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（第5版）

INTERNATIONAL MANAGEMENT: TEXT AND CASES

(Fifth Edition)

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莫礼训 (Allen J. Morrison)
安德鲁·C·英克本 (Andrew C. Inkpen)
菲利普·M·罗森茨韦格 (Philip M. Rosenzweig) 著

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总　序

随着我国加入WTO，越来越多的国内企业参与到国际竞争中来，用国际上通用的语言思考、工作、交流的能力也越来越受到重视。这样一种能力也成为我国各类人才参与竞争的一种有效工具。国家教育机构、各类院校以及一些主要的教材出版单位一直在思考，如何顺应这一发展潮流，推动各层次人员通过学习来获取这种能力。双语教学就是这种背景下的一种尝试。

双语教学在我国主要指汉语和国际通用的英语教学。事实上，双语教学在我国教育界已经不是一个陌生的词汇了，以双语教学为主的科研课题也已列入国家"十五"规划的重点课题。但从另一方面来看，双语教学从其诞生的那天起就被包围在人们的赞成与反对声中。如今，依然是有人赞成有人反对，但不论是赞成居多还是反对占上，双语教学的规模和影响都在原有的基础上不断扩大，且呈大发展之势。一些率先进行双语教学的院校在实践中积累了经验，不断加以改进；一些待进入者也在模仿中学习，并静待时机成熟时加入这一行列。由于我国长期缺乏讲第二语言（包括英语）的环境，开展双语教学面临特殊的困难，因此，选用合适的教材就成为双语教学成功与否的一个重要问题。我们认为，双语教学从一开始就应该使用原版的各类学科的教材，而不是由本土教师自编的教材，从而可以避免中国式英语问题，保证语言的原汁原味。各院校除应执行国家颁布的教学大纲和课程标准外，还应根据双语教学的特点和需要，适当调整教学课时的设置，合理选择优秀的、合适的双语教材。

顺应这样一种大的教育发展趋势，中国人民大学出版社同众多国际知名的大出版公司，如麦格劳-希尔出版公司、培生教育出版公司等合作，面向大学本科生层次，遴选了一批国外最优秀的管理类原版教材，涉及专业基础课，人力资源管理、市场营销及国际化管理等专业方向课，并广泛听取有着丰富的双语一线教学经验的教师的建议和意见，对原版教材进行了适当的改编，删减了一些不适合我国国情和不适合教学的内容；另一方面，根据教育部对双语教学教材篇幅合理、定价低的要求，我们更是努力区别于目前市场上形形色色的各类英文版、英文影印版的大部头，将目标受众锁定在大学本科生层次。本套教材尤其突出了以下一些特点：

● 保持英文原版教材的特色。本套双语教材根据国内教学实际需要，对原书进行了一定的改编，主要是删减了一些不适合教学以及不符合我国国情的内容，但在体系结构和内容特色方面都保持了原版教材的风貌。专家们的认真改编和审定，使本套教材既保持了学术上的完整性，又贴近中国实际；既方便教师教学，又方便学生理解和掌握。

● 突出管理类专业教材的实用性。本套教材既强调学术的基础性，又兼顾应用的广泛性；

既侧重让学生掌握基本的理论知识、专业术语和专业表达方式，又考虑到教材和管理实践的紧密结合，有助于学生形成专业的思维能力，培养实际的管理技能。

● 体系经过精心组织。本套教材在体系架构上充分考虑到当前我国在本科教育阶段推广双语教学的进度安排，首先针对那些课程内容国际化程度较高的学科进行双语教材开发，在其专业模块内精心选择各专业教材。这种安排既有利于我国教师摸索双语教学的经验，使得双语教学贴近现实教学的需要；也有利于我们收集关于双语教学教材的建议，更好地推出后续的双语教材及教辅材料。

● 篇幅合理，价格相对较低。为适应国内双语教学内容和课时上的实际需要，本套教材进行了一定的删减和改编，使总体篇幅更为合理；而采取低定价，则充分考虑到了学生实际的购买能力，从而使本套教材得以真正走近广大读者。

● 提供强大的教学支持。依托国际大出版公司的力量，本套教材为教师提供了配套的教辅材料，如教师手册、PowerPoint 讲义、试题库等，并配有内容极为丰富的网络资源，从而使教学更为便利。

本套教材是在双语教学教材出版方面的一种尝试。我们在选书、改编及出版的过程中得到了国内许多高校的专家、教师的支持和指导，在此深表谢意。同时，为使我们后续推出的教材更适于教学，我们也真诚地期待广大读者提出宝贵的意见和建议。需要说明的是，尽管我们在改编的过程中已加以注意，但由于各教材的作者所处的政治、经济和文化背景不同，书中内容仍可能有不妥之处，望读者在阅读时注意比较和甄别。

徐二明

中国人民大学商学院

2005 年 1 月

简明目录

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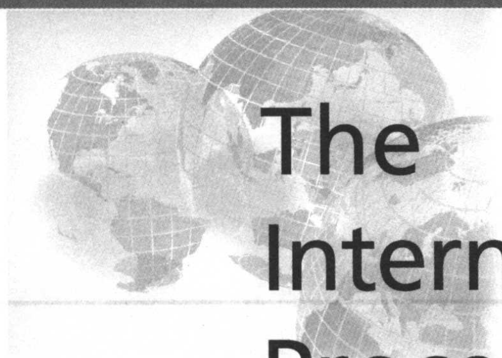
Text

Chapter One



The Internationalization Process

Firms become international in scope for a variety of reasons: a desire for continued growth, an unsolicited foreign order, domestic market saturation, the potential to exploit a new technological advantage, and so forth. The dominant reason, however, relates to performance. There is clear evidence that among the largest multinational enterprises (MNEs), a strong correlation exists between improved performance and degree of internationalization (see Exhibit 1.1). Geographic scope is positively associated with firm profitability, even when controlling for the competing effect of the possession of proprietary assets. There is intrinsic value in internationalization itself.

Internationalization is the process by which firms increase their awareness of the influence of international activities on their future, and establish and conduct transactions with firms from other countries. International transactions can influence a firm's future in both direct and indirect ways. Business decisions made in one country, regarding such things as foreign investments and partnership arrangements, can have significant impact on a firm in a different country—and vice versa. The impact of such decisions may not be immediately and directly evident. The development of an awareness and appreciation for the role of foreign competition becomes an integral—and sometimes overlooked—part of the internationalization process.

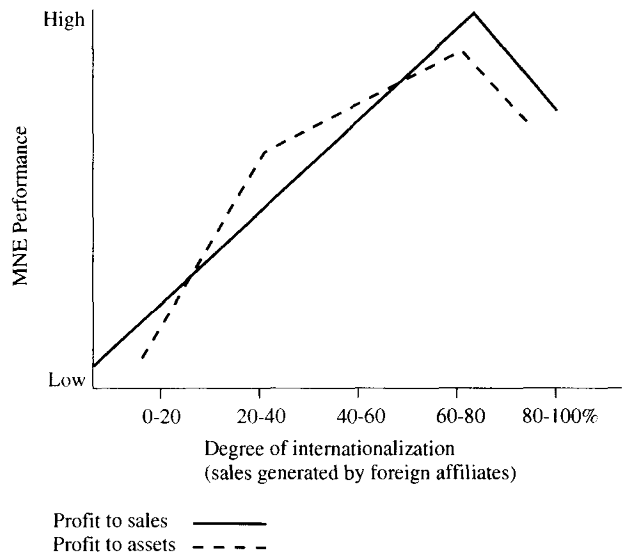
Internationalization has both inward-looking and outward-looking dimensions. The outward-looking perspective incorporates an awareness of the nature of competition in foreign markets, and includes the following modes of activities:

a. Exporting.

b. Acting as licensor to a foreign company.

This chapter was prepared by Paul W. Beamish.

EXHIBIT 1.1
MNE Performance and Degree of Internationalization*



* Data are based on the 100 largest U.S. MNEs and the 100 largest European MNEs.

c. Establishing joint ventures outside the home country with foreign companies.

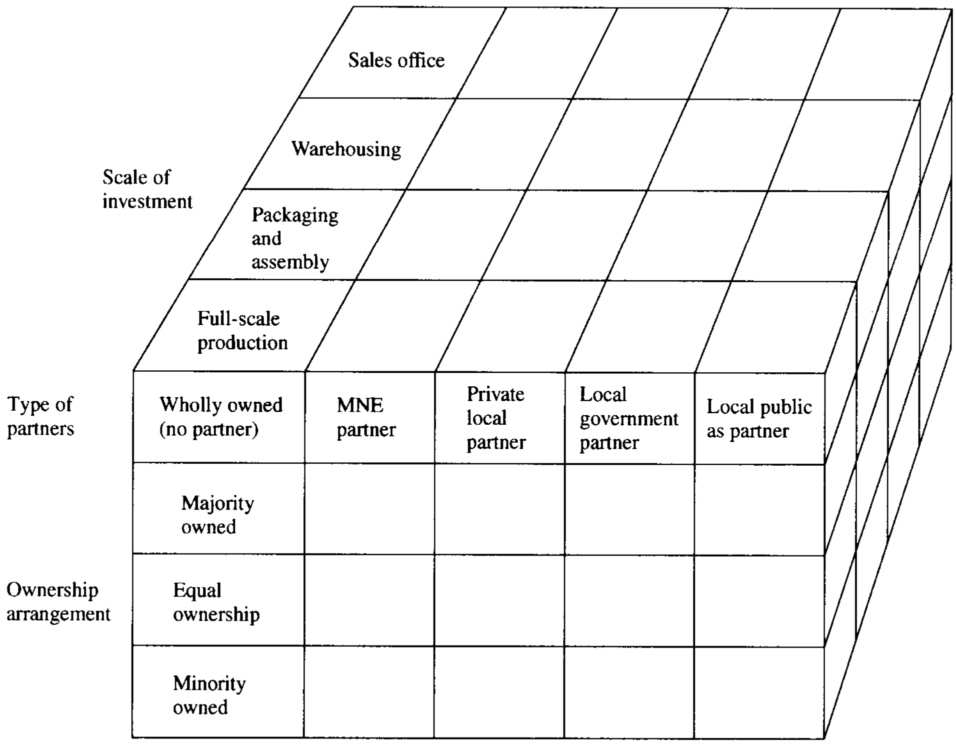
d. Establishing or acquiring wholly owned businesses outside the home country.

These outward-oriented elements are similar to those in the stages model of international expansion. The stages model is an outward-looking perspective developed to reflect the commonly observed pattern of increased commitment to international business. In the stages model,[1] a firm might progress from (a) indirect/ad hoc exporting—perhaps from unsolicited export orders—to (b) active exporting and/or licensing to (c) active exporting, licensing, and joint equity investment in foreign manufacture to (d) full-scale multinational marketing and production.

These are, of course, broad-based stages. In practice, there are many more subcategories. Within exporting, for example, firms may start with order-filling only. Soon after, however, they may be confronted with questions of whether to use exporting middlemen who take ownership (distributors) or those who are commissioned agents; and whether to export directly (either through the firm's own sales force, an export department, or a foreign sales company) or indirectly (through brokers or export agents). From a service sector perspective, comparable issues exist, such as whether to use management contracts or to develop in-house capability.

Similarly, if an investment is to be made, there are questions regarding scale of investment (sales office, warehouse, packaging and assembly, or full-scale production), level of ownership (wholly, majority equity, equal, minority equity), and type of partner. As Exhibit 1.2 illustrates, there are numerous variations on the types of foreign direct investment possible.

EXHIBIT 1.2 The Foreign Direct Investment of MNEs
Choosing the Scale of Investment, Type of Partner, and Ownership Arrangement



Another way of considering the various forms of foreign investment (and there are over 300,000 subsidiaries around the world) is illustrated in Exhibit 1.3. Each of these four forms has merit, although generally greenfield and joint venture tend to be superior performers versus acquisitions (because here there is a tendency to pay too much and/or to have integration problems.)

The sequential approach in the stages model is intuitively appealing in that it suggests that as firms develop experience and confidence with international busi-

EXHIBIT 1.3 Forms of Foreign Investment

	Partially Owned	**Wholly Owned**
Existing Business	Capital Participation	Acquisition
New Business	Joint Venture	Greenfield

ness, they will be willing to increase the scale of their investment and commitment in some sort of predictable fashion. The stages model also implies that over time, the firm's international operations will evolve toward modes such as wholly owned subsidiaries that promise greater risk (due to the required scale of investment) with the offsetting ability to exert greater control.

Not all firms follow such a path. Some start and stay with a particular mode or some skip stages, while others even change modes to a direction opposite to that suggested by the stages model. So while the stages model provides a useful way to organize our discussion, it is by no means reflective of, or appropriate for, all firms' approaches to international business. It is a descriptive model. It reflects what firms often do, not what they must or ought to do.

We also observe the formation of firms that, by necessity or design, are international at, or soon after, inception. These so-called "born globals" can take many forms, depending on the number of countries involved and the number of value chain activities that must be coordinated. (See Exhibit 1.4). Firms that are international from inception are often led by entrepreneurs who are able to overcome not just the liabilities of newness and size, but the liability of being foreign. Many firms do not originate with both international business competency and confidence. These firms, which are often SMEs (small and medium sized enterprises), thus have added challenges as they engage in the internationalization process from an entrepreneurial base.

Internationalization affects firms in equally important ways from an inward perspective, which incorporates an awareness of the impact of global competitors on the ability of domestically oriented firms to compete. The related modes of activity include:

a. Importing/sourcing.

b. Acting as licensee from a foreign company.

c. Establishing joint ventures (JVs) inside the home country with foreign companies.

d. Managing as the wholly owned subsidiary of a foreign firm.

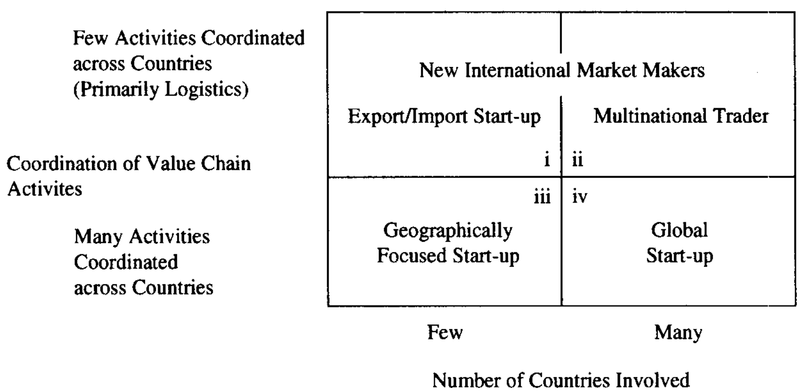


EXHIBIT 1.4
Types of International New Ventures

Source: B. M. Oviatt and P. McDougall, "Toward a Theory of International New Ventures," *Journal of International Business Studies*, Vol. 25, No. 1, 1994, p. 59.

All of these modes and influences are relevant to the internationalization process and all are often overlooked. There are numerous reasons for considering importing rather than purchasing domestically, for considering foreign licensors or joint venture partners rather than strictly local ones, or if selling an entire business, considering foreign purchasers as an alternative to becoming the subsidiary of a domestic firm. Drawing upon resources and alternatives that are present elsewhere can help the firm see new opportunities, improve its bargaining power with local firms, make more informed decisions, and compete better at home.

Many firms have an appreciation for the nature and degree of competition in one or more foreign markets. Yet often they will not aggressively seek out markets that differ in language, geographic proximity, cultural similarity, and so forth. Some have suggested that for certain products, the world is a single market. The so-called Triad market (Japan, North America, and western Europe) is made up of over 630 million buyers with similar tastes.[2] This view raises a number of issues to be explored in later chapters. Which products/services would fall into this cat-

EXHIBIT 1.5 Some Variables Influencing the Location of Value Added Activities by MNEs in the 1970s and 1990s

Type of FDI	In the 1970s	In the 1990s
A. Resource Seeking	1. Availability, price, and quality of natural resources. 2. Infrastructure to enable resources to be exploited, and products arising from them to be exported. 3. Government restrictions on FDI and/or on capital and dividend remissions. 4. Investment incentives, e.g., tax holidays.	1. As in the 1970s, but local opportunities for upgrading quality of resources and the processing and transportation of their output are a more important locational incentive. 2. Availability of local partners to jointly promote knowledge and/or capital-intensive resource exploitation.
B. Market Seeking	1. Mainly domestic, and occasionally (e.g., in Europe) adjacent regional markets. 2. Real wage costs; material costs. 3. Transport costs; tariff and nontariff trade barriers. 4. As A.3 above, but also (where relevant) privileged access to import licenses.	1. Mostly large and growing domestic markets, and adjacent regional markets (e.g., NAFTA, EU, etc.). 2. Availability and price of skilled and professional labor. 3. Presence and competitiveness of related firms, e.g., leading industrial suppliers. 4. Quality of national and local infrastructure, and institutional competence. 5. Less spatially related market distortions, but increased role of agglomerative spatial economies and local service support facilities. 6. Macroeconomic and macro-organizational policies as pursued by host governments. 7. Increased need for presence close to users in knowledge-intensive sectors. 8. Growing importance of promotional activities by regional or local development agencies.

(continued)

egory? How would a firm know that it may have a globally competitive product/service? If it did, how could it take the product/service effectively to numerous distant markets? To complicate this even further, we must consider how the answers to these and other questions change over time. For example, many of the reasons for making a foreign investment decades ago are different today (see Exhibit 1.5). The nonstatic nature of the environment is simultaneously one of the greatest attractions and frustrations for the international manager.

In terms of the new entrant to international business, how do managers make the decision to get involved internationally using any mode? Individual managers and groups of managers often possess distinct attitudes toward international business. These can range from being home-country oriented (ethnocentric),[3] to host-country oriented (polycentric), to world oriented (geocentric). There are two major risks associated with an ethnocentric, or home-country, focus. The first of these is a lack of awareness and appreciation for opportunities that exist external to the domestic market. The counterpoint to these potential opportunities is the

EXHIBIT 1.5 ***(concluded)***

Type of FDI	In the 1970s	In the 1990s
C. Efficiency Seeking	1. Mainly production cost related (e.g., labor, materials, machinery, etc.). 2. Freedom to engage in trade in intermediate and final products. 3. Presence of agglomerative economies, e.g., export processing zones. 4. Investment incentives, e.g., tax breaks, accelerated depreciation, grants, subsidized land.	1. As in the 1970s, but more emphasis placed on B2, 3, 4, 5 and 7 above, especially for knowledge-intensive and integrated MNE activities, e.g., R&D and some office functions. 2. Increased role of governments in removing obstacles to restructuring economic activity, and facilitating the upgrading of human resources by appropriate educational and training programs. 3. Availability of specialized spatial clusters, e.g., science and industrial parks, service support systems etc.; and of specialized factor inputs. Opportunities for new initiatives by investing firms; an entrepreneurial environment, and one which encourages competitiveness enhancing cooperation within and between firms.
D. Strategic Asset Seeking	1. Availability of knowledge-related assets and markets necessary to protect or enhance ownership-specific advantages of investing firms—and at the right price. 2. Institutional and other variables influencing ease or difficulty at which such assets can be acquired by foreign firms.	1. As in the 1970s, but growing geographical dispersion of knowledge-based assets, and need of firms to harness such assets from foreign locations, makes this a more important motive for FDI. 2. The price and availability of "synergistic" assets to foreign investors. 3. Opportunities offered (often by particular subnational spatial units) for exchange of localized tacit knowledge, ideas and interactive learning. 4. Access to different cultures, institutions and systems; and different consumer demands and preferences.

Source: John H. Dunning. "Location and the Multinational Enterprise: A Neglected Factor?" *Journal of International Business Studies,* Vol. 29, No. 1, p. 53, 1998.

potential threat of foreign competition in the home market. Numerous businesses have been hurt as a result of the naive view that if a product or service is NIH (not-invented-here), it won't be effective.

Relevant to all of the various perspectives and modes of involvement is the firm's need for methods of coming to grips with various international cultures. Firms do not typically have the resources available to develop a detailed understanding of numerous cultures. Yet to compete internationally, some degree of understanding is required. But how much? And which cultures does it make more sense to try to learn about?

There are still business people who persist in believing that international competition cannot affect them because they are too small, or because they are solely focused on the local market. Foreign competition affects every sector of every economy. Education is an important consideration at each stage of the internationalization process.

In the balance of this chapter, some of the issues we will deal with in the subsequent chapters and cases will be briefly considered.

THE GLOBAL BUSINESS ENVIRONMENT

A key element of the internationalization process concerns where an organization chooses to do business outside its country. Many firms conduct an incomplete analysis of potential markets. This is due, in part, to a lack of awareness regarding global demographics.

Many criteria are available for assessing market compatibility. Chapter 2 provides some introductory material on population, gross national product, country growth rates, and so forth. Basic statistics on countries are included. This material is particularly useful when the firm is looking at opportunities on a worldwide (see Cameron case), regional, national (see Samsung China case) or even city (see Global Branding of Stella Artois case) basis.

THE WORLD OF INTERNATIONAL TRADE

Chapter 3 presents an overview of the international trade environment, with particular emphasis on the need to appreciate the role of foreign competition in both the home market and foreign markets. A great deal of emphasis is placed on demystifying the nature of international business, in part through an overview of the trade framework.

The trade framework considers social, technological, economic, and political (STEP) environments, which make any country more or less attractive for international investment and trade. As part of this analysis, the distinctions between comparative and competitive advantage, theories of international trade, and the nature of exchange rates are reviewed.

MANAGING EXPORT OPERATIONS

Exporting can often be the basis for all or part of an entire course on international marketing. This is so because the export decision process is complex, requiring resolution of a number of fundamental questions. Firms of any size are faced with the same questions of where to expand (at home or abroad); if exporting, to which markets; the best way to enter these markets (i.e., what distribution arrangement, method of pricing, level of promotion, whether to adapt the product, and so forth); and the ongoing management of their foreign export operations. These questions are considered in detail in Chapter 4.

GLOBAL SOURCING STRATEGY

The decision to import a good or service must be made in the context of whether it would be better to purchase locally or to produce the product oneself. A firm with a home-country orientation may not even consider the possibility of importing. Not surprising, larger firms tend to have an advantage over smaller ones because they possess more resources with which to assess the importing alternative.

An excellent set of production and sourcing decisions that firms confront would include:[4]

1. From where should the firm supply the target market?
2. To what extent should the firm itself undertake production (degree of integration)?
3. To the extent that it does not, what and where should it buy from others?
4. To the extent that a firm opts to do at least some manufacturing, how should it acquire facilities?
5. Should the firm produce in one plant or many, related or autonomous?
6. What sort of production equipment (technology) should it use?
7. What site is best?
8. Where should research and development be located?

Importing should be a significant area of investigation, yet even purchasing texts frequently devote only limited space to international considerations. Of all the parts in the internationalization process, either from an outward or inward perspective, importing may well be the most underresearched. Although there has been recent progress[5] much work remains. Chapter 5 deals with global sourcing strategy. It emphasizes logistical management of the interface of R&D, manufacturing, and marketing activities on a global basis.