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(Photograph by 摄影: Chan I Hon 陈显耀)

Transforming *Homo Economicus*

转变经济人模型

Stephan Rothlin 罗世范

The gap between the rich and the poor keeps widening. A very small group has privileged access to vital resources while a growing number of people find themselves totally left behind. If we refer to the "wealth-gap" between top and bottom of the economic "pyramid" we usually focus on the disparity in access to financial resources. Those who seem locked in a vicious circle of poverty, violence and denial of rights quite often do not have proper access to education and adequate professional training. Hong Kong's wealth gap, for example, has widened to a historic high, with the richest households now earning about 44 times what the poorest families scrape together, in spite of government efforts to alleviate poverty.

There is no point in denying that an exclusive focus on economic efficiency and how to achieve it has largely replaced previous approaches—spiritual, religious, philosophical and traditional—to life and how to live it well. Politicians may tout the economic and financial efficiency of their policies in order to win the approval of a majority of voters. Nevertheless, mainstream economists relying on the same paradigm were unable to foresee the unprecedented collapse of the financial system ten years ago. Simplified versions of *homo economicus* may have encouraged naïve and boundless faith in the supposedly flawless functioning of financial markets while vastly underestimating their lack of predictability and vulnerability to disruption. Such misplaced faith in the global economic system, as Pope Francis pointed out, in the extreme case is responsible for the suffering and death of too many people locked in an economy of exclusion: "Just as the commandment 'Thou shall not kill' sets a clear limit in order to safeguard the value of human life, today we also have to say 'thou shalt not' to an economy of exclusion and inequality" (*Evangelii Gaudium*, sec. 53). This type of exclusion results from a biased and disingenuous interpretation of *homo economicus*: human beings are exclusively defined by their "cash value," rewarded for their ability to increase profits and cut costs, while at the same time they are completely ignored and risk being marginalised, if they fail to measure up to the relentless demands for increased productivity.

While the valuable insights of the *homo economicus* model have had a decisive impact in focusing our attention on how to make efficient use of limited resources, nevertheless, it needs a second look. What is required is a fresh and ethical approach that values the unique dignity, trustworthiness and integrity of each human being, showing how and why these values are the indispensable basis for a sound and sustainable economic system. Human beings just cannot be discarded as consumer goods, or even abused and oppressed. Nevertheless, even courses on business ethics sometimes have served as a kind of fig leaf covering the business schools' overall obsession with money and profit maximization, ignoring any real concern for the dignity of the person, all-too-often rendering their students insensitive to ecological catastrophe and indifferent to the needs of the larger society. But now may be a great time for a paradigm shift in what is taught in business schools, one that would focus their expertise in managing organizations and analysing complex social situations in order to empower people to contribute to the benefit of the larger society.

This second issue of the Macau Ricci Institute Journal attempts to bring together different perspectives challenging simplistic and dehumanizing views of what it means to be human. Our survey starts and ends with personal experiences and journeys. Helen Xu offers a case study on what students in China must face in attempting to finance their university education. Predators, often motivated by a desire for more than economic gain, have exploited innovative digital technologies designed to facilitate peer-to-peer borrowing and lending. Her story, however, offers hope that such abuses can be overcome, if people find ways to resist effectively.

Resources for such resistance can be found in many unlikely places. Liu Guangming's concern over sweatshop conditions in Guangdong Province, and the assaults on human dignity suffered by migrant workers there, leads him to a creative reading of the Harvard philosopher, John Rawls', *Theory of Justice*. Henri-Claude de Bettignies, following up on his study on "Responsible Leadership" in the first issue of this

贫富之间的差距持续扩大。少数人拥有优越的资源，而越来越庞大的群体则完全落后于人。在比较经济“金字塔”顶端和底端人群的财富差距时，通常我们关注的是其占有金融资源之间的失衡。那些陷于贫穷、暴力、权利被剥夺的恶性循环中的人，往往无法获得适当的教育和职业培训。例如，尽管政府竭力消除贫穷，香港的贫富差距已经达到历史新高，最富裕的家庭收入是最贫困家庭收入的44倍。

无可否认，对经济效益以及如何实现其目标的单一关注，已经取代了以前对生活的各种期待：精神、宗教、哲学和传统，以及如何生活得更加美好等。政客们通过兜售其政策的经济效益和财政效益来获得大多数选票。然而，信奉同一模式的主流经济学家

我们所需的是，从全新的道德视角，珍视每个人尊严、信誉、诚实的品质，展示这些价值为何及如何成为健全和可持续的经济体系不可或缺的基础。

们，并没能预见到十年前金融体系的空前崩溃。简化的经济人模型也许鼓励了人们天真地相信，金融市场能够无暇运转，然而却大大低估了其不可预测性和面对崩溃的脆弱性。正如教宗方济各所指出，对全球经济体系错位的信赖，在极端案例中，是导致困于垄断经济中的多数人的苦难和死亡的原因。正如戒律所言：“不可杀人”，由此划清界限，捍卫人类生命，今天，我们要对垄断和不平等经济体系说：“不可这样”。（Evangelii Gaudium，第53节）。垄断的成因，来自于对经济人模型带有偏见和扭曲的解读：人的价值的定义仅限其“现金价值”，即他们增加利润和降低成本的能力；如果他们没能达到提高生产率的无情要求，则会被完全忽视，且风险被边缘化。

尽管经济人模型的宝贵见解对于我们关注如何有效利用有限的资源有着决定性的影响，它仍需要进一步的解读。我们所需的是，从全新的道德视角，珍视每个人尊严、信誉、诚实的品质，展示这些价值为何及如何成为健全和可持续的经济体系不可或缺的基础。我们不能将人视为消费品，更不能对人进行虐待或压迫。然而，即便是有关商业道德的课程，有时候也变成商学院的遮羞布，掩盖他们对于金钱和利益最大化的执迷，忽视人的尊严，时常导致其学生对生态灾难的无视，对更广泛的社会需求的冷漠。现在正是转变商学院教授内容模式的大好时机，新的模式将专注于应用其专业技能管理组织，分析复杂的社会状况，以便使人们为更广泛的社会利益贡献力量。

《澳门利氏学社学刊》第二期旨在结合不同视角，挑战有关如何为人的过于简单化和去人性化的观念。我们的调研以个人经历和旅程开端并结束。Helen Xu提供了一个案例研究，有关中国大学生在筹集大学学费时必须面对的问题。受比正常经济利益更大诱惑的驱动，本意用于方便同业借贷和放贷的创新数字技术被掠夺者恶意利用。从她的故事中，我们看到希望，如果人们能够有效抵制诱惑，这样的滥用是可以避免的。

抵制诱惑的动力来源于很多看似不可能的地方。Liu Guangming对广东省的血汗工厂条件及民工人格尊严受到践踏的关注，促使他对约翰·罗尔斯的《正义论》产生创新的解读。Henri-Claude de Bettignies在跟进其发表于本学报第一期的《负责任领导力》，带我们走进中国的商学院，寻找一些方式，借此能够将企业变成社会中“向好的力量”，而不仅仅是守法实体。Laszlo Zsolnai和Eleanor O’Higgins报告了他们研究进步企业的案例，积极参与为所有利益相关者开展创新工作，超越了经济人模型传统观念的束缚。本期采访了著名的香港企业家Johnny Hon，他对慈善事业的奉献，让我们看到希望，行善者功成业顺。

在三个相关的片段中探讨了应对气候变化问题的可能性，呼应教宗方济各对环保责任的个人行动。Dennis McCann为Franz Gassner和Mark Pufpaff的案例研究报告作序，回顾了教宗方济各2015年为“守护我们共同的家园”作的通谕《愿祢受赞颂》。Gassner和Pufpaff关注的是对教宗训谕的具体响应，一位重新考虑全球及本地的废物管理做法，另一位则展示了教宗对做出改变的呼吁，收到来自普通民众的热情响应（在菲律宾，人们以“Karaniwang Tao”为主题进行庆祝）。当人们拒绝被视为商品，被放入市场进行买卖，为人性考虑，我们不仅应

journal, takes us into China's business schools, in search of ways in which businesses can go beyond mere compliance with the law to become a "force for good" in our society. Laszlo Zsolnai and Eleanor O'Higgins report on their study of progressive businesses, actively engaged in making innovation work for all their stakeholders, thus moving beyond the constraints imposed by conventional views of *homo economicus*. This issue's interview is with Johnny Hon, a very successful Hong Kong entrepreneur, whose extraordinary commitment to philanthropy, gives us hope that it is still possible to do well while doing good.

lives. David Urrows explores how a book of hymns were part of the 'cultural baggage' that August von Hallerstein SJ, 刘松领 (Liu Songling) carried with him from his native Slovenia. Hallerstein's hymnal, printed in Graz in 1729 and brought to China in 1736, stands as a strong symbol of values and the force of conviction that kept resonating in the life of a Jesuit who held an important position in Beijing as an astronomer. Urrows, exploring Hallerstein's hymnal and other artefacts, shows how our common humanity is expressed through the 'cultural baggage' we carry, resonating as it must through our encounters with other cultures.

Renewed awareness of the profound

> What is required is a fresh and ethical approach that values the unique dignity, trustworthiness and integrity of each human being, showing how and why these values are the indispensable basis for a sound and sustainable economic system.

The possibilities for addressing the challenge of climate change are explored in three interrelated pieces, reflecting on Pope Francis' personal campaign for environmental responsibility. Dennis McCann prefaces the case studies reported by Franz Gassner and Mark Pufpaff, with a review of Pope Francis' *Laudato Si'*, his 2015 encyclical letter on "Care for our Common Home." Gassner and Pufpaff focus on concrete responses to Pope Francis' teaching, the one rethinking waste management practices globally as well as locally, the other showing how Francis' appeal for change has met with significant responses from ordinary people (celebrated in the Philippines as "*Karaniwang Tao*"). *Homo economicus* must not only be re-examined for the sake of humanity, but also changed, if people refuse to accept the role assigned to them as commodities, to be bought and sold in the marketplace.

Restoring a sense of humanity in *homo economicus* requires not only new forms of social engagement, but also a retrieval of our personal histories. Exploring such roots inevitably connects us to core values that continue to resonate in our

affective resonance that carrying such baggage brings with it may lay the groundwork for developing an alternative interpretation of *homo economicus*. It need no longer be identified with narrow self-interest and greed but may be enlarged through a deepening awareness of humanity's spiritual nature. After all, what does a "rational" approach to economics really mean, if it consistently ignores the spiritual dimension of being human? "Spirituality," to be sure, needs to be understood in its reference to commonly recognised values of honesty, trustworthiness, integrity and the ability to communicate and interact with each other in a fair and decent way. However, these values are nurtured in wisdom traditions in which spirituality is cultivated. While they remain vulnerable to destruction in the hurly-burly of modern life, they may yet have a decisive impact on human behaviour, even and especially economic behaviour.

Does the drive for short-term profit necessarily crowd out any attempt to stick to one's values? Empirical evidence, for example, of exposure programs with university students keeps surprising us. I remember how deeply inspiring

该重新审视经济人模型，而且应该改变它。

在经济人模型中重塑人性，不仅需要新形式的社会参与，还需要我们对个人历史的回溯。探索这些根源不可避免地将我们与仍对我们生活产生反响的核心价值联系起来。David Urrows探寻了一本赞美诗如何成为August von Hallerstein SJ，刘松龄（Liu Songling）的“文化行李”的一部分，并由他从故乡斯洛文尼亚向外传播。Hallerstein的赞美诗印刷于1729年的格拉茨，1736年被带到中国，是价值的有力象征，也是信念的力量，对一位在北京担任重要职位的天文学家，同时也是耶稣会信徒的生活产生了持续影响。Urrows通过探索Hallerstein的赞美诗和其他手工艺品，展示出共有的人性如何通过我们携带的“文化行李”表达出来，并在我们与其他文化交汇时必然产生影响。

对携带此类“行李”的深刻情感共鸣的重新认识，可能为重新解读经济人模型打下基础。它不必再背负狭隘的个人利益和贪婪的标签，而是可以通过对人类精神本质的深刻认识得以放大。毕竟，如果它持续忽视人类的精神层面，“理性”的经济学方法又有什么意义呢？诚然，对“精神层面”的理解，应与普世的价值如诚实、可信、正直、与他人公平得体地交流互动的能力等相联系起来。然而，这些价值正是在培育精神的智慧传统中成长的。在喧嚣的当代生活中，尽管它们极易被摧毁，然而对人类的行为，特别是经济行为，却可能产生决定性的影响。

对短期利益的追逐，一定要牺牲对个人价值的坚守吗？大学生开展的接触项目所提供的实证证据，令我们惊讶。我记得与德国和瑞士的学生相处时，他们的经历非常鼓舞人心。他们来到印度北部最贫穷的乡村，与当地居民一起劳作，暂时与手机、化妆品、空调和镜子等隔绝——而这些，都是象征舒适家庭生活的“文化行李”。学生们问，没有这些东西我怎么活？在今天的世界，一个人被推出自己的舒适区，去获取白手起家的一手经验，是一种荣幸。整个过程对学生将来在生活中做出决定的方式产生了深远影响。参与该项目的很多学生对广泛的社会利益产生新的关注，程度超越了此前他们仅希望获得高薪的愿望。来自优越社会群体的学生，对当今世界的奴役和剥削情况并不知情。然而，如果明天的社会创新者对挣扎的人类生活并没有亲身体验，如何能够产生任何可行的经济模式？

我们必须批判地挑战所继承的智慧传统，以确定他们能否超越过去不平等的社会和经济形式，这些形式或被认为是自然存在的，或是天主的旨意。我们可能很容易忘记，所有的智慧传统都是脆弱的，如果不与不包容、剥削和赤贫的纷乱现实接触，极易分崩瓦解。中国智慧传统所面临的迫切问题，尤其是关于其对教育的贡献的问题是：所有这些传统——儒教、伊斯兰教、佛教、道教和基督教——对重塑理性行为的概念产生了什么影响？理性行为概念应鼓励人们做出对共同利益有利的决策，而非使人们背离这一原则。讽刺的是，当下环境中，成功总属于那些最快摒弃基本人类价值的人，那道德模范还有什么意义？

我们不得不质疑那些新晋的平民主义领导人物，他们实行强制手段，公然撒谎，却似乎能够获得大众甚至是宗教圈人士的接受和认可，这些领导者利用人们似乎随时可以出卖自己的核心价值，以换取社会地位的提升，以及人们认为经济体系是蓄意与己对抗而产生的憎恨心理，挑战经济人模型的主导模式。但是，他们除了会煽动愤怒，以支持肆意忽视法制和基本道德原则的政治之外，还能提供什么？

在普遍缺乏勇气站出来对抗滥用权力的领导人的氛围下，我们欢迎由好莱坞娱乐明星发起的“我也是”（“Me-Too”）等类似运动。它有潜力成为转变运动的分水岭，成灾的滥用权力文化有望转变为尊重个体尊严的文化。我们应向“我也是”运动中的女性参与者致敬，她们领导社会创新，推进了道德行为目标向前发展。

如何在考虑价值的规范性同时理性地构思社会创新？诚实、真实、可信、正直、可靠，简而言之，这些价值如何成为社会创新的驱动因素，从而对广泛的社会阶层产生裨益？如本期《澳门利氏学社学刊》供稿者提供的各种不同的方法所示，我们需要一种全新的“理性行为”，借此转变狭隘甚至是危险的仅关注个人利益的经济模型，使其变成一种尊重个体尊严——尤其是最脆弱的个体——使全体社会受益的模型。

罗世范，澳门利氏学社社长、北京及香港罗世力国际管理咨询有限公司总裁。

it was for me to be with students from Germany and Switzerland, challenging themselves to live in one of the poorest rural settings in Northern India and sharing in the community's manual tasks, temporarily separated from cell phones, make-up kits, air conditioning and mirrors—the 'cultural baggage' that resonates with the comforts of home. Students asked, how can I survive without my things? In today's world, it is certainly a privilege to be pushed out of one's own comfort zone in order to gain hands-on experience of building up something literally from scratch. The whole process had a profound impact on the way the students might make their decisions in life. For many of the participants in the exposure program a fresh concern for the benefit of the larger society came to override their previous priority focused only on getting a high salary. Usually students coming from privileged social groups are unaware of situations of slavery and exploitation in today's world. But how can any viable alternative economic model emerge if tomorrow's social innovators never have personal experience of situations of struggling humanity?

We must critically challenge inherited wisdom traditions to determine whether they may grow beyond the forms of social and economic inequality all too often accepted in the past as natural or as God's will. We may easily forget that all wisdom traditions are vulnerable and prone to fall apart, when they lose touch with the disturbing realities of exclusion, exploitation and abject poverty. The pressing question for China's wisdom traditions, especially related to their contribution to education is: Can these traditions—Confucianism, Islam, Buddhism, Daoism and Christianity—in any way contribute to reshaping a concept of rational behaviour that encourages, rather than distracts from, making decisions which will benefit the common good? What is the meaning of moral leadership in a context where success, ironically enough, goes to those most willing to abandon basic human values?

We cannot avoid questioning the rise of populist leaders who, despite their shrewd coerciveness and blatantly repeated lies, seem to meet broad acceptance and approval even from religiously inspired circles, which appear ever ready to sell out their core values for a perceived gain in their social status. Such leaders are also challenging the dominant paradigm of *homo economicus*, taking advantage of the resentments of people convinced that the economic system is rigged against them. But what have they to offer beyond their success in mobilising anger, in support of a politics based on a wilful disregard of the rule of law and basic ethical principles?

In the midst of the general lack of courage to stand up against abusive leaders, we welcome the emergence of the "Me-Too" movement driven by Hollywood stars in the entertainment industry. It has the potential to become a watershed moment in a process of change from a culture of rampant abuse towards a culture respecting the dignity of each individual. The activist "Me-Too" women should be saluted for their leadership in social innovation to advance the cause of ethical behaviour.

How should social innovation be conceived in a rational approach that once again takes the normative aspect of values into account? How can the values of honesty, truthfulness, trustworthiness, integrity, and reliability, in short, become the drivers of social innovations that may benefit broader layers of society? As our contributors to this second issue of the MRI Journal suggest in various ways, a whole new outlook on the term "rational behaviour" is needed to bring about a shift from a narrow-minded and even dangerous economic model focused exclusively on self-interest towards a model which respects the dignity of each individual—especially the most vulnerable—for the benefit of society as a whole.

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Laudato Si': Mobilising Christian Faith and Practice for Environmental Responsibility

《愿祢受赞颂》：动员基督教徒环境责任信仰与实践

Dennis Patrick McCann 丹宁思

Abstract

Building upon the work of his predecessors, Pope Francis shaped Laudato Si' as an appeal focused on spirituality, in order to mobilise the creativity of all people at all levels of society, in the cause of environmental responsibility. Though clearly grounded in Catholic Social Teaching (CST), Laudato Si' is socially innovative, not only in its extended dialogue with scientific studies of climate change, but also in its direct appeal to ordinary people, challenging them to participate in popular movements for sustaining a global shift in developmental priorities toward care for the earth as our "common home." This essay introduces Laudato Si', with special emphasis on its understanding the role of spirituality, interreligious dialogue and collaboration in mobilising popular efforts to address the problem of climate change. In order to illustrate the practical significance of Laudato Si's perspective, this essay will be followed by two case studies, the one by Franz Gassner, showing its convergence with scientific attempts to revolutionise our waste management practices, the other by Mark Pufpaff, showing the diverse ways in which the Catholics in the Philippines have responded to Francis' challenge to develop transformative approaches to environmental responsibility.

摘要

教宗方济各在其前任的工作基础上，将《愿祢受赞颂》塑造为一种专注于灵性的呼吁，以调动社会各阶层的创造力，承担起环境责任。尽管《愿祢受赞颂》显然是基于天主教社会训导（以下简称CST）理念，但其本身具有社会创新性，不仅表现在将对话扩展至气候变化的科学研究领域，而且还在于对普通民众的直接呼吁，鼓励其加入维持全球性的转变大潮，即将全球发展的优先事项转为爱护我们"共同的家园"——地球。本文介绍了《愿祢受赞颂》，特别强调其对灵性、宗教间对话和合作在动员大众努力解决气候变化问题的作用。本文接下来将通过两个案例研究阐释《愿祢受赞颂》观点的实际意义，其中一个为Franz Gassner所作，试图结合科学来改革我们的废物管理做法；另一个为Mark Pufpaff所作，内容为菲律宾的天主教徒回应方济各所提出的挑战的各种方法，即制定承担环境责任的变革性做法。

Papal encyclicals—that is, circulating letters from the Pope to anyone who would read them, starting with his brother bishops, Catholic clergy and laity, and all persons seeking a moral basis for shaping the common good—provide the most important benchmarks in the development of modern Catholic Social Teaching (CST). *Laudato Si'*, Pope Francis' encyclical letter "On Care for our Common Home" (2015), evoking the famous hymn by St. Francis of Assisi[1], clearly presents itself in continuity with CST's tradition. The letter begins by acknowledging the teachings of recent Popes on environmental responsibility, beginning with Paul VI's warning about ecological catastrophe in *Octagesima Adveniens* (1971, sec. 21), John Paul II's call to "safeguard the moral conditions for an authentic human ecology" in *Centesimus Annus* (1991, sec. 38) as well as the more recent statement by Benedict XVI in *Caritas in Veritate* (2009, sec. 51) that "the deterioration of nature is closely connected to the culture which shapes human coexistence." As Francis observes, "Pope Benedict asked us to recognise that the natural environment has been gravely damaged by our irresponsible behaviour. The social environment has also suffered damage. Both are ultimately due to the same evil: the notion that there are no indisputable truths to guide our lives, and hence human freedom is limitless." (2015, sec. 6).

> The curious weakness and lack of consensus among international agencies, national governments, and other organizations pledged to promote the common good.

Picking up on these leads, Francis had already made a priority of addressing climate change by authorising the Pontifical Academy of the Sciences' sponsorship in 2014 of a "Workshop on Sustainable Humanity, Sustainable Nature: Our Responsibility" (Pontifical Academy of the Sciences, 2014), and a follow-up workshop in 2015 on "Climate Change and the Common Good: A Statement of the Problem and The Demand for Transformative Solutions." (Pontifical Academy of the Sciences, 2015). These conferences fostered dialogue focused on the scientific basis for understanding climate change and what can be done about it, and brought the Vatican's policy makers into line with the emerging global consensus on both the problem and its solutions.

The perspectives emerging from the Pontifical Academy of the Sciences supported the high-level international diplomatic efforts that led to the COP21 agreements. In December 2015, representatives of 195 nations met in Paris to pledge collectively to work together to mitigate climate change by setting the following goals for reducing greenhouse gas emissions:

> Governments agreed: a long-term goal of keeping the increase in global average temperature to well below 2°C above pre-industrial levels; to aim to limit the increase to 1.5°C, since this would significantly reduce risks and the impacts of climate change; on the need for global emissions to peak as soon as possible, recognising that this will take longer for developing countries; to undertake rapid reductions thereafter in accordance with the best available science. (European Commission, 2015)

While the pledges made through COP21 are not sufficient to keep global warming below the 2°C threshold, they begin a process that, it is hoped, will meet "every five years to set more ambitious targets as required by science."[2] (European Commission, 2015)

Prior to the COP21 Agreement, *Laudato Si'* summarised the science of catastrophic climate change, analysing its causes and projected consequences in many paragraphs (2015, secs. 17-52), as well as the curious weakness and lack

1 "The Canticle of the Creatures" was composed by St. Francis of Assisi, in his native Umbrian dialect, in 1226 CE, during his illness at San Damiano, Italy, and is available in translation (Francis of Assisi, S. 1226).

2 For a more detailed review of what the COP21 Agreement means, see the analysis, "Historic Paris Agreement on Climate Change," issued by the UN Climate Change Newsroom (2015).

教宗通谕——即教宗发出的传阅信件，分发给任何愿意阅读的人，先是他的兄弟主教、天主教神职人员和俗人，以及所有为塑造共同利益寻求道德基础的人——在现代天主教社训导学（CST）的发展中提供最重要的基准。教宗方济各的教宗通谕《关心我们共同的家园》（2015年），也就是《愿祢受赞颂》，唤起了圣方济阿西西的著名赞歌，[1]这显然是延续了CST的传统。该通谕首先承认了近几任教宗对环境责任的教导，先是保禄六世在Octagesima Adveniens作出的生态灾难警告（1971年，第21节），若望·保禄二世在Centesimus Annus呼吁“维护真实人类生态的道德条件”（1991年，第38节）以及本笃十六世在Caritas in Veritate的最新声明（2009年，第51节），称“自然的恶化与形成人类共存的文化密切相关。”正如方济各所言，“教宗本笃要求我们认识到，我们不负责任的行为严重破坏了自然环境。社会环境也遭受破坏。两者最终都是出于同样的恶因：认为不存在毫无争议的真理来指导生活，因此人类的自由是毫无界限的。（2015年，第6节）

> 分析了承诺促进共同利益的国际机构、国家政府和其他组织之间不寻常的疲弱和缺乏共识现象。

方济各抓住这些先例，把解决气候变化问题作为优先事项，于2014年批准赞助宗座科学院举办“人类可持续发展，自然可持续发展：我们的责任研讨会”（宗座科学院，2014年），并于2015年举办后续研讨会，主题为“气候变化和共同利益：问题声明以及变革方案的要求”（宗座科学院，2015年）。这些会议促进了对话，重点在科学基础上了解气候变化，以及如何应对，并使梵蒂冈的决策者与新兴的全球共识在问题认识和解决方案上达成一致。

宗座科学院的新观点支持了导致第二十一次缔约方会议协议的高层国际外交工作。2015年12月，195个国家的代表齐聚巴黎，共同承诺设定以下目标减少温室气体排放，共同努力缓解气候变化趋势：

> 政府同意：长期目标为保持全球平均气温提升低于2℃，高于工业化前的水平；旨在将温度提升限制到1.5℃，因为这将大大降低风险和气候变化的影响；必须尽快使全球排放达到峰值，认识到发展中国家将需要更多的时间达到这个要求；利用现有的最先进科学，快速减少气体排放。（欧委会，2015年）

虽然第二十一次缔约方会议所作承诺并不足以让全球温度提升控制在2℃阈值以下，但其开始了希望将“每五年按科学要求设定更雄心勃勃的目标”的进程（欧委会，2015年）。[2]

在第二十一次缔约方会议协议之前，《愿祢受赞颂》总结了灾难性气候变化的科学研究，在不少段落里分析其成因并预测后果（2015年，第17-52节），并分析了承诺促进共同利益的国际机构、国家政府和其他组织之间不寻常的疲弱和缺乏共识现象（2015年，第53-61节）。除了讨论政策，《愿祢受赞颂》的核心信息是寻求在理解上取得突破，呼吁集体改变心态，彻底转变基于“被误导的人类中心主义”的“一次性文化”（2015年，第22节）。以下是《愿祢受赞颂》对这种过于普遍的世界观及其破坏性后果的分析：

> 被误导的人类中心主义导致了被误导的生活方式……当人类把自己置身于中心时，他们会把眼前的便利放在绝对的优先位置上，而其他一切都变成不过是与之相关的。因此，当我们发现，在无所不在的技术专家范式和对无限人力的狂热崇拜结合下，兴起了相对主义，认为一切都是无关紧要的，除非它符合自己的切身利益。对此，我们也不会感到惊讶。所有这些都存在一种逻辑，即不同的态度可以

1 公元1226年，圣方济阿西西在意大利圣达米诺患病期间，以其母语翁布里亚语创作《生物的颂歌》，可在翻译中找到（圣方济阿西西1226年）。

2 要对第二十一次缔约方会议协议的含义进行更详细的查阅，请参见联合国气候变化新闻编辑室（2015年）发表的《关于气候变化的历史性巴黎协定》的分析。

of consensus among international agencies, national governments, and other organizations pledged to promote the common good (2015, secs. 53-61). But beyond the policy discussion, the core message of *Laudato Si'* seeks to promote a breakthrough in understanding, calling for a collective change of heart, a decisive shift from

Laudato Si' goes well beyond analysing theoretical fallacies to pointing out their practical consequences, especially as these converge in a dominant and increasingly globalised lifestyle that is not only socially irresponsible, but also environmentally disastrous.

a "throwaway culture" (2015, sec. 22) based on a "misguided anthropocentrism." Here is *Laudato Si'*s analysis of this all-too-prevalent worldview and its destructive consequences:

> A misguided anthropocentrism leads to a misguided lifestyle… When human beings place themselves at the centre, they give absolute priority to immediate convenience and all else becomes relative. Hence we should not be surprised to find, in conjunction with the omnipresent technocratic paradigm and the cult of unlimited human power, the rise of a relativism [that] sees everything as irrelevant unless it serves one's own immediate interests. There is a logic in all this whereby different attitudes can feed on one another, leading to environmental degradation and social decay. (2015, sec. 122)

In Francis' view, the problem created by "practical relativism" is general, a pervasive attitude whose symptoms are evident in a vast range of social evils:

> The culture of relativism is the same disorder which drives one person to take advantage of another, to treat others as mere objects, imposing forced labour on them or enslaving them to pay their debts. The same kind of thinking leads to the sexual exploitation of children and abandonment of the elderly who no longer serve our interests. It is also the mindset of those who say: Let us allow the invisible forces of the market to regulate the economy, and consider their impact on society and nature as collateral damage. In the absence of objective truths or sound principles other than the satisfaction of our own desires and immediate needs, what limits can be placed on human trafficking, organized crime, the drug trade, commerce in blood diamonds and the fur of endangered species? Is it not the same relativistic logic [that] justifies buying the organs of the poor for resale or use in experimentation, or eliminating children because they are not what their parents wanted? This same "use and throw away" logic generates so much waste, because of the disordered desire to consume more than what is really necessary. (2015, sec. 123)

It is not unusual to find statements condemning moral "relativism" in CST. But *Laudato Si'* goes well beyond analysing theoretical fallacies to pointing out their practical consequences, especially as these converge in a dominant and increasingly globalised lifestyle that is not only socially irresponsible, but also environmentally disastrous. However, if this is the problem, what might be the solution? *Laudato Si'* rightly admits the ineffectiveness of politics-as-usual or pious appeals to the rule of law. "When the culture itself is corrupt and objective truth and universally valid principles are no longer upheld, then laws can only be seen as arbitrary impositions or obstacles to be avoided." (2015, sec.

相互影响，导致环境恶化和社会衰败。（2015年，第122节）

在方济各看来，“实际相对主义”所造成的问题是普遍的，普遍的态度症状在各种各样的社会弊病中显而易见：

> 相对主义文化的症状表现为驱使人们利用他人，仅把他人当作物品看待，压榨其劳动力或奴役他人以偿还债务。同样的想法导致了儿童性剥削和不再符合我们利益的老年人被抛弃的事实。这也反映了部分人的心态：让我们允许市场的无形之手来调节经济，其对社会和自然的影响只是附带损害。没有客观的真理或健全的原则，只剩下满足我们的自身欲望和眼前需要，那么有什么可以限制人口贩运、有组织犯罪、毒品交易、血钻和濒危物种的皮毛贸易？这难道不是和相对逻辑一样的吗？认为购买穷人器官用于转售或是试验是正当的，父母不想要孩子就处理掉也是正当的。就因为这种无序的欲望消费了比必须更多的东西，同样的“用完即弃”逻辑才导致了如此多的浪费。（2015年，第123节）

在CST中发现谴责道德“相对主义”的声明并不罕见。但《愿祢受赞颂》的研究远远超出了理论谬误的分析，指出了实际后果，尤其是当这些问题集中在一种占主导地位且日益全球化的生活方式时，这种生活方式不仅对社会不负责任，而且对环境造成了灾难性的后果。然而，如果这是问题所在，那么解决之道呢？《愿祢受赞颂》正确地承认了政治或虔诚地诉诸法律的无效性。“当文化本身是腐败的、不再维护客观真理和普遍有效的原则时，那么法律只能被看作是武断的强加，或是可以避免的障碍。”（2015年，第123节）。当文化本身腐败时，暴力似乎是动摇根基开创新局面的唯一方法。但真的是这样吗?

《愿祢受赞颂》的回应指向完全不同的方向。想要过上更好的生活，需要改变我们内心的习惯。但这样的转变只能在真正的“对话”基础上开始。“对话”一词是方济各经常使用的术语，这可能是解开教宗通谕实际建议的关键。他所说的对话是人们之间的真诚对话，这些人尽管或可能因为背景不同，却认识到共同的人性和对我们共同家园的责任（2015年，第199-201节）。因此，对

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话必须是非暴力的，尊重基本的文明规范，敞开胸襟以实现宗教间的理解与合作，并以真实的灵性为基础。

作为对这一全球对话的贡献，方济各因此提供了一个关于环境责任的圣经视角，这一观点肯定了人类对自然的管理——而不是支配或肆无忌惮的压榨（2015年，第116节）。对《创世纪》中人类所扮演角色的恰当的神学理解，对于发展将环境责任作为最优事项的文化是必不可少的。《创世纪》神学（2015年，第65-75节）是基督徒与其他宗教传统的对话，以共同应对灾难性气候变化的威胁。同时满足人类管理的限度和可能性，又能与他人交流和分享的深化灵性，在圣方济阿西西的普遍呼吁也得到有力证明。

以下是《愿祢受赞颂》对圣方济著名的《生物的颂歌》所包含意义的诸多反思之一：

> 而且，当我们真正敞开心怀进行普世交流时，这种友爱感将海纳百川，无所不容。由此可见，我们对世上其他生物的冷漠或残忍，迟早会影响到我们对他人的对待方式。我们只有一颗心，而致使我们虐待动物的恶因，在不久之后同样会出现在我们与他人的相处中。对任何生物的任何残忍行为都是“违反人类尊严”的。如果我们漠视真实的任一方面，又如何能证明自己是充满爱心的……事物是普遍联

123). When the culture itself is corrupt, violence may seem to be the only way to shake things up and start down a different path. But is it?

*Laudato Si'*s response points in an entirely different direction. Reorienting aspirations for a better life requires transforming the habits of our hearts. But such a transformation can only begin on the basis of genuine "dialogue," a term frequently used by Francis that may provide the key to unlocking the encyclical's actual recommendations. What he means by dialogue is genuine conversation among people who, despite or perhaps because of, their diverse backgrounds, recognise their common humanity and responsibility for our common home (2015, secs. 199-201). Dialogue, therefore, must be nonviolent, respectful of basic norms of civility, open to achieving interreligious understanding and cooperation, and grounded in authentic spirituality.

One practical consequence of this perspective is that the challenge of catastrophic climate change cannot be solved on the backs, so to speak, of the poor. "Peace, justice and the preservation of creation are three absolutely interconnected themes."

As a contribution to this global dialogue, Francis thus offers a Biblical perspective on environmental responsibility that affirms humanity's stewardship—in contrast to domination or unbridled exploitation—over nature (2015, sec. 116). A proper theological understanding of humanity's role in Creation is indispensable for developing a culture in which environmental responsibility becomes a top priority. This theology of Creation (2015, secs. 65-75) is what Christians bring to the dialogue with other religious traditions, in order to respond collectively to the threat of catastrophic climate change. A deepening spirituality that honours both the limits and possibilities of humanity's stewardship can be communicated and shared with others, as is so eloquently demonstrated by the universal appeal of St. Francis of Assisi.

Here is one of *Laudato Si'*s many reflections on the meaning of St. Francis' famous "Canticle of the Creatures":

> Moreover, when our hearts are authentically open to universal communion, this sense of fraternity excludes nothing and no one. It follows that our indifference or cruelty towards fellow creatures of this world sooner or later affects the treatment we mete out to other human beings. We have only one heart, and the same wretchedness [that] leads us to mistreat an animal will not be long in showing itself in our relationships with other people. Every act of cruelty towards any creature is "contrary to human dignity". We can hardly consider ourselves to be fully loving if we disregard any aspect of reality.… Everything is related, and we human beings are united as brothers and sisters on a wonderful pilgrimage, woven together by the love God has for each of his creatures and which also unites us in fond affection with brother sun, sister moon, brother river and mother earth. (2015, sec. 92)

One practical consequence of this perspective is that the challenge of catastrophic climate change cannot be solved on the backs, so to speak, of the poor. "Peace, justice and the preservation of creation are three absolutely interconnected themes" (2015, sec 92). Since, as *Laudato Si'* insists, the dramatic rise in social and economic inequality accompanying globalisation has contributed to the environmental crisis (2015, secs. 48-52; cf. also secs. 93-95), it is impossible to address the crisis effectively without also reversing the trend toward inequality:

系的，全人类在一次奇妙的朝圣之旅中，被天主的爱联系到一起，成为兄弟姐妹，天主的爱洒向每一种生物，也让我们和日月山河成为兄弟姐妹，并有(一)个共同的母亲——地球。（2015年，第92节）

该观点的一个实际结果是，可以说，灾难性气候变化的问题无法在解决贫穷问题前得到解决。“和平、正义和保护宇宙万物是三个绝对相互关联的主题。”

该观点的一个实际结果是，可以说，灾难性气候变化的问题无法在解决贫穷问题前得到解决。“和平、正义和保护宇宙万物是三个绝对相互关联的主题”（2015年，第92节）。因为《愿祢受赞颂》坚持认为，伴随全球化而来的社会和经济不平等加剧导致了环境危机（2015年，第48-52节；同时比较第93-95节）。如果不扭转不平等的趋势，则不可能有效地解决危机：

> 然而，目前我们必须认识到，真正的生态方法总是成为社会方法；它必须把正义的疑问与环境的辩论结合起来，才能听到地球和穷人的哭声。（2015年，第49段）

方济各拒绝在社会正义与环境责任之间做出虚假的权衡。两者必须携手并进，否则哪一个都实现不了。

如果想要刺激心态普遍转变的对话是《愿祢受赞颂》针对暴力、绝望以及最终集体自杀的堕落旋涡的替代方案，那么对话要如何进行？鉴于这个问题的严重性和紧迫性，方济各的提议可能显得出奇温和，或者说太少也太迟。但一旦理解《愿祢受赞颂》不是公共政策文件，而是对个人转变、生态、精神呼吁，就不必再抱有这种印象了。（2015年，第216-221节）

我们需要的是一个环境教育项目，旨在提出“生态公民”的承诺。限制信息的环境教育将无法灌输不可缺少的心态习惯。在这方面，就像在生活的其他大部分领域一样，以长期的视角来看，即使有有效执法，法律和法规的存在都不足以遏制不良行为。如果要法律带来重大的、持久的影响，社会的大多数成员必须有充分的动力去积极地回应。只有培养健全的美德，人们才能做出无私的生态承诺。（2015年，第211节）。以下是《愿祢受赞颂》对环境教育变革的描述：

> 环境教育的目标有所扩大。最初主要集中在科学信息、提升认知和预防环境风险方面，但现在它倾向于对基于功利主义思想的现代性“神话”进行批判（个人主义、无尽进取、竞争、消费主义、不受监管的市场），还追求恢复各层次的生态平衡，在我们自身、与他人、与自然和其他生物、与天主之间建立和谐关系。[3]环境教育应促进向卓越的跨越，赋予生态伦理最深层的意义。它需要有能力发展生态伦理的教育工作者，通过有效的教学方法，帮助人们在团结、责任感和友爱下成长。（2015年，第210节）

教育的变革是一个过程（2015年，第209-215节）；其结果是在公共政策形成的各个层面进行集中、有组织的对话，以及动员公众对环境可持续性的支持（2015年，第164-201节）。

> 方济各从政策分析到培养“健全的美德”的方法转变是彻底的，因为它旨在动员普通民众改变自身态度、生活方式和个人消费习惯。他所建议的做法虽然规模小，但能够众志成城，减少环境污染，改变人们对“无私的生态承诺”的态度，一个消费能力更高的人，如果能够减少使用供暖，多穿保暖衣物，也是展示环保的信念和态度的方式。通过细微的日常行为关心宇宙万物是一种高尚的责任，而教育的美妙之处在于能为生活方式带来真

3 除了在天主教神学中对天主的理解之外，方济各还强调了“在我们自身、与他人、与自然和其他生物、与天主之间建立和谐关系”的重要性，这与中国的儒家和道家智慧传统的环境责任方式有很好的共鸣（Christensen, J.E.，（2014年）；Li T.（2003年）；Palmer, M.（2013年））。在这些传统中研究环境伦理的发展，证实了方济各的宗教间对话与合作的方式可能会使普通民众“爱护我们共同的家园”。

> Today, however, we have to realize that a true ecological approach always becomes a social approach; it must integrate questions of justice in debates on the environment, so as to hear both the cry of the earth and the cry of the poor. (2015, par. 49)

Francis rejects any falsely posed trade-off between social justice and environmental responsibility. They must go hand in hand, or neither goal will be achieved.

If dialogue intending to stimulate a universal change of heart is *Laudato Si*'s alternative to a downward spiral into violence, despair, and ultimately collective suicide, how is that dialogue to proceed? Given the enormity of the problem and its urgency, Francis' proposals may seem curiously modest, or too little and too late. But this impression should be set aside as soon as one understands that *Laudato Si'* is not a public policy document, but a call to personal conversion, ecological as well as spiritual (2015, secs. 216-221).

What is needed is a program in environmental education, aiming at the creation of a commitment to "ecological citizenship." Environmental education that is limited to providing information will fail to instil the indispensable habits of the heart. In this as in most other areas of life, the existence of laws and regulations is insufficient in the long run to curb bad conduct, even when effective means of enforcement are present. If the laws are to bring about significant, long-lasting effects, the majority of the members of society must be adequately motivated to respond proactively to them. Only by cultivating sound virtues will people be able to make a selfless ecological commitment. (2015, sec. 211). Here is *Laudato Si*'s description of a transformative shift in environmental education:

> Environmental education has broadened its goals. Whereas in the beginning it was mainly centered on scientific information, consciousness-raising and the prevention of environmental risks, it tends now to include a critique of the "myths" of a modernity grounded in a utilitarian mindset (individualism, unlimited progress, competition, consumerism, the unregulated market). It seeks also to restore the various levels of ecological equilibrium, establishing harmony within ourselves, with others, with nature and other living creatures, and with God.[3] Environmental education should facilitate making the leap towards the transcendent which gives ecological ethics its deepest meaning. It needs educators capable of developing an ethics of ecology, and helping people, through effective pedagogy, to grow in solidarity, responsibility and compassionate care. (2015, sec. 210)

Transformative education is the process (2015, secs. 209-215); focused and structured dialogue at all levels of public policy formation, as well as the mobilisation of popular support for environmental sustainability, is the outcome (2015, secs. 164-201).

Francis' pedagogical shift from policy analysis to the cultivation of "sound virtues" is radical in that it is meant to mobilise ordinary people to change their attitudes, lifestyles, and personal consumption habits. The practices that he recommends not only will tend to reduce environmental pollution in small, but cumulatively significant ways, but will also transform attitudes toward making "a selfless ecological commitment":

> A person who could afford to spend and consume more but regularly uses less heating and wears warmer clothes, shows the kind of convictions and attitudes which help to protect the environment.

3 Apart from the reference to God as understood in Catholic theology, Francis' focus on the importance of "establishing harmony within ourselves, with others, with nature and other living creatures" resonates very well with Chinese approaches to environmental responsibility informed by the Confucian and Daoist wisdom traditions (Christensen, J.E., (2014); Li T. (2003); Palmer, M. (2013)). Studying developments in environmental ethics in these traditions confirms the benefits that Francis' approach to interreligious dialogue and collaboration may have in mobilizing ordinary people to "care for our common home."

> 正改变。环境责任的教育可以鼓励直接并显著影响我们周围世界的行为，如避免使用塑料和纸张、减少用水量、做好垃圾分类、不浪费粮食、关爱其他生物、使用公共交通工具或拼车、植树、减少不必要用电，或任何其他行为。所有这些都反映出一种慷慨而有价值的创造力，能激发出人类最好的一面。出于正当的理由，将东西重新利用而不是立即丢弃，可当做是表达我们自身尊严的一种爱的行为。[4]（2015年，第211节）

这里所设想的变革包括许多小事，用一种全新的、引人注目的、具有终极意义的愿景来激励自己。这些小举动将普通民众与公共政策对话联系在一起，这种对话只有在他们持续和知情的情况下才能继续。换句话说，大众的生态转变，体现在数十亿人民各自的生活方式的改变上，是有意义且有效的公共政策唯一可持续的基础。

教育变革的一端以微小的变化为基础，另一端则通往真正的巨大愿景，即，地球在天主自身实体中实现终极命运。因此，《愿祢受赞颂》以关于教会自身的圣礼生活中所代表的“宇宙神秘”的反思作结，最终在星期日弥撒仪式上最充分地实现的圣餐日庆祝活动中结束（2015年，第236-237节）。方济各大胆地将生态转换与神在三位一体中靠近我们的变革现实联系起来（2015年，第238-40节）。正如方济各让我们理解的那样，参与这场战胜灾难性气候变化危险的运动，是爱的宗教行为，重申我们与永远不会抛弃地球或其子民的天主的盟约：

> 天主呼吁我们做出慷慨的承诺，并给予祂我们的一切，赋予我们继续前行所必需的光明和力量。在这个世界的中心，生命之主，深爱我们的人，一直都在。祂不会抛弃我们，祂不会离开我们，因为祂已经将自己牢牢地联系在我们的地球上，祂的爱不断促使我们找到新的出路。祂是应当称颂的！（2015年，第245节）

以“我们的地球”和“我们与造物的结合”的祈祷作结，《愿祢受赞颂》的呼吁有意地超越了权贵阶层的领袖，他们的声音往往主导着关于气候变化的公共政策辩论。权贵阶层被邀请——有礼貌且没有暴力威胁——为所有人让出空间，他们的命运就像其他人的一样，取决于这些讨论的结果。因为方济各寄希望于天主以及天主的所有子民——无论是天主教徒或其他人，基督教徒或其他人，宗教子民或其他人——教宗方济各乐观地认为，他呼吁解决灾难性气候变化的可持续方案的声音将会被大家听到，为了家庭和社区，普通民众会铭记于心并以自己的方式回应。

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4 新闻报道（Erikson，2013年；Squire，2013年）方济各就任教宗前后的个人生活方式，都表明他愿意通过生态转换来实践他所宣扬的主张。

> There is a nobility in the duty to care for creation through little daily actions, and it is wonderful how education can bring about real changes in lifestyle. Education in environmental responsibility can encourage ways of acting which directly and significantly affect the world around us, such as avoiding the use of plastic and paper, reducing water consumption, separating refuse, cooking only what can reasonably be consumed, showing care for other living beings, using public transport or car-pooling, planting trees, turning off unnecessary lights, or any number of other practices. All of these reflect a generous and worthy creativity [that] brings out the best in human beings. Reusing something instead of immediately discarding it, when done for the right reasons, can be an act of love [that] expresses our own dignity.[4] (2015, sec. 211)

The transformation envisioned here involves doing many little things well, animated by a fresh and compelling vision of their ultimate significance. These small acts connect ordinary people with a public policy dialogue that can only go forward if sustained and informed by them. In other words, the ecological conversion of the masses, manifested in billions of little lifestyle modifications, is the only sustainable basis for meaningful and effective public policy.

With one end of the spectrum of transformative education grounded in small changes, the other end opens toward a vision of the one truly big thing, namely, earth's ultimate destiny in God's own reality. *Laudato Si'* thus concludes with reflections on the "Mystery of the Universe" represented in the Church's own sacramental life, culminating in the daily celebration of the Eucharist most fully realized in the Sunday liturgy (2015, secs. 236-237). Francis boldly makes the connection between ecological conversion and the transformative reality of God's drawing near to us in the Trinity (2015, secs. 238-40). Participating in the movement to overcome the danger of catastrophic climate change, as Francis would have us understand, is a religious act of love, one reaffirming our covenant with a God who will never abandon the earth or its people:

> God, who calls us to generous commitment and to give him our all, offers us the light and the strength needed to continue on our way. In the heart of this world, the Lord of life, who loves us so much, is always present. He does not abandon us, he does not leave us alone, for he has united himself definitively to our earth, and his love constantly impels us to find new ways forward. Praise be to him! (2015, sec. 245)

Ending with a prayer for both "our earth" and "our union with creation," *Laudato Si'* is an appeal that deliberately goes over the heads of the rich and powerful, whose voices tend to dominate public policy debates on climate change. The rich and the powerful are invited—politely and without the threat of violence—to make room for all peoples, whose fate is just as dependent upon the outcome of those deliberations as anyone else's. Because he places his hope in God, and in all of God's people—Catholic or otherwise, Christian or otherwise, religious or otherwise—Pope Francis is optimistic that his appeal for a sustainable solution to catastrophic climate change will be heard, as ordinary people find their own ways to take it to heart and respond for the sake of their families and communities.

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4 News accounts (Erikson, 2013; Squires, 2013) of Francis' personal lifestyle, both before and after his installation as Pope, indicate his willingness to practice what he preaches by way of ecological conversion.

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Science and *Laudato Si'* on the Paradigm Shift towards Sustainable Development

关于转变模式走向可持续发展的科学研究和教宗通谕《愿祢受赞颂》

Franz Gassner 葛义稳

Abstract

For sustainability researchers and global policy makers it is lucid clear that a radical turnaround of modern societies is needed to approach sustainable development paths. Pope Francis takes his stand on a basic paradigm shift in his Encyclical Letter Laudato Si': Care for our Common Home (2015). He calls for a radical shift of mindsets and ecological and cultural conversion which are needed for sustainability and a life in dignity for all. The author compares aspects from sustainability research and Laudato Si' and shows how science and Francis spiritual-theological take converge. Both call for the need of new mindsets and spiritual resources to nourish just life-styles and sustainable societies.

摘要

对于可持续性研究人员和全球政策制定者而言，毫无疑问的是，为了找到可持续发展途径，现代社会需要一次根本变革。教宗方济各在他的通谕《愿祢受赞颂》：关心我们共同的家园（2015年）中提出了从根本上转变模式的观点。他呼吁，为了实现可持续性发展和全体人类有尊严的生活，必须从根本上转变思想和生态及文化皈依。作者比较了可持续研究和《愿祢受赞颂》中的各个方面，说明科学界和方济各的宗教理论如何殊途同归。两者都呼吁需要新的思维模式和精神资源来培养合理的生活方式和可持续社会。

A global transformation towards sustainable societies is as urgent as it is wanting. But recently there seems to be a start in the right direction. In 2015 *The 2030 Agenda for Sustainable Development* with its 17 Sustainable Development Goals (SDGs) was adopted at the UN in New York and the COP21 Paris Agreement was established within the UN Framework Convention on Climate Change (UNFCCC). In June 2015, Pope Francis published his encyclical letter *Laudato Si'*: Care for our Common Home. These documents reveal the immense complexity of the transformation from a consumerist

向可持续社会进行全球性变革已经迫在眉睫。近期似乎已经向正确的方向迈开脚步。2015年，联合国在美国通过了《2030年可持续发展日程》及其制定的17个可持续发展目标，并在《联合国气候变化框架公约》内达成了第二十一次缔约方会议巴黎协议。2015年6月，方济各教宗发表了通谕《愿祢受赞颂》：关心我们共同的家园。以上文件显示了从消费主义社会转向可持续社会的巨大复杂性。许多研究者指出，需要利用宗教和精神资源来重塑有利于可持续发展的世界观（Gardner，2010年；Gerten

society to a sustainable society. More researchers acknowledge the need to engage religious and spiritual resources to shape worldviews in favour of sustainable development (Gardner, 2010; Gerten & Bergman, 2012; Banse, Nelson & Parodi, 2011; Thomas, 2011).

Already as Archbishop of Buenos Aires, Francis had encouraged *cartoneros* and *recicladores* in their recycling efforts, "because what is leftover is rich" (Francis, 2013). Once elected Pope, Francis used his pulpit to challenge the legitimacy of political and economic systems that not only pollute, but also exclude the poor and the marginalised through indifference to their needs. The following contribution reflects on selected elements of the Encyclical Letter *Laudato Si'* by relating them to insights from sustainability research, that in principle confirm Francis' push for an ecological conversion. Religion and science here converge on the necessity of a "bold cultural revolution" (Francis, 2015a, sec. 114) to reach a just and sustainable development path.

Respecting Planetary Boundaries and Guard Rails

Human societies have to learn to comply with natural limits conceived as "planetary boundaries and guard rails" (WBGU = German Advisory Council on Global Change, 2014; Jackson 2009). The core message of the COP21 Agreement sets a limit to an increase in global temperature of 2°C, or better 1.5°C, for human induced atmospheric warming and the emissions contributing to it. Accepting such a limit is not new. Many material resources and precious rare earths are limited and shared with present and future generations. One practical consequence of respecting limits is to understand interconnectedness, e.g. of social and ecological issues, or of present and future generations, leading us to acknowledge the preciousness of biological and cultural diversity so that they can be preserved and protected. Goal 15 of the United Nations SDGs of 2015 demands the halting of losses in biodiversity (BD) so crucial for stability in nature and societies and specifically for the future of indigenous populations. The current dramatic loss of BD is due to a failure to acknowledge interconnectedness with the resulting lack of coherent policies to set appropriate limits. Policymakers and administrative departments face huge challenges to acknowledge interdependencies of everything with everything (Francis, 2015a, sec. 70; sec. 137ff.) and implement coherent policies.

In *Laudato Si'* Francis puts a strong focus on biodiversity (sec. 32ff.) and emphasises the "mutual connections in an ordered system" with everything "dependent on one another" (sec. 42). Loss of biodiversity, land degradation, soil and water pollution, ocean acidification, marine litter, global warming and the waste of resources and energy are systemically interconnected. For Francis the "Cry of the Poor" and the "Cry of the Earth", the social and ecological dimension, are deeply interwoven, revealing that "contrary to what some have claimed, it is not the mass of poor people that destroy the planet, but the consumption of the rich. Global warming is the consequence of this development of a few and will affect everyone but brings devastation especially to the weakest in society" (Schellnhuber, 2015, p. 3). As *Laudato Si'* declares, the developed countries are socially in debt towards the poor which must be factored into any solutions to the crisis over climate change.

Indigenous cultural communities live at the interface of biological and cultural diversity. The cultural riches of peoples, "their art and poetry, their interior life and spirituality" needs to be protected and preserved (sec. 62f.). Francis calls for a "bold cultural revolution" (sec. 114), because "the disappearance of a culture can be just as serious, or even more serious, than the disappearance of a species of plant or animal. The imposition of a dominant lifestyle linked to a single form of production can be just as harmful as the altering of ecosystems" (sec. 145).

Cultural Transformation Towards Sustainable Lifestyles

For Francis the current economic process of design, production, and consumption in most developed countries is still based on a "throwaway culture" (sec. 22), which is well documented in scientific studies: "The consumption decision and lifestyles of the middle and upper classes are currently making the biggest contribution to

与Bergman，2012年；Banse、Nelson与Parodi，2011年；Thomas，2011年）。

方济各担任布宜诺斯艾利斯大主教时，便对拾荒者和回收站的回收工作给予鼓励，称“因为剩余的就是财富”（Francis，2013年）。获选为教宗后，方济各在讲坛上质疑政治和经济制度的合法性，批评这些制度不仅制造污染，还排斥穷人和边缘群体，漠视他们的需求。以下内容体现了通谕《愿祢受赞颂》中的部分要素，涉及到可持续研究获得的观点，原则上肯定了方济各推进生态转移的努力。宗教和科学发生交汇，都肯定了必须进行“大胆的文化革命”（Francis，2015年a，第114节）走向公正与可持续发展的途径。

尊重地球界限和护栏

人类社会不得不学习遵守自然极限，这种自然极限可以说是“地球界限和护栏”（WBGU　=德国全球变化咨询理事会，2014年；Jackson，2009年）。第二十一次缔约方会议巴黎协议的核心信息是，对于人类活动和排放导致的大气变暖，设立全球升温最多2°C的限制，1.5°C更好。接受上述限制不是新事物。许多材料资源和珍贵的稀土资源都非常有限，由当前和未来几代共享。尊重上述界限的一个实际结果是理解相互关联性，如，社会与生态问题，当下与未来世代，使我们理解生态与文化多样性的珍贵，从而保存和保护这种多样性。联合国可持续发展目标15号强烈要求停止生物多样性的损失，这对自然和社会稳定至关重要，尤其是原住居民的未来。目前生物多样性的巨大损失是由于不了解相互关联性，导致缺乏连续的政策规定适当界限。政策制定者和行政管理部门面临着巨大挑战，既要认识各类事物相互依存性（Francis，2015年a，第70节；第137ff节），又要实施连续的政策。

在《愿祢受赞颂》中，方济各重点强调了生物多样性（第32ff节），并着重提到“有序系统中的相互关联”以及“万物相生”（第42节）。生物多样性的丧失、土壤恶化、土壤和水污染、海洋酸化、海洋垃圾、全球变暖和资源及能源浪费之间存在系统性的相互关联。方济各看来，“穷人的呼唤”、“地球的呼唤”、社会和生态纬度，它们深深地相互交织在一起，说明“与某些人宣称的相反，并非大量的穷人破坏了这个星球，而是富人的消费。全球变暖是少数国家发展的结果，但却会影响到每一个人，特别是对社会中最弱的群体带来灾难性结果”（Schellnhuber，2015年，第3页）。《愿祢受赞颂》中宣称，发达国家对穷人负有社会责任，任何应对气候变化的危机解决方案中必须考虑这一点。

原住民族文化社区生活在生物和文化多样性的交界面。他们的文化丰富，“他们的艺术和诗歌、精神生活和宗教信仰”需要妥善保护和保存（第62f节）。方济各呼吁“大胆的文化革命”（第114节），因为“文化的消失与植物或动物物种的消失一样严重，甚至可能更为严重。实施与单一生产形式相联的支配性生活方式的危害性与改变生态系统一样严重”（第145节）。

向可持续生活方式的文体转型

对于方济各，当前大部分发达国家中，设计、生产和消费的经济流程依然基于“用完丢弃的文化”（第22节），这在科学研究中有明确记载：“中、上层社会的生活方式和消费决定是全球环境问题最主要的原因。”（WBGU　2014年：3）。对芬兰家庭消费研究设想到了2050年，人均每年物质资源消费量将缩减到五分之一，从40吨减少到8吨（Lettenmeier、Liedtke与Rohn，2014年；Bringezu，2015年）。据上述芬兰研究的作者称，为达成这些目标和减少物资资源使用，还有“很长一段路要走，大量工作要做”，他们预见未来“艰巨的转型任务”。

从急剧增长的电子垃圾（电子垃圾是指丢弃的电子和电器设备）可以看出这个任务是多么艰巨。2016年，全球电子垃圾达4470万吨，其中只有百分之20（890万吨）被适当回收利用，另外百分之80（3580万吨）没有记录（Baldé　等人，2016年）。这产生了巨大的环境、社会和政治影响，因为稀缺争议性矿物对于生产电器设备非常重要。“2016年，电子垃圾中的原材料总价值估计高达550亿欧元，超过了2016年世界大部分国家的国内生产总值”（Baldé等人，2016年）。Robertson（2014年）指出：

> 高达百分之80的美国电子垃圾出口到了发展中国家，那里的环境和劳工保

the causes of global environmental problems." (WBGU 2014: 3). Research on household consumption in Finland mapping a vision for 2050 reveals that material resource use needs to be cut by a factor of five, from currently 40 tons to eight tons per person a year (Lettenmeier, Liedtke & Rohn, 2014; Bringezu, 2015). According to the authors of the Finnish study, there is a "long way to go and a lot of effort required" to meet these goals to achieve a reduction in material resource use and they see an "enormous transformation task" ahead.

> A core message of *Laudato Si'* is that spiritual values like mindfulness, thankfulness, tenderness and respect are crucial in overcoming the throw-away mentality and achieving sustainable development.

One indication of the extent of the challenge is the dramatic increase in e-waste, the electronic waste in the form of discarded electrical or electronic devices. In 2016 there were globally 44.7 million tons (Mt) of e-waste, with only 20 percent (8.9 Mt) of e-waste being collected and properly recycled, resulting in 80 percent (35.8 Mt) of e-waste being not documented (Baldé et al., 2016). This entails enormous environmental, social and political implications, as scarce conflict materials are crucial for the production of electronic equipment. "The total value of all raw materials present in e-waste is estimated at approximately 55 billion euros in 2016, which is more than the 2016 Gross Domestic Product of most countries in the world" (Baldé et al., 2016). As Robertson (2014) points out:

> Up to 80 percent of America's electronic waste is exported to developing countries, where environmental and worker protection laws and enforcement are less strict…. Low-wage workers without protective gear, including children, burn components, soak them in acid baths to separate small amounts of resalable materials, breathe dioxin-filled smoke, and disassemble lead- and mercury-laden parts with their hands. Contaminated water is poured into lakes and rivers and contaminated solid waste is dumped in huge piles near villages, where toxins continue to leak into the soil and water supply. (pp. 276-77)

Laudato Si' clearly warns of the injustices involved in the export of "solid waste and toxic liquids to developing countries" (sec. 51). Francis calls for a radical turnaround and ecological conversion, indeed a deep "change of humanity" (sec. 9 & 13), of policies and lifestyles, from unsustainable to "prophetic" and sustainable (sec. 222).

Resource Responsibility and Strict Application of the Waste Hierarchy

The current waste in resources and energy is driven by linear end-of-pipe systems of production and consumption, meaning that goods are produced and services delivered with a lack of accounting for due costs and consequences or considering proper reuse or recycling possibilities. The "throwaway culture" results in the overuse and waste of natural resources, leading to the blurring, if not the violation, of some planetary boundaries. A new vision and thinking is required for managing natural resources, based on much needed resource ethics supporting a strict implementation of the "waste hierarchy".

Waste hierarchy is a normative principle that prioritises integrated resource and waste management in view of environmental responsibility. The goal is an "absolute reduction in the consumption of resources to sustainable levels, based on reliable measurement of resource consumption throughout the supply chain, strict application of the waste hierarchy…creating a closed loop on non-renewable resources" (European Parlament 2015, sec. 16). Waste Hierarchy asserts that Not Producing (Waste

> 护法及执法强度并不严格……那里的工人工资低，没有防护设备，甚至还有童工，他们焚烧零部件，再把它们泡在酸液中分离少量的可销售材料，同时呼吸着充满二恶英的烟尘，并空手拆解含铅和汞的部件。污水流进湖泊与河流，污染的固体废物在村庄附近堆成小山，其中的毒素继续渗入土壤和水源。（第276-77页）

《愿祢受赞颂》明确警告出口“固体废物和有毒液体到发展中国家”是不公正的（第51节）。方济各呼吁进行根本转变和生态皈依，彻底“改变人类”（第9与13节），改变政策和生活方式，从不可持续变为“可预言”和可持续（第222节）。

资源责任和严格实施废物管理体系

目前的资源和能源浪费是由生产－消费的线性末端管理体系促成的，即生产的商品和交付的服务缺少应计成本和后果的问责机制，没有考虑到适当回收利用的可能性。“用完丢弃文化”造成过度利用和浪费自然资源，导致模糊（甚至侵犯）地球界限。管理自然资源需要新的观点和思维方式，基于按需资源道德观，支持严格实施“废物管理体系”。

废物管理体系是一种规范性原则，要求为资源分配优先等级并根据环境责任管理废物。其目标是“基于对整个供应链的资源消耗的可靠计量，绝对减少资源消费至可持续水平，严格实施废物管理体系……为非可再生资源创造一个封闭循环”（欧洲议会2015年，第16节）。废物管理体系宣称“不产生”（防止产生废物）先于“减少废物和重复利用”，因为后者对资源利用和排放影响更大。“重复利用”先于“回收利用”，因为后者需要“长时间的运输，消费了额外能源，增加温室气体排放。虽然回收利用中节省了一部分能源，但比起重复利用和最开始就不产生废物，它还是消耗了更多的能源”（Robertson，2014年，第275页）。盲目强调回收可能导致更多的消耗，并限制必要的系统性改造：

> 回收通常会鼓励更大的消费，这称为反弹效应。消费者看到塑料包装上的可回收标记，可能会假设正在消费的产品不会产生环境问题，认为消费后丢弃是一种对环境负责的行为。回收可能指向了一个错误的方向，误导我们偏离更有效和基本的改变。（Robertson，2014年，第275-76页）

但是，在部分情况中，比如使用铝罐，回收是必须的。“原铝含大量内在能源；回收铝可节省其中百分之75到96的能源”（Robertson，201，第277页）。尽管回收作用有限，但回收的最大好处是提高了生态意识：

> 与使用原料相比，生产中使用回收材料总是能够节约用水和能耗，减少排污和二氧化碳排放。另外，回收的最大收益之一是提升公众的环保意识。涉及地球健康问题以及个人行为与环境之间的联系时，回收是许多人首先接触的事。（Robertson，2014年，第275页）

废物管理体系认为，通过在垃圾场焚烧和处置废物回收能源的效率是最低的，长远来看应慢慢废除。Robertson指出：“除了考虑到健康风险，有些组织反对焚烧的理由是环境公正，因为焚烧场通常建在低收入社区”（第272页）。

实施废物管理体系需要连贯的政策和激励措施。“与单纯按月收费不同，应根据丢弃的废物量向使用者收费，这种方式有时称为按量收费。有些地区将原来用在垃圾填埋场或焚烧场的资金，投资到支持重复使用的基础设施”（第281页）。总之，观点和思想的改变对零废弃体系至关重要：

> 零废弃涉及重新思考整个生产和废弃体系。该方法在分析产品成本时考虑整个产品生命周期。它强调预防，认为前期防止形成废弃物比后期处理废弃物更加有效和健康。零废弃的核心是认识到人类是自然界的一部分。它旨在“从摇篮到摇篮”，在封闭循环中重复利用非毒性物质，以便我们生存的生物圈在未来继续保存完好。（Robertson，2014年，第281-282页）

Prevention) comes before Minimisation and Reusing, as the latter have a higher level of resource use and emission impact. Reusing comes before Recycling, as the latter can demand "lengthy transport with additional energy consumption and greenhouse gas emissions. While there are energy savings in recycling, it still consumes more energy than either reusing a product or not producing it in the first place" (Robertson, 2014, p. 275). A blind focus on recycling can lead to more consumption and can inhibit necessary systemic changes:

> Recycling often has the effect of encouraging even greater consumption, known as the rebound effect. Consumers seeing the recycling symbol on a plastic container may assume that consuming the product is without environmental costs and may feel that consuming and discarding are environmentally-responsible actions. Recycling may point us in the wrong direction and distract us from more efficient and fundamental changes. (Robertson, 2014, pp. 275-76)

Nevertheless, in some cases, such as the use of aluminium cans, recycling is a must. "Virgin aluminium contains an extremely large amount of embodied energy; recycled aluminium can save 75 to 96 percent of that energy" (Robertson, 201, p. 277). Despite its limits, one of the greatest benefits of recycling is raising ecological awareness:

> Using recycled materials in manufacturing almost always uses less water and energy, releases less pollution, and emits less carbon dioxide than manufacturing with virgin materials. In addition, perhaps one of the greatest benefits of recycling has been its effect on public awareness of environmental issues. Recycling is the first contact many people have with issues of planetary health and the connection between their own actions and the environment. (Robertson, 2014, p. 275)

The waste hierarchy suggests that energy recovery through the incineration and disposal of waste at landfills are at the lowest level and should be phased out in the long run. As Robertson points out: "In addition to having concerns about health risks, some organizations object on the basis of environmental justice since incinerators are usually built in low-income communities" (p.272).

The implementation of the waste hierarchy principle requires consistent policies and incentives. "Rather than a single monthly fee, users are charged based on the volume they discard, an approach sometimes known as pay-as-you-throw. Some regions have taken money that would have been spent on landfills or incinerators and instead have invested in infrastructure that supports reuse" (p. 281). Overall, a change of mentality and thinking is crucial towards a zero-waste system:

> Zero Waste involves rethinking the entire production and wasting system. This approach considers the entire life cycle of a product when analyzing its costs. It stresses prevention, recognizing that it is more efficient and healthier to prevent waste formation in the first place than to treat waste after it has formed. At its core, Zero Waste acknowledges that humans are part of the natural world. It aims for cradle-to-cradle, closed-loop cycling of non-toxic matter that will allow the biosphere in which we are embedded to continue intact into the future. (Robertson, 2014, pp. 281-282)

Robertson's perspective confirms what Pope Francis writes in *Laudato Si'* regarding waste prevention (sec. 22 & 113), repairing (sec. 192 & 211) and recycling. The exploitation of the resources of our common home "has exceeded unacceptable limits" (sec. 11). Thus, we have to overcome the culture of wasting and discarding in "wasteful cities" (sec. 44). Vehemently Francis calls for "less waste" (sec. 129) and a termination of the throwaway culture violating the dignity of the world.

Robertson的观点肯定了教宗方济各在《愿祢受赞颂》中提及的关于防止废物产生（第22与113节）、修复（第192与211节）和回收的内容。开发我们共同家园的资源“超过了可接受的限制”（第11节）。因此，我们不得不克服“挥霍的城市”中的浪费和废弃文化（第44节）。方济各强烈呼吁“减少浪费”（第129节），终结侵犯世界尊严的丢弃文件。

《愿祢受赞颂》的一个核心信息是精神价值类似正念、感恩、同情和尊重，对于克服丢弃的观点、在我们共同的家园达到可持续发展至关重要。

可持续战略效率——一致性——知足

可持续研究建议整合效率、持续、充分原则，走可持续发展道路（德国主教会议书记，2011年；Samadi、Gröne、Schneidewind、Luhmann、Venjakob与Best，2017年）。效率指通过技术革新节省资源和能源。由于消费模式的直接或间接反弹或“飞镖效应”，仅提高效率对于可持续发展是不够的。这意味着效率收益，如使用燃油效率更高的汽车，通常会被更多（直接反弹）和更新（间接反弹）的消费形式抵消。例如，美国自1980年起，高燃油效率汽车增加了百分之40，但每辆车的油耗“自从1980年来一直没有变化，因为汽车的使用更加频繁，汽车数量也更多、车型更大。”（Schor，2011年，第90页）。间接反弹效果的示例之一是利用高效率收益换取新的交通形式，如增加航空旅行，这本身产生了环境成本。方济各同意仅靠技术（效率）不能够走向可持续道路（方济各，2015年a，第20节）。需要社会（一致性）和个人层面（知足）的改变。一致性要求建立创新的生产和消费体系。比如在城市中建立高效公共交通或汽车分享系统，取代驾驶私家汽车，或建立一个协调的资源和废物管理系统，代替当前的丢弃体系，解决废物处理和污染的生态问题以及社会公正。协调性偏向于零废弃制度的循环经济，将外向成本内化，如征收塑料袋税或碳排放税。这是教宗本笃十六世鼓励的真实成本原则（德语：Kostenwahrheit）：

> 尽力确保耗尽共享环境资源的经济和社会成本得以明确，由产生这一成本的人士完全承担，而不能由其他人或未来的世代承担。（本笃十六世，2009年，第50节）

不协调的外向政策和实践（“他人买单”）应该逐步废除，实施“谁使用/谁丢弃，谁买单原则”，比如通过推广“扩大生产商责任”的政策，以及要求商店回收有毒打印机墨盒、或为资源循环和回收系统缴纳款项的政策法规。

> 目前资源的使用效率通常较低，因为没有消费资源的真实社会成本信息，因为公司和个人无法相应调整他们的行为。提升资源效率和整体经济竞争力的政策措施必须重点强调“定价正确”，并对消费者透明公开，以交通为例，要考虑能源和用水，以便价格能反映资源消费的全部社会成本（如环境和社会成本），而不是形成逆向激励。这方面，信息和通讯技术可通过智能测量等方式发挥决定性作用。（欧委会，2011年，第7页）

协调体系下的高效不可或缺，但还是不足以形成可持续发展道路。可持续研究认为除了效率和协调外，还需要知足（Princen，2005年；Samadi等，2017年）。“知足和生活方式改变的体现、讨论和量化应独立于技术决定。”（Samadi等，2017年，第132页）。知足意味着接受赋予生命的限制，并在其中生活；例如，减少食物损失和浪费——在机构层面或个人层面——或每周至少一餐不吃肉。知足要求改变思想观念，形成新的价格方向和精神财富（方济各，2015年a，第222节），包括培养“沉思和敬畏的能力”（第127与237节）。《愿祢受赞颂》的一个核心信息是精神价值类似正念、感恩、同情和尊重，对于克服丢弃的观点、在我们共同的家园达到可持续发展至关

The Sustainability Strategy *Efficiency-Consistency-Sufficiency*

Sustainability research suggests integrating the principles *efficiency*, *consistency*, and *sufficiency* to reach a sustainable development path (Secretariat of the German Bishops' Conference 2011; Samadi, Gröne, Schneidewind, Luhmann, Venjakob, & Best 2017). Efficiency means to save resources and energy through technological innovation. But higher efficiency is not enough for sustainable development because of the direct and indirect rebound or "boomerang effects" of consumption patterns. This means that gains in efficiency, such as using a more fuel-efficient car, are often eaten up by *more* (direct rebound) and *new* (indirect rebound) forms of consumption. For example, the fuel efficiency of cars increased in the US by 40 percent since 1980, but fuel consumption per vehicle "remained constant since 1980 due to more driving and more (and larger) vehicles." (Schor 2011, p. 90). An example for an indirect rebound effect is to use efficiency gains to switch to *new* forms of transportation such as increased air travel, which impose their own environmental costs. Francis agrees that technology alone (efficiency) will not lead to a sustainable path (Francis 2015a, sec. 20). Changes in societies (consistency) and on the personal level (sufficiency) are needed. Consistency requires building innovative systems of production and consumption. This could be the creation of effective public transport or car-sharing systems instead of running private vehicles in cities, or creating a consistent integrated resource and waste management system instead of the current throwaway system, which only compounds the ecological problems of waste disposal and pollution and also social justice. Consistency favors a circular economy with zero-waste policies, which internalise the costs of externalities, as in a plastic bag levy or a carbon tax. This is the *True-Cost-Principle* (German: *Kostenwahrheit*) that Pope Benedict XVI encouraged:

> To make every effort to ensure that the economic and social costs of using up shared environmental resources are recognized with transparency and fully borne by those who incur them, not by other peoples or future generations. (Benedict XVI 2009, sec. 50)

Inconsistent externalization policies and practices ("others should pay") have to be phased out in favour of the *User- or Thrower-Pays-Principle,* such as through policies promoting the Extended Producer Responsibility (EPR), as well as governmental regulations that require shops to take back toxic printer cartridges, or to contribute to a fund for circular and recycling systems of resources.

> Resources are often used inefficiently because the information about the true costs to society of consuming them is not available, with the result that businesses and individuals cannot adapt their behavior accordingly. Policy measures to improve resource efficiency and overall economic competitiveness must place greater emphasis on 'getting prices right' and making them transparent to consumers, for instance in transport, energy and water usage, so that prices reflect the full costs of resource use to society (e.g. in terms of environment and health), and do not create perverse incentives. In this respect, information and communication technologies can play a decisive role through, for instance, smart metering. (EU-Commission 2011, p. 7)

However indispensable, higher *efficiency* backed by more *consistent* systems is not enough to reach a sustainable development path. Sustainability research speaks of the need for *sufficiency* in addition to efficiency and consistency (Princen, 2005; Samadi et al., 2017). "Sufficiency and changes in lifestyle should rather be embedded, discussed and quantified independently of technology decisions." (Samadi et al. 2017, p. 132). Sufficiency means accepting and living within life-giving limits; for example,

重要。这完全符合可持续研究和负责任消费的观念。（Crocker，1998年；Reisch，2004年；Schor，2011年）。一个现实事例是Carlo Petrini发起的慢食运动。

知足和可持续生活方式的灵性

方济各将公正的问题直接放在可持续问题的最前面：“丢弃食物等于从穷人的餐桌偷窃食物”（第50节）。世界上，“全球每年生产的供人类消费的食物中，大约三分之一——约13亿吨）——丢失或浪费了。”（联合国粮农组织，2013年）。食物丢失或浪费是社会和生态公正亟待解决的问题。如果将所有食物浪费算在一个国家头上，那它将是仅次于中国和美国的第三大二氧化碳当量排放国（Jones，2015年）。2011年，香港每天浪费的食物达3,600吨，分别来自超市、旅店、酒店、家庭，占该市固体废物的百分之40左右。食物浪费后，生产这些食物的土地、水、肥料和人力也被浪费了。（香港环境保护署，2013年）惜食香港运动是一项提高社会各层惜食意识的运动，值得称道。但这个问题还需要系统性和结构性解答，并在精神层面改变观点。许多国家设立了食品银行，以便超市和酒店将多余的食物捐献给贫穷的社区。这类措施需要适当的法律、信息和机构。（Schneider，2013年）。但还需要精神上的支持，Norman Wirzba提到饮食和禁食时说，根据大多数精神和宗教传统：

> 饮食和禁食是我们实现联系的两种主要方式。我们如何饮食，吃什么，吃多少，证明了我们认为对他人和世界应尽的责任。禁食的人，认识到食物是一种馈赠，不是理所当然，亦非随意开采的。【…】我们禁食的时候，认识到人的一生太多时间被侵犯和贪婪支配（这就是为什么我们要培养温和的自我和平静的步伐）。我们禁食时，认识到我们的许多行为中，我们假设世界的赠予只是专门为了我们的享受（因此需要驯服贪欲，培养克制，这是所有公平关系的基础）。禁食，换言之，能够带领我们共同实现生命的责任。我们禁食时，我们不仅证明我们与那些没有食物的人团结一致，还证明食物是无私天主的珍贵馈赠。【…】禁食，最基本的追求是培养为了他人的需求而牺牲、奉献自己的精神。（2011年，第141 ff.页）

教宗方济各倡议这种充满尊敬、同情、公正和相互联系的精神，他告诉我们：“丢弃的是财富！”我们还发现，科学界和具有远见的公共政策和环境活动家， 与《愿祢受赞颂》传达的主要信息所见略同。希望这句话能在精神上指导我们转变我们的生活方式和社会，让我们公共的家园变得更加公正和可持续。

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reducing food loss and waste - on the institutional and personal level - or observing at least one meatless day a week. Sufficiency requires a change of mindsets and new orientation, spiritual values (Francis 2015a, sec. 222), including the cultivation of a "capacity for contemplation and reverence" (sec. 127 & 237). A core message of *Laudato Si'* is that spiritual values like mindfulness, thankfulness, tenderness, and respect are crucial in overcoming the throw-away mentality and achieving sustainable development in our common home. This is fully in line with research on sustainability and ethics of responsible consumption. (Crocker 1998; Reisch, 2004; Schor 2011). One practical example is here the Slow-Food-Movement of Carlo Petrini.

Spirituality for Sufficient and Sustainable Life-styles

Francis puts the question of justice squarely in the forefront of the quest for sustainability: "Whenever food is thrown out it is as if it were stolen from the table of the poor" (sec. 50). Globally, "roughly one third of the food produced in the world for human consumption every year — approximately 1.3 billion tons — gets lost or wasted." (FAO 2013). Food loss and waste is a burning question of social and ecological justice. If food waste were measured as if it were a country all its own, it would be the third largest emitter of CO_2 equivalents after China and the USA (Jones, 2015). In 2011, Hong Kong produced 3,600 tons of food waste per day, coming from supermarkets, restaurants, hotels, and households, amounting to approximately 40 percent of the city's solid waste. When food is wasted, the land, water, fertilizer and labour needed to grow that food are also wasted. (Environmental Protection Bureau Hong Kong, 2013). The Campaign Foodwise Hong Kong is a laudable initiative to raise awareness on various societal levels. But this issue needs also systemic and structural answers, and a change of mindset on the spiritual level. Many countries have food banks so that supermarkets and hotels can donate surplus food for poor and needy communities. Such initiatives may require also a proper legislation, information, and institutions. (Schneider 2013). But there is also the need of spiritual support, as Norman Wirzba describes when referring to eating and fasting, so basic in most spiritual and religious traditions:

> Feasting and fasting are two primary ways we enact relationships. How we eat, what we eat, and how much, demonstrate what we think our responsibilities to each other and the world should be. People who fast, learn food is a gift and is not to be taken for granted or exploited. […] When we fast we learn that too much of the time personal life is marked by an aggressive or rapacious disposition (which is why we might develop a gentler ego and a calmer gait). When we fast, we learn that in many of our actions we presume that the world's gifts exist for our own exclusive enjoyment (hence the need to tame the greed and develop the restraint that are at the basis of all just relationships). Fasting, in other words, leads us to a realization about the responsibilities of life together. When we refrain from eating, we not only demonstrate solidarity with those who do not have food to eat but we also demonstrate that food is the precious gift of a self-giving God. […] Fasting, in its most fundamental aspiration, is about developing a sacrificial, self-offering life that addresses and nurtures the needs of others. (2011, pp.141 ff.)

Pope Francis advocates such a spirituality of respect, tenderness, justice, and interconnectedness, when he tells us: "What is leftover is rich!" Science as well as enlightened public policy and environmental activism, as we have seen, converge with main messages of *Laudato Si'*. May it guide us spiritually, as we seek to transform our life-styles and societies to become more just and sustainable in our common home.

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Karaniwang Tao: Filipino Response to Pope Francis' Challenge on Climate Change

民眾：菲律宾人对教宗方济各应对气候变化的回应

Mark Pufpaff 濮漠泉

Abstract

When Pope Francis published Laudato Si' on 24 May, 2015, the Philippines was still recovering from the devastation of Typhoon Haiyan. In this encyclical, his challenge on the issue of climate change and the role of all people in caring for the environment prompted a number of responses from the karaniwang tao – the "common people" – of the Philippines. Building on the momentum generated during Pope Francis' visit to the country before the publication of Laudato Si', the encyclical was received as welcome support for local efforts at recovery. This essay details three responses, as examples of the kind of work the karaniwang tao of the Philippines are doing to deal with the threat of climate change.

摘要

2015年5月24日，教宗方济各发表了题为《愿祢受赞颂》的通谕，那时菲律宾尚未完全从台风"海燕"造成的严重破坏中恢复过来。在这篇通谕中 ，他重点谈及气候变化问题带来的挑战，以及人类在环境保护方面的作用，菲律宾的很多老百姓做出了回应。在 《愿祢受赞颂》发表之前，教宗方济各曾访问菲律宾，得益于此期间所产生的效应，这篇通谕被视为对当地在经济复苏方面所做出努力的极大支持。本文详细描述了三种回应方式，作为菲律宾百姓为应对气候变化威胁所做努力例证。

Typhoon Haiyan Hits the Philippines

On 8 November, 2013, Typhoon Haiyan, or Yolanda as it is known among Filipinos, hit the coastal city of Tacloban, the provincial capital of Leyte, becoming one of the most destructive storms in the Philippines' recorded history. It attracted worldwide attention, not only because of its devastation and the need for international aid for the survivors, but also because it gave the threat of climate change, and the need to respond to it, a renewed

台风"海燕"席卷菲律宾

2013年11月8日，台风"海燕"（菲律宾人称呼为Yolanda）席卷了莱特省首府——海滨城市塔克洛班，成为菲律宾历史上最具破坏力的台风之一。它引起了全世界的关注，这不仅因为它的破坏力和幸存者需要国际援助，还因为它凸显了气候变化带来的威胁，以及人类对此做出回应的必要性和紧迫性。虽然气候变化的一般趋势与台风"海燕"之间尚无直接联系，但是气候科学每天都会取得新的进展（Vidal和Car-

urgency. Although a direct link has not yet been made between general climate change trends and Typhoon Haiyan, progress in climate science is being made every day (Vidal and Carrington, 2013; Hannam, 2015). While climate scientists work to link climate change with particular storms like Haiyan, people on the ground need no such scientific confirmation. In fact, they need only look around (see figs. 1, 2).

Figure 1: Devastation in Tacloban after Typhoon Haiyan

Source: Kevin Frayer/Getty Images Asiapac

These images represent the damage Haiyan inflicted upon Tacloban City, so-called "ground zero", for the effects of the storm. In total, it left 6,300 people dead, displaced 4.1 million and destroyed 1.1 million homes (Locsin, 2014; Britannica, 2016). The people of the Philippines have long known their country was at a higher risk of severe weather than most others. But Haiyan was not just another storm. It was an alarm that would galvanize the Philippines in the fight against climate change not 14 months later.

Pope Francis Visits the Philippines

On 15 January, 2015, Pope Francis landed in Manila, the capital of the Philippines. His desire to be with the ordinary people—*karaniwang tao*—of the Philippines, and especially those still suffering from the effects of natural calamities like Haiyan, would not only permeate his visit, but also his work thereafter. In an ironic turn of events, during the Pope's visit to Tacloban on 17 January, another typhoon hit the city (see fig. 3), causing the preparations for his day there to be abandoned and his time cut short (Gallagher, 2015). Standing courageously before a crowd of over 200,000 people at a Mass at the Tacloban airport, Pope Francis stated during his homily:

> I would like to tell you something close to my heart. When I saw in Rome that catastrophe [Haiyan], I felt I had to be here. And on those very days, I decided to come here. I'm here to be with you. (Francis, 2015a)

Figure 2: Pope Francis during a mini typhoon at the Tacloban airport

Source: APF/Jiji, Japan Times

He continued in the same homily:

> So many of you have lost everything. I don't know what to say to you. But the Lord does know what to say to you. Some of you have lost part of your families. All I can do is keep silence and walk with you all with my silent heart. Many of you have asked the Lord – why Lord? And to each of you, to your heart, Christ responds with his heart from the cross…. Forgive me if I have no other words to express myself. Please know that Jesus never lets you down. Know that the tenderness of Mary never lets you down. And holding onto her mantle and with the power that comes from Jesus' love on the cross, let us move forward and walk together as brothers and sisters in the Lord. (Francis, 2015a)

The Pope communicated a message of hope, mercy, and compassion to the *karaniwang tao*, the people who needed it most (Francis,

rington，2013年；Hannam，2015年）。尽管气候科学家们致力于将气候变化与像“海燕”这样的特殊风暴联系起来，但是当地人民并不需要这样的科学证明。事实上，他们需要的只是环顾四周（见图1、2）。

图1：台风“海燕”对塔克洛班造成的破坏

图片来源：Kevin Frayer /Getty Images亚太地区部门

这些图片展示了“海燕”对塔克洛班造成的破坏，台风将这里“夷为平地”。这次台风总共造成6,300人死亡，410万人流离失所，并摧毁了110万个家庭（Locsin，2014年；《大英百科全书》，2016年）。菲律宾人民早就知道，他们的国家遭受恶劣天气的风险要高于其他国家。然而“海燕”不仅仅是一场风暴。这是一个警报，激励菲律宾抗击气候变化，而不是等到14个月后。

教宗方济各访问菲律宾

2015年1月15日，教宗方济各抵达菲律宾首都马尼拉。他希望与菲律宾的老百姓，特别是那些仍在遭受“海燕”这类自然灾害影响的人们站在一起，这不仅会贯穿整个访问行程，还将贯穿他此后的工作。具有讽刺意味的是，在1月17日教宗访问塔克洛班期间，又一次台风席卷了这座城市（见图3），这导致为教宗的到来所做的准备工作被迫放弃，同时教宗缩短了他的访问行程（Gallagher，2015年）。在塔克洛班机场，教宗方济各勇敢地站在20多万人面前布道说：

> 我想告诉你们一些我内心深处的想法。当我在罗马看到这场灾难【海燕】时，我觉得我必须来到这里。在那些日子里，我决定来这里。现在，我和你们站在一起。（方济各，2015年）

图2：教宗方济各于小台风期间在塔克洛班机场举行弥撒

图片来源：日本APF通信社/日本时事通信社、日本时报

他继续说道：

> 你们中的很多人失去了一切。我不知道该对你说些什么。但是主知道该对你说什么。你们中的一些人失去了部分家庭成员。我所能做的就是保持沉默，用我那沉默的心与你们同行。你们中的很多人曾经问过主——这是为什么？对于你们每一个人，对于你们的心，十字架上的耶稣会用心做出回应……请原谅我无法用其他的语言来表达我自己。请记住，耶稣永远不会让你失望。请记住，温柔的圣母玛丽亚永远不会让你失望。紧紧抓住她的斗篷，并借助十字架上耶稣的爱所带来的力量，让我们继续前行，像兄弟姐妹一样在主里同行。（方济各，2015年）

教宗向民众传达了一个饱含希望、怜悯和同情的信息，而这正是他们最需要的（方济各，2013）。但是，他的这次访问也是为了传达出一种更加严峻和更加紧迫的讯息，即我们必须采取措施来应对气候变化带来的危险。

民众对《愿祢受赞颂》通谕作出回应

早在教宗方济各访问菲律宾之前，他的通谕《愿祢受赞颂》已经准备好了，并且于2015年5月24日的圣神降临节上颁布。教宗通谕本身并没有开辟新领域，而是空前关注深深植根于天主教社会教义（CST）历史中

2013). But his visit was also to plant the seeds of a sterner and more urgent message, namely, what we must do to address the perils of climate change.

Karaniwang Tao Respond to *Laudato Si'*

Pope Francis' encyclical, *Laudato Si'*, which had been in preparation long before his trip to the Philippines, was promulgated on Pentecost Sunday, 24 May, 2015. The encyclical presents itself not as breaking new ground, but as the culmination of a concern with deep roots in the history of Catholic Social Teaching (CST). *Laudato Si'* seeks to address the clear and present danger of catastrophic climate change, while outlining an understanding of the ecology of our "common home" capable of focusing efforts from diverse societies and religious communities toward equitable and sustainable human development (Francis, 2015b).

Laudato Si' inspired what was generally lacking in the Philippines, namely, a personal commitment by ordinary Filipinos, based on shared sense of responsibility to take action against climate change.

Laudato Si' inspired what was generally lacking in the Philippines, namely, a personal commitment by ordinary Filipinos, based on shared sense of responsibility to take action against climate change. While their responses are small, and seemingly unimportant when examined one by one, within the larger picture of the entire climate change movement they must be understood as part of an interconnected response hitherto unprecedented in the history of the country.

First Things First: Making COP21 Count

The publication of *Laudato Si'* in June, 2015, was meant to contribute to the dialogue that later that year would yield the COP21 (21st Conference of Parties) agreements in Paris concerning climate change and the coordinated efforts of most nations to mitigate climate change impacts. In response to the encyclical, many groups in the Philippines, from churches and environmental activists to artists and musicians began work to raise awareness about the dangers of climate change in the country, in hopes that their efforts might influence global leaders in Paris.

One such effort came from the Philippine Catholic Church, where a nationwide petitionary campaign began almost immediately after the publication of *Laudato Si'*, aimed at collecting one million signatures in support of climate action to present to decision-makers at COP21 (Page, 2015). This was part of an international Catholic movement named the Global Catholic Climate Movement, which was co-founded by a Columban priest working in the Philippines named John Leydon. At the time of the Paris meeting, the movement had collected 840,000 signatures, which representatives used to lobby their concern to overcome climate change (Global Catholic Climate Movement [GCCM], 2015).

At the global level, an international ecumenical movement titled, "The People's Pilgrimage", was started in preparation for COP21 and was joined by Yeb Sano, a Filipino climate negotiator turned climate activist, who gave the movement visibility and support in the Philippines. The pilgrimage began in Rome and ended in Paris. Participants walked the whole way and, upon arrival in Paris, delivered a petition of 1.8 million signatures, including many from Filipino supporters (GCCM, 2015).

In an effort to draw attention to the dangers of climate change in the Philippines at COP21, local Filipino artists and musicians, particularly AG Saño, Nityalila Saulo, and Micheline Rama of the advocacy group, DAKILA (Philippine Collective for Modern Heroism), amassed an impressive collection of art pieces, to present in

的问题。灾难性气候变化所带来的危机迫在眉睫，《愿祢受赞颂》寻求解决这一危机的方法，并概述对我们“共同家园”生态的理解，能够凝聚来自不同社会和宗教团体的力量，为公平和可持续的人类发展做出努力（方济各，2015年）。

《愿祢受赞颂》通谕激发起菲律宾人民所普遍缺乏的东西，也就是菲律宾普通民众基于共同的责任感、采取行动应对气候变化的个人承诺。

《愿祢受赞颂》通谕激发起菲律宾人民所普遍缺乏的东西，也就是菲律宾普通民众基于共同的责任感、采取行动应对气候变化的个人承诺。虽然他们的回应并不明显，而且在一次又一次地审视整个气候变化运动的更大图景中似乎并不重要，但是，必须将他们视为迄今菲律宾历史上前所未有的共同响应。

当务之急：履行《联合国气候变化框架公约》

《愿祢受赞颂》通谕于2015年6月出版，旨在为这一年晚些时候于巴黎达成《联合国气候变化框架公约》（第21次缔约方会议）协议的对话作(做)出贡献，此协议涉及气候变化以及大多数国家在缓解气候变化影响方面的共同努力。作为对教宗通谕的回应，菲律宾的许多团体（从教会和环保活动家，乃至艺术家和音乐家），开始致力于提高人们对气候变化危机的认识，希望他们的努力可能影响到汇聚巴黎的全球领导人。

菲律宾天主教会也为此做出了努力，在《愿祢受赞颂》通谕出版之后，几乎立刻开展了全国性的请愿活动，旨在收集100万个签名并提交给《联合国气候变化框架公约》的决策者，以表示对气候行动的支持（Page，2015年）。这是一个名为“全球天主教气候运动”的国际天主教运动的一部分，该运动由一位在菲律宾工作的名叫John Leydon的高隆庞外方传教会士共同创办。在巴黎会议召开之际，这项运动已经收集了84万个签名，代表们通过这些签名来游说会议解决气候变化问题（全球天主教气候运动【GCCM】，2015年）。

在全球层面上，一场名为“人民的朝圣之旅”的国际普世运动也已经开始为《联合国气候变化框架公约》做准备，菲律宾气候谈判代表、气候变化活动人士Yeb Sano也加入了这一行列，他提高了菲律宾运动的知名度并给予支持。朝圣之旅始于罗马，结束于巴黎。参与者步行走完全程，并在抵达巴黎后，提交了一份集齐180万个签名的请愿书，其中包括许多来自菲律宾支持者的签名（GCCM，2015年）。

为了在《联合国气候变化框架公约》会议上引起人们对菲律宾气候变化危险的注意，菲律宾当地的艺术家和音乐家，特别是来自倡导组织DAKILA（菲律宾现代英雄主义集体）的AG Saño、Nityalila Saulo和Micheline Rama ，汇集了大量令人印象深刻的艺术作品，在巴黎进行展示，旨在提高国内的意识。在这次活动中，Saño在巴黎的Point Ephémère艺展中心画了一幅壁画（见图4）。这幅壁画中包括Saño的朋友Agit Sustento的照片，他在台风“海燕”登陆期间遇难（Canlas和Montesur，2015年）。

图3：AG Saño正在巴黎的Point Ephémère艺展中心绘制壁画

图片来源：YouTube（Nityalila Sualo）

早在此次巴黎活动之前，菲律宾与气候相关的艺术运动已经得到了承认。但是这些当地活动贡献的重点并不在于倡导公共政策的改变。《愿祢受赞颂》通谕所传达的信息意味着达到一个比倡导更深的层次，无论这种倡导事实上多么有价值。它引起了一种转变性的共鸣，使菲律宾的民众意识到缺乏行动本身就是其中一个问题，他们只有通过亲自参与解决方案，才能开始缓解自己所处的困境（Canlas和Montesur，2015年）。

Paris and to raise awareness domestically. One such example during the event was a mural painted at Point Ephémère in Paris by Saño (see fig. 4). The mural consisted of a picture of Saño's friend, Agit Sustento, who was killed in Tacloban during Haiyan (Canlas and Montesur, 2015).

Figure 3: AG Saño painting a mural at Point Ephémère in Paris

Source: YouTube (Nityalila Sualo)

Even before Paris, the climate-related art movement in the Philippines was being recognised. But such local contributions were not focused primarily on advocating changes in public policy. The message of *Laudato Si'* was meant to reach a deeper level than advocacy, however worthy a cause advocacy actually is. It struck a transformational chord, bringing the *karaniwang tao* of the Philippines to an awareness that a lack of action is itself part of the problem, and that only by involving themselves in the solution can they begin to alleviate their troubles (Canlas and Montesur, 2015).

Mini Case Study 1: Tanauan Municipality, Leyte

> Climate change is something we have to confront. The town of Tanauan was submerged. We cannot just leave. This is our home. We have to develop a plan to mitigate the impact of these disasters, to protect the people and be ready. - Pel Tecson, Mayor of Tanauan. (Page, 2015)

Tanauan was devastated by Haiyan (see fig. 5). Storm surges raised the water level by 15 to 20 feet, washing away the livelihoods of those in its path. The waters rushed over a mile inland, making rescue and recovery work slow and arduous. But Tanauan was the *first* post-Haiyan municipality to adopt an adaptation and resiliency plan (Page, 2015). The plan was developed and enacted only two months after Haiyan subsided, and involved the entirety of the Tanauan community. Page (2015) summarised their achievements:

> Streetlights have been restored and converted to energy-efficient LED. Schools have been rebuilt with second stories that can serve as evacuation centers. Fishing boats and pedicabs have been replaced. Rice farmers were given free high-yield seeds and fertilizers and in 2014 brought in record harvests. The number of completed resettlement housing units is about to reach 400, providing storm proof shelter, more than a mile inland, for nearly half of the estimated 880 families living in "danger areas" along the shoreline. The average resettlement rate elsewhere is less than 10 percent. (Page, 2015, p. 7)

Tanauan is an example of solidarity, collective responsibility and perseverance, especially because funding for the community's work was scarce. They had to be creative and work amongst temptations of despair, knowing that another super typhoon could very quickly wipe out all of their progress. But they kept hope and knew their work was not in vain. Page (2015) summarised Mayor Pecson on the role of *Laudato Si'* in inspiring his community:

> Of course, the Church is integral, not merely in helping to restore the victims' faith, but also in charting a way forward. "It's great that there's advocacy from all sectors [now including the Church] because we need everybody. (Page, 2015, p. 8)

小型案例研究1：莱特省塔纳万市的气候变化

> 是我们必须面对的问题。塔纳万市的城区已经被淹没。我们不能离开这里。这里是我们的家。我们必须制定一项计划，减轻这些灾难带来的影响、保护人民并做好准备。——塔纳万市市长Pel Tecson。（Page，2015年）

塔纳万被“海燕”摧毁（见图5）。风暴潮使水位上升了15到20英尺，其所到之处，人们赖以为生的所有东西全部被冲走。海水冲到了内陆一英里处，救援和恢复工作缓慢而艰巨。但是，塔纳万是“海燕”过境后第一个采用适应性和弹性计划的市镇（Page，2015年）。这项计划于“海燕”消退仅两个月后制定并实施，涉及塔纳万市的所有社区。Page（2015年）总结了他们的成果：

> 路灯已经恢复并更换为节能LED灯。学校已经重建，并增建第二层，可以作为疏散中心使用。渔船和三轮车已经更换。稻农获得免费的高产种子和肥料，并在2014年收获了创纪录的收成。已建成的安置住房数量将达到400套，位于内陆超过一英里处，为沿海岸线“危险地区”的880户居民中近一半家庭提供防飓风庇护所。其他地区的平均迁移率不到10％。（Page，2015年，第7页）

塔纳万是团结、集体责任感和毅力兼具的典范，特别是在这种社区工作资金短缺的情况下。他们必须具有创造力，并且在绝望的折磨中工作，因为他们知道，另一场超级台风可能很快就会将他们所有的努力毁于一旦。但是他们仍然抱有希望，并且知道他们的工作不是徒劳的。Page（2015年）总结了市长Pecson所说的《愿祢受赞颂》通谕在激励社区方面的作用 ：

> 当然，教会是不可或缺的，这不仅有助于受害者恢复信仰，而且还有助于指引前进的道路。所有领域[现在包括教会]都拥护这篇通谕，这一点非常好，因为我们需要每一个人。（Page，2015，第8页）

小型案例研究2：以农业发展为基础的农民科学家联盟协会

> 使命：提高资源贫乏农民的生活质量 - 以农业发展为基础的农民科学家联盟协会

像“海燕”这样的超级台风并不是气候变化的唯一后果。另一个极端是干旱、热浪、山洪暴发和火灾等气候现象。不幸的是，菲律宾很容易受到这两种极端情况的影响：干旱季节出现干旱、雨季则出现台风和洪水（Pavarotti和Bondi，2016年）。对于在菲律宾民众中占绝大多数的农民来说，这些气候条件会导致严重的食品安全问题。长期干旱会像洪水一样将农作物完全摧毁。“海燕”过境之后，建立抵御这些灾难的能力变得更加迫切。

以农业发展为基础的农民科学家联盟协会是一个由农民主导的网络，由人民组织、非政府组织和科学家组成，致力于通过农民对遗传和生物资源、农业生产和相关知识的控制，来实现生物多样性的可持续利用和管理，他们将“水稻就是生命”作为座右铭，从经验中得知现实确实如此。他们提高适应能力并为农民制定有效适应气候变化的方法，这是关乎生存的问题。由于在发生气候灾难害时，外部援助往往非常稀缺并且没有什么帮助，菲律宾农民，尤其是那些参与水稻种植的农民，只能依靠他们自己的能力去恢复和维持他们的生活。

作物多样化是农民提高适应能力和建立抵御恶劣天气能力的主要途径之一（Pavarotti和Bondi，2016年）。国际合作促进发展与团结组织（CIDSE）是来自世界各地的天主教社会正义组织的集合，根据该组织的一份报告：

> 【农民科学家联盟协会】以农业发展为基础，鼓励农民种植不同的作物，以便提高灾难发生时的存活几率……。他们在圣罗莎的后备农场占地3公顷，拥有约2000个水稻品种。其主要目标是，根据未来可能发生的自然灾害，收集和保存全国水稻种植实践方

Mini Case Study 2: MASIPAG and Crop Diversification

> "Mission: To improve the quality of life of resource-poor farmers." – MASIPAG

Super typhoons like Haiyan are not the only consequence of climate change. On the other end of the scale are climate phenomena such as droughts, heat waves, flash floods and fires. The Philippines, unfortunately, is vulnerable to extremes at both ends: droughts during the dry season, typhoons and flooding during the wet (Pavarotti and Bondi, 2016). For farmers, who make up a majority of the *karaniwang tao* in the Philippines, these climate conditions result in serious issues of food security. A long drought can ruin a crop just as completely as a flood. After Haiyan, efforts to build resilience against such calamities took on a more urgent character.

MASIPAG, a farmer-led network of people's organizations, NGOs and scientists working towards the sustainable use and management of biodiversity through farmers' control of genetic and biological resources, agricultural production and associated knowledge, know from experience that their motto, "Rice is life," is literally true. Their work of building resiliency and developing approaches for farmers to adapt efficiently to climate change is a matter of survival. Since external aid in the event of a climate calamity is often as scarce as it is unhelpful, Filipino farmers, especially those involved in rice cultivation, are left with nothing but their own capacity to recover and sustain their way of life.

Crop diversification is one of the primary ways that farmers can adapt to and build resilience against severe weather (Pavarotti and Bondi, 2016). According to a report by the International Cooperation for Development and Solidarity (CIDSE), a collection of Catholic social justice organizations from around the world:

> [MASIPAG] encourage[s] farmers to plant different crops so the chance of survival in case of a calamity is higher.… Their back-up farm in Santa Rosa, with an extension of 3 hectares, hosts around 2000 rice varieties. The main objective is to collect and preserve national rice farming practice in light of future natural disasters, but also for keeping the knowledge and passing it down to future generations. The rice cultivated in the national farm is not for sale but the production is meticulously stored [and] seeds [are] often sent for free to farmers experiencing calamities. (Pavarotti and Bondi, 2016)

Being farmer-led, MASIPAG is able to understand the needs of local farmers and empower them to innovate solutions that MASIPAG can assist in realising, such as crop diversification.

Mini Case Study 3: Archdiocese of Palo

> If Mao Zedong has his '[Little] Red Book,' we have our own red book: the '*Laudato Si*'." This is our guide in our interventions. – Fr. Al Cris Badana (Page, 2015)

Fr. Al Cris Badana directs the Relief and Rehabilitation Unit (Caritas Palo) of the Archdiocese of Palo, a municipality just south of Tacloban City. The work of Caritas Palo is to help local communities recover from the effects of Haiyan, using the Community Managed Disaster Risk Reduction (CMDRR) model (Page, 2015). CMDRR is a concrete application of CST's principles of solidarity and subsidiarity, which teach, in terms of climate change, that adaptation and mitigation strategies will only be sustainable when local communities are encouraged to work together and are empowered to innovate their own solutions based on local knowledge of the particular conditions affecting them.

Part of the work of Caritas Palo is to rebuild homes and provide for farmers' livelihoods. However, instead of imposing what he thinks is best for them, Fr. Badana holds community meetings to understand the needs of those he aims to assist. The results, summarised by Page (2015), have been impressive:

式，同时也要将知识传承下去，给千万子孙后代。国家农场种植的水稻并不出售，而是会精心储存起来，但是种子经常会免费送给受灾的农民。（Pavarotti和Bondi，2016年）

以农业发展为基础的农民科学家联盟协会由农民主导，了解当地农民的需求，并且允许农民创新解决方案，帮助实现这些方案，例如作物多样化。

小型案例研究3：巴罗镇大主教管区

如果说毛泽东有他的‘红宝书’，我们也有我们自己的红宝书：那就是‘《愿祢受赞颂》通谕’。这是我们进行干预的指导。——Al Cris Badana神父（Page，2015年）

Badana神父负责指导位于塔克洛班市南部的巴罗镇大主教管区的救援和重建组织（Caritas Palo）。Caritas Palo的工作是通过采用社区管理减少灾害风险（CMDRR）模式，帮助当地社区从“海燕”的影响中恢复过来（Page，2015）。社区管理减少灾害风险是对天主教社会教义的团结和辅助性原则的具体应用，就气候变化问题而言，只有鼓励当地社区共同努力，使他们能够根据对当地特殊条件的了解来创新自己的解决方案，所教授的适应和缓解战略才具有可持续性。

Caritas Palo的工作包括帮助农民重建家园并为他们提供生计。然而，Badana神父并没有将他认为最适合的东西强加于人，而是举行社区会议，以了解那些帮助对象的需求。Page（2015年）所总结的结果令人印象深刻：

首先，我们必须倾听他们真正想要的东西……他们想要的并不总是那些最明显的东西。许多种植水稻的农民……更喜欢水牛，而不是机械收割机。后者需要汽油、持续维护和技术培训，而前者只需吃草即可维持生命。这种动物还可以提供牛奶和进行繁殖。大约需要700美元……教会即可提供一头可为五个家庭服务的水牛，并且可签署书面协议，规定将水牛的后代交给其他有需要的家庭。（Page，2015年，第9页）

允许农民指导Caritas Palo的决策过程，不仅尊重社区人民的尊严，而且还发现了一种成本更低、更具可持续性的解决方案。

Caritas Palo的另一个成就是，与至少200名“海燕”幸存者共同建立了一个集市，集市的特色是售卖当地农民种植的有机食物（见图6）。这个名为“明爱关怀”的集市于2015年圣诞节期间在巴罗镇大教堂建立起来（Henderson，2015年）。Badana神父向公众传达了这样一个信息：

我们天主教会信奉有机农业，以及由授权社区管理的可持续农业和生计。这个集市只是通过推广能够减少碳足迹的有机产品来关爱环境的一种方式。（Henderson，2015年）

对话的真实意义

《愿祢受赞颂》通谕与梵蒂冈之前的声明不同，并不在于清晰的道德，而是迫切需要动员全世界所有的民众，让他们重新审视自己的良知并改变自己的生活方式，以支持真正能够应对气候变化问题的解决方案。

教宗方济各通过与菲律宾普通民众、数百万天主教徒和非天主教徒的接触，也许已经学习到了一些东西。同样，普通民众显然也已经从他的身上学习到了一些东西。他们了解到，他们所做的许多小事确实可能带来改变。他们开始以各种方式对他们的领导者做出回应。正如我们所见，为了我们的子孙后代、为了这个地球上所有将追随我们的人以及我们共同的家园，他们已经做好准备、愿意并且能够尽自己的力量改变我们的生活方式。

濮漠泉，香港罗世力国际管理咨询有限公司案例研究部總監。

> First, we have to listen to what they really want….What they want is not always the most obvious thing. Many rice farmers...would prefer a water buffalo to a mechanical harvester. The latter requires gasoline, ongoing maintenance, and technical training, while the former can sustain itself simply by eating grass. The animal also provides milk and reproduces. For about USD $700…the church can provide a water buffalo that serves five families, with a written agreement that the offspring is given to the next in line. (Page, 2015, p. 9)

In allowing farmers to guide the decision-making process of Caritas Palo, they have not only shown respect for the dignity of the people in their communities, but also discovered a less costly and more sustainable solution.

Another achievement of Caritas Palo, in solidarity with at least 200 Haiyan survivors, was the establishment of a bazaar, featuring organically grown food from local farmers (see fig. 6). The bazaar, titled "Caritas Cares," was set up during the 2015 Christmas season at the Palo Cathedral (Henderson, 2015). Fr. Badana had this message for the public:

> We at the Catholic Church believe in organic farming, and sustainable agriculture and livelihoods managed by empowered communities. This bazaar is just one way of caring for the environment by promoting organic products that reduce carbon footprints. (Henderson, 2015)

The True Meaning of Dialogue

Laudato Si' differs from the Vatican's previous statements, not in its moral clarity, but in the urgency of its effort to mobilise all the world's *karaniwang tao* to re-examine their consciences and transform their lifestyles in ways that can sustain genuine solutions to the problem of climate change.

Pope Francis may have learned something from reaching out in the Philippines to ordinary people, the millions of Catholics and non-Catholics alike. By the same token, the *karaniwang tao* apparently have learned something from him. They learned that the many little things they do really can make a difference. In countless ways they are beginning to respond to his leadership. As we have seen, they are ready, willing and able to do their part to change the way we live, for the sake of our children and grandchildren, and all those who will come after us on this earth, our common home.

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Progressive Business as Social Business Innovation

实施社会商业创新的渐进式商业模式

Eleanor O'Higgins, Laszlo Zsolnai

Abstract

This paper presents a series of brief case studies of exemplary companies identified as progressive businesses, understood as ecologically sustainable, future-respecting and pro-social enterprises. These companies follow progressive business practices and embrace social innovation methods in their business models. They represent a range of industries including ethical and sustainable banking, artisan coffee production and distribution, insurance, clean technology, retailing, and consumer goods. The analysis of these cases is meant to show readers that social innovation is practical for businesses seeking to flourish in the 21st century.

These enterprises featured here may help to dramatize the contrast with many mainstream establishments whose business models inhibit socially and environmentally sustainable practices.

摘要

本文将对部分案例公司进行简单的案例研究，这些企业均为业界公认的生态可持续的、面向未来的、亲社会型企业。它们遵循渐进式的商业惯例，并在其商业模式中采用社会创新方法。案例公司涉及的行业领域包括银行业、手工咖啡生产及分销行业、保险业、清洁技术业、零售业和消费品行业。本文的案例分析旨在证明社会创新这一做法对于企业在21世纪寻求蓬勃发展的切实可行性。

文中提及的企业可与许多主流企业进行对比，这些主流企业的商业模式阻碍了社会与环境的可持续发展。

Progressive Business for Sustainability

In our book "Progressive Business Models" (O'Higgins and Zsolnai, 2017) we collect and analyse progressive business cases where *progressive business* is defined as ecologically sustainable, future respecting and pro-social enterprise. Progressive business aims to serve nature, future generations and society while maintaining its financial profitability and robustness in an integrated way, employing

渐进式商业的可持续性

在笔者合著的《渐进式商业模式》（O'Higgins和Zsolnai，2017年）一书中，我们收集了渐进式商业案例的相关资料并对其进行分析，将渐进式商业定义为生态可持续的、面向未来的、亲社会型企业。渐进式企业旨在通过采用符合社会生态价值创造要求的社会创新方法为自然界、子孙后代和社会服务，同时以整合方式保持其财务盈利能力和稳健性。（Ims及

methods of social innovation that are consistent with the requirement of socio-ecological value creation (Ims and Zsolnai, 2014; Thompson, 2017).

We advocate the concept of progressive business models to achieve a sustainable relationship with the Earth, our common home, or at least advance toward it, adopting social innovation to produce values for society at large, not just for selected stakeholders. In effect, the progressive business model explains the choices the enterprise makes (Casadesus-Masanell & Ricart, 2011). The progressive, sustainable and socially responsible nature of our exemplary cases are captured in the choices featured prominently in their business models:

- Value propositions – what are the benefits or values to be delivered to customers;
- Policies – how they choose to operate, across all their operations, involving internal and external stakeholders;
- Assets – what resources the enterprise chooses to own and operate;
- Governance – how power and decision-making are exercised.

Progressive Companies

Our selection of progressive companies include a variety of industries and countries as follows: Triodos Bank (ethical and sustainable banking, Netherlands/transnational), illycafé (artisan coffee production and distribution, Italy/international), DKV Integralia (health insurance, Spain), Lumituuli (clean technology, Finland), John Lewis Partnership (JLP) (retailing, UK), and Unilever (consumer goods, UK/Netherlands/global).

Triodos Bank is a Dutch bank with branches in four European countries. It was founded in 1980 with a mission to make money work for positive social, environmental and cultural change. Triodos' mission is translated into a set of business principles that all employees are expected to follow. The principles promote sustainable development, obedience to the law, respect for human rights and the environment, accountability and continuous improvement. The principles are paired with practical procedures, for example, internal and external auditing of, and reporting on the bank's environmental performance. Bonuses are not part of the compensation packages. The bank believes that its employees act on their intrinsic, value-based motivation. A whistleblower policy supports compliance with its principles.

Our selection of progressive companies include: Triodos Bank, illycafé, DKV Integralia, Lumituuli, John Lewis Partnership, and Unilever.

Triodos finances and invests in companies, institutions and projects that fall within the range of its ecological, social and cultural criteria. Triodos' principles are reflected in a thoroughly qualitative decision-making process in considering loan applications. In general, it excludes proposals involving products, services, or business processes that would hinder the development of a sustainable society. Specifically, Triodos does not lend to organizations, businesses, and projects whose activities products, services, or processes are more than five percent non-sustainable.

Highly transparent in its operations, Triodos' portfolio is disclosed on its website, enabling its depositors and investors to track directly where their money is put to work. Triodos also invests money through several green funds directly under its management. These funds provide an additional instrument to raise capital for responsible investments. The funds invest in different areas such as microfinance, sustainable trade, organic agriculture, climate mitigation, sustainable energy, real estate, arts and culture.

illycaffè, a family-owned company located in Trieste, Italy, produces and sells a unique single blend of premium-quality coffee in more than 140 countries on five continents. The success of this top-quality coffee blend is deeply rooted in the firm's strong, collaborative

Zsolnai，2014年；Thompson，2017年）

笔者提倡渐进式商业模式这一概念，以实现人类与其共同家园地球之间的可持续关系，或者进一步看，至少采用社会创新方法可以为全社会创造价值，而不仅仅是特定的利益相关者。实际上，渐进式商业模式还能解释企业做出的相关决策。（Casadesus-Masanell及Ricart，2011年）本文所选案例中的企业的渐进性、可持续性和社会责任性均可以在其选用的商业模式得到体现：

- 价值主张——为客户提供的利益或价值；
- 政策——涉及内部及外部利益相关者的业务运营模式；
- 资产——企业拥有和运作的资源；
- 治理——行使权力及做出决策的方式；

渐进式企业

本文案例选用的渐进式公司涉及多个行业和国家，具体包括：特里多斯银行（可持续发展式道德银行，荷兰/跨国），意利咖啡（手工咖啡生产和分销行业，意大利/国际），DKV Integralia（西班牙健康保险行业），Lumituuli（清洁技术，芬兰），约翰—路易斯，（JLP）（零售业，英国）及联合利华（消费品行业，英国/荷兰/全球）。

特里多斯银行是一家荷兰银行，在四个欧洲国家设有分行。该银行成立于1980年，致力于为社会、环境和文化开创积极变革。特里多斯银行的这一使命逐渐演变成为该公司所有员工都需遵循的一套商业准则。这些准则促进可持续发展、守法、尊重人权和环境、问责制和持续改进。它们与实际程序相结合，例如内部和外部审计，以及银行环境绩效报告。奖金并不是薪酬的一部分。该银行认为其员工的行为取决于他们基于价值的内在动机。准则规章设有举报人政策。

特里多斯银行所资助及投资的公司、机构和项目均在其生态、社会和文化标准范围内。它的准则还体现在其完全定性的贷款申请决策过程中。一般而言，该银行不含有涉及妨碍可持续社会发展的产品、服务或业务流程的提安。具体来说，一旦组织、企业或项目中的产品、服务或流程超过百分之五不可持续，特里多斯银行就不会向其提供贷款。

本文案例选用的渐进式公司涉及：特里多斯银行，意利咖啡，DKV Integralia，Lumituuli，约翰—路易斯，及联合利华。

特里多斯银行在其网站上披露它的投资组合，业务高度透明，存款方及投资者可以直接对其资金进行追踪。特里多斯银行还通过直接管理的几家绿色基金进行投资。这些基金为筹集可靠投资资本提供了额外的融资工具。这些基金投资于如小额信贷、可持续贸易、有机农业、气候缓解、可持续能源、房地产、艺术、文化等不同领域。

意利咖啡是一家位于意大利里雅斯特的家族企业，在全球五大洲140多个国家里生产并销售其独特的优质咖啡。这一顶尖的咖啡的成功深深植根于该企业与农民之间的紧密合作关系。意利咖啡直接从在南美州、中美洲、印度、中国和非洲等优质咖啡豆产地的农民手中购买咖啡豆。它给当地农民的劳动报酬比阿拉比卡咖啡豆的市价还高出30%-35%。意利咖啡与农民的长期互利合作关系构成了可持续发展的良性循环，而这一循环基于以下四项原则：（一）意利咖啡在追求可持续发展的同时也要求极高的质量；（二）这家公司的所有咖啡豆都直接购于当地生产商；（三）质量是改善农民长期生活条件的工具；（四）意利咖啡给出的价格一贯公平合理。

利益相关者支持方之间的联系是意利咖啡供应链管理的重要特征，也是其整体价值主张的一部分，旨在通过多项举措发展及传播咖啡文化，其中包括与当代艺术世界的持续互动。

DKV Integralia是德国领先的欧洲健康保险公司——慕尼黑保健公司的西班牙分支机构。它在西班牙各地拥有数不胜数的办公室和咨询机构，为全国160万客户提供服务。DKV的商业模式围绕着“真正关心您”的核心理念，这一价值主张基于与其主要利益相关者开放合作和参与性长期关系的原则。

DKV是西班牙残疾员工比例最高的一家

relationships with farmers. illycaffè buys green coffee directly from the farmers that produce the highest-quality coffee beans in South and Central America, India, China, and Africa. It remunerates the efforts of local farmers by paying 30 to 35 percent more than the market price for Arabica coffee beans. illycaffè's long-term, mutually beneficial partnerships, comprise a virtuous cycle of sustainability based on four principles: (i) sustainable development and quality are an inseparable pair; (ii) 100 percent of illy coffee is bought directly from local producers; (iii) quality is a tool for improving the living conditions of farmers over time; and (iv) a fair price is always applied.

Supportive stakeholder linkages are key features of illycaffè's supply chain management, part of its overall value proposition, as it aims to develop and spread the culture of coffee through several initiatives, including a continual interaction with the world of contemporary art.

DKV Integralia is the Spanish affiliate of Munich Health, the leading European health insurance company. It has a wide network of offices and consultancies throughout Spain, serving 1.6 million clients. DKV's business model revolves around the central idea of "really interested in you", which is a value proposition based on the principles of open collaboration and participative, long-term relationships with its key stakeholders.

DKV has the highest percentage of disabled employees (29 percent) of any company in Spain. The goal is not only to hire disabled people, but also to train and help them obtain jobs in other companies, as well as to spread the culture of integrating disabled people in business. DKV Spain enacts its collaborative business model through four objectives: (1) being the best company co-responsible for the health of its clients; (2) giving a service that surpasses the expectations of its clients; (3) being an exemplary organization; and (4) being an innovative, open and responsible company.

Lumituuli is a customer owned wind power producer in Finland. Its main business operations consist of commissioning and operating wind generators and funding these activities via share offerings targeted mainly at ordinary people. Electricity produced is sold to the firm's more than 1200 shareholders, mostly private citizens but also other firms, associations and municipalities.

Lumituuli's ultimate goal is to raise awareness about the possibilities and potential of wind power. Its activities help to decrease the use of fossil fuels, reduce carbon emissions, and facilitate a transformation to renewable resources in the economy. To broaden its scope of activities, the company has released public loans that enable people to make direct investments in building new wind turbines without using the electricity generated from them.

John Lewis Partnership (JLP) is an employee owned UK retailer that operates 42 John Lewis department stores across the UK, 328 Waitrose supermarkets, an online and catalogue business, a production unit and a farm. The company is owned by a Trust on behalf of all its 90,000 permanent staff, known as 'Partners', who have a say in the running of the business and receive a share of annual profits, which is usually a significant addition to their salary.

The firm's constitution states that the happiness of its members is the Partnership's ultimate purpose, recognising that such happiness depends on having a satisfying job in a successful business. It establishes a system of rights and responsibilities, which places on all Partners the obligation to work for the improvement of the business in the knowledge that they share the rewards of its success. The constitution defines mechanisms to provide for the management of the Partnership, with checks and balances to ensure accountability, transparency and integrity.

Unilever is a British-Dutch global consumer goods company whose Sustainable Living Plan includes three main goals: improving health and well-being; reducing environmental impact; and enhancing livelihoods. Unilever is working with multiple NGOs to arrive at solutions to various challenges, including ensuring safe drinking water, fighting viruses, better packaging, sustainable washing, storing renewable energy, and changing consumer behavior in a more balanced direction. Paul Polman, CEO since

公司，达29%。其目标不仅仅是聘请残疾人，还要培训他们以帮助其能在其他公司找到工作，同时传播残疾人士商业文化。DKV这一西班牙分支通过四个目标实现其合作商业模式：（1）成为负责客户健康的最佳公司；（2）提供超出客户预期的服务；（3）成为模范组织；（4）成为创新、开放和负责的企业。

Lumituuli是芬兰的一家客户所有风力发电厂。其主要业务包括调试和运营风力发电机，并通过向公众发行股份来资助这些活动。它生产的电力不仅销售给公司的1200多名股东（其中大部分是个人公民），还销售给其他公司、协会和市政当局。

Lumituuli的最终目的是增强公众对风能的潜能及潜力的认知。这家企业的活动有助于减少化石燃料的使用，减少碳排放，促进经济中可再生资源的转化。该公司还发行公共贷款来扩大活动范围，这样人们无需电力就可以直接投资建设新的风力涡轮机。

约翰—路易斯（JLP）是一家员工所有的英国零售商，在英国各地经营42家旗下百货公司、328家Waitrose超市、1家在线及目录邮购公司、1个生产单位和1个农场。这家企业由一家代表全部9万名长期职工的信托基金（也称“合伙人”）所有，这些职工在业务经营中拥有发言权，并能获得年度利润份额，而这些份额通常作为其薪水的一部分。

该公司的章程规定其最终目的是合伙成员能够幸福，且这种幸福取决于能否在一家成功的企业中拥有一份满意的工作。它还建立了权利和责任制度，鉴于所有合作伙伴的成功经验赋予他们在改善业务方面的相应义务。该章程规定了管理合伙关系的机制，同时进行制衡以确保两者的问责制、透明度和整合性。

联合利华是一家英荷全球消费品公司，其可持续的生活计划包括三个主要目标：改善健康福利、减少对环境的影响、提高生活水平。联合利华与多个非政府组织达成合作以应对各种挑战，包括确保安全饮水、抗击病毒、提供更好的包装及可持续的洗涤产品、储存可再生能源以及引领消费者的行为朝着更加平衡的方向改变。保罗·波尔曼自2009年起开始担任联合利华首席执行官，他取消了该企业的盈利指导和季度报告，且拒绝了对冲基金这一模式的投资，从而改变了联合利华的经营方式。波尔曼改变了公众对首席执行官的印象，他更像是一个负责任、正直、成功的政治家。联合利华并不能保证它会一定成功实现自己的目标。它面临的最大挑战是如何利用其创新的商业模式来管理与当前资本市场的关系。

渐进式商业的主要特征

虽然渐进式企业的商业模式在结构上会有所不同，但就渐进性这一点而言它们有许多共同特征可以界定。笔者在本节中总结了7个特征。

1. 指数型

渐进式商业模式与传统模式截然不同，即他们的发展呈指数型变化，而不是简单的逐步改善。（Volans，2016年）与传统模式存在较大差异的应该是其变革方式，涉及到对基本信念和传统思维的重构甚至破坏与挑战。（de Jong及van Dijk，2015年）变革的实现需要进行使基本假设转换的双重循环学习，而不是只局限于现有框架内的单一循环学习。（Yunus等，2016年）

指数型商业模式的转换可以以所有权更替这一主要创新方式进行，如JLP由其创始人约翰·路易斯的儿子Spedan Lewis在1928年捐赠给其员工，现在该公司由一家代表这些员工的信托基金所有。Lumituuli是一家由顾客所有的合伙企业，这在能源业并不常见。联合利华挑战传统资本市场。

商业模式的指数型创新也可以反映在其背离传统的流程和价值链中。特里多斯银行是解决银行业人力和生态可持续性问题的佼佼者。意利咖啡通过其整个价值链中彻底打破了传统的商业流程，包括从采购可持续的咖啡豆到进行创新加工与分销。DKV Integralia利用不同形式的工作和技术进行实验，一方面提高残疾人就业率，另一方面同时提升其价值主张。

2. 可持续性/循环性/节俭性

渐进式企业的可持续性包含双重含义。一方面是企业自身的可持续性，即它所期望的长期发展。另一方面，渐进式公司将地球的可持续发展融入到自己的商业模式中。抛弃传统季度盈利“高低起伏”的企业更有可能发现持续繁荣的喘息空间。考虑到长远打算而实施的方法将使得收入和盈利、投资、

2009, has eliminated earnings guidance and quarterly reporting, rejecting hedge funds as investors, thus changing the way business is done by Unilever. Polman redefined the role of the CEO as statesman – someone who runs his or her business responsibly and successfully, with integrity. Unilever does not know for certain that it will succeed in meeting its goals. Its biggest challenge is managing its relationship to current capital markets in light of its innovative business model.

Key Features of Progressive Business

Whilst the business models of progressive companies differ in their construction, yet they have many features in common which define their progressivity. We identify seven features in this section.

1. Exponential

Progressive business models entail a radical departure from conventional models, i.e., the ambition is toward exponential change, rather than simple gradual improvement (Volans, 2016). The contrast to what exists should be transformative (Haslam, 2016), involving a reframing and even a disruption of fundamental beliefs, challenging conventional thinking (de Jong and van Dijk, 2015). This requires double-loop learning that forces a transformation in fundamental assumptions to institute change, instead of single-loop learning which confines itself to change within an existing framework (Yunus et al., 2016).

Exponential business model conversions can take the form of major innovations in ownership, such as JLP which is owned by its staff through a Trust donated in 1928 by the visionary Spedan Lewis, son of the founder, John Lewis. Lumituuli, owned by its customers as a co-operative, is unusual among energy companies. Unilever has challenged the conventional capital markets.

Exponential innovations in business models can also be reflected in departures from the conventional in processes and value chains. Triodos was a pioneer in addressing questions of human and ecological sustainability in banking. *illycaffè* has revolutionised all its processes, throughout the value chain, from sustainable sourcing of beans, through to innovations in its processing and distribution. DKV Integralia experiments with different forms of working and technology to advance the participation of disabled people in the workforce, meanwhile enhancing its value proposition.

2. Sustainable/Circular/Frugal

Sustainability in progressive companies is twofold. On the one hand is the sustainability of the enterprise itself, as it thinks long-term. On the other hand, progressive companies integrate the sustainability of the planet into their business models. Companies that discard the traditional quarterly earnings 'merry-go-round' are more likely to discover the breathing space to flourish sustainably. A long-term approach can lead to superior performance for revenue and earnings, investment, market capitalisation and job creation (Barton et al., 2017).

Long-term thinking in companies is exemplified by Unilever, which is shunning the typical quarterly earnings reports to shareholders, also recruiting investors who concentrate on the long-term. The emphasis in progressive companies is on an enduring timeline that appears to provide business advantages. Other efforts at long-term sustainability are exemplified by continuous innovation, such as illycaffè's expansion with innovative products and formats, whilst maintaining its basic principles of perfectionism and integrity in its relationships, and JLP's forward looking innovations in outsourcing and distribution, using information technology.

Ecological sustainability is evident in the ways progressive companies attempt to reduce pollution and preserve depletable resources. All the progressive companies reported have made serious efforts to tackle environmental issues. Lumituuli's very mission is to advance wind power generation in Finland, thereby conserving resources through its renewable energy business. In addition to frugality, wind power generation also has the effect of mitigating climate change.

市值与就业机会具有更出色的表现。（Barton等，2017）

联合利华在这方面就是一个很好的例证。这家企业有意避免向股东提供典型的季度收益报告，同时寻求专注于长期发展的投资者。渐进式企业的重点在于提供具有商业优势的长期规划。其他长期可持续发展方面的努力还体现在持续不断的创新上，正如意利咖啡在保证其合作关系中的完美主义和诚信这两点基本原则的同时，对创新产品和业态进行扩张，JLP利用信息技术在外包和分销方面的前瞻性创新。

在试图减少污染和保护可消耗资源的过程中，渐进式公司的生态可持续性是显而易见的。所有的渐进式公司都被报导过为解决环境问题而努力。Lumituuli的企业使命是推动芬兰风力发电的发展，从而通过产生的可再生能源业务节约资源。除了节约资源外，风力发电还可以缓解气候变化。

Triodos是世界上第一批对自然环境负责的银行，它与客户和其他利益相关者进行交易的储户存款中的65％用于投资可持续项目。意利咖啡同样具有环保意识，并已获得各种环境认证，如环境管理体系认证ISO 14001、EMAS（生态管理及审核计划）注册等，它是全球第一家获得负责任供应链流程的高要求认证的公司。

3. 接受悖论

渐进式企业接受悖论，因为他们同时追求不同的目标（其中一些可能会相互冲突），反而脱颖而出并获得竞争优势。接受悖论意味着管理者不应该自问到底是实施A还是B，而应该寻求可以同时实施两者的方法，从而实现看似不可实现的目标。（Smith等，2010）

DKV Integralia就是一个典型的例子。乍一看，雇用残疾人似乎会削弱生产力。但是，与这种传统观念相反的是，已有相关材料证明Integralia残疾员工的生产力和熟练程度达到优秀水平，以至于同行公司都希望能雇用Integralia的残疾员工。Integralia的例子还说明了当公司试图追求同步的目标时，矛盾是如何促进创造力和动态能力的蓬勃发展的，这样便可以通过可以使公司、员工和相关利益相关者受益的衍生活动来创建良性循环。Lumituuli是另一个接受悖论的典范，该企业是一家囊括私营部门及公共部门的合作性混合企业。

4. 整合性

整合性意味着企业通过系统性思维来协调其工作活动。而所谓的系统性不仅包括公司内部，还包括业务运作的外部环境。实施的整合性方案需要在环境、社会和经济重点这三个维度之间取得平衡。（Szekely和Strebel，2013）

整合性的一种表现方式就是将外部伙伴关系和利益相关者安排纳入组织的日常运作方式中，联合利华与非政府组织的关系就是例证。对于JLP而言，其管理层的所有方代表就能很好地证明该公司的整合性。特里多斯银行的治理原则是基于遵守法律、尊重人权、尊重环境、促进可持续发展和无奖金文化，以统一和协调银行的做法和活动。

5. 社会导向性

渐进式公司与其他公司不同之处在于，将社会影响放在首位，明确社会利润目标并寻求亲社会所有者。（Yunus等，2010年）

Lumituuli是一家社区企业，它的企业使命、形成及治理均体现了这一社会取向。它的最终目标是促进可再生能源的发展，而且该企业是合作性质的企业，并不追求经济利润。联合利华也是一个社会导向性的例子，该公司的股东们逐渐认识到公司应该实现的不仅仅是经济利益。它应该扩大目标，让自身对发达国家和发展中国家的人民生活产生深刻的社会影响。

DKV Integralia的亲社会导向性体现在该企业对残疾劳动者的肯定性，不仅将其纳入自身的经营活动中，还为他们提供培训以便在其他公司工作。同样，在JLP这一独特的合伙性质的社会集体中可以感受到“合伙人幸福”。不同于传统的银行业模式，特里多斯银行致力于服务社会，可算是银行业的先驱。它因支持促进社区繁荣的小额信贷项目而闻名。

6. 利益相关者导向性

渐进式公司在其利益相关者模型中突出“参与”这一配置属性的特征。（O’Higgins，2010）基于公平、相互依赖、关系、对话和信任，它们与利益相关者管理的社会网络结合在一起。决策的执行是在与多个利益相关者长期持续发展伙伴关系的背景下进行的。

Triodos was among the first banks in the world to take responsibility for the natural environment in dealing with its customers and other stakeholders, with 65 percent of savers' deposits invested in sustainable projects. Illycaffè is also environmentally aware and has obtained various environmental certifications – Certification ISO 14001 for its environmental management system; EMAS (Eco-Management and Audit Scheme) registration; it was the first company in the world to obtain the very demanding certification of Responsible Supply Chain Process.

3. Embracing paradox

Progressive businesses embrace paradox, as they pursue diverse goals simultaneously—some of which may clash with each other—thereby differentiating themselves and achieving competitive advantage. Embracing paradox means that instead of asking themselves whether to implement A *or* B, managers should be seeking ways to implement both A *and* B, thus achieving the seemingly unachievable (Smith et al., 2010).

DKV Integralia is such an example. At first glance, it would appear that employing disabled people would weaken productivity. But, contrary to this conventional belief, the productivity and proficiency of Integralia's disabled workforce has proven to be so superior that its staff are desired by peer companies where they may also find employment. Integralia also illustrates how engaging contradictions facilitates creativity, and dynamic capabilities flourish as the company tries to pursue simultaneous aims, creating a virtuous circle, with spin-off activities that benefit the company, its workers, and associated stakeholders who use its services. Lumituuli is another exemplar of embracing paradox, as a hybrid organization, a co-operative, which can encompass both private and public sector imperatives.

4. Integration

Integration means that activities are coordinated harmoniously by invoking systemic thinking. The system includes not only the internal company, but also incorporates the external environment in which the business operates. An integrated approach entails balance between three dimensions of environmental, social and economic emphases (Szekely and Strebel, 2013).

One manifestation of integration is the assimilation of external partnerships and stakeholder arrangements into the everyday modus operandi of the organization, as exemplified by Unilever's relationships with NGOs. In JLP, the representation of all Partners at the governance level facilitates integration. Triodos' principles of governance—based on conformity with law, valuing human rights, respecting the environment, promoting sustainable development, and a no-bonus culture—act to unify and harmonise the practices and activities of the Bank.

5. Socially oriented

Progressive companies are different from others in putting social impact at the forefront, specifying social profit objectives, and seeking pro-social owners (Yunus et al., 2010).

Lumituuli, as a community enterprise embodies this social orientation in its very purpose, formation and governance. Its ultimate purpose is to advance renewable energy, and as a co-operative, it does not seek a financial profit. Unilever is also an example of the pro-social orientation, where shareholders are being educated that the company should strive for more than financial profit. It should expand its ambition to make a profound social impact on people's lives, in both developed and developing countries and communities.

DKV Integralia's pro-social orientation actively integrates disabled people as workers, not only into its own operations, but by training the disabled for work in other companies. Similarly, the 'happiness of the Partners' is seen in the unique social collective of partnership at JLP. Triodos Bank was a pioneer in banking as it strives to serve society, in contrast to traditional banking models. It is renowned for its support of microfinance projects that advance the flourishing of communities.

6. Stakeholder oriented

Progressive companies portray the

联合利华与非政府组织的合作伙伴关系就是一个很好的例子，比如说它与雨林联盟和政府机构进行合作以可持续的方式种植茶叶，确保提高茶园工作人员的生活质量。20世纪90年代，联合利华参与了海洋管理委员会的组建工作，该委员会后来发展壮大成为可持续渔业的认证机构。

另一个双赢的合作方案是Lumituuli与Ekosahko建立的合作伙伴关系。Ekosahko依靠水力发电和生物质能源来生产绿色电力，但没有庞大的客户群，而Lumituuli则缺乏能支持其大规模销售量的管理技能。因此，这两家企业建立合作关系后，Lumituuli可以从Ekosähkö 购买行政服务和部分电力，两者多年来互惠互利，得以发展壮大。

> 渐进式企业的重点在于提供具有商业优势的长期规划及持续不断的创新。

7. 优秀的领导力

渐进式公司是由高层领导的。首先，这一点在企业创办方面至关重要；其次，对于现有公司保持渐进性而言这一点也不容小觑。渐进式领导者有明确的愿景和方向，他们会采取必要的变革方式并确保实施渐进性的措施。（Szekely和Strebel，2013）

所有案例中渐进式公司都少不了有远见、有决心的领导者及其团队的领导和激励。联合利华的保罗·波尔曼的愿景是整合且多方面的，涵盖了大型跨国企业的管理，而这一企业拥有多元化的业务和繁杂的利益相关者参与。全面采纳和支持联合利华可持续的生活计划是其所有员工的重中之重。

在某些情况下，领导力源于家庭愿景。这一点在意利咖啡中可以明显看出，该企业的后代继承了先辈最初建立时的渐进式传统。对于JLP而言，将家族企业赠与合伙信托这一较为激进的想法是Spedan Lewis提出的，且这一愿景体现在一直延续至今的企业章程中。案例中其他渐进式企业的领导人包括DKV Integralia总裁兼DKV西班牙首席执行官Josep Santacreu。

结论

本文所研究的渐进式商业案例以各自不同的方式表明，商业企业可以在其商业模式中采用社会创新的方法，这类方法与传统的方式大有不同，在人类和与其共同的家园地球的重要关系中实现有意义的改变。这些案例展示了如何在这个被认为是“人类世”（Waters等， 2016年））的时代中将企业打造成具有生态意识的、尊重未来的、亲社会型企业。这个时代在生物圈的范围内运作，而我们人类应该为所有与我们共享这个星球的物种作出贡献。

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features of the "engaged" configuration in their stakeholder model (O'Higgins, 2010). They are integrated into social networks with stakeholder management based on fairness, interdependency, relationships, dialogue and trust. Implementing decisions take place in a context of long-term ongoing developmental partnerships with multiple stakeholders.

Progressive companies are led from the top. This is essential in creating the enterprise in the first place and in sustaining progressivity in an existing company.

An example is Unilever's partnerships with NGOs, such as with the Rainforest Alliance and with government agencies for the cultivation of tea in a sustainable manner that ensures the enhancement of the lives of tea plantation workers. Unilever was involved in the formation of the Marine Stewardship Council in the 1990s, which has since developed and expanded to become an established certification body for sustainable fishing.

Another win-win collaboration scheme is Lumituuli's partnership with Ekosähkö, a company which produces green electricity from hydro and biomass sources, but did not have a large customer base, while Lumituuli lacked the management skills to support its large volume of sales. Therefore, a partnership between the two organizations, whereby Lumituuli buys administrative services and some electricity from Ekosähkö, has offered mutual benefits for many years, allowing both companies to grow and flourish.

7. Committed leadership

Progressive companies are led from the top. This is essential in creating the enterprise in the first place and in sustaining progressivity in an existing company. Progressive leaders have a clear vision and direction, galvanize necessary change and ensure implementation of the progressive measures (Szekely and Strebel, 2013).

All the reported case examples of progressive companies have been led and inspired by visionary, determined leaders and teams. The vision of Paul Polman of Unilever is integrated and multi-faceted, encompassing the complexity inherent in running a giant multinational company with its diversified array of businesses and stakeholder engagements. The wholehearted adoption and pursuit of the Unilever Sustainable Living Plan has provided a focus from the top for all.

In some cases, the leadership has come from a family vision. This is seen in illycaffè, as succeeding generations have carried on the progressive tradition originally established by a forebear. In JLP, the radical idea of giving away the family company to a partnership trust was the brainchild of Spedan Lewis, and he embodied this vision in a constitution that survives to this day. Other inspirational leaders in the progressive case companies include Josep Santacreu, President of DKV Integralia and CEO of DKV Spain.

Conclusion

Our progressive business cases have, in their own different ways, shown that business enterprises can adopt socially innovative approaches in business models that depart from the traditional to achieve meaningful change in the critical nexus of humanity and Earth, our common home. They demonstrate how to become ecologically conscious, future respecting, pro-social agents in this era now regarded as the "Anthropocene" (Waters et al. 2016) where, operating within the limits of the biosphere we should contribute to the fullness of life for all species with whom we share this planet.

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The Ethical Case against Sweatshops in Guangdong Province: Resources from John Rawls' Theory of Justice

广东省血汗工厂的伦理案例：对策来自约翰·罗尔斯的《正义论》

Liu Guangming 刘光明

Abstract

Guangdong province is famous for its many sweatshops. Discussions in the past have focused on factory pollution, working conditions, and use of child labour. This article addresses ethical issues associated with sweatshops, particularly, disrespect for employees and violations of the privacy of employees. A management approach is proposed based on John Rawls' theory of justice.

摘要

广东省内的血汗工厂臭名昭著。过去的讨论均以工厂污染、工作条件和使用童工为重点。本文阐述了血汗工厂的相关伦理问题，尤其是不尊重员工和侵犯员工隐私；并根据约翰·罗尔斯的《正义论》提出了一种管理方法。

Issues Raised by Sweatshop Working Conditions

Guangdong Province is the most developed area in China, and its total GDP is ranked first in the whole country. If it were regarded as an independent economy, the province would rank fifteenth in the world. The Pearl River Delta region in Guangdong Province has a large number of manufacturing enterprises, including toy manufacturing, which are mainly concentrated in Dongguan City. Behind the impressive economic statistics, there lies a dark side consisting of many sweatshops which have not been effectively regulated.

Before 2010 there were a large number

血汗工厂的工作条件所引起的问题

广东省是中国最发达的地区，其GDP排在全国第一位。如果将其视为一个独立经济体，则广东省将排在世界第十五位。广东省的珠三角地区拥有大量制造企业，包括玩具制造企业，主要集中于东莞市。令人瞩目的经济数据背后隐藏着黑暗的一面，许多血汗工厂尚未得到有效的监管。

在2010年之前，有许多公司存在包括使用童工在内的违规行为。特别是来自中国西南部的儿童被分批运送至珠三角（Liu，2008年）。但近年来，使用童工的情况已得到有效的控制。尤其是政府采取了强力措施来

of corporate violations such as the usage of child labour. In particular, children from the southwestern region of China were transported to the Pearl River Delta in batches (Liu, 2008). However, in recent years, the use of child labour has been effectively curbed. In particular, the government has taken strong measures to counter the use of child labour. The Chinese government requires that every employee should be registered to the local administrative department of labour security. The goal for establishing an employment registration system is this: from 2007 onwards, all employers should go to the administrative department of labour security at the county level or above for employment registration; by the end of 2008, the province, city and county should establish labour records within the employment system, and build a nationwide employment information database (Gan, 2007).

Although the Chinese government has enacted a series of laws to ensure the rights and interests of employees, there are still many violations of employee rights. For example, Chinese and foreign media in 2010 were shocked by the Foxconn scandal[1]. This event was not about child workers, but adult employees. Some scholars have raised questions about Foxconn:

> The challenge of respecting human dignity is far subtler at Foxconn, where at least a basic level of care for the workers' physical needs seems to have been met. But what of their other needs, which might be regarded as social or cultural, emotional or moral, and spiritual? (Rothlin and McCann, 2016, p. 167)

In this article, I follow up on this question, by focusing on the lack of respect for employees. The same situation is encountered in the toy sweatshops in Dongguan City. It is not just a legal issue. The ethical dimension should be considered in this case, since the dignity of the staff is not simply a legal concept, but more a concept of ethics. As an ethical concept, self-respect is difficult to analyse within the assumptions of philosophical positivism. Positivism might enable us to set up a scale to measure the relationship between self-respect and corporate performance and then draw conclusions whether the correlation is positive or negative. But if we ask deeper questions about the meaning of self-respect in order to understand its ethical significance we must follow another strategy. I shall argue that, if we are to understand self-respect as an individual's most cherished good, Rawls' theory of justice will provide a useful theoretical resource for this analysis.

If we are to understand self-respect as an individual's most cherished good, Rawls' theory of justice will provide a useful theoretical resource for this analysis.

First, let us consider Rawls' conception of self-respect (or self-esteem) which he defines thus:

> We may define self-respect as having two aspects. First of all, as we noted earlier, it includes a person's sense of his own value, his secure conviction that his conception of his good, his plan of life, is worth carrying out. And second, self-respect implies a confidence in one's ability, so far as it is within one's power, to fulfill one's intentions. (Rawls, 1971, p. 440)

From this definition we can see that self-respect includes the determination of value, which has an important influence on individual's behaviour and life-plan. If the individual's self-respect is violated, it is a negation of the individual's value.

It is necessary to point out that the construction of Rawls' theory of justice is aimed at all rational individuals. In different cultural

1 Foxconn technology group was founded in 1974. It is a high-tech enterprise specializing in computers, communications, digital content, etc. From January 23th to November 5th in 2010, fourteen people from Foxconn jumped off a building and died. (Wang, 2015)

打击使用童工的情况。中国政府要求，所有员工应在当地劳动保障行政部门进行登记。建立就业登记系统这一目标包括：从2007年起，所有雇主应前往县级或以上级别的劳动保障行政部门进行就业登记；到2008年底，省、市、县应在就业系统内建立劳工记录，以及建立一个全国就业信息数据库（Gan，2007年）。

尽管中国政府实施了一系列法律来保障劳动者的权利和利益，但仍然存在许多侵犯劳动者权利的情况。例如，震惊中外媒体的2010年富士康丑闻。[1]该事件涉及的群体并非童工，而是成年员工。部分学者对富士康提出了问题：

> 尊重人格尊严的挑战在富士康显得十分微妙，富士康似乎满足了工人的基本生理需求。但其它需求，比如社交或文化、情感或道德以及精神需求呢？（Rothlin和McCann，2016年，第167页）

本人在本文中以缺乏对员工的尊重为核心，延伸了这一问题。东莞市的玩具血汗工厂也发生着相同的情况。这并不仅仅是一个法律问题。在本案例中应考虑伦理维度，因为员工的尊严并不单单是一个法律概念，而更是一种伦理概念。作为一种伦理概念，自尊在哲学实证主义的假设中难以分析。实证主义也许可让我们建立一个量表，以衡量自尊与公司业绩之间的关系，然后总结出该相关性是正是负。但如果我们更深入地探讨自尊的含义，以理解其伦理意义，那么我们必须遵循另一策略。我认为，如果我们将自尊理解为一个人最宝贵的善，那么罗尔斯的《正义论》将为此分析提供一个有用的理论资源。

首先。让我们一起思考罗尔斯定义的自尊（或自重）概念，为此：

> 我们可从两方面来定义自尊。第一，正如上文所述，自尊包括一个人对其价值的感受，他坚信自己的良知概念、人生计划是值得贯彻的。第二，自尊隐含着一个人实现自己意图之能力中的信心。（罗尔斯，1971年，第440页）

从这一定义我们可以看出，自尊包含价值决定，对一个人的行为和人生计划具有重要的影响力。如果一个人的自尊遭到侮辱，那么便是在否定其价值。

如果我们将自尊理解为一个人最宝贵的善，那么罗尔斯的《正义论》将为此分析提供一个有用的理论资源。

必须指出，罗尔斯正义论的结构核心在于一切理性人士。在不同的文化背景中，自尊的重要性可能会有所不同。在罗尔斯看来，自尊是最重要的基本善，并不涉及不同文化角度之间的争论，因为每个人都需要自尊。[2]如果我们将罗尔斯的自尊概念应用到商业企业的环境中，我们会发现，当员工的自尊遭到侮辱时，他们会在环境中展现出消极的态度。例如，Huang（2016年）发现，谴责员工会对其造成冒犯，并最终令员工感觉沮丧，从而产生消极态度。在这种情况下，员工自然不会将商业组织视为一个实现自我价值的地方。

自尊概念的介绍到此结束，现在我们来看看血汗工厂的问题。这些血汗工厂中存在着大量违法情况，但随着国家立法的改善和违法惩罚的增加，违法行为已大大减少。但是，血汗工厂仍然存在，它们甚至退缩到了阴影之下，继续无视人格尊严，问题仍然存在而且形式已变得更为复杂。

广东省的血汗工厂面临着三大伦理问题：第一，生产流程中对员工的无礼态度。特别是员工在工厂中会随时遭到搜查。保安开展这种检查的权力非常巨大。第二，员工在车间之外遭遇了隐私问题。例如，员工生活区拥挤不堪，狭小的房间挤满了人，毫无隐私可言。第三个伦理问题与招聘实习生有

1 富士康科技集团成立于1974年。这是一个主营电脑、通讯、数字内容等的高科技企业。从2010年1月23日到11月5日，共有十四名富士康职工跳楼身亡。（Wang，2015年）

2 就自尊是否为一种普世价值这一点仍存争议。罗尔斯主义的拥护者认为自尊是普世价值，其逻辑如下。例如，Yao（2001年）认为平等和自由是普世价值，这与罗尔斯主义不谋而合。第二，自尊是平等与自由的表现。因此如果以此方式来理解，那么自尊便具有普遍适用性。

backgrounds, the significance of self-respect may change. Self-respect is the most important primary good, in Rawls' view, and it should not involve a controversy among diverse cultural perspectives, since every individual needs self-respect[2]. If we apply Rawls' notion of self-respect in the context of business enterprises, we observe that employees will show a negative attitude in environments where their self-respect is violated. For example, Huang (2016) observes that reprimanding staff is disrespectful, and eventually makes the employees depressed thus producing a negative attitude. Under such circumstances, employees, naturally, will not treat business organizations as a place to realise the value of self.

Having introduced the concept of self-respect, we now turn to the problem of sweatshops. There are many violations of law in these sweatshops, but with the improvement in national legislation and the increase in punishments for violations of laws, illegal behaviours have been greatly reduced. Nevertheless, sweatshops still exist, and even as they shrink back into the shadows where human dignity is still ignored, problems continue but in a more complicated way.

Sweatshops in Guangdong Province face three ethical issues: First of all, there is the attitude of disrespect to employees in the processes of production. In particular, employees in the factories can be searched at any time. Security guards who have great power carry out the inspection. Secondly, there are the privacy problems that employees have encountered outside of the workplace. For example, living quarters for workers are crowded, with small rooms occupied by many people affording no privacy at all. The third ethical issue is about the recruitment of interns.

The problems of internship recruitment emerge in the following aspects. First is sex discrimination, especially discrimination against female interns. Sun (2016) said that more than 80% of female college students encounter discrimination when applying for interns. Since female interns may be facing marital problems, enterprises prefer not to recruit them. Second is discrimination based on educational background. The education system in China reflects various kinds of class. Since such classifications are not dependent on knowledge or professional skills, it is unfair to appeal to them in the recruitment process. The third form of discrimination concerns health conditions. In particular, some infectious diseases, such as AIDS and hepatitis B are involved. Although these diseases are not related to specific occupations, the ways they are detected require further investigation. Thus, the first screening for interns, regardless of the occupation, includes a physical examination. So, in a broader sense, while discrimination is not directly linked to health problems, in determining the interns' health, there is a violation of the right of privacy. The aforementioned ethical issues do not violate the law, and we can't find obvious evidence to prove that these acts are illegal, but they have negative impact on individuals, since they involve a negation of individual dignity and individual value.

In the debate over corporate social responsibility, Milton Friedman argued that the purpose of an enterprise is the pursuit of profit, and the basic premise of business ethics should be non-violation of the law. As a classical liberal economist, Friedman (1970) holds that managers are the employees of the owner, and they should serve his interest above all. The logical consequence of his view is that the social responsibility of the enterprise should be to fulfil the employer's expectations-the maximization of profit. This owner-based conception has its critics: for example, the founder of Whole Foods, John Mackey (2005), has criticized Friedman's view as too narrow, and failing to explain the social responsibility of his business. Scholars advocating the development of corporate social responsibility challenge Friedman, contending that his view can't fit the needs of enterprises in modern society. As our case study shows, even if sweatshops don't violate laws, their behaviour remains morally suspect. Is it necessary for their

2 It is still debated whether self-respect is a universal value. Advocates of Rawlsianism treat self-respect as universal with the following logic. Yao (2001), for example, believes that equality and freedom are universal values, as in Rawlsianism. Secondly, self-respect is the expression of equality and freedom. Therefore, if understood this way, self-respect has a universal applicability.

关。

实习生招聘的问题产生于以下方面。第一，性别歧视，尤其是歧视女性实习生。Sun（2016年）称，超过80%的女大学生在申请实习岗位时遭到了歧视。由于女性实习生可能会面临婚姻问题，所以企业一般不愿聘用她们。第二，教育背景歧视。中国的教育系统可分为不同的级别。由于这种分级并不以知识或专业技能为基础，因而在招聘过程中诉诸于这种分级就会产生不公。第三种歧视形式与健康状况有关。尤其是一些传染性疾病，如艾滋病和乙型肝炎。虽然这些疾病与特定岗位并未关联，但其检测方式需要进一步的调查。因此，在实习生的第一次筛选中，无论何种岗位，都会包括体检。所以从广义来说，尽管歧视与健康问题并无直接关系，但在确认实习生健康情况的过程中，存在对隐私权的侵犯。上述伦理问题并不违反法律，我们也找不到明显的证据来证明这些行为是违法的，但它们对人具有负面影响力，所以便涉及对人格尊严和价值的否定。

在关于企业社会责任的争论中，Milton Friedman认为，企业的目的是追求利润，企业伦理的基本前提应是不违法。作为一名经典自由主义经济学家，Friedman（1970年）认为管理者是员工的所有人，员工应将管理者的利益放在第一位。这种观点的逻辑结论是，企业的社会责任应是满足雇主对利润最大化的期望。这种以所有者为基础的概念广受批评：例如，全食超市的创始人——John Mackey（2005年）曾批评Friedman的观点过于狭隘，不能解释自己企业的社会责任。提倡发展企业社会责任的学者也对Friedman表示质疑，声称其观点并不适用于现代社会的企业需要。正如我们的案例研究所示，即使血汗工厂并不违反法律，其行为在道德层面上也难辞其咎。他们的雇主和管理者有必要考虑这类道德异议吗？在法律合规以外考虑道德问题的理论基础是什么？我们是否能从罗尔斯的理论中得到答案？

罗尔斯《正义论》为管理者提供的洞见

让我们回想一下罗尔斯的双重正义原则：

第一原则：每个人都应享有最广泛的、全面的、平等的基本自由权的平等权利，这种权利与类似的全民自由权相一致。

第二原则：社会和经济不平等应得到安排，以便让它们：（a）在与正义的储存原则一致的情况下，符合最少受惠者的最大利益，以及（b）依系于在机会公平条件下对所有人开放的职务和地位。（罗尔斯，1971年，第302页）

企业作为社会中的组织和“企业公民”，需要支持构建一个正义的社会系统，这意味着有义务保障一切基本权利，包括精神权利，甚至是其业务的构建和管理方式中亦是如此。

按照正义论的第一原则，每个人都享有基本权利。当然，罗尔斯的侧重点是最广泛的基本自由权利。这种广义的自由包括思想自由、言论自由等等。基本权利不仅包含法律权利，也包含精神权利。不仅包括消极权利，也包括积极权利。尽管第一原则的目标是以整个社会为方向的，但我认为企业作为社会中的组织和“企业公民”，需要支持构建一个正义的社会系统，这意味着有义务保障一切基本权利，包括精神权利，甚至是其业务的构建和管理方式中亦是如此。因此，企业领导人作为企业的决策者，应关注精神权利。

近年来，个人的基本权利在企业社会责任的国际标准中占据首要地位（Li，2008年）。如今，中国许多企业也加入了ISO14000、SA8000标准认证体系。由于提出这些标准的是第三方，因而它们无法对中国的国内企业带来强大的法律约束力，而是呼吁企业自愿遵守。部分中国学者批评了企业社会责任国际标准，认为这是在试图妨碍中国的经济发展（Li，2004年）。特别是，他们认为国际标准的构建基础是发达国家的利益，而未考虑中国的实际情况。他们得出结论称，国际标准是发展中国家的障碍。

owners and managers to consider such moral objections? What is the theoretical basis for considering moral questions beyond compliance with the law? Can we get some answers from Rawls' theory?

Insights for Managers from Rawls' Theory of Justice

Let us recall Rawls' twofold principle of justice:

> First Principle: Each person is to have an equal right to the most extensive total system of equal basic liberties compatible with a similar system of liberty for all.
>
> Second Principle: Social and economic inequalities are to be arranged so that they are both: (a) to the greatest benefit of the least advantaged, consistent with the just saving principle, and (b) attached to offices and positions open to all under conditions of fair equality of opportunity. (Rawls, 1971, p. 302)

According to the first principle of theory of justice, each human being has basic rights. Of course, Rawls emphasises the most extensive basic rights of freedom. This broad sense of freedom includes freedom of thought, freedom of speech, etc. The basic rights involved are not only legal rights, but also moral rights. It includes not only negative rights, but also positive rights. Although the goal of the first principle is oriented to the whole society, I contend that enterprises, as organizations in the society and as "corporate citizens," need to support the construction of a just social system, and this implies an obligation to guarantee all kinds of basic rights, including moral rights, even in the ways their businesses are structured and managed. Business leaders therefore, as the decision-makers of enterprises, should be concerned about moral rights.

In recent years, the basic rights of individuals have been given top priority in international standards of corporate social responsibility (Li, 2008). Nowadays, many enterprises in China also participate in the ISO14000, SA8000 standards system of certification. Since third parties put forward these standards, they do not provide the strong constraints of laws regulating Chinese domestic enterprises, but appeal instead for voluntary compliance. Some Chinese scholars criticise the international standard of corporate social responsibility as an attempt to hinder the economic development of China (Li, 2004). Especially, they argue that the international standard is constructed from the interests of developed countries, and does not take into account the situation of China. They conclude that it constitutes an obstacle for developing countries.

Organizations as "corporate citizens," need to support the construction of a just social system, and this implies an obligation to guarantee all kinds of basic rights, including moral rights, even in the ways their businesses are structured and managed.

I don't agree with this point. Moral leadership must ensure the bottom line of guaranteeing the rights of individuals, whether these are legal rights or moral rights, and this bottom line should not be compromised because of local conditions, such as the industry, the scale of enterprises or the political system. Those who oppose the application of universal standards in China argue that the background of Rawls' theory of justice is the prevalence of utilitarianism in American society, and the main purpose of his theory is precisely to replace utilitarianism. In fact, they are mistaken in assuming that Rawls's theory of justice is exclusively based on the capitalist system. If one examines carefully Rawls' thought experiment, no distinction is admitted reflecting

我对此并不同意。道德领导必须确保保障个人权利的底线，无论是法律权利还是精神权利，而这一底线不应为当地条件妥协，例如行业、企业规模或政治体系。反对在中国应用通用标准的人认为，罗尔斯正义论的背景是美国社会广为流行的实用主义，而且其理论的主要目的恰恰是代替实用主义。事实上，他们错误地假设了罗尔斯的理论完全以资本主义体系为基础这一点。如果仔细调查罗尔斯的思想实验，便会发现他并不承认特定经济系统之间的差异。因此正如Shi（2001年）所坚持的那样，罗尔斯的正义论是为了发展一种具有普遍意义的全面制度伦理。所以，正义论中的权利与企业社会责任标准中的权利具有一定程度的相似性。在罗尔斯主义的背景下，无论一个人身处何种系统中，自尊都是每个人的基本善。这意味着，权力的维护并不受具体的制度背景和其它经济状况的影响。

因此，罗尔斯主义的自尊概念是与评判生产过程中的员工对待方式相关的。企业会对生产工人进行日常检查，而我们也认为这种做法有其必要性，因为每个企业都需要为自身的发展保护商业机密和专有技术。但是，我们须考虑检查的底线。如果员工随时遭到监视和搜查，尊严遭到无视，那么这些行为可能就触碰了道德底线。事实上，富士康事件背后的一个主要原因就是对工人的不尊重，这种不遵守最终导致了骇人听闻的悲剧。富士康的部分员工已经失去了他们的尊严，而且检查可能对他们的精神状态造成了恶劣影响。

是否应完全禁止这种检查呢？也许罗尔斯的思想实验能为我们带来答案。[3]该思想实验构思了一个理想情况，假设参与其中的人拥有理性能力，但他们并不拥有对自身实际情况的完全认知。延伸开来，此实验中的员工、企业领导人和检察人员并不清楚自身的地位。在这类工作场所中，我们需要询问他们是否愿意随时遭到搜查，以及他们对此会否提出任何异议。很显然，要定义被侵犯的个人尊严底线并不容易。但必定有一种底线是以对所有人的精神尊严的尊重为基础的，例如每个人都希望规避心理伤害。因此，在不愿尊重人格尊严的情况下，不适合开展搜查和采取其它过度措施来监视员工。

罗尔斯的自尊概念为解决这类问题提供了对策。自尊是其正义论中的一种基本善，事实上，也是最重要的基本善。每个人都想保护自己的自尊。[4]因此，企业领导人必须认识到自尊的重要性。但是，展示对他人的尊重是实现自尊的唯一方式。罗尔斯称：

> 此外，公众对两种原则的认可为人的自尊提供了更大的支持，这反过来会增强社会合作的有效性。两种效应都是选择这些原则的理由。对人而言，保护自尊是一种明显理性的行为。（罗尔斯，1971年，第178页）

在罗尔斯看来，自尊和互相尊重是社会合作的基础，这很显然会对企业领导人带来积极的启发。[5]如果企业领导人采用了罗尔斯的自尊概念，那么他们将发现，支持一个人在生活中奋力寻找价值的一个重要因素，是在组织内部创造出一种相互尊重的文化。道德领袖的相互尊重承诺对员工一生的价值具有重要意义。即便一个社会的法律体系并不完美，道德领袖也不会为了获得自尊而利用法律漏洞去侵犯他人的权利。

最后一个问题是血汗工厂的侮辱性招聘流程，这一点必须得到纠正。工人和实习生通常没有机会获得公平待遇，也无法获得国家要求的基本正义。对于这一点，罗尔斯的正义论也提供了一些对策。第二原则强调了要改善最少最弱势群体的状况。贫困地区的人民没有优越的地位或良好的经济条件，他们也未曾获得正规的教育。实习生的境遇与之类似。一般而言，血汗工厂中的实习生未曾获得正规教育，他们也没有工作经验或基本技能。因此在某种程度上，他们属于最弱

3 事实上，本文中描述的原始状态的思想实验与经典儒家学说相类似。子曰：“己所不欲，勿施于人。”（《论语》15:23） 在罗尔斯的正义论中，原始状态的思想实验是康德伦理学中“自我立法”的一种具体应用。在康德的伦理学中，个人的自我立法是通用的，它在人与人之间的行为限制上也起着引导的作用。在孔子关于尊重的观点中，第一核心就在于自我反省，然后是尊重人与人之间的行为限制。康德-罗尔斯主义的尊重概念与经典儒家学说的尊重概念之间存在许多共通点。

4 罗尔斯曾道：“第一步，假设社会的基本结构会分配特定的基本善，也就是假定每个理性之人都想获取之物。无论一个人有着怎样的理性人生计划，这些善一般都有所用处。”（罗尔斯，1971年，第62页）在另一处，罗尔斯称：“我曾数次提及自尊也许是最重要的基本善。”（罗尔斯，1971年，第440页）

5 实际上，儒家学说中也有相似的观点。子曰：“参乎！吾道一以贯之。”.....曾子曰：“夫子之道，忠恕而已矣。”（《论语》4:15）此观点强调的是人际关系。要理解“恕”，就要接受他人的看法，并最终克制自己的行为。这正是一个相互理解的过程，能够有效地化解人与人之间的矛盾，这与罗尔斯在社会机构中的相互尊重做法不谋而合。

the differences among specific economic systems. So just as Shi (2001) insists, the aim of Rawl's theory of justice is to develop a comprehensive institutional ethics with universal significance. Therefore, the concern of rights in the theory of justice has a certain degree of similarity with the concern of rights in the standards of CSR. In the context of Rawlsianism, no matter what kind of system the individual is in, self-respect is the primary good for each individual. The implication is that the maintenance of rights is not affected by specific institutional background and other economic circumstances.

The Rawlsian notion of self-respect, therefore, is relevant for judging the ways employees are treated in the production process. Enterprises make routine inspection of production workers, and we think it is necessary, since each enterprise needs to protect commercial secrets and proprietary technology for their own development. However, we need to consider the limits of inspection. If employees are monitored at any time, searched at any time, without consideration of their dignity, these behaviours may violate a moral limit. In fact, one of the main reasons for the events at Foxconn was the disrespect of workers, which led to tragedies that aroused the shock of the public. Some employees at Foxconn had lost their dignity, and the inspections may have had a bad influence on their mental state.

Should such inspections be banned altogether? Perhaps Rawls' thought experiment can help us to answer this question.[3] The thought experiment imagines an ideal situation, which assumes that the individuals involved in it have rational ability, but they do not have complete knowledge of their own actual situations. By extension we imagine that employees, business leaders and inspectors in this experiment do not know their position. In this kind of workplace, we need to ask whether individuals want to be searched at any time, and whether they would have any objection to it. Obviously, the limit of individual dignity being infringed is not easy to define. But there must be a limit based on respect for the moral dignity of all concerned, for example everyone's desire to avoid psychological harm. Therefore, it is not appropriate to conduct searches and take other excessive steps to monitor employees, with no thought of respecting their human dignity.

Rawls' concept of self-respect provides resources for solving such problems. Self-respect is a primary good in his theory of justice, in fact, the most important primary good[4]. Each individual is concerned to protect his or her own self-respect. Accordingly, business leaders must realise the importance of self-respect. However, self-respect cannot be achieved except by showing respect for others. Rawls said:

> Furthermore, the public recognition of the two principles gives greater support to men's self-respect and this in turn increases the effectiveness of social cooperation. Both effects are reasons for choosing these principles. It is clearly rational for men to secure their self-respect. (Rawls, 1971, p. 178)

In Rawls' view, self-respect and mutual respect are the basis of social cooperation, which clearly has a positive inspiration for business leaders[5]. If a business leader uses Rawls' concept

3 In fact, the thought experiment in the original position described in this paper is analogous with the thought of the classical Confucianism. The Master said: "Do not impose upon others what you yourself do not desire." (Analects 15:23) In Rawls' theory of justice, the thought experiment in the original position is a concrete application of the "self-legislation" of Kantian ethics. In Kantian ethics, the individual's self-legislation is universal, and it also plays a guiding role in the behavioural constraints between individuals. In Confucius' perspective on respect, the first focus is on self-reflection, and then on honouring behavioural constraints between individuals. There is a lot in common between the concept of respect in Kantianism-Rawlsianism and the concept of respect in classical Confucianism.

4 Rawls said that: "As a first step, suppose that the basic structure of society distributes certain primary goods, that is, things that every rational man is presumed to want. These goods normally have a use whatever a person's rational plan of life" (Rawls, 1971, p. 62). In another place, Rawls said that: "On several occasions I have mentioned that perhaps the most important primary good is that of self-respect" (Rawls, 1971, p. 440).

5 Actually, there is a similar view in Confucianism. The Master said, "Master Zeng! All that I teach can be strung together on a single thread."……Master Zeng said, "All that the Master teaches amounts to nothing more than dutifulness (zhong,a) tempered by understanding (shu,o)." (Analects 4:15) This view emphasizes the way of interpersonal relationships. The starting point of understanding (shu) embraces the perspective of others, and ultimately constrains one's own behavior. This is a process of mutual understanding, and it can effectively eliminate conflicts between people, and this is similar to Rawls' practice of mutual respect in social institutions.

势群体。如果血汗工厂聘用这些人但并不给予他们合理的待遇，那么便违反了罗尔斯的原则。领导人应防止最弱势群体遭到不公正的对待。

弱势群体在基本善方面的期望值已然最低，因而领导人不应尝试进一步减少他们的期望，相反领导人应该提高这些人的基本善。领导人应在企业的管理过程中表达对最弱势群体的关心，打造良好伦理氛围，加强领导人和员工之间的尊重与信任。最弱势群体的利益和权利受影响时，领导人应思考如何有效地处理类似危机。他们应采取措施，补救和补偿受伤职工，例如尽可能补偿一个人的损失，因此还要抵御通过掩盖丑闻来走捷径的诱惑。

结论

中国的工作安全事故似乎是一条永无止境的溪流。尽管许多企业都想证明自身的社会责任标准，但这并不意味着这些企业的伦理做法非常完善。前路依旧漫漫。道德领袖不应仅仅关心企业本身的伦理状况，还需要扩大这一范围。随着如今的国际经济合作在不断增多，地方分包商的伦理丑闻也会对其全球合作伙伴造成负面影响。例如，分包商在东南亚的血汗工厂遭发现一事便对耐克公司造成了巨大的负面影响，分包商险些失去了耐克公司的外包业务。血汗工厂的影响并不仅限于当地层面，它还可能影响众多的上游和下游企业。

根据上述思考，我希望我们所有人都将认识到企业领导人尊重人格尊严，保障精神权利所具有的重要意义。学习如何将这些概念形成制度，对企业的发展具有重要意义，要理解罗尔斯主义哲学与良好企业做法的发展之间的联系，仍有许多未竟之功。

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of self-respect, he or she will discover that one important element supporting an individual's struggle to find value in life is creating a culture of mutual respect within the organization. The moral leader's commitment to mutual respect is of great importance to the value of an employee's life. Even if the legal system of a society is not perfect, moral leaders will not use legal loopholes to infringe the rights of others in order to gain their own self-interest.

The last problem is the abusive recruitment process in sweatshops, which cry out for rectification. Workers and interns often have no chance to get fair treatment, or fail to get the basic justice required by the State. Here, too, Rawls' theory of justice provides some resources. The second principle emphasises the improvement of the situation of the most disadvantaged groups. People in poor areas do not have superior status or good economic conditions, and they have not received regular education. Interns suffer in a similar situation. Typically, interns in sweatshops have not received regular education, and they have no work experience or basic skills. So, in a sense, they are the most disadvantaged group. When sweatshops recruit these people and do not give them reasonable treatment, this violates Rawls' principles. Leaders should prevent the most disadvantaged groups from being treated unfairly.

Disadvantaged groups have the lowest expectations in terms of basic goods, and leaders should not try to reduce their expectations even further, but on the contrary they should improve the basic goods for such groups. Leaders should express concern for their most disadvantaged employees in the management of their enterprises and build a good ethical atmosphere that can strengthen respect and trust between leaders and staff. When the interests and rights of the most disadvantaged people are affected, leaders should consider how to handle similar crises effectively. They should take the initiative to redress and compensate injured workers, for example, so as to make up for the individual's loss as much as possible, and thus resist any temptation to take the easy way out by covering up a scandal.

Conclusion

Safety accidents at work seem like an endless stream in China. Although many enterprises seek certification of their social responsibility standards, this does not mean that the ethical practices of corporations are well developed. Actually there is still a long way to go. A moral leader should not only be concerned with the ethical situation of the enterprise itself, he also needs to expand its scope. With international economic cooperation increasing today, ethical scandals over the practices of local subcontractors will also have a negative impact on their global partners. For example, the discovery of sweatshop conditions among its subcontractors in Southeast Asia have made a big negative impact on Nike Inc., thus putting at risk the outsourcing that Nike hoped to do with them. The impact of sweatshop conditions is not just local, but it may also affect a number of upstream and downstream businesses.

From the above reflections, I hope we will all realise the importance of business leaders' respecting human dignity and guaranteeing moral rights. Learning how to institutionalize those concepts is crucial for business development, and there is still more work to do in understanding the connection between Rawlsian philosophy and the development of good business practices.

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Angel or Demon?
The Ethics of Online Peer-to-Peer Lending Firms

天使还是魔鬼？
P2P贷款公司道德规范

Helen Xu 徐佳筠

Abstract

Online Peer-to-Peer (P2P) lending schemes began to flourish in China in 2015. This lending model, where lender and borrower could do transactions without involving banking institutions, was welcomed by many start-ups and entrepreneurs because it provided an effective solution for reaching borrowers directly. One of these borrower classes was college students. Campus loans, facilitated through P2P platforms, quickly became popular. However, after a series of university scandals, questions emerged as to the morality of the industry and the responsibility of the P2P platforms within it to guard against abuses inflicted upon college students and the borrower market as a whole.

摘要

2015年，在线个人对个人（P2P）借贷计划开始在中国蓬勃发展。这种借贷模式，即贷款人和借款人可以在不涉及银行机构的情况下进行交易，由于它为直接接触借款人提供了一个有效的解决方案，受到许多初创企业和企业家的欢迎。其中一类借款人就是在校大学生。通过P2P平台推动的校园贷款迅速流行起来。但在发生一系列校园丑闻之后，人们开始质疑这个行业的道德规范，以及P2P平台内部的责任，以防范大学生和整个借款人市场出现信贷滥用。

Alipay, a part of Ant Financial Service Group (Ant Financial, n.d.), is one of the leading third-party online payment platforms in China. It was launched in 2004 and has become widely known for its integration of a variety of consumer-oriented features, including "payment, lifestyle service, civil services, social networking, wealth management, insurance and public welfare." It also boasted "over 450 million registered users and 200 financial institution partners" as of June, 2016. (Ant Family, n.d.)

支付宝（蚂蚁金融服务集团旗下应用）是中国领先的第三方在线支付平台之一。支付宝于2004年推出，并因其整合了各种面向消费者的功能而广为人知，这些功能包括"支付、生活服务、便民服务、社交、财富管理、保险和公共福利"。截至2016年6月，支付宝已拥有"超过4.5亿注册用户和200家金融机构合作伙伴"。

自推出以来，支付宝智能手机应用已推出了大量更新。在支付宝9.0推出后，引入了

Since its inception Alipay has produced a number of software updates for its smartphone application. At the launch of Alipay 9.0, a financing platform titled, "I Owe You (IOU)," was introduced. It was well received among younger generations, especially those at university and working far away from their hometowns. To use IOU, the only requirement is that the lender and borrower are mutual "friends" – for example, on WeChat, or a related Chinese social media application. Once friendship status is established, the steps for acquiring a loan are as follows:

1. Choose the friend you would like to ask for a loan.
2. Choose the IOU function.
3. Fill in a form, including information on the amount to be borrowed, period of repayment, suggested interest rate, and purpose of the funds.
4. Send the form to the friend specified in step 1 until the money you've required is transferred into your account. (Roy, 2015)

However, after nine months of operation, Alipay terminated its IOU function. Why? On March 9, 2016, a sophomore in Henan Province, going by the alias of "Zheng Xu," committed suicide because he was unable to pay back the money he had borrowed (RMB 600,000 in total) from several online lending firms, Alipay's IOU among them. Zheng, having come from a poor, agrarian background, was a model student in secondary school. It came as a shock to find out he had compiled such a massive debt, and even involved 28 of his classmates in his borrowing activity. Zheng's borrowing came to an unfortunate conclusion when, feeling depressed and hopeless under the weight of the debt, he left a final message to his family before ending his life:

> As a son of yours, I feel very sorry to you. But I'm not up to [living anymore], especially when I found [that all of my efforts in life were in vain]…I heard that jumping from the building may feel very painful, but I'm really tired! I do appreciate your help and the meticulous care you showed me as always, and I'm so sorry to all of you. (Hu, 2016)

After Zheng's suicide, Chen Zijun, a lawyer from Shanghai, mentioned that the rise of peer-to-peer (P2P) lending practices on college campuses posed real challenges, both ethical and legal, and currently lack substantial regulation:

> According to the *Interim Measures for the Administration of Personal Loans*, the personal loans shall be in accordance with the legal compliance, principle of prudent operation, equality, voluntary, fairness and sincerity. In consideration of the particularity of college students, the legislation shall take into full account their repayment capacity, enhance a healthy consumption concept and protect their lawful rights and interests. It was in response to Zheng's death that Alipay removed its IOU function from its list of services. (Hu, 2016)

But not for long. Several days after it was removed, the Ministry of Education and the Chinese Banking Regulatory Commission issued its *Notification on Strengthening the Risk Prevention and Educational Guidance of Bad Online Lending Practice on Campus*, which requires "colleges and universities to establish a monitoring and precautionary system to protect students from the schemes of irregular online lending firms" (Tang, 2016). Since August, 2016, Alipay's IOU function has been back in operation.

Another P2P lending platform, Jiedaibao, was established by Kunwu Jiuding Capital Holdings Co., Ltd. Like Alipay, Jiedaibao has a relatively basic loan approval process, but claims to go further in terms of privacy, especially for the lender. Lenders on Jiedaibao enjoy what the firm calls "unidirectional anonymity," which prohibits the borrowers from knowing from whom their loans are originating. This operational model was praised by the industry and garnered a number of awards, including the Annual Most Influential Brand by the 2015 Global Mobile Internet CEO Summit, the New Financial Service Award by

一个名为“电子借条（IOU）”的融资平台。该功能在年轻一代（尤其是大学生和远离家乡工作的人）中深受欢迎。使用电子借条的唯一要求是贷方和借方均相互添加了“好友”——例如在微信或相关的中国社交媒体应用程序上添加了好友。添加好友后，获得贷款的步骤如下：

1. 选择你希望向其借款的好友。
2. 选择电子借条功能。
3. 填写表格，包括借款金额、还款期限、建议利率以及资金用途等信息。
4. 将表格发送给步骤1中指定的朋友，等待资金转入您的帐户。（Roy，2015年）

但运营9个月后，支付宝终止了电子借条功能。为什么？2016年3月9日，河南大二学生郑旭无法偿还从几家网上借贷公司（支付宝的电子借条也在其中）所借的贷款（总计60万人民币）自杀身亡。郑旭来自贫困的农民家庭，在中学是一名模范学生。令人震惊的是，他欠下如此庞大的债务，甚至他的28名同学也受此牵连。在债务的重压下，郑旭感到沮丧和绝望，在结束自己的生命之前，他给家人留下了最后的信息：

> 爸，妈，儿子对不起你们。我真的撑不下去了，我发现好多努力没有结果。听说跳楼摔下去会很疼，但是我真的太累了！真的很感谢大家以前对我的照顾，我郑旭对不起大家。（Hu，2016年）

郑旭自杀后，上海的一位律师陈子钧(音译)提到，大学校园内P2P（个人对个人）借贷行为的兴起带来了道德和法律方面的真正挑战，并且目前缺乏实质性监管：

> 根据《个人贷款管理暂行办法》规定，个人贷款应符合合法、审慎经营、平等、自愿、公平、诚信的原则。考虑到大学生的特殊性，立法应当充分考虑到大学生的偿还能力，增强健康的消费观念，维护他们的合法权益。郑旭自杀后，支付宝删除了电子借条功能。（Hu，2016年）

但时间并不长。支付宝删除该功能后，教育部办公厅和中国银监会办公厅颁布了《关于加强校园不良网络借贷风险防范和教育引导工作的通知》，要求“各高校建立监测和防范机制，保护学生免受不规范在线借贷公司的影响”（唐，2016年）。自2016年8月以来，支付宝的电子借条功能已经恢复运行。

另一个P2P借贷平台是昆吾九鼎投资控股股份有限公司推出的借贷宝。与支付宝一样，借贷宝也有一个基本的贷款审批程序，但在隐私方面更为注重，尤其是贷款人的隐私。借贷宝上的贷款人可以“单向匿名”，借款人无从了解贷款的来源。这一运营模式受到了行业的好评，并获得了多项殊荣，其中包括2015年全球移动互联网CEO峰会授予的年度最具影响力品牌、《每日经济新闻》颁布的新金融服务奖以及中央人民广播电台颁布的金融领域最具创新性APP称号。

但在2016年11月底，大量裸照和视频在网上泄露，借贷宝陷入热议（cnBeta，2016年）。照片和视频是（多数）女大学生贷款的分期付款的抵押。据《中国日报》报道：

> 许多中国大学生在一些网上借贷平台上使用裸照作为借条，从而面临照片被公布（包括发给其家长）的风险。（Jiang，2016年）

此外，据报道，部分贷款人利率非常高，最高达1,564%，导致利率如此之高的原因可能是这些女大学生无法支付分期付款。这些报道导致舆论一片哗然。以下是中国社交媒体上的一些评论：

> 我永远也无法理解那些为了借一两千元而拍裸照的女大学生，而一些人以异常高的利率借出一千元。……大多数大学生都是成年人，他们必须学会为自己的错误承担责任。同时，他们必须站出来反对侵权。 - Dianfeng Juanke（He，2017年）

> 拍摄裸照贷款的行为揭露出一个关键社会问题，对于拍摄这些照片的年轻女性来说，贫穷带来的屈辱已经超过了裸照——从而致使他们为了几千元而冒着隐私被公布到网络上的风险。 - Caiwang（He，2017年）

the *National Business Daily*, and The Most Innovative APP in Financial Field by the *CNR News* (Jiedaibao, n.d.).

However, Jiedaibao found itself at the centre of controversy at the end of November, 2016, when a substantial number of nude pictures and videos were leaked online (CnBeta, 2016). The pictures and videos were collected as a substitute for instalments on loans borrowed by (mostly) female college students. The *China Daily* reported:

> Many Chinese university students were found to have used their nude pictures as IOUs on some online lending platforms, putting themselves at risk of having everybody - including their parents - see them naked. (Jiang, 2016)

It was also reported that some lenders were charging inordinately high interest rates, 1,564 percent being one of the highest, which may have contributed to the fact that these women could not pay their instalments. These revelations created a public outcry. A collection of sentiments from Chinese social media are set out below:

> I will never ever understand such behaviours taken by female students who took nude picture in order to borrow one or two thousand yuan, while some of them lent out one thousand yuan at an excessive rate of interest. […] Most of college students are adults, who had to learn to take responsibility for their own mistakes. Meanwhile, they must stand out for rights violation. – Dianfeng Juanke (He, 2017)

> Taking nude pictures for loan revealed a crucial point of social reality that for young ladies of those pictures, the indignity of being poor has now far exceeded the indignity of being naked - this feeling forced them to put their entire privacy and networking at risk for [a few] thousand yuan. – Caiwang (He, 2017)

> Their 'buy first, pay later' idea was easy to sell. Credit service users could choose between delayed payments and repayments in instalments. Students need to spend just five minutes to fill in the consumer credit application online. – *China Daily* (Jiang, 2016)

In response to the resulting outrage, Jiedaibao posted an official statement clarifying their position:

> Jiedaibao is an online P2P lending platform adhering to the principle of lawfulness and compliance. The company [claims] no responsible [or ownership] for the nude pictures. These inappropriate photos came from private deals between users and third parties through irregular operations…Concerning the spreading of nude pictures online, the Department of Legal Affairs has collected the relevant evidence and already reported this to the responsible public security organ. We intend to take legal actions to crack down on the persons responsible for the illegal lending practices and for [disseminating the nude photographs]. (CnBeta, 2016)

P2P lending, which is an offshoot of a more general borrowing trend on college campuses[1], is becoming more popular among students. Quick access to cash without the barriers that traditional banks impose, on the one hand, gives students more freedom of choice at university. On the other, however, it can be a temptation that smothers one in debt. Such a situation can result in tragedies like those aforementioned. According to a survey distributed by Beijing Zhicheng Credit Service Co., Ltd. in April, 2015, 78 percent of college students responded that they experienced a shortage of funds either frequently or occasionally. 2.6 percent of respondents reportedly applied for microcredits and 8.6

1 Other types of credit acquired by university students include shopping loans offered by shopping platforms, credit lines offered by companies such as Taobao and JD, and microloans offered by traditional banks.

> 他们“先买后付”的理念很容易被接受。信贷服务用户可以选择延期付款和分期还款。学生只需要花费五分钟时间在线填写客户信贷申请表即可。-《中国日报》（Jiang，2016年）

面对由此引发的愤怒，借贷宝发表了一份正式声明，澄清了他们的立场：

> 借贷宝是个秉承遵纪守法原则的在线P2P借贷平台。公司【声明】对裸照不负任何责任【或拥有所有权】。这些不雅照来自用户和第三方之间的私下交易…关于在线传播裸照，法务部已收集相关证据，并已向主管公安机关报告。我们将采取法律行动，严厉打击非法借贷行为和【传播裸照】的责任人。（CnBeta，2016年）

P2P借贷作为大学校园中较为普遍的借贷趋势的一个分支[1]，在学生中越来越受欢迎。一方面，在没有传统银行所设置的障碍的情况下快速获得现金，让大学生有更多的选择自由。但另一方面，这可能是让人陷入债务的诱因。这种情况可能导致上述悲剧。北京至诚信贷服务有限公司2015年4月发布的调查显示，78%的大学生表示他们经常或偶尔遇到资金短缺。据报道，2.6%的受访者申请了小额信贷，8.6%的受访者表示查询了在线P2P公司。15.5%的人表示他们通过传统的银行贷款解决了他们的资金短缺问题（Zou，2016年）。《大学生在线P2P借贷消费报告》中的另一项调查显示，29%的受访者申请了贷款，其中60%以上通过P2P平台获得资金（Jin，2017年）。

随着P2P借贷的普及，出现了越来越多的问题，例如支付宝和借贷宝等平台对其用户、贷款方和借款人承担的责任。鉴于这些平台仅作为中介机构提供促成贷款人和借款人达成融资交易的渠道，如果贷款人从事掠夺性的行为平台是否可以免除责任？例如，如果放款人开始要求女性借款人提供裸照，平台是否承担责任？或者，如果贷方收取超过1,000%的利息，平台是否承担责任？使用支付宝的电子借条达成融资交易的基本要求是贷款人和借款人是“好友”。这一要求假定双方作为“好友”，将在合理的范围内进行交易，而不让一方或另一方承担不必要的风险。

上面的示例展示出贷款人可以如何掠夺借款人。但鉴于借款人获得融资的要求相当简单，贷款人也有可能被利用，尤其是像支付宝和借贷宝这样的公司无法对在平台上交易的贷款提供保障。这具有充分的理由。2015年8月，中国最高人民法院裁定“提供贷款担保的在线P2P借贷平台承担债权责任”（第22条）（最高人民法院，2015年）。换句话说，由于需要承担贷款违约责任，支付宝和借贷宝没有提供贷款担保的动机。

> 批评人士认为，像支付宝和借贷宝这样的公司应该积极主动地进行自我治理，而不是等待政府进行监管或公众丑闻来迫使其进行应对调整。

另一个值得关注的问题是，支付宝和借贷宝由于对借款人获得信贷的要求极为简单，纵容了掠夺性贷款人利用有需要的借款人。使用支付宝的电子借条获得贷款的四个步骤极为基础，并不会透露出借款人的信用记录或当前的财务状况。如果借款人所借的款项超过他们的偿还能力，可能会使借款人（及其家人）陷入绝境。中国银行业监督管理委员会可能正是因为这个原因于2017年4月宣布“禁止向未满18岁的在校大学生提供网贷服务”（Jin，2017年）。原因可能是因为年轻、信息不足的借款人陷入无法遵守的融资协议的风险更高，因此被不近人情的贷款人起诉或剥削的风险更高。

另一个纵容掠夺行为的平台是百度。百度的贴吧论坛是丑闻的起因，2016年起，该公司对与疾病相关的论坛运营权（即监管和管理交易内容的功能）出售给无牌私立医院、无照医生和制药公司。这一决策使掠夺性的营利组织可以向论坛用户推销产品和服务。有什么后果？许多决定购买产品或服务

1 大学生获得的其他类型的信贷包括购物平台提供的购物贷款，淘宝和京东等公司提供的信用额度以及传统银行提供的小额信贷。

percent indicated that they investigated online P2P firms. 15.5 percent stated they addressed their financial shortcoming through traditional bank loans (Zou, 2016). Another survey, within the *Consumption Report of Online P2P Lending in College Students*, revealed that 29 percent of respondents applied for loans, of which over 60 percent obtained financing through a P2P platform (Jin, 2017).

As P2P lending grows in prevalence, questions are emerging as to the responsibilities of platforms such as Alipay and Jiedaibao to their users, both lenders and borrowers. Given their role as intermediaries who simply provide the means for lenders and borrowers to facilitate financing transactions, are they absolved from responsibility if, for example, lenders engage in predatory practices? Are they responsible if lenders, for example, begin demanding nude photos from female borrowers? Or if lenders are charging over 1,000 percent interest? The basic requirement for entering into a financing transaction using Alipay's IOU is that lender and borrower be "friends". This assumes that, by virtue of their status as "friends," the parties will carry out their exchanges within reason, and without exposing one or the other party to undue risk.

Critics suggest that companies like Alipay and Jiedaibao ought to engage in proactive self-governance instead of waiting for either government regulations to catch up or a public scandal to force a reactionary adjustment.

The examples above show how lenders can abuse borrowers. But given the rather sketchy requirements for borrowers to obtain financing, there is also the possibility of lenders being taken advantage of, especially because companies like Alipay and Jiedaibao do not guarantee the loans transacted on their platforms. There is good reason for this. In August 2015, the Supreme People's Court of China ruled that "online P2P lending platforms who offer guarantee for the loan shall bear the responsibility for bond" (Article 22) (Supreme People's Court, 2015). In other words, Alipay and Jiedaibao do not have much incentive to guarantee loans, given the risk of having to assume liability for loan defaults.

Another area of concern is whether Alipay and Jiedaibao are enabling predatory lenders to exploit needy borrowers, due to their all-too-easy requirements for borrowers obtaining credit. The four steps for obtaining a loan through Alipay's IOU couldn't be more basic and reveal nothing of the borrower's credit history or current financial standing. This can put borrowers – and potentially their families – in desperate situations if they borrow more than they can repay. Perhaps that is why, in April, 2017, the China Banking Regulatory Commissions declared that "offering online lending service to college students under 18 years old is prohibited" (Jin, 2017). This is likely because young, uninformed borrowers are at a higher risk of entering into financing agreements they are unable to uphold, and thereby at a higher risk of being sued, or worse exploited, by unsympathetic lenders.

A parallel example of how a platform might allow predatory behaviour is Baidu. Their Tieba forums were the cause of scandal, when in 2016 the company began bidding out the administration of its disease-related forums –that is, the ability to monitor and manage the content of exchanges– to unlicensed private hospitals, unqualified doctors and pharmaceutical companies. This decision allowed predatory, for-profit organizations to begin pushing their own products and services to the users of the forums. The result? Many users who decided to buy the products or procure the services soon found out that either the offers were fabricated or not at all what they expected. In other words, Baidu was the platform through which exploitative exchanges were being facilitated. Public outrage eventually forced Baidu's hand, and they altered their policies to curb the abuse; but the damage was done. Similar responses are becoming increasingly common in the P2P industry. Critics suggest that companies

的用户很快发现，报价虚报或与预期完全不符。换句话说，百度是促成剥削性交易的平台。公众的愤怒最终迫使百度改变了政策，以遏制滥用；但损害已经造成。P2P行业中类似的应对之策也越来越普遍。批评人士认为，像支付宝和借贷宝这样的公司应该积极主动地进行自我治理，而不是等待政府进行监管或公众丑闻来迫使其进行应对调整。

一个相关的关注领域是关于告知义务。在《大学生在线P2P借贷消费报告》中，68%的大学生表示每月收到的生活费不到1500元人民币，主要来自父母。这促使了大学生寻找额外的收入来源，其中一个来源就是P2P公司。但P2P公司并未确保新的借款人充分了解他们的债务义务。例如，在上面提到的研究中，只有22%的借款人“充分理解了贷款条款”（Jin，2017年）。这是一个大问题，因为如果他们透彻地理解贷款的条款，可能根本不会开始贷款。

也许在这一点上应回顾孔子的教导：

> 富与贵，是人之所欲也，不以其道得之，不处也。贫与贱，是人之所恶也，不以其道得之，不去也。（《论语·里仁》）

基于这一智慧，网易就中国大学校园的P2P现象发表评论称：

> 正常的校园金融生态下，应是债务违约的大学生自负其责；违规发放贷款的金融机构自担亏损；金融监管部门做好金融教育，及时惩罚金融机构违规行为。（Nie，2016年）

随着P2P借贷的增长和普及，像支付宝和借贷宝这样的先驱平台可以做些什么来帮助防止上述的悲剧和掠夺？

- 积极配合中国政府制定以消费者为中心的行业法规：支付宝和借贷宝拥有宝贵的行业经验，可帮助监管机构为市场制定适当的指导方针。这样做是有利的，因为参与这一过程的公司不会（除非故意无视）陷入法律麻烦之中。同时还向消费者传达了一个信息，即他们的最大利益已得到重视并且他们希望遵守法规、透明和公平。这种行为为所有涉及的利益相关者创造了双赢的结果。
- 为大学生提供价值观教育：随着P2P借贷在中国的大学校园流行，支付宝和借贷宝等领先公司有机会向潜在借款人介绍获取融资的过程中涉及的风险。向借款人介绍掠夺性贷款、非法借款渠道、确保有能力偿还利率和贷款，不仅会塑造更优质、更负责任的借款人，还会将某些品牌定位为一个行业内值得信赖的机构。企业对市场的信任需求越高，当潜在的借款人开始寻找信贷时，他们越有可能成为首要考虑对象。公司可以通过开展校园讲座或研讨会来进行价值观教育，或者为借款人提供一个实时热线，以供他们了解融资以及他们作为学生所面临的具体风险。
- 与大学合作提供奖学金或相关援助：例如，如果支付宝想为大学提供服务，那么他们可以为需要帮助的学生提供奖学金等激励措施，作为推广和建设品牌的手段。这需要大学进行尽职调查，确保不向学生推广剥削性平台，同时激励平台遵守卓越标准，以免在目标市场中损害自己的形象。
- 制定行业卓越标准，P2P借贷公司应将目标锁定为能够证明自身偿债能力的借款人。建立一个更健全的资格认证程序可以排除不合适的借款人并向贷款人确保借款人可以兑现其贷款。这是双赢的局面。借款人可以获得所需的现金而贷款人可以赚取利息。这样可以保护借款人不会陷入其未充分了解的借贷状况，并防止贷款人剥削轻信的借款人。这样做可以避免丑闻并促进可持续发展。

中国仍在营造P2P行业的监管环境。关于P2P公司应该如何运营其平台存在明显的不确定性。鉴于此，中国银行业监督管理委员会（中国银监会）、共青团中央委员会和教育部于2017年5月联合发布了一项监管通知，规定对P2P公司实施一系列限制，并要求地方政府和银行机构采取措施结束大学校园的金融剥削（中国银行业监督管理委员会，2017年）。与此同时，中央政府已经开始监督校园贷款的来源，禁止P2P借贷公司未经中国银监会批准向大学生提供信贷服务。

打击P2P行业中的掠夺行为（尤其是校园贷款）的一项措施是金融教育。2017年，Visa大中华区与北京师范大学财经素养

like Alipay and Jiedaibao ought to engage in proactive self-governance instead of waiting for either government regulations to catch up or a public scandal to force a reactionary adjustment.

A related area of concern surrounds the idea of disclosure. In the *Consumption Report of Online P2P Lending for College Students*, 68 percent of college students reported that they received less than RMB 1,500 per month for living expenses, mostly from their parents. This has caused students to look for additional sources of income, one of those sources being P2P companies. However, P2P companies seem to have done a poor job ensuring that new borrowers are well informed of their debt obligations. For example, in the study cited above, only 22 percent of those who borrowed money "understood the terms of loans well" (Jin, 2017). This is a major problem, because had they understood the terms of their loans thoroughly, they may not have gone through with it in the first place.

Perhaps at this point Confucius' teaching should be recalled:

> Wealth and high rank are what people desire; if they are attained by not following the *dao*, do not dwell in them. Poverty and mean rank are what people hate; if they cannot be overcome by following the *dao*, do not depart from them. (Confucius, 2015, p. 14)

Building on this wisdom, a commentary from *Netease* on the P2P phenomenon on college campuses in China stated that:

> A normal financial ecology on campus means that: college students take their own responsibility for the debt default; financial institutions who issue irregular loans bear the loss by itself; the financial supervisory departments offer financial education and punish the abusive mortgage lenders in a timely fashion. (Nie, 2016)

As P2P lending grows and becomes more prevalent, what can pioneer platforms like Alipay and Jiedaibao do to help prevent the kind of tragedies and abuses described above?

- Proactively work with the Chinese government to develop consumer-centric industry regulations: Firms like Alipay and Jiedaibao bring valuable industry experience that can help regulatory agencies develop appropriate guidelines for the marketplace. This is advantageous because the firms who contribute to this process will not, except in cases of wilful disregard, find themselves in trouble with the law. It also sends a message to their consumers that their best interests are being taken to heart and that they want to be compliant, transparent, and fair. This kind of behaviour creates win-win outcomes for all stakeholders involved.
- Offer values education to college students: As P2P lending becomes popular on university campuses in China, there is an opportunity for leading companies like Alipay and Jiedaibao to educate prospective borrowers about the risks involved in obtaining financing. Informing borrowers about predatory lending, illegal loan outlets, interest rates and amortization tables, and living within one's means, will not only create better and more responsible borrowers, but also position certain brands as trustworthy authorities within an industry. The more trust a firm demands from the market, the more likely they will be top of mind when prospective borrowers begin searching for credit. Firms could conduct values education by setting up on-campus lectures or workshops, or offering a live hotline for borrowers to learn about financing and the specific risks facing them as students.
- Partner with universities to provide scholarships or related aid: If Alipay, for example, wanted to offer services to a university, then they could provide incentives, such as scholarships, to students in need as a means of promotion and brand building. This would encourage the university to do its due diligence, to ensure they are not promoting exploitative platforms to their students, while incentivising the platforms to hold themselves accountable to strict standards of excellence,

教育研究中心联合开发了第一个致力于此类教育的中文平台“实用理财技巧”。Visa大中华区总裁Shirley Yu-Tsui认为这是“数字金融教育领域的一次有意义的尝试”（新浪，2017年）。该平台旨在“为全球人员提供资金管理工具和资源。”鉴于公司在金融服务方面的专业知识，Visa大中华区能够“通过提供交互式工具和教育资源，帮助个人和社区构建健康的未来”。平台通过在线学习以及通过有意愿与当地大学联系的商业银行提供一系列金融学服务（包括教学、论坛和培训研讨会）来实现这一目标。后者的示例之一是，上海62所大学和35家中资商业银行针对中国大学校园缺乏这种资源的情况发起的“送金融知识进校园”的举措（Lin，2017年）。众多知名金融机构参与其中，包括中国建设银行上海分行、上海浦东发展银行和兴业银行股份有限公司。北京也启动了类似的举措。例如，交通银行北京分行开展了一系列金融知识讲座，并将其整合到北京林业大学课程中（《新京报》，2017年）。同样，广东银行业协会开展了以不良贷款和不负责任的借款行为的风险为重点的宣传活动（Li，2016年）。

有希望看到中国金融机构响应中央政府关于减少掠夺和增加中国大学校园对金融知识的了解的呼吁。对于P2P公司来说，这些知识会使借款人更谨慎和贷款人更可靠。加上中国当局在制定P2P行业责任法规方面所做出的值得赞赏和持续的努力，我们有希望看到改革、重建信任并重新使P2P实践朝着共同利益的方向发展。

徐佳筠，RA Supervisor, RB China,北京。

so as not to tarnish their image amongst target markets.

- Setting standards of excellence in the industry: P2P lending firms would be wise to target those borrowers who can demonstrate an ability to repay their debts. Establishing a more robust qualification process will weed out unlikely borrowers and assure lenders that their borrowers will make good on their loans. This is win-win. It allows borrowers to acquire needed cash and lenders to make money from interest payments. It protects borrowers from entering into lending situations they don't fully understand and prevents lenders from exploiting gullible borrowers. It hedges against scandal and promotes sustainability.

The regulatory environment for the P2P industry in China is still developing. Significant ambiguity exists concerning how P2P companies should operate their platforms. Given this, in May, 2017 the China Banking Regulatory Commission (CBRC), Central Committee of the Communist Youth League and Ministry of Education jointly released a regulatory notice stipulating a series of restrictions on P2P companies and requiring local authority and banking institutions to adopt measures to put an end to financial exploitation on university campuses (China Banking Regulatory Commission, 2017). At the same time, the central government has begun monitoring the source of campus loans and prohibiting P2P lending firms from offering credit services to college students without the approval of the CBRC.

One counter to the abuses within the P2P industry, particularly as practiced in university settings, is financial education. The first Chinese platform dedicated to such education, "Practical Money Skills", was co-developed by Visa Greater China and the China Financial Literacy Education Synergy Innovation Center at Beijing Normal University in 2017. Then CEO of Visa, Shirley Yu-Tsui, considered it "a meaningful attempt in the field of digital financial education" (Sina, 2017). The platform was designed to "equip people worldwide with money management tools and resources." Given the company's expertise in financial services, Visa Greater China was able to help "individuals and communities to build healthy futures by receiving interactive tools and educational resources." They did this through online learning and through commercial banks who would reach out to local colleges and universities to provide a range of financial literary services, including teach-ins, forums, and training seminars. One example of the latter was the launch of, "Introducing Financial Literacy to Campus", an initiative developed by 62 universities and 35 Chinese-funded commercial banks in Shanghai in response to the lack of such resources on university campuses in China (Lin, 2017). Many well renowned financial institutions participated, including the China Construction Bank Shanghai Branch, Shanghai Pudong Development Bank, and Industrial Bank Co., Ltd. Similar initiatives have been launched in Beijing as well. For example, the Bank of Communications Beijing Branch developed a series of financial literacy lectures, which were integrated into curriculums at Beijing Forestry University (The Beijing News, 2017). Likewise, the Banking Association of Guangdong carried out promotional campaigns focusing on the dangers of bad loans and irresponsible borrowing (Li, 2016).

It is promising to see China's financial institutions responding to the central government's call to reduce abuse and increase knowledge about financial literacy on China's university campuses. For P2P companies, this knowledge will result in more prudent borrowers and more honest lenders. Paired with the commendable and ongoing efforts of China's authorities in developing responsible regulations for the P2P industry, there is hope for reform, the rebuilding of trust and the shaping of P2P practices toward the common good.

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Doing Business with Moral Leadership and Faith

用道德领导力和信仰经商

Mike Thompson 盛万堂 interviews Dr. Johnny Hon 韩世灏

In each issue of The MRI Journal we feature an interview with a scholar, a business leader and other professionals who express their vocation and their expertise on one or more of the three platforms of the Journal: social innovation, moral leadership, and comparative spirituality. In this issue we report on our interview with Dr Johnny Hon, a Hong Kong based investor and businessman and leader of a range of business, charitable, diplomatic and political activities. In 1997 Dr Hon founded the Global Group in Hong Kong which invests in business ventures all around the world helping innovative companies with their international expansion and financing strategies. Dr Hon has helped numerous companies and individuals to raise funds and has been particularly active in assisting a growing number of Chinese companies to list on the London markets. In July 2015, he was awarded the Medal of Honour from the Government of Hong Kong for his dedicated community service.

— Mike J. Thompson, Co-Editor, MRI Journal

MRI杂志每期都会对学者、商界领袖和其他专业人士进行专访，他们在本杂志所倡导的社会创新、道德领导力和精神比较的一个或全部三个平台上表现了自己的职业精神和专长特长。本期我们采访了香港的韩世灏博士。他是一名投资者和商人，更是一系列商界、慈善界及外交政治活动领域的领导人。1997年，韩博士在香港成立了高宝集团，在全球范围内进行商业投资，旨在帮助创新公司进行国际拓展和策略性融资。韩博士帮助过许多公司和个人筹集资金，并积极帮助中国公司在伦敦上市。2015年7月，香港政府给他颁发了“荣誉勋章”，以表彰其社区服务贡献。

——MRI杂志联合编辑Mike J. Thompson

Mike J. Thompson (MJT): Dr Hon, what's your personal mission in life?

Mike J. Thompson（以下简称“MJT”）：韩博士，你个人的人生使命是什么？

Johnny Hon (JH): My personal mission is to try to do good things, to try to help people, to make an impact and to develop things that are positive. I travel to different countries and work with different groups of people to help young companies develop. As a venture capital company we invest in start-ups and incubate them into big companies. We work as partners and as friends to

韩世灏（以下简称“韩”）：我的个人使命是尝试做好事，帮助人们，并影响和发展积极的事物。我去不同的国家和不同的人一起工作，帮助年轻的公司发展。作为一家风险投资公司，我们对初创企业进行投资，并帮助他们做大做强。我们作为合作伙伴和朋友，努力在社会上产生积极影响。

try to make a positive impact in society.

MJT: What do you mean by positive impact?

JH: We try to change the world a little to make things better and, at the same time, we make good products good for consumers. I think everyone, big or small, can make positive contributions to the world.

MJT: How do you regard success?

JH: I think it's to have an interesting journey. You should be able to learn and become a better person while you are doing what you enjoy doing and doing it successfully. I measure success based on those points rather than just purely on financial gain. Based on my experience and the partners that we work with, people who are actually successful in business don't just do it for the money. They do it because they are passionate about what they want to do, to gain knowledge, to pass on the knowledge and to actually build something important. And I think that passion is actually the secret of success for a lot of entrepreneurs.

MJT: And how does that passion work itself out in the kind of projects that you would invest in?

JH: We love to invest in technology. We think that bringing technology to the developing world can help to change things. By working with a lot of smaller governments we try to help them develop the idea of entrepreneurship and innovation with IT and biotech-products and to build businesses that are sustainable.

MJT: How do you demonstrate care and respect in your business?

JH: Being in a venture capital business is actually the human capital business. What makes a business venture successful is the people around the business, so you have to do a lot of training, caring about people who work for you and learning from them. You create positive outcomes by growing together, the human side as well as the business side. Actually all my staff and partners have become friends.

Sometimes, when you face a problem or a difficult business decision, there has to be leadership. People have to take the lead to make decisions. But the big element of a successful business is communications with people who work for you, work with you and you find common goals and achieve them together.

MJT: What are the challenges of business now from your perspective?

JH: Things certainly happen much faster and more short-term since the last few financial crises. One of the problems is that business leaders are very tempted to make short-term decisions and not to have a long-term aim. When I first started out, an investor expected wait 3 to 7 years expecting to see returns. Now every 3 or 6 months you have to report returns and people give up on a deal so easily and so quickly. So, I think one does have to walk with the pace of the market and you do have to make fast decisions. Business leaders need to understand their own values and what they want to get out of a deal and stick to that. One of the hardest things is to try to be a good person and sometimes you pray to have the will and the power to be good given the fast changing world.

MJT: How does prayer help you?

JH: It gives you time to reorganise things in the fast changing world. When I pray the main theme is that I want God to give me the energy to be good. It's very easy to make mistakes and to go with short termism. But every day is a new beginning and if you make mistakes, and the partners around you make mistakes, then forgiveness and understanding is a big part of it as well.

MJT: We can find it difficult to learn about forgiveness and to push back the ego. Our ego can get in the way of building quality relationships. What advice can you give our readers from your own experience?

MJT：你所谓的积极影响是指什么？

韩：我们努力改变世界，让事情变得更美好。同时，我们生产有利于消费者的优质产品。我认为每个人无论能力大小，都能为世界做出积极的贡献。

我认为同情心、善良、宽容和诚实是任何商业领袖都应具备的重要品质。

MJT：你如何看待成功？

韩：我认为成功是一个有趣的旅程。当你在做你喜欢做的事情并成功完成的时候，你就能学习并成为一个更优秀的人。我根据这些方面来衡量成功，而不纯粹依靠金融收益。根据我和我们一起工作的伙伴的经验，那些商业上取得成功的人不仅仅是为了金钱。他们这样做是因为他们对自己想做的事充满激情，想要获得知识，传递知识，并真正建立起某些重要的东西。另外，我认为激情实际上是很多企业家成功的秘诀。

MJT：这种激情如何在你投资的项目中发挥作用呢？

韩：我们热衷于科技投资。我们认为将科技引入发展中国家有助于改变现状。通过与许多较小的政府合作，我们利用信息技术和生物技术产品帮助他们培养创业精神和创新理念，开展可持续发展的业务。

MJT：你如何在你的生意中表现出关怀和尊重？

韩：从事风险投资业务实际上就是人力资本投资。创业成功的关键在于参与创业的人，所以你需要做大量的培训，关心那些为你工作的人，并向他们学习。你可以通过共同成长产生积极的结果，包括人才和商业两方面。实际上，我所有的员工和伙伴都成了朋友。

有时候，当你面对一个问题或一个艰难的商业决策时，你必须要有领导才能。必须有人带头做出决定。但商业成功的重要因素是同你的员工交流，和你一起工作，找到共同的目标并一同实现它们。

MJT：从你的角度看，现在经商面临的挑战是什么？

韩：自前几次金融危机以来，事情发生得更快，时间也更短。其中一个问题是，商业领袖很容易做出短期决定，而不是长期目标。当我刚开始创业的时候，一个投资者期望等待3至7年看到回报。现在每隔3至6个月，你就必须报告回报，且人们很轻易就会放弃交易。所以我认为一个人必须跟上市场的步伐，而且你必须迅速做出决定。商业领袖需要了解他们自己的价值观，以及他们想从交易中得到什么，并坚持下去。最艰难的事情是努力成为一个好人，在这个瞬息万变的世界里，有时你甚至会祈祷自己有意愿和力量成为一个好人。

MJT：祈祷对你有什么帮助？

韩：祈祷给了你在瞬息万变的世界里重组事物的时间。我祈祷的主题是，我希望天主赐予我力量，让我成为一个好人。犯错误很容易，一味求快也很容易。但是每天都是一个新的开始，如果你犯了错误，而你周围的伙伴也犯了错误，那么宽恕和理解将非常重要。

MJT：我们会发现学会宽恕和回归自我很困难。我们的自我会妨碍良好关系的建立。你能根据自己的经验给我们的读者什么建议?

韩：我认为同情心、善良、宽容和诚实是任何商业领袖都应具备的重要品质。当你和别人一起工作的时候，你只想和诚实正直的人一起工作，即使他们犯过错。

MJT：我们如何用实践智慧来判断？我们如何判断某人是否拥有你所谈论的价值观？

韩：我想说我们遇到的大多数人具备这些优秀的品质。在这个瞬息万变的世界里，有时人们会迷失，这很正常。但我认为如果他们来到你身边，如果他们知道你相信什么，他

JH: I think compassion, kindness, forgiveness and honesty are the important qualities for any business leader. When you work with people, you only want to work with people that, despite any mistakes, are underneath honest people with integrity.

MJT: How do we judge with practical wisdom? How do we judge when someone has got the values that you talk about?

MJT: I guess that as you work with many of these companies and invest in different kinds of companies, you've been let down by people. How should a responsible business leader deal with such people?

JH: If you do a lot of business it's inevitable that you will meet people who will betray you, who will bad-mouth you and who will kind of grab what they can from you. At times, I have to admit that one gets very angry. But I think that forgiveness is important. One should also try to be more understanding, maybe to look at things from their point of view. You can get carried away with only thinking from your own perspective. I try to put myself in their shoes and try to find why. Maybe I've made mistakes myself and need to find some reasons behind all these actions. It's much easier for you to be able to forgive someone and realise that you yourself have made some mistakes and that you need to become a better person.

> I think for a Christian doing business, making money shouldn't be the end goal, it's what you do with the money.

JH: I would say most people that we come across have those good qualities. It's just that in a world when things move so fast sometimes people get lost. But I think if they come to you, and if they know that you believe in something, it's very easy for them to be affected by you. As I said, I work with a lot of young entrepreneurs and young inventors and I try to help them with their business. They're looking for guidance, not just on the capital side. By working with them, you actually influence them and that is also how you make a positive impact.

MJT: Tell us what you are called to do in your business, Dr Hon?

JH: I studied medical science and I was going be a doctor. My PhD is in psychiatry and the reason why I made a big change to get into the business world was because I believed that if I became a successful businessman, I could influence things and help more people than I could do as a doctor. That's what I set out to do and that's always been my core value. So, I don't mind going into a difficult situation or difficult developing countries. I try to work with people who need assistance or business education or help. If you look at my career path, I've been to a lot of strange places. Making money is important because we need it to sustain things, but that is not the angle. The angle is to do good, that's my strong belief.

MJT: *The Vocation of a Business Leader* talks about the divided self, the part of me that wants to go for glory and be big, and then the other that wants to be more thoughtful and caring in life. The divided life can be the tension between my beliefs and my business life. Some people say business is business and we just have to be tough and I have to be two people. How would you respond to the idea of the divided self?

JH: As soon as you feel, "I'm good, I'm very good at what I do, I don't want to listen to others", then you stop learning. So, everyday what I try to say to myself is that I'm not good enough. I need to learn more and I need to become a better person. Having that attitude stops the ego from taking over what you want to do in your heart.

MJT: Dr Hon, what does practical wisdom and

们很容易受到你的影响。正如我所说，我和许多年轻的企业家和发明家一起工作，我努力帮助他们经商。他们在寻求指导，而不仅仅是资金。通过与他们合作，你实际上会影响他们，这也是你产生积极影响的方式。

MJT：告诉我们你在做什么，韩博士？

韩：我以前学的是医学科学，想成为一名医生。我的博士学位是精神病学，我之所以做出了巨大的改变而进入商界，是因为我相信如果我成为一名成功的商人，我可以影响事物，比一名医生帮助更多的人。这就是我要做的，这一直是我的核心价值观。所以我不介意去一个艰苦的环境或条件艰苦的发展中国家。我试着与那些需要协助、商业教育或指点的人一起工作。如果你看看我的职业生涯，你会发现我去过很多奇怪的地方。赚钱很重要，因为我们需要它来维持生活，但那不是重点。重点是为了做好事，这是我的坚定信念。

MJT：我想，当你和许多公司合作投资不同类型的公司时，人们可能会令你失望。一个负责任的商业领袖应该如何对待这些人？

韩：如果你有很多生意，你必然会遇到背叛你、说你坏话或抢走你东西的人。有时，我不得不承认自己非常生气。但我认为宽恕是很重要的。人们也应该尝试更多的理解，从他人的角度来看待事物。只从自己的角度去思考，你可能会迷失。我试着站在他们的位置考虑问题，并试图找出原因。我可能自己犯了错误，也需要找出背后的原因。你更容易原谅别人，如果认识到自己犯的错误以及你需要成为一个更好的人。

MJT：《商业领袖的职业》谈论的是分裂的自我，一方面想要追求荣耀和成为伟大的人，另一个方面想要成为一个更体贴和关心生活的人。分裂的生活可能是我的信念和我的商业生活之间的矛盾体。有些人说生意就是生意，我们必须强硬，因此我必须成为两个人。你如何回应分裂的自我？

韩：一旦你觉得“我很好，我很擅长我的工作，我不想听别人的”，那么你就会停止学习。因此，我每天坚持对自己说我不够好。我需要学习更多，我需要成为一个更好的人。拥有了这种态度，自我就不能阻止你内心想要做的事情。

MJT：韩博士，在你的职业生涯中，实践智慧和正确的判断到底意味着什么？

韩：当我看生意的时候，我总是像一名精神科医生那样看生意背后的人。我的坚定信念是，你需要透过商业计划了解企业家。实际上，我相信如果一个企业家是一个好人，他有好的目标或价值，这比商业计划更重要。如果你为年轻的创业者提供资金，那么关注这个人是非常重要的，而不仅仅是商业计划。我通常会让我的会计师看这些数字，而我自己去拜访负责人。

MJT：你不仅是出于商业目的，更是出于社会动机。但是很多人会说：“生意就是生意”。社会动机如何与经商相适应？

韩：我认为，如果你看看世界上大多数成功的商业领袖，他们都有慈善家的一面。他们想赚钱，不仅是为了钱，而且尝试用钱做好事。我认为这是一个商业人士成功的基本秘诀，因为如果你只关注金钱，你就会错过很多事情。带着激情去做你所做的事，享受你所做的事，并努力做好，你就会克服困难。

MJT：但我们现在在香港，这里有很多富有的商人，但似乎没有太多的慈善活动。

韩：我觉得，如果你和很多亿万富翁交谈，他们赚了钱，而且也能看出他们想要帮助别人。如果你看一下这些数字，你会发现香港的慈善捐款数额是世界上最高的。这里有很多慈善活动，人们都在尽力帮助他人。我想，从外表上看，可能看不出来，但实际上香港有很多慈善活动，我认为这也是成功的秘诀之一。

MJT：你与哪些慈善机构合作或支持哪些慈善机构？

韩：我既是捐赠者，也是募捐者，帮助全国的慈善机构向其他个人或公司筹集资金。我是九龙乐善堂慈善协会（乐善堂）主席，协助管理事务和筹集资金。乐善堂有大约1,000

making a good judgment really mean in practice in your professional life?

JH: When I look at business, I always look at the person behind it as a psychiatrist. My strong belief is that you need to look beyond the business plan and understand the entrepreneur. I actually believe that if an entrepreneur is a good person and he has good goals or values, then that is more important than the business plan. If you provide capital for young entrepreneurs it's very important to look at the person, not just the business plans. I normally leave my accountants to look at the figures and I just go and interview the principal myself.

MJT: You are motivated with a social purpose not just a business purpose. But many would say, "The business of business is business". How does social motivation fit with doing business?

JH: I think if you look at the majority of successful business leaders in the world they have a philanthropy side to them. They would like to make money not just to keep the money but to try to do good with the money. I think that this is a fundamental secret for a business person to become successful because if you just focus on money you will miss out on so many things. By having the passion to do what you do, to enjoy what you do and to try to do good, you will get through the difficulties.

MJT: But here we are in Hong Kong, and there are many wealthy business people and there doesn't appear to be me a lot of philanthropy.

JH: I think that if you talk to a lot of the billionaires, they've made money and there are signs that they want to help. Hong Kong, if you look at the figures, has the highest number of charitable donations in the world. There are a lot of charity functions being run here and people are trying to help. I think maybe you don't detect so much from looking from the outside but actually there are so many charitable activities in Hong Kong and I think that's also one of the secrets of success.

MJT: What charities do you work with or support?

JH: I act as both the donor and fundraiser to help charities in the country to raise money from other individuals or corporations. I am chairman of 乐善堂 The Lok Sin Tong Benevolent Society Kowloon (LST) and help to run things and to raise money. LST has about 1,000 staff, 18 schools and 4,000 volunteers.

MJT: So we may be confused in thinking that many business leaders aren't caring about society but, based on your experiences, many of them are caring about the world.

JH: Yes, certainly. When you look at Hong Kong as an example, it is a successful city on the whole. It has its problems like everywhere else, but when people talk about the core values of Hong Kong, they are basically Christian values. When kids go to school they are being taught that they need to be honest, they need to show kindness, they should do good. I think that this makes Hong Kong special because from those values, people will emphasise the rule of law and see the importance of justice. That's the fundamental reason why Hong Kong is so successful.

MJT: You talk about Christian values, so what is a distinctively Christian position on business?

JH: I think for a Christian doing business, making money shouldn't be the end goal, it's what you do with the money. I think it's a perfectly acceptable thing for any Christian to make money and then use that money for good causes and at the same time to try to pass experience on to try to influence younger people or younger generations and to do charity.

DR. JOHNNY HON is Chairman of Global Group International Holdings Ltd., Hong Kong.

名员工、18所学校和4,000名志愿者。

MJT：因此，我们可能会困惑地认为许多商界领袖并不关心社会，但根据你的经验，他们中的许多人都在关心这个世界。

韩：是的，当然。以香港为例，整体来说，香港是一个成功的城市。香港也有和其它地方一样的问题，但当人们谈论香港的核心价值观时，基本上都是基督教的价值观。当孩子们上学的时候，他们常常被教导要诚实、善良和做好事。我认为这使香港变得特别，因为根据这些价值观，人们会强调法治，并认识到正义的重要性。这就是香港如此成功的根本原因。

MJT：你谈到了基督教的价值观，那么基督教对商业的立场是什么？

韩：我认为对于一个经商的基督徒来说，赚钱不应该是最终的目标，而是你拿钱做什么。我认为对于任何基督徒来说，赚钱是完全可以接受的，然后把钱用于慈善事业，同时努力传授经验来影响年轻人或年轻一代开展慈善事业。

韩世灏，香港高宝集团主席。

Art, Culture, and Resonance in the Jesuit Mission in China

在华耶稣会的艺术、文化与共鸣

David Francis Urrows

Abstract

The beginning of the Modern era (ca. 1400) was marked by two great shifts: the start of the global age of empire building, and of large-scale population movements around the world. As more people travelled for longer distances, art and culture increasingly moved with them. This began an accelerated process of inter- and intracultural exchange. European art and culture, which formerly had been a part of territories and landscapes exclusive to Europe, now 'territorialized' parts of non-European lands from the sixteenth century onward. The Jesuit missions in Asia not only brought Western architecture, music, poetry, and painting (and the integral aesthetic that went along with these modes) but also established an enduring resonance of these things.

This paper explores resonance as an example of how East and West have always found meeting points in the arts, even when other media and discourses proved not to be compatible.

摘要

现代社会（约1400年）的到来伴随着两大重大转变：大帝国时代的开始，以及世界各地大规模的人口流动。越来越多的人走向长途他方，艺术与文化也随之远传。这就加速了跨文化交流的进程。欧洲的艺术和文化曾是独属于欧洲领土和景观的一部分，而从16世纪以来到现在却成为非欧洲大陆的“领土化”部分。亚洲的耶稣会不仅带来了西方的建筑、音乐、诗歌和绘画（以及与这些模式相伴随的整体美学），而且也为这些事物建立了持久的共鸣。

本文以共鸣为例，来研究东西方如何在其他媒体和话语不相容的情况下总能找到艺术交汇点。

This paper presents some thoughts on history and our construction of it as pertains to the Jesuit mission in China, and specifically to the arts in that history and the 'resonance' that these activities and objects continue to have for us today. The first part of the paper reviews the concepts of cultural baggage and cultural resonance. I explore these not only to

本文介绍了一些关于耶稣会在中国发展的历史观点及其建设过程，详细阐述了特定历史时期的艺术及其今日仍然为我们带来的“共鸣”。本文第一部分回顾了文化包袱和文化共鸣的概念。本研究不仅为了解释这些术语，而且为了建立这些想法构成的基准。第二部分探讨了耶稣会16世纪、17世纪和19世纪在中国的三次历史

explain the terms, but also to establish baselines for what these ideas constitute. The second part explores three historical experiences of the Jesuits in China, in the sixteenth, seventeenth, and nineteenth centuries, which have resonance for us in the present. The final part discusses resonance today, and to what extent resonance may still (for better or worse) be crafted in the context of extensions of the Roman Catholic encounter and mission experience.

The term, 'cultural baggage', is often used ironically, or in a negative sense. Whereas baggage in the simple sense consists of mere objects, *cultural baggage* is a loaded, metaphorical term, uttered with a sense of superior moral rectitude and denoting an ethical failure. It is a favourite term of the politically correct. It has become so common to dismiss disliked attitudes and opinions with the phrase 'cultural baggage', that one hardly notices anymore the sense of bigotry that lies behind the phrase and its use. I wish to consider the arts as both baggage and cultural baggage, and for the moment leave aside any ethical evaluation.

The beginning of the Modern Era – that is, from about 1400 onwards – was marked by two great shifts. One was the start of modern empire building; and the second was a consequence of this, the acceleration of large-scale population movements around the world. As more people travelled for longer distances, art and culture increasingly moved with them. This had the effect of speeding up processes of inter- and intra-cultural exchange, of ideas, beliefs, value systems, biology, and material culture. Although these exchanges had been going on for several millennia, the fifteenth century marks their intensification on a *global* scale. While most of this has been viewed through a West-to-East paradigm, it is important to remember that it was indeed a global movement, perhaps best exemplified in China through the voyages of Admiral Zheng He (鄭和) between 1405 and 1433. Political change, technological innovation (especially in shipbuilding), and population growth all drove this trend worldwide. And travelling by ship meant the shipment not only of people but also of cargo; and cargo means baggage.

2.

To partially redeem cultural baggage, I want to consider an actual piece of an actual Jesuit's baggage. This is a hymnal, printed in Graz in 1729 and taken to China in 1736 by Augustin von Hallerstein (劉松齡, Liu Songling), the Jesuit astronomer who held important positions in Beijing until his death in 1774. This is a remarkable object because material culture of this kind survives in only very few examples. The hymnal must have had a great deal of meaning for Hallerstein. It was salient link with home, with his origins, and it is printed not in German but in his native Slovenian, meaning that it could not have been meant for general use in the Beijing mission but was rather a personal, devotional object. Its small size meant that indeed it was part of Hallerstein's 'baggage.' Its meaning is amplified for us today because we consider it not only for what it is (a hymnal) but also as a symbol disclosing aspects of the China mission up to the suppression of the Jesuit order (1773). We look at this hymnal and involuntarily we begin to think about its use and its history. We imagine Hallerstein holding it and remembering his early years in Austria, his family, his formation, his ministry. We construct a selective frame around this object which gives it both salience and resonance, an eloquence now attributable to the object which it would not have had fully in Hallerstein's day. This hymnal came to China as a piece of that past brought by

> The cultural resonance of Hallerstein's hymnal, then, arises from the interrelations between the object (hymnal), the traditions it represents (Christianity, and the Jesuit Asian mission in particular), and the audience to which it speaks (that is, us today).

经历，这些经历仍然能与当今的我们产生共鸣。最后一部分讨论了当今时代的共鸣，以及在罗马天主教会和传教经验的延伸下，人们还可以在多大程度上与之产生共鸣（无论好坏）。

刘松龄此本赞美诗的文化共鸣则来自于客体（赞美诗），所代表的传统（基督教，这里特指亚洲耶稣会）及所传递的受众（即当今的我们）之间的相互关系。

人们通常用“文化包袱”这一术语进行讽刺，或者使用其贬义含义。然而，“包袱”简单而言只是物品，“文化包袱”是一个负载的隐喻性术语，带有一种高尚的道德操守来表示道德失败。它是讨论政治正确时常用的一个术语。用“文化包袱”一词来否定人们不喜欢的态度和观点已经变得如此普遍，以至于人们几乎不再注意到这个词背后的偏执并忽略了它的初衷用法。笔者希望能暂时撇开任何道德评价，将艺术视为包袱和文化包袱。

现代社会（即1400年左右）的到来伴随着两大重大转变。其一是现代帝国大厦的出现；其二是世界各地人口大规模流动的加速，这也是第一种转变带来的结果。越来越多的人走向长途他方，艺术与文化也随之远传。这就产生了加速了思想、信仰、价值体系、生物和物质文化等的跨文化交流进程。尽管这些交流早已存在数千年，但15世纪的交流才真正使其上升到全球水平。虽然大多数情况下这种交流都是以自西向东式的方式进行，但重要的是它确实是一场全球运动，或许中国的海军上将郑和于1405年至1433年间的下西洋航行最能体现这一点。政治变革、技术创新（尤其是造船领域的技术创新）和人口增长都极大地推动了世界范围内的跨文化交流的趋势。航海出行不仅意味着人的出行，同时也是货物的运输，这里的货物即为包袱。

2.

为了更好地解释文化包袱，这里笔者将谈及一个真正的耶稣会包袱的例子。这是一部于1729年在格拉茨出版的赞美诗，由耶稣会天文学家刘松龄（原名为Augustin von Hallerstein）于1736年带至中国。刘松龄直到1774年去世前一直在清朝朝廷中担任重要职位。值得注意的是，这是当今仅存的几件物质文化的代表。赞美诗对刘松龄来说必定有着重大的意义。这本赞美诗与刘松龄的家乡联系显著，它不是用德语印刷的，而是用他的母语斯洛文尼亚语印刷的，这意味着这本赞美诗在北京的耶稣会中无法被普遍使用，而只是归属于刘松龄个人的信仰物件。这本诗集很小，说明确实是刘松龄“包袱”的一部分。如今它的意义被放大了，它不仅代表着其本身所属（一本赞美诗），还是耶稣会遭严厉镇压（1773年）之前揭示中国耶稣会各个方面的一个象征。这本赞美诗会让人不由自主地开始思考它的使用及其历史。想象刘松龄拿着这本诗集，想起自己早些年在奥地利的生活，想起他的家人、同事和所在的部门。我们针对这一诗集构建了一个选择性的框架，让它具有显著性和共鸣性，以有力表达在刘松龄时期无法充分体现出来的情感。这本赞美诗是由一个知道他可能再也无法回家的人带来的。在这个微小而短暂的物质文化中，我们可以明白到文化包袱是如何成为产生文化共鸣的关键的。

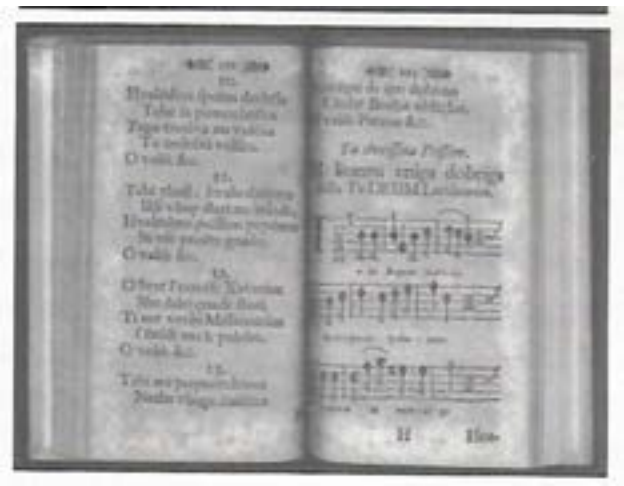

图1刘松龄的赞美诗（1729年于格拉茨出版）

3.

如今，新闻记者、心理学家和社会科学家们对“显著性”和“文化共鸣”给予了

someone who knew he would probably never see home again. In this small and ephemeral piece of material culture we understand how the baggage of culture is key in creating cultural resonance.

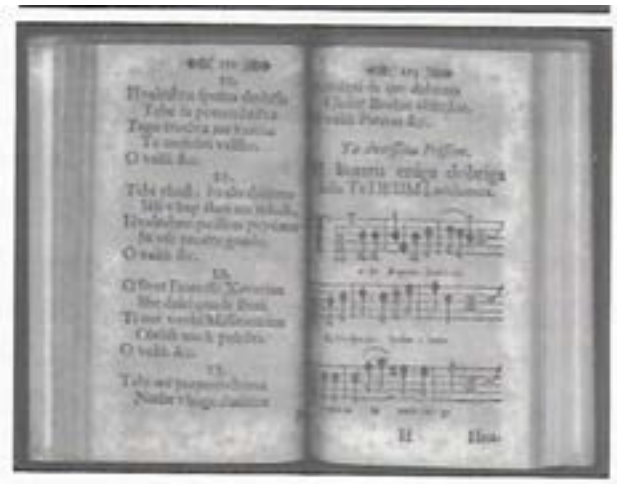

Fig. 1. Hallerstein's hymnal (Graz, 1729)

3.

Salience and *cultural resonance* are terms largely defined today by journalists, psychologists, and social scientists. James Ettema defines salience in journalism as "an effect of selectivity in fact-gathering and emphasis in news-writing" (Ettema, 2005). Salience, according to Ettema, can lead to the culturally resonant "when accomplished with eloquence." Michael Schudson has pointed out that cultural resonance is symbolic and an aspect of cultural power. Although he limits the term more narrowly that I do, he concludes that cultural resonance "is not a private relation between cultural object and individual, not even a social relation between cultural object and audience, but a public and cultural relation between object, tradition, and audience" (Schudson,1989). The cultural resonance of Hallerstein's hymnal, then, arises from the interrelations between the object (hymnal), the traditions it represents (Christianity, and the Jesuit Asian mission in particular), and the audience to which it speaks (that is, us today.) An object may nonetheless have resonance on an individual level, and in my view this too is *cultural*, because in private we do not, cannot separate ourselves fully from our culture; neither must it always be 'crafted', because time sometimes does that for us. Meaning thus changes over time and in some cases is amplified. Hallerstein could never have guessed that nearly 300 years after its publication his Slovenian hymnal would become an object of interest and cultural meaning.

4.

The first of the three examples I present here of the confluence of art, culture, and resonance in the Jesuit Asian mission is the house built at Zhaoqing (肇慶) by Matteo Ricci (利瑪竇, Li Madou) in 1583. Francesco Maglioccola has reconstructed a possible model for the house, and published his findings in a 2010 article, 'The first Western house in China' (Maglioccola, 2010, pp. 46-49). According to Prof. Maglioccola, the house was built of brick, with two rooms on each side of a central hallway. Explaining his 'virtual reconstruction' of the house, he has remarked that "I set out in search of this house as both a physical object and a mental object… so that we could enter into the house anew. The essence of the house participates in a very real way in a manner that exceeds materiality. Indeed, its mere construction takes second place to the legacy it represents which gives it its value" (Maglioccola, 2006). [1]

This legacy-granting value is very close to what I have identified as resonance. Even in this early outpost of the China mission, the arts of Western European culture provided a talking point between Ricci, his colleagues, and the Confucian scholars of his audience. One day they brought out for show some European "musical instruments, which they [the Chinese] had never seen before" (D'Elia, ed., 1942, p. 259, n. 310). In this act the essential ingredients for resonance were present: the objects, the meanings, and the audience. But this is amplified for us today by the visual reconstruction of the house: if journalists are correct in asserting that cultural resonance is something to be 'crafted' by selecting from among salient themes, then the image of the house today places emphasis on the ways in which visual culture can be central to resonance.

1 I have edited the original English of Maglioccola's paper, "Matteo Ricci and Chinese desire", for clarity.

广泛的定义。James Ettema将新闻界的显著性定义为“事实收集的选择性和新闻写作的强调性带来的影响”（Ettema，2005年）。据Ettema的看法，显著性可以在“当其口口阐述时”带来文化共鸣。Michael Schudson指出，文化共鸣是文化象征，同时也是文化力的一方面。尽管他对此术语的限制要更加狭隘，他总结道，文化共鸣“不是文化客体与个体之间的私人关系，甚至不是文化客体与受众之间的社会关系，而是客体、传统和受众之间的公共与文化关系”（Schudson，1989）。那么，刘松龄此本赞美诗的文化共鸣则来自于客体（赞美诗），所代表的传统（基督教，这里特指亚洲耶稣会）及所传递的受众（即当今的我们）之间的相互关系。然而一个客体可能无法带来个人层面上的共鸣，笔者认为这也是文化因素，因为我们个人生活中无法，也不能完全脱离我们的文化。这一文化共鸣不一定是“人为产生”的，因为有时候时间的沉淀会带来这种结果。因此客体的意义会随着时间的推移发生变化，而且会在某些情况下被放大。刘松龄从未想过，他的这本斯洛文尼亚语赞美诗会在出版近300年后成为文化内涵及兴趣的象征。

4.

笔者这里用三个例子说明亚洲耶稣会中艺术、文化与共鸣交汇融合，第一个例子是由利玛窦（Matteo Ricci）于1583年在肇庆建造的房屋。Francesco Maglioccola为该房屋重建了一个可能的模型，并在其2010年发表的一篇文章《中国第一座西方房子》中展示了他的研究成果（Maglioccola，2010年，第46-49页）。根据Maglioccola教授的说法，这座房屋由砖砌成，中央走廊两侧各有两个房间。在谈到这间房屋的“视觉重建”时，他解释道：“我是把这间房屋同时视为一个物理对象和一个精神客体来(探寻)的……这样就可以重新审视这所房屋。”房屋的本质以超越物质性的方式参与其中。事实上，这间房屋的建筑意义要退居第二，它代表的遗产才真正赋予其价值（Maglioccola，2006年）。[1]

这一遗产赋予的价值更接近笔者所认为的共鸣。即使在当时中国耶稣会发展的早期，西欧文化艺术也为利玛窦和其同僚以及儒家士大夫听众之间提供讨论的焦点。有一天，他们拿出一些“他们【中国人】从来没有见过的欧洲乐器”（D’Elia, ed.，1942年，第259页，第310号）。这一行为产生共鸣的基本要素是：客体、意义和受众。如今，通过对房屋的视觉重建其象征的意义随之扩大：如果新闻工作者声称的文化共鸣是在突出主题中进行选择然后“精心设计”是正确的话，那么如今这间房屋的存在就强调了视觉文化可以成为共鸣的核心这一点。

5.

第二个例子将谈到徐日昇（Tomás Pereira），一位由于其澳门利氏学社的工作而广为人知的17世纪葡萄牙耶稣会信徒。为了与笔者所关注的物质客体保持一致，这里将重点谈及徐日昇于1679年至1680年间为北京南堂教会制作的管风琴作品。作为说明如何在当今产生共鸣的一个例子，笔者将模仿Maglioccola描述利玛窦在肇庆建造的房屋的方式来介绍徐日昇的四站式风琴（PEK1680）[2]。Maglioccola和王廉明使用CAD软件来处理南堂这一问题，尤其着力了解和记录如今收藏于里斯本的图纸（Maglioccola与王廉明，2011年）。笔者与同事Cealwyn Tagle合作使用相同的流程来重构1680年制作的管风琴。南堂塔可能是整个音板、风管和风箱所在的地方，而管风琴控制台本身可能建在墙上的某个平台上。

图2 Tagle和Urrows重建的PEK1680（徐日昇制作）模型图

制作这些图像，或删除现存的乐器记录

1 为清楚起见，笔者对Maglioccola的论文原文“利玛窦和中国的欲望”进行了部分编辑。

2 “PEK1680”是中国管风琴项目数据库中该管风琴的普查标识。

5.

My second example concerns Tomás Pereira (徐日昇, Xu Risheng), the seventeenth century Portuguese Jesuit so well-known through the work of the Macau Ricci Institute. In keeping with my focus on resonance in physical, material objects, the aspect of Pereira's work I would like to focus on is the pipe organ which he built for the Nantang (南堂) church in Beijing in 1679-80. As an example of how we craft resonance today, I have given Pereira's 4-stop organ (PEK1680)[2] the same treatment that Maglioccola gave to Ricci's house in Zhaoqing. Maglioccola and Wang Lianming (王廉明) applied CAD software to the question of the Nantang, in particular trying to understand and to date the famous drawings now in Lisbon (Maglioccola and Wang, 2011). Working with my colleague Cealwyn Tagle, we used the same process to reconstruct the organ of 1680. The likelihood is that the Nantang tower was where the whole of the soundboard, chest, and bellows were located, and the organ console itself was probably built on a platform on the side of the wall.

Fig. 2 Reconstruction of PEK1680 (Tomás Pereira) by Tagle and Urrows

Creating these images, or perhaps teasing them out of the confusing records and accounts of the instruments, was an exhilarating experience. Like the virtual reconstructions of Ricci's Zhaoqing house and the Nantang, these allowed me not only to step into the Nantang itself, but also into a resonant space, and to climb up to the organ gallery and imagine myself sitting there and playing the organ.

6.

For a third example of the crafting of resonance we travel forward in time nearly two centuries, to a point where the Jesuit mission had been restored as the post-1814 'New Company' and China and the West had entered the complex and stressful Treaty Port era, and to Shanghai in particular. The sources of this example of resonance are not so well-known as Ricci and Pereira: they were the French Jesuits François Ravary and Hippolyte Basuiau. Ravary came to China in 1856, and Basuiau joined him nine years later. During those nine years, Ravary kept up a detailed correspondence with Basuiau, which has survived in part at the French Jesuit Archives in Vanves.

From Ravary's letters, and other histories of the Jiangnan mission, I put together an account of the richness and originality of Ravary's vision for music as a meeting point of cultures. In his first year in Shanghai Ravary formed a liturgical boys' choir, which he accompanied with an intercultural ensemble of harmonium, two *dizi* (笛子), and two *sheng* (笙). Chinese language liturgy, some of it going back to Jean-Joseph Marie Amiot's time in mid-eighteenth-century Beijing was mixed with Latin. Basuiau, still in Europe at the Jesuit seminary in Belgium at Brugelette, was tasked with finding surplus instruments for Ravary, who in 1857 established the first brass band in China at Zikawei.[3]

Beyond the question of chronological primacy, Ravary's band demonstrates to us something unexpected. It shows one of the ways in which the Jesuit mission territorialized a space for Western music in China. Yet it also shows one of the ways in which Western music 'became Chinese': it became so in part because the Jesuit mission avoided presenting the Christian message in an exclusively Western cultural format, and in part because the Mission also avoided presenting Western culture in an exclusively religious mode. Music, and by extension the arts in general,

2 "PEK1680" is the census identifier for this organ in The Pipe Organ in China Project database.

3 A photograph of Ravary's band exists in an album, "*Album Chinois*," made in Shanghai in the winter of 1857/58. It is available online at the Getty Research Institute's website (Getty Research Institute, 2012, p. 83).

中存疑的图像，是令人振奋的体验。正如利玛窦的肇庆房屋及南堂的视觉重建一样，这让我不仅能进入南堂教会里面，还能进入一个共鸣的空间，爬上风琴廊，想象自己坐在那里演奏风琴。

6.

至于第三个产生共鸣的例子要回溯到两个世纪之前，在1814年后“新合作伙伴”关系的背景下，耶稣会得以重建。当时中国和西方处于复杂且紧张的通商口岸时代，上海是两方关注的焦点。这一共鸣的来源并不如利玛窦和徐日昇的例子那样广为人知：他们是法国的耶稣会信徒François Ravary与Hippolyte Basuiau。Ravary于1856年来到中国，而Basuiau九年后也随之而来。在这九年里，Ravary与Basuiau一直保持着密切的通信联系，这些信件现在部分保留了下来，存于旺夫的法国耶稣会档案中。

从Ravary的信件及其他江南耶稣会的历史资料中，笔者汇总了Ravary将音乐作为文化交汇点这一愿景的深远意义和独创性。Ravary在上海的第一年组建了(一)个礼拜唱诗班，唱诗班里面加入了不同文化的小调合奏，两支笛子与两个笙。汉语礼拜与拉丁文化相融，部分肇始于18世纪中期在北京的钱德明（Jean-Joseph Marie Amiot）。Ravary于1857年在徐家汇成立了中国的第一支铜管乐队。而当时Basuiau仍在欧洲比利时布鲁盖莱特的耶稣会修道院内，他的任务是为Ravary找到多余的乐器。[3]

撇除时序性的问题，Ravary的乐队向我们展示了一些意想不到的东西。它证明了耶稣会为西方音乐在中国的发展开辟了空间。但也展现了西方音乐“中国化”的一个方式。“中国化”的部分原因是耶稣会希望避免以纯粹的西方文化形式来呈现基督教信息，还有部分是由于它也希望避免以纯粹的宗教模式来呈现西方文化。音乐及其他广义上的艺术进而成为文化的交汇点，而这在其他领域是很难实现的。乐队在某种程度上成为当地和全球同时互动的重要例子，被称为历史交叉点或“交叉的历史”（Kaufman与North，2010年，第3页）。这种东西方混合的乐队表明，产生共鸣之前并非（现在也不是）单向活动：它可以且能够同时指代两种独立且差异化的文化系统或“受众”。

7.

虽然新闻工作者将客体、传统及受众看作是共鸣的组成部分，但他们也认为共鸣是可以人为产生的。也就是说，从共鸣本体论来看，共鸣是一种特性而不是一种性质。事物在与观众及其感受的关系之间产生共鸣，它们本身是不具有共鸣的。这就引出了如何评估共鸣的问题。比如说，在当今亚洲耶稣会的背景下，是否有可能产生新的共鸣？当耶稣会是客体，而传统与受众是我们（无论我们是否为罗马天主教徒）的时候，这种共鸣就有可能产生。我们都会因为Gauvin Bailey所说的“他们对教育和灵活性的承诺”而对耶稣会持较高的敬意，这一点就足以“让它们比之前的任何秩序更能深入地参与世俗社会和人文主义中”。耶稣会中的教徒可以感受到高雅文化（欧洲或非欧洲文化）的热情，并希望向受众传达这种热情。这就是为什么即使耶稣会十分清楚他们的牧诗局限性，他们仍然满足于不惜任何代价来延长哪怕只是文化层面上的对话（Bailey，G.A.，1999年）。这一文化层面至今仍是耶稣会的一大显著特点。

艺术可能开始的确是以文化包袱的形式存在，但正如笔者一直在努力指出的那样，这种包袱并非完全没有价值、意义或积极的品质。我们仍然生活在大移民时代：难民过去几年大量涌入欧洲，对大众而言带来了具有挑战性的新现实。过去几十年间，中国的农村人口显著减少，如今越来越多的人居住在沿海城市。深圳创下了有史以来成为“大城市”（人口超过1,000万的城市）的最快纪录。香港的居民约800万，而2015年其游客人数就达到了5,930万。这近6,000万的游客中有4,650万人都是来自中国大陆。

600多年来，我们居住的世界一直处在一个动态的全球运动中。有时候这种运动是受欢迎的，但更多的时候不是。有时候这种运动是自愿的，但更多的时候不是。调解这一运动带来的压力从来不是一件易事。但是，在跨文化对抗已经呈现出令人眼花缭乱的新维度的世界里，当我们试图弄清楚应当做什么的时候，文化，尤其是艺术，成为耶稣会唤起当今的我们及过去的受众共鸣的策略。虽然我们无法将17世纪至19世纪的中

3 在1857年至1858年的冬天，上海出版的一张专辑《Chinois》中有一张Ravary乐队的照片。它可以在盖蒂研究所的网站（Getty Research Institute，2012年，第83页）上找到。

became in turn a meeting point for cultures where this was more difficult to achieve on other bases. In its small way the band is an important example of the simultaneous interaction on both local and global levels that has been called *histoire croisée* or, "entangled history" (Kaufman and North, 2010, p. 3). This hybrid East-West band shows that the crafting of resonance was not (and is not) a uni-directional activity: it could (and can) refer at the same time to two separate and differentiated cultural systems, or 'audiences.'

7.

While journalists speak of object, tradition, and audience as the ingredients for resonance, they also believe that resonance is crafted. This is to say that in an ontological view of resonance it is a *quality* of things, and not a property. Things acquire resonance in relationship to an audience and to their perception; they do not possess it from the start. This leads to questions of how to evaluate resonance. Is it, for example, possible to craft new resonances today in the context of the Jesuit mission in Asia? Such resonances may occur when the mission is the object, and the traditions and the audience are us, whether we are Roman Catholics or not. We all admire the Jesuit mission for what Gauvin Bailey noted was "their commitment to education and flexibility", which "got them more deeply involved with secular society and humanism than any order which came before them; the Jesuits on the missions felt the passion of high culture – European and non-European – and wanted to communicate this enthusiasm to their audiences. This is why, even though the Jesuits were well aware of their pastoral limitations, they were content to prolong the dialogue at any cost, even if only on the cultural plane" (Bailey, G.A., 1999). And this cultural plane has remained a salient feature of the mission in the present day.

The arts may indeed start as a form of cultural baggage, but as I have been at some pains to point out this baggage is not entirely without merit, meaning, or positive qualities. We live still in an age of huge migrations: refugees have flooded Europe in the past several years, creating a challenging new reality for everyone. China's countryside has been depopulated in the last several decades, and more people than ever now live in the coastal cities. Shenzhen holds the record for the fastest ascent ever recorded to the status of a 'megacity' (a city with a population of over 10 million.) The number of tourist arrivals in Hong Kong in 2015 was 59.3 million, in a city with about 8 million residents. Only 13.5 million of these nearly 60 million were not from Mainland China.

For over 600 years our planet has been living in a dynamic state of global movement. Sometimes this movement is welcomed, but more often not. Sometimes this movement is voluntary, more often it is not. Mediating the strains that accompany this has never been easy. But culture, and the arts in particular, were one strategy used by the Jesuit mission which today has resonance for us, the audience of history, as we try to figure out what to do in a world where intercultural confrontation has taken on bewildering new dimensions. While we cannot realistically compare the situation of China in the seventeenth to nineteenth centuries with Europe or North America of the twenty-first, we can try to stand back and see what worked and what didn't. Then there are the journeys that take place inside of us: the mental, emotional, and spiritual journeys. These are also susceptible to resonance. My goal is to encourage us to think a little more broadly about culture, tradition, art, and what salient aspects of these three things have resonance for us personally. So when those things that you see or hear "strike a responsive chord" in you, thank cultural resonance for that, and try to be part of the process by which this resonance is prolonged, carrying on in the great tradition of those generations of giants who found meeting points between peoples through the arts when everything else seemed to have failed.

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国国情与21世纪的欧美情况进行比较，但我们可以试着以旁观者的身份来看看哪些行得通，哪些行不通。之后，我们就能走上心理的、情感的及精神的内心旅程。这些也容易引起共鸣。本文的目的是鼓励当代人更广泛地思考文化、传统和艺术，以及这三件事物的哪些突出方面会对个人产生共鸣。所以当你看到或听到能“触动心弦”的事物时，你得感谢文化共鸣，尝试成为这种共鸣持续下去的进程中的一部分，去继承那些能够在当一切似乎都无效时通过艺术找到了人与人之间的交汇点的伟人的优良传统。

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Developing Responsible Leaders in China: Beyond Compliance Toward Becoming a "Force For Good"?

培养中国的尽责领袖：挣脱桎梏，走向"为善之力"？

Henri-Claude de Bettignies 翟博思

Abstract

The most effective institution in society for creating value is the corporation and in the hands of responsible leaders it can be a force for good. What is the role of China's business schools in leading responsibly a change process for a better future? This article frames important questions of China's business schools and managers coming to business schools. The author examines the emergence of the digitalization of everything which raises primary questions of responsibility of business schools and calls for a painful and difficult paradigm shift. Deans need strategic courage to resist the heavy pressure on rankings which exerts a perverse influence on a school's development, strategies and culture.

摘要

公司是创造价值最有效的社会组织，在负责任的领导者手中，它可以成为一种共善的力量。中国的商学院在负责任地引领向更好未来转变的过程中扮演着什么角色？ 本文提出了中国的商学院和来商学院学习的管理人员面临的重要问题。作者考察了一切数字化所引发的商学院的责任问题，提出需要进行痛苦而艰难的变革。商学院院长需具备战略勇气，抵制学校排名的压力和由此引起的对学校的发展，战略和文化所产生的负面影响。

In my article in issue one I explored the role and responsibility of leaders and corporations in initiating change for the common good. I identified the challenge of a moral leader when circumstances or self-interest conflict with the values he/she holds or with the common good of the followers or of the society. Educational institutions are supposed to equip leaders or future leaders with the framework and the values that help to solve those unavoidable conflicts of interest or to handle the dilemmas encountered by leaders.

在本刊上一期的文章中，我首先探讨了为大众利益而改变的责任领袖和公司的作用和责任。我界定了当环境或自身利于与其维护的价值观，或与追随者或社会的大众利益发生冲突时，道德领袖面对的挑战。教育机构应当为今日或未来领袖解决那些不可避免的利益冲突，或处理眼前困境提供框架和价值观。

本文的核心在于将中国的尽责领袖培养 为一股为善之力。中国的商学院能够做些什么让国家的未来更加光明?它们是否可以成为一股为善之力，负责任地领导一个变化过程从而让所有人的未来更加美好?如果

In this article I focus on the development of responsible leadership in China as a force for good. What could China's business schools do to try and make the country's future better? Could they be a force for good, leading responsibly a change process to make everyone's future better? And if so, how?

Before answering, let's make a short detour. In society, those who create value have significant power since the dynamics of a society are linked to the value it creates. The most effective institution in society for creating value is the corporation, hence the power it has in society. It produces goods, services and jobs. It innovates. It pays taxes. It contributes to charitable organisations, it can improve the environment and so on… In the hands of responsible leaders it can, therefore, be a force for good.

But as we all know well, this is not always the case. When criticized, business leaders tend to attribute the evolution of our society with all its negative features to globalization, to digitalization and to competition. They also outsource responsibility to political leaders, whom they accuse of being self-oriented rent seekers with a short-term vision, economically ignorant (as demonstrated by their taxation and regulation policies) who are making their job as business leaders increasingly difficult.

In fact, in China, over time, many corporate leaders will be the offspring of business schools where they will have been trained, educated, enlightened and "programmed" essentially in the dominant neo-liberal model although possibly with a zest of Marxism. This includes four beliefs or assumptions:

- Profit is the name of the game;
- Man is a "resource";
- Competition is a war, and,
- Nature is to be exploited.

If that is really what they learn in business schools, how could we possibly expect future business leaders to become "a force for good" in building a better future?

But a force for good is the capacity to contribute to the Common Good, not to the good of a small, "elite" group. A force for good must see 'good' *as the good of the planet*. In the words of Pope Francis, it means to work for the good of "our common home" . The survival of the planet depends on our realisation that caring for the common good is a *sine qua non* condition for our survival. To be "a force for good" cannot be outsourced to future generations.

The Common Good and Business Schools in China

So what do business schools have to do with the common good? Well the answer is: 'a lot'! Business schools produce graduates, bright and ambitious, keen to rise (quickly) to senior or top positions and well equipped with the tools to understand the enterprise-market interdependence. What they are not, it seems, is well enough prepared to understand the context and its complexity or to anticipate the future under conditions of "bounded rationality". Erisman and Gautschi (2015) quoted Robert Salomon's (Stern School, NY) observation that business schools are good at training technicians but not good at training analysts who cross "disciplinary boundaries to create a better understanding… of how individual parts interrelate to affect the whole".

Despite these shortcomings, business school graduates continue to rise to the top in the corporate world. In 2014, 36 of the CEOs in the top 100 companies of the Fortune 500 held an MBA (Smith-Barrow, 2014) and according to the FT, 31% of the world's 500 largest companies by market capitalization (FT-listed) were led by an MBA graduate, 104 of those CEOs coming from the leading business schools (Pailin, 2015).

Business schools create, share and disseminate knowledge, *prepare future managers* and leaders, *groom current middle managers* and *enlighten top executives*. They also *develop and inseminate the next generation of academics* (when they offer a PhD program). They do all of this rather well, which is why the corporate market makes good use of their products and services. Corporations (eg. SOEs, private companies, MNCs) recruit their graduates and

可以，那么该怎么做呢?在回答问题前，让我们先稍微岔开话题。在社会中，创造价值的人拥有巨大的权力，因为社会的动态与创造的价值有关。在社会中价值创造最有效的机构是公司，因而其在社会中享有一定权力。公司生产商品、提供服务和岗位、开展创新、缴税、捐助善款、改善环境等等…在尽责领袖的掌控下，公司可以成为一股为善之力。

但我们都知道，现实往往并非如此。当遭受批评时，商业领袖一般会将我们社会的演化，连同其一切负面特征归咎于全球化、数字化和竞争。他们还将责任推卸给政治领袖，指责他们是自私自利又短视的寻租者，在经济方面一窍不通（证据就是他们制定的税收和监管政策），让商业领袖的工作愈发困难。

事实上，在中国随着时间的推移，许多公司领袖都将出身于商学院，他们在那里接受培训、教育、启发和“程序化”，尤其是在主流的新自由模式方面，但可能也带有满腔的马克思主义热情。其中包括四种信念或假设：

- 利润是宗旨；
- 人力是“资源”；
- 竞争是战争，以及
- 自然待开发。

如果这就是他们在商学院学到的知识，那我们又怎能期待未来的商业领袖会成为一股“为善之力”，创造更美好的未来呢？

为善之力是为大众利益做贡献的能力，而不是为少数人及“精英”集团服务。为善之力必须将“利益”视作整个星球的利益。用教宗方济各的话来说就是，为了“我们共同家园”的利益。地球的存续取决于我们是否意识到，维护大众利益是我们生存的必要条件。要成为一股“为善之力”，切不可将责任推卸给子孙后代。

中国的大众利益和商学院

那么，商学院必须为大众利益做些什么呢？答案：“多的是！”商学院的毕业生，活力满满，野心勃勃，热衷于（迅速）爬上高层或顶级职位，而且大有手段去了解企业与市场的相互独立性。但他们似乎在理解市场环境和复杂性，以及在“有限理性”的条件下预测未来方面准备得不够充分。Erisman和Gautschi（2015年）引用了Robert Salomon（纽约斯特恩商学院）的发现——商学院善于培训技术人员，而不擅长培训“跨越学科界限，进一步理解独立部分如何相互联系，从而影响整体”的分析人员。

尽管存在这些短处，但商学院的毕业生仍在攀上公司世界的顶尖地位。2014年，在《财富》500强的前100强公司中有36位首席执行官持有工商管理硕士学位（Smith-Barrow，2014年），同时根据《财富》杂志所述，在全球市值排行前500的公司中（《财富》所列），有31%的公司是由工商管理硕士毕业生领导的，其中104名首席执行官来自知名的商学院（Pailin，2015年）。

为善之力是为大众利益做贡献的能力，而不是为少数人及“精英”集团服务。为善之力必须将“利益”视作整个星球的利益。

商学院创造、分享和传播知识，培养未来的管理者和领袖，训练现有的中层管理者，启发顶层执行人员。它们还能够栽培下一代的学术人员（如有提供博士学位的项目）。它们在这些方面都做得尽善尽美，这就是为什么公司充分利用其产品和服务。公司（如国有企业、私营公司、跨国公司）招聘商学院的毕业生，委托商学院培训自己的经理、训练企业家，同时商业领袖在商学院求学，以获取领导公司的必要智慧和发展有用的关系。反之，公司资助商学院研究、赠予高位、赞助活动，并将其名称授予学院的教学楼和讲堂。

商学院是智囊机构、知识孵化器和技能工厂，吸引着充满活力与抱负的求职者前去求学，从而大大增加其市场价值。商学院是“温室”，培育着一群精英管理者和领袖，然后将他们移植到变化无常、错综复杂、竞争激烈的全球经济系统中。期待他们高效、有效地工作，从而为投资带来在利益

entrust them with training their managers, grooming entrepreneurs, while business leaders look to business schools for the wisdom they need to lead their companies and for developing a useful *guanxi* so useful for business. In return, companies fund business school research, endow chairs, sponsors events and give their name to buildings and lecture theatres.

> A force for good is the capacity to contribute to the Common Good, not to the good of a small, "elite" group. A force for good must see 'good' *as the good of the planet.*

Business schools are think tanks, knowledge incubators and skills factories where bright and ambitious job seekers go to significantly boost their market value. Business schools are 'greenhouses' in which an elite brand of managers and leaders are cultivated before being transplanted into a volatile, complex, highly competitive and global economic system. There they are expected to operate efficiently and effectively in order to produce the anticipated high return on investment that will be unevenly shared among stakeholders.

The knowledge production of business schools irrigates the minds of the leaders emerging from them and percolates down through society fuelling the dominant ideology that pervades our neo-liberal economic system. Less attractive outcomes are: individualism, consumerism, financialisation and the abuse of the natural world, notably our earth and seas.

Challenging the prevailing economic paradigm

We should not be surprised by the impact of such ideology on society, given the dominant messages conveyed in many business schools in China and around the world. These are the messages that shape leaders' and managers' attitudes, influencing values and practices as outcomes of their educational activities:

- Man is a *resource* just like a technology, a piece of information or a greenback: to be used efficiently;
- Creating shareholder value is *the main objective* of the firm in order to reward the risks taken by shareholders;
- The *hand of the market* is the most effective, the supreme, market regulator as the government is progressively giving more weight to the market;
- Government regulation should be *minimised* and *business-friendly* (to which end legislators must be influenced through lobbying);
- Competition is the name of the game, invariably described through the language of war: to *survive* on the global competitive market *battlefield*, cutting corners is permitted;
- Humankind dominates nature and *should exploit it* to feed corporate growth and societal needs;
- Given the complexity and volatility of the world, the task at hand and the uncertainty of tomorrow: a *short term view* with its focus on share price must be privileged;
- Technology and innovation *will take care* of new problems emerging from the rapid digitalisation of our world (e.g. as in Japan, intelligent robots with emotions);
- The *rate of economic growth* is the best measure of progress, and economic growth enhances happiness;
- If it is *legal*, it is *ethical*;
- *Creativity* in tax management can significantly improve the bottom line; therefore expertise in transfer pricing and the use of tax havens should be developed, and,
- Data mining, big data management, sophisticated tools and marketing techniques should be used *to enhance the consumer's propensity to buy*, to leverage the human "mimetic desire" that was so well analysed and described by the late Stanford professor, René Girard (Girard, 1961).

相关者之间分配不均的预期高收益。

商学院生产的知识如醍醐灌顶般滋润着毕业自学院的领袖头脑，并渗透社会，从而强化遍及我们新自由经济系统的主导意识形态。不好的结果包括：个人主义、消费主义、金融化，以及毒害自然世界，尤其是我们的土地和海洋。

挑战盛行的经济典范

鉴于这种主导意识形态在中国和全世界许多商学院中都有所传播，那么它对社会的影响便不足为奇了。这些意识形态塑造了领袖和管理者的态度，影响其教育活动形成的价值观和做法：

- 人就像技术、信息或钞票一样，是一种资源：有待高效利用；
- 创造股东价值是公司的主要目标，是为了回报股东承担的风险；
- 市场的力量最为有效，政府作为至上的市场监管者正在逐渐向市场放权；
- 政府应尽量减少监管限制并对企业抱以较为友好的态度（必须通过游说影响最终的立法者）：
- 竞争是这场游戏的主旨，它总是以战争的形式表现出来：要在全球竞争市场这一战场中活下去，投机取巧亦无不可。
- 人类主宰自然，并且应开发自然来满足公司增长和社会需求；
- 鉴于世界的复杂性和反复性、当前的任务，以及未来的不确定性：目前必然盛行以股价为主的短期观点。
- 技术和创新会解决我们世界快速数字化所带来的新问题（例如，日本的情感智能机器人）；
- 经济增长的速度是进步的最佳标尺，经济增长会增强人们的幸福感；
- 合法即合理；
- 税收管理方面的创造性可极大地提高底线；所以应发展转让定价的专门技术并利用避税天堂，同时，
- 应发展数据挖掘、大数据管理、精密工具和营销技巧，以强化消费者的购买倾向，利用斯坦福大学教授——René Girard曾予以充分分析和说明的人类的“模仿欲望”（Girard、1961）。

这些通常在西方占主导地位的假设，是中国应当采用以解决今日世界之困境的真理吗？在这样一个模范榜样无处可寻，个人消费大受鼓励，自然环境滥用毁坏的世界中，我们的寿命延长了，但幸福却没有增加；我们通过社交媒体可以跨越时间和距离进行交流，但“虚拟”似乎并未产生更为丰富，充实的关系；我们通过高频率的交易可以更快地赚取金钱，但也积累了我们无法控制的系统性风险。智能机器人可以代替人力，但它们能做的不过是重复性工作，提高效率，而无法像十九世纪的工业革命一样，为变化所抛弃的人带来足够的工作岗位。电脑和互联网给予了我们更多自由，但它们也会造成依赖性，需要责任（通常在供不应求期间）等等。这真的是中国应当效仿的模式吗？这么做能为中国及其人民创造更美好的未来吗？

不好的结果包括：个人主义、消费主义、金融化，以及毒害自然世界，尤其是我们的土地和海洋。

在朝向现代社会的道路上，腐败是利用漏洞、扭曲规则、逃避监管、优待关系和联络网的一条捷径，是获取服务、优势或特权的手段。至于腐败蔓延的后果，那些依靠天命或其它方式掌权的人士在中国历史的明确记载中，即可窥见其必死的命途。通过制定监管措施和实施法律，政府力图创造一个平等的竞争平台，同时大力打击腐败，以有效地抑制可能损害公民敬畏和挑战政府合法地位的做法。在公务员思维模式和行为的变化中，以及在行政部门的现有风气中可明显看见打击腐败的成果。

对自由民主与开放市场资本主义是创造公正成功之社会的最终答案这一信仰发起挑战，可能会导致人们拥护一种利益相关者模式。一种新典范的基础可能是组织是“社区”[1]，以及地球是为所有人的利益而存在的全球公域这一概念。其中，每一个人都要为共同生活在一个由合作与共享来维系

1 de Bettignies, H.C.（2000年），《作为社区的企业：矛盾修饰？商学院是否能够进行自我重新构建？》概念与转换，5:2，2000年，165-211

Are these assumptions often dominant in the West truly the right ones China should adopt in order to resolve the predicament in which our planet finds itself today? In such a model man is lost, while individual consumption is encouraged and the environment abused or destroyed. We prolong life, but do not live more happily; we can communicate across time and distance through social media, but 'virtuality' does not seem to produce more enriching, fulfilling relationships; we can make money faster through high frequency trading, but it also accumulates systemic risks we cannot control. Intelligent robots can replace humans and carry out more than just repetitive tasks to increase efficiency but, unlike the nineteenth century industrial revolution, they do not create enough jobs for all those displaced by the change. Computers and the internet give us more freedom but they also induce dependency and require responsibility (often in short supply) and so on. Is this really the model China should emulate? Would doing so ensure a better future for China and its people?

> Less attractive outcomes are: individualism, consumerism, financialisation and the abuse of the natural world, notably our earth and seas.

On the road towards a modern society, corruption is a shortcut to exploit loopholes, to bend rules and circumvent regulations, to privilege relationships and networks, as tools to gain access to services, advantages or privileges. The consequences of widespread corruption is, as the Chinese history makes explicit, lethal for those in power whether by a Mandate of Heaven or other processes. By creating regulations and imposing laws the government aims at creating a level playing field while its heavy hand to fight corruption proves to be effective to curb practices that could undermine the desirable respect from citizens and a challenge to its legitimacy. The results are very visible in the change of civil servants' mindsets and behaviours and in the current climate throughout the administration.

Challenging the belief that a liberal democracy and open market capitalism are the ultimate answers to producing a just and successful society may lead to the espousal of a *stakeholder* model. A new paradigm may be based on the concept of the organisation as a "community"[1] and the planet as a Global Common existing for the benefit of all its citizens. In this, each individual is responsible for living together in a human community in which cooperation and sharing fuel a circular economy.[2] We need, as Charles Handy[3] makes clear in his work, to challenge the orthodoxy and push managers to dream a little, to think unreasonably and to dare. In reality, no less than a paradigm shift is necessary; in the West certainly, in China probably.

Poised in a period of dynamic growth where entrepreneurship and innovation flourishes, today's China can and should learn from the very visible shortcomings and dysfunctions of the dominant Western paradigm. China has the opportunity to develop an original model that will integrate a multi-stakeholder governance that privileges sustainability, and whose organisations rely on a different relationship between humankind and nature, one which puts the common good on the agenda of all its decision makers and shareholders. A difficult task indeed in our global and so interconnected business environment but not an impossible one in such an immense country that is China. Responsible leadership will be instrumental in achieving this.

Turning business schools into a force for good

For China, taking the road to develop responsible leaders will mean asking managers coming to business schools some important

1 de Bettignies, H.C. (2000), The Corporation as a «community»: an oxymoron? Can business schools re-invent themselves? Concepts and Transformation, 5:2, 2000, 165-211

2 Petrella, R., (2015) Au nom de l'Humanité, Mons, Couleur livres, 2015

3 Handy, C., (2015), Ibid

循环经济的人类社会中，承担责任。[2]正如Charles Handy[3]在其作品中详述的一样，我们需要挑战正统，迫使管理者敢于梦想，突破常规，勇往直前。实际上，典范转移是必不可少的；在西方尤为如此，在中国可能也是这样。

在创业精神和创新如雨后春笋一般的动态增长时期中泰然自若，如今的中国可以也应当从存在明显不足和缺陷的，具有主导地位的西方典范中吸取经验教训。中国有机会发展出一种原创模式，以便融合重视可持续性的多利益相关者管治，其组织依赖于人类与自然间不同关系的人士，以及让其决策者和股东在日常中保障大众利益的组织。这在相互联系如此紧密的全球商业环境中的确非常困难，但在中国这样一个辽阔的国家中却并非钻火求冰。尽责领导将有助于实现此目标。

将商学院转化为一股为善之力

对于中国，走上培养尽责领袖这条路将意味着，前来商学院的管理者必须回答一些重要问题：

- 企业的目的为何？企业如何定义成功？
- 你的一生想成就什么？
- 生命的意义为何？
- 你希望为中国打造何种社会？
- 一家能否在不扩大规模的情况下实现增长？
- 部分企业（国有企业）会不会因为可能产生的损害而变得“大而不倒”？
- 相比起降低商品价格从而增加消费者的购买量，我们是否应当强调让商品变得更智能？

如果中国的商学院真心希望成为一股为善之力，那么它们必须挑战已成为其全体教职工的教育框架，可能在其引进课本占据实质内容，甚至是其信息核心的主导新自由模式。它们必须集中于真正重要的一部分事物。它们需要打破合规的教学方式。合规是因为害怕失败。但尽责领导超越了常规：尽责领袖背后驱动力并非遵守法律和需要或必要，亦非对失败的恐惧，而是良心，是受价值观驱动的内心声音。合规能带来安全感，但无法带来道德上的正确感。

培养管理技能，训练现有和未来领袖的商学院可以帮助人们表达自己的价值观，这一点是他们不可或缺的。在大部分情况下，合规是一种绝对的要求，但并不足够。它可以是合法的，符合条例和程序，但在道德方面却值得商榷：这对道德领袖而言是一种挑战。确实，处理领袖面对的道德困境比发展哺育法律和秩序的机构要容易，毕竟后者是创造一个公正、公平、创造机遇之现代社会的先决条件。

经过多年来与世界各地的领袖合作，我深知需要作出的改变。基于此，我现在会告诉他们，如果他们想成为一名领袖，那么可以遵循以下七条指南：

1. 认识自身；
2. 清楚自己的目的地；
3. 了解员工；
4. 保持谦卑；
5. 善于倾听；
6. 利用多样性，以及
7. 关心他人。

当然，如果我们要培训正确做事的管理者，那我们就需要授之以渔。但如果我们要培养道德领袖，那他们就得正确做事。在授人以渔的过程中，我们应了解他们内在的价值观。技巧和手段并不是中立的。我们不应教授道德，也不应超越“方式”，回避“原因”的讨论。我们需要讨论价值观，以及它们如何约束目的或价值创造。不能仅仅因为美德如今不再盛行就认为它没有必要。

根据我的经验，以下信息可以具有非常好的效果：

- 达到自身的潜能，在自己擅长的领域为他人的利益竭尽所能；
- 效果应优先于效率，长期优先于短期；
- 中国与世界其它地区一样，依靠大量开采自然资源和人力劳动的增长必不能持久，我们需要“批评”这种增长过程，并延长其“可持续”时间。
- 我们不能将气候变化这一巨大问题推卸给后代解决。我们每个人都要为地球负责；

2 Petrella, R.（2015年） Au nom de l’Humanité, Mons, Couleur livres, 2015年

3 Handy, C.（2015年），出处同上

questions:

- What is business for? How should business define success?
- What do you want to do with your life?
- What is life for?
- What kind of society do you want to build for China?
- Can a company grow better without growing bigger?
- Can some businesses (SOEs?) become 'too big to fail' because of the damage that might result?
- Rather than trying to make things *cheaper* so that the consumer will consume more shouldn't we try to emphasise on making things *smarter*?

If business schools in China really wish to be a force for good they may have to challenge the dominant neo-liberal model that may have provided the educational framework of their faculty, possibly the substance of their imported textbooks and the core of their messages. They will have to concentrate on a few things that truly matter. They need to go beyond the teaching of compliance. Compliance is being achieved through the fear of being caught. But responsible leadership goes beyond compliance; the responsible leader is not driven by the need or imperative to comply with the law, or by the fear of being caught but by the voice of conscience, by the inner voice driven by values. Compliance can give a sense of security and safety but not a sense of moral rightness.

Business schools developing managerial skills and grooming present and future leaders can contribute in the necessity to help people to give voice to their values. Compliance is, in most cases, an absolute requirement, but it is not enough. It can be legal, compliant with the regulations and procedures, but questionable in terms of ethics: a challenge for the moral leader. Indeed, handling the moral dilemmas facing the leader is made easier with the development of institutions fostering law and order, a prerequisite to the creation of a modern society that is just and fair and creates opportunities.

Over many years of working with leaders from around the world I have learned a lot about the type of change needed. Based on this I would now tell them that if they want to be a leader, then there are seven guidelines to follow:

1. Know yourself;
2. Know where you want to go;
3. Know your people;
4. Be humble;
5. Listen;
6. Leverage diversity, and,
7. Care for others.

Of course, if we want to train *managers to do things right* we need to teach them the tools. But if we want to develop *moral leaders*, they will *need to do the right thing*. In teaching the use of tools we should be explicit about the values embedded in them. Techniques and tools are not neutral. We should not teach morality but should not shy away from discussing the "why" beyond the "how". We must no longer confuse technological advance with progress but constantly question the purpose of the firm and, most critically, ensure that we care for the common good since we all share this common home: the earth. We need to discuss values and how they help to discipline purpose or value creation. Just because virtue is less fashionable today does not mean that it is any less necessary.

From my experience, messages along the following lines can be very useful:

- To live up to your potential, do your best at what you are best at *for the benefit of others*; Effectiveness should take precedence over efficiency, the long term over the short term;
- In China, as elsewhere, growth cannot continue to be based on an intensive exploitation of nature and of human work, we need to "civilize" the growth process and try to make it "future-proof";
- Solutions to our huge problem of climate change cannot be left to future generations. Each of us have a responsibility for planet Earth; we must enhance awareness that our natural resources are not infinite;

- 更加清楚地认识我们的自然资源是有限的；
- 强调（尤其在经合组织国家中）节约、节制、团结、同情，以及
- 不仅要提高生产率，更要提供质量和耐久性

但这又对所有人提出另一个重要问题：如何在中国实现这一点？

要将商学院转化为一股为善之力，我们需要启发学院的院长，他们不仅拥有战略勇气，也清楚现有的主导西方模式会对我们的“共同家园”带来的致命后果。这些“新”院长必须愿意远离强加排名标准的沉重媒体压力，因为这会对学院的发展、战略和文化造成不利影响。他们还必须认识到，在中国的几个著名商学院中涌现的课纲修改工作小组不可能对课纲提出必要的重大更改，因而也无法培养对我们子孙后代之存续而言，不可或缺的尽责管理者和领袖。他们还将需要重新思考培养下一代教授的内容和流程，修改其博士计划。

GAFAM（谷歌、苹果、facebook、亚马逊和微软）世界中出现的共享经济带来了UberPop、爱彼迎和Blablacar，这意味着我们必须准备好质疑自己的模式，抛弃我们的主导假设。这可不轻松！这将需要改变我们与自然的关系。这将意味着要发明一种新共享方式，一种鼓励合作而非竞争，提倡节约而非消费，重视长期而非短期，关心他人而非利己，而且立即自我满足的方式。我们可能需要重回蓝海战略模式（Kim和Mauborgne， 2005年）、蓝线管理（Kaiser和Young，2014年）、甚至是企业社会责任中的流行模式。不幸的是，有勇气，愿意与其利益相关者承担巨大风险的院长似乎极为少有。但是，如果在中国他们能够吸引少数受启发的首席执行官与他们一同走向变革之路，那他们在过程中也会少些困苦。

要成为一股为善之力，我们必须利用商学院设施的现有智力刚性，解决从多学科角度和广泛商业环境中得出的相互依存的问题。同时，我们必须保持未来的方向不动摇，即使在使用旧日或现有示例时亦是如此。

因此，创新中国商学院的课纲设计可能意味着要创造许多新课程，包括：哲学与历史（以史为鉴，深知当前）；倾听（加深彼此的了解）；信任构建与维护（促进交流和理解）；大众利益（学习如何将其融入商业实践）；目的明确的组织（探索公司在社会中的角色）；公司管治（把握股东权力的程度和界限）；经济共享（学习循环经济，学习节约、节制和可再生能源）；社会创业精神和投资的影响（阐明成为一股为善之力的可行方式）；管理隐私（探索网络监管的角色和限制，以及大数据管理的相关挑战）；责任（对他人，对自然，对自身）；与非政府组织合作（学习合作和协同发挥潜能）；管理多样性（以及关系的“虚拟性”）；想象力（强化从不同角度看待问题，并提出创新解决方案的能力）。鼓舞人心的是，中国大部分面向未来的商学院在课纲中已经添加了上述的部分课程，同时欧洲的亦是如此，例如：英国的埃克塞特大学、瑞士的BSL学院...

总之，如果商学院要成为一股为善之力，那么它们必须愿意挑战隐藏在西方教育背后的模式。我们不能再混淆技术进步和进展，而要不断质疑公司的目的，同时最重要的是确保我们关心大众利益，因为我们有一个共同家园：地球。教宗方济各道：“环境危机实际上是一场放任自由资本主义的危机。”（方济各，2015年）这一评论，以及我认为必要的变化，明显为社会中（包括商学院）的既得利益者所不喜。“资本主义可在最大程度上增多选项”，教宗方济各道，“但却没告诉我们应如何选择。贪得无厌的消费主义蒙蔽了我们的双眼，让我们无法分辨我们需要的和我们想要的。”（Vallely，2015年）

我相信，对商学院成为一股为善之力而言必要的变化是改变自身，从愿意仔细思考开始，直到它们传达的信息。但是，只有当它们认可必须经历一次痛苦的典范转移后，这才有可能实现。鉴于商学院是主导新自由模式的产物，这一过程将会充满磨难。公司通常是它们主要（或重要）的财务来源，也是其毕业生的雇主；公司资助学院研究和提供教材。

我们有能力对一切事物进行数字化改造，拥有智能机器人、纳米技术、神经科学、基因工程和超人类注意，因此我们正在进入一个新的文明时代，这个时代不仅无法增加中国社会渴望的新岗位，还可能会通过替代，导致许多中层岗位消失，从而加剧不

- Emphasise (particularly in the OECD countries) frugality, sobriety, solidarity, compassion; and
- Productivity gains should be tempered by quality gains and durability.

But this then raises the most important question of all: how to achieve this in China?

To transform business schools into a force for good, we need enlightened deans who possess strategic courage and are fully aware of the lethal consequences the current dominant Western model is having for our 'common home'. These 'new' deans must be willing to distance themselves from the heavy media pressure imposing criteria for rankings since this exerts a perverse influence on a school's development, strategies and culture. They must further realise that the curriculum revision task forces that have recently been mushrooming in several leading business schools in China are unlikely to recommend the significant curriculum changes necessary to produce the responsible managers and leaders indispensable to the survival of our grandchildren. They will also need to rethink the content and process of developing the next generation of professors and revise their PhD programs.

The emergence of the sharing economy in the GAFAM world that has bred UberPop, Airbnb, Blablacar means that we must be ready to question our models and abandon some of our dominant assumptions. This is no small task! It will require a change in our relationship with nature. It will mean inventing a new way of sharing, one that will encourage cooperation rather than competition, advocate frugality over consumerism, the long-term over the short-term, caring for others over individualism and immediate self-gratification. We may need to revisit fashionable models of blue ocean strategy (Kim and Mauborgne, 2005), of blue line management (Kaiser and Young, 2014) and even of corporate social responsibility. Unfortunately, courageous deans willing to take significant risks with their stakeholders seem to be a rare species. However, if in China they attract a small number of enlightened CEOs to accompany them on their transformation path it would make their journey less painful.

> In teaching the use of tools we should be explicit about the values embedded in them. Techniques and tools are not neutral. We should not teach morality but should not shy away from discussing the "why" beyond the "how". We must no longer confuse technological advance with progress but constantly question the purpose of the firm and, most critically, ensure that we care for the common good since we all share this common home: the earth.

To be a force for good we must leverage the current intellectual rigour of business school faculties and address interdependent issues taken from a from a pluri-disciplinary perspective and a broad business context. At the same time we must maintain an unwavering orientation towards the future, even when using past or present examples.

So innovation in curriculum design in Chinese business schools could mean a new array of courses: in philosophy and history (to have a deeper understanding of the present); in listening (in order to better understand others); on trust building and maintenance (to facilitate communication and understanding); on the common good (to learn how to integrate it into business practices); on purposeful organisations (to explore the role of the firm in the society); on corporate governance (to grasp the extent and limit of stakeholder power); on the economy of sharing (learning the circular economy, learning

平等情况。

这种由数字化驱动，由无增长产业革命触发的文明变化（Cohen，2015年）将导致社会产生明显病态（在社会关系和就业方面），从而迫使科学家创造保护个人的社会网络。中国社会可能更善于管理来源于文明变化的社会不安，对数字化和自动化的负面看法也较少。因此，到2050年可在U盘上复制人类大脑这一想法也许无法让中国人害怕。但是，欧洲人却担忧其后代生活之世界的超人类主义。他们害怕如果今天将个别消费者视为终极参考，那么我们社会的根基，我们共同生活的能力会遭到威胁。

要保证未来更加美好，我们作为世界公民就必须改变自己看待世界的方式，不然我们可能会见证其灭亡。如果，正如咨询师Roland Berger宣布的那样，42%的专业人员可被数字化替代，那么我们将来生活的世界将大为不同。在一个有限的世界中，我们需要付出极大努力才能在消耗半数资源的同时，让我们的生活质量增倍。我们不能依靠“去增长”（D’ Alisa、Demaria和Kallis，2015年）和“去全球化”这样的痴心妄想来实现这一目标，而要依靠不同且文明的，基于一种将我们老龄化社会考虑在内的团结模式的增长。商学院只要有勇气承担转变其主导典范的风险，即可创造出这种模式。

改变世界的最简单和最必要，但也是最困难的方法就是改变自己。正如影响深远的科学家James Lovelock写道的一样：

> 自生命于三十亿年前起源以来，我们是第一个大量收获信息，并将其用于改造地球的物种...（Lovelock，2015年，第169页）。

乐观的是，他希望我们利用自己的能力去成为盖亚——自我调节的地球系统的智能部分，从而保障我们作为一个物种的延续。前路崎岖，他总结道：“将来的世界可能更为美好，但前路艰苦，途中必有牺牲。”

结论

总而言之，要成为一股为善之力，就要让道德领袖以强化我们“地球舰艇”的长期存续为目标。但在我们能够做到之前，我们必须接受和内化地球并不属于我们这一事实。实际上，我们不过是临时的租户，我们在对抗气候变化的过程中也是在战胜贫穷。这二者相互依存。

我们不能再混淆技术进步和进展，而要不断质疑公司的目的，同时最重要的是确保我们关心大众利益，因为我们有一个共同家园：地球。

随着中国的发展，其能节约的会越来越少。节约的越少，其能投资的越少，所以增长将会放缓。在西方，我们的子孙后代可能会以多种方式走向衰落，因而西方许多地区都产生了自我怀疑。

在中国，我们看到正在发生变化，这很可能会发展出一种原创的现代社会。在培养中国人的认同感、文化和价值观，以及在学习传统的实用智慧的过程中，中国也许可以在避免落入许多西方社会已经沦落的陷阱的同时，实施变革。其中包括不受西方理念的过度侵染，反而提倡一种节制、节约和团结的生活方式。关心大自然并通过教育，在心中培养出一种属于一个超出中国或欧盟的社区，属于我们“共同家园”——地球的归属感。如果能够成功做到这一点，那么中国的变革将得到有效的管理。

要确保我们所有人，以及我们的后代拥有更美好的未来，商学院应当成为一股为善之力。它们可以帮助培养我们需要的道德领袖和尽责领袖。方向十分明确，但必须进行的激进变革需要大量的战略勇气，前路漫漫而艰险。希望商学院的“必要变化”即将来临，而且不仅仅局限于中国。

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about frugality, sobriety and renewable energy); on social entrepreneurship and the impact of investment (to illustrate potential ways to be a force for good); on managing privacy (to explore the role and limits of web regulation and the challenges associated with big data management); on responsibility (towards one another, towards nature, towards oneself); on working with NGOs (learning to co-operate and synergize potential); on managing diversity (and 'virtuality' in relationships); on imagination (to enhance the capacity to define problems differently and come up with innovative solutions). Encouragingly, some of those courses are already in the curriculum of the most future-driven business schools in China and also in Europe such as: Exeter in UK, BSL in Switzerland…

In summary, if business schools are to become a force for good then they must be willing to challenge the implicit models behind most of what is taught in the West. We must no longer confuse technological advance with progress but constantly question the purpose of the firm and, most critically, ensure that we care for the common good since we all share this common home: the earth. Pope Francis noted that: "the environmental crisis is really a crisis of *laissez-faire* capitalism" (Francis, 2015). Such a comment, and the metamorphosis I see as necessary, are obviously very disturbing to those with a vested interest in the *status quo* including business schools. "Capitalism may maximize our choices", Pope Francis observed, "but it offers no guidance on how we should choose. Insatiable consumerism has blinkered our vision and left us unable to distinguish between what we need and what we merely want" (Vallely, 2015).

The change necessary for business schools to become a force for good will require, I believe, a *metamorphosis* on their part, starting with the will to carefully think through their message. However, this will only be possible once they have accepted the need to engage in a painful paradigm shift. This will be a very difficult process given the fact that business schools are the product of the dominant neo-liberal model. Corporations are often their main (or important) financial source and the employer of their graduates; they fund their research and provide sources of teaching materials.

With the potential for the *digitalization of everything*, with intelligent robots, nano-technologies, neuroscience, genetic engineering and transhumanism, we are entering a new era of civilization which will not add enough new jobs that Chinese society so badly needs but, through substitution, may lead to the disappearance of many middle rank jobs and hence increase inequality.

This digitalization-driven *civilization change* induced by an industrial revolution *without growth* (Cohen, 2015) will bring with it some visible social pathologies (in social relations and employment) that will force societies *to innovate* in order to create a social net to protect the individual. Chinese society may be better at managing the social insecurity stemming from the civilization change, and view digitalization and automation with less negative consequences. Thus the idea that by 2050 it may be possible to reproduce the human brain on a USB stick will not, perhaps, scare Chinese. Europeans, however, worry about transhumanism, about the world in which their grandchildren will live. They fear that if, today, the ultimate reference is seen as *the individual consumer,* then it will threaten the very foundation of our society, our capacity to live together.

To ensure a better future it is imperative that we citizens of the world change our way of looking at the world otherwise we may see it disappear. If, as the consultant Roland Berger declared, 42 per cent of the professions could be automated by digitalization, then we are going to be living in a very different world. In a finite world we have a long way to go before we can have twice as much quality of life while consuming half the resources. We will not achieve this through wishful thinking about 'degrowth' (D'Alisa, Demaria and Kallis, 2015) or about 'de-globalization', but through different and civilized growth based on a model of solidarity that takes into account our aging societies. Such a model could be generated by business schools with the courage to undertake the risky change of shifting their dominant paradigm.

In order to change the world the simplest, the most necessary but also the most difficult step is to change oneself. As the influential scientist James Lovelock wrote:

> We are the first species since life began over three billion years ago to harvest information massively and then use it to change the Earth… (Lovelock, 2015, p.169).

Optimistically, he hopes that we shall use our capacity to become the intelligent part of Gaia, the self-regulating earth system, to ensure that we survive as a species. The ride will be rough, he concluded, and "the future world may be a better place, but getting there from here will not be easy and we will not all make the journey."

Conclusion

To conclude, to be a force for good means having moral leaders aiming to enhance the long-term survival of our 'earth-ship'. But before we can do that we must accept and internalise the evidence that the earth does not belong to us. In reality we are just temporary tenants and in fighting climate change we are also fighting poverty. The two are inextricably linked.

As China becomes older it will save less. The less it saves, the less it can invest and so the slower will be the growth. In the West our children and grandchildren are likely to be worse off in many ways, hence the self-doubt in many parts of the West.

In China, the current change we see happening will hopefully develop a modern society that will also be original. In cultivating its Chinese identity, its culture and values, in learning from its traditional practical wisdom, China may be able to implement change while avoiding some of the pitfalls into which many Western societies have fallen. These include not being over polluted by Western ideas but by promoting a lifestyle that keeps alive sobriety, frugality and solidarity. Caring for nature and, through education, nurturing a sense of belonging to a community bigger than China or the EU, namely our planet, our 'common home'. If it succeeds in doing this, then China's transformation will have been effectively managed.

To ensure a better future for us all and for our grandchildren, business schools can be a force for good. They can help to develop moral leadership and grow the responsible leaders that we need. The direction is clear but the radical transformation necessary will require an enormous amount of *strategic courage*, and the road will be long and rocky. Let's hope that change, the 'metamorphosis imperative' for business schools is coming and not only in China.

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