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# 商业伦理

## 概念和案例

第 **5** 版

Manuel G. Velasquez / 著



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**Business  
Ethics**  
Concepts and Cases



Prentice  
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# Business Ethics

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北京大学光华管理学院秉承北大悠久的人文传统、深邃的学术思想和深厚的文化底蕴,经过多年努力,目前已经站在中国经济发展与企业管理研究的前列,以向社会提供具有国际水准的管理教育为己任,并致力于帮助国有企业、混合所有制企业和民营企业实现经营管理的现代化,以适应经济全球化趋势。

光华 MBA 项目旨在为那些有才华的学员提供国际水准的管理教育,为工商界培养熟悉现代管理理念、原理和技巧的高级经营管理人才,使我们的 MBA 项目成为企业发展致富之源,为学员创造迅速成长和充分发挥优势的条件和机会。

为了适应现代人才需求模式和建立中国的一流商学院,北京大学光华管理学院正在推出国际 MBA“双语双学位”培养方案;同时,为了配合北大 MBA 教育工作的展开,光华管理学院与北大出版社联合推出本套《当代全美 MBA 经典教材书系(英文原版)》,并向国内各兄弟院校及工商界人士推荐本套丛书。相信我们这些尝试将会得到社会的支持。而社会对我们的支持,一定会使光华 MBA 项目越办越好,越办越有特色。

北京大学光华管理学院院长

陈以宁

## 出版者序言

2001年12月10日中国加入了世界贸易组织,从此,中国将进一步加大与世界各国的政治、经济、文化各方面的交流和合作,这一切都注定中国将在未来世界经济发展中书写重要的一笔。

然而,中国经济的发展正面临着前所未有的人才考验,在许多领域都面临着人才匮乏的现象,特别是了解国际贸易规则、能够适应国际竞争需要的国际管理人才,更是中国在未来国际竞争中所必需的人才。因此,制定和实施人才战略,培养并造就大批优秀人才,是我们在新一轮国际竞争中赢得主动的关键。

工商管理硕士(MBA),1910年首创于美国哈佛大学,随后MBA历经百年风雨不断完善,取得了令世人瞩目的成绩。如今,美国MBA教育已经为世界企业界所熟知,受到社会的广泛承认和高度评价。中国的MBA教育虽起步较晚,但在过去10年里,中国的MBA教育事业发展非常迅速,也取得了相当显著的成绩。现在国内已经有50多所高等院校可以授予MBA学位,为社会培养了3000多名MBA毕业生,并有在读学员2万多人。

目前,国内的MBA教育市场呈现一片繁荣景象,但繁荣的背后却隐藏着种种亟待解决的问题。其中很大一部分问题的成因是因为目前我国高校使用的教材内容陈旧,与国外名校的名牌教材差距较大,在教学内容、体系上也缺乏与一流大学的沟通。为适应经济全球化,国家教育管理部门曾要求各高校大力推广使用外语讲授公共课和专业课,特别是在我国加入WTO后急需的上百万人才中,对MBA人员的需求更是占1/3之多,所以,大力开展双语教学,适当引进和借鉴国外名牌大学的原版教材,是加快中国MBA教育步伐,使之走向国际化的一条捷径。

目前,国内市场上国外引进版教材也是新旧好坏参差不齐,这就需要读者进行仔细的甄别。对于国外原版教材的使用,在这里我们要提几点看法。国外每年出版的教材多达几万种,如果不了解国外的教材市场,不了解国外原版教材的品质就可能找不到真正适合教学和学习的好的教材。对于不太了解外版教材的国内读者来说,选择教材要把握以下几点,即:选择国外最新出版的书;选择名校、名作者的书;选择再版多次并且非常流行的书。综合以上几点来看,目前国内市场上真正出新、出好、出精的MBA教材还是不多的。

北京大学出版社推出的《当代全美MBA经典教材书系(英文原版)》弥补了国内MBA教材市场的缺憾,给国内MBA教材市场注入了一股新鲜的血液。全套丛书共由22本书组成,覆盖了北京大学MBA的全部主修课程,包括:经济学、管理学、营销学、战略管理、管理信息系统、运作管理、人力资源管理、商务沟通、国际金融、金融管理、决策分析、货币银行学、会计学等。另外在十几门主课的基础上又增加了几门高级选修课程,包括:国际会计学、组织行为学、投资学、商务学、财务报表解析、管理会计、管理沟通、商业伦理学、企业家精神等。

本套丛书的筛选大体上本着以上所提到的几点原则,即,(1)出“新”。克服以往教材知识陈旧、落后的弊端,大部分教材的出版年限都选择在2002年,与国外原版书同步出版。(2)出“好”。本套丛书收入了美国哈佛大学、斯坦福大学、麻省理工学院等著名院校所采用的教材,如:《管理学》、《营销管理》、《管理信息系统》、《管理人力资源》、《财务会计》、《管理会计》、《面向管理的数量分析》等;本套丛书收入著名学术界宗师包括斯蒂芬·罗宾斯(《管理学基础》)、菲利

普·科特勒(《营销管理架构》)、查尔斯·亨格瑞(《财务会计》)、威廉·鲍莫尔(《经济学:理论、方针和政策》)等人的学术巨著。(3)出“精”。大多数教材都是再版多次,经过不断的修改和完善而成的,如:再版5次的《卓越的商务沟通》、《现代投资理论》、《商业伦理:概念和案例》等;再版6次的《货币、银行和金融市场经济学》、《商务学》、《财务报表解析》等;再版7次的《面向管理的数量分析》等;再版8次的《经济学:理论、方针和政策》、《财务会计》、《管理信息系统》等;甚至还有再版12次的《金融管理与政策》、《管理会计》。本丛书中每一本书的选择都依据该书旧的版本,或作者过去同类书籍的销售情况,选择居于该领域销售排行榜首位的教材。

本套《当代全美 MBA 经典教材书系(英文原版)》集合了美国经济学界和管理学界各个学科领域专家的权威巨著,该丛书经过北京大学光华管理学院及其他著名高校的知名学者的精心选编,包括了大量精深的理论指导和丰富的教学案例,真正称得上是一套优中选精的丛书。

### 致谢

本套教材是我社与国外一流专业出版公司合作出版的,是从大量外版教材中选出的最优秀的一部分。在选书的过程中我们得到了很多专家学者的支持和帮助,可以说每一本书都经过处于教学一线的专家、学者们的精心审定,北京大学出版社英文影印版教材的顺利出版离不开他们的无私帮助,在此,我们将对审读并对本套图书提出过宝贵意见的老师们表示衷心的感谢,他们是:

北京大学光华管理学院:符国群、李东、梁钧平、陆正飞、王建国、王其文、杨岳全、于鸿君、张国有、张圣平、张志学、朱善利(按拼音排序)

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本套丛书的顺利出版还得到了培生教育集团(Pearson Education)北京代表处、汤姆森学习集团(Thomson Learning)北京代表处的大力支持,对他们的付出我们也非常感谢。

### 教辅材料说明

教材,顾名思义教学之材料,它和普通的书籍有一个很大的区别,就是必须以“方便教授教学”为主。所以,好的教材更需有完备的教学辅助材料相匹配,且每一本教材都要有教辅材料,只有配备了齐全的辅助材料才能称其为完整的教材。北京大学出版社的《当代全美 MBA 经典教材书系(英文原版)》系我社获全球最大的教育出版集团,美国培生教育集团(Pearson Education Group)独家授权之英文影印版本。Pearson Education 旗下的国际知名教育图书出版公司 Prentice Hall/Addison Wesley/Longman,以其高品质的经济类出版物,已成为全美乃至全球高校采用率最高的教材,享誉全球教育界、工商界。我社在选择此套教材的过程中,尽量选择教辅材料齐全的教材,这些教辅材料包括:教学指导用书、教学提纲、测试题、解答题、课堂演示文稿等,以书、幻灯片(Powerpoint Mesentation)、Disk、CD、CD-ROM 等形式出现。我社特获权独家复制以上材料,并向采用该书的教师免费赠送。同时,这些材料还可通过访问培生教育集团相关站点:<http://www.prenhall.com>、<http://www.pearsoned.com>、<http://www.aw.com> 或国内站点:<http://www.digishop.com.cn> 免费下载。

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## 出版声明

本套丛书是对国外原版教材的直接影印,由于各个国家政治、经济、文化背景的不同,原作者所持观点还请广大读者在阅读过程中加以分析和鉴别。我们希望本套丛书的出版能够促进中外文化交流,加快国内经济管理专业教学的发展,为中国经济走向世界做出一份贡献。

我们欢迎所有关心中国 MBA 教育的专家学者对我们的工作进行指导,欢迎每一位读者给我们提出宝贵的意见和建议。

北京大学出版社  
数字经实公司  
2002 年 1 月



本书分4部分8章,从基础理论讲起,阐述了伦理道德与商务经营的关系、现实商务活动中的伦理道德准则等。具体包括:商务中的伦理原理、商务与市场、商务及其交换(生态学与消费者)、商务与它的内部支持(雇员问题)等内容。

本书具有简洁、明了的写作风格、充足的论据、详实的案例、现代的数据及统计方法。旨在向学生介绍相关的用以解决现实商务过程中道德问题的伦理概念;帮助学生提高应用伦理概念进行商务决策所必须的论证及分析能力;调查引发商务伦理道德问题的社会及自然环境因素等。本版新书具有如下特色:在前一版理论框架的基础上将内容进行了全面调整,加入了新的讨论、例子、表格、数据、插图、统计表等;将全书的重点放在互联网和伦理学上;在每章的末尾新增了案例;还提供了一些可供查询的网络资源,鼓励学生自己去获取更即时的数据和统计表。

**适用性:**适合本科一年级新生、研究生和 MBA 商业伦理及商业和社会类课程,还可作为各企业、公司管理人员的培训教材和参考书。

**畅销性:**本书自问世以来被耶鲁大学等欧美、澳地区的上百所大学采用为教材,经国内专家审定为优秀教材并推荐给国内读者。

**Dedicated  
to the memory  
of Jerry Kenkel:  
Husband, Father, Friend, Lawyer**

# Preface

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*Business Ethics: Concepts and Cases* remains a popular and widely-used text. Nevertheless, a revision seemed useful, especially in light of several significant developments in business, particularly in those focused on information technologies. In spite of the demise of many so-called “dot-com” businesses, the World Wide Web has now become a completely familiar and pervasive medium. The rapid evolution of the Web has made a number of ethical issues salient, including issues related to privacy, the ownership of information and, more generally, intellectual property issues. Discussion of these and other issues related to new technologies have been incorporated into this edition. Although this new edition updates the contents of its predecessor, it retains both the basic organization and the conceptual framework of previous versions. For the teacher who would like to know what precise substantive changes have been made to the text, I have appended a paragraph detailing these changes at the end of this preface.

The primary aims of the text remain the same as in earlier editions. They are: (1) to introduce the reader to the ethical concepts that are relevant to resolving moral issues in business; (2) to impart the reasoning and analytical skills needed to apply ethical concepts to business decisions; (3) to identify the moral issues involved in the management of specific problem areas in business; (4) to provide an understanding of the social technological, and natural environments within which moral issues in business arise; and (5) to supply case studies of actual moral dilemmas faced by businesses.

Although the author of a text on business ethics need not apologize for writing on this subject, he or she does owe readers at least some indication of the

normative assumptions that underlie what has been written. In the hopes of partially discharging this debt and in order to outline the structure of this book, I will describe its major parts and some key underlying assumptions.

The text is organized into four parts each containing two chapters. Part One provides an introduction to basic ethical theory. A fundamental perspective developed here is the view that ethical behavior is the best long-term business strategy for a company. By this I do not mean that ethical behavior is never costly. Nor do I mean that ethical behavior is always rewarded or that unethical behavior is always punished. It is obvious, in fact, that unethical behavior sometimes pays off, and that ethical behavior can impose serious losses on a company. When I argue that ethical behavior is the best long-range business strategy, I mean merely that over the long run, and for the most part, ethical behavior can give a company significant competitive advantages over companies that are not ethical. I present this idea and argue for it in Chapter 1, where I also indicate how we come to accept ethical standards and how such standards can be incorporated into our moral reasoning processes. Chapter 2 critically discusses four kinds of moral principles: utilitarian principles, principles based on moral rights, principles of justice, and the principles of an ethic of care. These four kinds of moral principles, it is argued, provide a framework for resolving most of the kinds of ethical dilemmas and issues that arise in business. In addition, Chapter 2 discusses virtue theory as an alternative to a principles-based approach.

Having defined the nature and significance of ethical standards and having identified four basic criteria for resolving moral issues in business, I then bring the resulting theory to bear on specific moral issues. Thus, Part Two examines the ethics of markets and price; Part Three discusses environmental and consumer issues; and Part Four looks at employee issues. I assume in each part that in order to apply a moral theory to the real world we must have some information (and theory) about what that world is really like. Consequently, each chapter in these last three parts devotes several pages to laying out the empirical information that the decision-maker must have if he or she is to apply morality to reality. The chapter on market ethics, for example, provides a neoclassical analysis of market structure; the chapter on discrimination presents several statistical and institutional indicators of discrimination; the chapter on the individual in the organization relies on two models of organizational structure.

Each chapter of the text contains two kinds of materials. The main body of the chapter sets out the conceptual materials needed to understand some particular moral issue. This is followed by discussion cases that describe real business situations in which these moral issues are raised. I have provided these discussion cases on the pedagogical assumption that a person's ability to reason about moral matters will improve if the person attempts to think through some concrete moral problems and allows himself or herself to be challenged by others who resolve the issue on the basis of different moral standards. These kinds of

challenges, when they arise in dialogue and discussion with others, force us to confront the adequacy of our moral norms and motivate us to search for more adequate principles when our own are shown to be inadequate. Some of the rationale for these pedagogical assumptions is discussed in chapter 1 in the section on moral development and moral reasoning. I hope that I have provided sufficient materials to allow the reader to develop, in discussion and dialogue with others, a set of ethical norms that they can accept as adequate.

Like every other textbook author, I owe a very large debt of gratitude to the numerous colleagues and friends around the world from whom I have shamelessly borrowed ideas and materials. They all, I hope, have been duly recognized in the notes. I owe a special debt to my colleagues in the Management Department where I now teach, especially to Dennis Moberg. My original discipline (and my doctoral training) are in the field of philosophy, but a few years ago I accepted an endowed chair in the Management Department of Santa Clara University. Working closely with the business school faculty there has not only given me a deeper understanding of the special needs that business school instructors have for pedagogical materials in business ethics, it has also deepened my awareness of the significant links between business ethics and business strategy. This deepened awareness permeates this edition.

Although large and small revisions have been made in virtually all the chapters of this edition, the following changes from the previous edition should be noted by previous users of this text. Almost all of the chapters contain new end-of-chapter cases that replace some of the cases in the previous edition. The new cases include: "Napster's Revolution," "Publius," "Accolade versus Sega," "Playing Monopoly: Microsoft," "Genetic Engineering at Monsanto/Pharmacia," and "AIDS and Needles." In addition, the case "Philip Morris' Troubles" has been considerably updated. Those instructors who have used previous editions and who would like to continue using cases from previous editions will be able to find cases through the *Business Ethics: Concepts and Cases* Companion Website ([www.prenhall.com/velazquez](http://www.prenhall.com/velazquez)). Every chapter now also has, at the end of the main text, a section on "Web Resources." While some of these Web materials were available in the endnotes of the previous edition, it seemed best now to place them in a separate section. Chapter 1 includes a few but very brief paragraphs on the ontological nature of corporate organizations based on the work of John Searle and a new section on "Technology and Business Ethics." Chapter 2 includes a new illustrative discussion of Microsoft and human rights in China. Chapters 3 includes new discussions of the views of Locke and Marx on property, and of the theory of property implicit in Smith and in other utilitarian philosophers, as well as a new section on "Property Systems and New Technologies." The examples and tables of Chapter 4 have been updated. Section 5.1 of Chapter 5, on the environment, has been updated, slightly reorganized, and incorporates new data and developments about a number of issues such as acid rain and global

warming. Chapter 6 includes several new illustrations and a new section entitled “Consumer Privacy” which discusses new invasive technologies and which uses a theory of privacy that the previous edition had elaborated in chapter 8. In Chapter 7 the section entitled “Discrimination: It’s Extent” has been updated to include recent statistics and studies on discrimination. In chapter 8 the section on employee theft has been retitled “Employee Theft and Computers” to make its contents clearer.

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