

WHO《烟草控制框架公约》对案 及对中国烟草影响对策研究

周瑞增 程永照 主编

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序 一

搞好超前研究 服务决策需要

姜小原^①

国家烟草专卖局组织的 WHO《烟草控制框架公约》对案及对中国烟草影响对策研究（以下简称“双对”研究）课题组历时 4 年多研究取得的成果集由经济科学出版社出版了，对此，我表示由衷地祝贺。

这个课题是国家烟草专卖局批准立项的重大软科学研究课题。该课题取得的研究成果得到了行业内外的公认，具有以下几个明显的特点。

一是立项超前，指导思想明确。早在 WHO 开始推动谈判制订《烟草控制框架公约》（以下简称《公约》）时，就引起了国家局领导的高度重视，国家局办公室（外事司）等有关部门及时进行了信息跟踪。云南烟草科学研究院经济信息研究中心认识早，行动快，他们清醒地认识到《公约》的谈判制定将对世界烟草产业及中国烟草产业产生重大的影响，并及时开展了相关的研究。根据形势发展的需要，国家烟草专卖局决定成立了 WHO《公约》对案及对策研究工作小组，鉴于云南烟草科学研究院经济信息研究中心在全国率先开展了《公约》研究，把工作小组办公室放在了该中心。随后批准组建了以云南烟草科学研究院经济信息研究中心为研究主体，国家烟草专卖局办公室（外事司）及相关司、部门，以及中国烟草学会、郑州烟草研究院派员参加的《公约》“双对”研究课题组，拨出专款，对《公约》开展“双对”研究。“双对”研究课题组在成立之初就明确提出了“做好超前研究，服务领导决策，服务行业需要”的指导思想，及“有用、可用、管用”的研究原则，从国家利益的高度出发来组织研究工作。课题组紧密追踪《公约》谈判进程，对从《公约》政府间第 3 次谈判至政府间第 6 次谈判的主席文本进行了对案研究，及时提出中国烟草业的意见和建议，由国家烟草专卖局专报中国政府谈判代表团。同时，积极开展《公约》对中国烟草影响的对策研究，及时提交研究成果，认真做好决策咨询服务工作。今年 1 月 9 日《公约》在我国生效。审视课题组四年多的研究工作及所取得的成果，事实证明“双对”研究的立项是超前的，选题是具有全局性、战略性、前瞻性的，其研究成果对于今后有关烟草经济与烟草控制理论的发展完善及其实际应用意义深远。

二是原创性强，应用价值较高。《公约》是 WHO 制定的第一部控烟的国际法律。课题组坚持理论联系实际，坚持以中国烟草改革和发展的实际问题为中心，着眼于对实际问题的理论思考、着眼于中国烟草新的实践和新的发展，精心组织研究。在行业内外进行了广泛的调研，针对每一个《公约》的主席文本，提出高、中、低对案，在国家烟草专卖局上报的 128 条对案意见和建议中有 51 条被中国政府谈判代表团采纳，写入了中方谈判文本。《公约》对中国烟草影响对策研究提出了一系列对策措施，包括《〈公约〉对中国烟草的主要影响及中国烟草应采取的主要对策措施建议》（中期报告）、《关于烟草制品的包装和标签》、《关于烟草广告、促销和赞助》、《关于烟草制品披露的规定》、《关于履约报告》、《国家烟草专卖局关于改进卷烟包装设计的指导性意见》的建议稿

^① 作者系国家烟草专卖局党组书记、局长、中国烟草总公司总经理

等多篇对策建议报告，报国家烟草专卖局。国家烟草专卖局多次召开会议予以研究，其中不少对策措施建议被国家烟草专卖局及上级领导机关采用。课题组还代起草了一批有关呈报上级的文件，其成果直接进入决策使用，发挥了重要的决策支持作用。

值得肯定的是，该课题研究成果具有较强的原创性和科学性。所完成的一批研究成果就正确认识烟草控制与烟草经济，在履行好《公约》的前提下实现中国烟草的持续稳定协调健康发展，作出了科学的判断，并鲜明地提出了新颖的观点。如在《实行烟草专卖是最切实际的控烟措施》一文中，明确指出“我国实行烟草专卖制度是从烟草生产经营特点和基本国情出发的、最切实际和最为有力的控烟措施。”在《透过烟雾看控烟》一文中，客观、理性地分析了控烟历史和发展趋势，首次明确地将全球控烟运动史划分为四个阶段，并称之为四次浪潮。并明确提出“即使有那么一天，烟草不再被人们吸食，但随着科学技术日新月异的发展，烟草作为地球奉献给人类的一种大宗生物，也会以其他形式继续为人类作出贡献。”“随着经济的发展，社会的进步，消费者健康意识的增强，以及健康文明生活方式的普及，发达国家的烟草制品消费将会继续下降，绝对吸烟人数会减少，卷烟质量会进一步提高；发展中国家的烟草制品消费将会趋于稳定，吸烟人数会稳中略增，对烟草制品的要求会明显提高；欠发达国家的烟草制品消费将会上升，吸烟人数会增长，卷烟质量也会有所提高。”在《第四次全球控烟浪潮的兴起与发展——〈烟草控制框架公约〉通过一周年述评》一文中，通过对全球控烟历史的科学、全面、客观地回顾总结、分析研究，对第四次全球控烟新浪潮的兴起与发展进行了全面的综述及评点，对其影响及走势进行了科学的预测。在正视烟草有害的同时，鲜明的阐述了烟草业必须“以人为本，关注健康，关注生命”的主张等全新观点，并作出了“烟草的历史远未结束，烟草的革命正在到来”的科学判断。这些成果的提出，对全社会理性认识《公约》起到了积极的促进作用，同时也充分体现了该课题研究的学术价值，即站在学术发展的高度，回顾梳理了“吸烟与健康”问题的研究进程，从学术观点、研究方法的角度，对全球控烟历史加以反思，提出了今后学术界应研究的重点和研究思路，体现出了迄今为止对“吸烟与健康”问题的学术积累和认识高度。

该课题研究同时也是多角度地宏观把握“吸烟与健康”这一世界性的社会问题的一次学术尝试。也是一项跨学科的综合性学术探索，在研究思路和研究方法等方面具有创新性，在知识积累和学科建设上有建设性。

三是服务到位，宣传普及做得好。从课题研究一开始，就在国家局领导下创办了《国家烟草专卖局 WHO〈烟草控制框架公约〉研究动态》，每周编发一期，把国际国内关于《公约》谈判制订的情况和控烟的信息资讯及时通报给全行业司（局）级以上领导干部、重点企业负责人以及中国政府代表团成员参考，对有关人员了解《公约》谈判制定情况、控烟信息及相关研究成果起到了积极作用。同时，策划宣传比较到位。课题组研究编辑出版了《〈烟草控制框架公约〉与中国烟草百问》、《关注全球控烟新浪潮——WHO〈烟草控制框架公约〉追踪》，还研究编辑了《烟草科学研究》《公约》研究专刊、《经济研究参考》《公约》研究专集，组织了《公约》知识竞赛，在《中国烟草》、《中国烟草学报》、《东方烟草报》及国家局网站开辟专栏，宣传《公约》相关知识和研究成果。课题组长及成员多次作为中国政府代表团正式成员参加《公约》谈判、政府间工作组会议、第一届缔约方大会等，反映和表达中国烟草的意见和建议，做好相关的服务工作，受到了上级领导的表扬。还参加了国家烟草专卖局代表团出访英国、韩国、日本等国家，与国际烟草界就《公约》及公共事务、降焦减害、吸烟与健康研究等进行了广泛的交流，赢得了赞誉。课题组长及成员应邀多次出席亚洲第七届吸烟与健康大会、WHO 首届专家论坛、中国科协年会等国际国内学术会议，发表演讲和论文，在全国烟草行业领导干部培训班、中国烟草学会学术年会以及各省烟草学术年会上举办专题讲座。还参与了中国政府批准《公约》的相关工作，以及中国政府履行《烟

草控制框架公约》启动仪式的筹备工作等；受国家发改委、卫生部、国家烟草专卖局的委托承担了《2005' 中国履行〈烟草控制框架公约〉进行时》摄影、组稿和编辑工作，赢得了各方的好评。

此外，该项研究在整合资源，坚持边研究、边出成果、边应用，以及在研究模式上实现了领导机关与基层单位、科研部门与行政单位、社会科学与自然科学、专业研究人员与业余研究人员等几个方面的结合和突破。可以说，该课题研究突破了社科研究的传统模式，并对由“少数学科交叉”向“多学科融合”发展的软科学学科建设进行了有特色的探索。还值得一提的是，在课题立项四年多来，通过课题研究，锻炼培养了一支烟草软科学研究队伍，更为可喜的是参与研究的人员中有8位同志晋升了高一级的职务，5名同志晋升了高一级的职称。总之，该项研究在出成果、出人才、出效益方面为烟草科研创新进行了一次成功的探索。

当前，中国烟草行业正在“三个代表”重要思想的指导下，以科学发展观为统领，认真贯彻落实建设创新型国家的战略，推进全行业的自主创新，中国烟草行业“十一五”创新规划已经制定。我希望全行业广大科技工作者坚持“国家利益至上，消费者利益至上”的行业共同价值观，按照搞好超前研究，服务决策需要，全力提高行业整体竞争力的要求，不遗余力地发挥出自己的聪明才智，为把中国烟草行业建成创新型行业，进而做精做强而建功立业！

2006.8.18

Preamble One

Advance Research to Meet the Requirement of Decision-Making

Jiang Chengkang^①

I hereby extend my cordial congratulations to the publication by the Economic and Scientific Press of the *Collection of Research Achievements* scored after more than four years of research by the working group organized by the STMA for working out countermeasures against the World Health Organization's *Framework Convention on Tobacco Control* (FCTC) and for proposing approaches to deal with the FCTC's impacts on the tobacco industry of China (hereinafter referred to as "the working group").

The formulation of countermeasures against the FCTC and study of the FCTC's impacts on the tobacco industry of China was a major soft science research topic approved and registered by the STMA. The research achievements scored by the working group in settling the research topic have been universally recognized by the tobacco industry and other sectors of the economy. The research achievements are of the following remarkable characteristics:

I. Advance determination of the research topic and clear definition of the guiding ideology.

When the WHO was actively promoting negotiations on formulating the FCTC, the leadership of the STMA paid great attention to the matter, with the relevant functional departments of the STMA, including the General Office and the Foreign Affairs Department, managing to closely follow up the developments in a timely manner.

The Yunnan Tobacco Science Research Institute in southwest China's tobacco-producing Yunnan Province was among the first to understand the great significance of the research topic and was quick in response. Researchers with the research institute sober-mindedly realized that the formulation and adoption of the FCTC following the negotiations would contribute to generating great impacts on the world's tobacco industries, including the tobacco industry of China, and reacted by conducting relevant research in a timely manner. In keeping with the development of the situation, the STMA made a decision to establish the working group. In light of the fact that the Economic Information Research Center of the Yunnan Tobacco Science Research Institute had taken the lead in studying the FCTC in China, the STMA decided to base the permanent office of the working group at the center. Afterwards, the STMA approved the establishment of the working group, with the Economic Information Research Center of the Yunnan Tobacco Science Research

^① director-general of the State Tobacco Monopoly Administration (STMA), secretary of the Communist Party group at the STMA and general manager of China National Tobacco Corporation

Institute as the principal part of its research team, and with the relevant functional departments of the STMA, including the General Office and the Foreign Affairs Department, China Tobacco Society and Zhengzhou Tobacco Research Institute in central China's Henan Province sending personnel to participate in it. The STMA allocated special funds for the working group to conduct research for working out countermeasures against the FCTC and for proposing approaches to deal with the FCTC's impacts on the tobacco industry. At the time when the working group was established, the STMA clearly defined the guiding ideology for the working group as "well conducting advance research to meet the requirement of decision-making by the leadership and meet the requirement of the tobacco industry," and also clearly defined a research principle for the working group-to make the research achievements "useful, applicable and feasible." The STMA instructed the working group to organize research from the high perspective of State interests.

The working group managed to closely follow up the negotiations on the formulation of the FCTC, conducting research for adopting countermeasures against the Chairman's Statements of the 3rd to the 6th rounds of intergovernmental negotiations on the formulation of the FCTC, and preparing opinions and suggestions on behalf of China's tobacco industry in a timely manner, which were submitted by the STMA to the negotiation team of government. Meanwhile, the working group actively conducted research for adopting approaches to deal with the FCTC's impacts on the tobacco industry, submitting research achievements in a timely manner, and earnestly providing the service of consultation on decision-making. On January 9, 2006, the FCTC went into effect in China. In light of the working group's research work and achievements over the past more than four years, it has been proven by facts that the determination of the research topic by the working group was advance, and that its choice of research subjects to this effect was comprehensive, strategic and forward-looking. The research achievements scored by the working group will be of far-reaching influence to the development, improvement and practical application of theories on the tobacco economy and tobacco control.

II. High originality and relatively high applicability.

The FCTC is a first international law formulated and adopted by the WHO. The working group, in carefully organizing the research, adhered to the policy of combining theory with practice, focusing on specific issues in the reform and development of China's tobacco industry, keeping in mind theoretical considerations about the settlement of specific issues and focusing on new practice and new development on tobacco industry. The working group extensively conducted research and investigation both within the tobacco industry and in other relevant sectors of the economy. It proposed countermeasures at the high, medium and low levels against all the Chairman's States of the negotiations on the formulation of the FCTC. Of the 128 opinions and suggestions on the adoption of countermeasures submitted by the STMA, 51 were adopted by the negotiation team of the Chinese government and were included into the negotiation documentation for the Chinese side. In conducting research about the FCTC's impacts on the tobacco industry of China, the working group proposed the adoption of a series of countermeasures and approaches, including those in the *Mid-Term Report on Major Impacts of the FCTC on the Tobacco Industry of China and Major Countermeasures and Approaches Adoptable by the Tobacco Industry of China*, the *Report on the Packaging and Labels of Tobacco Products*, the *Report on Tobacco Advertising, Sales Promotion and Activities of Sponsorship*, the *Rules for the Disclosure of Information on Tobacco Products*, the *Report on Fulfillment of Agreements*, the *Guiding*

Opinions of the STMA on Improving the Designing of Cigarette Packaging and many other reports on the adoption of countermeasures and approaches, which were all submitted to the STMA. The STMA held many meetings to discuss and study these countermeasures and approaches as well as opinions and suggestions, many of which were eventually adopted by the STMA or authorities at higher levels. Besides, the working group was also authorized by competent administrative authorities to draft a series of official documents that were submitted to authorities at higher levels for review and approval. Therefore, research achievements scored by the working group were directly used for decision-making, and played an important role in supporting the making of decisions.

What is worth being affirmed is that the research achievements scored by the working group are relatively highly original and scientific. Some of the research achievements mean scientific judgments and distinctive novel points of view on correct understanding of tobacco control and the tobacco economy and realizing sustainable, well-coordinated and sound development of tobacco industry on the premise of well fulfilling the obligations under the FCTC. For example, in the report of *Realization of Tobacco Monopoly Means Most Practical Measure for Tobacco Control*, the working group explicitly pointed out: "China's application of the system of State tobacco monopoly is based on the characteristics of tobacco production and marketing as well as the realities, and is a most practical and most powerful measure for tobacco control." In the report of *Judging Tobacco Control Through Cigarette Smoke*, it objectively and rationally analyzed the history and trend of development of the tobacco control movement, and for the first time defined the global tobacco control history into four stages, or four megatrends. It specified that "Even if there is one day that tobacco is no longer consumed by people, tobacco, as a staple form of life presented to people by the earth, will continue to provide service for people in other forms, along with rapid development of science and technology." "Along with economic development and social progress, increase of consumer awareness about physical health and popularization of healthy and civilized ways of life, the consumption of tobacco products in developed countries will gradually decline, the absolute number of cigarette smokers will go down, and the quality of cigarettes will improve. Meanwhile, in developing countries, the consumption of tobacco products will tend to be stabilized, the number of cigarette smokers will slightly increase amid stability, and the requirement for tobacco products will obviously go up. In underdeveloped countries, the consumption of tobacco products will increase, the number of cigarette smokers will go up, and the quality of cigarettes will also improve to some extent," it noted. In the report of *The Rise and Development of the 4th Global Tobacco Control Megatrend-Review of the 1st Anniversary of the Adoption of the FCTC*, the working group, through scientific, comprehensive and objective review, summation, analysis and study of the global tobacco control history, made an overall summarization of and comments on the rise and development of the 4th global tobacco control megatrend, scientifically predicting its influence and future course of development. While acknowledging that tobacco is harmful, it vividly expounded on a series of brand new concepts that the tobacco industry must "put people first and be concerned about public health and life," and made a scientific judgment that "The history of tobacco is far from an end and a revolution of tobacco is coming." The initiation of such concepts has played a positive role in promoting rational understanding of the FCTC by the whole society, fully embodying the academic value of the research topic. Namely, the working group, from the high perspective of academic development, reviewed and summarized the process of studying the issue of "cigarette smoking and public health"; made reflections on the global tobacco control history on the basis of academic points of view and the research methodology; and put forward a package of key points and

ways of thinking observable by the academic circle in future research, embodying the academic accumulation of knowledge so far on studying the issue of “cigarette smoking and public health” and the level of understanding about it.

The research for working out countermeasures against the FCTC and for proposing approaches to deal with the FCTC's impacts on the tobacco industry is an academic endeavor to well understand the global social issue of “cigarette smoking and public health” from multiple perspectives and in a microscopic way. It is also an interdisciplinary and comprehensive academic exploration, with novel guiding ideology and methodology of research, and with constructive accumulation of knowledge and academic development.

III. Perfect service and publicity.

At the time when the research of the topic got started, the working group, under the leadership of the STMA, created the weekly magazine of *Research by the STMA of the Latest Developments of the FCTC*, to brief leading officials with the tobacco industry at the departmental or bureau level and higher, leaders of key enterprises and members of the Chinese government's negotiation team on domestic and international developments in negotiations on the formulation of the FCTC and information on tobacco control both in China and abroad. The weekly magazine played an important role in enabling the relevant people to understand developments in the negotiations on the formulation of the FCTC, information on tobacco control and the research achievements concerned. Meanwhile, the working group did a relatively excellent job in planning and publicity. For example, the working group managed to publish a series of special periodicals on their work of research, including *The FCTC and 100 Questions on China's Tobacco Industry*, *Concern About the New Global Tobacco Control Megatrend-Follow-up Study of the WHO's FCTC*, *the Research of the Tobacco Science in Connection with Study of the FCTC* and *The Economic Research Reference News in Connection with Study of the FCTC*. It also managed to organize a contest on knowledge about the FCTC and operate special columns in *China Tobacco* magazine, *China Tobacco Science Report* and the *Oriental Tobacco* newspaper as well as the website of the STMA to publicize the relevant knowledge about the FCTC and the relevant research achievements. On many occasions, the chief and other members of the working group were designated as formal members of the Chinese government delegation to the negotiations on the formulation of the FCTC, participating in negotiations, intergovernmental working group meetings and the first conference of signatories, reflecting and expressing the relevant opinions and suggestions of China's tobacco industry. As a result, the working group was praised by higher authorities for providing perfect service. Besides, they were also part of the STMA delegations visiting Britain, South Korea, Japan and other countries, extensively exchanging opinions with international tobacco communities on the FCTC, the relevant public affairs, efforts to lower the content of tar and other harmful substances in tobacco products, study of the issue of “cigarette smoking and public health” and so on, and winning commendations. The chief and other members of the working group were invited to attend the 7th Asian conference on smoking and health, the 1st expert forum on tobacco control organized by the WHO, annual meetings of China National Science Association and other domestic and international academic meetings, delivering speeches and releasing theses. The working group held symposiums at leading officials training classes operated by China's tobacco industry, annual academic meetings of China Tobacco Society and provincial-level tobacco science annual academic meetings. The working group was also involved in the relevant work of the Chinese government concerning the approval of

the FCTC, and took assignments to make preparations for the ceremony of the Chinese government to officially start the fulfillment of obligations under the FCTC. Authorized by the National Development and Reform Commission, the Ministry of Public Health and the STMA, the working group organized the work of photography and writing and editing articles for the publication of *China's Implementation of the FCTC in 2005*, winning commendations from all walks of life.

Besides, in conducting research for working out countermeasures against the FCTC and for proposing approaches to deal with the FCTC's impacts on the tobacco industry, the working group succeeded in coordinating the efforts between competent government authorities and grassroots institutions, between scientific research departments and administrative authorities, between social sciences and natural sciences academies and between professional researchers and part-time researchers in terms of the development of research models, and in realizing breakthrough in reforming the structure of resources and implementing the policy of striving to make great achievements in research that can be put to use immediately. We can say that in conducting the research, the working group succeeded in breaking traditional models of social sciences research, and making characteristic explorations in the development of soft sciences research models by shifting onto the model of "integration of multiple disciplines" from the traditional model of "integration of a small number of disciplines." What is also worth being mentioned here is that over the past four years since the official determination and registration of the research topic, the working group, through the research, has successfully developed a team of tobacco soft sciences researchers. What is even more delightful is that eight members of the working group have been promoted to positions at a higher level and five have had their professional titles promoted to a higher level. In short, the working group has succeeded in exploring ways of innovation for the tobacco industry of China, in terms of making substantive research achievements, developing high-qualified human resources and generating higher efficiency.

Presently, the tobacco industry of China, under the guidance of the great ideology of "Three Represents" initiated by former Chinese President Jiang Zemin in 2000-the Chinese Communist Party represents the development trend of advanced productive forces, represents the orientation of an advanced culture and represents the fundamental interests of the overwhelming majority of the Chinese people-and also under the guidance of the concept of scientific development initiated by Chinese President Hu Jintao, is earnestly implementing the strategic policy of building China into an innovative country and strengthening its capacity of independent innovation. So far, the tobacco industry of China has formulated its plan for innovation during the 11th Five-Year Plan period (2006 - 2010). I hope that the scientists and researchers with the tobacco industry of China will stick to the common values of the tobacco industry of "Putting the interests of both the State and consumers above anything else," and spare no effort in bringing their wisdom and talents into full play in accordance with the requirement of the policy of well conducting advance research to meet the requirement of decision-making and increasing the competitiveness of China's tobacco industry on a full scale, in order to make great contributions to building tobacco industry into an innovative industry and making it even stronger and even more powerful.

2006.8.18

序 二

恳请读者朋友予以评判

周瑞华 杨彬

亲爱的读者：

书海有知己，天涯若比邻。

在2006年1月9日世界卫生组织《烟草控制框架公约》（以下简称《公约》）在我国正式生效之后，在世界卫生组织《烟草控制框架公约》第一次缔约方大会召开之后，国家烟草专卖局、中国烟草总公司批准立项的重大软科学课题“WHO《烟草控制框架公约》对案及对中国烟草影响对策研究”历时4年多就基本结束了。

根据课题合同约定，同时也为了汇报课题研究成果，作为课题组长，我们主编了本书，奉献给读者朋友。

因为识了字，常常纸上行。其实我们也是读者，且有了不短的履历。在我们的生涯中，当读者的同时，也时常当作者，提笔写些东西供媒体发表传播，也出版过专著，也都当过编者，编辑并主编过报刊。现推出的本书，我们虽然是主编，但由于是课题组长，在各课题成员研究撰写论文的成文过程中，就是第一或最初的读者。4年多来，从课题策划设计，组织选题调研，从各专题论文撰写，从列提纲到写出初稿、讨论稿、修改稿、征求意见稿、审定稿、报送稿，我们首先是读者。从安排分工，协调组织，研究撰写，每一篇研究报告或文稿，都与课题组成员一起商讨，并提出具体的修改意见和建议，共同修改定稿。有时，为了提高论文质量，把好关，为了统筹，我们真是横砍8000字，竖砍一万字，有的文章，硬被砍下2万多字。为什么？因作为读者，我们深知，长而空的文章令人生厌；作为作者，我们也深知，写文章难，写论文更难，要写短写好更是难上加难。而作为编者，我们反对客里空，反对八股文。

在本项目研究的4年多时间里，经国家烟草专卖局领导批准，我们创办并编发了“既有世界眼光，又有中国视角”的每周一期的《WHO〈烟草控制框架公约〉研究动态》，先后共出刊132期，印发1万多份；我们带领课题组成员先后研究编撰由世界图书出版公司、经济日报出版社出版国内外发行了《中国烟草与〈烟草控制框架公约〉百问》、《关注全球控烟新浪潮——WHO〈烟草控制框架公约〉追踪》，还编辑出版了《烟草科学研究》“双对”研究专刊、《经济研究参考》公约研究特刊，还与有关单位共同组织了《烟草控制框架公约》知识竞赛。为学习《公约》、研究《公约》、宣传《公约》，做了大量的策划设计和组织协调工作。现又在全面总结汇集课题研究成果的基础上，把具有理论性、学术性的部分成果汇集出版。

本项目虽属社会科学研究，但由于这是一项追踪《公约》谈判签署过程的研究，具有明确的针对性和适用性。因此，我们突破了社会科学研究项目的一般程序和模式，遵循“搞好超前研究，服务领导决策，服务行业需要”的指导思想，发扬“团结协作，做好服务”的作风，坚持从研究成果要“有用、适用、可用、管用”的原则出发，整合行业力量，积极开展研究，并坚持边调查，边研究，边出成果，边应用。其中对案研究共有51条被中国政府代表团采纳写入了中方谈判文本；

对策研究的多份专题研究报告、中期报告、《关于〈公约〉对卷烟包装添加健康警句的对策建议的报告》，和《关于〈公约〉对卷烟广告、促销、赞助规定的对策建议的报告》，以及《关于〈公约〉对信息披露规定的对策建议的报告》、《关于〈公约〉履约报告》、《关于卷烟包装设计指导性意见》等，均被国家烟草专卖局、中国烟草总公司主要领导批示，并多次提交国家烟草专卖局、中国烟草总公司办公会讨论，其成果被决策采用，有的写成专题报告呈报上级领导机关。因此，本研究完成的论文可能没有那么多的理论色彩，但其针对性、适用性的特点是十分突出的。当然除了已公开发表的成果外，还有相当一部分是向领导机关呈送的报告，或代国家烟草专卖局、中国烟草总公司以及相关部委起草呈报上级领导机关的报告。由于众所周知的原因，本课题完成的决策咨询报告未能收入。

选编在本书中的论文，虽署的是作者的名字，但应该说都是集体智慧的成果。而课题所有的成果，都是集体智慧、群策群力的结晶。作为课题组长，我俩深知，该课题得以顺利完成并取得可喜的成果，首先是有国家烟草专卖局、中国烟草总公司的正确领导，还得益于国家烟草专卖局（总公司）机关各部门及直属单位领导的大力支持，得益于全国烟草行业，特别是云南烟草专卖局、云南省烟草公司、云南中烟工业公司、云南烟草科学研究院等单位的大力支持，还得益于课题组全体同志的团结协作和辛勤努力，以及对案、对策小组成员的大力协作和支持。因此，应该说，本书与其说是课题组的研究成果，不如说是中国烟草上下左右协同支持配合完成的成果更准确。

应该说明的是，由于本课题研究遵循“有用、适用、可用、管用”的原则，与一般的课题研究大多采用完整系统的阐述方法不同，而是依据策划设计，分对案、对策、专题、综合研究等不同的专题进行研究撰写，因而，本书所收论文看上去似乎系统性不够，但用“研究是为了应用”来衡量，也不失是一种积极有益的探索。另外，为了使读者对本研究有较全面的了解，我们经选择将“INB3 主席文本”和《烟草控制框架公约》收入；同时，将非保密的有关文件和报道及“双对”研究活动剪影和部分课题研究成果应用证明收入。

诗圣杜甫说过：“文章千古事，得失寸心知”。而我俩认为，文章寻常事，得失难自知。我们的工作如何？选编在本书中的论文学术价值、学术水平如何？正如理发师不能理自己的头一样，不能凭我们自己说，群众才是真正的英雄，读者才是真正的老师，因此，还是恳请读者朋友予以评判吧！

衷心感谢在课题研究及本书编辑出版过程中所有支持帮助过我们的人！

2006 年 8 月 8 日于北京—昆明

Preamble Two

Sincere Solicitation of Opinions from Readers

Zhou Ruizeng Cheng Yongzhao

Dear readers :

If one has a close friend somewhere in the book , that person will seem near despite being in a remote corner of the world.

On January 9, 2006, the World Health Organization's *Framework Convention on Tobacco Control* (FCTC) went into effect in China. After the first meeting of the signatories to the FCTC was held, the research for working out countermeasures against the FCTC and for proposing pertinent approaches to deal with the FCTC's impacts on the tobacco industry of China basically came to an end following more than four years of hard working. This research was determined and registered as a major soft science research topic by the State Tobacco Monopoly Administration (STMA) and China National Tobacco Corporation (CNTC) .

According to our consent expressed in the contract for the fulfillment of the research, and also in an effort to report our research achievements, we-as leaders of the working group organized by the STMA for working out countermeasures against the FCTC and for proposing pertinent approaches to deal with the FCTC's impacts on the tobacco industry of China (hereinafter referred to as "the working group") -have presided over the compilation of this book and are now presenting it to our dear readers.

We can surf in the book because we are learned. In reality, we ourselves are also readers with a pretty long history of reading. In our life, we act as authors from time to time while being readers. We were all editors-in-chief to this book. But, in the capacity of leaders of the working group, we, in the process of formation of theses on the basis of writing by all members of the working group, were actually the primary leaders to this book.

Over the past more than four years, have first of all been readers from the process of planning and designing research subjects to organizing the choice of subjects for research, from the process of writing theses about special subjects to the complication of this book, from the process of working out the outline to writing the initial form of articles, from the process of writing drafts for discussion to revising them, from the process of writing versions for soliciting public opinions to making relevant changes, and from the process of working out final versions of articles to submitting them to higher authorities for review and approval.

Whenever we were making arrangements for work, giving assignments, and coordinating or organizing research or the writing of all research reports or theses, we would unexceptionally hold discussions with the other relevant members of the working group, and put forward specific opinions or suggestions on revision, in jointly finalizing them. We makes great efforts to make it readable.

In the past more than four years of research, we, under the leadership of the STMA, created the weekly magazine of *Research by the STMA of the Latest Developments of the FCTC*, which was regarded as

not only having a global eyesight, but also having a Chinese perspective. In total, more than 10, 000 copies in 132 issues of the weekly magazine were printed and distributed. We led members of the working group to successively produce and publish a series of special periodicals on their work of research, including *The FCTC and 100 Questions on China's Tobacco Industry and Concern About the New Global Tobacco Control Megatrend-Follow-up Study of the WHO's FCTC in cooperation with The World Publishing House and the Press of the Economic Daily* newspaper. We also organized the compilation and publication of the *Research of the Tobacco Science in Connection with Study of the FCTC and The Economic Research Reference News in Connection with Study of the FCTC*. We also cooperated with other relevant institutions in holding a contest on knowledge about the FCTC. In promoting the study, research and publicity, we did a great deal of work of organization, planning and coordination. On the basis of comprehensively summarizing achievements of the research, we are now compiling the rational and academic parts of the research achievements for publication.

Research for working out countermeasures against the FCTC and for proposing pertinent approaches to deal with the FCTC's impacts on the tobacco industry of China belongs to the scope of social sciences research. But, as it was a research meant to follow up negotiations on the conclusion of the FCTC, it was remarkably pertinent and applicable. Therefore, we, in conducting the research, managed to break the limit of general procedures and models for projects of social sciences research, follow the guiding ideology of "well conducting advance research to meet the requirement of decision-making by the leadership and meet the requirement of the tobacco industry," carry forward the working style of "getting united, well cooperating with one another and well providing services," stick to the policy of making research achievements "that will be useful, applicable, feasible and effective," reform the structure of resources of the tobacco industry, actively conduct research and adhere to the principle of striving to make achievements while conducting investigation and research and put any research achievements to immediate application. Of the opinions and suggestions on the adoption of countermeasures submitted by the STMA, 51 were adopted by the negotiation team of the Chinese government and were included into the negotiation documentation for the Chinese side. The working group proposed the adoption of a series of relevant pertinent approaches, including those in many reports on the study of special subjects, mid-term reports, *the Report on the Adoption of Pertinent Approaches Against the FCTC's Provision for Adding Health Warning Signs to Cigarette Packaging*, *the Report on the Adoption of Pertinent Approaches Against the FCTC's Provisions for Tobacco Advertising, Sales Promotion and Activities of Sponsorship*, *the Suggestions on the Adoption of Pertinent Approaches Against the FCTC's Provisions for the Disclosure of Information on Tobacco Products*, *the Report on Fulfillment of Obligations Under the FCTC and the Guiding Opinions of the STMA on Improving the Designing of Cigarette Packaging*, which were all endorsed by top leaders of the STMA and CNTC, and which were submitted to the STMA and CNTC for discussion at their executive meetings on many occasions. The research achievements in them were generally adopted for decision-making. Some of the research achievements were written into special reports that were submitted to higher authorities for review and approval. Therefore, the theses written in the process of the research could not be so theoretical, but they were particularly highly pertinent and applicable. Of course, except those that were published through news media, a considerable number of the theses were written for submission to higher authorities for review and approval, or were simply reports written on behalf of the STMA, CNTC or other relevant government departments or commissions for submission to higher authorities for consideration. Because of reasons known to all, the reports on con-

sultation about decision-making written in the process of research cannot be included into this book.

As far as the theses included into this book are concerned, though they were signed by the author, it should be declared here that they were actually research achievements of collective wisdom. Namely, all the research achievements scored by the working group were crystallization of collective wisdom and teamwork. As leaders of the working group, both of us well know that the successful fulfillment of the research for working out countermeasures against the FCTC and for proposing pertinent approaches to deal with the FCTC's impacts on the tobacco industry of China and the making of delightful achievements in the process of research should first of all be attributed to the correct leadership of the STMA and CNTC. Moreover, in the fulfillment of the research and the making of research achievements, we benefited a lot from great support extended by the relevant departments of the STMA and CNTC and leaders of the institutions directly affiliated to them, and also benefited a lot from great support extended by the national tobacco industry, particularly Yunnan Provincial Tobacco Monopoly Administration, Yunnan Provincial Tobacco Corporation, Yunnan Provincial China Tobacco Industry Corporation, Yunnan Tobacco Science Research Institute and other institutions. Both the fulfillment of the research and the making of research achievements were the results of unity, cooperation and hard working of all members of the working group, and also great cooperation support on the part of members of both the team for working out countermeasures against the FCTC and the team for proposing pertinent approaches to deal with the FCTC's impacts on the tobacco industry of China. Therefore, we should acknowledge that the publication of this book is, more accurately speaking, a great result of all-round cooperation, coordination and support from all sectors of China's tobacco industry, rather than a research achievement of the working group only.

What should also be declared here is that as the principle of striving to make great achievements that will be useful, applicable, feasible and effective was followed in the research, we adopted a new way of expression in writing the theses and reports in the research different from the traditional way of complete and systematic expression generally adopted for writing theses or reports on research topics. Namely, what we adopted is a way of expression focusing on different research subjects on the basis of comprehensive planning and designing, including the part of countermeasures, the part of pertinent approaches and the part of comprehensive study of special subjects. That's why the theses included into this book do not seem so systematic. But judged by the standard that "any research is intended for practical application," the way of expression in writing the theses included into this book can well be a beneficial way of exploration. Besides, in an effort to enable readers to relatively comprehensively understand the theses and reports in this book, we have selectively included the INB3 Chairman's Statement and the FCTC into this book. We have also included into it some of the relevant official documents and reports that are not confidential or secret, excerpts of reports on activities of the research for working out countermeasures against the FCTC and for proposing pertinent approaches to deal with the FCTC's impacts on the tobacco industry of China, and certificates of authentication of the achievements scored in the research.

A famous Chinese Tang Dynasty poet, Du Fu (712 - 770), said, "A piece of literature is meant for the millennium. But its ups and downs are known already in the author's heart." But we ourselves are not in a position to comment on the quality of our work, or judge the academic values and academic levels of the theses included into this book. It's just like the case that barbers themselves cannot cut their own hair. As broad masses of the people are real heroes, readers are real commentators under such a circumstance. Let us invite all readers to offer opinions on what has been included into this book!

• 4 • WHO《烟草控制框架公约》对案及对中国烟草影响对策研究

We hereby would likely to offer our cordial thanks to all the people who have extended support to us in the research and in the publication of this book.

in Beijing and Kunming

August 2006