Glass was a fragile, heavy and relatively low-cost item. So shipping raw glass long distances was uneconomic. However, glass manufacturing was also capital intensive – a float plant would cost some \$60 million and needed to run at its annual capacity of 200,000 tonnes to 'pay its way'.

Global competition

As a result of some of these other forces, primary glass production had seen a progressive reduction in the number of companies. By 2000 there were only six major glass companies of any size, of which only three (Pilkington, Asahi and Saint Gobain) could claim to have a significant presence in the major markets worldwide – either through their own plants or through partnerships.

Source: Company publications.

Discussion

Using Exhibit 3.3, draw up separate 'maps' for the building products and automobile glass sectors. Explain how this might influence the way that the company is organised.

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concept of the cultural web will be used as a means of understanding how culture at several 'levels' might influence organisational purposes. This will include the broader issues of national culture, through the expectations of the organisational field, to the subcultures within an organisation, perhaps at the business function level.

5.2 CORPORATE GOVERNANCE¹

The starting point in discussing expectations will be the corporate governance framework within which the organisation is operating. The governance framework describes whom the organisation is there to serve and how the purposes and priorities of the organisation should be decided. It is concerned with both the functioning of the organisation and the distribution of power among different stakeholders. It will be seen that there are different traditions and frameworks in different countries.² The corporate governance agenda in most countries tends to be more implicit than explicit. This means that the legal and regulatory measures form only a part of corporate governance.

5.2.1 The governance chain

The issue of corporate governance has arisen for two main reasons. First, the practical need to separate ownership and management control of organisations is now the norm – except with very small businesses. The result has been that most organisations operate within a hierarchy or chain of governance, i.e. all those groups that have a 'right' to influence an organisation's purposes. Although the details of the chain will vary from one organisation to another, Exhibit 5.1 illustrates a typical chain of governance for a publicly quoted company in the UK. Second, there has been an increasing tendency to make organisations more visibly accountable not only to owners (e.g. shareholders), but also to other stakeholder groups – including the community at large. The rights of these various stakeholders will be discussed later.

Even in the simplified example of Exhibit 5.2 it can be seen that the managers who are driving strategy in the organisation may be very remote from the ultimate beneficiaries of the company's performance. The figure also highlights the information typically available to each 'player' in the chain to judge the performance of others. In the example, it is likely that many beneficiaries are either ignorant of or indifferent to the details of companies in which their money is invested. Many beneficiaries will have their interests 'guarded' by intermediaries – for example, asset managers for pension funds (Illustration 5.1) shows how powerful these intermediaries may be in determining the future of companies.

Given the degree of complexity in corporate governance, there are likely to be several conflicts of interest both between different groups and for individual managers or directors as they try to balance these various interests. This is a particular issue for boards of directors and has resulted in important developments in both the role of the board and the disclosure of information. A very

重要术语在文中都以黑体字标出，并后缀英文。

实例说明理论与实践间的关系。

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is not taken here. Open statements may be just as helpful as closed statements. There may be some objectives which are important, but which are difficult to quantify or express in measurable terms. An objective such as 'to be a leader in technology' may be highly relevant in today's technological environment, but it may become absurd if it has to be expressed in some measurable way. It is nonetheless valid as an objective.

However, there are times when specific objectives are required. These are likely to be when urgent action is needed, such as in a crisis or at times of major transition, and it becomes essential for management to focus attention on a limited number of priority requirements. An extreme example would be in a turnaround situation. If the choice is between going out of business and surviving, there is no room for latitude through vaguely stated requirements and control.

SUMMARY

- Expectations and purposes are influenced by four main factors: corporate governance, stakeholder expectations, business ethics and culture.
- The corporate governance arrangements determine whom the organisation is there to serve and how the purposes and priorities should be decided. Corporate governance has become more complex for two main reasons: first, the separation of ownership and management control, and second, the increasing tendency to make organisations more visibly accountable to a wider range of stakeholders.
- Stakeholders differ in terms of the power that they hold and the extent to which they are actively interested in the strategies that an organisation is pursuing (or planning to pursue). Although they may be in agreement about the broad purposes of an organisation, at a more detailed level there are usually different expectations amongst different stakeholders. Stakeholder mapping can help with understanding these differences.
- Purposes are also influenced by the ethical stance taken by the organisation about its relationships with the wider society within which it operates. This stance may vary from a narrow view that the short-term interests of shareholders should be paramount, through to some organisations that would see themselves as chapters of society. Within this broad stance, specific issues of corporate social responsibility will be important. There can also be ethical differences for individuals within organisations if personal values come into conflict with the cultural stances and behaviours in the organisation.
- Purposes are strongly influenced by cultural frames of reference at various 'levels'. This ranges from the national culture, through the organisational field to the organisational culture and subcultures. All of these influence whether strategies are regarded as legitimate.
- Culture consists of 'layers' of values, beliefs and taken-for-granted assumptions and ways of doing things in organisations. The cultural web is a useful concept for understanding how these connect and influence strategy.

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- It is useful to understand and characterise both the culture and the subcultures in an organisation. This can help in understanding the ease or difficulty with which new strategies could be adopted.
- Organisational purposes can be communicated at different levels of detail, from an overall mission statement through to detailed operational objectives for the various parts of the organisation.

RECOMMENDED KEY READINGS

- R.I. Ticker, *International Corporate Governance: First cases and readings*, Prentice Hall, 1999, remains the most comprehensive book on corporate governance. Also useful is A. Davis, *A Strategic Approach to Corporate Governance*, Gower, 1999.
- For more about the stakeholder concept, and L.I. Mitroff, *Stakeholders of the Organizational Mind*, Jossey-Bass, 1983, or R.E. Freeman, *Strategic Management: A Stakeholder Approach*, Pitman, 1984, or E. Scherer's chapter in V. Ambrosini with G. Johnson and E. Scherer (eds), *Exploring Traditions of Analysis and Evaluation in Strategic Management*, Prentice Hall, 1998.
- Readers should be familiar with the political context of strategy decision making by reading J. Pfeffer, *Managing with Power: Politics and Influence in Organizations*, HBO Press, 1994.
- Readers can gain some useful insights into business ethics by reading P. Werhane and R.E. Freeman, *Business ethics: the state of the art*, *International Journal of Management Research*, vol. 1, no. 1, March (1999), pp. 1-16.
- A useful book on corporate social responsibility is W. Fredrick, J. Post and K. Davis, *Business and Society: Managing the Business of Public Policy*, Prentice Hall, McGraw-Hill, 1992.
- E. Schein, *Organizational Culture and Leadership*, Jossey-Bass, 1997, is useful in understanding the relationship between organisational culture and strategy.
- An important paper on institutional theory and the concept of organisational fields is P. DiMaggio and W. Powell, 'The iron cage revisited: institutional isomorphism and collective rationality in organisational fields', *American Sociological Review*, vol. 48 (1983), pp. 147-160.
- A full exploration of the cultural web can be found in G. Johnson, 'Managing strategic change: strategy, culture and action', *Long Range Planning*, vol. 25, no. 1 (1992), pp. 28-36. G. Johnson's chapter 'Mapping and re-mapping organisational culture' in V. Ambrosini with G. Johnson and E. Scherer (eds), *Exploring Traditions of Analysis and Evaluation in Strategic Management*, Prentice Hall, 1998, shows how to carry out a cultural web exercise.
- A comprehensive coverage of the influence of national culture on strategy can be found in R. Mead, *International Management: Crosscultural dimensions*, Blackwell, 1994. See also S. Schneider and J.L. Bowen, *Managing Across Cultures*, Financial Times/Prentice Hall, 1997, Chapter 4.

REFERENCES

1. Useful general references on corporate governance are: A. Davis, *A Strategic Approach to Corporate Governance*, Gower, 1999; M. Bains and D. Bird, *Managing Through Corporate Governance*, Prentice Hall, 1996; and R.I. Ticker, *International Corporate Governance: First cases and readings*, Prentice Hall, 1999 (which remains the most comprehensive book on the subject). Also, *Harvard Business Review on Corporate Governance*, HBO Press, 2000, is a collection of eight papers published in the journal during the 1990s. CIMA, *Corporate Governance: History, Practice and Future*, 2000, is a guide for practising managers.
2. These differences between countries are discussed in the general book reference 1 above and also in T. Clarke and S. Clagg, *Changing Paradigms: The Transformation of Management Knowledge in the 21st century*, HarperCollins, 2000, Chapter 7.
3. This issue of us' whom corporate managers should be accountable to is discussed by J. Chaddock, *Exploiting Good Company: A study of corporate governance in five countries*, Cambridge Press, 1994 (ed.), 50p., 'The

重点推荐读物提供了用于对具体主题或概念进行深度研究的学术、科研文献资料。

本章小结概括和回顾了每章的主要知识点。

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16. A useful reference on creating 'added value' products features in J. Kay, *Manufacturing of Corporate Success*, Oxford University Press, 1993, Chapter 2.

17. See *Case (reference 6 above)*, pp. 228-234.

18. This example is from Husted and Henze (reference 10 above), pp. 10-18.

19. Benchmarking is used extensively in both private and public sectors. Cf. W. Womack, *Strategic Benchmarking*, Wiley, 1993, and E. Coding, *Benchmarking Again*, Gower, 1996, as a practical guide to benchmarking. See also G. Tomlinson's chapter, 'Comparative analysis: benchmarking in V. Ambrosini with G. Johnson and E. Scherer (see reference 10 above).

20. Corporate failure and corporate recovery are discussed in S. Steiner and D. Lorenz, *Corporate Turnaround: Managing companies in distress*, Praeger, 1999.

21. For a good overall review of the use of benchmarking in the public sector see M. Wisniewski, 'Measuring up to the best: a manager's guide to benchmarking', in G. Johnson and K. Scherer (eds), *Exploring Public Sector Strategy*, Financial Times/Prentice Hall, 2001.

22. For a more detailed review of the use of benchmarking in Chapter 5. The specific instances are reviewed in other chapters: A. Spiller, 'The best value initiative' in P. Chapple and D. Harland, 'Classical governance in Chapter 7; A. Meredith, 'Recent benchmarking, or what Formula One taught us about', *Management Today*, November 1997, pp. 64-67. See also the Formula One case study

In the case study section of this book (Text and Case review only).

23. The importance of managing vertical relationships has been assessed by Porter (reference 11 above) and Kay (reference 16 above), Chapter 17.

24. See *Case (reference 6 above)*, p. 288, and S. Lippman and A. Banish, 'Vertical instability: an analysis of inter-firm differences in efficiency under competition', *Journal of Economics*, vol. 15 (1982), pp. 418-438.

25. J.B. Barney, 'Organizational culture: can it be a source of competitive advantage?', *Academy of Management Review*, vol. 11, no. 3 (1986), pp. 656-665.

26. See Hosoda and Taketani (reference 2 above) for a discussion of embedded (and) knowledge.

27. D. Leonard-Barton, 'Core capabilities and core competencies: a paradox in managing new product development', *Strategic Management Journal*, vol. 15 (Summer 1992), pp. 111-125.

28. Reference 2 above.

29. The idea of SWOT as a continuous checklist has been used for many years for example, S. Miles, 'Making strategy explicit', in J. Amsell (ed.), *Business Strategy*, Praeger, 1986. See also T. Joubert, J. Shepherd and G. Johnson's chapter on SWOT analysis in V. Ambrosini with G. Johnson and E. Scherer (see reference 10 above).

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CASE EXAMPLE

Playing the game? Manchester United

Introduction

Initial interpretation of the first reported financial results of a new century for Manchester United, the world's biggest club, could have been that the 'bubble' of confidence in football had burst. The City had reacted nervously to the announcement of reduced profits, so wiping one-third off the club's stock market valuation. Closer examination, however, suggested that an interpretation to be premature: the club itself was justifiably regarding the financial performance to be 'solid' (annual turnover had, after all, increased by 5 per cent to £1.6 billion, producing a £16.8 million profit, whilst United spent over £50 million on facilities and new players).

Later, they had also competed in the inaugural World Club championship in Brazil (at the expense of entry to the FA Cup). The withdrawal from the FA Cup may have cost £4 million in lost gate receipts but television income had soared to £30.5 million. By March 2000, with share prices standing at 602p in the stock market, valuation had reached the 'magical' milestone of \$1 billion. Coinciding with this record-breaking valuation was the announcement of the opening of a 15,000-square-foot store and Intercontinental Red Café in the heart of Aids.

Manchester United plc, despite reduced profitability, was still in the best of health.

English football's sea-change

United's position looked decidedly less easy a decade and a half earlier. A corporate transformation from provincial English football club to global corporation likened to the fast-food giant McDonald's in this space of time was remarkable.

The club's resurgence should be set within the context of a dramatic turnaround in English football industry fortunes themselves. The mid-1980s were the low point for a game blighted by rampant crowd disorder, the smallest post-war attendances, and failure to agree a television contract (meaning no televised coverage). Matters were, however, to worsen still further. The mere mention of *Braemar* and *Haydn* invoked the tragedy of lost life in an 11-day period during May 1995 (one clearly attributable to a decaying stadium, the other to a combination of 'hooliganism', poor facilities and poor policing). The Heywood repercussions involved a ban on all English clubs competing in European competition. Domestically, an unrepresentative government proposed legislation to intervene in the affairs of a 'beautiful game' with a tarnished image and seemingly in terminal decline.

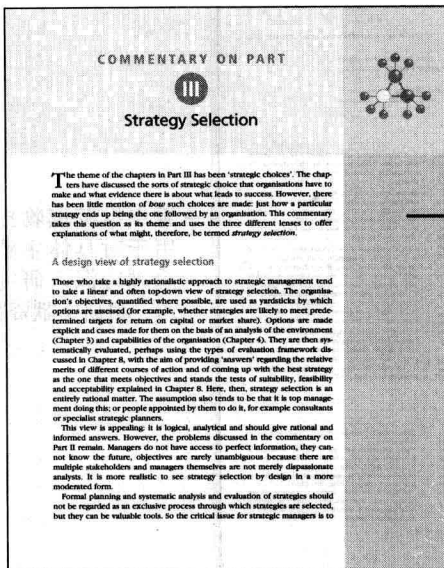
案例位于每章末尾，它有助于强化你对重要问题的理解。

WORK ASSIGNMENTS

- Reflect on a case study in the Text and Case section. • Denotes more advanced work assignment.**
1. Undertake a resource audit of an organisation which you are familiar. Then identify which resources, if any, are unique in the sense that they are difficult to imitate (see Exhibit 4.2). Has the organisation gained competitive advantage as a result of this uniqueness? Why/why not? You can answer this in relation to Ansoff's or Formula One* if you wish.
 2. Use Exhibits 4.3 and 4.4 to map out the key value activities for Amazon* or a Formula One team* or an organisation of your choice, both within the company and in the wider value system/network in which it operates.
 3. Explain how the organisation you have analysed in assignment 4.2 does or does not gain competitive advantage from:
 - a) competence in separate value activities;
 - b) managing linkages within the value chain and wider value system/network.
 4. Explain how changing the way in which relationships in the value system/network are managed could give competitive advantage, or both, to an organisation. Illustrate your answer by reference to an organisation of your choice, the Critical Path System (Illustration 4.3) or Amazon*.
 5. Take any industry and public service and sketch out a map of how core competences have changed over the past 10 years (as an example). Why have these changes occurred? How did the relative strengths of different competences or service providers change over this period? Why?

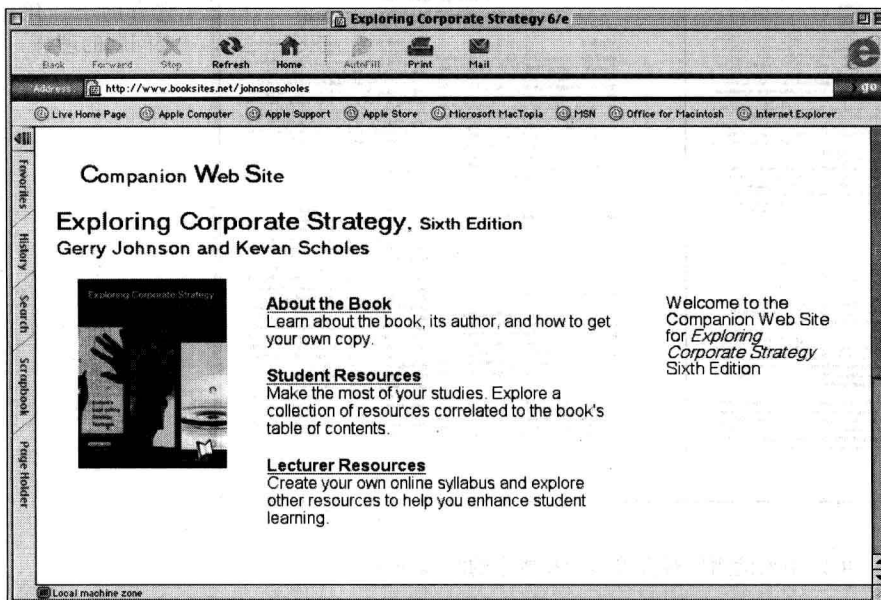
作业按难度分为两类，可以用来检测你对有关理论和概念的掌握程度。

GUIDED TOUR continued



各编评述位于本书各编末尾，其作用在于强调各编不同章节中有关问题之间的联系以及从多种角度看待本书中的战略问题。

《战略管理》网站 (www.booksites.net/johnsonscholes) 定期更新，它包含与本书相关的主题资料、案例更新 / 案例见说明、作业、多项选择题和教师参考资料。



教学与学习资源 (英文)

《战略管理》一书的网站 (www.booksites.net/johnsonscholes)

一个为《战略管理》(第6版,作者约翰逊和斯科尔斯)配置的网站。

浏览《战略管理》一书的网站——www.booksites.net/johnsonscholes, 获取有价值的教学与学习资源; 这些资源包括:



对学生:

- ◆ 帮助你提高学习效果的资料
- ◆ 每一章的学习目标
- ◆ 多项选择题, 用于检测你的理解程度
- ◆ 加深你理解的小案例
- ◆ 对有关期刊、其他资源及文中提到的所有组织的链接
- ◆ 案例更新
- ◆ 在线术语表
- ◆ 重要概念的定义

对老师:

- ◆ 一个安全可靠、有密码保护的教学资料网站
- ◆ 一个完整教师手册的下载版, 包括:
 - 如何制定使用本书的计划
 - 案例研究使用指南
 - 案例分析的教学参考
 - 每一章末尾所列作业的答案 (供教师参考)
 - 与实例和案例有关的问题
- ◆ 本书中所有图表的可供下载的幻灯片
- ◆ 学生网站上小案例的教学参考
- ◆ 关于订购《战略管理》录像带的信息
- ◆ 一个可用于建立和管理自己课程教学大纲的网页

战略管理研究系列丛书

FT/Prentice Hall 出版社所出的这一系列书籍以读者对《战略管理》学习为基础, 但在题目或行业方面增加了深度; 这些书都是由格里·约翰逊和凯万·斯科尔斯共同撰写的:

- ◆ V.Ambrosini with G.Johnson and K.Scholes Exploring Techniques of Analysis and Evaluation in Strategic Management, 1998; ISBN: 0-13-570680-7

- ◆ T.Grundy with G.Johnson and K.Scholes Exploring Strategic Financial Management, 1998; ISBN: 0-13-570102-3
- ◆ J.Balogun and V.Hope Hailey with G.Johnson and K.Scholes Exploring Strategic Change, 1999; ISBN: 0-13-263856-8
- ◆ G.ohnson and K.Scholes (editors), Exploring Public Sector Strategy, 2001; ISBN: 0-273-64687-7

对教师的建议

教师手册

为教师提供的一个全面支持资料，包括：

- ◆ 如何制定使用本书的计划；
- ◆ 如何使用案例分析；
- ◆ 对每一章末尾安排的作业、与实例和案例有关的问题的简要说明（供教师参考）；
- ◆ 案例分析的教学参考；
- ◆ 一张包括书中所有图表和一些附加资料的光盘，它有助于对课堂教学或演讲的准备；
- ◆ 多项选择题（在网站上）。

从第1版发行以来，我们一直关注为教师提供高质量且可行的支持和建议（这是教学参考资料增多的动力之一），上面对学生和管理者的建议也同样与教师有关。

从1989年开始，我们每年都为教师举办一个为期一天的教学研讨会（在苏格兰从1995年开始）。事实证明，资深教师和新教师都非常欢迎这样的活动。

关于即将到来的研讨会的详细情况公布在我们的网站上——我们希望：该网站的开发利用能够使这种支持更全面、覆盖范围更广、更能与教师们的期望保持一致，不管教师们哪个国家和地区。

欢迎读者为本书提出宝贵的意见和建议——可以通过以下电子信箱与我们联系：

K.Scholes@scholes.u-net.com 或者 Gerry@gsb.strath.ac.uk

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