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THE USE OF GLOBAL VALUE CHAIN/GLOBAL PRODUCTION NETWORK RELATED LITERATURE IN INTERNATIONAL BUSINESS RESEARCH

Investigating the nature and
degree of integration

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Introduction

We live in a world in which the production, distribution and consumption of goods and services are becoming progressively more complex, with increasing geographical spread and functional integration between economic activities (Dicken, 2015). These economic activities are undertaken within complex and geographically dispersed webs of production circuits and networks, conceptualised by a body of scholars as global production networks (GPNs) (Ernst & Kim, 2002; Coe, Dicken & Hess, 2008; Dicken, 2015). Dicken (2015, p. 54) defines a GPN as 'the circuit of interconnected functions, operations and transactions through which a specific commodity, good or service is produced, distributed and consumed'.

The GPN framework has close linkages with global commodity chain (GCC) analysis, proposed by Gereffi (1994), which subsequently evolved into the global value chain (GVC) framework (Gereffi, 1999; Gereffi, Humphrey & Sturgeon, 2005). Whilst GCC analysis focused on a 'set of inter-organisational networks clustered around one commodity or product' (Gereffi & Korzeniewicz, 1994, p. 2), GVC exploration concentrated on value-generating activities not only for 'commodities' but throughout the entire production process for goods and services. In this way, GVC scholars have analysed the characteristics of value chain transactions by proposing five distinct forms of inter-firm governance based on the complexity of transactions, supply base capabilities and codifiability of production (Gereffi, Humphrey & Sturgeon, 2005). Parallel to GCC/GVC analysis, GPN scholars study the networked nature

of economic activities (Dicken et al., 2001; Coe, Dicken & Hess, 2008). They emphasise that, within the changing contours of the world economy, such networks integrate firms, industries and national economies (Coe, Dicken & Hess, 2008). Therefore, GPN analysis adopts the network rather than the chain as the central unit of analysis, positing that firms are part of wider networks of globalised production (Dicken et al., 2001). In this chapter, we refer to these two bodies of literature combined as the GVC/GPN literature.

Whilst the GVC/GPN literature places the chain or network at the heart of the analysis, International Business (IB) scholars have traditionally been interested in firms, and particularly multinational enterprises (MNEs) (Gui, 2010). The fragmentation of economic activities and functional integration have deeply transformed the way MNEs structure and manage productive and commercial activities on a global scale (de Marchi, di Maria & Ponte, 2014). In contrast to traditional forms of vertical integration associated with internationalisation, MNEs have more recently opted to extend their organisational boundaries to form equity and non-equity based relationships with other actors operating along the value chain, such as suppliers, distributors, agents and partners (Buckley, 2016). Therefore, in order to keep pace with the rapidly shifting world economy, de Marchi, di Maria and Ponte (2014) urge for continual insights on MNEs' changing organisational forms, internationalisation paths between outsourcing and offshoring, and approaches to knowledge management within organisations and networks. The emergence of these networked multinationals has also changed the process of value creation, and power and knowledge dynamics between MNEs and other actors in value chains (Johns et al., 2015). For this reason, a broader range of GVC/GPN actors beyond MNEs have started to gain analytical and empirical importance.

The increasing interdependencies between MNEs and other actors have set the groundwork for analysing inter-firm and non-firm relationships, governance and power dynamics and the distribution of gains throughout GPNs. However, such foci of analysis have so far received insufficient attention in IB and, we would argue, can no longer be overlooked (cf. Cairns & Sliwa, 2008). Not surprisingly then, a number of IB scholars have noted potential incoherence between theoretical progress made in IB and the practical impact of recent processes of economic globalisation (Storper, 1997; Dicken et al., 2001; Dicken, 2015). Whilst IB studies are increasingly adopting network-based perspectives to study MNEs (e.g. Parkhe & Dhanaraj, 2003; Mathews, 2006) along with other actors in the network (McDermott & Corredoira, 2010; Li, Kong & Zhang, 2016), the emphasis on internationalisation aspects combined with an analytical preoccupation with Western MNEs is still predominant in IB (Cairns & Sliwa, 2008; de Marchi, di Maria & Ponte, 2014).

More recently, a number of IB scholars, including Giuliani and Macchi (2013), de Marchi, di Maria and Ponte (2014), and Johns et al. (2015), have called for interdisciplinary research to integrate broader dimensions of analysis into IB scholarship. In particular, they urge for the integration of GVC/GPN-related ideas. Johns et al. (2015) have pointed out numerous commonalities between the IB and GVC/GPN literatures, noting that GVC/GPN concepts can contribute to key debates and unanswered questions in IB. Based on a bibliographic analysis of IB papers published from 2005 to 2014, they furthermore recognise that IB studies have very slowly been taking up references from the GVC/GPN literature. The authors identify 75 papers published in IB journals that have either cited or mentioned the term GVC/GPN. However, a more in-depth, qualitative examination of these papers was beyond the scope of their study. The purpose of this chapter is to build on and extend Johns et al.'s (2015) work by examining the *nature* and *degree* of integration of GVC/GPN-related articles cited in IB research. The focus is on the analysis of papers published since the mid-2000s in IB journals.

We also examine the disciplinary origin of the authors as this is an important factor in the discussion of idea migration and integration.

To undertake this analysis, we adopt Cairns and Sliwa's (2008) perspective on the boundaries of IB. They suggest that, in order to critically engage with the nature of contemporary IB, it is necessary to study IB processes as a network of power relations. They furthermore warn against viewing IB as a 'value-free activity of a purely economic nature' (p. 162), urging scholars to understand the power dynamics of different forms of networked relationships and the impact of MNEs' economic activity on other GVC/GPN actors. Subsequently, they call for broadening the boundaries of IB beyond the analysis of MNEs alone, by drawing upon neighbouring disciplines to solve key debates in IB whilst opening up possibilities for alternative structures and forms of IB. In view of that, Cairns and Sliwa (2008, p. 5) adopt a broader 'stakeholder-based approach' in order 'to take account of the different actors involved in and affected by IB'. Rather than (Western) MNEs alone, they consider all stakeholders within the boundaries of IB, such as suppliers, linkage firms, industries, employees, consumers, broader society and the natural environment. In this chapter, we utilise Cairns and Sliwa's (2008) stakeholder-based perspective of IB to identify the degree to which the GVC/GPN literature is adopted in IB studies.

The contents of this chapter are structured as follows. The first section presents a brief literature review on how the IB literature has evolved and taken shape over the ten-year period since the mid-2000s, along with how GVC/GPN studies can contribute to contemporary IB. The second section outlines the methodology of the systematic bibliographic analysis performed here. The third section discusses the findings regarding the nature of GVC/GPN integration into IB studies. This section also investigates the relationship between the authors' disciplinary backgrounds and the level of integration. The final section concludes with a summary of key findings along with recommendations for future research.

Literature review

Contemporary IB and its evolution

Up to and during the 1980s, IB scholars studied how the internal mechanisms of MNEs shaped their modes of foreign investment, location choices, hierarchical dimensions of coordination (Buckley & Casson, 1976; Porter, 1986; Bartlett & Ghoshal, 1987) and investment motives (Dunning, 1979, 1980). Internalisation thinking has therefore historically dominated the IB discipline in explaining internationalisation activities of MNEs (Buckley, 2014). Since the 1990s, the IB environment has become increasingly volatile, with the rise of Asian multinationals and associated emergence of cost-based competition (Buckley & Casson, 1998). Within this dynamic context, the survival and prosperity of Western MNEs has been thought to depend upon their flexibility and cost-efficiency, prompting them to extend their organisational boundaries in order to access wider information sources, information management systems and knowledge creation abilities (Buckley, 2016). This new trend of flexible MNEs was captured in internalisation thinking by Buckley and Casson (1998), who explained how MNEs adopted a hub-and-spoke structure by which they internally undertook activities (such as R&D and marketing) in which their competitiveness lay, whilst outsourcing activities such as production in which their focus was mainly on cost reduction. During the 2000s, internalisation thinking was further revived by the 'Global Factory' perspective (Buckley & Ghauri, 2004; Buckley, 2009b), which proposed a more networked approach to gaining efficiency. MNEs became the 'orchestrators' of their Global Factories, in which they 'fine sliced' their value chain tasks, pursued those in

optimal, low-cost locations, and controlled each task by deciding on the level of internalisation of the firms that participated in their GPNs (Buckley, 2011; Buckley & Strange, 2011).

An alternative view to internalisation thinking was proposed by Stephen Hymer. In a rarely quoted paper, Hymer introduced his 'law of increasing firm size', which offered prescient insights regarding the externalisation of production by MNEs (Hymer, 1972). Drawing upon Hymer (1972), Strange and Newton (2006) proposed the theory of externalisation, commonly referred to as the subcontracting activities of MNEs. A key feature of externalisation is MNEs' unilateral control over their supplier firms in which MNEs have no equity ownership. To summarise the discussion thus far, since the mid-2000s MNEs have been conceptualised as 'networked multinationals' or 'integrated multinationals' (Buckley, 2016, p. 6) by numerous IB scholars (Parkhe & Dhanaraj, 2003; Strange & Newton, 2006; Buckley, 2009b).

From 2008 till 2013, foreign direct investment (FDI) outflows from developing economies have increased by 36%, whilst those from developed economies have declined by 46% (UNCTAD, 2014). Following these shifts in global trading dynamics and the emergence of network-based perspectives in IB, a number of scholars have begun studying internationalisation patterns of multinationals from emerging economies (EMNEs) (e.g. Mathews, 2006; Pananond, 2013). Mathews (2006) suggests that latecomer and newcomer multinationals (specifically from East Asia) internationalise by developing multiple connections with external firms, particularly from advanced economies, in order to accumulate learning and access resources. More recent IB literature perceives these EMNEs as 'rising power' MNEs (RP MNEs), with the potential to significantly challenge the 'rules of the competitive game' and 'hegemony' of Western MNEs in global markets (Yamin & Sinkovics, 2015). Contrary to Mathew's EMNEs that are interested in developing linkages with firms from advanced economies, RP firms have extensive and growing operations in developing countries and play an active role in global and regional value chains. This trend has encouraged a group of scholars to study the nature of south-south FDI and other non-equity-based economic activities (e.g. Azmeh & Nadvi, 2014).

With the rise of the networked MNEs and their increasing attention to economic efficiency, a limited number of IB scholars have questioned the developmental impact of MNEs' economic activities on other actors within their global networks (Meyer, 2004; Ramamurti, 2004; Ghauri & Buckley, 2006). In his commentary on the Global Factory, Yamin (2011b) points to the possible vulnerabilities of MNEs' new organisational forms, governance structures and role as powerful network orchestrators.

Overall, within the changing contours of the world economy, we argue that network-based thinking deserves to be at the heart of contemporary IB (Dicken, 2015). The emergence of a networked perspective has left a rich set of unanswered questions related to governance, location theory, knowledge and power dynamics, risk and uncertainty (Buckley, 2016), and the developmental impact on MNEs' networked partners and the wider society (Cairns & Sliwa, 2008; Dicken, 2015). These questions have set the groundwork for idea migration from GVC/GPN analysis to IB scholarship and opened the door for a possible integration of synergistic concepts and theory (Johns et al., 2015).

What can contemporary IB bring in from GVC/GPN research?

Based on the previous discussion, we argue that the notions of GVC/GPN can potentially contribute to a number of areas in contemporary IB research (de Marchi, di Maria & Ponte, 2014). First, GVC/GPN analysis facilitates the mapping of cross-border linkages and insights into the power dynamics that exist between firm and non-firm actors in the global production process. The GVC approach focuses on the inter-firm dynamics between actors operating along

the value chain, using the term ‘fragmentation’ to describe the physical separation of different parts of the production process (Gereffi, Humphrey & Sturgeon, 2005). GVC scholars give analytical attention to the role of inter-relationships between firms that undertake different functional activities (e.g. R&D, production, sales, marketing, consumption and recycling) to bring a specific product from its conception to its end and beyond (Gereffi & Fernandez-Stark, 2011). Parallel to the GVC analysis, GPN scholars perceive fragmentation from a network perspective, in which they account for the role of both firm and non-firm actors in shaping cross-border value chain activities and influencing production outcomes in different countries (Coe, Dicken & Hess, 2008). In relation to IB scholarship, the organisation of GVC/GPN can provide insights in regard to mapping the structure and the process of value generation, enhancement and capture by different firm and non-firm actors involved in the GPNs of MNEs. Such mapping can serve as the basis for identifying the process of financialisation, and the distribution of profits and gains between MNEs and other actors in GPNs (Johns et al., 2015).

The GVC approach provides a holistic view of global industries from two vantage points: top-down and bottom-up (Gereffi & Lee, 2012). The top-down view focuses on the modes of governance coordinating the value chain (Gereffi, Humphrey & Sturgeon, 2005); whilst the bottom-up view focuses on upgrading by suppliers and other local actors (Giuliani, Pietrobelli & Rabellotti, 2005; Barrientos, Gereffi & Rossi, 2011; Pavlínek & Ženka, 2011). The top-down approach views the global economy as a complex network that is coordinated by lead-firm buyers, and connects them to a geographically dispersed supplier base (Lee & Gereffi, 2015). A core focus of GVC analysis is on the ‘governance’ of these cross-border relationships (Gereffi, Humphrey & Sturgeon, 2005), defined by Gereffi (1994) as ‘authority and power relationships that determine how financial, material and human resources are allocated and flow within a chain’. Gereffi, Humphrey and Sturgeon (2005) identify five principal types of governance (market, modular, relational, captive, hierarchy) to conceptualise the coordination between lead firms and suppliers. These differing governance types are based on the varying complexity of information and knowledge in the buyer-supplier relationship; opportunities for codifying and transmitting information; and supply-base capabilities. The hierarchical mode refers to vertical integration and equity investment, whilst the market mode refers to arms-length relationships involving no equity investment. In between the hierarchical and the market modes exist network modes of governance that include different types of non-equity-based relational forms (i.e. modular, captive and relational networks).

This focus on external network linkages has led some to describe the GVC/GPN approach as a ‘theory of externalisation in a global context’ (de Marchi, di Maria & Ponte, 2014, p. 5), which we argue constitutes another area of contribution to current IB debates. Another insight comes from GVC/GPN scholars’ research on a range of non-equity-based relational forms, providing an understanding of the ongoing network-based processes during internationalisation (cf. Strange & Newton, 2006). This is all the more important as the predominant focus of IB scholarship has continued to be put on internalised entry modes, rendering forms of externalisation underexplored. The framework of GVC governance furthermore facilitates the analysis of power dynamics and inter-firm linkages in MNE-driven GPNs (Johns et al., 2015). GVC/GPN studies also offer a more complex picture of non-firm actors that can act as network orchestrators. Whilst IB studies have mainly been concerned with the internationalisation of Western manufacturing MNEs, GVC research has extended the analysis to multinational retailers in the form of ‘buyers’ or ‘brand vendors’, through Gereffi’s (1994) framework of buyer-driven versus producer-driven chains (de Marchi et al., 2014). The study of RP firms and EMNEs as network orchestrators further broadens the analytical horizon, beyond Western MNEs (Yamin & Sinkovics, 2015).

The bottom-up approach in the GVC literature focuses exclusively on how the organisation of GVC activities has created upgrading opportunities for SMEs from least developed and developing

economies (Gereffi, 1999; Morrison, Pietrobelli & Rabellotti, 2008). Upgrading is defined as the ‘capacity of a firm to innovate in order to increase the value added’ (Giuliani, Pietrobelli & Rabellotti, 2005). The more specific concept of economic upgrading refers to ‘a process of improving the ability of a firm to move to more profitable and/or technologically sophisticated capital and skill-intensive economic niches’ (Gereffi, 1999, p. 38). A relatively recent interest within the GVC landscape is in social upgrading (Gereffi & Lee, 2012), which refers to the process of improving the rights and entitlement of workers as social actors, thereby enhancing the quality of their employment (Barrientos, Gereffi & Rossi, 2011). One strand of GVC research has advanced this agenda by examining the link between modes of governance and forms of upgrading (i.e. process, product, functional and chain upgrading) (Humphrey & Schmitz, 2002). In this sense, the GVC/GPN literature offers a distinct conceptualisation of upgrading and clear frameworks for studying social and economic upgrading in IB. It also facilitates the analysis of the impact that different forms of network governance mechanisms have on suppliers’ and other linkage firms’ upgrading success – an aspect that is still under-researched in IB (Gereffi & Lee, 2012). Additionally, GVC studies tend to accord more attention than IB studies do to the role of suppliers’ capability building and their proactive investment in generating success in upgrading (Kadariusman & Nadvi, 2012).

Another stream of GVC research takes workers as a central unit of analysis and explores the extent of their gains from GVC participation (e.g. Barrientos & Kritzinger, 2004; Rossi, 2011; Lund-Thomsen et al., 2012; Lund-Thomsen & Coe, 2013; Lund-Thomsen & Lindgreen, 2013). This body of literature highlights a number of structural inequalities inherent in value chain organisation that restrict social gains, such as a lack of code harmonisation, the exclusion of workers’ voice (Lund-Thomsen & Coe, 2013), a failure to account for the broader social context at local production sites (Lindgreen et al., 2010) and a stratified impact of governance mechanisms on workers (Barrientos & Kritzinger, 2004; Rossi, 2011). Insights from these studies can aid the understanding of the developmental impact of MNEs on other actors within their GPN, which again constitutes a black box in IB research (Cairns & Sliwa, 2008). Consequently, Lee and Gereffi (2015) rightly state that the ‘GVC literature is uniquely positioned to provide a bridge between IB and development literatures’ (p. 330).

As discussed in the previous section, a network-based perspective can potentially shape the contours of contemporary and future IB research (Cairns & Sliwa, 2008). To this end, the GVC/GPN literature can provide key insights into four under-researched areas in IB: (i) the process of value creation in MNEs’ GPNs and the distribution of gains; (ii) the power and governance structure between MNEs (including buyers, RP firms and EMNEs) and other actors in GPNs, especially understanding the non-equity-based relational forms; (iii) the drivers and consequences of upgrading by suppliers and other linkage firms; and (iv) the developmental impact of MNEs’ economic activities on other actors within their GPNs. Whilst it is clear (at least in theory) that IB research can significantly benefit from the integration of ideas from the GVC/GPN literature, it is currently unclear to what degree such integration has taken place so far. Therefore, in the coming sections, we pursue this agenda based on systematic bibliographic analysis.

Methodology

Search and selection strategy

To examine the nature and degree of GVC/GPN integration in IB research since the mid-2000s, we performed a systematic bibliographic analysis in three steps. First, we undertook an advanced search in Web of Science using the keywords ‘global value chain’, ‘global production network’, ‘upgrading/upgrade’, ‘value chain’ and ‘global supply chain’. This search yielded 764

articles published during the years 2005 to 2015 in various journals in the field of GVC/GPN, Economic Geography, IB and general management. These articles had, in the abstract or title, at least some notion of GVCs or GPNs.

The next step involved identifying papers that had been used and cited in IB. From the initial 764 articles, those published in IB journals were selected for further analysis. The following 16 IB journals were considered: *Journal of International Business Studies*, *Journal of World Business*, *Management and Organisational Review*, *International Business Review*, *Management International Review*, *Journal of International Management*, *Asia Pacific Journal of Management*, *European Journal of International Management*, *Asia Pacific Business Review*, *Thunderbird International Business Review*, *Critical Perspectives on International Business*, *Transnational Corporations*, *Multinational Business Review*, *Journal of Asia Pacific Business*, *Global Strategy Journal* and *Journal of East West Business*. Further to this, a keyword search using the same keywords was also performed individually in each of the 16 listed journals for cross-checking purposes. Moving beyond these listed journals, the titles and abstract of the initial 764 articles were carefully studied, revealing additional relevant book chapters and papers published in journals not included in the original search, such as *European Planning Studies* and *Global Networks*. Through this filtering process, a total of 79 papers were identified for in-depth analysis.

The process of analysis

The final step involved the in-depth analysis of these 79 articles to try to understand how the concept of GVC/GPN had been used within each paper and with what effect in terms of contribution to the IB literature. The analysis was conducted by drawing on a template consisting of dimensions such as author/s, focus, theoretical background, GVC/GPN usage and application, and contribution to IB. The template facilitated the categorisation of papers according to the extent to which the concept of GVC/GPN was used. Furthermore, it aided the identification of domains in IB research most receptive to ideas from that body of literature.

The papers were divided according to two perspectives: (i) papers that focused on conventional (Western) MNEs and (ii) papers that concentrated on other GVC/GPN actors including suppliers, RP firms, EMNEs, workers, consumers, emerging markets, industries and clusters. This categorisation rests on Cairns' and Sliwa's (2008) stakeholder-based view of IB, in which both MNEs and the other GVC/GPN actors are considered. As stated in the introduction, a number of scholars (e.g. Cairns & Sliwa, 2008; Johns et al., 2015) suggest that in order to create synergies between the IB and GVC/GPN literatures, it is imperative to not only consider focal-firm (i.e. MNE) perspectives, but also those of other GVC/GPN actors positioned to shape and influence processes of governance and upgrading. Categorising papers in this way allows for the analysis and comparison of the degree of conceptual integration of GVC/GPN thinking in IB studies across these two main sets of papers. Additionally, this enables the identification of areas in IB research where the most extensive integration of ideas from the GVC/GPN literature has occurred.

We furthermore controlled for the disciplinary origins of the authors. This is important because, with increasing interdisciplinarity, scholars not only work with colleagues from different areas, but also often publish in outlets outside of their specific disciplinary boundaries. Authors' disciplinary origins were determined from their web profiles. This exercise yielded 16 disciplinary areas (see Table 16.1): IB, developmental studies, strategic management, management, marketing, accounting and finance, human resource management, corporate social responsibility, organisational studies, production and operations, innovation, economics, science and technology, information and communication, sociology and Economic Geography.

Table 16.1 Details of IB papers and the nature of their integration with GVC/GPN concepts

IB paper details		Integration of GVC literature in the paper				
Author/year	Authors' area	Focus	Theoretical background	Methodology	How used	Contribution to IB literature
Alvarez & Marin (2013)	a Economics	How the integration of firms from developing countries in sophisticated high-tech markets can be defined by the combined action of the MNE and the ability for technology absorption and creation.	Industrial competitiveness Catch-up/upgrading	Quantitative: secondary data	Parallel citation (cited papers, Mudambi, 2008; Kumaraswamy et al., 2012)	N/A
	b Economics					
Azmeah & Nadvi (2014)	a Environment, education and development	Illustrate how such firms manage complex international production linkages, and ensure the incorporation of Jordan into the global garment industry.	GVC governance GVC organisation structure	Qualitative: case study	Core theoretical framework Understanding the role of RP firms in GVC network	Integration of IB and GVC; understanding the role of firms in organisation of GVC network
	b International development					
Baij & Slangen (2013)	a Strategic management and entrepreneurship	Examines how such HQ disaggregation changes the role that HQ-subsidary geographic distance plays in HQ's decisions about subsidiaries.	Disintegration of HQ-subsidary Ex post communication	Conceptual paper	Citation only (cited paper, Gereffi, Humphrey & Sturgeon, 2005)	N/A
	b Strategic management and entrepreneurship					
Banalieva & Sarathy (2011)	a Business and strategy	Analyses how the EMs' trade liberalisation can amplify or reduce the performance from foreign market penetration in the context of electronics vs. non-electronics EM MNEs.	Transaction cost economics Multi-stage general theory of internationalisation New trade theory (triangular manufacturing)	Quantitative: secondary data	Complementing IB theory Internationalisation performance in the context of trade liberalisation and triad firm	How trade liberalisation benefits internationalisation performance
	b International Business and strategy					

(continued)

Table 16.1 (continued)

IB paper details		Theoretical background			Integration of GVC literature in the paper	
Author/year	Authors' area	Focus	Methodology	How used	Contribution to IB literature	
Beugelsdijk, Pedersen & Petersen (2009)	a International Business and management	Discuss and empirically test whether MNEs' configuration of value-adding activities has shifted from a sparse and simple (host-home) international division of labour among the foreign affiliates to a more specialised and 'advanced' GVC configuration in which MNEs locate fine-sliced parts of the value chain at the most efficient locations. Paper advances four propositions on the impact of the Global Factory on the world economy.	GVC configuration and specialisation of labour	Quantitative: secondary data	<p>Citation only (cited papers, Gereffi, 1999; Humphrey & Schmitz, 2002)</p> <p>Parallel citation Underlying structure of cross-border sales within MNE (i.e. the specific GVC configuration of the MNE)</p>	N/A
	b International Business and management					
	c Strategic management and globalisation					
Buckley (2009a)	a International Business		Coasean framework Internalisation theory	Conceptual paper	<p>Citation only (cited paper, Gereffi, Humphrey & Sturgeon, 2005)</p> <p>Parallel citation (cited papers, Mudambi, 2008; UNCTAD, 2013)</p>	N/A
Buckley (2014)	a International Business	The purpose of this paper is to review the key analytical principles of internalisation theory as a general theory of the MNE.	Coasean framework Internalisation theory	Conceptual paper	<p>Parallel citation (cited papers, Mudambi, 2008; UNCTAD, 2013)</p>	N/A
Buckley, Forsans & Munjal (2012)	a International Business	Examines the complementarity of country-specific linkages with country-specific advantages in explaining foreign acquisitions by Indian MNEs, by testing and further extending the Eclectic Paradigm.	Eclectic Paradigm, role of networks and linkages	Quantitative: secondary data	<p>Parallel citation (cited paper, Mathews, 2006)</p> <p>Understanding the network and linkage strategies EMNEs are integrating into GVCs</p>	N/A
	b International Business					
	c International Business					

Cairns (2014)	a	Management	This paper aims to critically engage with the premise of development at the 'bottom of the pyramid' through consideration of the current and potential future status of the workers who dismantle end-of-life ships in the breaking yards of less developed countries.	Bottom of the pyramid	Qualitative: critical scenario analysis	Contextual description (cited paper, Nadvi, 2008; Lund-Thomsen et al., 2012) How standard compliance is a sin qua non in GVCs	Understanding the context of compliance and impact on bottom of the pyramid workers
Contractor, Kumar & Dhanaraj (2015)	a	Management and global business	This paper reviews India's place in the international economy by identifying its areas of comparative advantage.	N/A	Qualitative: case study	Citation only (cited paper, Gereffi, Humphrey & Sturgeon, 2005)	N/A
Corredoira & McDermott (2014)	a	Management and organisational	Drawing on insights from economic sociology and comparative capitalism, the paper posits that in these contexts of scarce resources and inferior technology, upgrading depends on the ways in which organisational and institutional networks enable firms to integrate imported advanced knowledge with local applied knowledge.	Economic sociology and comparative capitalism literatures Organisational and institutional network-based view Upgrading	Quantitative: survey data	Complementing IB theory Conceptualisation: defining and understanding upgrading	Linking upgrading with a comparative institutional perspective
	b	International Business					

(continued)

Table 16.1 (continued)

IB paper details		Integration of GVC literature in the paper				
Author/year	Authors' area	Focus	Theoretical background	Methodology	How used	Contribution to IB literature
Cuervo-Cazurra (2007)	a International Business	Studies multinationalisation – the decision to establish FDI – of developing country firms, in particular Latin American ones or 'multilatinas'.	Eclectic Paradigm Uppsala model	Qualitative: case study	Mention only (use of the term 'upgrade')	N/A
D'Agostino & Santangelo (2012)	a Science, politics and society b Science, politics and society	Drawing on the view that multinationals act as a link between home and host (the double diamond framework), the paper extends this framework and investigates the indirect impact of host on home location with reference to R&D internationalisation in emerging economies.	Eclectic Paradigm Double diamond model	Quantitative: secondary data	Parallel citation (cited paper, Mudambi, 2008)	N/A
Donz�a (2015)	a Economics	How the evolution of GVCs resulted in lost competitiveness for the Japanese watch industry.	Buyer-driven vs. producer-driven GVC	Qualitative: case study	Core theoretical framework How Seiko lost competitiveness due to its producer-driven chain at the global level	The link between GVC governance and competitiveness (authors do not explicitly point out)
Duanmu & Fai (2007)	a Management b Management	This paper investigates vertical knowledge transfers from inward-invested MNEs to indigenous Chinese suppliers in the electrical and electronics industry.	Intra-firm and inter-firm knowledge transfer	Qualitative: case study	Citation only (cited paper, Ernst & Kim, 2002)	N/A

Eapen (2012)	a	International Business	Argues that a domestic firm's ability to absorb spillovers depends on the social structure in which it is embedded.	FDI spillover Network ties	Conceptual paper	Citation only (cited paper, Giuliani, Pietrobelli & Rabellotti, 2005)	N/A
Eapen (2013)	a	International Business	Argues that identifying FDI spillover effects in such incomplete datasets is problematic, owing to measurement error and selection problems.	Spillover effect Productivity	Quantitative: secondary data	Mention only (use of the term 'upgrading')	N/A
Edwards et al. (2010)	a	Management	This paper analyses the issue of variation between multinational companies in the extent to which they use their foreign operating units as the origin of employment practices that are subsequently transferred across the firm.	Configuration of MNEs and diffusion of knowledge	Quantitative: survey	Citation only (cited paper, Gereffi, Humphrey & Sturgeon, 2005)	N/A
Eng & Spickett-Jones (2009)	a	Digital marketing	Examines eight different marketing capabilities to assess influence on manufacture upgrade performance.	Types of upgrading Capabilities-based view	Quantitative: survey	Core theoretical framework Understanding different phases or steps of upgrading	Linking marketing capabilities with upgrading performance
Fitzgerald & Rowley (2015)	a	Business history and international management	How the strategies and capabilities of Japanese MNCs and their subsidiaries complicate or inhibit adaptation to the demands of global competition.	Historical perspectives used to reveal how the international competitive landscape has changed	Qualitative: case study, secondary data	Mention only (use of the phrase 'buyer-driven value chain')	N/A
	b	Human resource management					

(continued)

Table 16.1 (continued)

IB paper details		Theoretical background		Methodology		Integration of GVC literature in the paper	
Author/year	Authors' area	Focus			How used	Contribution to IB literature	
Fleury, Fleury & Borini (2013)	a Production engineering	Examines whether internationalisation process relies on the firm's innovative capability.	Resource-based view Innovation capabilities	Quantitative: secondary data	Mention only (use of the term 'global value chain')	N/A	
	b International management						
	c Marketing						
Fong, Lee & Dub (2013)	a Business management	This study examines the effects of consumer animosity and reputation transferability of local targets on cross-border acquisitions.	Corporate reputation Consumer animosity Local target reputation transferability	Quantitative: survey	Mention only (use of the term 'global value chain')	N/A	
	b Finance and economics						
Funk et al. (2010)	a Management	Examine whether consumers' willingness to purchase a complex hybrid product is negatively affected by partial production shifts to an animosity-evoking country.	Consumer animosity	Quantitative: survey	Contextual description Consumer animosity in the changing context of GVC integration	N/A	
	b Management and operation						
	c International Business						
	d Marketing						
Giroud & Mirza (2015)	a International Business	To show how the nature of the activities conducted by MNEs globally and the governance modes are changing.	GVC segments/stages GVC governance	Conceptual paper	Core theoretical framework Conceptualisation: how consideration of GVC segment and governance mode influence FDI decisions	Understanding FDI motives through the lens of GVC	
	b International Business						
Gooris & Peeters (2014)	a Econometrics	This paper studies the effect of home–host country distance on the choice of governance mode in service offshoring.	Transaction cost economies	Quantitative: secondary data	Parallel citation (cited paper, Buckley & Ghauri, 2004; Mudambi, 2008)	N/A	
	b International Business						

Gupta & Subramanian (2008)	a	Global management studies	The paper identifies relevant generic strategies and bases of competitive advantage in regional clusters.	Krugman's geography, Porter's Diamond, and European regional innovation system perspectives, as well as three extensions of those perspectives	Qualitative: case study	Complementing IB theory How the strategies for competitive advantage changed over the period, explained through the lens of the GVC along with other relevant theories	Competitive advantage of regional clusters through the lens of the GVC along with other relevant theories
	b	Organisational studies					
Hansen, Pedersen & Petersen (2009)	a	Communication and management	The study addresses the implications MNC strategies have for linkage effects in developing countries.	FDI motives: integration-responsiveness framework Value chain configuration Intra-MNC coordination Upgrading	Quantitative: survey	Complementing IB theory How MNEs' integration-responsiveness strategy influences value chain configuration and upgrading	The effect of MNEs' local linkages on upgrading, through the lens of GVC configuration
	b	Communication and management					
	c	Communication and management					
Hatami (2009)	a	International Business	Drawing on the GVC analysis and institutional views, this paper explains the mechanism of 'spillover interception', a structural obstacle to technology spillovers in emerging economies. How does global expansion, in particular entry into emerging markets, affect the cohesion of a large interfirm network and with what consequences?	GVC analysis Institutional view Technology spillover	Qualitative: case study	Core theoretical framework To understand the cross-border production linkages	Propose the concept of 'spillover interception', drawing upon GVC perspective
Hatami & McGaughey (2013)	a	International Business		Evolutionary perspective Global supply network	Qualitative: longitudinal case study	Parallel citation (Cited paper, Chen, 2004)	N/A
	b	International Business					

(continued)

Table 16.1 (continued)

IB paper details		Integration of GVC literature in the paper				
Author/year	Authors' area	Focus	Theoretical background	Methodology	How used	Contribution to IB literature
Haworth (2013)	a International Business	This paper provides a first analysis of the human resource development dimensions of the compressed development approach via GVC considerations, using an APEC case study.	GVC framework Compressed development approach Human resource development	Qualitative: case study	Core theoretical framework Developing HR for facilitating development through consideration of upgrading in specific GVCs	Understanding human resource development policies through the lenses of the GVC
Hill & Mudambi (2010)	a International Business b International Business	This paper describes three distinct but interrelated processes – spillover and catch up, brokering and bottom-up – that link globalisation to entrepreneurship in emerging economies.	Entrepreneurship (Kirznerian or Schumpeterian)	Conceptual paper	Citation only (cited paper, Giuliani & Macchi, 2013) Parallel citation (cited paper, Mudambi, 2008)	N/A
Jensen (2009)	a Strategic management and globalisation	Explores organisational learning that occurs over time in both home and host firms and uses learning as a measure of the firm impact of advanced services offshoring.	Services offshoring Organisational change	Qualitative: case study	Citation only (cited paper, Gereffi, Humphrey & Sturgeon, 2005)	N/A
Jensen (2012)	a Strategic management and globalisation	Investigates how determinants of the offshore outsourcing process contribute to the resource stocks of client firms.	Offshore outsourcing Resource-based view IB network theory	Conceptual paper	Parallel citation (Cited papers, Porter, 1986; Mudambi, 2008; Buckley, 2009b)	N/A

Jensen & Petersen (2013)	<p>a Strategic management and globalisation</p> <p>b Strategic management and globalisation</p>	<p>This paper investigates under which circumstances a build-operate-transfer (BOT) outsourcing contract (i.e. a contract where the client firm exercises its call option) is beneficial, or the opposite, to the emerging market vendor firm.</p>	<p>BOT outsourcing Linkage, learning and leverage model</p>	<p>Qualitative: case study</p>	<p>Contextual description (cited paper, Gereffi, Humphrey & Sturgeon, 2005) Parallel citation (cited paper, Mudambi, 2008)</p>	<p>Understanding the distribution of power in relational ties in a BOT contract context</p>
Jensen, Larsen & Pedersen (2013)	<p>a Strategic management and globalisation</p> <p>b Strategic management and globalisation</p> <p>c Strategic management and globalisation</p>	<p>Argues that an organisational design perspective on offshoring can benefit research and practice in understanding how firms can coordinate and integrate offshoring activities.</p>	<p>Organisational design perspective of offshoring</p>	<p>Conceptual paper</p>	<p>Citation only (cited paper, Gereffi, Humphrey & Sturgeon, 2005)</p>	<p>N/A</p>
de Jong & van Houten (2014)	<p>a Strategy</p> <p>b Geoscience</p>	<p>Argues that the impact of the degree of internationalisation on MNE performance is contingent on MNE cultural diversity.</p>	<p>Internationalisation MNE cultural diversity</p>	<p>Quantitative: secondary data</p>	<p>Citation only (cited paper, Gereffi, Humphrey & Sturgeon, 2005)</p>	<p>N/A</p>
Kenney, Massini & Murtha (2009)	<p>a Human ecology</p> <p>b Economics and management of innovation</p> <p>c Management</p>	<p>Introduces the <i>Journal of International Business Studies</i> Special Issue on Offshoring Administrative and Technical Services (ATS).</p>	<p>N/A</p>	<p>Conceptual paper</p>	<p>Citation only (cited paper, Gereffi, Humphrey & Sturgeon, 2005)</p>	<p>N/A</p>

(continued)

Table 16.1 (continued)

IB paper details		Integration of GVC literature in the paper				
Author/year	Authors' area	Focus	Theoretical background	Methodology		
				How used		
				Contribution to IB literature		
Khan, Lew & Sinkovics (2015)	a	Strategy and International Business	Explores inter-organisational linkages and the extent of technology transfer	Upgrading in GVCs	Core theoretical framework Understanding inter-organisational linkages and forms of upgrading	
	b	International Business	related to the linkages, technology transfer and upgrading of local suppliers in developing economies.	Qualitative: interviews		The extent of technology transfer and effect on form of upgrading in specific inter-firm relational contexts
	c	International Business				
Kong, Zhang & Ramu (2016)	a	Science and technology for development	This paper examines how GPNs have benefited technological upgrading in the semiconductor industry in China.	Evolutionary economics	Core theoretical framework Use of 'upgrading' as the key framework	
	b	Developmental studies		Institutional support		The role of local institutions in upgrading in GPNs
	c	Economics		Upgrading		
Kothari, Kotabe & Murphy (2013)	a	Management and human resources	Examine the various strategies that EMNEs devise to circumvent the resource challenges faced in their home markets and develop routines and key capabilities that lead to their competitive advantage in developed nations.	Innovation	Parallel citation (cited paper, Mudambi, 2008)	
	b	Management		'Moving up' in value chain		N/A
Kumar, Mudambi & Gray (2013)	a	International Business and strategy	Develops the structure of the 3 I's view (i.e. internationalisation, innovation and institutional change), drawing on examples that highlight the dynamic interaction between those factors.	Develop theory	Citation only (cited paper, Ernst & Kim, 2002)	
	b	International Business and strategy		Conceptual paper		N/A
	c	International Business and strategy				

Kumaraswamy et al. (2012)	a	International Business and strategy	How domestic supplier firms may adapt and continue to perform as market liberalisation progresses, through catch-up strategies aimed at integrating with the industry's GVC.	Catching up Smile of value creation	Quantitative: secondary data on Indian auto component firms	Parallel citation (cited paper, Mudambi, 2008)	N/A
	b	International Business and strategy					
	c	Production and operations					
	d	Accounting					
Lamin & Livanis (2013)	a	International Business and strategy	Examine the location choices of domestic and foreign firms in an emerging economy after market liberalisation.	Catch up strategies	Quantitative: secondary data	Parallel citation (cited paper, Mudambi, 2008)	N/A
	b	International Business and strategy					
Lee & Gereffi (2015)	a	Organisational studies	The purpose of this paper is to introduce the GVC approach so as to understand the relationship between MNEs and the changing patterns of global trade, investment and production, and their impact on economic and social upgrading.	GVC governance and upgrading RP firms	Conceptual paper	Core theoretical framework How GVCs can advance our understanding about MNEs and RP firms and their impact on economic and social upgrading and dispersed global production systems	Understanding the RP firms and their impact on social and economic development through the lens of GVC
	b	Sociology					
Lee & Rugman (2012)	a	Organisational studies	Examines the impact that their firm-specific advantages have on performance as and when they receive inward direct investment from foreign countries.	Firm-specific advantages and country-specific advantages Resource-based view	Quantitative: secondary data	Mention only (Use of the term 'upgrading')	N/A
	b	International Business					

(continued)

Table 16.1 (continued)

IB paper details		Integration of GVC literature in the paper				
Author/year	Authors' area	Focus	Theoretical background	Methodology	How used	Contribution to IB literature
Lei & Chen (2011)	a Management	Investigates the location choice behaviour of firms originating in newly industrialised economies (Taiwanese firms)	Ownership advantages Motives of FDI Network relationship	Quantitative: survey	Mention only (Use of the term 'original equipment manufacturer (OEM)')	N/A
	b Management	investing in emerging countries (China and Vietnam).				
Li (2010)	a Chinese business studies	Proposes a learning-based view of internationalisation for MNEs, especially for MNE latecomers as the new species of MNEs from the emerging economies.	Transaction value Unilateral and bilateral learning Alliance and cross-border learning	Conceptual paper	Parallel citation (Cited paper, Chen, 2004)	N/A
Li, Kong & Zhang (2016)	a Management	Examines how integration in GPNs has stimulated upgrading of technological capabilities among automotive firms in China.	GVC Upgrading	Quantitative: secondary data	Core theory Use of the notion of upgrading as key framework	How integration into GVCs facilitates upgrading
	b Developmental studies					
	c Chinese studies					
Lo & Hung (2015)	a Management	Analyse how the structuring of offshoring disaggregation and geographical dispersion affects firm performance.	Dynamic capabilities perspective	Quantitative: secondary data	Parallel citation (cited paper, Mudambi, 2008)	N/A
	b Management and global business					

Manning et al. (2010)	a Management b Economics and strategic management c Strategic management d Strategic management	This paper explores local and global dynamics underlying the development of knowledge services clusters.	Co-evolutionary perspective	Qualitative: case study analysis	Citation only (cited papers, Humphrey & Schmitz, 2002; Morrison, Pietrobelli & Rabellotti, 2008)	N/A		
Martinez-Noya, Garcia-Canal & Guillen (2012)	a Economics b Economics c International d International management	Investigates (i) whether choosing an R&D offshore outsourcing strategy is advisable for technological firms, and (ii) where firms are likely to outsource R&D services.	Literatures on offshoring and outsourcing	Quantitative: survey data	Parallel citation (cited paper, Mudambi, 2008)	N/A		
Mauri & de Figueiredo (2012)	a International Business b Business economics	This paper examines how the performance variability of an MNC is affected by the strategic patterns it has used to expand abroad.	Local responsiveness and global integration Strategies for internationalisation Outsourcing of value chain	Quantitative: patent data	Parallel citation (cited paper, Mudambi, 2008)	N/A		
McDermott & Corredoira (2010)	a International Business b Management and organisation	Analyses the Argentine auto parts sector to distinguish the relative impact of different types of network relationships on a firm's process and product upgrading.	Network theory Upgrading	Quantitative: secondary data	Core theory Understanding the role of network embeddedness in upgrading	Domestic suppliers at the lower end of the tier may encounter an upgrading 'glass ceiling'		

(continued)

Table 16.1 (continued)

IB paper details		Integration of GVC literature in the paper			
Author/year	Authors' area	Focus	Theoretical background	Methodology	
				How used	
Miozzo & Grimshaw (2008)	a Economics and management innovation	This paper draws on exploratory data to investigate the conditions that shape the nature of forward linkages between multinational services firms and their client firms in (middle-income) less developed countries.	Absorptive capacity GVC/GPN	Qualitative: case study of three large IT MNEs' outsourcing contracts in Argentina and Brazil	Complementing IB theory Understanding the relationships and distribution of power between MNEs and their forward linkages
	b Employment studies				
Moghaddam et al. (2014)	a Management	Evaluate the adequacy of the Dunning typology of MNE internationalisation motivations in classifying the international investment motives of EMNEs and developed country MNEs.	Dunning's Eclectic Paradigm	Qualitative: case study of 766 M&As undertaken by emerging country MNEs and 766 M&As by developed country MNEs, secondary data	Parallel citation (cited paper, Mudambi, 2008)
	b International Business		Smile of value creation		
	c History				
	d Management				
Mudambi (2008)	a International Business	Examines extent to which firm should implement vertical integration and geographical dispersion with respect to its value chain activities.	Coasian approach (organisation and control) Smile of value creation	Qualitative: case study	Citation only (cited papers, Gereffi, 1999; Ernst & Kim, 2002) Parallel citation (cited paper, Mudambi, 2008)

Pananond (2013)	a	International Business	Why and how MNEs' local subsidiaries in developing economies undertake international expansion.	Governance and upgrading in GVCs Smile of value creation	Qualitative: case study Interviews Publicly available secondary sources	Core theoretical framework Linking international expansion (outward FDI) with upgrading	Subsidiary internationalisation through the lens of upgrading in GVCs
Pananond (2015)	a	International Business	Whether the weak position of emerging market firms and their interdependent relationship with lead firms in GVCs modifies the selection of internationalisation motives.	FDI motives	Conceptual paper	Complementing IB theory Understanding the position on EMNEs in GVCs and their relationships with lead firms/MNEs (i.e. function, power) and upgrading by suppliers	FDI motives (or motives for internationalisation) of EMNEs through the lens of GVC
Pinkse & Kolk (2012)	a	Strategy, innovation and entrepreneurship	How climate change affects MNEs, focusing on the challenges they face in overcoming liabilities and filling institutional voids related to the issue.	Institutional failure Institutional embeddedness	Conceptual paper	Citation only (cited paper, Gereffi, Humphrey & Sturgeon, 2005)	N/A
Rasiah, Kimura & Oum (2016a)	a	Developmental studies	The role of host-site institutional support vis-à-vis GVC/GPN linkage experiences in driving technological upgrading in China and Southeast Asia.	Institutional change GVC governance GPN	Quantitative: questionnaire survey	Critical lens on GVC/GPN Opportunities arising from participation in GVC/GPN for emerging country firms vis-à-vis institutional support/change	The role of host-country institutional change compared to GVC participation in upgrading
	b	Economics					
	c	Economics					

(continued)

Table 16.1 (continued)

IB paper details		Integration of GVC literature in the paper				
Author/year	Authors' area	Focus	Theoretical background	Methodology	How used	Contribution to IB literature
Rasiah, Kimura & Oum (2016b)	a Developmental studies b Economics c Economics	Literature review to crucially examine the role of host-site institutional support vis-à-vis GVC/GPN linkage experiences in driving technological upgrading in China and Southeast Asia.	Industrial policy Regional production specialisation Global production sharing GVCs GPN	Conceptual paper	Critical lens on GVC/GPN Opportunities arising from participation in GVC/GPN for emerging country firms vis-à-vis institutional support/change	The role of host-country institutional change compared to GVC participation in upgrading
Rasiah, Kong & Vinanchiarachi (2011)	a Developmental studies b Science and technology for development c Economics	This study traces the transformation of Qiaotou city from a button distribution centre to a composite and advanced button manufacturing cluster accounting for 65% of world button production in 2006.	Theory of industrial clusters	Qualitative: secondary data	Mention only	N/A
Schmeisser (2013)	a Innovation and international management	This study maps and assesses the existing literature on offshoring of value chain activities and develops a framework that links offshoring with its antecedents and consequences.	Offshoring Offshoring organisation Consequences of offshoring	Conceptual: literature review of 63 articles	Mention only Use of the term 'Offshoring of value chain' instead of 'global value chain'	Presenting offshoring as a dynamic/strategic action

Schmitt & van Biesebroek (2013)	<p>a Economics</p> <p>b Economics</p>	Evaluate the relative importance of three dimensions: geographical, cultural and relational proximity in sourcing strategy.	Geographical, relational and cultural proximity	Quantitative: secondary data on 235 model-component supplier contracts in Europe	<p>Contextual description</p> <p>Context: the European auto industry</p>	Mapping the location of suppliers
Sinkovics et al. (2015)	<p>a International Business</p> <p>b International Business</p> <p>c International Business</p> <p>d Comparative analysis</p>	Provides a reconceptualisation of social value creation as social constraint alleviation by producing synergies between bodies of literature.	Internalisation and externalisation GVC/GPN governance and social upgrading Bottom of the pyramid Corporate social responsibility and human rights	Conceptual paper	<p>Critical lens on GVC/GPN</p> <p>Critical lens on social upgrading</p>	Exploring the social impact of International Business that has received more attention in GVCs
Slangen & Beugelsdijk (2010)	<p>a International Business</p> <p>b International Business</p>	Examine whether the strength of negative relationships between institutional hazards and informal cultural distance and multinational activity varies systematically with the type of foreign activity (horizontal or vertical) and the type of institutional hazard (governance or cultural).	Horizontal and vertical value-creating foreign activities Exogenous vs. endogenous hazards	Quantitative: panel data analysis, secondary data	<p>Mention only</p>	N/A

(continued)

Table 16.1 (continued)

IB paper details		Integration of GVC literature in the paper				
Author/year	Authors' area	Focus	Theoretical background	Methodology	How used	Contribution to IB literature
Sonderregger & Täube (2010)	a Economic Geography	Extends the local view of clusters and emphasises the complementary role of non-local linkages, in particular diasporas, illustrating our model employing the case of the evolution of the Bangalore IT cluster.	Cluster and local networks	Qualitative: case study analysis	Complementing IB theory How the GPN links non-local networks for tacit knowledge sharing among clusters	Understanding the role of non-local clusters linked through a GPN in knowledge transmission
	b Innovation and entrepreneurship		Cluster lifecycle Non-local inter-cluster networks Diaspora-mediated bridges	Interview Historical accounts		
Strange & Newton (2006)	a International Business	Illustrate the applicability of insights from the theory of externalisation and the GCC using the example of the global garment industry.	Externalisation of production Global Commodity Chain	Conceptual paper	Complementing IB theory Comparing and contrasting Hymer's externalisation of production with Gereffi's GCC analysis	Complementing Hymer's perspective on externalisation
	b International Business					
Suder et al. (2015)	a International relations	What are the locational patterns of trade in value-added in East Asia and how are these patterns changing over time?	Internationalisation Economic Geography and GVC	Quantitative: secondary data on input-output from Asian international input-output table 1990–2005 IDE-JETRO	Core theoretical framework An interdisciplinary approach (use of IB and GVC perspectives) to the formulation of a hypothesis on locational patterns of trade in value-added and regional integration	Understanding the interdependencies in the East Asian region by analysing the location patterns of value chains
	b International Business					
	c Developmental studies					
	d International Business					
	e Developmental studies					

Swoboda et al. (2012)	<p>a Marketing and retail</p> <p>b Accounting</p> <p>c Marketing and retailing</p> <p>d International management</p>	<p>Provides insights into how manufacturers adopt their Global Account Management (GAM) activities in response to the increasing expansion of retailers.</p> <p>Examine the various actors responsible for the recent tragedy at a clothing factory in Bangladesh.</p> <p>This paper develops a dynamic capabilities-based theory of the MNE.</p>	GAM coordination	Quantitative: survey of 172 manufacturers	Citation only (cited paper, Coe & Hess, 2005)	N/A
Taplin (2014)	a Sociology	Examine the various actors responsible for the recent tragedy at a clothing factory in Bangladesh.		Case study	Citation only (cited paper, Gereffi, 1994)	N/A
Teece (2014)	a Strategic management	This paper develops a dynamic capabilities-based theory of the MNE.	Internalisation Externalisation Dynamic capabilities-based theory	Conceptual paper	Citation only (cited paper, Gereffi, Humphrey & Sturgeon, 2005)	N/A
Vahlne & Ivarsson (2014)	<p>a Management and organisation</p> <p>b International Business</p>	<p>By developing a Globalisation Process Model, the paper theoretically argues, in contrast to much of the existing literature, that globalisation may evolve into a more general phenomenon.</p>	Globalisation/internationalisation	Quantitative: MNEs annual report	Mention only (use of the term. MNEs' value chain)	N/A
Vahlne, Ivarsson & Johanson (2011)	<p>a Management and organisation</p> <p>b International Business</p> <p>c International Business</p>	<p>Develops the Uppsala internationalisation model to focus on two aspects of the globalisation process: the configuration of the firm and its coordination processes. The paper argues the globalisation process is more difficult than often supposed, due to the need to manage complexities and uncertainties</p>	Uppsala model of internationalisation	Qualitative: case study on Volvo's heavy truck business	Citation only (cited paper, Gereffi, Humphrey & Sturgeon, 2005)	N/A

(continued)

Table 16.1 (continued)

IB paper details		Integration of GVC literature in the paper					
Author/year	Authors' area	Focus	Theoretical background	Methodology	How used	Contribution to IB literature	
Wang et al. (2012)	a	Strategy and International Business	External technology acquisition	Quantitative: secondary data on 141 Chinese indigenous manufacturing firms	Mention only (use of the term 'global value chain')	N/A	
	b	Management	Technology licensing				
	c	International Business	Investigates the impact of external technology acquisition, in particular on licensees' export performance.				
	d	Information and telecommunication					
Williamson (2015)	a	International management	Re-assess both the nature and sources of the competitive advantages which multinationals expanding from home bases in emerging economies may enjoy in the global market.	Value chain configuration Competitive advantage Cross-border M&A Innovation	Conceptual paper	Parallel citation (cited paper, Ramamurti & Singh, 2009)	N/A
Yamin (2011a)	a	International Business	The commentary points to the possible vulnerabilities of the global factory as an organisational form and links these vulnerabilities to features of the governance regime that supports the Global Factory.	Global Factory GVC Externalisation	Conceptual paper	Complementing IB theory How social efficiency is better conceptualised in GVC literatures	The importance of social efficiency in International Business that has been ignored in the Global Factory

Source: Authors' construction.

Findings

Degree of integration

In-depth analysis of the selected papers revealed that the notion of GVC/GPN had been used in six different ways in IB research, with varying levels of intensity. The majority of papers had either simply cited papers from the GVC/GPN domain or merely mentioned the terms GVC/GPN or upgrading without any citations. Another category of articles had used the GVC/GPN literature to construct their core theoretical background. The third approach to integration was identified as drawing on GVC/GPN studies to complement IB theories and frameworks. A small set of articles in our sample had performed a critical analysis of GVC/GPN concepts from different perspectives, whilst another category of papers had used the GVC/GPN frameworks to describe the context of the industry under investigation. Lastly, a number of studies had employed concepts similar to those used in the GVC/GPN literature. However, instead of referring to articles from the original body of GVC/GPN literature, they had cited IB papers offering parallel views or direct citations of original GVC/GPN publications. In the following sub-sections, we elaborate on these six broad groupings.

We have presented the nature of GVC/GPN integration into the IB literature in a two by two matrix (Figure 16.1). Four groups of IB papers have been identified based on the two dimensions discussed earlier: (i) the degree of integration (high vs. low) and (ii) the perspectives/domains in IB (MNEs vs. other actors). In addition, details regarding the number of papers in the respective groups are presented in Table 16.2.

Perspective of IB study	Conventional MNE-based perspective	<p>Core theoretical/analytical framework (2) Complementing IB theory (1) Critical analysis of GVC/GPN (1) Contextual description (0) Total papers = 4</p>	<p>Citation only (14) Mention only (6) Parallel/indirect citation (12) Total papers = 32</p>
	Other actors/stakeholder-based perspective	<p>Core theoretical/analytical framework (11) Complementing IB theory (7) Critical analysis of GVC/GPN (2) Contextual description (3) Total papers = 23</p>	<p>Citation only (7) Mention only (6) Parallel/indirect citation (7) Total papers = 20</p>
		High	Low
		Degree of integration of GVC/GPN literatures	

Figure 16.1 The nature of integration of IB and GVC/GPN literatures

Source: Authors' construction.

Table 16.2 Breakdown of groups: degree of integration and perspectives

<i>Degree of integration/ perspective of IB studies</i>	<i>Core theoretical framework</i>	<i>Complementary theory</i>	<i>Critical lens</i>	<i>Contextual description</i>	<i>Citation only</i>	<i>Mention only</i>	<i>Parallel citation</i>
Conventional MNEs	2	1	1	0	14	6	12
EMNEs	1	2	0	0	1	2	3
RP firms	2	0	0	0	0	0	0
Suppliers and linkage firms	5	3	2	0	5	2	4
Industry/cluster/emerging markets	3	2	0	1	1	0	0
Workers and consumers	0	0	0	2	0	2	0

Source: Authors' construction.

Core theoretical/analytical framework

Our analysis reveals that 13 papers use the GVC/GPN literature to build their core theoretical framework and so guide their empirical research, conceptualisation and data analysis. The degree of integration of concepts from the GVC/GPN literature is therefore the highest in this group of papers.

For instance, the notion of upgrading has been used to study emerging country firm or supplier capabilities at firm (Eng & Spickett-Jones, 2009; Khan, Lew & Sinkovics, 2015), cluster (McDermott & Corredoira, 2010), industry (Kong, Zhang & Ramu, 2016; Li, Kong & Zhang, 2016), and country level (Suder et al., 2015). Kong, Zhang and Ramu (2016) and Li, Kong and Zhang (2016) study how GVC integration has facilitated technological upgrading in the Chinese semiconductor and automotive industries respectively. Khan, Lew and Sinkovics (2015) analyse the upgrading of Pakistani automobile suppliers by exploring the extent of technology transfer received from their MNE partners within a specific relational context and governance structure. The link between different marketing capabilities and the progressive phases of upgrading has also been explored by Gereffi and Frederick (2010) and Eng and Spickett-Jones (2009). The data analysis further shows that Giuliani, Pietrobelli and Rabellotti (2005) and Humphrey and Schmitz (2002) are the two most widely cited GVC papers in IB with regards to upgrading.

The governance structure and the organisation of the value chain activities of EMNEs (Pananond, 2013) and RP firms (Azmeah & Nadvi, 2014; Lee & Gereffi, 2015; Yamin & Sinkovics, 2015) are other areas where the GVC literature has been utilised. For instance, drawing upon the concepts of GVC governance (Gereffi, Humphrey & Sturgeon, 2005) and GVC structural organisation (Bair & Gereffi, 2003), Azmeah and Nadvi (2014) explore how RP firms manage complex international production linkages and ensure Jordanian firms' incorporation into the global garment industry. Relatedly, Pananond (2013) studies the internationalisation strategies of EMNEs through a GVC lens, using Gereffi et al.'s (2005) governance and Humphrey and Schmitz's (2002) upgrading frameworks.

Whilst theoretical integration of GVC/GPN concepts has mostly occurred via the study of suppliers, EMNEs or RP EMNEs, Giroud and Mirza (2015) provide an exception to this trend. In a recent paper, they analyse the nature of internationalisation activities carried out by traditional Western MNEs, and highlight observable shifts in their modes of governance. Another exception is Haworth (2013), who examines the human resource development strategies of a Western MNE through the lens of GVC organisation.

Complementing IB theory

Eight papers use ideas from the GVC/GPN literature in conjunction with theories from IB or other management disciplines. In different ways, these papers adopt GVC/GPN concepts to complement other theories and strengthen their overarching research framework.

Internationalisation motives and EMNE performance have been studied in the context of GVCs whilst drawing upon traditional IB theories on internationalisation (Banalieva & Sarathy, 2011; Pananond, 2015). For example, Banalieva and Sarathy (2011) build on Williamson's (1985) transaction cost economics and Contractor's (2007) multistage general theory of internationalisation to examine the internationalisation performance of electronic versus non-electronic EMNEs. At the same time, the authors utilise Gereffi's (1999) work to locate their analysis in the context of new trade liberalisation and triangular manufacturing, thereby strengthening their overall research framework. The internationalisation motives of EMNEs are also explored by Pananond (2015) through the lens of Dunning's (1993) FDI motives framework, taking into account the position of those EMNEs in the wider GVC, and particularly their relationship with the lead firms.

Similarly, the notion of upgrading has been used by a number of studies in conjunction with other theories such as network-based perspectives, institutional theory and comparative institutional analysis. For instance, McDermott and Corredoira (2010) adopt a network-based perspective to highlight the relative impacts of different types of network relationships on upgrading in the Argentine auto parts cluster. Corredoira and McDermott (2014) examine upgrading in the same sector, adopting an organisational and institutional network-based perspective. The authors find that local firms' upgrading depends largely on support received from their host institutional networks, particularly for firms suffering from resource scarcity and lacking technological capabilities.

The GVC/GPN framework, in conjunction with other relevant concepts/theories (e.g. absorptive capacity, the diasporas effect and Porter's Diamond model), has been used to explain the nature of knowledge sharing among local and non-local linkage partners in GPNs (Miozzo & Grimshaw, 2008; Sonderegger & Täube, 2010), and to explore linkages between the competitive advantage of clusters and their regional integration (Gupta & Subramanian, 2008). For instance, Sonderegger and Täube (2010) study the evolution of the Bangalore IT industry using cluster life-cycle theory and the mediating effect of diasporas. The paper explores how the IT industry has linked with other foreign resourceful firms via GVCs/GPNs, and how these linkages have facilitated knowledge transfer within local IT clusters. Gupta and Subramanian (2008) draw upon Porter's Diamond, Krugman's Economic Geography and European regional innovation system perspectives to identify generic strategies and bases for competitive advantage in regional clusters. Significantly, the authors connect their findings with GVC/GPN trends to explain changes in competitive advantage over the period under study.

Critical analysis of GVC/GPN

In our sample, three papers critically analyse the GVC/GPN frameworks. By identifying gaps in the GVC/GPN literature, the articles highlight how IB research can contribute to addressing those gaps through theory development and alternative perspectives. At the same time, they make explicit recommendations of how GVC/GPN studies can benefit from integrating IB perspectives.

In two recent papers, Rasiah, Kimura and Oum (2016a, 2016b) examine the literature on industrial policy, regional production specialisation, global production sharing, GVCs and

GPNs. In doing so, they argue that the GVC/GPN literature undermines the role of host-site institutional support in facilitating industrial upgrading, which has proved to be vital for the technological capability development of the Chinese and South East Asian automotive, clothing and semiconductor industries. In fact, the authors assert that only sites with effective industrial policies and support systems have successfully moved up the value chain.

Similarly, Sinkovics et al. (2015) provide a review of GVC/GPN and other relevant literatures situated at the business–society interface. On the one hand, they highlight the GVC/GPN framework’s ability to simultaneously focus on a wider range of issues than IB theories do. For example, social/economic upgrading and multiple actors such as corporations, governments, civil society organisations, labour unions and consumers who interactively shape the business society interface are all dimensions incorporated within the GVC/GPN frameworks. On the other hand, the authors emphasise the necessity of according attention to a wider range of human rights and development issues that exist beyond employment relationships, as identified in other bodies of literature such as that on corporate social responsibility.

Contextual description

Three papers use GVC/GPN frameworks to describe production arrangements and inter-relationships between lead firms, suppliers and other network partners. However, these papers have not directly adopted GVC/GPN concepts to construct their research frameworks, meaning the integration has occurred primarily at a descriptive rather than theoretical level. For instance, Cairns (2014) critically analyses the developmental potential for workers at the bottom of the pyramid and describes the changing context for compliance by referring to the GVC literature (e.g. Nadvi, 2008; Lund-Thomsen et al., 2012;). Funk et al.’s (2010) study of consumer animosity uses GVC concepts to map out partial production shifts following GVC integration. Schmitt and van Biesebroeck (2013) draw on GVC mapping to describe the organisation of different value chain actors comprising the European auto industry, before analysing the relative importance of geographical, cultural and relational proximity in sourcing strategies.

Citation and/or mention only

The analysis identified 21 papers that only cite GVC/GPN papers, without integrating concepts at a theoretical or analytical level (Beugelsdijk, Pedersen & Petersen, 2009; Jensen, 2009; Manning et al., 2010; Vahlne, Ivarsson & Johanson, 2011; Eapen, 2012; Baaij & Slangen, 2013; Contractor, Kumar & Dhanaraj, 2015). The use of GVC/GPN concepts in these papers is unsystematic and there is no attempt to make a theoretical contribution to the IB literature. In addition to these 21 papers, we identified 12 papers that only mentioned the terms GVC, GPN or upgrading, without actually citing any papers from the original GVC/GPN literature.

Further, in line with Johns et al. (2015), we found that Gereffi, Humphrey and Sturgeon’s (2005) paper on GVC governance in the *Review of International Political Economy* was the most widely cited GVC publication. IB papers studying upgrading in firm, industry or cluster contexts mostly cited and referred to Humphrey and Schmitz (2002) and Giuliani, Pietrobelli and Rabellotti (2005). With regards to GPN papers, Ernst and Kim’s (2002) paper mostly received attention within studies focusing on knowledge sharing and/or transfer among network or linkage partners. Coe, Dicken and Hess (2008) and Coe and Hess (2005) were also cited in two papers.

Parallel/indirect citation

The analysis furthermore yielded 20 papers that used notions of GVC/GPN for research framing and core theory, but without directly citing any GVC/GPN-related articles. Instead, these papers cited IB publications offering parallel theories/concepts, in particular the work of Ram Mudambi. For instance, Mudambi's (2008) 'smile of value creation' has been widely used to conceptualise structural GVC organisation in IB research. More broadly, Mudambi's (2008) work has influenced IB papers examining internationalisation strategies (e.g. Beugelsdijk, Pedersen & Petersen, 2009; D'Agostino & Santangelo, 2012; Buckley, 2014), entry modes and governance strategies (e.g. Martinez-Noya, Garcia-Canal & Guillen, 2012), and FDI motives of traditional MNEs (e.g. Moghaddam et al., 2014). These topics have also been studied by means of drawing upon another influential IB scholar, Peter Buckley. His conceptualisation of the 'Global Factory' and ideas around fine slicing of value chains, which contain considerable parallels with GVC/GPN research (e.g. Buckley, 2014; Gooris & Peeters, 2014), have been widely received. Furthermore, the internalisation strategies of EMNEs have been studied by means of drawing upon Mathew's (2006) "Linkage, Learning and Leverage" model, albeit with some reference to the broader GPN context (e.g. Buckley, Forsans & Munjal, 2012).

In several other papers, supplier or EMNE upgrading has been studied by referral to Mudambi (2008) and Kumaraswamy et al. (2012). The terms 'catching up' (e.g. Lamin & Livanis, 2013) or 'moving up' (e.g. Kothari, Kotabe & Murphy, 2013) stand for something similar to or the same as 'upgrading' in GVC/GPN studies. In a number of papers, the term 'upgrading' appears without any reference to the original GVC/GPN literature. Lastly, the OEM-ODM-OBM differentiation is adopted by Li (2010) and Hatani and McGaughey (2013). Interestingly, those authors do not directly cite original GVC sources. Instead, they refer to Chen (2004) who, on the other hand, incorporates direct references to the GVC literature in his work.

The IB domains most receptive to GVC/GPN integration

Our analysis further reveals that the degree of conceptual GVC/GPN integration into the IB literature has been higher in studies incorporating a broader range of GVC/GPN actors into their analysis, compared to those focused predominantly on conventional MNEs. In total, 23 papers focusing on a broader range of actors adopt GVC/GPN concepts at a theoretical level or for analytical purposes. More specifically, 3 of those papers focus on internationalisation strategies and motives of EMNEs, 2 on the role of RP firms in network governance, 16 on firm/industry/cluster upgrading, and 2 on other stakeholders such as workers and consumers.

Contrastingly, only four papers studying conventional MNEs use the notions of GVC/GPN at a theoretical or analytical level. It can therefore be assumed that the degree of GVC/GPN conceptual integration into IB studies has been significantly lower during the examination of conventional MNEs than other GVC/GPN actors. At the same time, parallel/indirect citations were found to be a more common practice in studies focusing on conventional MNEs.

These findings demonstrate that IB studies adopting traditional MNE-focused perspectives tend to limit their theoretical/analytical lenses to the boundaries of IB and are less receptive to inter-disciplinary insights. Although the number of GVC/GPN citations and terminological references were higher in this group of papers, this was primarily strategic or descriptive exercise, as opposed to deeper theoretical integration or for analytical purposes.

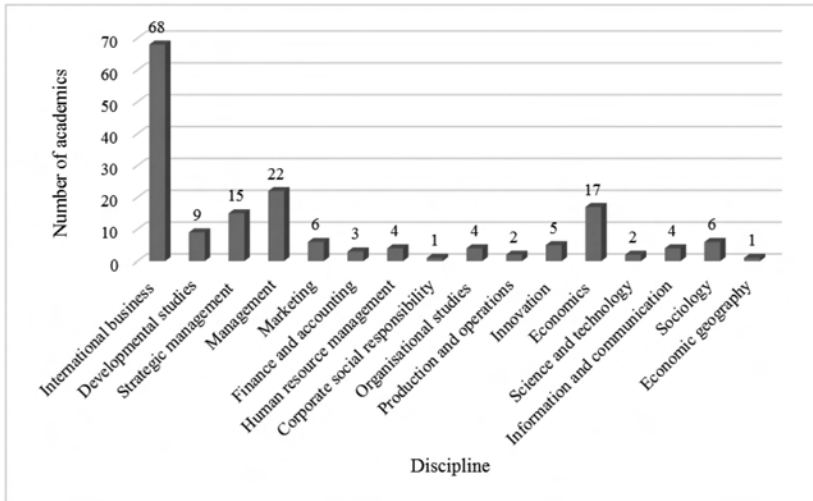


Figure 16.2 Authors' number and disciplinary areas

Source: Authors' construction.

The role of authors' disciplinary origin in the integration process

The analysis of author profiles revealed that the majority (60%) of papers in our sample had been written by non-IB scholars with the following disciplinary backgrounds: development studies (5%), strategic management (9%), management (13%), marketing (4%), finance and accounting (2%), human resource management (2%), corporate social responsibility (1%), organisational studies (2%), production and operations (1%), innovation (3%), economics (10%), science and technology (1%), information and communication (2%), sociology (4%) and Economic Geography (1%). Only 68 out of the 169 authors are IB scholars (40%) (Figure 16.2). The results, therefore, show that the integration of GVC/GPN thinking into papers published in IB journals is to a large extent driven by non-IB scholars, particularly those from the fields of strategic management, general management, economics and development.

Conclusion

The present chapter set out to analyse the nature and degree of GVC/GPN conceptual integration into IB research based on a systematic bibliographic analysis of papers published since the mid-2000s in IB-related journals. This endeavour contributes to a better understanding of which particular perspective in IB research (MNE-based vs. stakeholder-based) has been most receptive to ideas from the GVC/GPN literature so far, and to what extent.

Overall, the analysis shows a relatively low degree of GVC/GPN integration at a theoretical or analytical level, with the majority of IB papers restricting usage to citation or mention only. More specifically, the level of integration has been minimal in papers studying conventional MNEs, with a relatively higher degree of GVC/GPN conceptual integration for studies incorporating a broader range of GVC/GPN actors. Another notable trend is the tendency towards parallel citations in studies focusing on conventional MNEs, reflecting conservatism among this group of studies in welcoming ideas from other disciplines.

The relatively greater degree of GVC/GPN integration in IB studies adopting a stakeholder-based perspective underlines the potential theoretical contribution of GVC/GPN research to the study of stakeholders involved in and affected by, MNE-driven GPNs (Dicken et al., 2001; de Marchi, di Maria & Ponte, 2014). This finding also reflects a growing orientation in IB research towards studying a broader range of GVC/GPN actors beyond Western MNEs, actors that have been relatively under researched so far (cf. Cairns & Sliwa, 2008). As we have demonstrated, in some cases this emerging IB agenda has been undertaken by drawing upon the notion of GVCs/GPNs. Whilst it is important to continue integrating GVC/GPN concepts in stakeholder-based IB studies, future IB research can benefit significantly from integrating elements from GVC/GPN analysis into the study of conventional MNEs. In particular, the GVC/GPN frameworks can contribute to the study of MNEs' internationalisation paths in a networked economy, MNEs' strategies for governing their production networks, and an increased understanding of power and knowledge dynamics between MNEs and other GVC/GPN actors (de Marchi, di Maria & Ponte, 2014).

The finding that the majority of GVC/GPN-related papers published in IB journals have been written by non-IB scholars raises the question of how receptive IB scholars really are to ideas from the GVC/GPN literature. Moreover, the results show that only a small percentage (11%) of IB academics have collaborated with authors from other areas. This triggers a further question about the barriers to the integration of GVC/GPN thinking. Future empirical research may wish to investigate these two questions. Furthermore, the specific identification of those IB theories most accommodating of GVC/GPN concepts was beyond the scope of this chapter. Building on our investigation, future studies may therefore wish to categorise IB papers based on their theoretical backgrounds, and analyse the degree of GVC/GPN integration along these lines.

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