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SOCIAL INNOVATION AND COMPARATIVE SPIRITUALITY

囊括道德领导力、社会创新和精神世界相  
互对照的在线期刊

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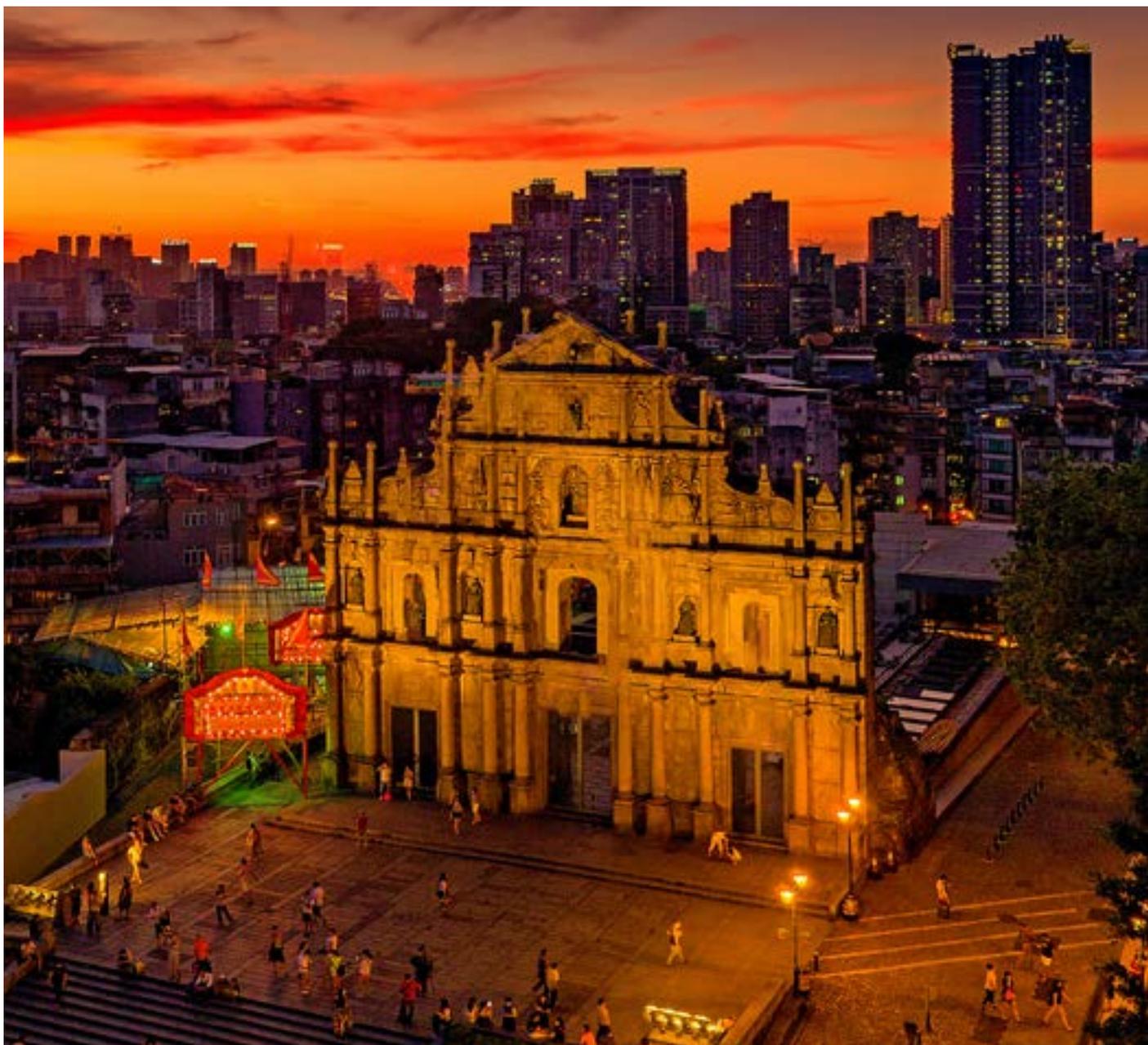
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Façade of Saint Paul's Church, Macau - photo by Mr. Chan Hin Io / 澳门大三巴-陳顯耀先生

THE MACAU RICCI INSTITUTE JOURNAL:  
CONNECTING SOCIAL INNOVATION, MORAL LEADERSHIP  
AND COMPARATIVE SPIRITUALITY

澳门利氏学社社刊：  
联结道德领导力、社会创新和精神世界的相互对照

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Stephan Rothlin 罗世范

The logo of the Macau Ricci Institute in Macau, as it is shared with its founding institution the Taipei Ricci Institute is a provocative one, a symbol with deep and multiple resonances in traditional Chinese culture. It shows a man standing on the back of a tiger, trying to ride the tiger, which is moving forward, apparently in the direction indicated by the rider. While we may be concerned about the folly of trying to ride a tiger, the website of the Ricci Institute has this to say about its meaning: “The image taken from a flat wine vessel in bronze dating from the time of the Han Dynasty, is of a Taoist Immortal riding a tiger. The Tiger, prince of the wild beasts of the mountain, is the animal in which resides the ‘Yin,’ the vital principle of Earth. The Tiger signifies the ‘Yin’ that calls forth the action of the ‘Yang.’” If the tiger symbolises “Yin” then the rider symbolises “Yang” (MRI, 2017). Riding the tiger, according to the MRI website, symbolises mastering the forces of the earth.

Matteo Ricci (1552-1610) left a deep mark in China as he shared Western knowledge with his Chinese counterparts through his outstanding mastery of oral and written Chinese. Even to this day, Li Madou, as he is known in China, is revered as one foreigner who really understood Chinese culture. His success in modelling the proper missionary spirit may best be understood by examining the classic that he wrote in 1595 in Chinese characters, *On Friendship*. Ricci’s aphorisms challenged Chinese readers to recognise a new depth of spiritual dimension in friendship couched in wisdom sayings derived from Stoic philosophy. His opening words convey an insight that may have been surprising to them: “My friend is not another, but half of myself, and thus a second me—I must therefore regard my friend as myself” (Ricci, 2009, 91).

Matteo Ricci’s legacy has inspired us to found *The Journal of the Macau Ricci Institute*, as we as Non-Chinese are challenged to enter into dialogue with Chinese and discover in them so to speak “our other self”. This process of mutual appreciation may equip us in a special way to work together to solve our common problems today. Friendship is indeed the main entry point

to all three broad areas of concern embraced by the Macau Ricci Institute. The MRI Journal will highlight research and reflection on these concerns, namely, Moral Leadership, Social Innovation and Comparative Spirituality. Ricci was regarded as a highly respected moral leader who deeply impressed everyone who had the chance to meet him, not just for his knowledge of different sciences such as mathematics, astronomy, geography, and cartography but also for his humanity and the sincerity of friendship expressed in his encounters with Chinese people, mastering their language and showing openness to those with whom he interacted.

Ricci’s life in China had its own painful periods of rejection and conflict. However, the complex of interactions between the different Chinese cultures and the “wise man from the West” opened a whole field of genuine social innovation. When attempting to explain his own cultural roots and faith, Ricci went out of his way to refer to symbols and meanings commonplace among Chinese cultures. In so doing Ricci himself was profoundly transformed in his whole being. Coming from a Catholic background in Italy he must have found the encounter with different wisdom traditions such as Confucianism, Buddhism, Daoism and Islam particularly challenging.

Even today, making comparisons among different spiritual perspectives requires much discernment. When we compare the wealth of wisdom from these traditions we are amazed just how profoundly they have evolved over the centuries. While they may have had a powerful constructive impact at various points in Chinese history, we also should recognise their considerable potential for promoting destructive attitudes and behaviours especially with regard to abuses of power. The commitment to comparative spirituality reminds us of the benefits of mutual respect and reciprocal learning, especially in present times when dialogue seems to pale in face of violence and inherited prejudices.

The complexity of the early encounters between China and the West will continue to inspire us to seek historic truth and present it in an unbiased manner. We are constantly reminded

# 澳

澳门利氏学社沿用了其母机构台北利氏学社颇能振奋人心的社徽，该社徽从多个角度深层次地反映了传统文化。社徽上，一个男人立于虎背，并试图驾驭它，看起来他们正朝着这名驭虎者所指示的方向前进。当我们或许只注意到驭虎者企图驾驭老虎的荒唐，利氏学社的网站却对社徽的图案另有解释：“在一件汉制的酒壶铜器上，浮雕着一幅仙人骑虎图；被誉为山君的老虎，牠的咆哮之声，响遍整个山谷森林；晓喻生活在此间的各类动物所宜恪守的仪典规条，也是阴顺从于阳的象征。”因此，如果老虎象征着“阴”，那么驭虎者则象征着“阳”（澳门利氏学社，2017）。如澳门利氏学社网站所说：“仙家驭虎，取譬于君临天下。”

域共同的主要切入点。该三大领域为“道德领导力”、“社会创新”和“精神世界的相互对照”，它们也是澳门利氏学社社刊将着重研究探讨的三个课题。利玛窦被奉为德高望重的精神领袖，给所有有幸与之结识的人都留下了深刻的印象。这不仅仅是因为他在各科学领域（如数学、天文学、地理学、制图学）都有着丰富的西方学识，更因为他的仁爱及其与中国朋友之间的真挚友谊。比如说，为了融入中国朋友的文化圈，利玛窦甚至熟练掌握了中文，同时也一直对与其来往之人保持着公开坦诚的态度。

利玛窦在中国的生活也有过被排斥和面对冲突的痛苦岁月。然而，多元的中国文化和这位“来自西方的智者”间繁复多样的互动却开启了整个名副其实的社会创新领域。

投身于对精神世界相互对照的研究不断提醒着我们相互尊重和相互学习的好处，特别是在这个充斥着暴力和与身俱来的偏见、语言显得尤为苍白的时代。

精通中文的利玛窦（1552-1610）以其出色的中文口头交流和书面表达能力为他的中国同行们带来了西方的知识和经验，在中国留下了不可磨灭的印记。直至今日，利玛窦仍被尊崇为“一个真正理解中国文化的外国人”。通过细读利玛窦撰于1595年的经典中文著作《交友论》，其在塑造中国当地化传教精神上的成功可见一斑。《交友论》引自斯多葛学派哲学思想的妙语箴言，以其格言似的珠玑字句为中国读者带来启示，引领他们感知友谊在信仰层面的新深度。《交友论》的开场白兴许就向中国读者们传达了一个出其不意的深刻见解：“吾友非他，即我之半，乃第二我也，故当视友如己焉。”（意为：我的朋友不是别人，而是我的另一半，也就是第二个我啊，所以我自是应该把朋友当作自己来对待）（Ricci, 2009, 91）

在利玛窦伟大精神遗赠的启发下，我们创立了澳门利氏学社社刊，并希望借此刊为平台帮助外国人克服与中国人对话交流的语言及文化障碍，把他们视为“我们的另一个自己”。这种相互尊重彼此赞赏的过程也许能让中外友人以一种特别的方式来协作努力，应对我们今天所共同面临的挑战。友谊，是澳门利氏学社所关注的三大领

为了让中国友人了解自己源于西方的文化根基和宗教信仰，利玛窦根据听众的生活背景，为天主教教义赋予了带有不同中国传统色彩的象征喻义和文化含义。这样的教义传播方式彻底改变了利玛窦。可想而知，在与不同的思想学派（比如儒家、佛教、道教和伊斯兰教）碰撞的过程中，来自意大利信奉着天主教的利玛窦必定是经历了种种极其艰巨的挑战。

即使是在今天，对比不同的精神信仰仍然需要极强的洞察力。对这些不同思想派的智慧财富进行对比才让我们不得不叹服于它们在过去几个世纪里所取得的深远发展。虽然这些智慧财富可能在中国历史上的各个阶段都有着相当的积极影响，但我们也应该认识到它们对助长消极态度和不负责行为的巨大潜力——这些负面的影响尤其体现在滥用权利上。投身于对精神世界相互对照的研究不断提醒着我们相互尊重和相互学习的好处，特别是在这个充斥着暴力和与身俱来的偏见、语言显得尤为苍白的时代。

中西方文化之间的早期碰撞所呈现出来的复杂性将继续激励我们探寻历史的真相，并将之不带偏见地展现出来。我们时刻提醒着自己不要妄下结论。因此，澳门利氏学社

not to jump to foregone conclusions. The MRI Journal is thus exploring how Ricci's paradigm of friendship can be understood and implemented here and now. The bottom line is that there is no true friendship without coming to grips continually with complex historic realities. The founding of the Taipei Ricci Institute coincided with the beginning of the Cultural Revolution in 1966. Born in the shadow of such a critical event, the Ricci Institutes will be always address the challenge of exploring the different dimensions of the meaning of "culture".

the evolving concept reflects the paradigm shift in economic models and responds to opportunities opened up, as well as foreclosed, by it. Thompson's analysis will no doubt shape the approach to social innovation that the MRI Journal will pursue in future issues. A concrete example of social innovation is explored in Dennis McCann's interview with Ana Correia discussing her research on "Women's Leadership in Macau Education." Correia's concern remains concrete and practical, focusing on the prospects for making Macau's educational institutions more

The commitment to comparative spirituality reminds us of the benefits of mutual respect and reciprocal learning, especially in present times when dialogue seems to pale in face of violence and inherited prejudices.

As it develops, the MRI Journal hopes to publish significant articles exploring the paradigm shift from conventional models that offer only a one sided view on economic development ultimately benefitting very few towards sustainable models which benefit society as a whole and foster a greater sense of the common good. In this issue we start this series with a case study, Gerhold Becker's "Paying the Price: Lessons from the Volkswagen Emissions Scandal for Moral Leadership." His reflections not only reveal how a corporate culture apparently full of rhetoric about sustainability and corporate social responsibility may become pervasively corrupt, but also explores how a company can turn itself around following such a crisis. Henri-Claude de Bettignies' essay on "The Failing Economic Model and the Opportunity for Responsible Leadership to Shape Change in China for a Better Future" carries the analysis forward into the situation facing China where the paradigm shift may mark a particularly important opportunity to exercise moral leadership.

Social innovation is another important dimension in the MRI Journal's agenda. In this issue, Mike Thompson's article, "What is Social in Social Innovation?" offers a conceptual clarification of social innovation, showing how

inclusive in welcoming students with learning disabilities, whose needs currently are little understood and rarely well served. Her studies suggest that if women leadership were better represented in top levels of school administration, Macau's educational policies might change for the better. Helen Xu's contribution provides another example of social innovation, from Beijing. "Educational Social Innovation – Responsible Leadership MOOC in China," explores the challenge of lack of access to quality education in a country undergoing rapid economic and social development. Advances in digital technology, including the global expansion of the internet, have enabled the development of innovative educational delivery systems, such as MOOCs—Massive Open Online Courses—that can provide quality instruction to students and adult learners otherwise barred from universities in China. Xu reports on how our sister institution, Rothlin Ltd, a management consultancy firm promoting corporate social responsibility in China, has produced and distributed a MOOC on "Responsible Entrepreneurship" that makes a concern for good business ethics central to the strategies ensuring entrepreneurial success in China.

The MRI Journal's third dimension,

社刊正在探索当下的我们应该怎样理解和培养利玛窦式的模范友谊。我们认为，只有不断地求证错综复杂的历史的真实性，才能理解什么是真正的友情。台北利氏学社成立于1966年，恰逢中国文化大革命之初。利氏学社在这样一个关键事件的阴影下诞生，注定了其将永不停歇地应对在探寻“文化”不同层面的意义时所面临的挑战。

随着时代的发展，澳门利氏学社社刊希望传播与转变发展模式相关的优秀文章。传统的发展模式仅单方面强调对少数人有益的经济的发展，而新兴的可持续发展模式却将整个社会作为受益群体，从根本上培养共同利益的大众意识。针对这一话题，我们以一个案例分析作为本刊的开篇，即Gerhold Becker的文章《付出代价：大众汽车排放丑闻所揭示的道德领导力教训》。Gerhold Becker不仅揭示了一个仅在表面肤浅地弘扬着可持续发展和企业社会责任言论的企业文化是如何让腐败有机可乘的，同时也探讨了企业应该如何经受这样一个危机之后再度翻身。通过分析中国当前所面临的形势，Henri-Claude de Bettignies的文章《失败的经济发展模式——负责任领导力为中国更美好的未来创造变革的机会终于到来》认为发展模式的转变可能是实践道德领导力的一个尤其重要的机会。

社会创新是澳门利氏学社社刊所要探讨的另一个重要方面。在本期社刊中，Mike Thompson的文章《社会创新中的‘社会’是什么？》对社会创新的概念进行了说明，并指出该概念的演化是怎样反映了经济模型的选择在实际运用中的转变，以及该概念是怎样在变化的形势中不断得以发展。Thompson的分析无疑将指出社会创新的手段和方法，这也是澳门利氏学社社刊希望在以后的期刊中进一步探讨的内容。此外，Dennis McCann针对Ana Correia的研究“澳门教育中的女性领导力”对其进行的访谈为我们提供了一个具体的社会创新实例。Correia的研究有着十分具体且现实的出发点，即如何使澳门的教育机构以更加包容的心态来接受患有学习障碍的学生。目前，教育机构对这些学生的需要知之甚少，而这些学生也几乎没有得到合理的对待。她的研究表明，如果女性能在学校的领导高层发挥更大的作用，那么澳门的教育政策可能会变得更好。同时，Helen Xu为我们提供了一个北京的社会创新案

例——《教育的社会创新——中国的负责任领导力慕课》。这篇文章探索了一个处于经济社会快速发展阶段的国家所面临的缺乏高质量教育的挑战。数字技术的进步（包括互联网的全球扩张）让创新型教育传播系统得到了长足发展。比如慕课（MOOCs, Massive Open Online Courses）就能为普通学生和在中国无法进入大学再次继续深造的成人学习者提供高质量的教学指导。Xu介绍了我们的姊妹机构罗世力管理咨询有限公司（一家致力于促进中国企业社会责任发展的管理咨询公司）是如何制作并发布有关“负责任企业家”的慕课。该慕课认为以良好的商业道德作为企业发展的战略核心是确保企业在中国取得成功的关键。

精神世界的相互对照是澳门利氏学社社刊所关注的第三个领域，在本期社刊中，Roderick O'Brien和Christian Wagner以及Su Chi Li分别从不同的角度探讨了该话题。O'Brien的《实践圣方济各·沙雷氏的道德领导力》分析了圣方济各于十六世纪提出的“交换立场”的精神教条。O'Brien认为，从商业道德领导力的角度来说，“交换立场”是一种能真正实现互利互惠的手段。在众多天主教反宗教改革运动的精神作家之中享有极高声誉的圣方济各，在O'Brien的笔下被塑造成了一名活跃于商界和各种专业领域的领袖导师。圣方济各的“交换立场”法则与许多中国的思想学派所拥护的待人之道相通互容。Christian Wagner和Su Chi Lin的《澳门大三巴牌坊所反映的基督教、儒学和佛教的精神内涵》传达了澳门利氏学社对不同精神文化特有的包容，表现了我们对中国所有在中国的日常生活中可见可考的思想学派的热切渴望。无论从哪个角度来说，澳门颇负盛名的圣保罗教堂遗址（译者注：即俗称“大三巴牌坊”）都反映了不同文化、宗教和思想学派间复杂的交互作用，特别是基督教和儒学及佛教元素间的和谐互动尤为突出。同时，建于与不同大陆间贸易发展紧密关联的文艺复兴时期，大三巴牌坊也和当时的人文主义运动有着强烈的呼应。比如说，供奉着十六世纪的四名耶稣圣徒（即Francis Borja、Ignatius Loyola、Francis Xavier和Aloysius Gonzaga）青铜像就是大三巴牌坊的一大特征。作为天主教传教士，这四名圣徒被誉为超越了宗教派别的卓越领袖和道德模范。如果没有贸易和社会创新的

Comparative Spirituality, is well represented in this issue with articles by Roderick O'Brien and Christian Wagner and Su Chi Li. O'Brien's "Moral Leadership using the Method of Francis de Sales" construes Francis' 16th century spiritual discipline of "exchanging places" as a means of achieving a genuine sense of reciprocity in the context of today's discussions of moral leadership in business. Francis, highly regarded among spiritual writers of the Catholic Counter-Reformation, is in O'Brien's reconstruction, pictured as actively involved in mentoring leaders in business and the professions. His method of exchanging places resonates very deeply with the Way (Dao) of virtue espoused in various Chinese wisdom traditions. Christian Wagner and Su Chi Lin offer "The Façade of St. Paul's in Macau reflects Christian, Confucian and Buddhist Spirituality" which helps to convey the MRI's distinctive approach to spirituality, demonstrating an inclusiveness that is eager to learn from all wisdom traditions evident in our common life in China. From various perspectives the famous Façade of the Saint Paul's ruins in Macau reflects the complex interplay between different cultures, religions and wisdom traditions where especially the harmonious interaction between Christianity with Confucian and Buddhist elements are highlighted. It also strongly resonates the humanist movement in Europe in the period of the Renaissance which is closely related to advancement of trade between the different continents. The Façade features four bronze statues of prominent Jesuits of the sixteenth century: Francis Borja, Ignatius Loyola, Francis Xavier and Aloysius Gonzaga, Catholic missionaries who were credited to be exceptional leaders and examples of moral leadership going well beyond the boundaries of their religious affiliation. Without the advances of trade and social innovation it would have been impossible for those gentlemen to reach out to overseas cultures. In fact, an often overlooked aspect of their itinerary is that they were by no means just confined to their distinctive European cultures and faith, but were constantly challenged to deal with other wisdom traditions and to share their know-how of hard sciences.

The glimpse of the rich symbols of St. Paul's Façade, as offered to us by Wagner and Su, may reveal a deeper insight into a contemplative dimension that united these moral leaders: they were all well-grounded in a tradition of contemplative prayer that allowed them to connect to their own cultural and spiritual roots and at the same time achieve an openness of mind and spirit that would allow them not only to share their knowledge and conviction but also to allow themselves to be profoundly transformed by the encounter with new cultures and ways of thinking. They witnessed social transformation and contributed to it.

The MRI Journal will try to highlight how different wisdom traditions not only enrich each other but also shape the values of leadership oriented to the common good in an ever-changing world.

The founder of the Ricci Institute in Taipei, Fr. Yves Raguin S.J. (1912-1998), envisioned contemplation as an "apophatic" or "kenotic"<sup>1</sup> way of meditation which goes beyond words and as providing a privileged place for interreligious dialogue, thus advancing it beyond Ricci who had serious reservations concerning Buddhism. Like Buddhist meditation, Christian practices of contemplation also emphasise the importance of letting go, becoming truly relaxed and going beyond words. Under Fr. Raguin's leadership the Ricci Institutes took up the path that Ricci had opened, by cultivating dialogue and friendship with Chinese people of other faiths, creating an

1 "Mandala are drawn on cloth, as murals on temple walls, made into 3 dimensional gilded bronze, with statues representing the sacred figures, and in sand. Whether in sand or in mental image, the mandala is always "destroyed" or emptied out of mind and body, as a third, "apophtaic" or "kenotic" step before realizing "union." Thus, in the Tantric Buddhist, ritual Daoist, and Ignatian contemplative systems, the process of realizing "mystic" union must be done in 4 stages, ie, purification, "illumination" by means of sacred image, the emptying out of all images (kenosis), and then absolute union without image. The Daoist classic Zhuangzi calls this step "heart fasting, sitting in forgetfulness." Only after all images, even the most sacred, and all desires, even for "perfection" or "illumination" are emptied, can absolute presence be realized." (Saso, 2012)

进步，这些绅士就不可能接触到海外文化。事实上，纵观四圣徒的旅行经历，人们往往忽略了一点：面对自身自成一系的欧洲文化和信仰，他们绝不曾画地为牢，而是不断地接受着其他思想学派的挑战，寻求共生共存之道，同时向大众分享他们的科学知识和技术经验。

## 澳门利氏学社社刊将尝试突出在这个不断变化的世界中，不同的思想学派是怎样彼此丰富，以及它们是如何塑造具有共同利益导向的领导价值观。

尽管只是对大三巴牌坊丰富意象的匆匆一瞥，Wagner和Su却为我们掀起了默观向度的一角，让我们进一步认识这些道德领袖：他们都立足于默观祈祷的传统，这让他们与自己的文化和精神根基相连，同时，他们又保持着思想和精神的开放，这不仅促使他们无私地向大众分享自己的知识和信念，而且还让他们拥抱新的文化和思考方式，并在这些不同文化的碰撞中潜移默化地改变自己。他们见证并促进了社会的变革。

台北利氏学社的创始人甘易逢（Fr. Yves Raguin S. J., 1912-1998）将默观设想为一种超越了语言的“否定”或“虚己”<sup>1</sup>冥想，他认为默观为宗教对话提供了特别的场所，因此，相较于对佛教持严肃保留意见的利玛窦，甘易逢更为推崇默观灵修。就像佛教冥想一样，天主教的默观灵修也强调超脱物质的欲念、真正的放松身心和超越语言束缚的重要性。在甘易逢的领导下，利氏学社踏上了先人利玛窦开辟的道路。通过与有着别样信仰的中国友人建立对话、培养友谊，学社为基督教与佛教、道教和伊斯兰教创造了一处邂逅之地。顺便说一句，甘易逢正是

1 就像庙宇里的壁画一样，布上的曼荼罗由金铜色的细沙制成立体的式样，沙盘里还有代表着圣人的立体神像。无论是沙画，还是心里的意象，曼荼罗终将被“毁灭”或从身体及心灵里彻底清除，就像在实现“合一”前默观的第三步“否定”或“虚己”。因此，在密宗佛教、仪式道教和依纳爵默观体系中，要实现“神秘”合一则必然要完成四个步骤，即净化、通过圣像得到“启示”、清空心中所有的意向（虚己）、心无杂念的绝对合一。道教圣人庄子把最后这一步叫作“心斋、坐忘”。只有当所有的意象，哪怕是最神圣的意象，和所有的欲望，即使是对“完美”或“启示”的渴望，都被清空，绝对的存在才能得以实现。”（SASO, 2012）

那个提议将象征使命艰巨的道教驭虎图作为利氏学社社徽的人。

即使就像天主教第266任教宗方济各（Pope Francis）一直强调的一样，开展宗教对话的方法一直在改进，但无论哪一种方法都极为注重可操作性和对公共利益的趋向性。澳门利氏学社社刊的目标是，通过探索各式中国道德伦理的可持续性和有效性来加强道德教育。这是一种与所有亲善之人之间的承诺，哪怕他们信奉着不同的中国宗教和思想传统。因此，除了像其他利氏学社一样对精神世界的相互对照进行集中讨论，澳门利氏学社还将覆盖一些推行应用伦理、企业责任和环境管理的话题。

澳门利氏学社社刊将尝试突出在这个不断变化的世界中，不同的思想学派是怎样彼此丰富，以及它们是如何塑造具有共同利益导向的领导价值观。然而，优秀的领导者从来不是简单地从天而降，他们的成功依赖于使社会创新成为可能的框架制度。“诚信”是一个包括儒家在内的所有不同思想学派的重要组成元素。优秀的领导者必定是诚实守信的。澳门利氏学社社刊将尽可能地追求“诚信”，以帮助提升与中国友人对话过程中的道德、精神和身体的健康。

让我们再次回到那张驭虎图。我们明白，无论这样一场冒险的旅程会将我们带往何处，我们都需要不断建立一种持续的平衡感，为了创造和谐的关系，让所有信奉道德伦理的人们受益。大三巴牌坊就是一个有力的警钟，它告诉我们，即使是最辉煌、最具有艺术气息的智慧结晶有时候也可能坍塌成一片废墟，其所蕴含的丰富寓意也将变得斑驳不清。

无论在我们起步时老虎对我们来说意味着什么，只要我们学着去安全甚至优雅地驾驭它，它就能成为我们的朋友。到那时，我们和老虎之间再没有所谓的主仆关系。借着这一新社刊的发行，我希望这份社刊可以为利玛窦及其同伴所开启的这场极其艰辛的中国友谊之旅作出微薄但却有深刻意义的贡献。

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。

encounter of the Christian faith with Buddhism, Daoism, and Islam. Incidentally, it was Fr. Raguin who proposed the adoption of the Daoist symbol of the man riding a tiger which appears as an icon for a challenging mission.

The approach to interreligious dialogue, renewed as it is in the efforts of Pope Francis who never ceases to emphasise it, remains emphatically practical and oriented to the benefit of the common good. The aim of the MRI Journal is also to strengthen moral education by exploring the sustainability and effectiveness of various Chinese approaches to ethics. Strengthening moral education is a commitment shared with people of goodwill following all the religious and spiritual traditions of China. Thus, in addition to its inherited focus on comparative spirituality, the Macau Ricci Institute programs will include a number of topics promoting applied ethics, entrepreneurial responsibility and environmental stewardship.

The MRI Journal will try to highlight how different wisdom traditions not only enrich each other but also shape the values of leadership oriented to the common good in an ever-changing world. However, good leaders do not simply fall from heaven; they depend on institutional

frameworks that make social innovation possible. “Truthfulness” describes a key ingredient of different wisdom traditions including Confucianism. The good leader is recognised as truthful and trustworthy. The MRI Journal will pursue truthfulness in order, wherever possible, to help improve the moral, spiritual, and physical health in dialogue with the Chinese.

Going back to the image of riding a tiger we understand that wherever such a risky ride may take us, we need to recreate an ongoing sense of balance, for the sake of harmonious relationships to the benefit of all who walk the path with us. The Façade of St. Paul is a powerful reminder that even the most brilliant and artistic approaches to wisdom may collapse into ruins at some point and their rich messages become unrecognisable. Whatever the tiger may have meant to us when we started, our learning to ride it safely and even gracefully will enable us to befriend it, to the point where no one will tell anymore who is master and who is servant. With the launching of this new Journal, I hope that it may make a modest but significant contribution to the demanding journey of friendship with China that Matteo Ricci has opened with his companions.

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# PAYING THE PRICE: LESSONS FROM THE VOLKSWAGEN EMISSIONS SCANDAL FOR MORAL LEADERSHIP

## 付出代价； 大众汽车排放丑闻所揭示的道德领导力教训

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Gerhold K. Becker 百里浩

### ABSTRACT

All signs indicate that the VW emission scandal currently unfolding represents a colossal failure in moral leadership at managerial levels reaching all the way to the top. As more and more data become available the analysis suggests that senior managers not only ignored their own company codes but also broke fundamental moral and legal standards that they saw as hindrances on the way to quick profit. In the end they incurred billions of dollars in fines, are personally embroiled in lawsuits and claims for compensation, ruined the company's reputation, caused a sharp decline in car sales that resulted in workers' lay-offs, and risked the company's very existence.

Thus the VW emission scandal seems to have all the ingredients for becoming a test case in moral leadership studies. By starting off with its ethical analysis, major dimensions of moral leadership will reveal themselves even if only *ex negativo*. In the main part of the paper I will be claiming that genuine leadership in business cannot merely be derived from organizational authority and legal stipulations but is only sound when it is grounded in moral commitments and values rooted in universal moral and spiritual traditions. Its moral legitimacy extends beyond self-interest, and its commitment to ethics must not have merely instrumental, but intrinsic value. It is its moral dimension that gives leadership

### 摘要

所有迹象均表明，初露端倪的大众排放丑闻代表了一种管理层道德领导力的巨大缺失，且一直延伸至公司高层。随着越来越多数据的公布，分析认为（大众的）高级管理者不仅忽视了自己公司的行为规范，而且也破坏了基本的道德与法律准则，这些准则被他们视为追求既得利益之路的障碍。最终，他们招致了数十亿美元的罚金，自己被卷入法律诉讼与赔偿索求，毁掉了公司的声誉，导致汽车销量急剧下滑并由此引发裁员，使公司陷入危机四伏的境地。

因此，大众排放丑闻看起来似乎具备了成为道德领导力研究判例的一切因素。从伦理分析入手，即便仅仅是否定的，道德领导力的主要维度也会自然显现。在本文主体内容中，我会提出商界的真正领导力不仅是从组织权限与法律规定中衍生出来的，只有建立在植根于普遍道德与精神传统中的道德承诺与价值之上，领导力才是健全的。它的道德合法性超越了自身利益，其伦理承诺不能仅具有工具价值，还要具有内在价值。正是它的道德维度赋予了领导力真实性和公司的真正价值。

authenticity and companies true value.

#### THE CAUSE OF THE VOLKSWAGEN EMISSIONS SCANDAL

On September 25, 2015, Volkswagen's CEO Martin Winterkorn suddenly resigned and was replaced by Matthias Müller. Müller wrote in a letter "To Our Shareholders" that prefaced the Company's *Annual Report 2015*: "On behalf of the Volkswagen Group I would like to apologise to you, our shareholders, that the trust you placed in Volkswagen has been broken." And Volkswagen America boss Michael Horn put it bluntly: "We've totally screwed up" (Ruddick, 2015).

What caused this turn of events? It was the diesel emissions scandal that shocked even hardened cynics, when Volkswagen finally had to admit in September 2015 that it had cheated on its promise to produce environmentally friendly diesel engines that would meet the strict US emissions standards. There had long been suspicions about apparent discrepancies between emissions test results and actual emissions for which no good explanations could be provided. Yet Volkswagen denied any wrong-doing and referred to unspecified technical problems as the cause. Volkswagen management seems to have believed for a long time that when caught they would get away with some fine that would quickly bury the issue without much publicity. But they were wrong.

According to press reports American regulators first began asking Volkswagen questions about suspicious emissions data in mid-2014. The answers Volkswagen provided did not satisfy the authorities and on September 18, 2015 the US Environmental Protection Agency (EPA) issued a *Notice of Violation* of the Clean Air Act to Volkswagen, citing problems with its 2.0 litre diesel cars. A second *Notice of Violation* was later issued for its 3.0 litre diesel cars. For the EPA the cause for the huge discrepancies reported between their test results and those certified by Volkswagen is a "defeat device" that the Clean Air Act defines as a "device that bypasses, defeats, or renders inoperative a required element of the

vehicle's emissions control system."

Seeing itself cornered, Volkswagen finally conceded that there was indeed an "emissions issue" that involved "process deficiencies on the technical side in addition to misconduct on the part of individuals" (Volkswagen, 2015, p.51). But what the EPA had discovered was that a device had been installed in each car to defeat emissions control systems. The device was designed to detect whether the vehicle was undergoing an emissions test situation. Full emissions controls were turned on only during the test but reduced during normal operation. This enabled cars that were fitted with the device to meet emissions standards in the laboratory or testing station but during normal operation emit nitrogen oxides at levels high above the permitted EPA standard. In other words, the problem is not only that emissions standards were bypassed but also that Volkswagen developed its device with deceptive intent. The number of manipulated cars was staggering. EPA's findings cover 482,000 cars in the US, but Volkswagen admitted that worldwide about 11 million cars, including eight million in Europe had been sold with the cheating software.

The widespread conclusion is that the emissions scandal was the result of a colossal failure in leadership at the highest levels of Volkswagen management.

In response to the public outcry, the prospect of exorbitant fines, and criminal investigations, the company adopted a strategy that seems hardly in line with provisions in its own *Code of Conduct*. Instead of providing "reports, records, and statements [that] are accurate, timely, comprehensible, comprehensive, and true", the Company tried to conceal relevant facts about its cars from consumers and governments and withheld information from investors in contravention of securities laws. The purpose of all this seems obvious; Volkswagen was seeking to

## 大众汽车排放丑闻的起因

2015年9月25日，大众汽车的首席执行官马丁·文德恩突然辞职，职务由马蒂亚斯·穆勒接替。穆勒在大众公司2015年年报的序言中写了一封“致股东信”：“各位股东，您对大众的信任已然破裂，我谨代表大众集团向您致歉。”而大众美国分公司的老板麦克·霍恩的表态更为直白：“我们彻底搞砸了。”（拉迪克，2015）

是什么导致了事件的反转呢？一切源于一桩柴油排放的丑闻：大众汽车曾承诺生产严格符合美国排放标准的环保柴油发动机，但当2015年9月它不得不承认存在欺骗行为时，就连最强硬的愤世嫉俗者都感到了震惊。长久以来，一直存在着对于大众排放检测结果与实际排放之间差异的质疑，然而大众对此始终没有合理的解释。大众否认有任何不当行为，把不明技术问题归咎为原因。大众的管理层似乎一直相信，如果事情败露，他们只要交一笔罚款就能息事宁人。但是，他们错了。

据媒体报道，美国监管者于2014年年中首度开始就可疑排放数据质问大众公司，但大众方面提供的答案无法令当局满意。于是，美国环境保护署（EPA）在2015年9月18日对大众公司下达了《清洁空气法》违令通知，指出大众2.0升柴油汽车的问题。随后，EPA又针对大众3.0升柴油汽车下达了第二份违令通知。EPA认为，检测结果与大众公司认证结果之间存在的巨大差异，是源于一款“失效控制器”。《清洁空气法》将其定义为一款“绕过、抑制或使汽车排放控制系统必要部件失效的装置。”

眼见自己被逼入绝境，大众最终承认存在“排放门”，“除涉及人员部分的不当行为外，也存在着技术层面的程序缺陷”（大众2015年年报，第51页）。然而，EPA却发现每辆车上都安装了一个用来抑制排放控制系统的装置。这个装置的作用，是识别车辆是否正处于排放检测环境中。排放控制只有在检测过程中才会全面启动，在正常运行时则会降低。这使安装了此装置的车辆能够在实验室或检测站达到排放标准，却在正常运行时排放高于EPA许可标准的氮氧化物。换言之，问题并不单单是绕过了排放标准，而是大众出于欺诈目的研发了这种装置。被操控车辆的数量不太确定。EPA在美国发现了48万

2千辆，但大众承认在世界范围内有1100万辆售出的车辆都安装了这种作弊软件，其中包括欧洲的800万辆。

在回应公众抗议、以及面临的巨额罚款与刑事调查时，大众公司所采取的策略看上去与它自己的《行为准则》背道而驰。它并没有提供“准确、及时、全面和真实的报告、记录与陈述”，而是试图向消费者与政府隐瞒车辆的相关事实，并且违反证券法，对投资方保留信息。所有这些做法的目的显而易见：大众是想降低丑闻造成的经济损失，尽可能尽量久地保护其管理层免遭官司。在2015年年报中，大众公司对一小部分中级经理与“无赖工程师”进行了谴责。但当面对美国底特律检方，“一名大众资深工程师做出参与柴油发动机排放测试作弊的有罪答辩”后，这种论调遭到了重创。（基雷，2016）

此次排放丑闻，被普遍认定是大众最高管理层巨大的领导力失误所导致。

随着更多细节的曝光，事情变得清晰起来，其实大众的高管部门是有选择的。像宝马和奔驰这些大众在美国市场销售柴油车的竞争对手，都已研发了柴油尾气清洁技术。然而这种技术成本昂贵，显然比设计一个失效装置要贵得多。大众决定要节省约48亿美元的清洁技术授权费用，却大大低估了他们最终要花在罚金、法律费用、车辆召回与赔偿方面的费用。更重要的是，它失去了信任、名誉与消费者的信心。大众在其2015年年报中暂时预估了184亿美元的清算与法律费用，包括80亿美元的“法律风险”和另外12亿美元的或有负债。不过，这些都是保守的预估。一些分析家认为，一旦其它主要市场的解决方案确定，最终的费用将接近300亿美元。

2016年7月19日，针对大众为排放瞒骗行为所做的辩解，三位分别来自纽约州、马萨诸塞州与马里兰州的大律师发起挑战，称其为长达10年以上的精心策划的骗局，涉及数十位工程师与经理人，并且深入了公司的董事会（埃文与塔布奇，2016年7月）。一

minimise the financial fall-out from the scandal and to protect management from litigation as much and as long as possible. In its *Annual Report 2015*, Volkswagen blamed a small group of middle managers and “rogue engineers”. This line of argument, however, received a severe blow when U.S. prosecutors in Detroit “won a guilty plea from a long-time Volkswagen engineer for his participation in Volkswagen’s efforts to cheat emissions tests of its diesel engines” (Kiley, 2016).

As more details come to light, it seems clear that Volkswagen’s top management had a choice. BMW and Mercedes, Volkswagen’s competitors in selling diesel cars into the US

deep into the company’s boardroom (Ewing & Tabuchijuly, 2016). Should their case be proven, the scandal over the diesel emissions reaches to the top of Volkswagen’s current leadership. The fraud would have been the result of strategic decision-making that put short-term profit before integrity and compliance with legal and moral norms. The implications would be that Volkswagen violated the major norms of good company practice: legality, honesty, the prohibition to cause harm, and the rules of fairness. By cheating on the emissions standards with criminal intent the people in charge knew that they would violate laws and act with dishonesty. By accepting higher

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market, had developed a technology for cleansing diesel fumes. Yet the technology was costly and apparently more expensive than designing a defeat device. By deciding to save the estimated \$4.8 billion that licensing this technology would have cost them, Volkswagen grossly miscalculated the amount they would finally have to pay in penalties, legal costs, recalls, compensations, and above all in the loss of trust, reputation, and consumer confidence. The provisional price tag Volkswagen anticipated in its *2015 Annual Report* totalled \$18.4 billion for the clean-up and legal costs, including \$8 billion for “legal risks” and a further \$1.2 billion for contingent liabilities. Yet even these estimates now seem rather low. Some analysts expect the final cost will be close to \$30 billion, once settlements have been agreed in other major markets.

On July 19, 2016, three attorneys general from New York, Massachusetts, and Maryland directly challenged Volkswagen’s defence over its emissions deception, calling it an orchestrated fraud that lasted more than a decade, involved dozens of engineers and managers and reached

than declared toxic emissions that would result in higher pollution levels of more than 11 million cars they were aware that they would cause considerable health risks to people and damage the environment. In the end this could increase pressure by the general public on politicians and legislators to impose more controls and regulations on business that would narrow its operational space and stifle its activities. In this regard the Volkswagen strategy would have been self-defeating as car companies have all along championed for lower emissions standards.

#### A FAILURE IN LEADERSHIP

The widespread conclusion is that the emissions scandal was the result of a colossal failure in leadership at the highest levels of Volkswagen management. The problems are, of course, not those of Volkswagen alone. Other large companies the world over—notably Enron, Siemens, and the Wall Street financial institutions involved in the mortgage market collapse of 2008—have been plagued by similar failures

且该案被证实，那么大众的最高领导层就被卷入了这起柴油排放丑闻。这个骗局有可能是战略决策的后果，该决策将短期利益置于诚实与合规的法律与道德规范之上。这意味着，大众公司违反了优秀公司行为的主要规则：合法、诚信、严禁致害、以及公平原则。相关负责人以罪恶的目的在排放标准上作弊，而他们其实明白自己的不诚实会触

1979)。无论是强调哪点，领导力理论都很少关注伦理，即便有关注，也较少是出于内在价值。长久以来，伦理被视为一种有用的营销要素和一种常用的销售策略，而并非企业与社会所追求的美好生活的根基。对企业与商业领袖伦理的重要性缺乏重视，为大众这样的公司带来了灾难性且代价沉重的体验。

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犯法律与法令。他们默许高于对外宣称数据的有毒气体排放，这会造成1100万辆汽车更高的污染排放，他们也知道这会对人们的健康造成相当大的风险，并且会破坏环境。最终，这会令公众对政客与立法机构不断施压，要求对企业实施更多的控制与规范。他们的运营空间将会遭受挤压，活动也将受到制约。在这方面，大众的战略实际上是弄巧成拙，因为汽车公司一直以来都拥护更低的排放标准。

### 领导力的失败

此次排放丑闻，被普遍认定是大众最高管理层巨大的领导力失误所导致。当然，并非只有大众存在这些问题。其它世界上的大公司，像安然、西门子、以及卷入2008年金融危机的华尔街金融机构，都曾为失败的领导力所害。它们显然忽视了自身与伦理的内在关联。

传统的领导力研究与管理教育，由于太过狭隘地关注“让人做事”的机制而受到批评（丘拉，1998）。所有这类领导力理论的核心都是效率的问题：什么是使公司取得最佳业绩的最成功的方法？于是，领导力理论的范畴既包含通过奖惩措施来强化对下属的严格管控，也包含激励下属追求共同目标、或允许他们有限地去发挥自己的想法。

领导力（根据詹姆斯·麦格雷戈·伯恩斯定义）或者是只关注结果的交易型，或者是全面影响追随者的转化型（伯恩斯，

事后来看很明显，个人与机构层面的严重缺陷导致了企业文化与价值的崩塌，公司也为此付出了惨痛代价。经理们与企业领袖们自以为生活在无需伦理的世界，靠嘴皮子就能搞定道德价值，而他们所要关心的就是怎样避免被警察抓住。他们貌似忘记了，商业并不是完全由盈亏的经济指标或者法律标准与规范所决定的。经济系统与系统内的主要成员就像所有人一样，依靠共同的精神、道德价值与规范，而这些也正是人类兴旺与社会生活的基础。

尤其是商业领袖们，并不单单承担着经济系统的角色与功能，更是社会人与公民，因此他们的福祉依赖于共享的价值与规范。作为社会人，我们只有相互认同他人的利益与需求，才能扩展自身的利益。有效合作的规则不仅是出于理性的行为、自身的利益与经济的谨慎，更源于对“善”的共同关注。从这个意义上来看，优秀企业从不缺乏道德背景制度与内化的规范标准 - 没有这些它们根本无法有效运营。无论是商人、领袖与下属、雇主与雇员还是首席执行官与职工，就像我们所有人一样，要依赖信任、诚实和公平的规范。通常来说，我们会想当然地认为我们可以彼此信任，认为别人说的是真话，认为他们会信守承诺，而且没有人会完全不具备同理心、同情心和正义感。因此，一个不算道德的经济体系若想行得通，就需要依附植根于社会的道德规范，这些规范每个人通常都应该去遵守。

如果确实如此，那么即使在企业运营

in leadership, apparently ignoring its intrinsic relationship to ethics.

Conventional leadership studies and management education have been criticised for too narrowly focusing on the mechanism that “gets people to do something” (Ciulla, 1998). Central to all such leadership theories is the question of efficiency: what is the most successful method to achieve the best results for the company? Thus leadership theories range from emphasising strict *controls* over subordinates through rewards and punishments, to *inspiring* them for common goals or *empowering* them to pursue, within certain limits, their own ideas. Leadership was (in James MacGregor Burns’ terminology) either

forgotten that business is not exclusively defined by the economic parameters of profit and loss or by legal standards and regulations. Economic systems and those who become key players in them depend, like everyone else, on the common ethos and the moral values and norms on which human flourishing and social life are built.

Business leaders in particular are not merely role-bearers and functionaries of economic systems but also social beings and citizens whose wellbeing depends on shared values and norms. As social beings, we can only expect to further our self-interest when we reciprocally recognise the interests and needs of others. The rules of effective cooperation are not only the result of rational

Good business never lacks moral background institutions and internalised normative standards; it simply cannot operate effectively without them. Business people, leaders and subordinates, employers and employees, CEOs and workers, depend like all of us on norms of trust, honesty, and fairness.

*transactional* by exclusively focusing on results or *transformational* by engaging “the full person of the follower” (Burns, 1979). Regardless of their specific emphases leadership theories paid little attention to ethics, and where they did, tended to attribute to it more instrumental than intrinsic value. For too long ethics has been seen as a useful factor in marketing and a popular sales strategy rather than the foundation of the good life for which business and society are striving. Yet underrating the importance of ethics for business and business leadership turned out to be a damaging and costly experience for companies like Volkswagen.

In hindsight it seems clear that serious flaws at the individual and the organisational levels caused the dramatic break-down of corporate culture and values for which companies have pay dearly. Managers and business leaders behaved as if they were living in an ethics-free zone where lip service to moral values would do and all they had to be concerned about was to avoid being caught by the police. They seemed to have

behaviour, self-interest, and economic prudence but derive their force from a common interest in ‘the good’. In this sense good business never lacks moral background institutions and internalised normative standards; it simply cannot operate effectively without them. Business people, leaders and subordinates, employers and employees, CEOs and workers, depend like all of us on norms of trust, honesty, and fairness. Normally we take it for granted that we can trust each other, that others speak the truth, that they will keep their promise, and that none of us is completely without any sense of compassion, sympathy, or justice. Thus a truly amoral economic system, should it be feasible, would have to be parasitic on the socially embedded ethical norms to which everyone can typically be expected to adhere.

If this is true, moral leadership should be possible even within the hard conditions in which business has to operate. And that is exactly what society and the general public expect. Only these expectations can explain the shock that those business scandals caused and the public

所面临的艰苦条件下，道德领袖也是可以存在的。这也正是社会与公众所期盼的。正是由于这些期盼，商业丑闻才骇人听闻并引发众怒。正因为已经目睹了太多商业领袖沦为失败的道德领袖，人们才开始密切地关注他们，同时要求更严格的标准。公司所惧怕的不应只是高额罚金与违法的巨大惩罚，更应

去损害消费者与广大公众。只要他们能找到相信的理由，他们就能放任自由，什么也无法阻挡他们去从事收益更大的可疑活动，大众公司即是如此。除非你相信道德规范的价值并约束自己的行为，否则你自然而然会像柏拉图著名寓言中的裘格斯那样，获得隐形魔戒后就开始为所欲为。

优秀企业从不缺乏道德背景制度与内化的规范标准 - 没有这些它们根本无法有效运营。无论是商人、领袖与下属、雇主与雇员还是首席执行官与职工，就像我们所有人一样，要依赖信任、诚实和公平的规范。

包括道德声誉的丧失。如果消费者已经失去了对一家公司及其产品的信任，那么他们不会再去购买，而是会选择其它公司和产品。如果人们认为自己的购物有益于这个星球，但结果却适得其反，那他们就会感觉被背叛，从而受到伤害（沃茨& 保罗·麦克达菲，2016）。而且，一家公司想要收复失去的道德疆土，会面临漫漫征程。

所有这些证实了道德领袖并不算是奢侈品，所以公司应该注意不要忽视了它。但是，大多数公司可能认为只要设置了合规系统，就足以预防违反法律与职业规定。2011年，大众公司任命了一名集团首席合规官（CCO），负责新成立的治理、风险与合规部。CCO办公室拥有14名员工，但是他们既没能阻止排放丑闻，也没能发现它。丑闻爆发后，大众迅速宣布，从即刻起合规将成为最高重要级别的事情。结果，大众在管理董事级别新设立了一个诚信与法律事务职位，并任命德国立宪法院备受尊敬的前法官克莉丝汀·霍曼·登哈德担任此职务，从2016年1月1日起生效。

合规系统是实用的工具，能够预防法律过失，并在公司内部培养尊重法律的意识。然而，确保合法经营不过是社会与消费者对于公司的最低要求。正如坎特所指出的，优秀公司的负责人不仅仅遵守法律，更敬畏法律。他们坚守法律，因为他们明白若不尊重道德律，合法性会变得空洞而短暂。没有良好的道德伦理根基，商人就像其他人一样，会将法律规定视为阻碍他们发财致富的障碍。于是，他们会寻找漏洞绕开法律，甚至

商业领域优秀领导力的基础不仅仅是合法性与合规，更重要的是道德规范。向雇员与经理们灌输法律意识、并通过培训与合规约定提升法律意识是不够的。公司应当推广一种道德敏感文化，并承担个人与机构伦理的责任。公司领导需要明确一点，就是伦理责任并非诱使消费者相信公司道德行为的门面工程；相反，他们应该保持言行一致，值得信赖。只有这样，他们才能指望员工同样地负责任。有观点指出，许多中层经理的伦理违规实际上反映了忠诚冲突，而这是公司领导不确定的、含糊的、或者是公然的误导性价值主张与个人行为所导致的。因此，具备道德责任的领导会采取措施，确保在下属与整个公司中培养道德意识与健全的道德判断。他们会认为，道德观念是公司业绩与战略的不可或缺的一部分。

对于排放丑闻对大众公司造成的巨大损失，新任董事长马蒂亚斯·穆勒（2016）最终承认，“我们的关键货币不是单位数字或运营成果，而是对于我们的品牌、产品以及公司员工的信赖与信任。”然而，信赖与信任只能通过个人的道德领导力责任得以实现。所以，道德领袖会意识到公司核心价值与他们个人道德规范之间的关联。在将道德观念付诸于行动的过程中，他们形成了自己的道德特性，并成为下属的榜样。这样的卓见是跨越文化与时代的。比如，孔子就在此基础上形成了他的政治哲学，并在其著名的论述中加以总结：“其身正，不令而行；其身不正，虽令不从。”（韦利，2005，XIII，vi）

在与公司领导层诚信地位直接相关的现

outcry that followed. It is precisely because they have seen so many business leaders who failed miserably in moral leadership that people have begun to observe them closely and demand ever stricter standards. Companies should not only fear the steep fines and huge penalties for breaking laws, but the loss of their moral reputation. If consumers have lost trust in a company and its products, they will not buy them but look for alternatives. When people think they are buying something helpful to the planet and it ends up that they were doing the opposite, they feel betrayed and are hurt (Orts & Paul MacDuffie, 2016). And it will be a very long way for a company to win back moral territory that was lost.

Without a good foundation in morality and ethics business people, like everyone else, would regard legal stipulations as mere obstacles on their way to profit and success and consequently look for loopholes to circumvent them even to the detriment of consumers and the general public.

All this confirms that moral leadership is not a luxury and that companies should be careful not to ignore it. Most of them may, however, think that installing compliance systems is enough and will prevent breaches of the law and of professional regulations. In 2011, Volkswagen appointed a Group Chief Compliance Officer (CCO) as head of the newly created *Governance, Risk and Compliance* department. Though the CCO's office had a staff of 14, they neither prevented the emissions scandal nor did they uncover it. After the scandal broke, Volkswagen was quick to announce that from now on compliance would be a matter of the highest importance. As a consequence Volkswagen

have created the new position of *Integrity and Legal Affairs* at Board of Management level and appointed a highly respected former judge from Germany's constitutional court, Christine Hohmann-Dennhardt, effective since January 1, 2016.

Compliance systems are useful tools in preventing legal transgressions and in fostering a sense of respect for the law across the company. Yet ensuring the legality of activities is simply the bare minimum society and consumers expect of companies. Good companies are those whose people in charge act not merely in accordance with the law but also out of respect for the law, as Kant put it. Thus they uphold *legal* laws because they know that without respect for the *moral* law legality would be hollow and short-lived. Without a good foundation in morality and ethics business people, like everyone else, would regard legal stipulations as mere obstacles on their way to profit and success and consequently look for loopholes to circumvent them even to the detriment of consumers and the general public. As long as they have reason to believe they can get away with it, nothing will prevent them from engaging in dubious activities that promise greater profit and Volkswagen is a case in point. Unless you already believe in the value of morality and thus set limits to your own actions, you would have no good reason *not* to act like Gyges in Plato's famous parable about a man with a magical ring that made him invisible and thus unaccountable for whatever he did.

The foundation of good leadership in business as elsewhere is not merely legality and compliance but above all morality. It is not sufficient to instil in employees and managers a sense of legality and raise legal awareness through training and compliance protocols. Companies are expected to promote a culture of moral sensitivity and a commitment to individual and organisational ethics. Their leaders are required to make it clear that a commitment to ethics is not window-dressing, merely intended to lure consumers into believing in ethical operations throughout the company; instead, they should be trustworthy in their statements as in their actions. Only then can they expect their employees to

代观点中，也有类似的表述：

“缺乏诚信的经理人将自己与组织置于险境。当他们违反诚信规范时，他们就面临失去员工、供应商与顾客信任、忠诚与承诺的风险。组织合规的最佳战略，就是界定每个人应该遵循的道德标准，并且规划项目来加强这些标准。”（佐德勒，1992）

诚信反映出一个人品行端正之人的良知与性格，这是他或她行为的关键所在。它代

没有良好的道德伦理根基，商人就像其他人一样，会将法律规定视为阻碍他们发财致富的障碍。于是，他们会寻找漏洞绕过法律，甚至去损害消费者与广大公众。

表了一种道德原则，奠定了善的愿景及其在个体与社会生活中的表现。因此，它超越法规，主要体现在一个人的个人原则与对尊重他人的一致性之中。（贝克尔，2009a）

正如我曾在其它场合详细谈过的，在个体层面构成道德领导力的价值包括诚信、诚实、信任、道德勇气、公正、公平与真实性。（贝克尔，2009b）它们对于商业领袖的意义，香港廉政公署在《董事道德准则》中有过精辟的总结：

“树从顶部变绿，而一颗烂苹果则坏了一桶酒。公司董事长作为最高的战略决策者，应当为其它董事会成员以及全体员工树立一个榜样。他们应该以身作则，对腐败、欺诈、渎职和其它不道德行为保持警惕。同样重要的是，他们应展现出道德勇气，揭露并汇报非法行为或违规行为。如果无法做到这些，就会向员工与投资人传递一个错误的信息，损害公司的声誉并削弱投资人的信心。”（香港廉政公署，2009）

然而，如果道德领袖的个体品质不能置于一个支持性的公司架构之中，那么它就起不到作用。也就是说，道德领袖不仅与内部环境、公司文化和公司等级架构产生互动，还会影响它们的发展。在一家企业、公司、尤其是大公司中，领导是最显著的代言人。同时，他们也是自身价值与目标体系的道德代言人。CEO们来来去去，但公司通常会持续很长时间<sup>1</sup>。在公司内部，承载道德领导力的机制包括伦理准则、使命或核心价值观表述、伦理培训项目以及伦理申诉的举报机制。虽然一家公司不太可能同时实行所有这些机制，但应该会有可不断研习和实施的发展路径。赖登巴赫与罗宾曾指出，公司就像个人那样能够实现道德发展，并历经5个阶段，从（1）一家不道德的机构到（2）合法的（3）积极的，然后（4）呈现出道德感，最后（5）成为一家道德的机构（赖登巴赫&罗宾，1991）。一家道德机构的出现，只能是源于所有人的共同努力，而且要致力于形成一种能够获得所有利益相关方道德认同的公司文化。

空有准则，即便有强大的合规部门撑腰也是不够的，必须要严格执行，尤其是处于困境时。如果准则没有植根于具备道德敏感性、且被所有相关方、尤其是顶层领导所接受的公司文化之中，那它就无法预防错误行为与不道德的活动。这种对标准的坚守必须纳入管理体系、绩效评估、补偿、以及审计

商业领域优秀领导力的基础不仅仅是合法性与合规，更重要的是道德规范。

管控之中。（佩恩，2003）不言而喻，这种文化是需要时间来培养的，因为它涉及思维与行动的习惯。这并不是持续、认真地鼓励遵守公司价值与原则就能够形成的。不过，最终它会发展成为优秀实践的道德标准，无论个人雇员还是经理都很难去忽视它。

<sup>1</sup> Peter A. French认为企业是法人与自然人平等地享有法人普遍拥有的所有特权、权利和义务。（French，1979）

be similarly committed. It has been argued that many ethics violations by mid-level managers in fact signal conflicts of loyalty resulting from their leaders' inconclusive, ambiguous, or outright misleading value statements and personal behaviour. Morally committed leaders will therefore take measures to assure the development of moral awareness and morally sound judgment in their subordinates and throughout the company. They will see to it that the moral point of view becomes an integral part of company performance and strategy.

In view of the huge damage the emissions scandal has done to Volkswagen, its new chairman of the board Matthias Müller (Volkswagen 2015, p. 64) finally acknowledged that: "Our key currency is not unit figures or the operating

When they transgress norms of integrity, they risk losing the trust, loyalty, and commitment of employees, suppliers and customers. The best strategy for compliance is for organisations to define the moral standards expected of everyone and to develop programs that reinforce these standards." (Zauderer, 1992)

Integrity reflects the conscience and character of a moral person and provides the focal point for his or her action. It represents the moral ideal that grounds the vision of the good and its embodiment in personal and social life. Thus it transcends codification and consists primarily in the consistency between one's personal principles and the moral respect for persons (Becker, 2009a).

The foundation of good leadership in business as elsewhere is not merely legality and compliance but above all morality.

result. Our key currency is credibility and trust in our brands, our products and the people who work for our Company." Credibility and trust, however, can only be realised through personal commitment to moral leadership. Moral leaders will therefore be aware of the tie between the core values of their company and their personal morality. In adopting the moral point of view in all their actions, they develop moral character and become role models for their subordinates. This insight is shared across cultures and ages. Confucius, for example, made it the cornerstone of his political philosophy and summed it up in this well-known statement: "When a prince's personal conduct is correct, his government is effective without issuing orders. If his personal conduct is not correct, he may issue orders, but they will not be followed" (Waley, 2005, XIII, vi).

This is echoed in contemporary views that directly link a company's standing to the integrity of its leadership:

"Managers who lack integrity place themselves and their organisations at risk.

As I have argued elsewhere in more detail, the values that make up moral leadership at the individual level include integrity, honesty, trust, moral courage, justice and fairness and authenticity (Becker, 2009b). Their meaning for business leaders is well summarised in the Hong Kong ICAC's *Guidelines for Directors' Ethics*:

*"A tree greens from the top while a rotten apple spoils the barrel. Company directors, being strategic decision makers at the top, should serve as a role model for their fellow board members and all staff to follow. They should lead by example and stay vigilant against corruption, fraud, malpractice and other unethical acts. It is equally essential for them to demonstrate the moral courage to speak up and report any illegal acts or irregularities unveiled. Failure to do so will send a wrong message to staff members, investors and the reputation of the (...) company will be damaged and investors' confidence weakened."* (ICAC, 2009)

## 学习西门子

事已至此，大众公司好像充分意识到，它要付出许多努力才能重新赢得公众的信任。截至目前，它所采取的步骤有些类似当初西门子在确认公司内部腐败滋生后，为重

如果道德领袖的个体品质不能置于一个支持性的公司架构之中，那么它就起不到作用。

获声誉而采取的行动。（罗世力&麦肯，2016）西门子承认了错误行为和监管缺失，解雇了被玷污的高层领导，任命了来自公司之外的一位新CEO。为了弥补过错，它起诉了卷入丑闻中心的经理们，包括11名前高级经理、前监督委员会主席以及前任CEO，并且引入了一系列强力措施来铲除腐败。

新任CEO罗旭德是德国公司中少数拥有MBA学位的顶层经理人之一，他非常明确地向全公司表示，预防腐败将会是高级管理层的工作重点。为了支持这一点，西门子任命了

一位首席合规官（2007年9月19日），在西门子董事会设立了一个新的“法律与合规”部，同时任命了一名独立的合规顾问为董事会提供咨询并定期向首席合规官汇报。有500名员工因为违反外部规定或内部政策受到处罚，其中30%的合同被终止，8%遭到降薪处分，其余人则受到惩戒或警告。

西门子将所有内部的反腐规定合并为一个单一、易用的源文件《西门子反腐合规准则》，并且全公司人手一份。它设立了具备“提问”功能的合规咨询台，作为员工询问有关合规与腐败问题的中心联络点。合规咨询台的第二个功能是“举报”，使员工与所有外部利益相关方有机会在确保不被跟踪或记录的前提下，汇报任何可能违反商业行为准则的行为。同时，西门子还加强了它的反腐与伦理培训项目，开始向员工提供伦理培训。

西门子采取了正确的措施，去重新赢回自己作为一家消费者与公众能够信任的、诚实守法的公司的声誉。当大众公司最终解决了法律纠纷与罚款之后，建议它好好追随一下西门子的步伐。但是，这两家公司应该注意，如果缺乏高层道德领袖的强力支持，这样的政策变化是不会成功的。

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Nevertheless, personal qualities of moral leadership are useless unless they are embedded in a supportive company structure. That is to say, moral leadership not only interacts with internal environments, corporate cultures, and hierarchical structures, it also influences their development. While leaders may be the most visible representatives of an enterprise, companies, particularly corporations, are themselves moral agents with their own sets of values and objectives. CEOs come and go, while companies are usually there for the long term<sup>1</sup>. Internally, the company-wide mechanisms that bring moral leadership to bear include codes of ethics, mission or core value statements, ethical training programs and reporting channels for ethical grievance. Although it is not likely that all these mechanisms can be imposed upon a business simultaneously, there may be paths forward that can be studied and implemented progressively. Reidenbach and Robin, for example, have argued that companies, like individuals, can develop morally and move through five stages that range from the (1) amoral organisation, to (2) the legalistic, the (3) responsive, and the (4) emerging ethical, and

Personal qualities of moral leadership are useless unless they are embedded in a supportive company structure.

finally to the (5) ethical organisation (Reidenbach & Robin, 1991). An ethical organisation can only emerge from a common effort that takes all on board and aims at developing a corporate culture that wins moral recognition from all stakeholders.

Merely having a code, even one backed up by a robust compliance department, is not enough, it must also be taken seriously, particularly in rough times. No code can prevent misconduct and unethical activities unless it is embedded in a company culture that is ethically sensitive and accepted by all concerned, particularly the

leaders at the top. For this adherence to standards must be built into management systems, into performance evaluation, compensation, audit and control (Paine, 2003). Needless to say such culture takes time to grow as it involves habits of mind and action that are only produced through the continued, sincere encouragement to abide by company values and principles. Yet in the end this will develop into moral standards of good practice the individual employee and manager can hardly ignore.

#### LEARNING FROM SIEMENS

As things stand now Volkswagen seems fully aware that it will take much effort to win the public's trust again. The steps it has taken so far have some similarity with the actions taken by Siemens to regain its reputation after it became clear that corruption was endemic in the company (Rothlin & McCann, 2016). It admitted the wrongdoings and the lack of oversight, replaced its tarnished top leadership, appointed a new CEO from outside the company. It sued individual managers at the centre of the scandal for compensation, including eleven former top managers together with the former chairman of the supervisory board and the former CEO, and aggressively introduced a variety of measures to rout out corruption. The new CEO Peter Löscher, who is one of the few top managers in German corporations with an MBA, made it absolutely clear throughout the company that corruption prevention would be a priority for the senior management. This was backed up by the appointment of a Chief Compliance Officer (19 September 2007), the institution of a new directorate "Law and Compliance" on the Siemens Managing Board, and the appointment of an independent compliance consultant to advise the Board of Directors and to regularly report to the Chief Compliance Officer. Sanctions were imposed on 500 employees for violation of external regulations or internal policies. The contracts of thirty percent of those employees were terminated and eight percent were punished with salary reductions. The rest received either a reprimand or a warning.

<sup>1</sup> Peter A. French has argued that corporations are moral persons on equal footing with natural persons with all the privileges, rights, and duties moral persons normally have (French 1979).

Siemens consolidated all its internal anti-corruption regulations within a single, easy-to-use source, the *Siemens Compliance Guide Anti-Corruption*, and distributed it to every employee throughout the company. It set up a Compliance Help Desk with an “Ask us” function as central contact point for employees with questions related to matters of compliance and corruption. The second function of the Compliance Help Desk is a “Tell us” function that gives employees and all external stakeholders the opportunity to report any indications of possible violations of the Business Conduct Guidelines, on the assurance

that reports are neither traced nor registered. Siemens also stepped up its anti-corruption and ethics training program and began ethics training for its employees.

It seems that Siemens took the right steps to regain its reputation of an honest and law-abiding company consumers and the public can trust. When Volkswagen finally settles its lawsuits and its fines, it will be well advised to follow in Siemens’ footsteps. Nevertheless both companies should be mindful that such changes in policy will not succeed unless they are strongly supported by moral leadership at the top.

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# EDUCATIONAL SOCIAL INNOVATION: RESPONSIBLE LEADERSHIP MOOC IN CHINA

## 教育领域的社会创新 - 中国的责任领导力慕课

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Helen Xu 徐佳筠

### ABSTRACT

It is widely acknowledged that the public perception of responsible leaders and their social enterprises requires that emerging entrepreneurs not only operate a financially sound business, but also take responsibility for the environment and community. In order to promote responsible entrepreneurship a “Massive Open Online Course” (or simply “MOOC” for short) to include responsible leadership was launched as an innovative tool to guide both undergraduates and business people who intend to start their own businesses. However, establishing a sense of responsibility is a challenge. The challenge is heightened by new demands raised by both government and society for responsible business behaviour and the Chinese traditional thinking that a person should be responsible for his words and behaviours with a view to benefit the community and the common good.

### THE PRESENT SITUATION OF HIGHER EDUCATION IN CHINA

According to a report issued by the Ministry of Education, there were 7.49 million graduates in 2015, a more than fivefold increase over the past 15 years, with 1.3 percent determined to start up their own businesses. In light of this, more graduates believe that the degree certificate is no longer a master key to society and

### 摘要

人们普遍认为，新兴的企业家们不仅应当运营一家财务绩效良好的企业，还应该承担对环境与社区的责任，这是公众对于责任领袖及其社会企业的要求。为了推广责任型创业，一门涵盖了责任领导力的“大规模在线开放课程”（慕课，MOOC）应运而生，作为一种创新工具，为有意自主创业的大学生与商业人士提供指导。然而，培养责任感是一种挑战。政府与社会都对负责任的商业行为提出了新需求，同时中国传统观念也认为一个人应对自己的言行负责，从而造福社区与公益，这些都加强了这种挑战。

### 中国高等教育的现状

**教**育部发布的一份报告表明，2015年中国共有749万名大学毕业生，这个数字在过去15年间增长了5倍多。这些毕业生中，有1.3%决定自主创业。鉴于这种趋势，有越来越多的毕业生相信，学位证书不再是立足社会与生活保障的关键因素。他们渴望得到更多实际的建议，来探索创造

life assurance. They are eager for more practical advice to explore the way to create wealth, than dogmatism and earning credits.

In this context, Premier Li Keqiang pointed out at the Annual Meeting of World Economic Forum of Davos that “there are 1.3 billion Chinese people with a 900-million workforce, over 70 million enterprises and self-employed businesses” (Li, 2015). In order to promote growth in employment and new businesses, the government would fully support and encourage “mass entrepreneurship and innovation, which was recognised as a key role for job creation

of China in 1978, the reforms aimed for the emancipation and development of social productive force and improvement for China. Following Deng Xiaoping (1985), the reform was summarised as “letting some people get rich first”, which guided the whole reform process towards the aim of common prosperity. Deng’s reform plans did facilitate and encourage a group of business people to prosper quickly. However, the potential risks were ignored such as the impact of negative externalities, or taking responsibility towards immediate stakeholders beyond customers.

Responsible leadership requires a diligence of duty, accountability for a sustainable business, legal compliance and integrity management by working effectively with a committed team, reliable partners whilst building loyal customers.

can provide constant source of creativity and wealth” (Li, 2015). Following his speech, the Chinese central government published the *Implementation Opinions on Deepening Reform of Innovative Entrepreneurship Education at Higher Institution* in May 2015 which aimed to motivate college graduates to start up their own businesses and took the first step in allowing students to enrol in entrepreneurship by granting a one-year absence from college or university.

The ultimate goal of the Chinese government is to seek effective ways to foster innovative skills which will enable graduates to earn money to support their families and to contribute significantly to economic growth. What’s more, the emerging generation is seen as the mainstay of China’s future and, despite media characterisation of their maverick behaviours and unrealistic expectations, the new generation is ready to explore a totally different life and career journey than their parents did.

#### RESPONSIBLE LEADERSHIP IN CHINA

When the concept of Chinese Economic Reform was initiated by the Communist Party

The GRLI’s 2005 founding report, *Globally Responsible Leadership: A Call for Engagement* (EFMD, 2005), called for responsible leadership worldwide and increased public awareness of the need for responsible leadership. “Global responsible leaders” were described in the Report as a “leader who commits to real engagement and takes ownership of the consequences of their behaviours, not only economically, but socially and environmentally as well in business operation” (EFMD, 2005, p.5).

The “Chinese Dream” was proposed by President Xi Jinping for the first time in 2012 with a purpose for “the great rejuvenation of the Chinese nation” (Xi, 2012). At the same time, anti-corruption campaigns and Corporate Social Responsibility (CSR) requirements were repeatedly emphasised from the top to the bottom level of government to demonstrate the government’s determination against unethical and illegal business behaviours. As one of the chief driving forces of social progress, explained by the central government, innovative ideas would not only promote coordinated and steady development, but would also contribute to the operation of a healthy market economy.

财富的方式，而不局限于死读书和挣学分。

在此背景之下，李克强总理在达沃斯世界经济论坛年会上指出，“中国有13亿人口、9亿劳动力、7000万企业和个体工商户”（李总理，2015）。为了促进就业与创业的增长，政府会全力支持与鼓励“大众创业、万众创新”。双创被认为是扩大就业的有力支撑，”蕴藏着无穷的创意和无限的财富”（李总理，2015）。在李总理此次讲话

后果负责的领袖们一不仅在经济方面，同时也在社会方面、环境方面以及商业运营方面。”（欧洲管理发展基金会，2005，第5页）

2012年，国家主席习近平首次提出“中国梦”，目标是为了“实现中华民族的伟大复兴”（习近平，2012）。与此同时，自上而下的各级政府都在反复强调反腐运动和企业社会责任的要求，展现了政府打击不道德

责任领导力要求尽职尽责、对可持续性商业担责、法律合规以及诚信管理。这一切通过与专注的团队以及可靠的伙伴开展有效合作来实现，与此同时形成忠实的客户群。

之后，中国政府于2015年5月发布了《国务院办公厅关于深化高等学校创新创业教育改革的实施意见》，旨在促进大学毕业生自主创业，出台的第一项措施便是允许大学生休学一年从事创业。

中国政府的终极目标，是寻求培养创新技能的有效方式，使毕业生既能挣钱养家，同时也为经济增长做出积极贡献。而且，新一代被视为中国未来的支柱。媒体将他们描述为行为特立独行，想法不切实际，但他们已经做好了准备，要去追求完全不同于父辈的生活与职业道路。

### 中国的责任领导力

中国共产党于1978年开始实行经济改革，改革的目的是解放与发展社会生产力并改善中国的状况。后来，邓小平在1985年提出“让一部分人先富起来”，指引整个改革进程朝向共同致富的目标发展。邓小平的改革计划，确实促使与鼓励一些经商者迅速致富。但是，有一些潜在的风险被忽视了，比如负面外部因素的影响，或者只对直接的利益相关方负责，却不重视客户。

全球责任领导力倡议组织（GRLI）在2005年的创始报告《全球责任领导力：呼吁参与》（欧洲管理发展基金会，2005）中，呼吁在全世界发展“责任”领导力，并且增强公众对于责任领导力需求的认知。这份报告中是这样描述“全球责任领导力”的：“它所指的，是那些诚心参与、对自己行为

与非法商业行为的决心。在中央政府看来，创新观念是社会进步的主要驱动力之一，不仅能推动协调稳步的发展，也能促进健康的市场经济运行。

如今的商业领袖们面临着比以往任何时候都要严峻的挑战：比如生态与环境的恶化、金融危机、贫困、饥饿与商业诈骗。不过，有越来越多的商业领袖们已成功地尝试运用创新的模式来应对社会问题，而且很多创建了具备社会使命的社会企业。根据《2015中国企业社会责任报告白皮书》，有1703份企业社会责任报告于当年发布，共涉及47个行业。

阿里巴巴集团的主席马云曾表示，一名企业家或商业领袖的责任，与个人道德规范、价值观与主人翁精神相关，而不仅仅是挣钱。“因为金钱有一天会变成某种社会资源，而企业家理应为更美好的社会做出贡献。领导力是一种意识与能力，使领袖不仅拥有职业经理人的素质，而且也具备责任感。”（马云，2015）

张松在ThoughtWorks担任中国区总经理，这家跨国软件公司拥有三柱类型的企业文化：1）可持续的商业；2）卓越的软件；3）社会公正。张松相信，“领导力”包含一种“公仆精神”，也就是“一名商业领袖需要为员工赋权，鼓励他们为自己的行为负责，同时也要承担风险管控的责任。”（张松，2016）

责任领导力要求尽职尽责、对可持续性商业担责、法律合规以及诚信管理。这一切

Business leaders today face more severe challenges than ever before: ecological and environmental degradation, financial crisis, poverty, famine and business fraud. However, an increasing number of business leaders have successfully explored innovative solutions to social problems and many have established social enterprises to run their businesses with a social mission. In the *White Book of Chinese CSR Reports 2015*, 1703 corporate social responsibility reports were published covering 47 industries.

Jack Ma, the Chairman of Alibaba Group, has said that the responsibility of an entrepreneur or business leader is connected with personal morality, values and a sense of ownership, rather

in developing enterprise as well as seeking to alleviate social problems such as human rights, gender equality, working conditions and poverty.

The concept of moral leadership is frequently mentioned when the actions and decision making of a business leader are adjudged against a sense of right and wrong. Confucianism promotes five moral principles: benevolence, righteousness, propriety, wisdom and integrity and business leaders may be viewed as being irresponsible or immoral when they are judged to have failed to follow these principles. One common claim of moral failure relates to a business which takes advantage of an unregulated externality - a cost or benefit that affects the

The MOOC series is designed to increase awareness of the need for responsible leadership in support of sustainability, financial transparency, responsibility and integrity, rather than to win competition and market share “by hook or by crook”.

than just earning money. “Because money will become a kind of social resource someday and entrepreneurs are chosen to contribute to a better society and the leadership is the consciousness and ability of the leader who has not only the quality of professional manager, but also a sense of responsibility” (Ma, 2015).

Song Zhang works as the Managing Director of ThoughtWorks China, an international software company that has a tri-pillar corporate culture, including: 1) sustainable business; 2) software excellence and 3) social justice. Zhang believes that “leadership” encompasses a “servant spirit” that “a business leader has to empower and encourage employees to behave on their own behalf, meanwhile, take responsibility for risk control” (Zhang, 2016).

Responsible leadership requires a diligence of duty, accountability for a sustainable business, legal compliance and integrity management by working effectively with a committed team, reliable partners whilst building loyal customers. Responsible leadership thus refers to a broader scope of responsibility that business leaders have

natural environment or the community – which results from its activities, such as pollution. By contrast, a responsible leader does care about these traditional virtues and constantly tries to work and live in a way to minimise negative impacts.

#### MOOC INNOVATION IN CHINA

Universities and colleges are increasingly providing the skills and knowledge to becoming a successful leader that meet the needs and interests of undergraduates. However, a recent report showed that only 12 Chinese university business schools were certified by The Association to Advance Collegiate Schools of Business in May 2015 which requires that a business ethics course be taught to students. For instance, the University of International Business and Economics, one of the key universities with economics and management as its core academic areas of expertise, only offers business ethics as an elective course to undergraduates during their third and fourth year.

通过与专注的团队以及可靠的伙伴开展有效合作来实现，与此同时形成忠实的客户群。因此，责任领导力实际上包含了非常广泛的责任范畴。商业领袖们承担这些责任，发展企业并且试图缓解人权、性别平等、工作条件与贫困等社会问题。

当一名商业领袖的行为与决策受到对与错的评判时，道德领导力的理念经常会被提起。儒家思想推行5大道德原则：仁、义、礼、智、信。当商业领袖被认定没有遵守这些原则时，他们就可能被视为是不负责任和

商业领袖的特殊角色与责任。与传统学科相比，责任领导力慕课不仅关注发展技能与兴趣，而且还强调实践教学。比如，越来越多的慕课开发者开始举办比赛，使表现优异的学生获得更好的在知名企业实习的机会。其它课程开发者则尝试在教学计划中邀请更多企业家与商业领袖，开设线上或线下论坛，与他们进行直接交流。通过持续的学习，观众们将能够把所学到的东西运用到实际当中去，应对日常运作中的挑战，并从成败中汲取教训。

责任领导力应当支持可持续性、财务透明、责任与诚信，而不是“不择手段”地赢得竞争和市场份额，该慕课系列旨在增强（公众）在这方面需求的意识。

不道德的。有一种情形属于公认的道德缺失，也就是一家企业去利用未受规范的外部因素一比如影响自然环境或社区的代价或利益一并由此导致了类似污染这样的后果。相反，负责任的领袖会关注这些传统的美德，并且时时刻刻努力采取使负面影响最小化的工作与生活方式。

### 中国的慕课创新

中国的高校正在提供越来越多成为成功领袖的技能与知识，以满足大学生的需求与兴趣。但是，近期的一份报告显示，仅有12所中国大学的商学院在2015年5月通过了国际商管学院促进协会的认证。该认证要求商学院需向学生教授一门商业伦理课程。比如，作为经济学与管理学是核心学术专长的重点大学之一，对外经济贸易大学仅向大三与大四的本科生开设一门商业伦理选修课。

许多教育机构开始关注可以替代课堂教学的创新学习模式，并因“大规模开放在线课程”（慕课，MOOC）高度灵活的参与方式和学习时间而选择了它。自2012年首度引入中国后，慕课逐渐流行起来，知名大学研发了大量自然科学、艺术、信息技术与商业管理方面的慕课课程，使数以千计的参与者得以突破地域限制，选择并形成自己的学习偏好。

责任领导力慕课系列旨在向观众们传授专业技能与知识，引导他们去切实理解作为

作为中国最前沿的慕课课程之一，责任创业慕课是由北京罗世力国际管理咨询有限公司与对外经济贸易大学远程教育学院于2015年共同开发的。目前该系列已有四个课程在对外经济贸易大学网络平台上线，第五个课程将于2017年晚些时候发布。责任领导力应当支持可持续性、财务透明、责任与诚信，而不是“不择手段”地赢得竞争和市场份额，该慕课系列旨在增强（公众）在这方面需求的意识。

责任创业系列的第一节慕课，向观众们展现了如何创业，将一个商业想法发展成商业计划。第二节慕课帮助参与者反思如何最有效地解决一系列伦理困境，比如反腐败、环境挑战以及“绿色建筑”模型。第三节慕课是关于商业的目的与使命，并且探讨商业成功如何能与公益愿景相结合，通过在工作中获得满足感承担起有益于世界的职责。第四节慕课关注一些亚洲大公司在经历危机后所面临的管理层面的挑战，涉及管理层应怎样有效回应才能重建利益相关方的信任。第五节慕课聚焦跨文化谈判，将于2017年晚些时候发布。这一节的目的，是鼓励复杂谈判的参与者能够更好地理解并尊重谈判中的文化差异。听课者需要通过学习来探索并形成自己的领导力风格，并掌握成为优秀商业领袖的技巧与专业能力。

责任领导力慕课系列的一个特别主题，是对杰出商业领袖与企业家、企业社会责任的资深专业人士与商业伦理学者的面对面访

Many educational institutions have turned their attention to an innovative learning mode as an alternative to classroom teaching and the “Massive Open Online Course” (MOOC) has been chosen for its high flexibility in participations and study time. Following the popularisation of MOOCs, which were first recognised by China in 2012, a booming number of MOOCs in natural science, art, information technology and business administration were developed by distinguished universities which empowered thousands of participants to select and develop their own learning preferences without geographical restriction.

MOOCs have the advantage of flexibility and diversity of topics to encourage audiences to learn from difficulties and work through problems by promoting innovative thinking and active questioning both of interviewees and directly to MOOC participants.

The *Responsible Leadership* MOOC series was created with the aim to impart professional skills and knowledge to audiences and to guide them to understand the specific role and responsibility of being business leaders in practice. Compared with traditional disciplines, the *Responsible Leadership* MOOC series not only focuses on the development of both skills and interests, but also emphasises practical teaching. For instance, an increasing number of MOOC producers have begun to carry out contests, to enable students with strong performance to stand a better chance of securing an internship or a job in well-known businesses. Other producers attempt to engage more entrepreneurs and business leaders in the teaching plan and offer online and offline forum to communicate with them directly. With constant learning, audiences are expected to put what they have learnt into practice, respond to challenges in day-to-day

operations, and learn lessons from successes and failures.

As one of the pioneer MOOCs in China, the *Responsible Entrepreneurship* MOOC was co-produced by Beijing Rothlin International Management Consulting Co. Ltd. (Rothlin Ltd.) and School of Distance Education of the University of International Business and Economics in Beijing (EUIBE) in 2015. There are now four MOOCs in the series which are accessible on the UIBE Online platform with a fifth MOOC to be launched later in 2017. The series is designed to increase awareness of the need for responsible leadership in support of sustainability, financial transparency, responsibility and integrity, rather than to win competition and market share “by hook or by crook”.

In the first MOOC of the series, *Responsible Entrepreneurship*, the audience is shown how to start their business by turning a business idea into a business plan. The second MOOC helps participants to reflect on how best to address a variety of ethical dilemmas, such as anti-corruption, environmental challenges and the model of “green construction”. The third MOOC is about the purpose and vocation of the business and explores the relationship how business success can be combined with a vision for the common good, a purposeful role in the world through finding fulfilment in one’s work. The fourth MOOC focuses on a number of management challenges based on big company crises in Asia dealing with how management should best respond to rebuild stakeholder trust after a crisis. The fifth MOOC is focussed on cross cultural negotiation and will be available in late 2017. The aim of this MOOC is to engage participants in the dynamics of a negotiation with a greater understanding and respect for cultural differences in negotiation. Audiences are encouraged to explore and develop their own leadership style through learning and acquiring skills and special abilities to become good business leaders.

A distinctive theme of the *Responsible Leadership* MOOCs include face-to-face interviews with outstanding business leaders and entrepreneurs, senior professionals in corporate

谈，来分享他们关于领导力与最佳商业实践的经验、建议与见解。其目的是收录来自不同商业与文化背景的人们的不同意见，来证明责任领导力是一种切实可行且令人敬佩的商业实践。观众受到触动，从而反思自己学到了什么，并且深度思考针对挑战性局面的不同方式的回应。

慕课拥有灵活性和课题多样化的优势，通过推广创新思维并积极向受访者与课程参与者提问，来鼓励观众们从困难中学习，在问题中行事。

罗世力的慕课研发团队若想在教育领域的社会创新方面产生深远影响，还有很长的路要走。开发责任领导力慕课系列，需要更

好地吸引那些能够坚持上课的参与者。未来发展的问题包括：责任领导力慕课怎样才能接触到更多商业人士？课程如何与解决实际问题关联起来？课程研发人员需要改进哪些方面，从而使学习成果最大化并为观众提供显著的收益？

### 总结

虽然慕课面临着潜在的风险与挑战，它却能够对课堂教学起到支持性作用。传统教育方法或许可以帮助培养思维能力，为学生打好基础，尤其是低年级学生。慕课拥有灵活性和课题多样化的优势，通过推广创新思维并积极向受访者与课程参与者提问，来鼓励观众们从困难中学习，在问题中行事。

责任领导力慕课旨在制定负责任商业的政策与实践，借此向领袖与其机构展现责任领导力的益处。慕课是有可能推动责任领导力的，因为它们能够促进创新创业，并且在商业教育中起到主导作用。

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social responsibility and business ethicists to share their experience, advice and insight on leadership and best business practice. The aim has been to include a variety of different opinions from people with different business and cultural backgrounds to demonstrate that responsible leadership is a realistic and admirable business practice. The audience is provoked to reflect on what they have learnt and to further consider different possible styles and responses to challenging situations.

The Rothlin MOOC team still have a long way to become a significant influence in educational social innovation and to develop the *Responsible Leadership* MOOC series to better attract participants. Questions for future development include: How might the *Responsible Leadership* MOOCs reach out to more business people? How might the links be made to address practice? What aspects do the producers need to improve in order to maximise the learning outcomes and to offer a clear advantage to audiences?

## SUMMARY

Despite the potential risks and challenges that MOOCs face, MOOCs can play a supporting role that facilitate classroom teaching. Traditional teaching methods may help to cultivate thinking ability and lay the foundation for students, especially junior students, while MOOCs have the advantage of flexibility and diversity of topics to encourage audiences to learn from difficulties and work through problems by promoting innovative thinking and active questioning both of interviewees and directly to MOOC participants.

The *Responsible Leadership* MOOC series aims to set out responsible business policies and practices in a way that shows the benefits of responsible leadership practice to leaders and their organisations. The possibility for MOOCs that advance responsible leadership is that they can promote innovation and entrepreneurship and play a leading role in business education.

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## WHAT IS SOCIAL IN SOCIAL INNOVATION?

# 社会创新中的“社会”是什么？

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Mike J. Thompson 盛迈堂

### ABSTRACT

The idea of social as a modifier to innovation which is more generally used in a business or technology context is explored to uncover the motivations of actors who innovate. The rationality of the homo economicus model is challenged by evidence that the motivations behind social innovation integrate rationality with values and a sense of the common good. Statements by business leaders and case examples are reviewed to illustrate the implicit social contract in social innovation.

One of the aims of the MRI Journal is to highlight the growing phenomenon of social innovation (“SI”) as a response to the global social and environmental challenges of our time. The potential threats to the sustainability and wellbeing of people and planet have markedly affected the policy and behaviour of inter-governmental organisations, governments, NGOs, educational institutions and corporations. Climate change, water and resource scarcity, ecological degradation, poverty and the growing demand for energy and food endangers the lives of people and animals. SI is a response to these kinds of challenges.

The purpose of this article is to explore what is meant by the word ‘social’ when used in connection to business or organisational activities and when used of innovation in the context of scholarly commentary, practitioner comment and case examples. The scope of this article is necessarily limited, focusing its analysis

### 摘要

以“社会”来修饰“创新”的用法多出现在商业或技术领域，用以说明创新者创新的行为动机。证据表明，社会创新背后的动机结合了行为的合理性与创新者的价值观和共同利益的观念，这已然质疑了“经济人”模型的合理性。这篇文章将通过回顾企业领导的陈述声明和具体的实践案例，举例说明社会创新中隐含的社会契约。

**创**办澳门利氏学社社刊的目的之一是为了强调社会创新是一种在应对当代全球社会和环境的挑战中愈见流行的手段。可持续发展和人们安康幸福的潜在威胁已经显著影响了政府间国际组织、政府、非政府组织、教育机构和企业政策与行为。气候变化、水和资源的短缺、生态退化、贫困以及对能源和粮食日益增加的需求危及了人类和动物的生存。而社会创新就是一种对这些挑战的回应。

这篇文章的目的是探讨当与商业和组织行为相关时，以及在学术评注、从业者评论和实践案例中用于“创新”时，“社会”一词到底意味着什么。其探讨的范围必然是有限的，在此仅重点分析主流观点和社会创新的应用。这篇文章将不涉及以政策为基础，旨在在社会管理、治理结构、社会包容或更广义的集体赋权中直接带来具体变化的创新。本文中的社会创新并不是说“通过改善社会关系和赋权过程来培养包容文化和人类福利……创造更包容的社会”（Jessop,

on mainstream references and applications of SI. It does not include policy-based innovation aimed to directly bring about specific changes in social relations, structures of governance, social inclusion or greater collective empowerment. SI in this article, does not mean “fostering inclusion and wellbeing through improving social relations and empowerment processes...more socially inclusive” (Jessop, Moulaert, Hulgård, & Hamdouch, 2013, p.16).

Social Innovation focuses on creating social value and social change.

The semantics of ‘social’ has now developed into a broad cluster of meanings and has been prefixed to activities that have been created or re-engineered from a traditional functionalist form to aid the wellbeing and survival of current and future generations. ‘Social’ is no longer shorthand for society but an adjective indicating advocacy of the common good against the ‘common bad’. The common bad might variously include: poverty, human rights abuses; public and business misconduct and scandal; the exploitation of the socially excluded; racism; discrimination and the hedonistic excesses of greed, corruption, narcissism, elitism and consumerism.

Contemporary usage has prefixed ‘social’ to a range of commercial activities that previously had self-contained meanings and required no modifiers: Social entrepreneurship, socially responsible investment, social impact investing, social enterprise, corporate social responsibility, the social market economy, social reporting, social accounting, social media, social banking and social network. In each case the challenge of prefixing ‘social’ requires an innovative response within the business activity to expand and tailor the activity to fit a particular commercial context. For example, social impact investing becomes the new venture capital in which new securities are created that link social performance to financial returns (Cohen and Sahlman, 2013). The concept here of ‘social performance’ as distinct from

‘performance’ is values laden but, like SI, the term lacks a precise definition. In venture capital, performance means financial performance which begs the question of what other performance beyond financial is anticipated by prefixing ‘social’. Answering this question will bring greater definition to the ‘social’ motivation that has resulted in the ‘socialisation’ of the commercial activities listed above.

Financial performance measures are fundamental to any commercial enterprise but managerial decision-making is often an opaque process in which rationality and objectivity in judgments is obscured from stakeholders. Neoclassical economics teaches us that motivation is essentially self-interested and rational: economic performance indicators and forecasts can be rationally drawn on utilitarian models of market behaviour. Behavioural economics teaches us that motivation is not as rationally explicable as the *homo economicus* model implies. Economics can only account for ‘social’ as a variable if its properties are both defined and directly measurable.

TechnoServe and Nespresso have invested \$2.6m in a cooperative coffee farming scheme in South Sudan to engage 15,000 farmers over a decade in farming and exporting coffee for the first time.

As literature in the field of evolutionary psychology reminds us, our brains are not capable of weighing all available options but are rather better at doing a rapid and good enough job of solving fundamental problems related to survival such as acquiring resources, obtaining social status, and maintaining relationships (Barkow, Tooby & Cosmides, 1995; Kliver, Frazier & Haidt, 2014). Accordingly, *homo heuristicus* emerges as a model that accommodates motivations that are not only materialistic but adjust for

Moulaert, Hulgård, & Hamdouch, 2013, 见第16页)。

“社会”的语义如今已经发展成一个庞大的词义群簇，可前缀于以促进人类福祉和保证当代及未来人类的生存环境为目的所进行的创造性活动或将传统功能形式进行再设计的行为。“社会”不再只是一个名词，而是一个表示拥护“共同利益”、反对“共

像“经济人”模型所说的那样可以被理性地解释。哪怕“社会”的属性最终得以定义且可被直接测量，经济学也只能将其解释为一个变量。

就像进化心理学的著作所提醒我们的那样，我们的大脑并不具备权衡所有可能选项的能力，相比而言，更擅长于对解决与生存相关的根本问题作出快速而有益的决定，

## 社会创新的的重点在于创造社会价值和社会变革。

同弊害”的形容词。“共同弊害”可以在不同方面指代：贫困、侵犯人权；公共和商业部门的行为不端和流言丑闻；对社会边缘群体的剥削；种族偏见；歧视和包括贪婪、腐败、自我陶醉、精英主义和消费主义在内的过度享乐主义行为。

在当代汉语的使用中，“社会”已经可以作为一系列商业活动的前缀。这些商业活动原有自身独立的词义，并没有使用修辞语的必要，比如：社会企业家精神、社会责任型投资、社会影响力投资、社会企业、企业社会责任、社会市场经济、社会报告、社会会计、社会媒体、社会金融和社会网络。无论在哪一种情况下，在商业活动中将“社会”作为前缀都意味着必须以一种创新的方式来推动并因事制宜地设计该活动，使其符合特定的商业背景。比如说，社会影响力投资已经成为了新型风险投资，社会绩效与经济回报挂钩的新型证券也因此应运而生（Cohen and Sahlman, 2013）。这里的“社会绩效”与“绩效”的不同之处在于前者承载了价值观念。就像社会创新一样，这个术语也缺乏一个精确的定义。在风险投资中，绩效是指财务业绩，这就引出了一个问题：除了财务之外，还有哪些绩效是可能被冠上“社会”的前缀的呢？回答这个问题需要为将上述商业活动“社会化”的“社会”动机引入更广泛的定义。

财务绩效指标是任何商业企业的基础，但管理决策往往是一个不透明的过程，其中，决策判断的合理性和客观性对利益相关者来说是模糊的。新古典经济学告诉我们，动机本质上是利己的且理性的：经济绩效指标和预测可以合理地借鉴市场行为的功利主义模型。行为经济学告诉我们，动机并不

比如获取资源、获得社会地位和维持关系（Barkow, Tooby & Cosmides, 1995; Klüber, Frazier & Haidt, 2014）。因此，“启发式人”所考虑的动机不仅仅是物质性的，而且将随着个案背景脉络和合作社会体系的改变而改变（Klüber et al, 2014）。“启发式人”也许对手头任务的信息做出不理性的评估，或者该任务本身就无法被合理地解释。Gigerenzer和Brighton（2009）认为“启发式人”能够通过少量的观察作出快速推断，并说明偏见有自适应性，有助于降低估测错误。英国央行经济学家Andy Haldane指出，现代宏观经济学和金融学多建立在对人类的知识和认知能力作出严格假设的基础上。

“在其极端形式下，理性预期假设信息采集接近零成本，且代理有足够的认知能力来根据概率权衡所有可能的未来结果。那些关于知识和认知情况的强假定并不总是站在经济学界的中心。”（Haldane, 2012, 第2页）

Haldane的陈述追随了亚当史密斯在现代经济学开端之际于《道德情操论》中所提出的观点。早在那时，亚当史密斯就已经观察到，在某种程度上“无形的手”不可能与对别人命运的关心真正断开联系：

“无论一个人有多么自私，他的本性中也毫无疑问地存在某些根本原则：一个人对改善别人的命运产生兴趣，将别人的快乐当成是自己的必需，虽然从中他并不能获得什么，只是看见它就感到满足。（Smith, 2010, 第13

context-dependent information and contingently cooperative social systems (Kluver et al, 2014). *Homo heuristicus* may assess information not rationally related to the task at hand and which cannot be explained rationally. Gigerenzer and Brighton (2009) describe *homo heuristicus* as being able to make inferences quickly from a few observations and show that bias can be adaptive

Smith is in the company of Shaftesbury, Hutcheson and Hume, who were “intent on rebutting the ‘licentiousness’ or egoistic systems of Hobbes and Mandeville and emphasising the ‘social affections’ over ‘selfish affections’” (Martin, 1990, p.115). These moral philosophers indicate that *homo sapiens* is more than the twentieth century’s *Homo economicus* so tartly debunked

In Kenya, Hewlett-Packard (HP) partnered with CHAI, an NGO, and the Ministry of Health in an early infant diagnosis (EID) project to save the lives of infants born with HIV.

and can help to reduce the estimation error. Bank of England economist, Andy Haldane, points out that modern macroeconomics and finance has been built on often stringent assumptions about humans’ state of knowledge and cognitive capacity:

“In its strongest form, rational expectations assume that information collection is close to costless and that agents have cognitive faculties sufficient to weight probabilistically all future outcomes. Those strong assumptions about states of knowledge and cognition have not always been at the centre of the economics profession.” (Haldane, 2012, p.2)

Haldane’s statement follows Adam Smith in his *The Theory of Moral Sentiments*, which at the outset of modern economics observed that the “invisible hand” could not somehow be disconnected from concern for the wellbeing of others:

“How selfish soever man may be supposed, there are evidently some principles in his nature, which interest him in the fortune of others, and render their happiness necessary to him, though he derives nothing from it except the pleasure of seeing it.” (Smith, 2010, p.13)

by Sen (1980) as the “rational fool” (p.362). Kluver et al (2014) claim that even the addition of *homo heuristicus* misses intrinsic human motivations. They follow Émile Durkheim in calling attention to *homo duplex* which depicts the twin motivations of individual needs and wants. *Homo duplex* has a higher sense that s/he belongs to wider society and has a sense of obligation beyond our self: “I am simply part of a whole, whose actions I follow, and whose influence I am subject to” (Durkheim, 1887/1992, pp. 219-220). *Homo duplex* indicates a higher level of motivation and intuitive behaviours which have also been signalled by other ontological models that challenge the utilitarian narrative: *homo spiritualis* (Thompson, 2007); *homo moralis* (Columbo, 2009) and *homo empathicus* (Rifkin, 2009).

References to ‘social’ are an attempt to say we are more than *homo economicus*. The functions of performance, investment, reporting, and governing are an attempt to integrate rationality with ethical values which we name ‘social’ in recognition of the twin moral motivations and named as foundations by Haidt and Graham (2007): (i) harm/welfare/care, and (ii) justice/rights/fairness. They further argue that social justice is the extension of morality out to the societal level (p.103). If this ground is accepted then it would not be inconsistent to conclude that the narratives of morality and ethics, whether expressed in terms of virtue or social justice, are the prime ideals that lie

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亚当史密斯属于Shaftesbury, Hutcheson和Hume的一派,他们“坚决反对Hobbes和Mandeville‘放荡’或自私自利的体系,强调‘社会情感’高于‘利己情感’”(Martin, 1990, 第115页)。这些道德哲学家指出,“智人”强于二十世纪的“经济人”,后者曾被Sen (1980)辛辣地称为“理性的傻瓜”(见第362页)。Kluver等人则(2014)认为,即使是“启发式人”也没有考虑到人的内在动机。他们追随Émile Durkheim,宣扬描绘个体需求与欲望双重动机的“双重人”。“双重人”有更高层次的意义,他/她属于更广泛的社会且有一种超越小我的责任感:“我只是全局的一小部分,我跟随公众的行动,并接受他们带给我的影响”(Durkheim, 1887/1992,见第219至220页)。“双重人”代表了一个更高层次的动机和直觉行为,这种动机和行为也在其他向功利主义叙事发起挑战的自体论模型中有所体现,如“唯心论”(Thompson, 2007)、“道德人”(Columbo, 2009)和“同感人”(Rifkin, 2009)。

TechnoServe和Nespresso就已经为一个合作咖啡种植计划在南苏丹投资了260万美元,首次与15000名农民达成了十年的咖啡种植和出口协议

提及“社会”是试图表明我们高于“经济人”。对绩效、投资、报告和治理的运用都是对整合合理性和伦理价值观的一种尝试。我们将伦理价值观称为“社会”以认同双重道德动机,它们被Haidt和Graham (2007)叫做基本原则:(1)伤害/福利/关怀,以及(2)正义/权利/公平。他们还认为,社会正义是道德在社会层面的延伸(见第103页)。如果这个假设被接受,以下结论就不再前后矛盾:无论是讨论美德还是社会正义,道德和伦理都是社会动机和“

理性”背后的素理想,这样的社会动机和“理性”已经“社会化”了企业的某些特定方面,同时催生了像社会影响力投资一样的投资行为。

在企业界,可持续发展的主题常被用来定义特定的可以带来积极的社会和环境影响,以及/或减少或消除负面的社会和环境影响的行动。我之前曾说过,可持续发展的语言依赖于共同的普遍信仰,即人类与环境是相互联系的,且需要基于社区的日常关怀和责任担当(Thompson, 2011a)。政府、非政府组织和企业投资保护水源、森林和生态系统的项目,最终将之作为一项社会福利。在某些情况下,可持续发展也许是一个比“社会”更工具理性的术语,但尽管如此,地球资源的管理正越来越多地被看作一种社会责任。

从事可持续发展工作需要能够调动社会意识的管理能力,同时重视利益相关者对企业应该如何为当地带来共同利益所提出的想法和意见(Thompson, 2011b)。用Howaldt和Schwarz (2010)的话来说,即“‘社会’的意义并不局限于创新创造及其扩散过程中的行为实践或人类关系,它在创造更深层的共同利益方面有着超凡的意义”(第30页)。

麦肯锡咨询公司的前董事总经理Ian Davis已经清楚地阐述了这样一种商业与社会契约的协同作用:

“在许多情况下,“做生意就是要赚钱”的观点导致企业对后果闭目不见,或无视那些往往可预测却不成文的社会契约中的变化。同样重要的是,这些后果不只是给企业带来了风险,还衍生了价值创造的机会。”

(Davis, 2005, 第3页)

企业领导所发表的和责任、可持续发展以及“创造共享价值”相关的声明往往只是拐弯抹角地承认那些隐含的社会契约观点。通过随机选择,表一列出了一些高级商业领导表示接受隐含社会契约的公开声明。

检验这些公司是怎样从其高层领导的声明中将他们所理解的社会契约付诸于实践并不在这篇文章的讨论范围之内。相反,我的目的在于观察“社会”的语义和含义是怎样被引申,以至于覆盖了对直接利益相关者群

behind social motivation and ‘rationale’ that have resulted in the ‘socialisation’ of certain aspects of corporate and investment behaviours such as social impact investing.

In the corporate world the motif of sustainability is frequently used to define specific actions that bring positive social and environmental impacts and / or reduce or eliminate negative social and environmental impacts. I have argued elsewhere that the language of sustainability relies on the shared universal belief that humanity and the environment are inter-connected and call for the exercise of community-based care and

responsibility (Thompson, 2011a). Governmental and non-governmental organisations and corporations invest in projects to preserve water sources, forests and ecosystems ultimately as a social good. Sustainability, in certain contexts, may be a more instrumentally rational term than ‘social’ but nevertheless stewardship of the earth’s resources is increasingly regarded as a *social* responsibility.

Engaging in sustainability requires of management an ability to develop a societal awareness and to value the voice of actors with ideas and opinions on how the company could act for the common good (Thompson, 2011b).

*Table 1: Statements of an implicit social contract by business leaders*

Company	Person and Position	Statement
Unilever	Keith Weed, Chief Marketing and Communications Officer	<i>“To succeed globally, and especially in emerging economies across Asia, Africa and Latin America, brands should go beyond traditional focus areas like product performance and affordability. Instead, they must act quickly to prove their social and environmental credentials, and show consumers they can be trusted with the future of the planet and communities, as well as their own bottom lines.” (Sustainable Brands, 2017)</i>
Danone	Franck Riboud, Chairman and CEO	<i>“I think I will conclude on this one, which is just to remind you the commitment of Danone to all the stakeholders. I know that it is very fashionable, but I really want to express that in Danone it’s not a question of fashion. We work for the shareholder, we work for the environment, for the ecosystem, for the consumer and for the shareholder, obviously.” (Riboud, 2011)</i>
Infosys	S. Gopalakrishnan, Executive Co-Chairman	<i>“At Infosys, sustainability is a way of being. It is not something we do beyond business; it is about our business. The urgency to build and carry forth a sustainable business model at Infosys is here to stay.” (Infosys, 2011)</i>
Unilever	Paul Polman, CEO	<i>“Business has shown itself ready to support the Paris Agreement and the Sustainable Development Goals, our roadmap to a more inclusive and equitable future. Why? Because societies cannot function and business cannot operate unless we address the related challenges of poverty, inequality and climate change.” (Polman, 2016)</i>

表一：高级商业领导所发布的与隐含社会契约相关的声明

企业名称	发布者及其职位	声明
联合利华	Keith Weed, 全球首席市场营销及传播官	“要想在全球范围内取得成功，尤其是在亚洲、非洲和拉丁美洲这些新兴经济市场占有一席之地，企业品牌不应该只关注产品性能和支付能力这样的传统焦点领域。相反，企业必须赶紧行动起来，证明其对社会和环境的贡献，让消费者知道他们可以将这个星球和社区的未来自以及他们自己的底线托付给这些企业。” (Sustainable Brands, 2017)
法国达能集团	Franck Riboud, 董事会主席和首席执行官	“我想我的总结只是希望各位能记住达能对所有利益相关者的承诺。我知道这个说法近来很流行，但我真的很想告诉大家，达能的承诺绝不只是流行的说辞。我们为股东努力，我们为环境、生态系统、消费者，当然还有股东而奋斗。” (Riboud, 2011)
印孚瑟斯	S. Gopalakrishnan, 联合执行主席	“对印孚瑟斯而言，可持续发展是一种存在。它不是生意之外的事，它就是我们生意的一部分。建立和实行可持续商业模式的紧迫性在印孚瑟斯永远存在。” (Infosys, 2011)
联合利华	Paul Polman, 首席执行官	“企业已经表明了它们对巴黎协议和可持续发展目标的支持，且已准备就绪。我们将一步一个脚印地创造一个更加包容和公平的未来。为什么呢？因为如果我们不去应对贫困、不平等和气候变化的相关挑战，社会就无法发挥作用，企业也将无法运作。” (Polman, 2016)
日产-雷诺-三菱汽车	Carlos Ghosn, 董事会主席和首席执行官	“日产（尼桑）的基本价值观是丰富人们的生活。当你丰富了人们的生活，生意就不再只是市场的资本化和利润，还在于为您所生活的社会环境，甚至是为那些似乎和您的生活并不紧密相关的社会环境，创造更好的生活质量。” (Nissan, 2016)
百事可乐公司	Indra Nooyi, 首席执行官	“如果你想要的只是把这家公司做稳，获得两位数的盈利增长，那我不是你要找的人……今天的公司比许多经济体都要大。我们是小型的共和国。我们是效率的引擎。如果公司不做[负责任的]事情，谁还会去做呢？为什么不现在开始改变呢？” (Reingold, 2015)

体和“并不紧密相关的社会环境”的服务和责任 (Nissan, 2016)。领导们所表达的观点，以及表一所举例的声明，都更符合“双重人”而非“经济人”的特征。

这些声明表明，社会（和环境）的主题是实质理性（以价值为基础的理性）的信

号，反映了从善尚德的世界观。也就是说，实质理性承认了伦理规范的存在。马克斯·韦伯将伦理规范定义为“个体间一种特定类型的价值理性的信仰，作为这一信仰的后果，该信仰将一个被称为“美德”的标准成分强加于人类行为 (Weber, 1921/1968, 第

Table 1: Statements of an implicit social contract by business leaders

Company	Person and Position	Statement
Nissan, Renault and Mitsubishi Motors	Carlos Ghosn Chairman and CEO	<i>“The basic value of Nissan is enriching peoples’ lives. When you enrich peoples’ lives, it’s not only about market capitalization and profit, it’s also about making the quality of life better in the society where you operate, and even in remote societies.” (Nissan, 2016)</i>
PepsiCo	Indra Nooyi, CEO	<i>“If all you want is to screw this company down tight and get double-digit earnings growth and nothing else, then I’m the wrong person...companies today are bigger than many economies. We are little republics. We are engines of efficiency. If companies don’t do [responsible] things, who is going to? Why not start making change now?” (Reingold, 2015)</i>

In the words of Howaldt & Schwarz (2010) “what is meant by ‘social’ does not relate only to the behavioural practices or the human relationship involved in the process of innovation creation and diffusion, it has a larger meaning based on the creation of a greater common good” (p.30).

Such a synergising of business with a social contract has been articulated by Ian Davis, the former managing director of McKinsey & Company:

In many instances, a ‘business of business is business’ outlook has blinded companies to outcomes, or to shifts in the implicit social contract that often could have been anticipated. Just as important, these outcomes have not just posed risks to companies but also generated value creation opportunities. (Davis, 2005, p. 3)

The idea of an implicit social contract is obliquely acknowledged in statements about responsibility, sustainability and ‘creating shared value’ by company leaders. Table one sets out a number of randomly chosen public statements by senior business leaders which express an acceptance of an implicit social contract.

It is not within the scope of this article to examine the claims made by executive leaders on how their companies apply their understanding of

the social contract in an accountable way. Rather, my purpose is to observe how the semantics and significance of ‘social’ has expanded to include ideas such as service and responsibility both to immediate stakeholder groups and “remote societies” (Nissan, 2016). The views expressed by leaders and set out in table one more closely fit *homo duplex* than *homo economicus*.

The statements indicate that social (and environmental) descriptors are signals of a substantive (values-based) rationality which reflects a world view that is perceived as being ‘morally good,’ in other words, an ethical standard. Weber defines an ethical standard as “a specific type of value-rational belief among individuals which, as a consequence of this belief, imposes a normative element upon human action which claims the quality of the ‘morally good’” (Weber, 1921/1968, p.36). But the annexation of ‘social’ to discrete business disciplines suggests that substantive rationality has been integrated with instrumental rationality, as shown for example in the range of social impact assessment and reporting tools currently in use in supply chains, manufacturing and business operations. Social science research tools are therefore required to identify the balance between instrumental rationality and value rationality (Flyvbjerg 2001, pp.129-140; Rooney, 2013), to uncover more precisely organisational motivations and actions

36页)。但把“社会”合并到不同的商业领域表明实质理性已经和工具理性结合,比如说现在用于供应链、制造业和企业管理中的社会影响评价以及其他报告手段。因此,为了更精确地识别经常使用“社会”作为一种普遍美德的组织动机和行动,社会科学的研究工具需要找到工具理性和价值理性之间的平衡(Flyvbjerg 2001, 第129至140页; Rooney, 2013)。

欧洲委员会归纳了各种各样的社会创新定义(2013):

“开发和实施新的想法(如产品、服务和模型)以满足社会需求、创造新的社会关系或合作……社会创新是无论在其成果上还是在其意义上都能体现社会性的创新。这些创新不仅有益于社会,而且提高了个人的行动能力。”(European Commission, 2013, 第6页)

总之,社会创新的重点在于创造社会价值和社会变革(Havea & Rubalcaba, 2016; Adams and Hess, 2010)。通过对172篇出版物的分析,Havea和Rubalcaba(2016)认为在通过社会创新创造变革的过程中有两个“核心概念元素”:1)社会关系、社会系统或社会结构的改变,2)这些改变为人类共同的需求/目标服务或能够解决一个社会相关的问题”(第1932页)。

在肯尼亚,惠普公司与非政府组织CHAI和卫生部合作,通过一个婴儿早期诊断(early infant diagnosis, EID)项目,来挽救艾滋病婴儿的生命。

通过欧盟社会企业计划(the EU Social Business Initiative)和欧洲社会基金(the European Social Fund),欧盟针对贫困和社会排挤问题所出台的意义重大的社会创新政策也为社会创新和社会企业项目吸收了种子资金以应对社会挑战(European Commission, 2013, 第30至31页)。慈善

家、政府和政府跨部门组织认可了社会创新在解决人类和集体社会基本需求上的必要性和潜力,但受限于资源和技术的短缺,难以发展社会创新项目。一种观点认为,“纯粹”的社会创新项目无法在“市场机制”下得以持续(Borzaga and Bodini, 2014; Poland and Ville, 2009)。

但在多种动机的支撑下,由企业支

通过创造新的、更负责的且可持续发展的解决方案,企业可以培育新的商业机会。‘企业社会创新’可能是民营企业的一个重要的新业务领域,同时也可能是一个创新的核心驱动力。

持开发的社会创新项目可以为应对全球社会和生态的挑战带来创新的解决方案。例如,TechnoServe和Nespresso就已经为一个合作咖啡种植计划在南苏丹投资了260万美元,首次与15000名农民达成了十年的咖啡种植和出口协议(Smith, 2015)。这次社会创新为农民创造了一个新的商业模式,同时也创造了在出口前先在当地加工咖啡豆的新型“湿磨机”。为多达15000名的工人创造社会变革超出了南苏丹新政府的资源能力,但以Nespresso的专业知识和目的却可以实现变革。这是一个“双重人”合作的案例:单看理性的商业利益,并不太可能促成这项投资,但冒险涉足一个新咖啡种植区却似乎已经崭露出社会公益/共同福利的动机。

营养教育正逐渐被涉足婴幼儿营养的公司所重视。比如说,达能纽迪希亚已经在英国与非政府组织的专家合作成立了“早期营养伙伴关系(Early Years Nutrition Partnership)”,为幼儿照料者提供营养教育。

在肯尼亚,惠普公司与非政府组织CHAI和卫生部合作,通过一个婴儿早期诊断(early infant diagnosis, EID)项目,来挽救艾滋病婴儿的生命。惠普致力于完善该婴儿早期诊断项目,优化接触艾滋病毒婴儿的早期检测和治疗,并统筹组织了一系列专

that actively use 'social' as a universal moral good.

There are a variety of definitions of SI summarised by The European Commission (2013) as:

“The development and implementation of new ideas (products, services and models) to meet social needs and create new social relationships or collaborations...Social innovations are innovations that are social in both their ends and their means. They are innovations that are not only good for society but also enhance individuals' capacity to act.” (European Commission, 2013, p.6)

In short, SI focuses on creating social value and social change (Havea & Rubalcaba, 2016; Adams and Hess, 2010). Havea and Rubalcaba (2016) have analysed 172 publications to conclude that there are two 'core conceptual elements' to creating change through SI: “1) a change in social relationships, -systems, or -structures, and 2) such changes serve a shared human need/goal or solve a socially relevant problem” (p.1932).

The European Union's significant SI policy to tackle poverty and social exclusion also incorporates seed-funding for SI and social enterprise projects that help to address the social challenges through the EU Social Business Initiative and the European Social Fund (European Commission, 2013, pp.30-31). Humanitarian, governmental and intra-governmental organisations recognise the need and the potential for SI to address essential human and communitarian needs but are constrained by the availability of resources and skills to develop SI projects. One view is that “pure” SI projects cannot be sustained by the “market mechanism” (Borzaga and Bodini, 2014; Pol and Ville, 2009).

But the development of SI by companies for a variety of motivations can bring innovative solutions to address global social and ecological challenges. For example, TechnoServe and Nespresso have invested \$2.6m in a cooperative coffee farming scheme in South Sudan to engage 15,000 farmers over a decade in farming and exporting coffee for the first time (Smith, 2015).

The SI involves the creation of a new business model for farmers and the creation of new “wet mills” to process coffee beans on site before export. Creating social change for up to 15,000 workers was beyond the resource capability of the nascent government of South Sudan but within the expertise and purpose of Nespresso. Here we have an example of a corporation acting as *homo duplex*: rational business interest alone is unlikely to have made this investment, but the motivation for combining access to a new but risky coffee growing region seems to have arisen from social /

By creating new and more responsible and sustainable solutions, companies can cultivate new business opportunities. 'Corporate social innovation' may be an important new business area for private companies and a core driver of innovation.

common good motivations.

Nutritional education is gradually being addressed by companies with a role in infant nutrition. Danone Nutricia, for example, has helped to create the Early Years Nutrition Partnership in the UK with expert NGOs to provide nutritional education for child carers.

In Kenya, Hewlett-Packard (HP) partnered with CHAI, an NGO, and the Ministry of Health in an early infant diagnosis (EID) project to save the lives of infants born with HIV. HP engaged in a process improvement to the EID program to enhance early testing and treatment of infants exposed to HIV and coordinated the efforts of a range of experts, companies and institutions cooperating in a “social innovation project” (Salim and Ellingstad, 2016).

A FORA study for the OECD found that the private/public demarcation line is becoming increasingly blurred and is being challenged

家、企业和机构来共同推动一个“社会创新项目”（Salim and Ellingstad, 2016）。

为经济合作与发展组织（OECD）所开展的一个论坛研究发现，公共和私有的划定界限正变得越来越模糊，尤其是对一些全球

社会创新为民间社会及其代表机构从事和支持新兴的小型社会企业和大型的跨国企业提供了实现社会变革的新途径。

领先的企业来说。这些企业不断寻求新的商业机会，他们相信并意识到气候变化、洁净水源的供应、流行病和社会需求等全球性挑战正在构成一个巨大的新市场。通过创造新的、更负责的且可持续发展的解决方案，企业可以培育新的商业机会。‘企业社会创新’可能是民营企业的一个重要的新业务领域，同时也可能是一个创新的核心驱动力。

（FORA, 2009, 第11页）

尽管有企业社会创新的欲望，Havea 和 Rubalcaba（2016, 第1933页）就如何表达对社会创新的需求提出了疑问，因为其不可能产生明确的“市场信号”。他们认为：“明确的‘社会创新政策’将有助于推动地方共同社会创新规模的扩大，在当地营造出创新的气氛”（第1933页）。在澳大利亚相对弱

势的地区，基于社区的社会企业是增长最快的商业领域，其在实现社会创新的过程中发挥着重要的作用（Adams & Hess, 2010, 第147页）。我们需要进一步的研究，确定政策举措可以在什么程度上预示着市场机会，是否政府的资助行为（如欧盟的各种项目援助）掩盖了“市场信号”。

当一个主流创新得以应用并创造社会效益时，社会创新就得到了进一步的扩展。最近的一个例子是无人机的发明。无人机最初是一种以军事用途为目的而开发的无人驾驶飞行器，现在，多种多样的组合使用方式使得无人机在生命救助和作为传染病区护士助理的应用成为了可能（Moran, 2016, 第73页）。无人机象征着为社会带来积极溢出效应的创新。

这篇对社会创新概念的简短概述表明，一种对社会更广泛更深入的理解已经存在于我们的生活之中。它渗入那些超越“经济人”功利主义理性的动机，同时突出了商业和非商业从事者寻求相互合作、为共同利益而创新的另一套心理激励法和社会驱动力。下一步的研究必须更准确地判断企业参与到区别于其业务功能中常态商业创新的“社会”创新中的原因。但本文所提出的有限证据表明参与社会创新的动机确实存在。虽然这些动机可能是多种动机相混的综合体现，但证据显示社会创新为民间社会及其代表机构从事和支持新兴的小型社会企业和大型的跨国企业提供了实现社会变革的新途径。

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in particular by leading global companies in a constant search for new business opportunities, who regard and will realise that global challenges such as climate change, the supply of clean water, epidemics and social needs constitute a huge new

mainstream innovation is utilised for its social benefits. A recent example is the invention of the drone, an unmanned aerial vehicle first developed for military use. Various adaptations are now making it possible for drones to be used

Social Innovation offers fresh paths for civil society and its representative institutions to engage with and support emergent small social enterprises as well as the large multinational enterprises to achieve social change.

market. By creating new and more responsible and sustainable solutions, companies can cultivate new business opportunities. 'Corporate social innovation' may be an important new business area for private companies and a core driver of innovation. (FORA, 2009, p.11)

Notwithstanding the appetite for corporate social innovation, Havea & Rubalcaba (2016, p.1933) question how demands for SI can be articulated, as it is unlikely to produce clear 'market signals'. They believe that "well-defined 'social innovation policy' could prove useful for facilitating the scaling-up of locally co-produced social innovations so that they diffuse in society" (p.1933). In areas of Australia experiencing disadvantage, community-based social enterprises are the fastest growing businesses and are playing a significant role in making SI possible (Adams & Hess, 2010, p.147). Further research is required to identify the extent to which policy initiatives can flag up market opportunities and whether governmental funding initiatives such as those offered by the European Union obscure any 'market signals'.

A further extension of SI occurs when a

for life-saving missions and as nurse assistants in contagious zones (Moran, 2016, p.73). The drone is emblematic of innovations that cause a positive spillover to society.

This brief overview of the idea of SI indicates the presence of a wider and deeper understanding of social that taps into motivations that go beyond the rational utilitarian motivation of *homo economicus* and highlight another set of psychological and social drivers by commercial and non-commercial actors seeking to partner together to innovate for the common good. Further research is required to determine more precisely the reasons that companies engage in 'social' innovation as distinct from ongoing normal business innovation within the array of business functions. But the limited evidence put forward in this paper indicates that motivations exist to engage in SI. The motivations are likely mixed and complex but the evidence indicates that SI offers fresh paths for civil society and its representative institutions to engage with and support emergent small social enterprises as well as the large multinational enterprises to achieve social change.

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## MORAL LEADERSHIP

## USING THE METHOD OF FRANCIS DE SALES

### 实践圣方济各· 沙雷氏的道德领导力

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Roderick O'Brien 山显治

#### ABSTRACT

Moral Leadership implies that the exercise of leadership should be carried out according to identifiable moral values. The exercise of responsible leadership can be an instance of moral leadership. This includes the identification of stakeholders, and the provision of opportunity for stakeholders to participate in the ongoing processes of the organisation. Francis De Sales, who was lawyer, religious leader and founder of a religious order, writer and mentor, offers a practice or method which can be used for working with stakeholders. Although apparently simple, this practice is complex and rich with possibilities. De Sales introduces his practice in the context of buying and selling, but it can be extended for use in more complex transactions. This paper introduces the practice, here called “exchanging places”, explains how it functions, and notes some limitations.

In the *Analects* we find this teaching: “He who rules by virtue is like the polestar, which remains unmoving in its mansion while all the other stars revolve respectfully around it” (Confucius, 1997, 2.1). Moral leadership, grounded in virtue, is not limited to any particular culture. The initial purpose of this article is to link moral leadership with another commonly used term, responsible leadership, and to apply responsible leadership in the educational sector. The second purpose of

#### 摘要

道德领导力是指按照明确的道德价值行使领导权力。负责型领导是道德领导力的一个实例，其包含了识别利益相关方，并为利益相关方提供参与到组织发展中的机会。圣方济各·沙雷氏（律师，宗教领袖，教派创立者，作家和导师）提供了一种适用于与利益相关方协作的方法。这种方法看似简单，实则复杂且富有各种可能性。沙雷氏最初将这种方法用于物品买卖的情景，但该方法可以被扩展应用到更复杂的交易之中。在这里我们将这种方法称为“交换立场”，本文将介绍这种方法，并解释这种方法是怎样发挥作用，同时也将指出使用这种方法的一些限制。

在《论语》中我们发现了这样一句箴言：“为政以德，譬如北辰。居其所而众星拱之”（意为：无论是谁，只要他以道德教化来治理政事，就会像北极星那样，自己居于一定的方位，而群星都会环绕在它的周围；Confucius, 1997, 2.1）。建立于美德之上的道德领导力不局限于任何特定的文化。这篇文章的首要目的是将道德领导力与另一个常用的术语——负责型领导——联系起来，并将负责型领导的概

this article is to introduce one contribution of a Renaissance Catholic mentor, Francis De Sales, as a practice which can be used in exercising moral leadership in a responsible way. This is the practice of “exchanging places”.

Responsible leadership is defined by the *Financial Times* in its Lexicon:

“Responsible leadership is about making business decisions that, next to the interests of the shareholders, also takes into account all the other stakeholders, such as workers, clients, suppliers, the environment, the community and future generations.” (Financial Times, nd)

But the concept of “responsible leadership” eludes such a simple definition. Does this definition incorporate a specifically moral dimension? Reflective scholars have noted that leaders can be immoral or amoral, just as they can act in accordance with morality (Graham, 1991). Ciulla argues that the notion of leadership itself contains an ethical dimension (Ciulla, 2006). For Ciulla, this is a core aspect of leadership, and should not be marginalised. But Ciulla also makes the point that people will follow leaders who are not simply immoral but also destructive – her choice of word is toxic. Bass and Steidlmeier, in an argument which looks to both western and eastern philosophies, describe immoral leadership as inauthentic, and thus not real leadership (Bass & Steidlmeier, 1999).

Responsible leadership is an evolving concept. Alan Burton-Jones, who has noted studies that examine the tasks of leaders, or their traits, or their behaviours, or their context, has charted some of that evolution (Burton-Jones, n.d., p.3). For example, studies show that some leaders evidence strong motivation, drive, and charisma, but many effective leaders may be strong in some traits and not in others. Different traits, such as ability in planning, may be more effective in some contexts.

While studies within an individual culture can be helpful, cross-cultural studies remind us that no broad approach to responsible leadership can be through the prism of only one culture (Witt

and Stahl, 2015). The case of a Pepsi joint venture in China reminds us how a relationship may be misunderstood in a cross-cultural situation (Rothlin and McCann, 2016).

#### RESPONSIBLE LEADERSHIP AND STAKEHOLDERS

Although very limited, the *Financial Times* definition of responsible leadership does bring out an important point: the responsible leader must not only work with people directly in her organisation, but also with stakeholders (Financial Times, nd). Maak and Pless stress that the responsible leader must relate to stakeholders:

“We understand responsible leadership as a social-relational and ethical phenomenon, which occurs in social processes of interaction. While the prevailing leadership literature has for the most part focussed on the relationship between leaders and followers in the organization and defined followers as subordinates, we show in this article that leadership takes place in interaction with a multitude of followers as stakeholders inside and outside the corporation.” (Maak & Pless, 2006, p.99)

There is an alternative view: that the only business of the business leader is the maximisation of return to shareholders (Friedman, 1970). Others, even employees, are not the owners of the organisation and do not require the same consideration from the leader. Of course, the leader will be considerate towards the interests of others while seeking the interests of shareholders. Of the two approaches, stakeholder theory has gathered many supporters (Zhang, 2014, p.6).

While the *Financial Times* definition understandably refers to business, leadership is found in every aspect of human endeavour, not just in business (Stückelburger & Mugambi, 2007). Sometimes it is the experience of major scandals which alerts us to the need for responsible leadership. Scandals of corruption and doping in sport, scandals of maladministration and cover-up in religious organisations, political scandals

念运用到教育领域。这篇文章的第二个目的是介绍文艺复兴时期天主教导师圣方济各·沙雷氏的贡献，他的做法作为一种负责任的方法可以被运用到行使道德领导力的实践之中。这种方法就是“交换立场”。

金融时报的词典将负责型领导定义为：

“负责型领导是指从股东的利益出发来作商业决策，同时也考虑到所有其他利益相关方（如工人、客户、供应商、环境、社区和子孙后代）的需求。”（Financial Times, nd）

然而，“负责型领导”的概念不仅仅是这样一个简单的定义。这个定义是否包含了特定的道德维度？通过深思，学者们已经指出，就如同领导者可以按照道德标准行事一样，他们也可以是道德败坏或者是非不分的（Graham, 1991）。Ciulla认为，领导力这个概念本身就包含了一个伦理的维度（Ciulla, 2006）。对Ciulla而言，伦理是领导力的一个核心部分，不应该被边缘化。但Ciulla也指出，人们偏爱追随不仅道德败

圣方济各·沙雷氏所实践和推崇的道德领导力主要由两个要素组成：一种与上帝的关系，他将之称为奉献，以及一种生活方式，他将之称为美德。

坏，而且具有破坏力的领导——她的措辞是带有侵略性的。在一篇讨论东西方哲学的论文中，Bass和Steidlmeier将道德败坏描述为不可信的，因而不是真正的领导力（Bass & Steidlmeier, 1999）。

负责型领导是一个不断发展的概念。通过关注有关领导者的任务、特质、行为或背景的研究，Alan Burton-Jones指出了其中一些方面的演变（Burton-Jones, n. d., 第3页）。比如说，研究表明，一些领导者有强烈的动机、动力和非凡的领导力，而许多能干的领导者可能只是在一些特质上有过人的表现，在其他方面却并不突出。不同的特

质，比如规划能力，也许在某些情况下更有影响力。

即使特定一种文化下的研究可以是有用的，但跨文化的研究告诉我们，没有一种对负责型领导的普遍研究是可以通过单种文化的棱镜来实现的（Witt and Stahl, 2015）。百事公司在中国的合并案就提醒我们，在跨文化的情形下一段关系是怎样被误解的（Rothlin and McCann, 2016）。

### 负责型领导和利益相关方

尽管非常有限，《金融时报》对负责型领导的定义确实引出了一个重要的观点：负责任的领导者不仅要与其组织中的人直接共事，而且还要与利益相关方携手共进。

（Financial Times, nd）Maak和Pless强调，负责任的领导者必然会和利益相关方打交道：

“我们认为负责型领导是一种和社会关系相关的道德现象，产生于相互作用的社会进程中。当盛行的探讨领导力的文献大部分集中讨论一个组织中领导者及其下属之间的关系并将下属作为服从者时，我们将在这篇文章中说明，领导力发生在领导者与众多企业内外利益相关方互动的过程中。”（Maak & Pless, 2006, 第99页）

还有另外一种观点：即企业领导者的唯一任务是最大化股东的收益（Friedman, 1970）。其他人，即使是公司雇员，并不是该组织的所有者，因此不需要得到领导者同等的重视。当然，领导者在为股东追求利益的同时也会体谅他人的利益。宣扬这两种方式的利益相关方理论已经聚集了众多的支持者（Zhang, 2014, 第6页）。

《金融时报》的定义可以被理解为特指商业领导力，然而领导力却在人类活动的各个方面处处可见，并不局限于商业（Stückelburger & Mugambi, 2007）。有时，重大丑闻的曝光让我们突然意识到我们需要负责型领导。体育运动中的兴奋剂和腐败丑闻、宗教组织的管理不善和隐瞒丑闻、滥用职权和挪用公款的政治丑闻，以及抄袭剽窃和文凭造假的教育界丑闻都是这样的例子。丑闻是为非作恶的信号，也是需要美德

of abuse of power and private appropriation of public funds, scandals of plagiarism and false qualifications in education are all examples. Scandals, which are the signals of vice at work, are also signals of the need for virtue.

#### WHO WAS FRANCIS DE SALES?

Francis was a nobleman of the Sales family in the Duchy of Savoy. His father was Lord of Boisy. Francis was first-born, in 1567, and his father planned for him a career in civic leadership, beginning as a magistrate. After local schooling, Francis was sent for advanced study, first in Paris and then in Padua where he graduated with his doctorate in law in 1591. He was admitted to practice law as an advocate in the Senate of Chambéry, and his father arranged for him to receive various appointments, including as a senator, in 1592.

The moral leadership exercised and promoted by Francis De Sales is specifically grounded in two elements: a relationship with God, which he calls devotion, and a way of living which is virtuous.

However, Francis opted for life in the service of the Catholic Church. Despite parental opposition, he was able to begin this. Then in his new life he was quickly propelled into leadership. In 1593 he was appointed provost of the Cathedral in Geneva, and in the same year ordained priest. In 1602, he was consecrated as Bishop of Geneva, an office which he held until his death in 1622. He was not only a religious leader but also a founder, having founded (with Baroness de Chantal) the Sisters of the Visitation.

Francis is noted as a mentor, advising people through his letters and face to face. Some of his advice, especially to Marie de Charmois, was collected and published in the *Introduction to the Devout Life* (De Sales, 2015). The book

was very popular, and with other works by Francis, has been translated into many languages (Boenzi, 2013, p.9). Francis himself revised the *Introduction* over various editions, and it continues to be published today. However, it is not a scholarly work, and not even very systematic. It shows evidence of being written in the midst of a busy life. Francis is surprisingly modern: he draws on his experience of advising women, including women who were involved in the business of their time, such as managing the family estates while their husbands were at court or at war.

The moral leadership exercised and promoted by Francis De Sales is specifically grounded in two elements: a relationship with God, which he calls devotion, and a way of living which is virtuous.

#### EXCHANGING PLACES IN BUYING AND SELLING

Francis De Sales expressed himself in the common language of his time: the language of virtue and vice. Of course, this language has once again become accessible with the growing revival of virtue ethics both in western and eastern ethics. Francis' language is modern enough to serve as counterweight to the "Greed is Good" mantra. Instead of succumbing to the vice of greed, Francis suggests that we promote the virtues of justice, gentleness, and charity. Francis certainly does not condemn wealth, neither does he propose withdrawing from the world of possessions: his concern is about our personal attitude to wealth, and how it is gained. Francis says to Philothea (the fictional recipient of his advice): "Yes, I wish that you have the care to increase your resources and wealth, provided it is done not only with justice but also with gentleness and charity" (De Sales, 2015, p.183).

In a chapter entitled "We must have a just and reasonable mind", Francis provides us with a practice which we can use. He introduces it in simple language:

"Philothea, be impartial and just in your actions. Put yourself always in the place of your neighbour, and your neighbour in

的信号。

### 圣方济各·沙雷氏是谁？

圣方济各是萨伏依公国沙雷氏家族的一名贵族。他的父亲是Boisy勋爵。圣方济各出生于1567年。从当一名县长开始，他的父亲为他规划了成为市政领导的职业生涯。从当地的学校毕业后，圣方济各被先后派往巴黎和帕多瓦留学深造，并于1591年在帕多瓦取得法学博士学位。他于1592年考取开业律师资格并成为了尚贝里参议院的拥护者，同时他的父亲为他安排了各种职务，包括成为一名参议员。

圣方济各对Philothea（圣方济各虚构的建议对象）说：“是的，我愿你希望增加你的资源和财富，并通过正义且温和又仁爱的方式来获取它”

然而，圣方济各选择了为天主教堂服务的生活。尽管父母反对，他还是走上了这条路。之后，在新生活中圣方济各很快被推选成为领导层的一员。1593年，他被任命为日内瓦天主教堂的教务长，并在同年被任命为神父。1602年，他就任日内瓦天主教主教，这一职务伴随了他的余生，直至他于1622年逝世。他不仅是一个宗教领袖，也是一个教派创始人——他（和Baroness de Chantal）创办了圣母访亲女修会。

圣方济各被奉为导师，他通过书信和面谈为人们提供建议。他的一些建议，尤其是给Marie de Charmois的建议，被收录于《成圣捷径》之中（De Sales, 2015）。这本书曾经很受欢迎，和圣方济各的其他作品一样，如今已被译成多种语言（Boenzi, 2013, 第9页）。圣方济各本人修订了《成圣捷径》的几个版本，该书至今还在出版。然而，《成圣捷径》并不是一个学术作品，甚至不是十分有条理。证据表明这本书写于忙碌的生活间隙。圣方济各有着令人吃惊的现代感：他在向妇女提供建议的过程中获取经验，包

括当时经商的妇女，比如说那些丈夫在法庭或战场，因而独自管理家庭财产的妇女。

圣方济各·沙雷氏所实践和推崇的道德领导力主要由两个要素组成：一种与上帝的关系，他将之称为奉献，以及一种生活方式，他将之称为美德。

### 买卖中的“交换立场”

圣方济各·沙雷氏用那个年代的通用语言来表达自己，即美德与罪恶的语言。当然，随着美德伦理在当时西方伦理学界和东方伦理学界同时的日益复兴，这种语言再一次成为了一种通俗易懂的语言。圣方济各的语言所具备的现代感足以抗衡“贪婪是好事”这样的咒语。圣方济各建议我们推崇正义、温和和仁爱的美德，而不是屈从于贪婪的恶习。圣方济各自然没有谴责财富，也没有提议放弃财产：他关心的是我们个人对财富的态度，以及我们获取财富的方式。圣方济各对Philothea（圣方济各虚构的建议对象）说：“是的，我愿你希望增加你的资源和财富，并通过正义且温和又仁爱的方式来获取它”（De Sales, 2015, 第183页）。

在题为“我们必须有一个公正且通情达理的头脑”的章节中，圣方济各为我们提供了一个可以借鉴的做法。他用简单的语言介绍它：

“Philothea，你的行为应是公平公正的。你要总是站在邻居的立场上，把邻居放在你的立场上，这样一来，你就可以很好的判断他。在买东西的时候把自己想象成卖家，在卖东西的时候把自己想象成买家，这样你的买卖就能公正地进行。所有这些正义的行为都很小，而且也不会逼着我们自己去做出补偿，因为我们的思考严格地保持在对我们有利的范围之内。但他们仍迫使我们去纠正我们的态度，因为这其中仍存在许多不通情达理和非仁爱的地方。毕竟，利用这些缺陷就是不诚实的手段。我们怀着一颗大度、公正又通情达理的心，活得慷慨、高尚且礼貌，也不会损失什么。”（De Sales, 2015, 第242页）

这种做法很简单，它让我们在买卖交易

your own place, and thus you will judge him well. Make yourself a seller while buying and a buyer while selling: you will sell and buy with justice. All these acts of justice are small, and do not oblige us to restitution, since we remain strictly within the limits of what is advantageous to us. But they continue to oblige us to correct our attitudes because there are great defects of reason and charity. After all, these are simply deceits. We lose nothing by living generously, nobly, courteously, and with a magnanimous, impartial, and reasonable heart.” (De Sales, 2015, p.242)

The practice is simple enough: it enables us to “exchange places” with the other party to a transaction of buying and selling. Nevertheless, we do not act only on the other party’s standpoint. The other party might be poorly informed, or rash, or unskilled in dealing. We cannot act on this, because doing so would be to act against

stakeholders (O’Brien, 2012, p. 101). The practice is based in a fundamental attitude to life, an attitude of virtue. This attitude is maintained through regular examination of the heart. Such an examination will be a constant check on the success of our use of the method.

One limitation of the practice is that simply “exchanging places” is not sufficient. Unless the whole transaction is grounded in virtue, “exchanging places” can be simply a device for abusing the other, when the other is lacking in knowledge, or in any weakened bargaining position.

#### CONTEMPORARY AND CROSS-CULTURAL RELEVANCE

As a Renaissance writer, De Sales’ ethics represent a composite of two wisdom traditions: one is the Judaeo-Christian tradition, and the other is the classical Greek tradition. Both wisdom traditions use the language of virtue, and

“Yes, I wish that you have the care to increase your resources and wealth, provided it is done not only with justice but also with gentleness and charity.” *Francis De Sales*

the virtue of justice. The other party might be desperate to sell, but to take advantage of this would act against the virtue of generosity. Francis called on Philothea to begin from a standpoint of impartiality. So, while we exchange places with the other party, we do so justly, and we so “generously, nobly, courteously, and with a magnanimous, impartial, and reasonable heart.” (De Sales, 2015, p.242) Impartiality also requires a process with two steps: firstly, to put oneself in the other party’s place, and secondly, to put the other party in one’s own place.

This practice requires the trader to begin in a spirit of impartiality, then to apply the method justly, and then to act virtuously in carrying out the transaction. The practice is useful not only in the simple transactions of buying and selling, but also in more complex contemporary business transactions with multiple parties and

De Sales presented his ethics in terms of virtues (De Sales, 2015, p.28). In recent years, there has been a revival of virtue ethics, and perhaps the best-known contributor to this revival is Alasdair MacIntyre (MacIntyre, 2007). New interest in virtue ethics is also fuelled by growing interest in virtues in Chinese traditional wisdom (Angle & Slote, 2013; Provis, 2017). De Sales’ work fits well into this modern, cross-cultural revival of virtue ethics: De Sales articulates the life of virtue as a key part of the devout life, and discusses the importance of particular ethics such as benevolence.

Another interest across cultures is reflections on the Golden Rule (Gensler, 2013). In the Chinese tradition there is an example in the *Analects*: Zigong asked, ‘Is there any single word that could guide one’s entire life?’ The Master said, ‘Should it not be reciprocity? What you do not wish

中与对方“交换立场”。然而，我们不只是以对方的立场行事。对方可能对交易行为知之甚少，或者是轻率、没有技巧。我们不能这样做，因为这样做违背了正义的美德。对方可能急于出售，但如果利用这一点就违背了慷慨的美德。圣方济各呼吁Philothea从立场公正做起。所以，由于我们与其他人交换了立场，因而我们可以公正地判断问题，因此我们能够“怀着一颗大度、公正又通情达理的心，活得慷慨、高尚且礼貌。”（De Sales, 2015, 第242页）公正还讲求一个有两个步骤的过程：首先，自己要站在对方的立场上，其次，要让对方站在自己的立场上。

个现代的、跨文化的美德伦理复兴中仍然十分受用：沙雷氏明确表达了，美德生活是虔诚生活的一个关键部分，同时论述了一些伦理（如善行）的重要性。

不同文化中中共有的另一个兴趣点是对“黄金法则”的思考（Gensler, 2013）。就中国传统而言，《论语》中有这么一个例子：“子贡问曰：‘有一言而可以终身行之者乎？’子曰：‘其恕乎！己所不欲，勿施于人’”（意为：子贡问孔子：“有没有一个字可以终身奉行的呢？”孔子回答说：“那就是‘恕’吧！自己不愿意的，不要强加给别人。”；Confucius, 1997, 15.24）。《论语》与其他文化中的黄金法则的联系

在买东西的时候把自己想象成卖家，在卖东西的时候把自己想象成买家，这样你的买卖就能公正地进行。

这种做法需要交易者从本着公正的精神开始，然后合理地运用这种方法，再正直道德地进行这场交易。这种做法不仅适用于简单的买卖交易，而且也适用于当代更为复杂的多方商业交易（O'Brien, 2012, 第101页）。它基于一种基本的生活态度，一种美德的态度。这种态度要通过不断审视自己的内心才能得以保持。这样的审视将不断核对我们是否成功使用了这种方法。

这种做法的一个局限之处是，仅仅“交换立场”是不够的。除非整个交易建立在美德的基础之上，否则如果对方的知识或经验不足，或处于交涉交易的劣势地位时，“交换立场”可能只是诓骗对方的一个工具。

#### 交换立场与跨文化的当代关联

作为一个文艺复兴时期的作家，沙雷氏的伦理观代表了两个思想传统的集合：一个是犹太基督教传统，另一个是经典希腊传统。两种思想传统都使用美德的语言，而沙雷氏也从美德的角度表现了他的伦理观（De Sales, 2015, 第28页）。近年来，美德伦理学复兴，Alasdair MacIntyre也许是这场复兴中最知名的贡献者（MacIntyre, 2007）。对中国传统美德日益增加的关注也推动了美德伦理学的复兴（Angle & Slote, 2013; Provis, 2017）。沙雷氏的作品在这

已经在其他地方有所探讨（Wang, 1995, 第415页）。实际上，沙雷氏的贡献是一个复杂的互惠工具，它涉及了对黄金法则的一些批判。它基于互惠，但交换立场的方法却并不是那么简单。

#### 应用：与利益相关方交换立场

圣方济各·沙雷氏的方法不仅可以应用于复杂的商业交易，也可以超越商业应用于其他领域的负责型领导。在道德领袖的伦理工具箱中，这种方法可以被视为一种有用的工具。

本文将用教育领域作为一个假设性示例。这个例子以一位大学校长为中心。这所大学由一个基金会私有，在一批慈善家的管理下运营。运营资金部分来自基金会，其余来自政府、公共捐赠和学生所缴纳的学费。这个校长正面临着越来越多的“文凭造假”或“代笔”问题（Zheng & Cheng, 2015）。已经有足够的研究允许校长识别利益相关方，就他们对该大学的重要程度来进行排序分级，并提出相应地应对策略（Mitchell, Agle & Wood, 1997, 第853页）。在确定了所有潜在的利益相关方之后，校长必须制定出如何处置这些利益相关方的方案。和该过程相关的文献建议，校长必须至少在名义上处置这些利益相关

for yourself, do not wish for others' (Confucius, 1997, 15.24). The link with the Golden Rule in other cultures has been explored elsewhere (Wang, 1995, p. 415). De Sales' contribution is, in effect, a complex tool for reciprocity, which deals with some of the criticisms of the Golden Rule. It is based in reciprocity, but the method for exchanging places is not simplistic.

The president seeks to place herself in the shoes of the identified stakeholder. For the purposes of this paper, we will use only one example, that of the alumni, and assume that they have been identified as stakeholders. Alumni have already completed their degree, and rely on it for their employment and for their status in the community. Alumni are potential candidates for a

“Make yourself a seller while buying and a buyer while selling: you will sell and buy with justice.” *Francis De Sales*

#### APPLICATION: EXCHANGING PLACES WITH STAKEHOLDERS

The practice or method of Francis De Sales can not only be applied to complex business transactions, but also beyond business into responsible leadership in other fields. The practice can be regarded a useful tool among many in the ethical tool box of the moral leader.

This paper will use the field of education as a hypothetical example. This example is centred on the president of a university. The university is privately owned by a foundation operated by a group of philanthropists. Funding is partly from the foundation, partly from governments, partly from public donations, and partly from student fees. The president is faced with an increasing problem of “contract cheating”, or ghost-writing (Zheng & Cheng, 2015). Considerable research exists to enable the president to identify stakeholders, to rank their importance for the university, and to suggest strategies for dealing with them (Mitchell, Agle & Wood, 1997, p.853). Then, having identified each potential stakeholder, the president must work out how to deal with that stakeholder. Literature on this process suggests that the president must at least deal with the stakeholders notionally, and perhaps directly (Donaldson & Preston, 1995, p. 65).

It is at this point that the method of De Sales described above becomes a useful practice for the president who seeks to be moral leader.

higher degree. And for many universities, alumni are potential donors. Standing in their shoes as a graduate and as a potential future student and donor, the president may see the need to strongly resist contract cheating.

But De Sales' method also imagines an exchange of places in the other direction. Thus the president must imagine that alumni had the opportunity to be the president. How would they choose to deal with this situation? This second step serves as a check and a feedback mechanism for the first step. This second step also serves to ensure that the president is acting justly, and not causing disadvantage to the stakeholders, or not taking advantage of their generally powerless position.

Finally, when making the decision on the action which can be taken, the university president must remember to act according to virtue: De Sales would have her act “generously, nobly, courteously, and with a magnanimous, impartial, and reasonable heart” (De Sales, 2015, p.242). It is important to note that De Sales does not think in terms of a single virtue, but in terms of these virtues as a cluster providing a balanced approach to the task.

Some alternative strategies may seem to be easier, but will not provide a successful solution. Strategies of denial, or of prevarication, or of legislation without enforcement, or shifting responsibility to teachers without giving them any resources, are possible but such strategies will not be successful for long. The university president who embodies moral leadership will guide those

方，并且也许应该采用一种直接的手段（Donaldson & Preston, 1995, p. 65）。

正是在这一点上，上述沙雷氏的方法有助于校长成为一个有道德的领导。校长尝试将自己置于其所识别出来的利益相关方的立场之上。就本文的目的而言，我们将只举校友的例子，并假设他们已经被确认为利益相关方。校友们已经获得了他们的学位，而他们的就业情况及其在社会上的地位都依赖于他们的学位。一些校友可能会在该校申请就读更高的学位。同时，对于许多大学来说，校友还是潜在的捐赠者。站在他们作为一名毕业生、一名潜在的未来学生以及一名学校捐赠者的立场上来说，校长可能会看到强烈抵制文凭造假的需要。

道德领导力可以用美德伦理学的术语来描述。美德伦理学的概念不仅是因为希腊先训和犹太基督教的教义为人所知，也被包括儒家在内的东方哲学所提倡宣扬。

但沙雷氏的方法也设想了反向的立场交换。因此，校长必须假想校友们也有成为校长的机会。如果这样，校友们将如何处理这种情况呢？这一步是上一步的检查和反馈机制。这一步也有助于确保校长处理该事件的公正性，不至于使得利益相关方处于劣势，或利用他们普遍相对无力的地位处境。

最后，当终于决定采取可行的行动方案时，该大学校长必须记住行事要以美德为原则：沙雷氏将教会她“怀着一颗大度、公正又通情达理的心，活得慷慨、高尚且礼貌。”（De Sales, 2015, 第242页）。非常值得注意的是，沙雷氏并不是只考虑到了一种美德，其所提到的美德形成了一个美德群组，为任务的解决提供了一种平衡的方式。

一些替代策略看起来似乎更加简单，但却无法提供一个成功的解决方案。否认、搪塞、立而不行的规定、或将处置的责任转

移给老师却不向他们提供任何资源，都是可能采取的策略。但从长远看来，这些方法都无法成功。只有实践道德领导力，大学校长才能引导利益相关方找到解决“文凭造假”或“代笔”的最佳方案。这就是负责任的领导。

## 结论

道德领导力可以用美德伦理学的术语来描述。美德伦理学的概念不仅是因为希腊先训和犹太基督教的教义为人所知，也被包括儒家在内的东方哲学所提倡宣扬。美德伦理学正在经历一个当代的复兴，相比一个世纪之前，像圣方济各·沙雷氏这样的导师现在或许更容易被理解。

利益相关方理论可能是在解释商业领导力的方面发展起来的，但它也为我们提供了一种方法，让我们能够用一种相互关联的方式在一个复杂的社会中生活。“做生意的唯一目的就是赚钱”或“教育就是教书”的说法实在是过于简单了。

圣方济各·沙雷氏的教导中所描述的做法并不局限于他所举例的买卖交易。他的方法可以扩展到更复杂的交易事务中，还可以应用于非商业的情况之下。显然，圣方济各·沙雷氏希望他所塑造的Philotheas能够负责任地生活，品行端正地做事。他的做法可以作为负责任领导的“工具箱”中的一种工具，帮助这些领导实现负责任地生活、品行端正地做事。这种方法并没有覆盖道德领导力的所有领域，但当负责任的领导必须选择一种最道德的方式来行与他人（比如利益相关方）相关之事时，“交换立场”就能得到运用。圣方济各·沙雷氏所描述的这种做法不是简单的机械步骤。只要负责任的领导要做出基于某种美德的决定和行动，它就可以被应用。沙雷氏认可了诸如慷慨、高贵、礼貌、宽容、公正、通情达理等美德。

因为我们以孔子的语录作为这篇文章的开始，所以我们用沙雷氏的语录来结束这篇文章：“要知道只有美德和奉献才能让你在这个世界上得到快乐，明白它们是多么的美好”（De Sales, 2015, 第318页）。

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involved to the optimum available solution to the problem of contract cheating or ghost-writing. This is leading responsibly.

#### CONCLUSIONS

Moral leadership may be described using the terms of virtue ethics. The concepts of virtue ethics are known not only from Greek wisdom and Judaeo-Christian teaching, but are also known to eastern philosophies including Confucianism. Virtue ethics is experiencing a contemporary revival, and mentors like Francis De Sales may be more readily understood now than a century ago. Stakeholder theory may have been developed in explaining business leadership, but it also provides us with an approach which enables us to live in an interconnected way, in a complex society. It is too simplistic to say: “the business of business is only business”, or “the business of education is only teaching”.

The practice described by Francis De Sales in his mentoring is not restricted to his particular example of buying and selling. It can be extended to more complex transactions, and it can be applied in non-commercial situations. Clearly Francis De Sales intends his Philotheas to live responsibly, and to act morally. His practice can serve in the “tool box” of responsible leaders who also desire to live responsibly and

act morally. It does not cover the whole field of moral leadership, but is to be used at the point where the responsible leader must determine the most moral method to act in relation to others,

Moral leadership may be described using the terms of virtue ethics. The concepts of virtue ethics are known not only from Greek wisdom and Judaeo-Christian teaching, but are also known to eastern philosophies, including among them Confucianism.

such as stakeholders. The practice described by Francis De Sales is not simply mechanical. It is to be applied within a general approach of virtuous decision and action by the responsible leader. De Sales has identified virtues such as generosity, nobility, courtesy, magnanimity, impartiality, and reasonableness.

Just as we can begin with a quotation from Confucius, so we can end with a quotation from De Sales himself: “Be aware that only virtue and devotion can make you happy in this world. See how beautiful they are” (De Sales, 2015, p.318).

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# THE FAÇADE OF ST PAUL'S IN MACAO REFLECTS CHRISTIAN, CONFUCIAN AND BUDDHIST SPIRITUALITY

## 澳门大三巴牌坊所反映的 基督教、儒学和佛教的精神内涵

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Christian Wagner, Su Chi Lin 林書琦

### ABSTRACT

The 17th century Portuguese church of St. Paul's in Macao has long been destroyed except for its façade. Once, it was part of a large complex that comprised a college which has been displaced by urban development. The preserved and recently renovated ruins of St. Paul's façade however have been added to the list of the UNESCO world heritage sites.

The façade's exposed location above Macao's old city centre made it an ideal canvas for the encounter of Asian and Western spiritualities, for an encounter of trade, cultures, and people and for an encounter of Macao's colonial past with Macao's present status as favoured special trading area of China. It is in this façade where Christian, Confucian and Buddhist spiritualities interact and where they have left a monument that illustrates an harmonious and mutual enrichment among these cultures.

### THE MAIN STRUCTURAL CHARACTERISTICS OF ST PAUL'S FAÇADE

**B**efore reaching the almost 70 square feet large façade of the 17th century Portuguese church of St. Paul's in Macao a visitor will have to climb 130 steps on a staircase that resembles those used for important imperial administrative buildings. The façade has been funded by local Macanese citizens as the inscription at the base

### 摘要

澳门的17世纪葡萄牙圣保禄大教堂，除正墙（下称“大三巴牌坊”）之外早就毁坏。这曾是一座大型综合建筑的一部分，该综合建筑包含一所学院，后来为城市发展所取代。尽管如此，得以幸存且近来又加以整修的大三巴牌坊遗迹已被列入联合国教科文组织世界遗产名录。

大三巴牌坊在澳门老城中心高地上的敞开所在使其成为亚洲和西方灵修交流、贸易文化人际交往、澳门的殖民地历史与其有幸成为中国特别贸易区的现状之间交相辉映的理想背景。在这里，基督教、儒家、佛教的灵修互动，留下了一块表明这些文化之间和谐互补的丰碑。

### 大三巴牌坊的主要结构特点

**要** 走到17世纪葡萄牙圣保禄教堂近乎70平方英尺的大三巴牌坊跟前，游客首先要爬130级台阶，这些台阶就像那些用于重要帝国行政大楼的台阶一样。大三巴牌坊由当地澳门市民出资建造，此为牌坊底座铭文所证明：“VIRGINI MAGNAE MATRI CIVITAS MACAENSIS LIBENS

of St. Paul's façade attests: "VIRGINI MAGNAE MATRI CIVITAS MACAENSIS LIBENS POSVIT AN. 1602" Great Virgin Mother placed gladly by the city of the Macanese. Year 1602.

Granite has been used as the main construction material for the façade. Coordinated by Jesuits, craftsmen from Japan as well as neighbouring Chinese provinces were recruited to decorate the façade with carvings while local foundrymen contributed the numerous statues that are placed in the façade's bays. The façade is

human and divine. Thus, whereas the Holy Spirit depicted in the pediment above Jesus belongs purely to the transcendent and divine sphere, it is Mary who represents human life on earth and whose statue is situated in the third storey below Jesus. The façade thus visually represents Christian spirituality where Jesus is paradoxically and mysteriously both human and divine.

The façade has some resemblance to a triumphal arch while at the same time it is also a main architectural feature of the former church

Given the façade's exposed position over the old city centre, the façade not only reflects spiritual confluence but also quite literally and materially Macao's Golden Age in which its prosperous inhabitants could afford financing such an elaborate artwork in which international craftsmen complemented the work of local artisans.

composed of four storeys that are supported by columns as well as a pediment which in turn is topped by a large iron cross. Dedicated to the Holy Virgin Mary whose statue is in the centre bay of the third storey, the façade's balustrades are decorated with obelisks next to which stone lions are placed that are carved in the style of Buddhist temple lions.

#### THE FAÇADE ILLUSTRATES CHRISTIAN SPIRITUALITY IN AN ASIAN STYLE

Christian spirituality is especially manifest in the façade's main statues which are arranged according to the religious hierarchy from the second storey over the fourth and up to the pediment. Thus, Jesuit saints on the second storey are not only below the statue of the Holy Virgin Mary, but their statues are also smaller than her's, signifying the larger devotion to the Mother of God to whom the former church had been dedicated. In the fourth storey the infant Jesus as the *Salvator Mundi*, is overshadowed by the dove that represents the Holy Spirit in the pediment on the very top of the structure. This arrangement is a reminder of the incarnation of Jesus who, according to Christian belief, is both

that once connected the outside of the church with its interior. As the façade mirrors the arrangement of the saints that has been reported for the inside of St. Paul's church, the entirety of the façade resembles a retable, i.e. a projection to the outside of the environment around the altar inside of the church. Similar to this hybrid functionality the façade's statues display characteristics of a hybrid style that comprises Chinese as well as European features. This means that it is not only their overall appearance that resembles Chinese art work but also more concretely their clothing that appears to be swinging to a windy breeze or resembling scroll painting, which illustrates Chinese influence in executing the representation of these Christian and Western religious missionaries. Both these marks indicate that the artists have responded in a Chinese way to the instructions of the Jesuit architects for decorating the façade. Or, in other words, the Christian spirituality of Catholic faith has been transposed due to the craftsmen's own Chinese and Japanese spiritualities thus forming these hybrid style statues.

The statues were not only cast of bronze but, unusually, they have been additionally gilded to even further enhance the statues' appearance, the faces and even the hands of the statues of

POSVIT AN. 1602 (由澳门人的城市欣然请至的伟大圣母。1602年)。”

花岗岩是大三巴牌坊的主要建筑材料。在耶稣会士的协调下，来自日本和大陆邻近省市的工匠雕刻、装饰了大三巴牌坊（即当时圣保禄大教堂的正墙），同时澳门当地的铸造厂工人雕铸了牌坊壁龛中众多的塑像。

堂内祭坛周围环境外部的凸出物。与这种功能的混合搭配类似，大三巴牌坊上的雕塑也体现了中西方建筑风格兼容的特点。这不单是指这些雕塑的整体外观富有中国艺术的特质，在更具体的角色刻画上，这些雕塑人物的服装似乎正被微风轻轻拨动或是被设计得有一种卷轴画的意味，这都说明了中国文

鉴于其在老城中心的地理位置，大三巴牌坊不仅反映了精神的融合，而且由于它是一个由兴旺富裕的澳门公民自己捐建、由当地工匠和国际匠人共同打造的精美艺术作品，因此还从字面和物质两个层面反映了“澳门的黄金时代”。

最终，建成的大三巴牌坊有上下四层，由壁柱及山花形成支撑，顶端立了一个大大的铁十字架。圣母玛利亚的塑像被安放在第三层正中央的壁龛中，这一层立面装饰有方尖碑，而紧挨着方尖碑的则是一对按佛教寺庙狮子风格雕刻的石狮。

大三巴牌坊以亚洲的风格呈现基督教灵修

大三巴牌坊主要塑像的摆放尤其反映了基督教的教义精神。依照宗教等级制度，从第二层到第四层直至山花部分的塑像摆放位置如下：基督教圣徒位于第二层，不仅在位置上处于圣母玛利亚之下，而且他们的塑像也相对较小，意味着圣保禄大教堂向第三层圣母玛利亚致以更崇高的敬意；圣母玛利亚之上，第四层安放“救世主”圣婴耶稣的塑像。再往上，是嵌在教堂顶端山花上代表了圣灵的铜鸽。这样的位置安排象征着在基督教信仰中耶稣既是人又是神的化身。也就是说，在耶稣之上，山花部分镶嵌的圣灵纯属于超然神界，而在耶稣之下，第三层的圣母玛利亚则代表着地球上的人类生命。这样，大三巴牌坊就从视觉上代表了在基督教灵修，在其中耶稣悖论而又神秘地既是人又是神。

大三巴牌坊和凯旋门有一些相似之处，同时它曾是圣保禄大教堂内部与外界连接的部分，这也是圣保禄大教堂被焚毁前的一大建筑特征。正如大三巴牌坊反映了据称为圣保禄大教堂内部而做的圣徒地位排列，整个大三巴牌坊像一个祭坛后面的高架，即教

化对这些传教士在表现基督教和西方元素上的影响。因此，无论是在整体的表达还是在细节的勾画上，大三巴牌坊上的塑像都说明艺术家已经使用了中式的表现手段来呈现基督教建筑师对正墙装饰所提出的要求。或者说，由于工匠自身的中日灵修，天主教所信仰的基督教灵修已经被转换到这样的程度，以至创造出这些混合风格的塑像。

这些塑像不仅仅是青铜铸造，为了让它们看起来更美观，工匠们不同寻常地为它们镀上了一层金色，圣徒塑像的脸和甚至手都被认为涂上了色彩。这层镀金让朝东的大三巴牌坊在日出时更加熠熠生辉。

金色的大三巴牌坊启发冥想或宣示着财富

日出时分，大三巴牌坊上的雕塑反射出金色的光芒，就像一封来自佛教《观无量寿佛经》冥想的邀请函（Inagaki & Stewart, 2006, 第68至79页）。傍晚时分，佛教徒们聚集在大三巴牌坊前，在夕阳下集中精神完成一系列不同级别的规定步骤，最终穿越重重障碍抵达极乐世界。只要过程圆满，佛教冥想就能带来顿悟。因此，金色的大三巴牌坊不再只是一个令人印象深刻的景观，在阳光的照射下它始终让佛教徒想起顿悟之路。所以，大三巴牌坊不仅是基督徒进入一个富丽教堂的入口，而且不断提醒着佛教徒去实践他们的顿悟冥想。从这个角度上来说，大三巴牌坊确实是一个基督教和佛教两种灵修都可以找到自己表达的场所。

鉴于其在老城中心的地理位置，大三

the saints are thought to have been painted. The result is that the overall appearance of the façade becomes further enhanced as the façade's orientation to the East results in the dawn sun being reflected from these gilded statues.

THE GOLDEN FAÇADE AS AN  
INVITATION TO MEDITATION OR A  
DEMONSTRATION OF WEALTH

The golden reflection of the façade's statues already at sunrise can appear as an invitation to the Buddhist's meditation on *The Sutra on Contemplation of Amitāyus* (Inagaki & Stewart, 2006, pp. 68–79). There, it is the sunset on which the devout Buddhist focuses the mind in order to enter through a series of prescribed steps to different levels and intricacies of the pure land. Once perfected this Buddhist meditation will lead to enlightenment. The golden appearance of the façade is not only an impressive sight but also a reminder for Buddhists

The fountain and the cypress are not exact copies of Western tradition but they also resemble an amalgamation of styles and are thus bearing witness to their multicultural background as well as to the possibility for expressing Christian spirituality in an Asian context.

of access to enlightenment along the rays of the sun. In this way the façade's appearance not only offers Christians an indication to an entrance of a splendid church but also offers to Buddhists a reminder of their meditation methods to arrive at enlightenment. The façade, from this perspective, is a canvas upon which both spiritualities can find their expression.

Given the façade's exposed position over

the old city centre, the façade not only reflects spiritual confluence but also quite literally and materially Macao's Golden Age in which its prosperous inhabitants could afford financing such an elaborate artwork in which international craftsmen complemented the work of local artisans.

Indeed, in a recent publication on the façade by the local government it is noted carefully that "these bronze statues placed in the niches were cast in Macao by Manuel Tavares Bocarro in the cannon and bell foundry which he had in this city (Couceiro, 1990, p.20). Even though this governmental publication does not give further details about the origin of this knowledge, there had already been an earlier Western publication dating from 1948 which referred to the skills of the local craftsmen who produced the statues in Macao<sup>1</sup>.

In other words, like the founder stone's testament to the Macanese builders, the local population does not consider the façade and its statues being delivered to the Portuguese colonialists as if they as citizens of Macao had been contributors or contractors, but rather, this statement indicates that the façade is considered as belonging to the Macanese. The mind of the local Confucian and Buddhist cultures arrived at subsuming the initially Christian design without having to demolish or alter it, but by simply expressing the proposed artistic concepts into their own context.

CHRISTIAN SPIRITUALITY COMPATIBLE  
WITH CONFUCIAN THOUGHT REFLECTED IN  
ASIAN CRAFTSMANSHIP

A possibility for the appropriation of the Western Jesuit-led design of the façade into the Confucian context may be illustrated in the hierarchical structuring of the architectural features of the façade. The emphasis on vertical and central components of the façade's European design also resonates with Confucian thoughts

1 "While we can say nothing about the bronze statues of the Jesuits saints except that they are Baroque in style, and were cast at the local foundry of Manuel Tavares Bocarro..." John E. McCall, "Early Jesuit Art in the Far East IV: In China and Macao before 1635," *Artibus Asiae* 11, no. 1/2 (1948), 65.

巴牌坊不仅反映了精神的融合，而且由于它是一个由兴旺富裕的澳门公民自己捐建、由当地工匠和国际匠人共同打造的精美艺术作品，因此还从字面和物质两个层面反映了“澳门的黄金时代”。

事实上，当地政府近期出版的一本有关大三巴牌坊的刊物专门指出：“这些壁龛中的青铜塑像由Manuel Tavares Bocarro浇铸于他在澳门所开设的炮台和钟表铸造厂（Couceiro, 1990, 第20页）”。即使该政府出版物没有提及有关此条信息出处的详细内容，一本早在1948年出版的西方刊物也提到了在澳门铸造这些青铜塑像的当地工匠的技艺<sup>1</sup>。

换句话说，正如大三巴牌坊底座的铭文所说，圣保禄大教堂是由崇敬圣母玛利亚的澳门当地居民出资捐建的，因而当地人并不认为他们只是修建牌坊及其雕塑的参与者或工程承包方，教堂也并非是为了葡萄牙殖民者而建造。不仅如此，铭文还说明了修建者认为大三巴牌坊事实上属于澳门人民。经亚洲工匠之手，儒家文化和佛教思想被融入了源于基督教的设计。这并不是对初始设计有意的破坏或改变，而是西方艺术理念在匠人自身文化语境下的自然表达。

### 基督教灵修与儒家思想的融合并反映在亚洲的工艺上

一种将西方耶稣会主导的正墙设计转接到儒家语境中的方式也许可以通过大三巴牌坊建筑特征的等级结构来加以说明。其欧式设计中对纵向和中心元素的强调也与儒家讲究人伦秩序的思想契合。比如明朝时期（1368-1644）受儒家思想讲求秩序的影响，中国朝廷就加强了中央集权制度。由于中国的行政官员都是儒家思想根深蒂固的高等学者，所以高度结构化的大三巴牌坊可能更容易被当时当地的中国官员所接受。

更确切地说，大三巴牌坊的秩序表现在壁柱建筑风格的复杂性及其从下往上逐层变化愈见精致的安排上：第一层为爱奥尼亚柱式，第二层为科林斯柱式，第三、四层为更繁复的混合式柱式。此外，就连门的布置

也响应了“秩序”，用侧柱装饰按照2-2、1-1、2-2这样严格的节奏韵律来强调建筑正门。因此，这样的节奏韵律不仅达到了对位于建筑中线的门形成强调的效果，还实现了与儒家和谐观相统一的建筑对称平衡效果。

泉水和柏树枝也不完全是西方传统文化象征的复刻，它们也有造型上的混合搭配，从而说明了它们所代表的多元文化背景，以及将基督教精神在亚洲文化的语境加以体现的可能性。

大三巴牌坊不仅是基督教指向超验物即指向上帝的一种参照物。更应该说，大三巴牌坊这样一种有等级的结构安排也会同儒家对结构完好状态的理解产生一种共鸣。基督教的表达中被赋予了神性的结构形式也许在当时也被转接到了儒家强调社会自然秩序的语境之中。

进一步彰显基督教精神艺术表达的是塑像周围的雕塑作品，它们有指示基督教等级划分的功能。耶稣周围的刑具表现了“救世主”的场景，其周围的雕刻是一种对不同的精神思想、多元的设计思维及艺术表现形式，以及变化的雕刻技巧相混合的特别表达。

比如说，环绕着圣母玛利亚的柏树枝和喷泉分别代表了长寿及哀悼（柏树）和生命之泉。因此，这两个雕刻增强了圣母玛利亚作为一名处女的神性，她孕育了耶稣且承受着失去耶稣的痛苦，即便她最终在天堂获得了永生。就像其他的雕刻一样，泉水和柏树枝也不完全是西方传统文化象征的复刻，它们也有造型上的混合搭配，从而说明了它们所代表的多元文化背景，以及将基督教精神在亚洲文化的语境加以体现的可能性。

在大三巴牌坊的第三层，紧挨着柏树枝的右侧，还雕有一个代表《启示录之兽》的怪物。圣母玛利亚将“启示录之兽”的头以及另一个恶魔或者说魔鬼的头踩在脚下。人们难以将这些怪兽的造型进行分类或者描述：这只“启示录之兽”的头似乎由多个亚

<sup>1</sup> “关于这些圣徒的青铜塑像，除了他们是巴洛克风格，以及造于Manuel Tavares Bocarro在澳门当地的铸造厂以外，我们也没有太多可以评价的……” John E. McCalli说到，“它们是远东四圣徒时期，也就是1635年前四圣徒在中国和澳门传教时期的早期耶稣信徒艺术作品”，*Artibus Asiae* 11, no. 1/2 (1948), 65.

about well-order which is, for example, present in the centralised Chinese administration during the Ming dynasty (1368-1644). As Chinese administration is founded on highly trained officials who are steeped in Confucianism, recognising the highly-structured façade may have helped to make it more acceptable to the local Chinese administration.

More precisely, it is the successive arrangement of the complexity of the architectural styles of the columns which becomes more and more elaborate in the direction from bottom to top: Ionic for the first, Corinthian for the second, and a Composite style for both the third and fourth stories. Even the arrangement of the doors echoes order and it emphasises the central door in having the centre door's flanking columns arranged such that they form a strict

different spiritualities as well as diverse ideas from design, artistic representation and practical craftsmanship.

There are, for example, the Cypress and fountain, which surround the Holy Virgin Mary, representing longevity as well as mourning (Cypress) and the fountain of life, respectively. Thus, these two carvings enhance the theological depiction of Mary as the Virgin who bore Jesus and who suffered Jesus' loss even though her assumption into heaven transferred longevity to her. Like all other carvings, the fountain and the cypress are not exact copies of Western tradition but they also resemble an amalgamation of styles and are thus bearing witness to their multicultural background as well as to the possibility of expressing Christian spirituality in an Asian context.

The fountain and the cypress are not exact copies of Western tradition but they also resemble an amalgamation of styles and are thus bearing witness to their multicultural background as well as to the possibility for expressing Christian spirituality in an Asian context.

rhythm of 2-2, 1-1, 2-2. This rhythm is thus not only illustrating an emphasis on the centre but in maintaining a symmetrical balance it also resonates with the Confucian sense of harmony.

The façade is not only a Christian reference towards the transcendent, i.e. towards God, but the hierarchical and structural organisation of the façade may also resonate with the Confucian understanding of a well-structured state. The Christian representation of the divinely endowed hierarchy may also be interpreted and appropriated within the Confucian context as an illustration of the natural order within society.

Further expanding the artistic representation of Christian spirituality are the sculptural artefacts that surround the statues, which serve as anchors for this Christian hierarchy. The serene depiction of Jesus as *Salvator Mundi* surrounded by the instruments of his torturous crucifixion is flanked by carvings which are peculiarly indicative of the intermingling of

There are also depictions of a monster that represents the Beast of the Apocalypse which is situated to the right and immediately next to the Cypress tree on the third storey. The Holy Virgin is trampling on the head of this Beast of the Apocalypse as well as on a demon or devil. The style of these beasts bars any exact classification or description: the Apocalyptic Beast seems to comprise a head that is made up of Asian bearded monster heads, and a Western devil head, while tail, body and claws of that Beast all appear to come from different cultures' depictions of the evil and the wicked. Similarly, the devilish demon carved on the façade to the very left of the third storey, is an impressive collection of infernal and wicked body parts of which a whipping tail is opposed to some sneering teeth-filled muzzle. When Chinese, Buddhist and Christian thoughts about monsters converge, their graphical expression has been well accomplished on the façade. Even in representing evil, the façade

洲传说中的怪物的头以及一个西方恶魔的头组成，同时兽的尾巴、躯干和爪子似乎都融合了不同文化的邪恶元素。与之类似，大三巴牌坊第三层最左边所雕刻的邪恶恶魔也融合了多种面目可憎姿势跋扈的鬼怪元素，令人叹为观止，似乎恶魔正邪笑着露出牙齿，尾巴朝另一边甩动。大三巴牌坊上的图像表达证明了中国人、佛教徒和基督徒对怪物的想象趋于融合。即使是在表现邪恶时，大三巴牌坊也有效地将这些不同文化的特点加和到了一起。

### 基督教象征符号中的佛教精神

圣保禄大教堂的正墙也明确传达了佛教的精神。其中一个受佛教徒影响的建筑特征就体现在立面正中央围绕在圣母玛利亚身边的天使身上。就像青铜雕塑一样，这些天使也被大三巴牌坊的工匠们加工渲染，赋予了混合的文化特征。事实上，他们类似于佛教神话中的飞天仙神。“这些天使甚至和佛教中被叫做‘飞天’的会飞的神仙相似”（O’Malley、Bailey和Sale，2005，第332页）。进一步说明了基督教精神与佛教精神相互融合的是雕刻在核心区域周围的花，也

的混合风格，反而是在文化形制方面表达了不同的用意：在西方文化中，滴水嘴兽象征着邪恶，因此任何一种动物雕塑甚至只要是形状怪异的结构都可以是大三巴牌坊的滴水嘴兽。而在中国人的心中，这些狮子是他们家庭和房屋的守护者，因此是地位和财富的象征。同时，由于这种形式的狮子也被佛教徒认为是佛法的保护者，所以这些大三巴牌坊栏杆上的中国石狮也在不同的精神教义下有着不同的意义。尽管如此，这些意义都有一个共同点，即这些狮子所守护或者装饰的都是一个重要的（甚至可以说是神圣的）场所。也就是说，大三巴牌坊上的这些装饰细节已经告诉我们，一个普通的雕塑是如何在实现了其单纯直观的功能外，还被赋予了更多精神上的意义：大三巴牌坊在富有艺术美和结构功能的便利性之外，更充盈着丰富的精神含义。

这些艺术效果在文化中的多义性不局限于上述石狮、天使或者花朵等特定细节。当我们看整个大三巴牌坊，大量的雕刻“让我们想起了了不起的佛教云冈石窟（建于五世纪）和洛阳石窟（建于七世纪），以及它们对佛教圣人和守护天王们生动形象的浮雕艺术”（O’Malley等，2005）。也就是说，对

大三巴牌坊上的图像表达证明了中国人、佛教徒和基督徒对怪物的想象趋于融合。即使是在表现邪恶时，大三巴牌坊也有效地将这些不同文化的特点加和到了一起。

就是那些爬满牌坊第三层壁柱底座的花朵。一方面，当地政府把这些花比作日本国花菊花，另一方面，西方学者Guillen-Núñez认为这些花是玫瑰（Guillen-Núñez，2009，第5页）。因此，对一些人来说，这些花可能是受到了那些受雇来帮助中国石匠的不知名日本工人的影响；而对另一些人来说，这些花可能与大三巴牌坊的神学主题相关，因为玫瑰对圣母玛利亚来说是一个极其合适的配饰。

立坐在方尖碑旁栏杆上的“中国寺庙式的石狮”是很容易就能识别的佛教象征（O’Malley等，2005）。它们就像欧洲教堂上的滴水嘴兽，功能是排出屋顶的雨水。只是这些中国寺庙石狮形式的滴水嘴兽并不像塑像、天使或者花一样在结构上有着明显

一个沉浸于佛教精神文化的人来说，大三巴牌坊的装饰艺术让他想起佛教寺庙，那么，大三巴牌坊也暗示着佛教徒，此牌坊乃连通庄严圣地的通道，穿过此牌坊即步入圣地。另一方面，对一个基督徒来说，象征着祭坛的大三巴牌坊是之前圣保禄大教堂的圣所。在牌坊第三层，位于环绕着圣母玛利亚的天使的左侧，一个雕刻的烛台进一步加深了大三巴牌坊与祭坛象征的联系。这个烛台被认为是一种暗示，象征着在保存着圣躯的教堂中有灵魂的临时居所。此外，牌坊第二层耶稣会圣徒的摆放位置也和在原教堂内圣坛后面所发现的他们的位置一致。因此，从基督教的角度来说，大三巴牌坊的圣所性质也是很容易得到认可的。

manages to accumulate characteristics of different cultures.

#### BUDDHIST SPIRITUALITY IN CHRISTIAN SYMBOLISM

The façade of St. Paul's also reflects more explicitly Buddhist spirituality. One of these Buddhist influenced architectural features are the angels that surround Mary in the centre piece of the façade. Similarly, the bronze statues, these angels have been rendered by the façade's craftsmen in a hybrid character. As a matter of fact, they also resemble *apsaras* which are flying figures of Buddhist mythology (O'Malley, Bailey, and Sale, 2005 p. 332). This amalgamation of Christian and Buddhist spirituality is also displayed in the flowers that can be found throughout the basis of the columns of the third storey. While the government sponsored description of these flowers compares the flowers to chrysanthemum, the national flower of Japan, it is the Western scholar Guillen-Nuñez who identifies them as roses (Guillen-Nuñez, 2009, p.

It is the façade's multivalent artwork which renders the façade appealing to a vast number of spectators.

5). Thus, for some spectators these flowers may represent the influence of anonymous Japanese workers who had been hired to help the Chinese masons, while for other spectators these flowers might be associated with the theological theme of the façade such as the Assumption of Mary.

Buddhist symbolism that is readily identified is found in the "Chinese temple lions" (O'Malley et al, 2005), which are adjacent to the obelisks that crown the balustrades of the storeys. Like their counterparts on European churches, these gargoyles funnelled rainwater away from the structure. The Chinese temple lions do not show indications of structural hybridity such as the statues, angels or the flowers of the façade.

Rather, these gargoyles in the form of Chinese temple lions allow for different interpretations depending on the spiritual frame of reference. In Western understanding it is implied that gargoyles portray evil and thus any kind of animal or even grotesque structure could be sculpted by the craftsman to serve as gargoyles of the façade. In the Chinese mind however, these lions are a reminder of their role as protectors of important families and their buildings and thus also represent a symbol for status and wealth. Lions are also considered by Buddhists as protectors of dharma but these Chinese lions on the façade's balustrade invoke different meanings according to the spirituality of reference. However, common to all these meanings is their association with an important or even holy place that is guarded or adorned by such lions. In this way, even this detail of the façade's ornamentation offers insight into how a common physical sculpture offers more spiritual meaning than is immediately visible in its mere functionality: the façade shows a spiritual surplus of meanings beyond artistic beauty and functional convenience.

This ambivalence of the façade's artistry is not limited to such specific details as the lions, angels or flowers mentioned above. When looking at the façade in its entirety, the large number of carvings "recalls the great Buddhist cave temples of Yungang (fifth century) and Luoyang (seventh century), and their forceful carved images of Buddhist saints and guardian kings" (O'Malley et al, 2005). To an observer steeped in Buddhist spirituality the ornamentation of the façade recalls the Buddhist temples and thus the façade will signal to a Buddhist that the passage through this façade will give access to a sacred and holy place. On the other hand, from a Christian perspective, this retable façade is a reminder of the sanctuary surrounding of the former church. This association with a retable façade is further stimulated by the presence of a carving of candelabra on the third storey to the left of the angels that surround the Holy Virgin Mary. This candelabra alludes to the presence of the tabernacle which is inside the church where consecrated hosts are preserved. Together with the arrangement of Jesuit saints on the second

## 航海家的实用主义与灵修相融合

然而，大三巴牌坊所表现的不仅是灵修。更特别的是，牌坊第三层中间，距圣母玛利亚左边两个壁龛的位置，有一幅葡萄牙帆船的浮雕。帆船浮雕结合了多种多样的文化意义，融合了世俗与宗教的象征：一方面，帆船浮雕表明了贸易对澳门的重要性，

正是因为有这些蕴含着多种文化意义的雕刻作品，大三巴牌坊才吸引了大量的观赏者。

另一方面，帆船的形象可能指代着“航海家”。“航海家”是一群漂洋过海的商人，他们聚集在圣保禄大教堂，感谢天主一路以来对他们保护有加，同时祈求下一段旅程的平安（Couceiro, 1990, 第19页）。航海家赞助商St. Francis Xavier的形象也被雕刻在大三巴牌坊上。通过将圣母玛利亚描绘成航海家的主要崇拜对象（该壁龛左上角也有一个圣母玛利亚的塑像），并用帆船和他们的保护者St. Francis Xavier的形象来指代跨海贸易，从而使得该部分浮雕从视觉上将航海家与牌坊的整体主题联系起来。

此外，帆船在祥云般的波浪上航行，而就在它正横渡的这片海上，有中国鲤鱼跃出了海面<sup>2</sup>。因此，对帆船的刻画在欧式场面的基础上融入了中国本土的艺术风情，这又进一步说明了该雕刻作品对多种文化的杂糅：正是因为有这些蕴含着多种文化意义的雕刻作品，大三巴牌坊才吸引了大量的观赏者。

大三巴牌坊上类似汉字的字符将基督教精神传达给中国人和佛教徒

遍布大三巴牌坊的雕刻由耶稣会士委托制作，意在传递基督教灵修。就像那些圣人塑像一样，这些雕刻作品要么结合了亚洲和西方的文化精神，要么就像石狮滴水嘴兽一样，借鉴了佛教艺术来表达基督教灵修，最

终也都呈现出文化交融的本质。除了这些文化精神和工匠技艺的含蓄混合，大三巴牌坊上的题字以更直接的方式讲述了西方和亚洲灵修的邂逅。

拉丁文在十七世纪的西半球是一种普遍的学术语言。不仅是耶稣会传教士选择使用拉丁文来题写当时圣保禄大教堂正门口口的教堂名称，就连澳门的商人也选择了拉丁文来铭记教堂的正式落成和捐建鸣谢。这么说来，澳门人和耶稣会士似乎在交流上并没有太大障碍。从另一方面来说，大三巴牌坊上的文字看起来和汉字字符很像，因为那是被改造后纳入日文书写体系的汉字字符。这强有力地说明了这些文字并非由中国艺术家所写，但即便如此，这些文字所传达的信息还是恰当地表达了基督教教义。虽然每一个字符都清晰可辨，但它们的书写风格却时有变化，比如时而隶书，时而楷书，有时甚至在一句话中的书写风格都不尽相同。这些文字的空间安排偶尔也不大均匀，因此妨碍了文字排列的平衡，而文字的平衡是标准汉字书写的一个特点。因此，基督教的传教士很可能雇佣了亚洲艺术家，而不是中国的书法

现在，大三巴牌坊已经成为了一座基督教、佛教和儒家思想和谐互动、彼此丰富的不朽丰碑：它是一面为所有人开放的“牌坊”

家，来书写这些传达基督教精神的文辞题刻。此外，这也说明这些耶稣会士付出了很多努力，希望将基督教的见解转换成文人学士（比如明代儒士）可以理解的文字。耶稣会士及其所雇用的工匠们的努力见证了基督教和佛教的思想可以在儒家的表达方式下得到统一。或者，换句话说，他们的努力说明了儒家思想是怎样经在佛教环境中习得技艺的工匠之手影响了基督教精神的表现方式。

总而言之，所有这些特点都体现了大三巴牌坊的融合特质。在这里，基督教精神通过亚洲艺术及其对基督教表现形式的影得以表达。现在，大三巴牌坊已经成为了一座基督教、佛教和儒家思想和谐互动、彼此丰富的不朽丰碑：它是一面为所有人开放的“

<sup>2</sup> “其中有一些特征，比如对波浪、中国鲤鱼……在造型上的处理很明显是对中国陶瓷和其他装饰性艺术图案的效仿。”，引自Gauvin Alexander Bailey所著的“载着过人的勇武和大量的装饰：耶稣会带去中国的使命，1561-1773”，发布于《艺术于耶稣会在亚洲和拉丁美洲的使命中的角色，1542-1773》（多伦多大学出版社，学术出版部，2001），第86页。

storey such that their positions correspond to those that had been found behind the main altar in the inside of the church, the Christian understanding of the façade marking a holy place is readily stimulated.

#### PRAGMATISM MERGES WITH SPIRITUALITY FOR THE NAVIGATORS

But it is not only spirituality that is represented on the façade of St. Paul's.

More particularly, it is the carving of a Portuguese caravel, which is on the third storey two niches to the left of the central image of Mary. The caravel combines diverse cultural aspects that merge worldly concerns with religious symbolism: while the carving of the ship indicates the importance of trade for Macao, the ship probably also refers to the " navigators", who were a group of seafaring merchants who met at the church of St. Paul's to ask for protection on their journeys

is integrating local Chinese artistic customs with European images which further helps to illustrate the hybridity of the artwork. It is the façade's multivalent artwork which renders the façade appealing to a vast number of spectators.

#### KANJI-LIKE CHARACTERS ON THE FAÇADE PASS ON CHRISTIAN SPIRITUALITY TO CHINESE AND BUDDHISTS

The façade is covered with sculptures that have been commissioned by Jesuits to represent Christian spirituality. Like the statues, the resulting artworks have taken on a hybrid nature that combines Asian and Western spirituality or borrows Buddhist art to express Christian spirituality such as the gargoyles in the form of lions. Beyond such an implicit melange of spiritualities and craftsmanship, the inscriptions on the façade tell even more explicitly of the encounter of Western and Asian spirituality.

The façade has become a monument to a harmonious interaction and a mutual enrichment of Christian, Buddhist and Confucian spirituality: a façade for all.

and to give thanks for those journeys which had been accomplished successfully (Couceiro, 1990, p. 19). Their patron, St. Francis Xavier, is also depicted on the façade of St. Paul's which thus connects the navigators visually to the façade by the depiction of Mary as the centre of their devotion (whose representation is repeated in the upper left corner of this niche), the depiction of their trade by the caravel and by the statue of their protector St. Francis Xavier.

Furthermore, the caravel is sailing on waves that resemble stylised Chinese clouds and within this representation of the ocean that is traversed by the caravel, there are Chinese carps<sup>2</sup>. Hence, the representation of the caravel

In the 17th century Latin was a universal scholarly language in the Western hemisphere. It is not only the Jesuit missionaries who chose Latin to indicate the name of the church over the portal of the façade's central gate. The Macanese merchants also chose Latin to commemorate the construction date and sponsorship of the façade. In this way the Macanese as well as the Jesuits, seem to have been able to rely on a common means of communication. On the other hand, the characters on the façade closely resemble Kanji characters, that is Chinese characters which have been adopted and integrated into the Japanese writing system. This is a strong indication that they have not been written by Chinese artists, but even so, the messages that they convey are properly translated Christian messages. While each of the characters is clearly recognisable, they vary occasionally between styles such as clerical script and regular scripts, even within one sentence. At

2 "Some of these features, such as the stylized treatment of the waves, the Chinese carp...are clear echoes of patterns found on Chinese ceramics and in other decorative arts." Gauvin Alexander Bailey, "With Much Gallantry and Ornamentation: The Jesuit Mission to China, 1561-1773," in *Art on the Jesuit Missions in Asia and Latin America, 1542-1773* (University of Toronto Press, Scholarly Publishing Division, 2001), 86.

牌坊”，正因如此，它也是一座指向文化和  
谐的未来的纪念碑。

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times their spatial arrangement is also unequal and thus interferes with a balanced caption that is characteristic for regular Chinese writing. It is therefore likely that the Christian missionaries employed Asian artists but not Chinese calligraphers to convey Christian spirituality. It also appears that these Jesuits put great effort in transferring Christian insights into characters that were accessible to the literati, such as the Confucian administrators of the Ming dynasty. Theirs and their craftsmen's efforts bear witness to the way in which Christian and Buddhist thinking can converge in Confucian representation. Or, in other words, how Confucian ways of thought

influence the way in which Christian spirituality is represented through craftsmen who were trained in a Buddhist environment.

Taken together, these characteristics epitomise the façade's canvas-like characteristic that shows Christian spirituality expressed through Asian art and the influence of Asian art on the representation of Christianity. The ultimate result is that the façade has become a monument to a harmonious interaction and a mutual enrichment of Christian, Buddhist and Confucian spirituality: a façade for all and as such, a monument towards the future of a harmonious culture.

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# DEVELOPING RESPONSIBLE LEADERS IN CHINA WITHIN A GLOBAL CONTEXT

## 在全球背景下发展中国的 责任型领导

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Henri-Claude de Bettignies 翟博思

### ABSTRACT

This article focuses on the influence of moral and responsible leaders on followers and corporations to lead change in their organisations. What is the nature of change and how can the moral dimension be heightened so that responsible leaders emerge to become a force for good in their societies and in the world? Given the failure of today's dominant economic model to deliver fairness, justice and happiness is there an opportunity for China to show a new way of harmonising capitalism with a pursuit for the common good?

### MORAL LEADERSHIP

Moral leadership is often seen as an oxymoron in societies where trust in political or business leaders is now very thin. Moral leadership might also be seen as a tautology even though today leadership may not always be seen as being moral.

Leadership implies followership, a leader without followers is not a leader. Having followers implies that the leader has *influence*, is used to induce his/her follower(s) to behave in a certain way, hence *responsibility*. Taking responsibility for others explicitly determines the moral dimension of leadership. This moral dimension is the essence of leadership and embedded in the

### 摘要

本文重点关注道德与责任型领袖对于追随者与公司的影响，以及这些影响所引领的机构变革。什么是变化的本质？如何能够提升道德维度，使责任型领袖涌现成为社会以及世界上的一股向善力量？鉴于时下的主流经济模式无法实现公平、公正与快乐，中国是否有机会展现一种资本主义与公益追求和谐一致的新途径？

### 道德领袖

道德领袖常被视为一种矛盾说法，因为当今社会对于政治与商业领袖的信任是非常低的。同时，由于如今的领袖并不见得总是道德的，这种称谓也可能被看作是某种赘述。

既然有领袖，就会有群众，一个没有追随者的领导不算是一个真正的领袖。拥有追随者说明领袖有影响力，并且惯于说服追随者以某种方式行事，所以领袖是有责任的。明确承担对他人的责任决定了领袖的道德维度。这种道德维度即为领袖的精髓，且植根于领导过程的本质之中。它本应如此，社会与领袖的追随者们对此都有同样的期待。然而，事实却相反。近代史中屡屡出现一些不谨

nature of the leadership process. It should be and society expects it as do the leader's followers. But often it is not as recent history recounts leaders who cut corners in terms of responsibility. They may end up in jail, sanctioned by society; they may lead their followers to disasters and they may take their organisation to chapter 11 bankruptcy protection. Their absence of moral leadership will, in any case, hurt others today or tomorrow.

change will be required by responsible leaders who are so much in demand today.

This is the first of two Viewpoint articles which aim to address two questions related towards responsible leadership and change: "Will change in China make its *future* any better?" and "Are business schools able to contribute towards this process?" In this present article I review change in the global context for responsible

In managing change the leader's responsibility is critical. As a role model, the leader exemplifies values and so must "walk the talk" in order to nurture trust and build a shared vision.

Moral leadership is not an attribute of power expected only from an emperor with his "Mandate of Heaven"; a king with his inherited power; a president elected by the citizens or a CEO appointed by a Board. Moral leadership is expected from anyone in a leadership position. The challenge is therefore to be 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.

Leaders, in all walks of life, should see their contribution in making the future better as a categorical imperative embedded in the very nature of their position. Moral leadership thus becomes a prerequisite ingredient in any contemporary effort to further sustainable development. Today, in a world which is confronted by so many fast-changing and difficult issues moral leadership is indispensable to *induce change* but in a direction that will further the common good.

Leaders are change agents, driven by values. They propose a vision and a purpose, help to give meaning that should stimulate the followers' efforts to move them towards a goal that should drive their behaviour. The challenge of developing and cultivating moral leadership is, initially, to contextualise the change taking place on our planet within which skills in managing

leadership with particular reference to China. In the next issue, I shall explore the question of whether and how business schools can groom responsible leaders who will contribute to the change journey underway in China.

#### CONTEXTUALISING CHANGE: THE EXAMPLE OF CHINA

The performance of China over the last three decades arguably makes the country the best laboratory to observe change. Change is ubiquitous and has transformed China, its landscape, its cities and, to some extent, its people. In such a context the development of moral, and responsible leaders becomes an imperative as change needs to be managed and influenced towards a desired outcome. Change needs leaders who propose a purpose which is conducive to their skills.

Change is a broad, far reaching topic that constantly recurs in management literature. It is of common concern among business leaders world-wide and in the mouth of politicians, a much-used buzzword. I first published a book on change as far back as 1971 (de Bettignies, H.C., 1971). But the issue at stake is not change *per se*, but the management of change. Change is part of nature and highly visible. We experience it every day in some form or another. The real issue we need to address is how to *manage* change, how to leverage its benefits and control its costs and dysfunctions in order to ensure that it produces

守责任的领袖：他们有的锒铛入狱，受到社会的惩罚；有的则将追随者推向灾难并使所在机构濒临破产。无论怎样，他们道德领导力的缺失迟早都将伤害他人。

道德领导力不是一种权力标志，它不仅源于被赋予“天命”的帝王、继承了权力的国王、民选的总统或者董事会任命的CEO。道德领导力来自任何处于领导地位的人。所以对于道德领袖而言，当现实情况或个人利益与他/她所坚守的价值观、或与追随者及社会的共同利益发生冲突时，这就成为了一个挑战。教育机构应当为领袖或未来的领袖提供某种框架或价值观，帮助解决那些不可避免的冲突，或者去应对领袖们所面临的困境。

## 审视变化的背景：以中国为例

过去三十年中国的表现，可以说使这个国家成为了观察变化的最佳实验室。变化无处不在地改变着中国，它的风貌，它的城市，而且从某种程度上，还有它的人民。在此背景下，培养道德与责任型领袖就变得迫在眉睫，因为需要去管理和影响变化，从而达到理想的结果。面对变化，领袖们需要设定能够发挥自己技能的目标。

在管理方面的文献中，变化是一个反复被提及的范畴广泛、影响深远的话题。它为全世界商业领袖所共同关心，而且在政客嘴中也是一个常用的时髦词。早在1971年，我就曾经出版过一本关于变化的书（翟博

领袖在管理变化中责任重大。作为标杆，领袖展现价值，因此必须“言出必行”，从而培养信任并构建共同愿景。

各行各业的领袖们，理应将投身创造美好未来视为一件明确而紧迫的事情，这是他们的职务本质所注定的。于是，若想在当前努力推动可持续发展，道德领导力成为了一项前提因素。现今的世界面临诸多快速变化的困难问题，道德领导力在促成变化方面不可或缺，而这种变化会朝着推动共同利益的方向发展。

领袖们是为价值所驱动的变革推动者。他们创造了一个愿景与目标，赋予它们意义，以此来激励追随者们努力向驱动他们行为的目标前进。发展培育道德领导力所面临的一个首要挑战，就是针对我们这个星球上正在发生的变化，考虑目前所急需的责任领袖应具备怎样的管理变化的技能。

这就是《观点》杂志的两篇文章之一，这两篇文章尝试解答关于责任领导力与变革的两个问题：“中国的变化会使它的未来更加美好吗？”以及“商学院是否能够对此有所贡献？”在本文中，我在全球背景下审视责任领导力，并特别以中国为参照对象。在下一期中，我会探讨商学院是否能、以及如何来培养能够投身中国变革之旅的责任领袖。

思，1971）。但是问题的关键并不是变化本身，而是管理变化。变化是自然的，而且显而易见。我们每天都会体验不同形式的变化。我们真正需要解决的问题，是如何管理变化，如何利用它的益处并控制它的代价与失衡，从而确保它产出理想的结果。

关于变化的问题，已经吸引了我许多年。我首次探索这个话题，要追溯到上世纪60年代。当时我在东京呆了五年，试图理解日本如何通过选择性地向西方学习来重建自己的经济，同时又谨慎地保护自身独有的传统与文化。近期，我在2005年至2011年期间又花了五年时间在上海生活与工作，来研究中国的变革、复兴、再度崛起成为世界第二大经济体的过程、以及它从一个共产主义国度转向奔放的资本主义环境的质变 - 虽然是带有“中国特色”的。如今，过去三十年中国的变化速度使其成为世界上研究变化的最佳环境。利用研究这两个大国之间的空档，我还亲自观察了另两个变化的案例。首先，是李光耀如何将新加坡从一片泥泽打造成兴旺、富裕的“东方瑞士”；其次，自1988年开始，我每年春季学期都受邀在斯坦福大学商学院任教。得益于此，我见证了多年以来，硅谷如何产生并保持能够改变我们日常生活的创新源泉。

从这些丰富的经历当中，我学习到一些

the desired ends.

This issue of change has absorbed me for many years. My first exploration into the subject took place in the early 1960s when I spent five years in Tokyo trying to understand how Japan was successfully resurrecting its economy by learning selectively from the West whilst carefully preserving its own distinct traditions and culture. More recently, again over five years between 2005 and 2011, I lived and worked in Shanghai to study China's transformation, its renaissance and re-emergence as the world's second global economy and its metamorphosis from a communist state to a wild capitalist environment, albeit with "Chinese characteristics". Today the speed of change in China over the last 30 years makes it the best environment in the world to study change. In between watching these two giants I was able to observe two other change cases at first hand. The first was Lee Kwan Yew's transformation of Singapore from a swamp into a thriving, rich "Switzerland of the East" and secondly, thanks to an invitation to spend every Spring term from 1988 onwards teaching at Stanford Graduate School of Business, was Silicon Valley's ability over so many years to produce and maintain the spring of innovations that have changed our daily lives.

From these rich experiences I have learned some important lessons:

1. Change is not a decision, it is a process and has to be managed. Change takes time.
2. In managing change the leader's responsibility is critical. As a role model, the leader exemplifies values and so must "walk the talk" in order to nurture trust and build a shared vision.
3. Societal change implies change at the individual level. Change starts with 'myself' i.e. my leadership behaviour, my consumption patterns, and hence the critical importance of education.
4. The pace of change is accelerating and with it creating a sense of urgency that makes the introduction of the change process easier. Financialisation, digitalisation and globalisation contribute to the increasing

pace of change that results in the VUCA world of volatility, uncertainty, complexity and ambiguity.

5. To induce change at a country level, the development of solid institutions and the rule of law is a prerequisite. This task is particularly challenging for governments, which almost invariably lag behind technological evolution and its impact on society's expectations and on citizens' behaviour.

Emerging economies like China, confronted by the many challenges stemming from this acceleration of change while trying to manage their own modernisation process, have one advantage that was unavailable during the first industrial revolution in the late 19th century. They have a choice between several alternative models: a Western European model (with some diversity), a US model, a Soviet model or an original one, tailored to their particular history, culture and traditions. China, whose own 'change journey' has resulted in the transformation of its economic, social institutions and practices and the building of a thriving society, is a good example of the effective management of change.

How can a country become a modern nation whilst preserving its own values, traditions and culture?

For emerging economies such a journey is often long and the question of whether to look East towards China's amazing economic performance or West, towards an increasingly dominant US model is an important one. How can a country become a modern nation whilst preserving its own values, traditions and culture? It is a delicate change process in our VUCA world where, on the one hand, we see how disruptive innovations such as 'Uberization' can apparently create a crisis in a number of environments. On the other hand, as the case of China's president, Xi Jinping seems to demonstrate, we observe the eradication of culturally inbred corruption which

重要的经验：

1. 变化不是某种决定，而是一种进程，需要被管理。变化需要时间。
2. 领袖在管理变化中责任重大。作为标杆，领袖展现价值，因此必须“言出必行”，从而培养信任并构建共同愿景。
3. 社会变革意味着个体层面的变化。变化从“我”开始，比如我的领导力行为，我的消费习惯，因此教育是非常重要的。
4. 变化的节奏在加快，因此产生了一种紧迫性，需要简化对变化进程的理解。金融化、数字化与全球化都促使变化节奏的加快，导致世界呈现出易变性、不确定性、复杂性与模糊性。
5. 在国家层面促成变化，发展强大的体制与法治是先决条件。这项任务对于政府尤其具有挑战性，因为政府在技术演进以及影响社会期待和公民行为方面，往往是滞后的。

像中国这种新兴的经济体，在努力管理现代化进程的同时，也面临着变化加速所衍生的种种挑战。他们拥有19世纪晚期第一次工业革命时期所不具备的优势。他们可在不同模式中进行选择：西欧模式（有一些不同类型）、美国模式、苏联模式或适用于他们的特殊历史、文化和传统的原生模式。中国自身的“变革之旅”已经催生了经济、社会体制与实践、以及建设繁荣社会方面的变化，这是一个有效管理变化的优秀例证。

对于新兴的经济体而言，这种变革之旅往往十分漫长。究竟是关注东方的中国令人惊叹的经济表现，还是关注西方越来越占据主导地位的美国模式？这是一个重要的问题。一个国家如何才能在成为一个现代化国家的同时，保护本国的价值、传统和文化？在易变性、不确定性、复杂性与模糊性的世界中，这是一个微妙的变化过程。一方面，我们见证了类似“优步”的颠覆性创新如何能在许多环境中明显地制造危机；另一方面，正如中国国家主席习近平所展现的例子，我们观察到文化性的先天腐败在被铲除，而这个过程并不总是那么平顺。中国能够利用并开发它的现有优势：廉价的运营成本、低廉的工资、受教育的年轻人、取得成功的欲望、迎头赶上的野心以及催生了众多本土初创企业的、非常显著的技术创业动

力。但是，在当今的背景之下，这些方式就足以使中国的未来更加美好吗？中国已被卷入全球化进程，并且在世界上扮演越来越重的角色。

任何在中国关注环境的人，就像世界上任何其它地方的人一样，会发现当下对气候变化、全球化进程的后果以及数字技术影响的关注是多么的有理有据。因为我们开始意识到，我们所处的第二次工业革命有别于第一次。它并不是要取代一些工作，同时创造一些新职业，而是随着我们历经一个接一个危机（生态的、技术的和金融的），我们显然正在被引向一种新的文明。而且，我们应该意识到一个大家心知肚明却避而不谈的问题：这种新文明在质疑我们目前共处的模式，并揭示了西方主流的模式与其它模式都是过时的。

昨日的世界版图正在被重写，中国迅速地成为领头羊，与一些金砖国家和其它新兴市场重新设计贸易模式。当非洲正在快速成熟时，衰老的欧洲却继续在勉强地苦苦挣扎，期望强化自己的身份并维持昔日的影响力。如今，美国仍旧能够充当“大哥”或者在世界上一些存在冲突与骚乱的地方扮演“警察”的角色，即便代价是将盟友拖入争议之战。

一个国家如何才能在成为一个现代化国家的同时，保护本国的价值、传统和文化？

尽管中国与俄罗斯对美国霸权的挑战不断增强，美国依然是许多新兴经济体的样板。中国与发展中国家的人民仍旧梦想着理想化的美国生活方式，即便美国的消费模式与浪费现象意味着这种梦想会是一个难以实现的目标，而且极有可能只是一个梦而已。尽管如此，美国与欧洲依然像磁铁般吸引着大量试图摆脱经济困境或政治磨难的移民，或者那些希望寻找机会施展自己才华的人们。对于中国最聪明的人群而言，他们的才能在国内相当有市场，但是向海外输出技能的吸引力是显而易见的。

显然，无论是在中国还是在西方，我们都不是细心的地球园丁，而我们本该如此。

is not always a smooth process. China is able to leverage and develop its current assets: cheap operating costs, low wages, educated youth, the drive to succeed, the ambition to catch up and the so-visible tech-entrepreneurial drive that leads to multiple home-grown start-ups. But will these be the necessary and sufficient means to make China's future a better one in today's context? The Chinese are entangled in the globalisation process and increasingly playing a part in the world community.

Our predatory relationship with nature continues to exhaust primary resources, irreversibly pollute our natural environment and destroy biodiversity while we remain dangerously oblivious to the link between ecological transition and social justice.

Anyone in China, as in any other part of the world, who observes our environment can see how well-founded are current concerns about climate change, the consequences of the globalisation process and the impact of digital technology. For we are now beginning to realise that the second industrial revolution that we are living through is unlike the first. It is not one that will displace some jobs whilst creating new occupations. Rather, as we go through one crisis (ecological, technological and financial) after another it is becoming clear that we are being led into a new kind of civilization. Furthermore, we should be aware of the "elephant in this room"; for this new civilization is questioning our current model of living together and revealing the dominant model in the West and beyond as being obsolete.

Yesterday's map of the world is being re-drawn, with China quickly taking the lead and some of the BRICS countries and other emerging markets re-designing trade patterns.

Whilst Africa is maturing fast, an aging Europe continues to muddle through the challenging struggle to strengthen its identity and maintain its former influence. The US, for the time being, is still able to act as "Big Brother" or to play the role of "cop" in some parts of the world where there is conflict or turmoil, albeit at the price of dragging its friends into controversial wars.

Yet despite the growing challenges to its hegemony from China and Russia, the US remains *the* model for a number of emerging economies. People in China and the developing world still dream of an idealised American way of life even though the US pattern of consumption and waste means that it will remain an elusive objective and most likely remain just a dream. Despite this, both the US and Europe remain a magnet for many migrants trying to escape economic hardship or political hell, or who just hope to find an opportunity to nurture their talents. For the brightest brains in China, the attraction of exporting their skills abroad is obvious, even though their competencies are in great need at home.

Clearly, in China as in the West, we have not been the careful gardeners of the earth that we should have been. Our predatory relationship with nature continues to exhaust primary resources, irreversibly pollute our natural environment and destroy biodiversity while we remain dangerously oblivious to the link between ecological transition and social justice.

Representative democracy which is 'officially' the dominant model in 114 of the UN's 193 countries, requires the laborious construction of institutions, shared values and an acceptance of the rule of law attracts less admiration in China today. Representative democracy is being widely questioned and, as its dysfunctions become more visible, is actually regressing in some countries. In politics generally, disillusioned citizens are sceptical of the short-term, re-election objectives or populist behaviour of their elected representatives. As money becomes the most important factor in the funding of election campaigns, confidence and trust in political systems is being diluted or completely shattered. The result is a democratic

我们与自然之间的掠食关系持续消耗着主要能源，不可逆转地污染着自然环境，破坏者生态多样性，而我们依然危险地忽视着生态变化与社会公正之间的关联。

代议制民主在联合国193个成员国的114个国家中，是“官方的”主流模式。它要求艰巨的机制建设，共享的价值观以及对法治的认同。而在今日的中国，它却受到冷落。

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代议制民主目前受到广泛质疑，随着它的功能失衡日益显现，它实际上正在导致一些国家不进反退。在普遍意义的政治学中，幻想破灭的民众对短任期、连任目标或当选代表的民粹主义行为持怀疑态度。当金钱成为资助竞选最重要的因素，人们对于政治体系的信心与信任正在削弱或彻底破灭。其结果是民主的崩塌，致使后辈会比父辈更优秀这种乐观主义逐渐消失，而这方面中国则是个例外。有影响力的富人试图通过游说或资助竞选来影响选举结果，这也使加剧的收入不均更为明显<sup>1</sup>。就像英国的商业大亨查尔斯·汉迪所写的，“资本主义与民主格格不入”（汉迪，2015），而“有中国特色的资本主义”就是一个清晰的例证。

虽然当今主流的经济模式已经大幅减少了世界上的贫困人口数量，它却并未随之带来公平、公正与快乐。它的增长目标显然能够催生财富，却不能同样有效地实现财富分配。国家内部与国家之间非常明显的不断加剧的不平等，赤裸裸地揭示了一个真相，也就是财富并未如理应那样普惠众生。在数字经济中，赢家通吃天下的模式成为主流，比如我们目睹了Facebook收购Instagram与WhatsApp，或者Google占领市场并且吞并斗胆入市的新人。如果这是正确的，并且中国

<sup>1</sup> 虽然世界贫困线以下人口已经从1993的35%下降到2015年的14%，实现了巨大改善，但据世界卫生组织的数据，今天依然有8.36亿人每天的生活费低于1.25美元，每天仍有16000个孩子死亡。

也照搬，那么还有什么希望实现更美好的未来？我们又能指望谁去找到一个现实、有效的解决方案呢？

商业是否能使未来更加美好？

在西方世界的外部观察家们看来，近期商业世界的行为无法激发大家对领袖们的乐观态度。《经济学人》杂志是这样评论的：

“人们对于商业领袖的信心已跌至历史新低。埃德曼公关2014年的一次民意调查显示，只有不到一半的受访者信任首席执行官。。。近期的一篇学术评论文章称，“每两名领袖和经理中就有一个人的职场表现被认定是无能的”（即令人失望、缺乏能力、聘用失误或彻底失败）。。。2011年，世界上有六分之一的公司解雇了他们的首席执行官。”（经济学人，2015，第82页）

来自欧洲乃至更远地区的左翼与右翼民粹主义者都在怒斥企业的贪婪。而与此同时，有越来越多的企业员工正在选择离开，缺勤率日渐上升。企业形象因为一系列丑闻而被抹黑：如大众、东京电力、汇丰银行、巴克莱银行、法国巴黎银行、瑞银集团，以及更多。丑闻包括因公司运营直接导致的环境灾害，如英国石油公司漏油事件与日本福岛核电站灾难；也包括由于忽视健康安全标准而导致的大量人员死亡，比如孟加拉的拉纳广场大楼倒塌事故以及中国富士康的员工

在普遍意义的政治学中，幻想破灭的民众对短任期、连任目标或当选代表的民粹主义行为持怀疑态度。

自杀事件。伦理丑闻包括腐败、洗钱、卡特尔团伙与价格操控、内部交易和操纵外国市场。这些都极大损害了企业领袖的公信力，破坏了重要的利益相关方关系。

金融家取代工程师成为制造公司的经理，也改变了企业文化。经济的金融化也导

breakdown in which optimism that children will do better than their parents dwindles away except in China. Rising income inequality becomes more visible<sup>1</sup> as the influential and wealthy seek to influence election outcomes via lobbying and

In politics generally, disillusioned citizens are sceptical of the short-term, re-election objectives or populist behaviour of their elected representatives.

funding campaigns. “Capitalism and democracy,” as the British business guru Charles Handy wrote, “make uneasy bedfellows” (Handy, 2015) and “capitalism with Chinese characteristics” is a clear illustration.

Although today’s dominant economic model has significantly reduced the number of the poor living on our planet, it does not seem to have brought fairness, justice and happiness in its wake. Its growth objective, while apparently able to induce wealth *creation*, does not seem to be equally effective in bringing about wealth *distribution*. Highly visible and ever rising inequalities within and between countries lay bare the truth that wealth is not, as it was supposed to do, trickling down and that not every boat is being lifted on the rising tide. In a digital economy, the winner-takes-all model appears dominant as we watch Facebook buying Instagram and WhatsApp or Google dominating their markets and gobbling up any daring newcomers. If this picture is correct, and shared in China, then what hope is there for a better future? And who can we be counted on to find a realistic, effective solution?

<sup>1</sup> In spite of the great improvement - from 35% of the world population living under the poverty level in 1993 to 14% in 2015 – today we still have 836 million who live with less than \$1.25/day and according to WHO, 16,000 children still die every day.

## DOES BUSINESS CONTRIBUTE TO OUR BETTER FUTURE?

To outside observers in the West, the recent behaviour of the corporate world does not inspire optimism in its leaders. In the words The Economist:

“Confidence in business leaders is at a record low. An opinion poll by Edelman in 2014 showed that fewer than 50% of respondents trusted chief executives... A recent review of the academic literature concluded that “one in every two leaders and managers” is judged to be ineffective (that is, a disappointment, incompetent, a mis-hire or a complete failure) in their current roles... In 2011, nearly a sixth of the world’s companies fired their CEO.” (The Economist, 2015, p.82)

As citizens in Europe and beyond see populists from both left and right rage against corporate greed, growing numbers of employees are becoming disengaged and absenteeism is on the increase. The corporate image has been tarnished by multiple scandals: Volkswagen, TEPCO, HSBC, Barclays, BNP Paribas, UBS to name a few. Scandals include environmental disasters directly attributable to company operations such as the BP oil spill, the Fukushima

The trend towards filing profits overseas to avoid paying taxes in the home country further fuels the popular perception that large corporations are more concerned with *value extraction* than *value creation*.

nuclear plant disaster and huge losses of life due to the compromise of health and safety standards such as the Rana Plaza building collapse in Bangladesh and the employee suicides at Foxconn in China. Ethical scandals include corruption

致了利益为先人为后的局面。拥有强大复杂运算功能的超速计算机使高频交易得以实现，从而把商人与其公司变成了赚钱机器，这似乎已成为整个企业世界所追寻的趋势。高额的主管薪金加剧了财富的悬殊差异<sup>2</sup>。正如金融时报评论所指出的：“没什么人能从董事会与员工之间巨大的薪资差距中体会到公正、节俭与道义。这也是2011至2012年间，占领华尔街运动与世界上其它类似抗议能够博得如此同情的原因。”（普伦德，2015，第14页）

企业购入自家股票来抬高股价与股东权益回报率，然后增加他们薪资待遇中与股价挂钩的部分<sup>3</sup>。通过在海外申报利润来逃避本国纳税的做法，也引发了公众针对大公司的质疑。人们认为这些公司更关注榨取价值，而非创造价值，并且对赋予他们运营权的社会不屑一顾。在中国，公益的责任往往被甩给了道德领袖们。

在普遍意义的政治学中，幻想破灭的民众对短任期、连任目标或当选代表的民粹主义行为持怀疑态度。

企业完全将环境视为某种可被开发的资源，认为员工不过是另一种可被利用 / 或滥用的资源。企业行为对环境的影响以及对员工的定义进一步加剧了企业普遍的负面形象。企业需要短线管理这些资源，在高度竞争化的全球环境中，每季度都为股东创造利

2 詹金斯 P写道：“…工资最高的资产管理公司老板，比如黑石集团的拉里·芬克（2400万美元），已经与摩根大通的杰米·戴蒙（2800万美元）以及高盛集团的劳埃德·布兰克费恩（2200万美元）不相上下”。金融时报，20/10/2015 第14页

3 拉佐尼克对美国2003至2012年间情况的研究显示，有90%的大公司将收益的54%用于投资购买自家股票。拉佐尼克 W：“股票回购：从保有到再投资，到精简与分销”，布鲁金斯研究报告，17/04/2015

好，这对公司决策者们坚守底线造成了巨大压力。它促使决策者们依赖高效制造、削减成本、控制人员与生产收益，结果导致了大量员工的流失。据称，在西方大公司中仅有20%的员工表现积极、忠于雇主。因此，现在

中国作为当今世界发展最为高速的国家，正在展示出学习有效进行经济改革与管理变化的能力，我们应确信它正在迈向更美好的未来。

需要重新构建个体与组织之间的纽带。正是因为这些功能的失衡，在一些欧洲国家，发展思潮引发了大量负面的外部效应，使人们对它的信心正在快速削弱。在中国，是否也有类似的趋势？

如果我们想拥有更好的未来前景，我们必须接受这样一个事实，也就是“文明的变化”挑战了很多时下的假定，同时新技术与变化的价值为新世纪带来了新的问题。数字化，尤其是社交媒体，或许赋予我们更多的自由和无限的可能性，但同时也要我们在运用时承担更大的责任。

中国作为当今世界发展最为高速的国家，正在展示出学习有效进行经济改革与管理变化的能力，我们应确信它正在迈向更美好的未来。这样的未来不该是对有问题的西方模式进行简单地克隆。中国应该超越西方国家，借机研究别人的错误，开展创新，并避免主流模式的缺点。

翟博思，欧洲工商管理学院（INSEAD）英杰华集团（AVIVA）领导力与责任名誉讲席教授、欧洲工商管理学院亚洲商业与比较管理学名誉教授、上海中欧国际工商学院全球责任领导力荣誉退休教授、斯坦福大学国际商务学客座教授

and money laundering, cartels and price fixing, insider trading and the rigging of foreign markets and have drastically undermined public trust in corporate leaders and crippled important stakeholder relationships.

Financiers have replaced engineers at the head of manufacturing companies so changing their culture, while the financialisation of the economy has led to profit being put before people. Powerful, sophisticated algorithms, super-fast computers making possible high frequency trading have turned traders and their institutions into money-making machines, a trend seemingly followed by the whole corporate

been outsourced to the moral leadership of the state.

The impact of corporate behaviour on the environment, which it seems to view solely as a resource to be exploited, together with its definition of employees as just another resource to be used and/or abused further contributes to the widespread negative perception of the corporation. To manage these resources on a short-term basis and to deliver quarterly good news to shareholders within a highly competitive global environment puts tremendous pressure on decision-makers to focus primarily on the bottom line. This in turn drives them to rely on

China, today a world champion of high performance, is demonstrating its capacity to learn how to transform its economy effectively and to manage change, but let's be sure it is also moving towards a better future.

world. Extravagant executive compensation have increased wealth disparities<sup>2</sup>. As an FT editorial noted: "Few can see any justification, economic or moral, for the enormous widening gap between boardroom and workplace rewards, which is why the Occupy Wall Street movement and comparable protests around the world attracted such sympathy in 2011-12" (Plender, 2015, p.14).

Corporations buy their own stock to push up their share price and return on equity and then increase the component of their compensation packages linked to the share price<sup>3</sup>. The trend towards filing profits overseas to avoid paying taxes in the home country further fuels the popular perception that large corporations are more concerned with *value extraction* than *value creation*, and that they scorn the society that gives them the right to operate. In China responsibility for the Common Good often seems to have

lean manufacturing, cost cutting, head count and productivity gains, resulting in the disengagement of many employees. In large western corporations only 20 percent of employees are said to be actively involved and committed to their firm. As a result, the bond between an individual and the organisation now needs to be reconstructed. All these dysfunctions explain why, in some European countries, confidence in a growth ideology that brings in its train so many negative externalities is eroding fast. Is such trend also observable in China?

If we are to improve our future prospects, then we must accept that the "civilization change" challenges many of today's existing assumptions and that new technologies and changing values are bringing with them new problems for a new age. Digitalisation and particularly social media may have given us more freedom and immense possibilities, but also demands greater responsibility for its use.

China, today a world champion of high performance, is demonstrating its capacity to learn how to transform its economy effectively and to manage change, but let's be sure it is also moving towards a better future. Such a future cannot merely be a cloning of a questionable

2 Jenkins, P., writes: "...the best paid bosses in asset management such as Larry Fink of Black-Rock (\$24m) are now on a par with the likes of J.P. Morgan's Jamie Dimon (\$28m) or Goldman Sachs's Lloyd Blankfein (\$22m)". Financial Times, 20/10/2015 p.14

3 Lazonick has demonstrated in his study of the US situation from 2003 to 2012, showing that 90% of the large companies have invested 54% of their earnings to buy back their own stock). Lazonick, W. Stock buybacks: from retain-and-reinvest to downsize and distribute, Brookings Research Paper, 17/04/2015

western model. Rather, by leapfrogging Western countries China has the opportunity to learn

from others' mistakes, to innovate and avoid the dominant model's shortcomings.

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### 澳门教育领域的女性领导力

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Dennis P. McCann 丹宁思 interviews Ana Maria Correia 高安雅

The MRI Journal plans to feature interviews with academics, business leaders, and other professionals who are developing positive responses to the changes underway in Macau, Hong Kong, China, and SE Asia. The first of these interviews is with Dr. Prof. Ana Correia, the Dean of the Faculty of Psychology and Education, at the University of St. Joseph. At the 2016 Symposium on “The Challenge of Moral Leadership,” co-sponsored by the Macau Ricci Institute (MRI), November 3-4, Dr. Correia presented a paper on “Breaking the Glass Ceiling for Women in Macau.” In our interview we discussed not only the problem of the “glass ceiling” as it is encountered in Macau, but also the challenge of making progress in the reform of Macau’s educational institutions.

— Dennis P. McCann, Co-Editor, MRI Journal

Dennis P. McCann (DPM): Dr. Correia, tell us what drew you into this area of research?

Ana Maria Correia (AC): My research interests have always been related to social inequalities within education. Gender-linked inequalities formed a prominent part of it, either as related to women’s access to leadership positions in schools or to the gender gap evident in outcomes reported for the Science, Technology, Engineering and Mathematics (STEM) areas. Recently I have focused on inclusive education as I believe this is perhaps the most significant area where, as a researcher, I may be able to contribute to the effort toward making Macau society more compassionate and open to equal opportunities for all its people.

澳门利氏学社（MRI）学刊计划进行系列专访，对象是澳门、香港、中国与东南亚地区针对时下变化做出积极回应的学者、商界领袖与其他专业人士。首次采访的对象，是澳门圣约瑟大学心理学与教育学院的院长兼教授安娜·考瑞尔博士。2016年11月3日至4日，MRI联合赞助了一场主题为“道德领袖的挑战”的专题研讨会，考瑞尔博士在会上做了主题为“打破澳门女性（职业）瓶颈”的演讲。在访谈中，我们不仅探讨了澳门存在的职业瓶颈问题，也谈到了想要在澳门教育机构改革中取得进展所面临的挑战。

— 丹尼斯·P·麦肯，MRI学刊联合主编

丹尼斯·P·麦肯（DPM）：考瑞尔博士，跟我们谈谈您是怎么进入这个研究领域的？

安娜·考瑞尔（AC）：我的研究兴趣一直与教育中的社会不平等相关，其中重点是与性别有关的不平等，比如关于女性在学校中进入领导层的渠道，或是在科学、技术、工程与数学（STEM）等理工科领域中显而易见的性别差距。最近我一直在关注包容性教育，因为我相信这或许是最重要的领域。作为一名研究人员，我也许能够做出一些贡献，使澳门社会变得更富有同情心，为所有居民提供平等机遇。

作为一名研究人员，我希望为社会变革出力。如果研究成果不能影响人们的生活，不能为改善人际关系与福祉做出贡献，那它们不过是缺乏积极社会意义的智力训练。正

As a researcher I aim to contribute to social change. Research findings, if they do not impact peoples' lives, if they do not contribute to improving human relationships and wellbeing, are just intellectual exercises without sound social meaning. Knowledge should serve virtue, as the great thinkers from West and East taught us more than two thousand years ago. Hence, I always look at how I can help meliorate the lives of those who are excluded, if not given equal opportunities to succeed.

and Education at the University of St. Joseph in 2014, after earning my Ph.D. there in 2008, when it was still called the Inter-University Institute of Macau.

My dissertation was in Portuguese, with the title, "*Género, construção cultural do ensino e liderança feminina nas organizações escolares*" or in English, "*Gender, cultural construction of teaching and female leadership in school organizations.*" As the title may suggest, my hope was to develop an overview of women's leadership

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As I have spent the last 30 years in a culture other than my own—I am Portuguese—cultural awareness and responsiveness emerged as another area of research interest. Macao is a rich society in terms of cultural encounters, and culture as a category of analysis must be present in whatever area of social research one pursues. There are two factors that impact research in Macau: one is culture, the other one is size. Though the opportunities for cultural exchange are great, Macau is only a small city with only 28 sq km in its jurisdiction which poses great challenges to researchers.

DPM: I think your statement about the nature of research and its practical impact is very important. While research clearly aims to be as objective as possible, and indispensable for understanding reality without wishful thinking, it should also be transformative. I've always thought about my research projects this way, and clearly that is consistent with the mission of the MRI, but how did you come to this understanding of research?

AC: My first degree was in philosophy and I taught philosophy for many years. I graduated from the Universidade Clássica de Lisboa (Classic University of Lisbon) in 1984, and taught philosophy with a concentration on ethics, which I continued to do after coming to Macau in 1987. I became the Dean of the Faculty of Psychology

in Macau's schools, and to identify the obstacles to women's advancement in them.

I learned a lot from doing that dissertation not just in terms of the research topic but also on the difficulties in gaining access to school principals. Firstly, almost all school principals were men, although they made only approximately one third of the school teaching staff; secondly, I found that very few female principals would engage in a conversation about gender issues. I had to change the focus of the research from women principals to women teachers holding middle management positions at schools, if I was to do the field work.

Several interviewees in the study did not recognise the relevance of gender issues in Macau society. Although Macau schools tend to have male principals, with the exception of the schools for girls only, the principals usually appoint their vice-principals from among female teachers. This practice gives an impression of shared authority with regard to gender, which is not true. The token female vice-principals are there to implement the decisions of the principals. Do they make a difference to the school while holding these functions? Yes, to some extent, but they do not have decision-making authority.

The experience during the years of my PhD research prompted me to shift the focus of my research interests away from leadership and gender to issues where educational reform might be achieved in a shorter period of time. I do not

如两千多年以前的东、西方伟大思想家们所教导我们的：知识应当服务于美德。因此，我总是在探求如何能够帮助改善那些受到排斥、缺乏平等成功机会的人们生活。

我是一个葡萄牙人，但过去30年间我都生活在一个非母语文化之中。因此，文化意识与应激性成为我的另一个研究兴趣。澳门是一个充满文化冲突的社会，无论一个人开展哪个领域的社会研究，文化都是必不可少的分析类别。影响澳门研究的因素有两个：一是文化，另一个是规模。虽然文化交流的机会很多，但澳门只是一个辖区面积才28平方公里的小城市，这对研究人员意味着很大的挑战。

然男性仅占全部教学员工的1/3左右。其次，我发现很少有女性校长愿意参与谈论性别问题。如果我想开展实地调研，就不得不将研究重心从女校长转向担任学校中级管理职务的女教师。

研究过程中开展的一些访谈，并未反映出澳门社会的相关性别问题。除女校之外，澳门的学校更愿意任命男性校长，不过这些校长通常会任命女教师担任副校长。这种做法给人一种印象，就是针对性别的权限共享，实际上却并非如此。这些女副校长是象征性的，不过是在执行校长的决定。她们承担这样的角色，是否能改变学校？从某种程度上说是的，但她们并不拥有决策权。

从事博士研究那些年的经历，促使我

如果研究成果不能影响人们的生活，不能为改善人际关系与福祉做出贡献，那它们不过是缺乏积极社会意义的智力训练。

DPM：我觉得您对于研究的本质与实际影响的描述是非常重要的。研究当然应尽可能保证客观，这对于抛开主观意识去了解事实而言是不可或缺的。同时，它也应该具备转化性。我通常是这样来考虑我的研究项目，这与MRI的使命显然也保持一致。那么，您对于研究的这种理解又是如何形成的呢？

AC：我获得的第一个学位是哲学专业的，而且我也教了很多年哲学。我1984年毕业于里斯本古典大学，然后教授哲学，重点关注道德伦理。1987年来到澳门后，我继续从事这方面的工作。2008年，我在当时还称作澳门高等校际学院的圣约瑟大学拿到了博士学位，并在2014年成为该校心理学与教育学院的院长。

我的毕业论文是用葡语写的，题目是“*Género, construção cultural do ensino e liderança feminina nas organizações escolares*”，意思是“学校体系中有关教学与女性领导力的性别与文化建设”。正如题目所表达的，我希望梳理一下澳门学校中的女性领导力状况，并且看看女性在这方面取得进步的障碍是什么。

我在做论文的过程中学到了很多，不仅是研究课题本身，也有接触学校校长的困难。首先，几乎所有学校校长都是男性，虽

的研究兴趣从领导力与性别转向能在短时间内实现教育改革的议题。我并不认为探索教育领导力中的性别不平等是无关紧要的。澳门学校中的(职业)瓶颈真实存在，应该被消除。但是，有一些其它相关问题急需立即解决，也就是直接影响学生学习与福利的问题。我发现，如果我想要帮助改变澳门的学校，就应该关注其它重要的问题，比如女学生逃避从事科学领域的学习、文化回应性、或者包容性。

DPM：请再谈谈你所说的瓶颈是指什么，你为何觉得打破这个瓶颈对于澳门的教育改革至关重要？

AC：“瓶颈（字面意思：玻璃天花板）”现在是一种常用的比喻，最初是用来形容阻碍女性与少数民族在工作机构中迈向领导层的隐妙障碍。据我所知，海默维兹与谢尔哈德在1986年出版的一篇华尔街日报文章中，首次使用了这个说法。此后，它被运用在多个领域，教育领导力便是其中之一。也有一些类似的比喻，比如玻璃墙、粘地板、玻璃扶梯等等。所有这些，都是指工作机构中与性别隔离或其它类型隔离相关的歧视性做法。就像一所学校只接受男性担任学生事务负责人一样，如果某一职位只为男性或女性预

think that exploring gender inequalities in the field of educational leadership is irrelevant. The glass ceiling in Macau's schools is real, and should be removed. However, there are other pertinent issues that need to be tackled without delay, issues that have a direct impact on students' learning and wellbeing. I found that if I wanted to help change Macau's schools, I should concentrate on other critical problems, such as the female students' avoidance of pursuing studies in scientific areas, cultural responsiveness, or inclusiveness.

reported by the literature are associated with the negative effects of stereotyping, limited access to professional networks and support, lack of mentors and role-models, attitudinal biases, and role conflicts related to work and family life. The latter are responsible for the lack of career ambition that is often attributed to women. During the 1980s research on the glass ceiling mainly investigated the underrepresentation of women in work organisations. As time passed and improvements have been achieved it has moved

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DPM: Tell me more about what you mean by the glass ceiling, and why you thought that breaking the glass ceiling might be the key to educational reform in Macau.

AC: "Glass ceiling" is by now a familiar metaphor initially used to describe the subtle barriers preventing women and minorities from climbing up to leadership positions in work organisations. As far as I know, in an article published in the Wall Street Journal in 1986, Hymowitz and Schellhardt, coined the term. It has since been adopted in various fields, educational leadership being one of them. There are associated metaphors, such as glass walls, sticky floors, glass escalators, and others, all of them referring to discriminatory practices related to gender segregation or other kinds of segregation within work organisations. If a certain position is reserved for just males or just females without sound justification, we may be in the presence of glass walls, as when a school only accepts males to the position of head of student affairs.

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into other kinds of gender imbalance beyond the share of leadership positions between males and females. In the present decade research has been focusing on more subtle and complex factors that have an impact on women's organisational roles, performance, commitment and expectations.

Understanding and challenging the glass ceiling in Macau is not the same as in other countries, especially in Western countries. In Macau we must reckon with the fact that more than 90% of the people here have been shaped by the Confucian cultural inheritance. In these cultures the self is built on family relationships. Individual identity is determined by gendered duties within the family. As a result, fulfilling the roles of daughters, sisters, wives, and mothers comes first. Although the prospect of developing a career might seem attractive, women will not risk neglecting responsibilities towards their family by accepting the high demands attached to a professional career. In my research several teachers reported their fear of not being able to accommodate both family expectations and the challenges attached to a career.

In sum, to understand the phenomenon of glass ceiling in Macau we need to understand that Chinese women do not value independence the same way as Western women value it. In Europe, if I have to be financially dependent on

留，又缺乏正当理由，我们就可能面临瓶颈。

（职业）瓶颈在内部文件、规范或规定当中难觅踪迹，所以被形容为是透明的，或者仿佛是玻璃做的。所谓透明，是指做的人察觉不到，因此很难去应对。在文学中，（职业）瓶颈因素涉及模式化的弊端、有限的职业网络与支持渠道、缺乏导师与榜样、态度偏见以及工作与家庭方面的角色冲突。这种冲突导致了职业进取心的缺失，而这往往被归咎于女性。上世纪80年代，关于这类瓶颈的研究主要是关注女性在工作机构中不

尔才会发现被强烈欲望驱使去追求职业目标的女性。

DPM：如果我没有理解错的话，您认为澳门存在的（职业）瓶颈体现了儒家传统对这里男性与女性的普遍影响，毕竟他们中有90%是华人血统。但是，您也意识到了“葡萄牙父权社会”的因素。即便在1999年澳门回归中国之后，其影响依然持续存在。那么，葡萄牙的殖民地遗风是如何继续维持这种瓶颈的呢？

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受重视的问题。随着时间的推移与情况的改善，研究重心已转向其它方面的性别不均，如男性与女性在领导层中的占比。近十年，研究又聚焦在影响女性在机构中的职位、绩效、责任与期待方面的更加细微复杂的因素。

在澳门，理解并挑战这种（职业）瓶颈不同于其它国家，特别是西方国家。在这里，我们必须要考虑一个因素，就是90%以上的人深受儒家文化传承的影响。在这种文化中，个人建立在家庭关系之上，个体身份也是由家庭中的性别职责所决定的。结果，履行作为女儿、姐妹、妻子和母亲的角色首当其冲。发展职业的前景看似具有吸引力，然而女性并不会冒险接受职业生涯的高标准，而忽视了她们的家庭责任。在我的研究中，几位教师就提到了她们担心无法权衡家庭的期望与职业的挑战。

总而言之，要理解澳门的（职业）瓶颈现象，我们需要知道中国女性并不像西方女性一样看重独立性。在欧洲，如果我在财务上必须要依赖丈夫，我会感觉不安与不悦，我的自尊也会降低。而中国女性有不同的理解。所有家庭成员共享男性户主的成就。在澳门这样的消费主义社会，中高阶层的女性很享受嫁得好而带来的安全感和高地位，同时她们对丈夫所提供的中产阶级生活也非常自豪。只有离婚或者单身的女性、或者对生活感到不如意的女性才更看重职业。我们偶

AC：在历经将近50年的漫长的右翼独裁统治后，葡萄牙在经济社会发展方面落后于欧洲与其它发达国家。保守的法律与习惯缺乏对人权的尊重，使这个国家孤立于外部世界。随着父权社会的强化，女性被要求将自己禁锢在私人空间，把职责与责任限定在主妇与家务上。当然，父权并非葡萄牙所特有，它几乎存在于所有社会之中。然而，在西班牙、意大利和巴西这种经历长期右翼独裁统治的国家，男性优越感这种意识形态在文化与社会结构中已根深蒂固。在1999年之前葡萄牙统治澳门期间，葡萄牙这种男性优越感的成见自然而然也在澳门扎下了根。

DPM：所以，饱受葡萄牙殖民主义浸淫的大男子主义文化与儒家传统巧妙结合，塑造了澳门的性别角色。可一旦你提到葡萄牙殖民遗风，我很难不去联想到天主教堂与相关机构在澳门的影响。您如何看待它的作用？

AC：在观察澳门的天主教学校时，你或许会察觉到它们的独特性，这奠定了它们的身份。那里的学生体会到归属感和依附感；那里的校领导与教师们负责任且有爱心；那里举行的仪式与典礼使学生们团结成一个社区，遵循天主教的价值与言行；学生所接受的教育也不局限于培训或指导。校领导很清楚大部分学生、家庭甚至教师都不是基督徒。他们必须与这个社区去对话，同时对外

my husband I will feel insecure and be unhappy and my self-esteem will go down. Chinese women have a different understanding. All members of the family share in the accomplishments of the male head of household. In a consumerist society such as Macau, middle and high class women enjoy the security and high status afforded by marrying well and are very proud of the bourgeois life provided by their husbands. Having a career is higher on the agenda for divorced or single women, or women who are not happy with their lot in life. Only rarely do we find women driven by a strong desire to pursue career goals.

In Europe, if I have to be financially dependent on my husband I will feel insecure and be unhappy and my self-esteem will go down. Chinese women have a different understanding. All members of the family share in the accomplishments of the male head of household.

DPM: If I understand you correctly, you are saying that the glass ceiling in Macau is a reflection of the pervasive influence of Confucian tradition on both men and women here, 90 per cent of whom are of Chinese descent. But you have also identified the factor of the “Portuguese patriarchal society” whose influence has persisted even beyond the handover of Macau to China in 1999. How does the colonial legacy of Portugal continue to support the glass ceiling?

AC: Over a very long period of almost fifty years of right-wing dictatorship, Portugal lagged behind Europe and the rest of the developed world in economic and social development. Conservative laws and customs, with scarce respect for human rights, kept the country isolated from the outside world. Women were encouraged to confine

themselves to the private sphere, and to restrict their duties and responsibilities to motherhood and household chores. This was made possible through the reinforcement of patriarchy. Of course patriarchy is not specific to Portugal, it is present in almost all societies. However, countries which have gone through right-wing dictatorships for long periods, such as Spain, Italy, and Brazil, have this ideology of male superiority deeply rooted in the culture and its social structure. Since Macao was administrated by Portugal until 1999, it is natural that Portuguese preconceptions about male superiority have become entrenched in Macau as well.

DPM: So the culture of machismo perpetuated by Portuguese colonialism blended well with the Confucian traditions that have shaped gender roles in Macau. But as soon as you mention the Portuguese colonial legacy, I can't help thinking—for better or for worse—of the influence of the Catholic church and its institutions in Macau. How do you see that playing out?

AC: When observing Catholic schools in Macao it is possible to trace their distinctiveness, which forms the foundation of their identity. The students experience belonging and attachment; the leaders and the teachers are committed and caring; the rituals and ceremonies are carried out ensuring that students are united as a community and guided into Catholic values and deeds, and are receiving an education that goes beyond mere training and instruction. Knowing that the majority of students, families and even teachers are non-Christians, the leaders must dialogue with the community and keep an open attitude to external influences. Without this effort to adjust to the social environment, Catholic schools would not survive in Macao, as they are basically immersed in a non-Catholic community.

This makes for a sharp contrast with Catholic schools in countries with large and solid Catholic communities, where they can rely on the clarity of faith parameters, practices and boundaries. The school is a bonding structure, providing a culture that serves to unite and protect the Catholic community from outside threats.

部影响保持一种开放的态度。如果没有这种适应社会环境的努力，天主教学校就无法在澳门生存，因为它们基本上被浸没在一个非天主教的社会中。

这与天主教社区强大的国家形成了强烈反差，那里的天主教学校依赖明确的信仰规范、实践与边界。这些学校是一种纽带结构，形成一种文化以团结和保护天主教社区免受外部威胁。而在澳门，从来就不是这样。天主教学校的力量不能完全依靠信仰，因为它并不是靠信仰来吸引家庭入校的。实际上，家庭是被学校卓越的学术和道德价值声誉所吸引。因此，学校必须证明它们学术上的优异才能生存下去。但是，这样做它们

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可能会变成精英主义并排斥他人。在澳门，有一些天主教学校就不会录取有学习困难或残疾的学生。这是一个悖论，因为天主教学校本质上应当是包容的。学校必须在社区需求与要求之间寻求一种平衡，就像天主教社会教义（CST）。这个目标在某些情况下是非常难实现的。

DPM：我开始能理解为什么你会把研究重心从性别问题转向它们所带来的后果，并针对澳门所有学校所面临的现实政策问题，如包容性教育。或许我们该谈谈您在这个领域所取得的进展，了解一下打破瓶颈怎样能在这里创造变革。

AC：在澳门，有一些学校（天主教或非天主教）积极地执行包容性教育，也有一些学校并不这样做。在英美有研究结果表明，与男性相比，女性要更加以人为本、感性、少有竞争意识与野心。所以一种可能的情况是，如果更多女性在学校担任领导职位，学校会变得更加包容。

我所说的包容性教育，是指学校为所有

学生提供平等机会，而不考虑他们的社会、宗教和种族差异，以及他们在生理、情感和认知能力方面的个体差异。澳门的学校需要改进自身的能力，去关注不同学生和家的需求。有很多轻度残疾的学生在接受特殊教育，因为他们无法获得普通学校的教育机会。这个问题必须解决，因为它使许多家庭和学生深受其害。澳门学校在加快迈向真正的包容时所面临的障碍，来自管理层的决策。精英学校喜欢吸引中上阶层的家庭，这些家庭的目的是为子女去海外读大学做准备。学校害怕如果选择接受有特殊需求的学生，会无法满足那些（中上阶层）家长的期望。学校担心对于那些对子女抱有较高学术期待的家长，自己会失去吸引力。然而，学校不应该迎合这种恐惧，而是应该尝试说服家长，让他们认识到包容性带给高水平学生的教育福利。无论是哪种形式的隔离，与性别相关的、与能力相关的或与种族相关的，都意味着歧视与排斥。学校不应该像一个实验室，把学生按能力或其它判断标准来贴标签分类。学生最终必须融入社会，在那里彼此互动并尊重所有人，不管他们是谁或像谁。

DPM：如何改变澳门的文化，使教育改革特别是推进学校的包容性得以实现，的确是一个挑战。

AC：我深信教育。教育承载着崇高的目标，这在如今是很少见的。这不仅仅是纸上谈兵，而是切实地在发生着。不过，教师对社会变革的贡献与众不同。如果政府真正认识到教育的价值并给予充分的支持，教师就能够努力减少歧视性和排斥性的做法。如果我们希望打破贬低他人的旧框框，消除错误的成见与迷信行为，使人们意识到21世纪拒绝不尊重妇女、儿童、少数民族和动物这样的文化行为，我们就需要依靠教育者。我相信若想获取平等的成为领袖的机会，教师教育是关键所在。这或许也是我们为学生创立真正的包容性教育的最佳机会。

考虑到当下的澳门，增加决策性职位中女性的数量是非常重要的。我并不是说现在教育领域中没有女性担任权威职位，我的意思是她们是被孤立的。孤立的女性进入男性主导的职场环境后，倾向于仿效普遍的男性领导风格，并避免任何向男性同事突显其性

In Macau that was never the case. The strength of the Catholic schools must not rely solely on faith, because it is not faith that attracts families to the school. Families are instead attracted by the reputation of the school in terms of academic excellence and moral values. Therefore, schools must prove their academic excellence to survive. However, in so doing, they may become elitist and exclusionary. In Macao there are several Catholic schools that won't admit students with learning difficulties and students with disabilities, which is a paradox, because Catholic schools should be inherently inclusive. Schools must find a balance between the demands of the community and the requirements, for example, of Catholic social teaching (CST). This target is quite difficult to reach in some cases.

DPM: I'm beginning to understand why you've shifted your research focus from gender issues to their consequences for practical policy questions facing all the schools in Macau, like inclusive education. Perhaps we should now follow your development in that area, and learn how breaking the glass ceiling might create change there.

AC: There are schools (Catholic and non-Catholic) in Macau that are proactive in implementing inclusive education and others that are not. Research findings developed in countries such as UK and USA have concluded that women are more people oriented, more empathetic, and less competitive and ambitious than men. Therefore it might be possible that, if more women were in leadership positions in schools, these would become more inclusive.

What I mean by inclusive education is that schools would provide equal opportunities for all students, regardless of their social, religious, and ethnic differences as well as their individual differences in respect of physical, emotional and cognitive abilities. Schools in Macau need to improve their capacity to attend to the needs of diverse students and their families. There are many students with mild disabilities attending special education schools because they are not given an opportunity to be educated in regular schools. This problem needs to be addressed

because it is causing suffering for many families and children.

The main obstacles preventing Macau schools from moving faster into true inclusion are related to management decisions. Elite schools are interested in attracting middle and upper class families whose goal is to prepare their sons and daughters for university studies overseas. The schools are afraid of not being able to live up to parents' expectations, if they choose to embrace students with special needs. They are afraid of becoming less appealing to the parents who have high academic expectations for their offspring. But instead of catering to these fears, they should try persuading parents of the educational benefits of inclusion to the high achieving students.

Schools should not function as a laboratory where students are labelled and separated according to their ability or other arbitrary criteria, because students eventually must be integrated into a society where they should interact and respect all other human beings regardless of who they are or what they look like.

Segregation, whether gender-related, ability-related, or ethnicity-related, among other kinds, implies discrimination and exclusion. Schools should not function as a laboratory where students are labelled and separated according to their ability or other arbitrary criteria, because students eventually must be integrated into a society where they should interact and respect all other human beings regardless of who they are or what they look like.

DPM: Of course, the challenge is how to transform the culture in Macau so that educational reform, specifically, measures to promote inclusiveness in

别的事情。这些女性领导更愿意选择成为“机器上的齿轮”作为其生存策略，并不太可能去实现相关的变革。

DPM: 那如果让女性去承担学校系统中的领导角色，怎样能真正引发教育变革呢？

AC: 肯定是有关联的。不过，只有我们去促进女性领导力的发展，这种关联才会清晰地显现。家庭的支持是促进优秀女性进入领导层的一个条件。有一个支持的伴侣对于女性追求职业发展的理想而言意义非凡。从

学校不应该像一个实验室，把学生按能力或其它判断标准来贴标签分类。学生最终必须融入社会，在那里彼此互动并尊重所有人，不管他们是谁或像谁。

大学毕业的年轻女性更渴望寻找一份有意义的工作，而不仅仅是像她们的母亲那一代人那样谋个临时或兼职的营生。如果男孩从小就受教育，去接受他们在家庭与照料方面的责任，那么女性在处理工作与家庭义务的矛盾时所面临的冲突就能够迎刃而解。研究成果反复强调了一点，就是成功的女性领导与家庭支持之间是相关联的。

顽固的瓶颈确实对机构与社会造成了危害，这是底线。如一家机构阻止有才华的员工晋升高级职位，仅仅因为她们是女性，那它其实在做出错误的决定。如果你能从100个人中选出最好的，为什么要抛开50人，而只从剩下的50人中去选择呢？这样的想法很不明智。皮尤研究中心于2015年所做的基于证据的研究表明，在某些政治与商业领域里女性的表现其实要优于男性。在政治方面，女性在一些方面更出色，比如寻求折中方案、诚信与道义、努力改善生活质量和坚守信仰。在商业方面，她们在诚信与道义方面也远高于男性，而且为员工提供公平的薪资福利与辅导。在生意谈判和承担风险方面，女性不如男性成功。但是，这两方面取决于培训与经验。经验可以帮助她们获取谈判和承

担风险方面的知识 with 自信。

机构需要男性也需要女性，因为他们是相辅相成的。对某些机构，也许偏重所谓的雄性特质的领导层比较有益。而对其它机构，也许女性更适合。但这些都是个案。总的来说，灵活且有能力适应环境变化的领导会使机构受益。

DPM: 我觉得您关于打破瓶颈的论述是非常令人信服的，而且是越早越好。您可否再多谈谈澳门在实现包容性教育改革方面的挑战？我们怎样去迈进？有什么解决方案？

AC: 解决方案？嗯……不太可能来自家庭，关于这点天主教社会教义的教育观点太过理想化了。对于大多数澳门人来说，家庭生活的现实是：女性在外有工作，她们不得不依靠帮手。所以，孩子的教育实际是这些帮手或者学校在管。这里和其它地方都一样，我们有双职工小家庭或者单亲家庭，这意味着孩子无法经常与父母在一起。因此，如果要去做任何改变，就必须要在学校里实现，并且从教师的培训入手。当然，让家长参与学校的项目也很重要。但我们也明白，现在让家长去学校开个会都很困难，即便在以前妈妈们没工作可以参加时也很难。不过家长-教师组织，再加上政府支持的教育项目，或能催生变化。

我相信若想获取平等的成为领袖的机会，教师教育是关键所在。这或许也是我们为学生创立真正的包容性教育的最佳机会。

所以我们要培养教师，出资培训他们（政府必须为此提供支持）。与此同时，要赋予他们对性别角色和儿童发展的正确、启蒙式的认识。我们必须从教师与教师培养入手，转向一个减少父权的体系。想一想学校下课后常见的情景吧：女孩们被要求去浇灌花草，而男孩们却可以自由玩耍。我们必须从这一层就开始改变。我们要组织工作坊，与教师开展对话，以便开发有关性别的课程或工作坊。我们不能简单地把人的发展

the schools can become a reality.

AC: I deeply believe in education. Educating entails a noble purpose, and is seldom seen as such nowadays. Not in public discourses, where we continue to pay lip service to it, but in practice. Nevertheless, teachers can contribute to social change like no one else. If governments truly recognise the value of education and provide adequate levels of support, teachers

AC: There is a connection, of course, but it's not likely to become clear until we actually facilitate women's leadership development. One condition for facilitating the access of qualified women to leadership positions is family support. Having a supportive partner plays a difference in women's aspirations to develop a career. Young women graduating from universities are more than ever eager to find a meaningful work, not just temporary or part-time occupations as happened

I believe teacher education is the key to achieving equal access to opportunities for leadership, which in turn may be our best chance to establish a truly inclusive education for our students.

can work to establish less discriminatory and exclusionary practices. If we wish to tackle derogatory stereotypes, to fight erroneous preconceptions and superstitions, to make people aware of cultural practices that are disrespectful to women, children, minorities, or animals and are not acceptable in the 21st century, we need to rely on educators. I believe teacher education is the key to achieving equal access to opportunities for leadership, which in turn may be our best chance to establish a truly inclusive education for our students.

Considering Macau at present, it would be very important to increase the number of women in decision-making positions. I am not saying that there are not women holding positions of authority in the field of education, but instead I am saying that they are isolated. Isolated women who gain entrance in professional environments dominated by men tend to imitate the prevalent male leadership styles, and they avoid everything that may highlight their gender to male colleagues. These female leaders tend to become "cogs in a machine" as a strategy for survival, and they will not likely implement relevant changes.

DPM: But how will preparing women for leadership roles in the school system actually lead to educational reform?

in their mothers' generation. The conflict they experience coping with competing obligations in work and family could be solved if boys from early on were educated to accept their share in household and caretaking responsibilities. Research findings repeatedly report an association between successful female leaders and family support.

The bottom line is that the perpetuation of glass ceilings does have harmful effects on organisations and societies. An organisation that prevents talented members from reaching top positions just because they are female is actually making poor decisions. If you can choose the best out of 100, why put aside half and choose only out of the remaining 50? Such thinking is not very clever. Evidence-based findings from the PEW Research Center in 2015 showed that women actually do better than men in several areas of politics and business. In politics they were shown to be better at working out compromises, being honest and ethical, working to improve the quality of life, and standing up for their beliefs. In business they were rated much higher than men in being honest and ethical, providing fair pay and benefits, and mentoring employees. They were considered less successful than men in negotiating profitable deals and being willing to take risks. However these two aspects are contingent to training and experience. The aspects

问题甩给家庭，因为家庭成员不可避免会把从父辈那里学习到的性别认同与文化传统传承下去。而且，我们也不能指望帮手或社会化媒体去塑造孩子们。

此外，我们必须承认，家长通常不会认为自己是一种教育资源。他们知道自己不是教育工作者，觉得自己没有权力也缺乏技能去满足孩子的需求。他们有价值与信念，但这些或许更多是问题而不是解决方案的一部分。澳门是一个受消费主义价值主导的高度物质至上的社会，家长们容易有错误的目标。他们认为对孩子最好的事未必真是如此。比如，在引导孩子们选择大学专业领域时，他们只关注将来会赚钱的职业。受经济价值驱使，他们更看重能带来更多物质利益的工作。

DPM：如果挑战是这般的根深蒂固无处不在，为什么你认为教师与管理者能够带来改变？

AC：令我满怀希望的理由可能貌似奇怪。不过有一个例子。在澳门，所有的学生都必须穿校服，这利于冲抵来自家庭的物质文化影响。校服对保持平等作用显著。学校在传播塑造美好的价值观方面能够发挥作用，更富同情心也更具风度。培养美好价值观所面临的挑战，其核心问题是帮助学生对自己的性别认同形成健康的态度，并且接受存在不同差异的其他人。学校以及学校中道德领袖的品质，能够也应该发挥积极的作用。我以前见证过，也应该会再出现。但是，我们确实有自己需要去做的工作。

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高安雅，澳门圣若瑟大学心理与教育学院院长

in which women proved weaker than men can be overcome with experience. Experience will help in gaining knowledge and confidence about negotiating and taking risks.

Organisations need both males and females because they complement each other. There are some kinds of organisations that may benefit from having a leadership more focused on so-called male characteristics, and others where females may be more suitable. However these are exceptional cases. In general, organisations benefit from having leaders who are flexible and able to adjust to the changing environment.

DPM: I think you make a very convincing case for breaking the glass ceiling and the sooner the better. But could you say a bit more about the struggle for educational reform, with inclusiveness as a major goal, in Macau? How are we to move forward? What is the solution?

AC: The solution? Well, it's not likely to come from families, so much idealised in CST's view of education. For the majority of people in Macau, the reality of family life is this: Women have outside jobs, they rely on helpers, and so the education of children is actually in the hands of helpers or in the schools. Here, as elsewhere, we have nuclear families with both parents working, or single parent families which means that children are not spending much time with their parents. Therefore, if any change is to occur it will have to occur in the schools, beginning with the training of teachers. Of course it is important to involve parents in the schools and their programs. But we know how difficult it is even now to get parents to go to school for meetings; it was difficult even in the old days when mothers could do it since they didn't have jobs. But parent-teacher organizations could be a resource for change, along with educational programs supported by the government.

So we need to educate teachers, invest in their training (which is where the government must provide support), and give them, among other things a proper and enlightened understanding of gender roles and children's development.

We must move into a less patriarchal system by starting with teachers and their education. Think for a moment what usually happens when school day ends. Girls are asked to water the plants, while the boys are left free to play. We need change precisely at that level. We must organise workshops where we can dialogue with teachers, in order to create courses and workshops on gender. We simply cannot leave the question of human development up to the families, who inevitably either pass on the gender identities that they learned from their parents and their cultural traditions, or leave it up to the helpers and the social media to form their children.

Besides, we must admit that parents don't usually see themselves as an educational resource. They know they are not educational professionals. They feel disempowered, as lacking skills in what their children need. They have values and convictions, but even these may be more part of the problem than part of the solution. Macau is a very materialistic society governed by consumerist values. The parents tend to have mistaken goals. What they think is best for their children may not actually be the best. For example, when it comes time to guide their adolescents into a university field, they will look only at what they think will be the most profitable career. They aim toward jobs that will bring more material advantages, driven by economic values.

DPM: But if the challenge is that deep and pervasive, why do you think teachers and administrators can make a difference?

AC: My reasons for being hopeful may seem strange. But here is one example. In Macau all students must wear uniforms, which do tend to offset the materialist culture from home. School uniforms are a great equalizer. Schools can play a role contributing to the transmission and formation of good values, more compassionate and more personable. At the core of the challenge of fostering good values is the problem of helping students to form wholesome attitudes toward their own gender identities and the acceptance of others who are different in various ways. Schools, and the quality of their moral leadership, can and

do play a positive role. I've seen it before. It can happen again. But we do have our work cut out

for us.

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# INVITATION TO PUBLISH YOUR WORK IN THE MRI JOURNAL

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Manuscript length: 2,000 – 3,000 words (not including citations or footnotes)

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Before submitting your contribution, please ensure you include a title, subtitle (if applicable), abstract and list of keywords. Any article lacking one or more of these items will be automatically rejected and will require re-submission.

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- The manuscript complies with prevailing standards of written English or Chinese presented in a clear and concise structure.

- All empirical evidence in support of the manuscript's arguments should be based on a clear and robust methodology and data and analysis that meets established research methods.
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Software: Microsoft PowerPoint

Length: 10 slides

To streamline the transition from one presentation to the next, we are requesting that all presentations use Microsoft PowerPoint. This requirement is to maximize the presentation time for each author, and to minimize interruptions due to the use of different software or the switching in and out of personal laptops. Once you have submitted your slides, we will develop them in a common format for all conference presentations, and distribute them for use in the symposium packets.

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- 原稿被拒绝并附理由。
- 暂时接受。我们将提供反馈意见，以便您考虑由编辑提出的修改意见，然后将您的论文重新提交给我们的一位合编人员。
- 接受。可能包含小的文字修改意见。

## 5. 澳门利氏学社年度会议报告的要求

如果您有兴趣在《澳门利氏学社学刊》上发表论文，我们鼓励您考虑在澳门利氏学社的年度研讨会上展示您的研究成果。您将有机会结识在道德领导、社会创新和比较精神领域的学者，并和他们讨论他们的研究成果和兴趣。每届研讨会都会发布“征文启事”。您可以在澳门利氏学社的网站上找到最新的“征文启事”：[点此进入](#)

以下是澳门利氏学社年度会议的报告准备要求：

软件：微软演示文稿

长度：10张幻灯片

为了使各个报告之间顺畅地过渡，我们要求所有报告都使用微软演示文稿。这一要求是为了尽量为每位作者争取更多的报告时间，减少因使用不同的软件或笔记本电脑的接入和断开而造成的中断。一旦您提交了幻灯片后，我们会将它们转换成所有会议报告的统一格式，并将它们装入会议文件包进行分发。

# CALL FOR SUPPORTERS

## 寻求您的支持

### MRI JOURNAL APPEAL

Thank you for reading The Journal of the Macau Ricci Institute (MRI Journal)! We hope you enjoyed the content. Given that the MRI Journal does not have a paywall, we rely on the support of our readers to sustain our work of sourcing, editing, formatting and publishing the contributions for each issue. If you enjoyed this issue, we kindly ask you to support us in publishing further issues. All donations help to secure our future as the journal of moral leadership, social innovation, and comparative spirituality in the East Asia region.

#### 《澳门利氏学社学刊》筹款呼吁

感谢您阅读《澳门利氏学社学刊》！希望您喜欢我们的内容。由于《澳门利氏学社学刊》不收取费用，我们主要依靠读者的捐款来支持每一期杂志的征稿、编辑、排版和出版工作。如果您喜欢这期杂志的内容，我们恳请您支持我们往后的期刊出版。我们诚望我们的杂志将成为在东亚地区专注于道德领导、社会创新和比较精神领域的专业杂志，您的捐款将助我们一臂之力。

Suggested donation amounts / 建议捐款金额: 800 MOP, 800 HKD, 700 RMB, 100 USD, 90 EUR

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### MRI LIBRARY APPEAL

We at the MRI regret to inform you that our library, an invaluable resource for local and visiting researchers and scholars, has been destroyed. During the recent typhoon – HATO – which resulted in the death of at least 16 people and caused havoc in Macau on 23 August 2017, the MRI lost its entire collection of books due to flooding. In total, our Institute lost approximately 25,000 volumes. While we may never rebuild the MRI's library to its original condition, we are determined to recover as much of what was lost as possible. Your help in this process is much needed and highly appreciated. Please consider a donation to help restore the MRI library.

#### 澳门利氏学社图书馆筹款呼吁

我们的图书馆对于当地和来访的研究人员和学者来说，是宝贵的资源。然而，非常遗憾，我们的图书馆已被毁坏。2017年8月23日，台风“天鸽”席卷澳门，致使至少16人丧生，并造成极大破坏。在这次台风中，澳门利氏学社由于洪水丢失了所有的藏书。我们的学社共计丢失了约25000册图书。尽管我们可能永远无法将澳门利氏学社图书馆重建至以前的规模，我们决心尽可能地恢复丢失的图书。在此过程中，我们非常需要也会非常感激您的帮助。敬请考虑献上一份捐款，帮助恢复澳门利氏学社图书馆。

HELP RESTORE THE MRI LIBRARY  
帮助恢复澳门利氏学社图书馆

# EVENTS AND PUBLICATIONS

## 新闻活动与出版物

### EVENTS 新闻活动:

“EDUCATION FOR THE COMMON GOOD” SYMPOSIUM  
Co-hosted by the Macau Ricci Institute and University of Saint Joseph, Macau  
November 23/24, 2017

“EXPLORING THE ONE BELT ONE ROAD INITIATIVE:  
THE CHALLENGE OF CROSS-CULTURAL EXCHANGE AND COMMUNICATION” SYMPOSIUM  
Co-hosted by the Macau Ricci Institute and University of Saint Joseph, Macau  
November 8/9, 2018

### PUBLICATIONS 出版物:

MACAO’S COLLEGE AND CHURCH OF ST. JOSEPH  
César Guillén Nuñez, Instituto Cultural and Macau Ricci Institute, 2017

THE ACTA PEKINENSIA - OR HISTORICAL RECORDS OF THE MAILLARD DE TOURNON LEGATION  
Kilian Stumpf S.J., Macau Ricci Institute, 2016

INTERNATIONAL BUSINESS ETHICS: FOCUS ON CHINA  
Stephan Rothlin S.J., Dennis P. McCann, Springer-Verlag Berlin Heidelberg, 2016

50 GREAT MASTERS OF CHINESE BUDDHISM  
Christian Cochini S.J., Macau Ricci Institute, 2015

RESPONSIBLE ENTREPRENEURSHIP: HOW TO WRITE A BUSINESS PLAN  
Stephan Rothlin S.J., Mike Thompson, Thomas Myers, UIBE Press, 2015

PORTRAIT OF A JESUIT: ALESSANDRO VALIGNANO  
Artur K. Wardega S.J., Macau Ricci Institute, 2014

PLAYING BACH IN FRANCE AND IN CHINA: AN ENCOUNTER OF MUSICIANS IN MACAU  
Philippe Charru S.J., Yuan Sheng, Macau Ricci Institute, 2011

PORTRAIT OF A JESUIT: MATTEO RICCI  
Artur K. Wardega S.J., Macau Ricci Institute, 2010

GUIDE TO BUDDHIST TEMPLES OF CHINA  
Christian Cochini S.J., Macau Ricci Institute, 2009

\*To inquire about our events or publications, please us at: [info@riccimac.org](mailto:info@riccimac.org)\*