

## Strategy II—Domain and Issues

课程编号: 02814970

授课对象: 研究生

学 分: 3

任课教师: 路江涌、冯米

课程类型: 方向必修

开课学期: 2013 秋

先修课程: Strategy I

### 任课教师联系方式:

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辅导、答疑时间: 周一 12:00-13:15 (By Appointment Only)

### 一、项目培养目标

学习目标 1 系统掌握从事学术研究所需要的专业知识及理论。

具体目标 1、系统掌握本学科基础知识及基本理论

具体目标 2、掌握本学科前沿知识和理论、具有足够的相关领域的知识

具体目标 3、熟练掌握本学科的研究方法

学习目标 2 具有从事创新性研究的能力; 能够撰写并发表高质量的毕业论文和学术论文

具体目标 1、撰写高质量的毕业论文和学术论文

具体目标 2、具有高水平的分析能力和批判思维能力, 能够创造性地解决问题

学习目标 3 具有宽阔的国际视野, 能够与国际学者进行交流、合作的能力。

具体目标 1、具有优秀的口头交流和文字交流能力

具体目标 2、能够熟练地运用至少一门外语进行学术交流与沟通

学习目标 4 了解学术伦理, 具有强烈的社会责任感、关注社会问题

具体目标 1、了解社会责任感的重要性

具体目标 2、了解学术生涯中的学术道德问题

具体目标 3、关注现实社会问题

### 二、课程概述

Following the strategic change of the PhD seminar series, this Strategy II: Domain and Issues will be consisting of two separate modules. The first component is focused on Market and Industry Evolutions (MIE), which takes five weeks. The second component is Strategic entrepreneurship (SE), which covers the remaining ten weeks.

The MIE component contains mainstream literatures that took an evolutionary

perspective for industry and market analysis. As an important domain in the field of strategy, these literatures generalize patterns of growth and decline for firms and industries. Often taking a very long horizon in its analysis, the evolutionary perspective presents students with useful framework and methods to understand the origins and change in firm's capabilities and behaviour, as well as understand the true impact of fashions and fads in business.

SE as an area of research, borrows from, and integrates entrepreneurial and strategic theoretical perspectives in an attempt to explain competitive advantage and entrepreneurial activity. Discovering and exploiting opportunities is the cornerstone of the entrepreneurial challenge of (emerging) organisations, while strategic management is about advantage seeking actions of organisations. The combination of these perspectives and areas of research generates interesting new theoretical vistas and research questions for examining central organisational phenomena in China and worldwide.

三、课程目标（包括学生所提高的技能要求），本课程目标如何服务于项目的培养目标

This seminar has two major purposes. One is to explore important, contemporary issues focused on the two components from a variety of theoretical, methodological, and topic-oriented perspectives. The second is to practice a variety of skills such as synthesizing research, understanding research designs, and developing research questions that should prove useful in your academic careers.

四、内容提要及学时分配

Session 1 (2013-09-12 Thursday 9:00am-12:00am)

### **Ecology of Organizations**

#### **[Required]**

Hanan, M.T. & Freeman, J. 1977. The population ecology of organizations. *American Journal of Sociology*, 82: 929-64.

Hannan, M.T. & Freeman, J. 1984. Structural inertia and organizational change. *American Sociological Review*, 49: 149-164.

Dobrev, Stanislav D. and Glenn R. Carroll. 2003. "Size (and Competition) Among Organizations:

Modeling Scale-Based Selection Among Automobile Producers in Four Major Countries, 1885-1981." *Strategic Management Journal*, 24: 541-558.

Session 2 (2013-09-22 Thursday 9:00am-12:00am Note: Date Adjusted for National Holiday)

### **Paths and Constraints of Market Evolution**

#### **[Required]**

Boeker, Warren. 1989. 'Strategic change: the effects of founding and history. *Academy of Management Journal*, 32(3): 489-515.

Anderson, Philip and Michael L. Tushman. 1990. "Technological Discontinuities and Dominant Designs: A Cyclical Model of Technological Change." *Administrative Science Quarterly*, 35: 604-33.

Tripsas, Mary and Giovanni Gavetti. 2000. "Capabilities, Cognition, and Inertia: Evidence from Digital Imaging." *Strategic Management Journal*, 21: 1147- 61.

Nickerson, J. A. and Silverman, B. S. 2003. "Why firms want to organize efficiently and what keeps them from doing so: Inappropriate governance, performance, and adaptation in a deregulated industry." *Administrative Science Quarterly*, 48(3): 433-465.

Session 3 (2013-09-26 Thursday 9:00am-12:00am)

### **Niche Theory and Market Partitioning**

#### **[Required]**

Peli, Gabor and Bart Nooteboom. 1998. "Market Partitioning and the Geometry of the Resource Space." *American Journal of Sociology*, 104: 1132-1153.

Dobrev, Stanislav D., Tai-Young Kim, and Glenn R. Carroll. 2002. "The Evolution of Organizational Niches: U.S. Automobile Manufacturers, 1885-1981." *Administrative Science Quarterly*, 47(2): 233-264.

Carroll, Glenn R. 1985. "Concentration and Specialization: Dynamics of Niche Width in Populations of Organizations." *American Journal of Sociology*, 90: 1262-83.

Carroll, Glenn. R. and Arnald Swaminathan. 2000. "Why the Microbrewery Movement? Organizational Dynamics of Resource-Partitioning in the American Brewing Industry." *American Journal of Sociology*, 106: 715-62.

Session 4 (2013-10-10 Thursday 9:00am-12:00am)

### **Competition as a Race**

#### **[Required]**

Christensen, C. M., F. F. Suarez, and J. M. Utterback. 1998. "Strategies for survival in fast-changing industries." *Management Science*, 44: S207-S220.

Barnett, William P. 1997. "The Dynamics of Competition Intensity." *Administrative Science Quarterly*, 42: 128-160.

Barnett, William P. and John Freeman. 2001. "Too Much of a Good Thing? Product Proliferation and Organizational Failure." *Organization Science*, 12, 5: 539-558.

Session 5 (2013-10-17 Thursday 9:00am-12:00am)

### **Multimarket Competition**

#### **[Required]**

Barnett, William P. 1993. "Strategic Deterrence Among Multipoint Competitors." *Industrial and Corporate Change*, 2: 249-278.

Barnett, William P., Henrich Greve, and Douglas Park. 1994. "An Evolutionary Model of Organizational Performance." *Strategic Management Journal*, 15: 11-28.

Baum, Joel A. C., and Helaine J. Korn. 1999. "Dynamics of Dyadic Competitive Interaction." *Strategic Management Journal*, 20: 251-278.

Gimeno J. and Woo, C.Y. (1999), "Multimarket contact, economies of scope, and firm performance." *Academy of Management Journal*, 42(3):239-259.

Session 6 (2013-10-24 Thursday 9:00am-12:00am)

### **Strategic entrepreneurship phenomena**

#### **[Required]**

Gompers, P., J. Lerner, et al. (2005). "Entrepreneurial spawning: Public corporations and the genesis of new ventures, 1986 to 1999." *Journal of Finance* 60(2): 577-614.

Wang, S.-Y. 2012. Credit Constraints, Job Mobility, and Entrepreneurship: Evidence from a Property Reform in China. *Review of Economics and Statistics*, 94(2): 532-51.

\*Koellinger, P. D. & Thurik, A. R. 2012. Entrepreneurship and the Business Cycle. *Review of Economics and Statistics*, 94(4): 1143-56.

**[Optional]**

Nelson, R. and G. Wright (1992), "The Rise and Fall of American Technological Leadership: The Postwar Era in Historical Perspective," *Journal of Economic Literature*, 1931-1964

Elfenbein, D. W., Hamilton, B. H., & Zenger, T. R. 2010. The Small Firm Effect and the Entrepreneurial Spawning of Scientists and Engineers. *Management Science*, 56(4): 659-81.

Kaplan, S. N., Sensoy, B. A., & Stromberg, P. 2009. Should Investors Bet on the Jockey or the Horse ? Evidence from the Evolution of Firms from Early Business Plans to Public Companies. *Journal of Finance*, 64(1): 75-115.

Johansson, A. C. 2010. Allies of the State: China's Private Entrepreneurs and Democratic Change. *China Quarterly*(203): 735-36.

Session 7 (2013-10-31 Thursday 9:00am-12:00am)

**Strategic entrepreneurship theories**

**[Required]**

Shane, S. and S. Venkataraman (2000). "The promise of entrepreneurship as a field of research." *Academy of Management Review* 25(1): 217-226.

Shane, S. 2012. Reflections on the 2010 AMR Decade Award: Delivering on the Promise of Entrepreneurship as a Field of Research. *Academy of Management Review*, 37(1): 10-20.

Alvarez et al., 2013. Dialogue on The promise of entrepreneurship as a field of research. *Academy of Management Review*, 38(1): 154-166

Hitt, M. A., Ireland, R. D., Sirmon, D. G., & Trahms, C. A. 2011. Strategic Entrepreneurship: Creating Value for Individuals, Organizations, and Society. *Academy of Management Perspectives*, 25(2): 57-75.

**[Optional]**

Ireland, R. D., Hitt, M. A., & Sirmon, D. G. 2003. A Model of Strategic Entrepreneurship: The Construct and Its Dimensions. *Journal of Management*, 29(6): 963-89.

Zahra et al., 2001. Dialogue on The promise of entrepreneurship as a field of research. *Academy of Management Review*, 26(1): 8-16.

Venkataraman, S., Sarasvathy, S. D., Dew, N., & Forster, W. R. 2012. Reflections on the 2010

AMR Decade Award: Whither the Promise? Moving Forward with Entrepreneurship as a Science of the Artificial. *Academy of Management Review*, 37(1): 21-33.

Session 8 (2013-11-07 Thursday 9:00am-12:00am)

**Strategic entrepreneurs**

**[Required]**

Dushnitsky, G. 2010. Entrepreneurial Optimism in the Market for Technological Inventions. *Organization Science*.

\*Zott, C. & Huy, Q. N. 2007. How Entrepreneurs Use Symbolic Management to Acquire Resources. *Administrative Science Quarterly*, 52(1): 70-105.

Campbell, B. A., Ganco, M., Franco, A. M., & Agarwal, R. 2012. Who Leaves, Where to, and Why Worry? Employee Mobility, Entrepreneurship and Effects on Source Firm Performance. *Strategic Management Journal*, 33(1): 65-87.

**[Optional]**

Nanda, R. & Sorensen, J. B. 2010. Workplace Peers and Entrepreneurship. *Management Science*, 56(7): 1116-26.

Dobrev, S.D. and W.P. Barnett, (2005). "Organizational Roles and Transition to Entrepreneurship" *Academy of Management Journal*, 48:433-449.

Stuart, T. E. and O. Sorenson (2003). "Liquidity Events and the Geographic Distribution of Entrepreneurial Activity." *Administrative Science Quarterly* 48(2): 175.

Knott, Anne Marie and Wu, B. "Entrepreneurial Risk and Market Entry," *Management Science*, Issue 52 (9), 1315-1330.

Session 9 (2013-11-14 Thursday 9:00am-12:00am)

**Strategic entrepreneurship and innovation**

**[Required]**

Caggese, A. (2012). "Entrepreneurial risk, investment, and innovation." *Journal of Financial Economics* 106(2): 287-307.

Shane, S. A. & Ulrich, K. T. 2004. Technological Innovation, Product Development, and Entrepreneurship in Management Science. *Management Science*, 50(2): 133-44.

\*Lerner, J., Sorensen, M., & Stroemberg, P. 2011. Private Equity and Long-Run Investment: The Case of Innovation. *Journal of Finance*, 66(2): 445-77.

**[Optional]**

Stuart, T. E., and W. Ding, (2006). "When do Scientists Become Entrepreneurs? The Social Structural Antecedents of Commercial Activity in the Academic Life Sciences." *American Journal of Sociology* 112 (1).

Michelacci, C. 2003. Low Returns in R&D Due to the Lack of Entrepreneurial Skills. *Economic Journal*, 113(484): 207-25.

Session 10 (2013-11-21 Thursday 9:00am-12:00am)

**Strategic entrepreneurship and venture capital**

**[Required]**

Sorenson, O. & Stuart, T. E. 2008. Bringing the Context Back In: Settings and the Search for Syndicate Partners in Venture Capital Investment Networks. *Administrative Science Quarterly*, 53(2): 266-94.

Hochberg, Y. V., A. Ljungqvist, et al. 2007. Whom you know matters: Venture capital networks and investment performance. *Journal of Finance*, 62(1): 251-301.

\*Rider, C. I. 2012. How Employees' Prior Affiliation Constrain Organizational Network Change: A Study of U.S. Venture Capital and Private Equity. *Administrative Science Quarterly*, 57(3): 453-483.

**[Optional]**

Kaplan, Steve, and Antoinette Schoar, 2005, Private equity performance: Returns, persistence and capital, *Journal of Finance* 60, 1791-823.

Lerner, Josh, Antoinette Schoar, and Wan Wong, 2007, Smart institutions, foolish choices? The limited partner performance puzzle, *Journal of Finance* 62:6, 731-64.

Samila, S. & Sorenson, O. 2011. Venture Capital, Entrepreneurship, and Economic Growth. *Review of Economics and Statistics*, 93(1): 338-49.

Hallen, B. L. 2008. The Causes and Consequences of the Initial Network Positions of New Organizations: From Whom Do Entrepreneurs Receive Investments? *Administrative Science Quarterly*, 53(4): 685-718.

Session 11 (2013-11-28 Thursday 9:00am-12:00am)

**Strategic entrepreneurship and institution**

**[Required]**

Michelacci, C. and O. Silva (2007). "Why so many local entrepreneurs?" *Review of Economics and Statistics* 89(4): 615-633.

Klapper, L., L. Laeven, et al. (2006). "Entry regulation as a barrier to entrepreneurship." *Journal of Financial Economics* 82(3): 591-629.

\*Lee, S.-H., Yamakawa, Y., Peng, M. W., & Barney, J. B. 2011. How Do Bankruptcy Laws Affect Entrepreneurship Development around the World? *Journal of Business Venturing*, 26(5): 505-20.

**[Optional]**

Tolbert, P. S., David, R. J., & Sine, W. D. 2011. Studying Choice and Change: The Intersection of Institutional Theory and Entrepreneurship Research. *Organization Science*, 22(5): 1332-44.

Glaeser, Edward, and William Kerr, 2009, Local industrial conditions and entrepreneurship: How much of the spatial distribution can we explain?, *Journal of Economics and Management Strategy* 18, 623-63.

Webb, J. W., Tihanyi, L., Ireland, R. D., & Sirmon, D. G. 2009. You Say Illegal, I Say Legitimate: Entrepreneurship in the Informal Economy. *Academy of Management Review*, 34(3): 492-510.

Bruton, G. D., Ahlstrom, D., & Li, H. L. 2010. Institutional Theory and Entrepreneurship: Where Are We Now and Where Do We Need to Move in the Future? *Entrepreneurship Theory and Practice*, 34(3): 421-40.

Session 12 (2013-12-05 Thursday 9:00am-12:00am)

**Transnational entrepreneurship**

**[Required]**

Liesch, P. W., Welch, L. S., & Buckley, P. J. 2011. Risk and Uncertainty in Internationalisation and International Entrepreneurship Studies Review and Conceptual Development. *Management International Review*, 51(6): 851-73.

\*Li, H., Zhang, Y., Li, Y., Zhou, L.-A., & Zhang, W. 2012. Returnees Versus Locals: Who Perform Better in China's Technology Entrepreneurship? *Strategic Entrepreneurship Journal*, 6(3): 257-72.

Kiss, A. N., Danis, W. M., & Cavusgil, S. T. 2012. International Entrepreneurship Research in Emerging Economies: A Critical Review and Research Agenda. *Journal of Business*



Venturing, 27(2): 266-90.

**[Optional]**

Drori, I., Honig, B., & Wright, M. 2009. Transnational Entrepreneurship: An Emergent Field of Study. *Entrepreneurship: Theory and Practice*, 33(5): 1001-22.

Kerr, William, 2008, Ethnic scientific communities and international technology diffusion, *Review of Economics and Statistics* 90, 518-37.

Nanda, Ramana, and Tarun Khanna, 2010, Diasporas and domestic entrepreneurs: Evidence from the Indian software industry, *Journal of Economics and Management Strategy*

Jones, M. V., Coviello, N., & Tang, Y. K. 2011. International Entrepreneurship Research (1989-2009): A Domain Ontology and Thematic Analysis. *Journal of Business Venturing*, 26(6): 632-59.

Ellis, P. D. 2011. Social Ties and International Entrepreneurship: Opportunities and Constraints Affecting Firm Internationalization. *Journal of International Business Studies*, 42(1): 99-127.

Keupp, M. M. & Gassmann, O. 2009. The Past and the Future of International Entrepreneurship: A Review and Suggestions for Developing the Field. *Journal of Management*, 35(3): 600-33.

Session 13 (2013-12-12 Thursday 9:00am-12:00am)

**Quantitative methods for strategic entrepreneurship research**

**[Required]**

Coviello, N. E. and M. V. Jones (2004). "Methodological issues in international entrepreneurship research." *Journal of Business Venturing* 19(4): 485-508.

Crook et al., *ORM*, 2010, Are We There Yet An Assessment of Research Design and Construct Measurement Practices in Entrepreneurship Research

Short et al., *ORM*, 2010, Research Methods in Entrepreneurship Opportunities and Challenges

**[Optional]**

Shepherd, D. A. (2011). "Multilevel Entrepreneurship Research: Opportunities for Studying Entrepreneurial Decision Making." *Journal of Management* 37(2): 412-420.

Kuskova, V. V., Podsakoff, N. P., & Podsakoff, P. M. 2011. Effects of Theoretical Contribution, Methodological Rigor, and Journal Quality, on the Impact of Scale Development Articles in the Field of Entrepreneurship. *Strategic Entrepreneurship Journal*, 5(1): 10-36.

Session 14 (2013-12-19 Thursday 9:00am-12:00am)

**Qualitative methods for strategic entrepreneurship research**

**[Required]**

Eisenhardt, K. M. 1989. Building Theories from Case-Study Research. *Academy of Management Review*, 14(4): 532-50.

Hallen, B. L. & Eisenhardt, K. M. 2012. Catalyzing Strategies and Efficient Tie Formation: How Entrepreneurial Firms Obtain Investment Ties. *Academy of Management Journal*, 55(1): 35-70.

Santos, F. M. & Eisenhardt, K. M. 2009. Constructing Markets and Shaping Boundaries: Entrepreneurial Power in Nascent Fields. *Academy of Management Journal*, 52(4): 643-71.

**[Optional]**

Eisenhardt, K. M. 1991. Better Stories and Better Constructs - the Case for Rigor and Comparative Logic. *Academy of Management Review*, 16(3): 620-27.

Eisenhardt, K. M. & Graebner, M. E. 2007. Theory Building from Cases: Opportunities and Challenges. *Academy of Management Journal*, 50(1): 25-32.

Kikooma, 2010, Using Qualitative Data Analysis Software in a Study of Entrepreneurship, *Qualitative Research Journal*, 40-51

Session 15 (2013-12-26 Thursday 9:00am-12:00am)

**Wrap-up: Research design of strategic entrepreneurship research**

**[Required]**

Brush, C. G., I. M. Duhaime, et al. (2003). "Doctoral education in the field of entrepreneurship." *Journal of Management* 29(3): 309-331.

Pearce, J. A., II. 2012. Revising Manuscripts for Premier Entrepreneurship Journals. *Entrepreneurship Theory and Practice*, 36(2): 193-203.

Ireland, R. D., Reutzell, C. R., & Webb, J. W. 2005. Entrepreneurship Research in AMJ: What Has Been Published, and What Might the Future Hold? *Academy of Management Journal*, 48(4): 556-64.

**[Optional]**

Colquitt, J. A. & George, G. 2011. Publishing in AMJ-Part 1: Topic Choice. *Academy of Management Journal*, 54(3): 432-35.

- Bono, J. E. & McNamara, G. 2011. Publishing in AMJ-Part 2: Research Design. *Academy of Management Journal*, 54(4): 657-60.
- Grant, A. M. & Pollock, T. G. 2011. Publishing in AMJ-Part 3: Setting the Hook. *Academy of Management Journal*, 54(5): 873-79.
- Sparrowe, R. T. & Mayer, K. J. 2011. Publishing in AMJ-Part 4: Grounding Hypotheses. *Academy of Management Journal*, 54(6): 1098-102.
- Zhang, Y. & Shaw, J. D. 2012. Publishing in AMJ-Part 5: Crafting the Methods and Results. *Academy of Management Journal*, 55(1): 8-12.
- Geletkanycz, M. & Tepper, B. J. 2012. Publishing in AMJ-Part 6: Discussing the Implications. *Academy of Management Journal*, 55(2): 256-60.
- Bansal, P. & Corley, K. 2012. Publishing in AMJ -Part 7: What's Different About Qualitative Research? *Academy of Management Journal*, 55(3): 509-13.

Session 16 (2014-01-02 Thursday 9:00am-12:00am)

### **Class Presentation and Closing Discussion**

#### 五、教学方式

We share responsibility for discussing the readings and raising issues. Students are expected to do all of the required readings and to be prepared to discuss the readings (singly and collectively) in class on the assigned day. We require every student to be prepared to speak about the week's assigned readings, and will assign one student with primary responsibility for co-leading the discussion every week. The class format will involve some introductory remarks by the instructor, followed by a group discussion of your analyses of the papers for the day. "Analyzing" means laying out:

- research question(s)
- central arguments and hypotheses as appropriate
- for empirical papers, methods (research design, sample, data collection, construct measures, analytic techniques) and results
- key conclusions
- strengths, weaknesses, contributions to the literature, and interesting areas/questions for

discussion.

We will conclude class by synthesizing the connections among the readings.

六、 教学过程中 IT 工具等技术手段的应用

Computer and Projector

七、 教材

None (Learning and class discussion is based on journal articles, not books)

八、 参考书目

None (Learning and class discussion is based on journal articles, not books)

九、 教学辅助材料，如 CD、录影等

None

十、 课程学习要求及课堂纪律规范

The general course requirements are:

1. Class preparation and memo (30%, applicable only from session 6 to session 15):
  - a) Analyze (as described above) and be prepared to discuss the readings that are assigned for each class. All students should arrive at class with their analyses of the readings, ready to go. Please ensure that you have a point of view on the key insights of each article as well as each article's strengths and weaknesses. Also bring your thoughts on questions and interesting issues to discuss during class.
  - b) Develop your own point of view on the following questions that consider the readings collectively: What are the common themes within the articles, contradictions among the articles, and insights? (This entails your developing an understanding of the assigned articles, their relationship to one another, and their collective synthesis). What are the 2-3 most important conclusions from the readings viewed collectively? Suggest an appropriate follow-on research question(s) for a deductive study based on a research gap

that is suggested by these articles collectively? What is the best of the assigned articles (and why)?

For the SE component, please turn in a one-page memo of a paper you select from the reading list, addressing these issues at the beginning of each class. You can skip the memo on one day of your choice and on the day that you present the paper.

2. Class participation and paper presentation (30% + 20%):
  - a) Students are expected to participate in the discussion actively and to contribute to the class positively. Free riders will get zero score of the class participation part. Cold calls apply in the class. Class participation (quality thereof, in particular) will constitute 30% of the grade.
  - b) Once during the course, you will be asked to present an empirical paper (as noted by \*) in the day's readings in conference-style. That is, please present the key points of the paper in 15 minutes (firmly enforced), relying on the following flow of roughly 7 power point slides: literature background (note key points and citations), research question(s), major hypotheses (presentation should note underlying arguments) if a deductive study, key aspects of the research design (research design, sample, data collection, construct measures, analytic techniques), major statistical or other results (e.g., regression table), discussion points, and conclusions. In general, given the time limits, it is best to present the heart of the paper well, and not try to include every point. Keep in mind that your presentation should give the audience a few intriguing take-aways, impress the audience with the quality of your research, and stay on time. Paper presentation (quality thereof, in particular) will constitute 30% of the grade.
  
3. Research design discussion (20%)
  - a) In the last class of the course, each student is required to present an original research idea related to either one of the two component modules of the course (about 15 minutes).

No written proposal is necessary for the SE component. But, a PPT file with focus on research design is required.

If you choose to propose an idea related to the MIE component, you are required to submit a written proposal (no more than 15-page, double space, everything inclusive) within 3-days after the last session.

#### 十一、学生成绩评定办法（需详细说明评估学生学习效果的方法）

Grading is based on class preparation and memo (30%, applicable only from session 6 to session 15), class participation and paper presentation (50%), research design discussion (20%)