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高等院校双语教学适用教材

工商管理

# Transnational Management

Text, Cases, and Readings in Cross-Border Management

(Fifth Edition)

*Christopher Bartlett*

*Sumantra Ghoshal*

*Paul Beamish*

(第5版)

## 跨国管理

### 教程、案例和阅读材料

(美) 克里斯托弗·巴特利特

(英) 休曼特拉·戈歇尔

(加) 保罗·比米什

著

赵曙明 译注

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# 出版者的话

当前,在教育部的大力倡导下,财经和管理类专业的双语教学在我国各大高校已经逐步开展起来。一些双语教学开展较早的院校积累了丰富的经验,同时也发现了教学过程中存在的一些问题,尤其对教材提出了更高的要求;一些尚未进入这一领域的院校,也在不断探索适于自身的教学方式和方法以及适用的教材,以期时机成熟时加入双语教学的行列。总之,对各类院校而言,能否找到“适用”的教材都成为双语教学成功与否的关键因素之一。

然而,国外原版教材为国外教学量身定做的一些特点,如普遍篇幅较大、侧重于描述性讲解、辅助材料(如习题、案例、延伸阅读材料等)繁杂,尤其是许多内容针对性太强,与所在国的法律结构和经济、文化背景结合过于紧密等,却显然不适于国内教学采用,并成为制约国内双语教学开展的重要原因。因此,对国外原版教材进行本土化的精简改编,使之变成更加“适用”的双语教材,已然迫在眉睫。

东北财经大学出版社作为国内较早涉足引进版教材的一家专业出版社,秉承自己一贯服务于财经教学的宗旨,总结自身多年的出版经验,同麦格劳—希尔教育出版公司、培生教育出版集团和圣智出版集团等国外著名出版公司通力合作,在国内再次领先推出了会计、工商管理、经济学等专业的“高等院校双语教学适用教材”。这套丛书的出版经过了长时间的酝酿和筛选,编选人员本着“品质优先、首推名作”的选题原则,既考虑了目前我国财经教育的现状,也考虑了我国财经高等教育所具有的学科特点和需求指向,在教材的遴选、改编和出版上突出了以下一些特点:

- 优选权威的最新版本。入选改编的教材是在国际上多次再版的经典之作的最新版本,其中有些教材的以前版本已在国内部分高校中进行了试用,获得了一致的好评。

- 改编后的教材在保持英文原版教材特色的基础上,力求内容精要,逻辑严密,适合中国的双语教学。选择的改编人员既熟悉原版教材内容,又具有本书或本门课程双语教学的经验。

- 改编后的教材配有丰富的辅助教学支持资源,教师可在网上免费获取。

- 改编后的教材篇幅合理,符合国内教学的课时要求,价格相对较低。

本套教材是在双语教学教材出版方面的一次新的尝试。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,也期待广大读者提出宝贵的意见和建议。

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,书中的内容仍可能有不妥之处,望读者在阅读中注意比较和甄别。

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# Preface 前言

This fifth edition of *Transnational Management* is dedicated to Sumantra Ghoshal, a longtime friend, colleague, and coauthor whose name has been on the cover of this book since it was first published more than 15 years ago. During our 20-year research and writing partnership, Sumantra was always concerned about how to bring knowledge into the classroom. In our field research, he wanted to ensure that we could create powerful teaching material out of the data and stories we were uncovering and the conclusions we were reaching. Indeed, he believed that it was impossible to unravel the twin strands of teaching and learning, claiming that together they created a much stronger cord of knowledge. To Sumantra, discussion in the classroom raised questions that drove him into the field, and the findings from the field created teaching materials that did much more than provide insight for students; they provoked more questions for research.

To the outside world, the numerous awards Sumantra won as an outstanding teacher and case material developer were a testimony to his lifelong commitment to the classroom. But for those of us fortunate enough to have worked with him personally, whether as a student, a colleague, or a consulting client, Sumantra was much more than a gifted teacher. His brilliant questioning and insightful challenges pushed us to think harder and deeper but were complemented by his bold imagination and supportive encouragement that gave us the courage to take risks. Although he passed away in 2004, we list him as a coauthor in this new edition not only to honor his memory but also to reflect the significant and lasting contribution he made to the concepts, perspectives, and materials that are at the core of this book.

To ensure that this and future editions of *Transnational Management* keep alive the spirit of challenge and excitement that Sumantra brought to it, I am delighted to be joined by Paul Beamish as a new coauthor of this fifth edition. Paul is an old friend whose reputation as a researcher, course developer, and teacher in the field of International Business and International Management is so widely known that he hardly needs an introduction in these pages. His extensive work on international joint ventures and alliances has led the field, as has his expertise in managing in the Asian region. At the University of Western Ontario's Ivey Business School, Paul has served as Associate Dean for Research, as well as the founding director of Ivey's Asian Management Institute. In the broader academy, he has gained widespread respect not only for his own research, but also as the editor *Journal of International Business Studies (JIBS)* for five years. To this book, he brings an even more valuable skill however: the commitment to translate his extensive knowledge and experience into first-rate classroom materials. He is a welcome addition to *Transnational Management*. His contribution to this edition will be evident in the following pages and undoubtedly will continue through many future editions of this text.

## Distinguishing Characteristics of the MNE

What makes the study of the multinational enterprise (MNE) unique? The most fundamental distinction between a domestic company and an MNE derives from the social, political, and economic context in which each exists. The former operates in a single national environment where social and cultural norms, government regulations, customer tastes and preferences, and the economic and competitive context of a business tend to be fairly consistent. Although within-country local variations do exist for most of these factors, they are nowhere near as diverse or as conflicting as the differences in demands and pressures the MNE faces in its multiple host countries.

The one feature that categorically distinguishes these intercountry differences from the intracountry ones, however, is *sovereignty*.<sup>1</sup> Unlike the local or regional bodies, the nation-state generally represents the ultimate rule-making authority against whom no appeal is feasible. Consequently, the MNE faces an additional and unique element of risk: the political risk of operating in countries with different political philosophies, legal systems, and social attitudes toward private property, corporate responsibility, and free enterprise.

A second major difference relates to competitive strategy. The purely domestic company can respond to competitive challenges only within the context of its single market; the MNE can, and often must, play a much more complex competitive game. Global-scale or low-cost sourcing may be necessary to achieve a competitive position, implying the need for complex cross-border logistical coordination. Furthermore, on the global chessboard, effective competitive strategy might require that the response to an attack in one country be directed to a different country—perhaps the competitor's home market. These are options and complexities a purely domestic company does not face.

Third, a purely domestic company can measure its performance in a single comparable unit—the local currency. Because currency values fluctuate against each other, however, the MNE is required to measure results with a flexible measuring stick. In addition, it is exposed to the economic risks associated with shifts in both nominal and real exchange rates.

Finally, the purely domestic company must manage an organizational structure and management systems that reflect its product and functional variety; the MNE organization is intrinsically more complex because it must provide for management control over its product, functional, *and* geographic diversity. Furthermore, the resolution of this three-way tension must be accomplished in an organization that is divided by barriers of distance and time and impeded by differences in language and culture.

## The Management Challenge

Historically, the study of international business focused on the environmental forces, structures, and institutions that provided the context within which MNE managers had to operate. In such a macro approach, countries or industries rather than companies were the primary units of analysis. Reflecting the environment of its time, this traditional

<sup>1</sup> This difference is elaborated in J. N. Behrman and R. E. Grosse, *International Business and Governments: Issues and Institutions* (Columbia: University of South Carolina Press, 1990). See also J. J. Boddewyn, "Political Aspects of MNE Theory," *Journal of International Business Studies* 19, no. 3 (1988), pp. 341–63.

approach directed most attention to trade flows and the capital flows that defined the foreign investment patterns.

During the 1970s and 1980s, a new perspective on the study of international management began to emerge, with a far greater emphasis on the MNE and management behavior rather than on global economic forces and international institutions. With the firms as the primary unit of analysis and management decisions as the key variables, these studies both highlighted and provided new insights into the management challenges associated with international operations.

This book builds on the company- and management-level perspective. More specifically, we adopt what is often called the *administrative point of view*. In other words, in order to make sense of the practice of managing the MNE, it is necessary to see the world through the eyes of the executive who is in the thick of it—whether that is the CEO of the corporation, the global account manager, the country subsidiary manager, or the frontline business manager. The most powerful way to do this is to employ cases that require decisions to be made, and most provide the reader not only with data on the business context but also with detailed information about the characters involved, their roles, responsibilities, and personal motivations. In many instances, videos and follow-up cases lead to further insight.

We have also chosen to focus on *managerial processes* such as the entrepreneurial process (identifying and acting on new opportunities), the integrative learning process (linking and leveraging those pockets of entrepreneurial initiative), or the leadership process (articulating a vision and inspiring others to follow). It would be easy to build our structure around the traditional functions of the company—R&D, manufacturing, marketing, etc.—and many texts have done so. But we find such an approach limiting because almost all real-world problems cut across these functional boundaries. They require executives to understand all the disparate parts of the organization, and they demand integrative solutions that bring together, rather than divide, the people working in their traditional functional silos. (This is a reality reflected in the multidimensional organizations most MNEs have developed.) A process perspective is more difficult to grasp than a functional one, but ultimately it provides a more fulfilling and realistic approach to the management of today's MNE.

By adopting the perspective of the MNE manager, however, we do not ignore the important and legitimate perspectives, interests, and influences of other key actors in the international operating environment. However, we do view the effects of these other key actors from the perspective of the company and focus on understanding how the various forces they influence shape the strategic, organizational, and operational tasks of MNE managers.

## The Structure of the Book

The book is divided into three parts (see figure on page xi). **Part 1** consists of three chapters that examine the development of strategy in the MNE. In Chapter 1, we focus on the motivations that draw—or drive—companies abroad, the means by which they expand across borders, and the mind-sets of those who built the worldwide operations. Understanding what we call a company's "administrative heritage" is important because it shapes both the current configuration of assets and capabilities and the cognitive



orientations of managers toward future growth—attitudes that can either enable or constrain future growth.

In Chapter 2, we examine the political, economic, and social forces that shape the business environment in which the MNE operates. In particular, the chapter explores the tension created by the political demands to be responsive to national differences, the economic pressures to be globally integrated, and the growing competitive need to develop and diffuse worldwide innovation and learning.

In Chapter 3, the focus shifts from the global business environment to MNEs' competitive responses to those external pressures. Building on the themes developed in Chapter 2, we examine the various approaches an MNE can use to generate competitive advantage in its international context. We identify three traditional strategic approaches—global, international, and multinational—each of which focuses on a different source of competitive advantage. We then go on to describe the transnational strategy, which combines the benefits of the other three models.

**Part 2** changes the focus from the MNE's strategic imperatives to the organizational capabilities required to deliver them. Chapter 4 examines the organizational structures and systems that need to be put in place to be effective in a complex and dynamic world. Mirroring the three traditional strategic approaches, we explore three organizational models that all appear to be evolving toward the integrated network form required to manage transnational strategies.

Chapter 5 focuses on one of the most important processes to be developed in a transnational organization. The need to manage effective cross-border knowledge transfer and worldwide learning is creating new organizational demands, and in this chapter, we explore how such processes are built and managed.

Then, in Chapter 6, we lift our organizational analysis up a level to examine the boundary-spanning structures and processes needed to create joint ventures, alliances, and interfirm networks in a global context. In this chapter, we explore how such partnerships can be built and managed to develop strategic capabilities that may not be available inside any single MNE.

**Part 3** focuses on the management challenges of operating a successful MNE. In Chapter 7, the focus is on those who must implement the transnational strategies, operate within the integrated network organizations, and above all, deliver the results. This chapter allows us to look at the world through the eyes of frontline country subsidiary managers, and shows how their actions can have important implications for the competitiveness of the entire corporation.

Finally in Chapter 8, we ask some broad questions about the present and future role of the multinational enterprise in the global economy. The powerful forces unleashed by globalization have had a largely positive impact on economic and social development worldwide. But like all revolutions, the forces of changes have acted unevenly, and there have been casualties. As the divide between the “haves” and “have nots” expands, the challenge facing MNEs is to determine what role they can and should play in mitigating some of the unintended consequences of the globalization revolution. It is a challenge that should confront every current executive and be central to the task of the next generation of leadership in transnational companies.



In our continual commitment to keep this book current, more than half of the case studies and half of the readings are new to this edition. In addition, we have enriched the overall conceptual framework of the book by adding a new final chapter that addresses some important challenges for the MNE of the future. We hope these changes show our commitment to keep this book current and relevant while recognizing the need for continuity in the broad concepts and frameworks within which the material is presented.

## Acknowledgments

First, we would like to acknowledge the many enduring contributions Julian Birkinshaw made to the fourth edition of this book. *Transnational Management* has also benefited from the comments, suggestions, and insights provided by colleagues at the hundreds of institutions around the world that have adopted this book. In particular, we would like to acknowledge the role played by the Editorial Advisory Board (listed on page x) who committed significant effort to providing a detailed critique of the last edition. We have also had extraordinary support from our colleagues in other institutions who have provided valuable feedback and suggestions for improvement. In particular, we would like to acknowledge Michael Mulford, *Buena Vista University*; Michael Wakefield, *Colorado State University*; Ernst Verwaal, *Eramus University*; Phillip Bryans, *Napier University*; Laura Whitcomb, *California State University-Los Angeles*; Carol Howard, *Oklahoma City University*; George Redmond, *Franklin University*; Nikos Bozionelos, *University of Durham*; and Cinzia DalZotto, *Jonkoping University—Sweden*.

Next, we are extraordinarily grateful to the researchers and colleagues who have contributed new materials to this edition. In addition to our own case materials, new case studies were provided by Pankaj Ghemawat, Linda Hill, Tarun Khanna, and Allan Morrison. Articles new to this edition and focused on important research have been contributed by Julian Birkinshaw and Cristina Gibson, Diana Farrell, Pankaj Ghemawat, Larry Huston, Walter Kuemmerle, and C. K. Prahalad.

We must also acknowledge the coordination task undertaken by our respective administrative assistants who worked over many months to coordinate the flow of manuscript documents back and forth among Boston, Sydney, and London, Ontario. To Jan Simmons and Mary Roberts, we give our heartfelt thanks for helping us through the long and arduous revision process. To Ryan Blankenship, our sponsoring editor, and Allison Belda, our editorial coordinator, at McGraw-Hill, as well as Beth Baugh, our developmental editor at Carlisle Publishing, we thank you for your patience and tolerance through this long process and look forward to a long and productive working relationship.

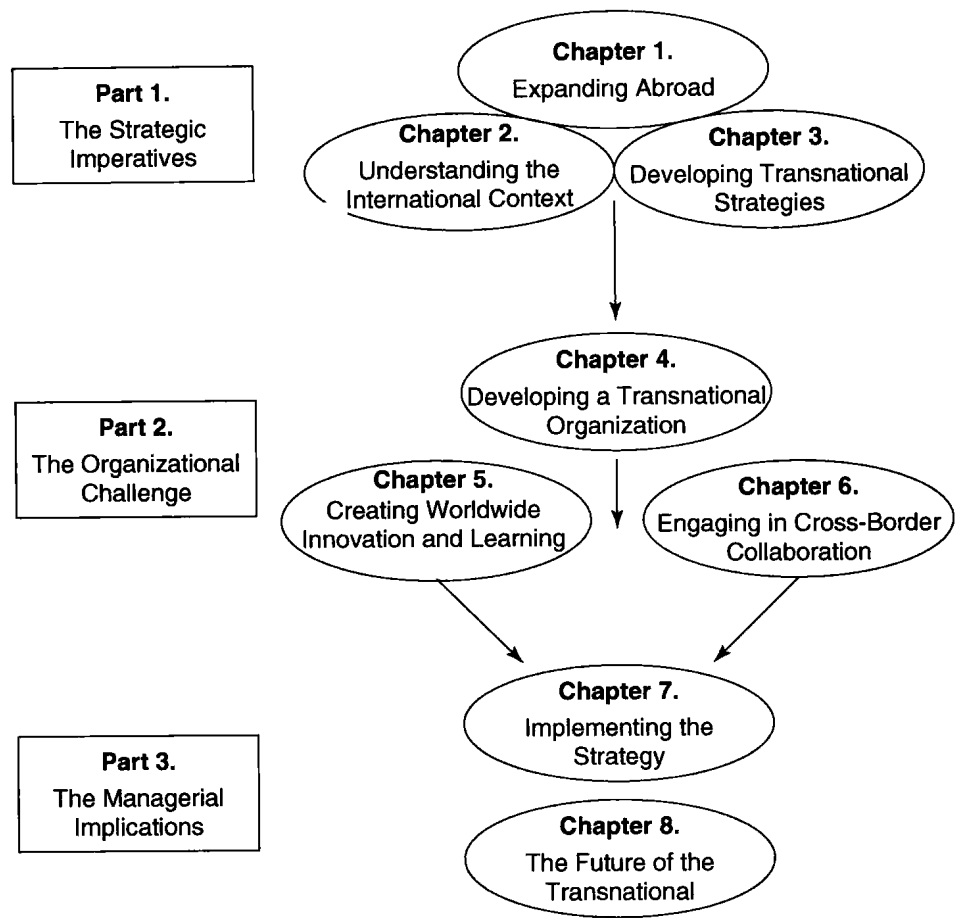
Despite the best efforts of all the contributors, however, we must accept responsibility for the shortcomings of the book that remain. Our only hope is that they are outweighed by the value you find in these pages and the exciting challenges they represent in the constantly changing field of transnational management.

**Christopher A. Bartlett**  
**Paul W. Beamish**

## Editorial Advisory Board

Our sincere thanks to the following faculty who provided detailed feedback and suggestions on the materials for this edition.

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# Expanding Abroad: *Motivations, Means, and Mentalities* 跨国界管理：动因、方式与意识

In this chapter, we look at a number of important questions that companies must resolve before taking the huge leap to operate outside their home environment. What market opportunities, sourcing advantages, or strategic imperatives drive their international expansion? By what means will they expand their overseas presence—through exports, licensing, joint ventures, wholly owned subsidiaries, or some other means? And how will the attitudes, assumptions, and beliefs that they bring to their international ventures affect their chances of success? Before exploring these important questions, however, we first need to develop a definition of this entity—the multinational enterprise (MNE)—that we plan to study and develop some sense of its size and importance in the global economy.

This book focuses on the management challenges associated with developing the strategies, building the organizations, and managing the operations of companies whose activities stretch across national boundaries. Clearly, operating in an international rather than a domestic arena presents managers with many new opportunities. Having worldwide operations not only gives a company access to new markets and low-cost resources, it also opens up new sources of information and knowledge and broadens the options for strategic moves the company might make in competing with its domestic and international rivals. However, with all these new opportunities come the challenges of managing strategy, organization, and operations that are innately more complex, diverse, and uncertain.

Our starting point is to focus on the dominant vehicle of internationalization, the multinational enterprise (MNE), and briefly review its role and influence in the global economy.<sup>1</sup> Only after understanding the origins, interests, and objectives of this key actor will we be in a position to explore the strategies it pursues and the organization it develops to achieve them.

<sup>1</sup>Such entities are referred to variously—and often interchangeably—as *multinational*, *international*, and *global enterprises*. (Note that we use the term “enterprise” rather than “corporation” because some of the cross-border entities we will examine are nonprofit organizations whose strategies and operations are every bit as complex as their corporate brethren’s.) At the end of this chapter, we assign each of those terms—*multinational*, *international*, and *global*—specific meanings, but throughout the book, we adopt the widely used MNE abbreviation in a broader, more general sense to refer to all enterprises whose operations extend across national borders.

## The MNE: Definition, Scope, and Influence

### 1.1 跨国公司:定义、范围和影响

An economic historian could trace the origins of international business back to the seafaring traders of Greece and Egypt, through the merchant traders of medieval Venice and the great British and Dutch trading companies of the 17th and 18th centuries. By the 19th century, the newly emerged capitalists in industrialized Europe began investing in the less-developed areas of the world (including the United States) but particularly within the vast empires held by Britain, France, Holland, and Germany.

#### Definition

In terms of the working definition we use, few if any of these entities through history could be called true MNEs. Most early traders would be excluded by our first qualification, which requires that an MNE have *substantial direct investment* in foreign countries, not just the trading relationships of an import–export business. And even most of the companies that had established international operations in the 19th century would be excluded by our second criterion, which requires that they be engaged in the *active management* of these offshore assets rather than simply holding them in a passive investment portfolio.

Thus, though companies that source their raw materials offshore, license their technologies abroad, export their products into foreign markets, or even hold minority equity positions in overseas ventures without any management involvement may regard themselves as “international,” by our definition, they are not true MNEs unless they have substantial, direct investment in foreign countries *and* actively manage and regard those operations as integral parts of the company, both strategically and organizationally.

#### Scope

According to our definition, the MNE is a very recent phenomenon, with the vast majority developing only in the post–World War II years. However, the motivations for international expansion and the nature of MNEs’ offshore activities have evolved significantly over this relatively short period, and we will explore some of these changes later in this chapter.

It is interesting to observe how the United Nations has changed its definition of the MNE as these companies have grown in size and importance.<sup>2</sup> In 1973, it defined such an enterprise as one “which controls assets, factories, mines, sales offices, and the like in two or more countries.” By 1984, it had changed the definition to an enterprise (a) comprising entities in two or more countries, regardless of the legal form and fields of activity of those entities; (b) which operates under a system of decision making permitting coherent policies and a common strategy through one or more decision-making centers; and (c) in which the entities are so linked, by ownership or otherwise, that one or more of them may be able to exercise a significant influence over the activities of the others, in particular to share knowledge, resources, and responsibilities.

<sup>2</sup> The generic term for companies operating across national borders in most U.N. studies is *transnational corporation* (TNC). Because we use that term very specifically, we continue to define the general form of organizations with international operations as MNEs.