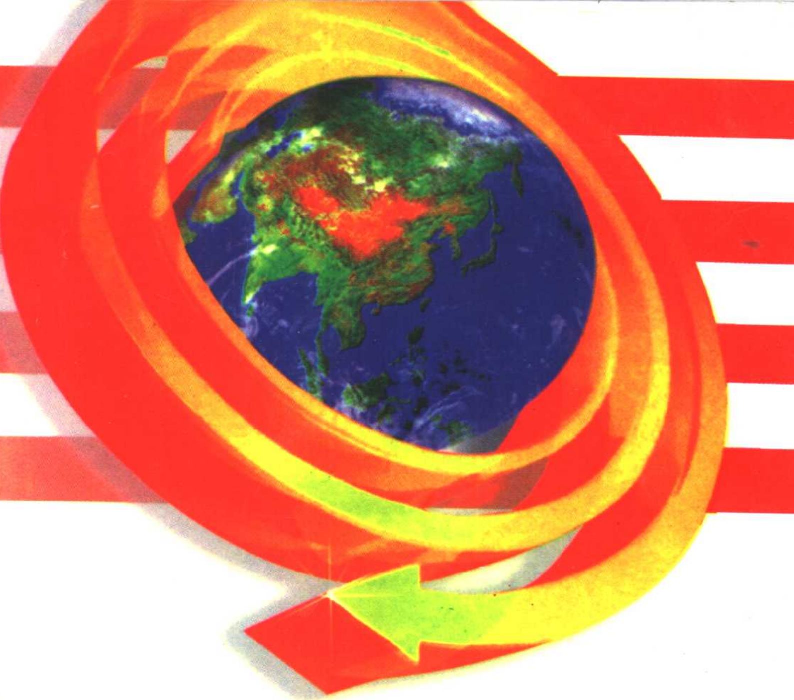

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2

跨国管理（第二版）

教程、案例与阅读材料

正版

哈佛商学院案例教程

Transnational Management

Text, Cases, and Readings in Cross-Border Management

Christopher A. Bartlett
Sumantra Ghoshal

东北财经大学出版社
McGraw-Hill出版公司

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出版者的话

当今的世界是一个变革的世界，政治体制在变革，经济结构在变革，管理方式在变革，思想观念在变革……从东方到西方，从中国到世界，一切无不处在变革之中。毫不例外，管理教育也正面临着一场深刻的变革。在以MBA（Master of Business Administration，通常译为“工商管理硕士”）教育为主干的应用型管理教育大行其道的同时，一种以经典案例为主要素材、强调培养实务操作能力、反对一味灌输抽象理论的所谓“案例教学法”（Cases Methods）逐渐取代了传统的管理教学模式，并以惊人的速度风靡全球。

作为世界MBA教育发祥地的美国哈佛大学工商管理研究生院（Graduate School of Business Administration，Harvard University，通常简称Harvard Business School，即“哈佛商学院”），同时也是管理专业案例教学的首创者和积极倡导者。哈佛商学院经过近一个世纪的发展，已经无可争辩地登上了全世界MBA教育的制高点，哈佛商学院MBA已经成为全球企业管理界一块光芒四射的“金字招牌”。个中原因除了素来坚持严格的学员遴选制度之外，主要应归功于独具一格的案例教学方法。

毋庸讳言，我国的管理教育尚处于“初级阶段”，亟待借鉴发达国家的成功经验，包括先进的教学方法、权威的教学素材和科学的教学体系。为此，我们通过多方努力，终于开通了一条通过合法途径引进哈佛商学院案例教程的渠道，并及时推出了首批十余种图书。按照预定计划，我们将在今后两到三年内，陆续推出哈佛商学院MBA其他主干课程案例教程的英文（影印）版和相应的中译版，以满足国内管理教育尤其是MBA、经理培训项目（ETP）师生和其他有关人士的迫切需要，为推动我国管理教育改革和向国际接轨的步伐贡献一份绵薄之力。

对于本套系列教材在选题策划、翻译、编辑、出版以及发行工作中存在的缺点和不足，恳请广大读者不吝指正，我们在此先致谢忱！

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1998年8月

Preface

It is a tribute not only to the vibrancy of the type of cross-border management but also to the volume and quality of recent academic research on that topic that *Transnational Management* had to be so thoroughly revised within three years of its first publication in 1992.

CHANGES TO THE SECOND EDITION

Perhaps the most significant change lies in the addition of a new chapter, "Preparing for the Future: Evolution of the Transnational (Chapter 8), which captures our own learning over these three years, based on our ongoing research. Over the past few years, as the concept of the transnational has become more familiar, we have often been asked, "What's next?" In Chapter 8 we have tried to summarize our answer to this question. We believe that experiments currently under way in companies like 3M, ABB, Canon, and many others are creating a model of managing large, worldwide companies that is fundamentally different from the hierarchical and bureaucratic ways of the past. While conceptually they reflect the transnational philosophy, operationally they go well beyond what we had described in the first edition. At the heart of this new model lies a very different definition of the roles and tasks of frontline, middle, and top-level managers from those that have been reported from practice and taught in business schools over the past several decades. These new managerial roles collectively create and support some very different organizational processes. In the text of Chapter 8, we have described these new roles and processes, and the ABB case series should provide the opportunity for a rich debate and discussion on this new organizational and management model. At the same time, both the concepts and the cases in this concluding chapter should allow a review and integration of all the key ideas that are developed in the earlier chapters of the book.

NEW RESEARCH AND READINGS

But if we have been continuing our own research, so have several of our colleagues. In the period since the first edition was published, major new ideas have been put forward by a host of scholars working in the field of international management. To incorporate these ideas, we have had to change almost half of the readings. We believe that the addition of new articles from Kenichi Olunae, Michael Porter, George Yip, Gary Hamel, C.K. Prahalad, Yves Doz, Paul Evans, Elizabeth Lank, Alison Farguhar, and Gurucharan Das will add considerably to the richness of the book and of the course it can support. We are indebted to all these authors for allowing us to reproduce their articles.

NEW CASES

Similarly, a raft of new cases have become available, allowing us to significantly enhance both the currency and the quality of the case collection. In fact, of the 28 cases included in this edition, 19 are new. These new cases broaden the industry and geographic diversity of the contexts that are represented in this book, allowing for better tailor-making of a course to suit the backgrounds and interests of each student group. While some of these new cases are products of our own research, others have been contributed by colleagues to whom we are most thankful. Revising the book has taken considerably more energy and time than we had anticipated. At the end, the only justification for the effort had come from the many colleagues who not only adopted this book for their courses, but also took the time to provide us with suggestions and encouragement for a new edition. In choosing this book as their preferred text, we felt they had also placed the responsibility on us to keep it current and to continuously improve its usefulness. We are grateful to these colleagues for their faith in us, and we hope they will find the present edition a significant improvement over the last one.

But, finally, if asked the question about what it was that forced us to revise the book now, the answer must be two words, *Craig Beytien* (our sponsoring editor with Irwin). Craig began reminding us about the need for a revision almost as soon as the first edition was published. He commissioned the market study that gave us detailed feedback from many of the colleagues who had used the book and thereby made the need for a revision so clear and compelling. And, throughout the process, he kept his gentle but firm hands on the tiller, pulling us up whenever we slacked off. Thanks Craig, even though we know you will be asking for the next edition before this edition has reached any reader's hand.

Christopher A. Bartlett
Sumantra Ghoshal

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We wish to acknowledge those faculty who provided us feedback in the development of the second edition. The valuable ideas, recommendations, and support of these outstanding scholars and teachers have added quality to this book.

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正版

哈佛商学院案例教程

作者简介

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内容简介

本书是哈佛商学院跨国管理标准教材，本版做了非常彻底的修改，提出了新的管理模式，增添了新的课题和阅读材料。28个案例中19个是首次亮相，这不仅使跨国管理的类型更加丰富，而且也使有关这一课题的学术研究在数量和质量上都有所提高。

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Contents

Chapter 1

Cross-Border Management: Motivations and Mentalities

This book focuses on the management challenges associated with developing strategies and managing the operations of companies whose activities stretch across national boundaries. Clearly, operating in an international rather than a domestic arena presents the manager with many new opportunities. Having worldwide operations not only gives a company access to new markets and specialized resources, it also opens up new sources of information and knowledge to stimulate future product development and broadens the options of strategic moves and countermoves 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.

In this introductory chapter, we provide a conceptual baseline and a historical backdrop for the more detailed discussions of these management opportunities and challenges that run through the text, cases, and readings in the rest of the book. Our starting point is to focus on the dominant vehicle of internationalization, the multinational corporation (MNC), and briefly review its role and influence in the global economy.[1] Next, we examine the motivations that led such companies to expand abroad and describe how these motivations have evolved over time. We are then ready to review some of the typical attitudes and mentalities that shape the actions of managers in MNCs and suggest how these attitudes and mentalities evolve as their offshore operations progress from the state of initial investments to a fully integrated worldwide network of affiliates. In the concluding section of the chapter, we highlight some of the differences between managing an MNC and a purely domestic firm and describe the

[1]Such companies are referred to variously—and often interchangeably—as *multinational, international,* and *global corporations.* In later chapters, we want to give each of those terms specific different meanings, but will adopt the widely used MNC abbreviation in the broader, more general sense in referring to all companies whose operations extend across national boundaries.

particular management perspective that influences the structure and content of this book.

THE MNC: DEFINITION, SCOPE, AND INFLUENCE

An economic historian could trace the origins of international business back to the seafaring traders who were central to the ancient civilizations built by the Greeks and Egyptians. Through the centuries, international flow of products continued, and in medieval Venice the merchant traders had developed much of the sophistication of modern-day Japanese trading companies.

An important chapter in this history was written by the great British and Dutch trading companies that flourished in the 17th and 18th centuries, establishing outposts from Hudson's Bay to the East Indies. 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 MNCs. Most of the traders would be excluded by our first qualification, which requires that an MNC have *substantial direct investment* in foreign countries, not just an export business. And most of the companies with 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 financial portfolio.

Thus, while 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 MNCs unless they have substantial direct investment in foreign countries *and* actively manage those operations and regard those operations as integral parts of the company both strategically and organizationally.

Scope

Under our definition, the MNC is a very recent phenomenon, dating back to less than a century. In fact, a vast majority have been developed only in the post–World War II years. However, their motivations for international expansion and the nature of their offshore activities have evolved significantly over this relatively short period, and we explore some of these changes later in this chapter.

Among the more important recent trends have been the emergence of service MNCs and a shift from traditional ownership patterns between the parent company and its worldwide operations to a new and varied set of financial, legal, and contractual relationships with different foreign affiliates. Our definition of MNCs can incorporate these new developments, as long as we recognize that foreign "investment" need not be restricted to production facilities alone and that "active management" does not require direct control but only substantive influence over the activities of foreign units that can often be exercised without full or even majority ownership.

It is interesting, in this context, to observe how the United Nations has changed its definition of the MNC over the last two decades.[2] 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, (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, and, in particular, to share knowledge, resources, and responsibilities with others.

In essence, the changing definition highlights the importance of strategic and organizational integration and, thereby, *management integration* of operations located in different countries as the key differentiating characteristic of an MNC. The resources committed to those units can just as well take the form of skilled people or research equipment as plant and machinery or computer hardware. What really differentiates the MNC is that it creates an internal organization to carry out key cross-border tasks and transactions internally rather than depending on trade through the open markets. With this understanding, our definition of MNCs includes American Express, Price Waterhouse, and Fuji Bank just as well as IBM, Unilever, and Hitachi.

MNC Influence in the Global Economy

Most frequent international business travelers have had an experience like the following. She arrives on her British Airways flight, rents a Toyota at Hertz, and drives to the downtown Hilton hotel. In her room, she flips on the Sony TV, and absent-mindedly gazes out at the neon signs flashing "Coca-Cola," "Canon," and "BMW." This week's scandal on "Dallas" is flickering on the screen when room service delivers dinner along with the bottle of Perrier she ordered. All of a sudden, a feeling of disorientation engulfs her. Is she in Sydney, Singapore,

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[2]The generic term for companies operating across national borders in most UN studies is the *transnational corporation* (TNC). Because we will use that term very specifically, we will continue to define the general form of organizations with international operations as MNCs.

TABLE 1–1 Comparison of Country GNPs and Company Revenues: 1990 (money amounts in U.S. dollars)

		GNP	
*Country**	*Population (millions)*	*GNP (billions)*	*GNP per Capita*
United States	250	$5,477	$21,910
Japan	124	3,204	25,840
Germany	80	1,776	22,360
United Kingdom	57	919	16,020
Holland	15	267	17,850
China	1,134	420	370
India	850	306	360
Mexico	82	213	2,610
Indonesia	178	100	560
Australia	17	283	16,670

		Revenue	
Company†	*Number of Employees (000s)*	*Annual Sales (billions)*	*Sales per Employee*
IBM	387	$ 60	$154,000
General Motors	766	121	158,000
Exxon	101	80	788,000
Philips	310	28	92,000
Royal Dutch Shell	134	78	585,000
Unilever	291	30	105,000
Siemens	353	34	97,000
Hitachi	264	41	156,000
Matsushita	134	40	235,000
Toyota	86	51	591,000
Samsung	176	27	156,000

*Data are from *World Tables*, 1993, published for the World Bank (Baltimore: The Johns Hopkins University Press, 1993).

†Data are from "The Global 500," *Fortune*, July 29, 1991, p. 71.

Stockholm, or Seattle? Her surroundings and points of reference over the past few hours have provided few clues.

Such experiences, more than any data, provide the best indication of the enormous influence of MNCs in the global economy. As the cases and articles in this book will show, few sectors of the economy and few firms—not even those that are purely domestic in their operations—are free from this pervasive influence. Collectively, MNCs account for over 40 percent of the world's manufacturing output and almost a quarter of world trade. About 85 percent of the world's automobiles, 70 percent of computers, 35 percent of toothpaste, and 65 percent of soft drinks are produced and marketed by MNCs. In 1991, according to U.N. estimates, there were about 36,000 MNCs in the world, with 170,000 subsidiaries, with total revenues in excess of $15.5 trillion. They accounted for about a quarter of the world's GNP, and a much higher share of the private sector output.

While not all MNCs are large, most large companies in the world are MNCs. In fact, about 450 companies with annual revenues in excess of $1 billion account for over 80 percent of the total investment made by all companies outside their home countries. The largest 100, excluding those in banking and finance, accounted for $3.1 trillion of worldwide assets in 1990, of which $1.2 trillion was outside the companies' respective home countries. A different perspective on their size and potential impact is provided by Table 1–1, which compares the annual gross national products (GNPs) of selected countries with the annual revenues of several large MNCs. One must be careful, however, in basing conclusions on this table. A country's GNP is not directly comparable with a company's revenues. Besides, only a handful of companies are as large as those shown in the table and, increasingly, small companies are becoming important players internationally. Nevertheless, most of the world's attention tends to focus on these large MNCs, which have the greatest influence on the global economy, employ a high percentage of business graduates, and pose the most complex strategic and organizational challenges for their managers. For the same reasons, they will provide the focus for much of our attention in this book.

THE MOTIVATIONS: PUSHES AND PULLS TO INTERNATIONALIZE

What motivates companies to expand their operations internationally? While occasionally the motives may be entirely idiosyncratic, such as the desire of the CEO to spend time in Mexico or in Europe, an extensive body of research suggests some more-systematic patterns.

Traditional Motivations

Among the earliest motivations that drove companies to invest abroad was the need to *secure key supplies,* especially minerals, energy, and scarce raw material resources. Aluminum producers needed to assure their supply of bauxite, tire companies went abroad to develop rubber plantations, and oil companies wanted to open up new fields in Canada, the Middle East, and Venezuela. By the early part of this century, Standard Oil, Alcoa, Goodyear, Anaconda Copper, and International Nickel were among the largest of the emerging MNCs.

Another strong trigger of internationalization could be described as the *market-seeking* behavior. This motivation was particularly strong in companies that had some intrinsic advantage, typically related to their technology or their brand recognition, that gave them some competitive advantage in offshore markets. Although their initial attitudes were often opportunistic, many companies eventually realized that these additional sales allowed them to exploit economies of scale and scope, thereby providing a source of competitive advantage over their domestic rivals. This was a particularly strong motive for some of the European multinationals whose small home markets were insufficient to support the volume-intensive manufacturing processes that were sweeping through industries from food and tobacco to chemicals and automobiles. Companies like Nestlé, Bayer, and Ford expanded internationally primarily in search of new markets.

Another traditional and important trigger of internationalization was the desire to *access low-cost factors* of production. Particularly as tariff barriers declined in the 1960s, many U.S. and European companies for whom labor represented a major cost found that their products were at a competitive disadvantage compared to imports. In response, a number of companies in clothing, electronics, household appliances, watchmaking, and other such industries established offshore sourcing locations for producing components or even complete product lines. Soon it became clear that labor was not the only productive factor that could be sourced more economically overseas. For example, the availability of lower-cost capital (perhaps through a government investment subsidy) also became a strong force for internationalization.

These three motives (or two, if we ignore the historical differences and combine securing supplies and accessing low-cost factors into a single resource-seeking motive) were the main traditional driving forces behind the overseas expansion of a vast majority of MNCs. The ways in which these motives interacted to push companies—particularly those from the United States—to become MNCs are captured in the well-known product cycle theory developed by Professor Raymond Vernon.[3]

This theory suggests that the starting point for the internationalization process is typically an innovation that a company creates in its home country. Because large, economically advanced, and technologically sophisticated countries like the United States historically provided the most incentives and the greatest opportunities for developing new products or ideas, most of these innovations tend to be created by companies located in these countries.

Consider the case of a typical U.S. company that has developed an innovative new product. In the first phase of exploiting the development, the company will build production facilities in its home market not only because this is where its main customer base is located, but also because of the need to maintain close linkages between research and production in this phase of the development cycle. In this early stage, some demand may also be created in other developed countries—in European countries, for example—where consumer needs and market development are similar to the United States. These requirements

[3]Raymond Vernon, "International Investment and International Trade in the Product Cycle," *Quarterly Journal of Economics*, May 1966, pp. 190–207.