

孟广林◎主编



西方历史 文献选读

(当代卷)

**Selected Readings of
Historical Documents in the West
(Contemporary Times)**

许海云 / 选编
金永丽



社会科学文献出版社
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图书在版编目(CIP)数据

西方历史文献选读. 当代卷 / 孟广林主编; 许海云,
金永丽选编. -- 北京: 社会科学文献出版社, 2016.7

ISBN 978-7-5097-9063-2

I. ①西… II. ①孟… ②许… ③金… III. ①西方国
家-历史-文献-选编-现代 IV. ①K106

中国版本图书馆CIP数据核字(2016)第086543号

西方历史文献选读(当代卷)

主 编 / 孟广林
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出 版 人 / 谢寿光
项目统筹 / 宋月华 张晓莉
责任编辑 / 孙以年 李邦文

出 版 / 社会科学文献出版社·人文分社(010) 59367215
地址: 北京市北三环中路甲29号院华龙大厦 邮编: 100029
网址: www.ssap.com.cn

发 行 / 市场营销中心(010) 59367081 59367018
印 装 / 三河市尚艺印装有限公司

规 格 / 开 本: 787mm×1092mm 1/16
印 张: 33.25 字 数: 508千字
版 次 / 2016年7月第1版 2016年7月第1次印刷
书 号 / ISBN 978-7-5097-9063-2
定 价 / 98.00元



本书如有印装质量问题, 请与读者服务中心(010-59367028)联系

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前 言

五卷本《西方历史文献选读》(*Selected Readings of Historical Documents in the West*),由中国人民大学历史学院世界史专业教师团队历时5年集体攻关完成。作为“九八五工程”子课题项目的成果,这套丛书共分“古代卷”“中世纪卷”“近代卷”“现代卷”“当代卷”,精心遴选西方重要的历史文献,力图多层次、全方位地显现西方各个历史时期在经济、政治、军事、思想文化、社会生活诸方面的基本状况与特征,从中透显出西方历史的演进脉络、流变趋向乃至发展规律。这些篇目,或对文献全文收录,或截取其中核心部分,在文献后编者运用马克思主义唯物史观依据相关历史背景对之作一解读,以期帮助读者阅读、理解。此外,还开列了一些与文献所反映的问题相关的研究著作,供有兴趣的读者延伸阅读,作进一步的深入探究。

我们之所以要设计这一课题并尽力完成,其主旨在于为世界史学科建设搭建一个基础性的学术平台,进一步提升本科生与研究生教育的教学水平。

众所周知,历史文献资料是历史研究的基础与出发点,同时也是史学人才培养的重要素材。改革开放前,由于语言、信息乃至经费等方面的限制,我国史学界在选编历史文献参考资料上基本采用了外文中译的方式,老一辈的史学家为此呕心沥血,成果凸显。周一良、吴于廑主编的《世界通史资料选辑》,齐思和、刘启戈主编选译的《中世纪初期的西欧》《中世纪中期的西欧》《中世纪晚期的西欧》,齐世荣主编的《当代世界史资料选辑》以及诸多的国别史、断代史乃至编年史、历史名著的编译等,涉及各

个历史时期各主要地区、国家的经济、政治、军事、思想文化、社会生活等各个方面的原始资料，对于史学人才的培养发挥了十分重要的作用。自改革开放以来，随着国际学术交流的日益扩大和学术研究的不断拓展，依赖于汉译历史资料进行教学逐渐显示出其明显的局限性，这不仅使学生难以熟悉相关的各种名称、典故与术语，而且对相关历史现象的理解也有着诸多的文化隔膜感。为了克服这一困境，一些大学专门编选专业外语教材并设置相关的课程，一些教师径直开列外文书目让学生研习。这些举措虽然收到了一定效果，但不足以形成良好的长效机制。专业外语教材的历史资料编选常常显示出明显的研究热点的偏向性与历史时空的跳跃性，难以明晰地彰显长时段的历史过程与纷繁复杂的历史现象，很难与世界通史的基础性课程有机整合起来。同时，径直给学生（特别是本科生）开列外文参考书目在当下也难以收效，主要缘由是国内大多数高校的外文藏书数量十分有限，难以满足学生的借阅需求。在此情况下，的确应该结合基础性课程系统地编选一整套外文历史文献资料，来强化相关的教学需要。

我们的历史文献编选之所以聚焦在西方，主要有两个缘由。其一是团队力量有限。要编选整个世界通史课程的基础性文献，涉及众多的国家、地区，而我们团队又几乎都从事西方历史的教学与研究，要大跨度地涉猎非西方的历史文献资料，不仅精力有限，而且学力不逮。而更重要的另一个考虑，则是旨在引导学生更多地关注西方历史。这些年来，中国的世界史取得显著的发展，但客观地说，西方历史是国内学者多为关注的学术领域。一段时间以来，国内史学界曾大力提倡世界史研究领域的均衡性，呼吁多关注非西方的国家和地区的历史，有的甚至将之提升到打破“西方中心”论之学旨高度。为了推动这一理路，一些高校教材在编写时，大幅度地压缩西方历史的内容，扩充非西方的国家和地区的历史内容。应该说，这类主张的出发点是好的，无可非议的。但应该指出，在现阶段乃至今后很长的一段时期，片面地强调世界史教学与研究的均衡性也是欠妥当的。西方历史之所以为国内大多数学人所看重，自然有着深层次的思想根源，与近代西方的崛起及其对世界的巨大影响、与中华民族近代的命运与探索、与当代中国社会主义现代化建设进程的曲折和拓展密切关联。可以

毫不夸张地说,从关照中国的历史、现实与未来予以考量,西方无疑是一个最重要的历史参照坐标。不可否认,西方史学界的“西方中心”论的确包含着西方人“种族优越”论、“殖民征服合理”论的社会达尔文主义的谬论,但近代以来,对非西方国家、地区的传统社会而言,西方在世界历史发展潮流中的引领地位乃是客观的历史存在,也就是说,西方人借助资本主义工业化的张力,推动了世界各个地区的一体化。西方人的殖民主义侵略,客观上也刺激了非西方地区与国家告别传统、迈向现代的历史进程。直到十月革命发生后,特别是中国革命胜利后和中国改革开放所逐渐建构的中国社会主义现代化模式初步显现后,“西方中心”论才逐渐失去了“经验事实”的支撑。作为东方大国崛起的中国的历史与现实,必须更多地要在与西方历史的对称性参照中获得自我身份的理解、获得历史经验教训的借鉴。任意冲淡、压缩西方历史的做法,无疑是不明智的、非历史主义的。如果学者不去重点研究它,学生不去重点学习它,对它知之不多乃至知之甚少,又如何去突破“西方中心”论?事实上,当下史学界对西方历史的一些观点,仍旧深陷在西方史学界的传统诠释模式中而不能自拔,诸多学生对西方历史的不少理解仍然是西方学者曾经曲解乃至任意打扮的东西。在此情况下,重点研习西方历史的意义不言而喻。

正是基于以上缘由,我们编选了这套西方历史文献集。其中既有大量的原始资料(Primary Sources),也有不少当代权威史家整理、编译的第一手资料(Printed Primary Sources)。我们深知,研究西方历史,参考诸多语言种类的原始文献资料极其重要。然而,在当下的世界史教学中,由于学科起步较晚,语言训练欠缺,我们只能依照实际现状选编适用性普遍的英文历史文献来进行教学。“不积跬步,无以至千里。”在国内尚无这类书籍的情况下,我们相信这套书的出版,将填补我国世界史专业教学教材方面存在的重要空白,大大提升世界史专业本科生乃至研究生层次基础课程教学的质量,有力促进我国世界史学科的建设。

孟广林

2015年5月于中国人民大学

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Charter of the United Nations *

(October, 1945)

Preamble

WE THE PEOPLES OF THE UNITED NATIONS DETERMINED

To save succeeding generations from the scourge of war, which twice in our lifetime has brought untold sorrow to mankind, and to reaffirm faith in fundamental human rights, in the dignity and worth of the human person, in the equal rights of men and women and of nations large and small, and to establish conditions under which justice and respect for the obligations arising from treaties and other sources of international law can be maintained, and to promote social progress and better standards of life in larger freedom,

AND FOR THESE ENDS

To practice tolerance and live together in peace with one another as good neighbours, and to unite our strength to maintain international peace and security, and to ensure, by the acceptance of principles and the institution of methods, that armed force shall not be used, save in the common interest, and to employ international machinery for the promotion of the economic and social advancement of all peoples,

* 《联合国宪章》节选。

HAVE RESOLVED TO COMBINE OUR EFFORTS TO ACCOMPLISH THESE AIMS

Accordingly, our respective Governments, through representatives assembled in the city of San Francisco, who have exhibited their full powers found to be in good and due form, have agreed to the present Charter of the United Nations and do hereby establish an international organization to be known as the United Nations.

CHAPTER I PURPOSES AND PRINCIPLES

Article 1

The Purposes of the United Nations are:

1. To maintain international peace and security, and to that end: to take effective collective measures for the prevention and removal of threats to the peace, and for the suppression of acts of aggression or other breaches of the peace, and to bring about by peaceful means, and in conformity with the principles of justice and international law, adjustment or settlement of international disputes or situations which might lead to a breach of the peace;

2. To develop friendly relations among nations based on respect for the principle of equal rights and self-determination of peoples, and to take other appropriate measures to strengthen universal peace;

3. To achieve international co-operation in solving international problems of an economic, social, cultural, or humanitarian character, and in promoting and encouraging respect for human rights and for fundamental freedoms for all without distinction as to race, sex, language, or religion; and

4. To be a centre for harmonizing the actions of nations in the attainment of these common ends.

Article 2

The Organization and its Members, in pursuit of the Purposes stated in Article 1,

shall act in accordance with the following Principles.

1. The Organization is based on the principle of the sovereign equality of all its Members.

2. All Members, in order to ensure to all of them the rights and benefits resulting from membership, shall fulfill in good faith the obligations assumed by them in accordance with the present Charter.

3. All Members shall settle their international disputes by peaceful means in such a manner that international peace and security, and justice, are not endangered.

4. All Members shall refrain in their international relations from the threat or use of force against the territorial integrity or political independence of any state, or in any other manner inconsistent with the Purposes of the United Nations.

5. All Members shall give the United Nations every assistance in any action it takes in accordance with the present Charter, and shall refrain from giving assistance to any state against which the United Nations is taking preventive or enforcement action.

6. The Organization shall ensure that states which are not Members of the United Nations act in accordance with these Principles so far as may be necessary for the maintenance of international peace and security.

7. Nothing contained in the present Charter shall authorize the United Nations to intervene in matters which are essentially within the domestic jurisdiction of any state or shall require the Members to submit such matters to settlement under the present Charter; but this principle shall not prejudice the application of enforcement measures under Chapter VII .

CHAPTER II MEMBERSHIP

Article 3

The original Members of the United Nations shall be the states which, having

participated in the United Nations Conference on International Organization at San Francisco, or having previously signed the Declaration by United Nations of 1 January 1942, sign the present Charter and ratify it in accordance with Article 110.

Article 4

1. Membership in the United Nations is open to all other peace-loving states which accept the obligations contained in the present Charter and, in the judgment of the Organization, are able and willing to carry out these obligations.

2. The admission of any such state to membership in the United Nations will be effected by a decision of the General Assembly upon the recommendation of the Security Council.

Article 5

A Member of the United Nations against which preventive or enforcement action has been taken by the Security Council may be suspended from the exercise of the rights and privileges of membership by the General Assembly upon the recommendation of the Security Council. The exercise of these rights and privileges may be restored by the Security Council.

Article 6

A Member of the United Nations which has persistently violated the Principles contained in the present Charter may be expelled from the Organization by the General Assembly upon the recommendation of the Security Council.

CHAPTER III ORGANS

Article 7

1. There are established as the principal organs of the United Nations: a General Assembly, a Security Council, an Economic and Social Council, a Trusteeship Council, an International Court of Justice, and a Secretariat.

2. Such subsidiary organs as may be found necessary may be established in accordance with the present Charter.

Article 8

The United Nations shall place no restrictions on the eligibility of men and women to participate in any capacity and under conditions of equality in its principal and subsidiary organs.

CHAPTER IV THE GENERAL ASSEMBLY COMPOSITION

Article 9

1. The General Assembly shall consist of all the Members of the United Nations.
2. Each Member shall have not more than five representatives in the General Assembly.

FUNCTIONS AND POWERS

Article 10

The General Assembly may discuss any questions or any matters within the scope of the present Charter or relating to the powers and functions of any organs provided for in the present Charter, and, except as provided in Article 12, may make recommendations to the Members of the United Nations or to the Security Council or to both on any such questions or matters.

Article 11

1. The General Assembly may consider the general principles of co-operation in the maintenance of international peace and security, including the principles governing disarmament and the regulation of armaments, and may make recommendations with regard to such principles to the Members or to the Security Council or to both.
2. The General Assembly may discuss any questions relating to the maintenance of international peace and security brought before it by any Member of the United Nations, or by the Security Council, or by a state which is not a Member of the United Nations in accordance with Article 35, paragraph 2, and, except as provided in Article 12, may make recommendations with regard

to any such questions to the state or states concerned or to the Security Council or to both. Any such question on which action is necessary shall be referred to the Security Council by the General Assembly either before or after discussion.

3. The General Assembly may call the attention of the Security Council to situations which are likely to endanger international peace and security.

4. The powers of the General Assembly set forth in this Article shall not limit the general scope of Article 10.

Article 12

1. While the Security Council is exercising in respect of any dispute or situation the functions assigned to it in the present Charter, the General Assembly shall not make any recommendation with regard to that dispute or situation unless the Security Council so requests.

2. The Secretary-General, with the consent of the Security Council, shall notify the General Assembly at each session of any matters relative to the maintenance of international peace and security which are being dealt with by the Security Council and shall similarly notify the General Assembly, or the Members of the United Nations if the General Assembly is not in session, immediately the Security Council ceases to deal with such matters.

Article 13

1. The General Assembly shall initiate studies and make recommendations for the purpose of:

a. promoting international co-operation in the political field and encouraging the progressive development of international law and its codification;

b. promoting international co-operation in the economic, social, cultural, educational, and health fields, and assisting in the realization of human rights and fundamental freedoms for all without distinction as to race, sex, language, or religion.

2. The further responsibilities, functions and powers of the General Assembly with respect to matters mentioned in paragraph 1 (b) above are set forth in

Chapters IX and X .

Article 14

Subject to the provisions of Article 12, the General Assembly may recommend measures for the peaceful adjustment of any situation, regardless of origin, which it deems likely to impair the general welfare or friendly relations among nations, including situations resulting from a violation of the provisions of the present Charter setting forth the Purposes and Principles of the United Nations.

Article 15

1. The General Assembly shall receive and consider annual and special reports from the Security Council; these reports shall include an account of the measures that the Security Council has decided upon or taken to maintain international peace and security.

2. The General Assembly shall receive and consider reports from the other organs of the United Nations.

Article 16

The General Assembly shall perform such functions with respect to the international trusteeship system as are assigned to it under Chapters XII and XIII, including the approval of the trusteeship agreements for areas not designated as strategic.

Article 17

1. The General Assembly shall consider and approve the budget of the Organization.

2. The expenses of the Organization shall be borne by the Members as apportioned by the General Assembly.

3. The General Assembly shall consider and approve any financial and budgetary arrangements with specialized agencies referred to in Article 57 and shall examine the administrative budgets of such specialized agencies with a view to making recommendations to the agencies concerned.

VOTING

Article 18

1. Each member of the General Assembly shall have one vote.
2. Decisions of the General Assembly on important questions shall be made by a two-thirds majority of the members present and voting. These questions shall include: recommendations with respect to the maintenance of international peace and security, the election of the non-permanent members of the Security Council, the election of the members of the Economic and Social Council, the election of members of the Trusteeship Council in accordance with paragraph 1 (c) of Article 86, the admission of new Members to the United Nations, the suspension of the rights and privileges of membership, the expulsion of Members, questions relating to the operation of the trusteeship system, and budgetary questions.
3. Decisions on other questions, including the determination of additional categories of questions to be decided by a two-thirds majority, shall be made by a majority of the members present and voting.

Article 19

A Member of the United Nations which is in arrears in the payment of its financial contributions to the Organization shall have no vote in the General Assembly if the amount of its arrears equals or exceeds the amount of the contributions due from it for the preceding two full years. The General Assembly may, nevertheless, permit such a Member to vote if it is satisfied that the failure to pay is due to conditions beyond the control of the Member.

PROCEDURE

Article 20

The General Assembly shall meet in regular annual sessions and in such special sessions as occasion may require. Special sessions shall be convoked by the Secretary-General at the request of the Security Council or of a majority of the