

英汉对照本

终极赢家的 18项伦理修炼

BECOMING A TOP- NOTCH PLAYER

18 RULES OF INTERNATIONAL BUSINESS ETHICS

[瑞士] 罗世范 (Stephan Rothlin) / 著
张秋蔚 / 译

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本书作者罗世范博士，一个瑞士人，不远万里来到中国，为的是在中国推进一门学科的建设。这门学科就是在发达国家已有多年历史，而在我国还处于起步阶段的经济伦理学。

改革开放以来，我国取得的经济建设成就是举世瞩目的，不仅我国人民为之自豪，而且不少发展中国家将中国的建设发展经验视

Dr. Stephan Rothlin, the author of this book, came to China from Switzerland, defying the distance of tens of thousands of miles with the purpose of promoting the development of a discipline in China. This discipline is business ethics, which has a history of a score of years in developed countries, but is in its starting phase in our country.

The achievements of our economic construction since the reforms and open-door policy are attracting worldwide attention. Not only our own people are proud of them, but many developing countries have taken China's experience of construction and development as their example. Even developed countries in the West look at China's experience with interested eyes.

However, at this time of rapid economic progress, we must realize that our need for business ethics is increasingly urgent. With the further advancement and perfection of the overall legal system in the economic sector of our country, as well as the vigorous dissemination of reports by various media sources, our people's legal sense of economic issues has obviously been enhanced. Now our people face the question of how to enhance their sense of business ethics. It is a long and difficult task. While making the choice between long-term and short-term interests, people are usually blinded by urgent, immediate interests and cannot see long-term benefits. This develops from the erroneous understanding that only

为自己的榜样，就连西方发达国家也对中国的经济刮目相看。

但是，在取得高速增长的同时，我们必须看到，我们对经济伦理的需求已变得日益迫切起来。随着我国经济方面各项法律制度的进一步建立健全和各种媒体的大力宣传报道，国民在经济问题上的法律意识有了比较明显的提高，现在面临的问题是如何来增强经济伦理意识。这是一项长期而艰巨的任务。因为人们在面对长远利益和眼前利益的选择时，往往会被迫切的眼前利益遮挡了视线而看不到长远利益，从而错误地认为，只有眼前利益才是真正的实实在在的，伸手可及，或者只需努力一下便可得到，而长远利益太虚无缥缈，只是画饼而已。

可是经济伦理学要告诉人们的，恰恰是这张“画饼”的价值。这不仅是要告诉人们在面对物质和精神的选择时，要更多地考虑精神的价值，而且更重要的是要帮助人们从物质与精神，眼前利益与长远利益的两难选择中解脱出来。这种非此即彼的二元对立思维模

immediate interests that are within an arm's reach are dependable and true and can be gained with some effort, but that long-term interests are unreal—nothing more than a pie painted on paper.

What business ethics precisely wants to tell people is the value of this pie painted on paper. It not only involves telling people to pay more attention to spiritual values when facing the choice between the spiritual and the materialistic, but also, and more importantly, it helps people free themselves from the choice between the spiritual and the materialistic, the long-term and the immediate interests. A pattern of dual antagonism in thinking appears unable to suit the present era of pluralistic co-existence, and this is true in the field of economics. The spiritual cannot be separated from the materialistic because to choose the spiritual does not mean to totally desert the materialistic. Immediate interests are part of long-term interests, in that paying attention to long-term interests means improved coordination of the long-term and immediate interests. That is, if you overlook immediate interests while determining which course of action to take, all of your options become a pie painted on paper. Therefore, finding the moral way to bring about material or economic benefits is the key, and the consideration of long-term interests will guarantee the continuation of immediate interests.

Business ethics not only helps people balance their consideration of

式与现在这个多元共生的时代已显得有点不相适应，在经济领域亦如此。物质和精神是不可分的，选择精神并不是，也不可能完全放弃物质；同样，眼前利益是长远利益的一部分，考虑长远利益并不是不考虑眼前利益，而是要使它们更好地协调起来。也就是说，在你没有找到合适的实现方法以前，无论眼前利益还是长远利益，实际上都是画饼。所以，找到合适的实现方法是获取物质利益或者说经济利益的关键，而对长远利益的考虑又将对持续的眼前利益的保障。

经济伦理学不仅能帮助人们将对眼前利益的考虑同对长远利益的考虑结合起来，而且能通过许多实例，启发人们的思考，引导人们在诚信原则的指导下，找到经济利益的合适的、合理的实现方法，同时也为企业和与企业有关的团体及个人的稳健发展和成功提出了规范和准则。

罗世范博士的这本书，是他在中国多年教学积累的结果。他在

immediate and long-term interests. By using many case studies, it also inspires reflections that lead people, under the guidance of honesty and trust, to find the right and reasonable way to produce economic benefits and to put forward the norms and criteria for the steady development and success of an enterprise and the groups and individuals related to it.

This book of Dr. Rothlin's is the result of his many years of teaching in China. He has taught the courses Business Ethics and International Business Ethics at distinguished educational institutions such as Peking University, Renmin University, University of International Business and Economics, and others. He has received a wide welcome by all who meet him. Any student who has listened to his lectures has been filled with admiration by his arguments, which use abundant case studies. And he himself has found richer case studies through his teaching and communication with students. This has further combined his teaching with the reality of China and has added value to his practice of business ethics.

Dr. Rothlin's book accomplishes the following objectives:

1) To illustrate some fundamental issues of business ethics with case studies

Dr. Rothlin puts forth 18 rules in the book that represent some fundamental issues of business ethics. As a result of the fact that business ethics in our country is in its starting phase, our readers do not have a clear

北京大学、中国人民大学、对外经济贸易大学等多所著名高等院校开设过经济伦理学和国际经济伦理学课程，受到普遍的欢迎。凡听过他的课的学生都对他以丰富实例说明的问题感到折服。而他自己也在教学中，通过与学生的充分交流，获得了更丰富的实例，使他的教学进一步与中国的国情结合起来，因而也更具备了对经济伦理实践的指导价值。

罗世范博士的这本书有以下几个特点：

1. 以案例说明经济伦理学的一些基本问题。

罗世范博士在书中提出了18条规则，这些规则代表了经济伦理学的一些基本问题。由于经济伦理学在我国仍处于起步阶段，我国读者对于经济伦理学的内容和想要解决的问题还不太清楚。有的人甚至认为，在中国目前的情况下谈论经济伦理学是没有用的，没有人会关心经济伦理学。其实，这样的看法是对经济伦理学的基本问题不了解，更是对我国企业内部对经济伦理学的需求不了解。罗世

idea about the contents of business ethics and what problems it wants to solve. Some people even hold that the present situation in China renders it useless to talk about business ethics because no one will care about it. This judgment is based on an inadequate understanding of the fundamental issues of business ethics, and even more so, of the need for business ethics within our enterprises.

Dr. Rothlin illustrates the rules by using typical case studies of business ethics. These cases tell the stories of problems in the economic fields that are increasingly puzzling people and causing them to notice and consider their actions. But because people are uninformed about business ethics, they have not yet thought about these problems on the level of business ethics. Now Dr. Rothlin makes the fundamental issues of business ethics simple and easy to understand, and clearly expounds the issues by combining them with vivid examples.

2) To stress the dilemmas of the issues so as to arouse people's careful pondering.

In the field of business ethics, people must often choose between two alternatives, such as between one's conscience and one's material interests and future, between the will of one's superior and the public interest, and between the unanimous agreement of one's colleagues and one's personal objections.

范博士使用的案例都是一些经济伦理学的典型案例，这是我国经济领域内正困扰着人们，同时也正越来越多引起人们注意和思考的问题，只是由于对经济伦理学不够了解，所以人们没有把它们上升到经济伦理学的高度来考虑。现在罗世范博士把这些生动的例子和经济伦理学联系起来，既浅显易懂，又十分确切地说明了问题。

2. 突出问题的两难性，启发人们思考，帮助人们超越两难抉择。

在经济伦理学的领域内，有些问题是需要当事人做两难抉择的，也就是说，在良心和个人的利益、前途之间，在上级领导的意志和公众利益之间，在同事们的一致态度和个人的异议之间做出抉择。比如说书中所提到的李易的例子就是一种两难抉择。书中所提出的三种选择的可能性，应该说第三种对李易来说最安全，最不用承担个人风险，但是她的良心会不会有问题呢？而第二种情况，她个人承受了一定损失，良心上可以卸去一部分责任，但是实际上她把面对这个问题的责任转给了将要接替她的人，这样是不是从根本上解

Li Yi's case, mentioned in Chapter 7, presents such a dilemma. Li Yi is a medical professional working for a pharmaceutical company who has doubts about the safety of testing a new drug. Of the three possible courses of action presented in this book, the third one—listening to her superiors—is the safest for her because she would not run any personal risk. But would it create a problem in her conscience? In the second possible course of action, she can rid some burden from her conscience by bearing some personal loss and resigning from her job. But this course of action merely shifts the responsibility of facing the problem to the one who will replace her. Can this be deemed as having solved the problem thoroughly? The first possibility—refusing to allow the tests to proceed—is of course in conformity with the demands of business ethics. But how will she deal with the personal risk which will necessarily arise? By using this case, Dr. Rothlin is inspiring careful pondering by presenting three possibilities of choice, releasing people from the fixed pattern of thinking of an alternative and helping them move towards a proper solution.

3) To stress the need for a realistic understanding of traditional ethical ideas and values within the economic field.

Business ethics cannot be separated from traditional ethical ideas, but the field of economics has its own characteristics. Traditional ethical ideas teach people to value righteousness and belittle profit, but if an enterprise

决问题了呢？第一种选择当然符合经济伦理学的要求，但是因此而带来的个人风险将如何去面对呢？罗世范博士在讲述这个案例的时候，通过给出三种选择的可能性，实际上是启发人思考，让人既从两难抉择的思维定式中解脱出来，又能朝找到正确答案的方向走去。

3. 突出传统伦理思想在经济领域内的现实理解和价值。

经济伦理学和传统伦理思想是密不可分的，但是经济领域也有它的特殊性质。传统伦理思想教育人们要重义轻利，但是一个企业要是轻利，那它可能一天也生存不下去。那么经济伦理学是不是可以独立于传统伦理思想，自行订立一套伦理法则呢？答案是否定的。经济伦理学和传统伦理思想的基本要求和准则应该说是一致的，但是在遵守基本准则和要求的前提下，应该根据具体情况和新的时代背景对传统伦理思想做出现实理解。比如说，对于重义轻利的现实理解应该是避免将义和利对立起来看待，重义并不非要轻利，重利也并不一定非要轻义。义实际上包含着一种长远的利益，所以重义

belittles profit, it cannot last long. Then can business ethics be completely independent of traditional ethical ideas and establish its own ethical norms? The answer is no.

The basic demands and norms of both business ethics and traditional ethical ideas ought to exist in conformity with each other. We must have a realistic understanding of traditional ethical ideas according to the concrete conditions of the new economic environment in which basic norms and demands are complied with. For example, the realistic understanding of valuing righteousness and belittling profit should be to avoid choosing righteousness over profit, for valuing righteousness does not necessarily mean to belittle profit and vice versa. Righteousness involves a kind of long-term interest, so that to value righteousness is in effect to value long-term interests. This understanding accords not only with the fundamental starting point of traditional ethics, but also with the reality of economics. The efforts made by Dr. Rothlin in this respect are significant. He deeply understands traditional Eastern and Western ethics and also the present situation of economics, both internationally and domestically in China. Because he stresses a realistic understanding of traditional ethical ideas within the economic field, the importance of traditional ethical ideas to the economic field comes to the fore.

Because of the above features, this book will join the series of works

实际上是重长远利益，重大利。如果这样来理解，既符合传统伦理的基本出发点，又能和经济领域的实际情况相一致。而罗世范博士在这方面的努力是十分有意义的。他很熟悉东西方的传统伦理思想，也对经济领域的现状，包括国际和中国国内的现状，相当清楚。由于他突出了传统伦理思想在经济领域内的现实理解，传统伦理思想在经济领域内的价值也凸显出来了。

由于以上这些特点，此书将以鲜明的个性加入到我国为数不多的经济伦理学著作系列中，并且必将在越来越关心经济伦理学问题的学者、企业家、经济领域的有关人员中赢得广大读者。罗世范博士也为我国经济伦理学的发展做了一件很有意义的事情。

杨恒达

2003 年 12 月

on business ethics, which number few in our country, with its distinctive, individual characteristics and will win a widespread readership among scholars, business people, and those related to the economic field who are all increasingly interested in business ethics. Dr. Rothlin has done a meaningful job for the development of business ethics in our country.

Yang Hengda

December, 2003

前言

Introduction

自实施邓小平提出的改革开放政策以来，中国几十年间发生了翻天覆地的变化。迄今为止，中国经济一直保持着快速增长。然而，加入世贸组织之后，如何保持经济可持续发展将成为中国面临的新的挑战。为了实现这一目标，成为经济强国——这也是这本书的主旨，中国必须依照国际经济伦理规则行事。

China has dramatically changed in the decades since the late Deng Xiaoping initiated his opening-up policy. Its rapid growth attests to the country's economic development thus far. However, with its recent membership into the World Trade Organization (WTO), it faces the new challenge of making its economic development sustainable. To achieve this and to become a top-notch player, the central hope of this book, China must play by the rules of international business ethics.

Many economies across the globe, especially in the wake of the series of recent corporate scandals, share in this endeavor towards ethics, in which the urgency can be compared to that of obeying traffic rules. The disregard of ethical rules will prove more disastrous than a car accident. If China, as the emerging economic powerhouse in Asia, integrates ethical rules into its economic drive, its development will not only impact Asia, but the rest of the world as well.

This book is driven by the hope that, despite the difficulties of internal economic problems and external pressures from a competitive global environment, China will eventually transform itself into a top-notch player. However, lasting economic success will only happen if China's people

在一系列的股份公司丑闻案之后，世界上的许多经济体都参与到伦理事业中来了。遵守伦理规则，其重要性可与遵守交通规则媲美；而不遵守伦理规则，则比车祸事故更具有灾难性的后果。作为亚洲经济增长的新动力，中国如果能把伦理规则作为其经济发展的动力之一，那么她的发展不仅能影响亚洲，还会对世界其他国家产生影响。

笔者希望，尽管面对内部经济问题和外部竞争压力，中国最终仍能成为经济强国。然而，只有在民众认识到执行最基本的伦理规则的重要性的前提下，持续的经济发展才可能实现。

但我们不能保证中国在市场化进程中能遵循伦理之路。中国由贫穷中走来，大部分人愿意不惜一切代价追求利润，他们不希望伦理因素阻碍他们前进的步伐。邓小平在一次讲话中曾经说过：“致富光荣”，而这句话却经常被错误地理解为对伦理因素无情的抛弃。

同时，我们希望中国能把国际经济伦理原理运用到经济中来。

discover the importance of implementing basic ethical rules.

It is not guaranteed that China will follow this ethical path in the marketplace. Since a vast majority of China's population has grown up in poverty, the appetite to increase profits at all costs is often more appealing than checking this advancement with ethics. Deng Xiaoping said, "To get rich is glorious." However, the line is often misinterpreted as an aggressive dismissal of ethical concerns.

At the same time, there is hope that China will apply the principles of international business ethics to its economy. American and European business ethics textbooks use prominent scandals (such as those involving Lockheed, Recruit, Bofors, Bhopal, and Tylenol) as a reference point for what happens when ethics are ignored. The reaction to scandals on a national and international scale has strengthened the progress of ethics. It has become obvious that corruption and bribery are not only immoral, but inflict suffering on the public and the economy. For the past decade, the Chinese government has joined this international embrace of ethics by taking decisive steps in fighting corruption, dubbing it a cancer of society.

In this book, we keep in mind the importance of these large-scale

美国和欧洲的经济伦理教科书一般用著名的丑闻案例作为忽视伦理严重后果的佐证（如 Lockheed, Recruit, Bofors, Bhopal 和 Tylenol 等案例）。一个国家和国际社会对于丑闻的反应促进了伦理的进步。很明显，腐败和贿赂不仅是不道德的，而且会给公众和经济带来灾难。在过去的 10 年间，中国参与到国际社会伦理潮流中，大刀阔斧地治理腐败问题，并用“社会的癌症”来强调腐败的破坏性。

在本书中我们继续谨记这些大宗丑闻的重要性，但也强调平常的、简单的伦理问题和伦理困境。过去五年我有幸在中国人民大学和北京大学教过的企业家和 MBA 学生，以他们的个人经历提供了可资研究的案例。由于这些案例的目的不是要确认具体的公司，我请这些作者用化名叙述，这样他们就可以不受拘束地对最严重的违反伦理道德的行为加以详细阐述。这些案例的一个缺点就是缺少一些技术性细节。我也会在合适的时候就案例作出评论或提出问题。

本书对于日常商业活动的分析采用现代历史研究方法，这种方

scandals, but we highlight dilemmas and abuses in simpler and more common cases. Entrepreneurs and MBA students from Beijing's Renmin University and Peking University, whom I had the privilege to teach over the last five years, have provided these case studies from their personal experiences. Since the objective of these case studies is not to pinpoint particular companies, I invited these writers to use pseudonyms, so that they would feel free to elaborate on the most serious violations they encountered. The downside of these case studies is that a number of technical details are lacking. Where appropriate, I have added a few lines to the comments and questions that relate to the cases.

Through the analysis of the everyday experiences of business, we have adopted the methodology of modern historical research, which investigates the daily lives of the general public, providing fresher and more appropriate insights into historical periods than researchers whose focus is confined to major events.

There is still a more powerful argument as to why this book focuses on small-scale case studies. Although the success stories of multinationals are impressive, they are not the primary motor of the Chinese economy. Their

法主要研究公众的日常生活，对于不同的历史阶段提出更新颖、更恰当的观点，而不是把研究重点放在历史大事上。

至于本书为什么把重点放在小案例上，还有一个更有力的理由。尽管百万富翁的成功故事非常吸引人，但他们不是中国经济发展的主动力。他们的重要性体现在他们在国际社会上的影响，甚至于对伦理日程制定的影响。然而在中国以及其他经济体，经济发展的动力在于中小型企业，这些企业比大型公司提供的工作机会更多。所以，我们的这些伦理规则不仅适用于大企业，而且也适合小企业。

令人欣慰的是，我们看到，尽管金融压力很大，外部环境恶劣，部分中国公司已经成功地采用了有利于培养公正和有道德行为的标准。但是，我们还有很长的一段路要走。来自商业、科学界和金融界等不同行业的人必须抓住机会，成为国内甚至世界上的伦理新领袖。

这本关于国际经济伦理的书是通过我与中国的企业家、银行家、

importance comes from their international influence, with which they are able to advance an ethical agenda. However, the driving forces in the Chinese and international economies primarily come from small and medium-sized companies. These companies provide more job opportunities than the giants. Therefore, we formulate these ethical rules not only for the big shots, but for the small shots as well.

It is inspiring to see that, despite considerable financial pressures and hostile environments, some Chinese companies have already successfully adopted standards that are conducive to clean and ethical behavior. However, there is still a long way to go. People from different streams of business, science, and finance must realize their opportunity to become top-notch ethical players not only in China, but in the global village.

Based on my ongoing dialogues with entrepreneurs, bankers, students, colleagues, and friends in China, this presentation on international business ethics is meant to be a provocative formula of specific rules that are addressed to you, an individual working in a particular social context. Rather than presenting an academic theory, these rules of ethical play stress the logic that must drive daily decisions. As with traffic rules, if you

学生、同事和朋友之间不断的对话而产生的，以一系列特定的规则作为苦口良药。这些规则是为你——一个特定社会关系中的个人——而设计的。本书不是要介绍学术理论，这些伦理规则强调影响日常决定的逻辑模式。如果你不遵守这些规则，就会像不遵守交通规则一样，失败的几率非常高。我们试着去理解案例所处的不同经济、金融和伦理背景，这些将证明在不同的环境下一套规则对于保持经济的可持续发展是必需的。

为使本书更为大众所理解，我回避了一些经济伦理上的学术辩论细节。我跟许多人一样，认为要履行这些伦理规则，需要非常的热情和信念，而学术界也将会支持这种力量。

尽管本书的目标读者是新生代，但年龄并不是决定这些规则受益者的因素。上一代的热情、投入和经验有助于将伦理融入新兴经济。

这本书建立在对话的基础上。在每章后面设计“思考题”就是

do not comply with ethical rules, you run a high risk of failure. We strive to understand the economic, financial, and ethical components of the variety of contexts of our case studies, which will provide evidence that a set of rules is necessary to sustain an economy in a variety of circumstances.

To make this book as accessible as possible, I have left out the details of the academic debate on business ethics. I, like many people, feel that a strong enthusiasm and conviction are the forces needed to implement these ethical rules, and that academia will only support these forces.

Although this book targets an emerging generation, age is not the only factor that decides who will benefit from these rules. The enthusiasm, commitment, and experience of older players are needed to help implement ethics into an emerging economy.

This book is born out of dialogues. The study questions at the end of each chapter are designed to stimulate this ongoing dialogue and to enrich the book's content with comments, criticisms, and further case studies.

While it is obvious that the main target group of these rules is the Chinese public, especially its entrepreneurs, I would also like to include foreign readers in this dialogue. With them, I share my privilege of

为了保持这种对话，通过评论、批评和深入的案例研究继续丰富本书的内容。

很明显，本书中提到的规则的主要对象是中国大众，特别是企业家，但这里我也想提到一些曾经与我在中国相处过一段时间的国外读者，我和他们都将一生面临这些规则的挑战，因为现实变得越来越复杂，要理解现在的形势并不容易。

spending time in China and the lifelong challenge to make sense of an amazingly complex reality.

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謝

这是一本国际经济伦理学的入门书，将重点放在中国。这是我的课题“经济伦理在中国”的研究成果。在研究和本书的写作过程中，台北辅仁大学法学院社会文化研究中心主任狄明德教授给予我很大的支持和鼓励，并提出了许多宝贵意见。同时我也非常感谢辅仁大学法学院的大力支持。

This book is an introduction to international business ethics with a focus on China. It is an outgrowth of my research project, Business Ethics in China. At every stage of my research and writing of this book, I have received excellent advice, encouragement, and help from Professor Dominique Tyl, SJ, former Director of the Socio-Cultural Research Center, College of Law, at Fu Jen University. I am also grateful for the extensive support from the College of Law at Fu Jen University.

A part of this research project, Business Ethics in China, is available to the Chinese public in four volumes. I directed the compilation of this series together with Professor Yang Hengda of Renmin University. Thus far, the following books have been translated into Chinese: Richard T. De George's Business Ethics (fifth edition) ; John Boatright's Ethics in Finance; Joseph Des Jardins's Environmental Ethics; Georges Enderle's (ed.) International Business Ethics. Teaching in Asia and Europe, I have relied on these texts. Their translations were published by the Weiming Translation Library of Peking University Press under the guidance of Zhang Wending. I am extremely grateful for the constant support of Professor Yang Hengda, who in 1990 wrote the groundbreaking book, The Conscience of