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转型期的地方大学治理

Local University Governance in Social Transition Period

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摘要

在中国社会制度转型和高等教育巨变的背景中，地级市政府举办的地方大学业已走过了 20 多个春秋，逐步成长为推进我国高等教育地方化、大众化、多元化进程的一支重要力量，可谓三分天下有其一。对于其发生和发展、经验和成就、功能和价值、使命和意义等，理论界保持着持续的研究兴趣。由于社会转型的复杂性和高等教育发展的不确定性，至今，我们对地方大学的认识仍存在明显局限，我们还在学习如何管理或治理地方大学的路上。本研究的意义在于廓清地方大学治理的历史面目，明晰地方大学治理的外部结构，探究地方大学治理的理想模式，力图缩减管理的成本，实现地方大学的“善治”。

本文试图厘清三个问题：1、转型期困扰地方大学发展的体制和政策因素是什么？2、地方大学治理中政府力量、市场力量、社会力量和学术力量之间的博弈过程和呈现方式如何？3、地方大学的治理结构和理想模式是什么？本文通过审视 20 世纪 80-90 年代由地级市政府举办的地方大学的历史背景、生存环境、面对的矛盾、政策的选择等问题，致力于拓展研究视野、廓清历史面目、追寻理论解释、探询发展路径，尝试从治理理论和本土化的角度探讨我国地方大学治理问题，以“地方知识”来提高关于高等教育管理理论的知识增量。最终目的是寻找符合中国国情的地方大学治理之道。

本研究遵循历史与逻辑结合、经验与理论呼应的研究路径，致力于“宏大叙事”与“个人叙事”、实践经验与理论阐释的统一。沿着两条基本线索展开研究：一条是历史和经验线索。通过文献研究，从历史文献的“宏大叙事”中归纳了地方大学治理的相关问题；通过叙事探究，从四所具有代表性的地方大学校长们的“个人叙事”中追寻地方大学治理的“真实”历史；通过个案研究，对地方大学治理之道进行“现状描述”，进而对历史、经验和现实从治理视角进行解读和学理阐释，力图还原地方大学治理的本来面目。本文的第二章历史篇、第三章叙事篇、第四章现实篇分别从历史背景、系统定位、存在问题、校长们的个人叙事以及广州大学的现状描述等角度对地方大学治理问题进行了探讨；另一条是理论和逻辑线索。以“治理理论”作为理论资源和分析框架，展开了地方大学与外部世界关系的逻辑分析。本文的第五章理论篇、第六章行动篇和结语从治理理论和制度转型出发，对地方大学治理的制度环境、运行机制、治理结构、外生变量、理想模式进行了分析和构建。本文在第一章中通过文献分析对相关研究作了梳理，

对本研究的问题和方法进行了定位。

本研究的主要结论和可能存在的创新之处是：1. 地方大学的异军突起是转型期中国高等教育制度创新的结果。它对我国高等教育制度的重构、高等教育治理结构调整和高等教育地方化、大众化和多元化进程产生深刻的影响；2. 地方大学是一种有别于“传统大学”的新型大学，它具有区别于“传统大学”的治理结构和治理模式，并为中国大学治理知识的累积提供了新的资源；3. 地方大学治理深受制度环境影响和地方政府牵制。转型期的地方大学呈现出独特的发展方式和面临特殊的发展问题，这是地方大学由管制走向治理的经验基础；4. 地方大学治理是在政府“治道变革运动”宏观背景中引发的改革需求，治理理论的传播为地方大学治理研究提供了逻辑支点和理论分析框架；5. 转型期地方大学治理环境已经并继续发生着显著的变化，地方大学外部治理结构呈现新的特征，优化地方大学治理结构的路径具备新的需要与可能；6. 本研究在方法论上致力于历史与逻辑的统一，经验研究与理论研究的结合，基于对历史经验的梳理、治理逻辑的确认和大学理想的追问，提出了关于地方大学治理理想模式的思考。

总之，通过文献研究、叙事探究、个案研究和治理理论分析，从不同角度审视地方大学治理，主题命意的一再重复、相互衬托，使我们得以一窥隐藏在历史和现实中、往往被遮蔽的地方大学治理结构的矛盾与冲突，大学、政府、市场和社会治理关系之变化被层层推进，由宏大叙事到个人叙事，再到现实描述，进而治理逻辑分析，如同剥竹笋一般逐步显露事情的真相。为研究社会转型期的地方大学治理，提供了一个新的路径，增加了一些新的认识，提供了一种新的可能。相信本研究的路径、框架和结论对于深化地方大学的认识，选择地方大学治理的模式具有理论价值和现实意义，也为可能的后续研究进行了铺陈。

关键词：地方大学治理；叙事探究；治理理论；外部治理结构；治理模式

Abstract

In the context of the transition of Chinese social system and the great change of the Chinese higher education, local universities run by cities at the prefecture level and central cities have experienced a history of twenty years, gradually becoming a significant branch of the three forces which propel the localization, popularity and plurality of the Chinese higher education. The origin and development, experience and achievements, function and value, and mission and significance of the local universities constantly appeal to the theoretical study. Complexity of the social transition and uncertainty of the higher education development has, so far, impacted constraint upon our knowledge of the local universities. We are still on the way to learn how to manage and govern the local universities. “New system is brings about study costs, and is likely to cause unharmonious coordination during the social transition period.” This dissertation aims at clarifying the true colors of the local university governance, depicting its external structure, and seeking the ideal model for the governance, so as to reduce the study costs and improve the governance of the local universities.

This dissertation attempts to answer the following three problems: 1. the system and policies which circumscribe the development of the local universities; 2. the process and expression way of the game conducted by the governmental force, market force, social force, and academic force during the development of the local universities; and 3. the governance structure and correspondent reasonable models for the governance of the local universities. Through the scrutiny of the issues such as the historical background and the environment of the universities launched by the cities at the prefecture level during the 1980s to 1990s, and the conflicts they face and policies they choose, this research is committed to expanding the horizon of study, clarifying the true colors, exploring the path of development, and pursuing the theoretical interpretation. It also tries to probe into the governance of the Chinese universities from the angle of governance and localization, and to make the “local knowledge” underlie the knowledge accumulation concerning the advanced education theory. The foremost aim is to seek the path of governance of the local universities in China.

Choosing the objectivism or interpretivism as the research line and the governance theory as the analysis frame, this dissertation follows the principles of

unity of history and logic, and of reciprocal support between theory and experience, ie, the unity of “macro narration” and “empirical narration”, the unity of practical experience and theoretical interpretation. The study of this thesis follows two basic lines. One is the line of history and experience, which, through document research, that is through the “macro narration” of the historical literature, concludes the relevant problems of the governance of the local universities. Meanwhile, through narration research, that is, through the “empirical narration” of presidents of four representative local universities, it tries to seek the “genuine” history of the governance of local universities, make the “macro narration” and “empirical narration” verify each other, and theoretically interpret the history of the established local universities and the experience of their presidents, so as to resume the original colours of the governance of local universities. With historical documents as the research resources, Chapter II and Chapter III of this writing comb out and come up with the historical backgrounds, systematic position, environment, and existing problems of the local universities respectively. Based on the personal experiences of presidents of the local universities, Chapter IV probes into the governance of the local universities, mainly analysing the system and policies that hold back the development of the local universities. Historically and empirically it reflects the contradictions and conflicts between the local universities and the government, market, and society. The other line is the connection of theory and logic. With the “governance theory” as the theoretical resources and analytical frame, it provides a logical analysis of the relationship between the local universities and the external world. Considering the governance theory and system transition, Chapter V, Chapter VI and the conclusion part of this dissertation supply an analysis and construction of the systematic environment, operating mechanism, governance structure, external variable, and ideal models of the local university governance, focusing on the game conducted by the governmental force, market force, social force and academic force and its ought-to-be. The review, organization and commentary of the relevant literature for research provided in Chapter I justify the problems and methods mentioned in this research.

The chief conclusion and possible fresh idea of this dissertation exist in the following. 1. The sudden new force of the local universities results from the systematic innovation of the Chinese higher education, which will deeply influence the reconstruction of the Chinese higher educational system, the readjustment of the

structure of the higher education governance, and the localization, popularity and plurality of the higher education. 2. Local universities are new-type universities different from the traditional ones. They are characterized with different governance structure and governance models. They add new resources to the knowledge accumulation on how to govern the Chinese universities; 3. Governance of the local universities are deeply influenced by the social system and local government. The special development patterns of the local universities and the special problems they face during the transitional period underlie the change from control to governance with respect to the management of the local universities. 4. Governance of the local universities is a need of reform triggered by the government's "campaign of governance and change" and the "new public administration". The launching of the governance theory offers a theoretical frame and logical support for the governance of the local universities; 5. The environment for the governance of the local universities in social transition period has changed and is still changing greatly. The external governing structure of the local universities has taken up news characteristics. Therefore, the path to optimize the governance of the local universities is confronted with new demands and feasibility; and 6. Methodologically, the research attempts to act in accordance with the unity of history and logic. Through the research on history and experience, the assertion of the governance logic, and the question on the goal of the universities, it suggests the deliberation of the ideal models of the governance of local universities.

Conclusively, by means of literature research, narration exploration and the analysis of the governance frame, together with the repetition of the theme and proposition and their mutual support, this dissertation provides a new path, adds some new knowledge, and supplies a new possibility for the study of the governance of the local universities during the social transition period. The author believes the research methods, frame and conclusion mentioned in the dissertation will be theoretically valuable and realistically significant for the reinforcement of the knowledge of the local universities, and for the choice of reasonable patterns concerning the governance of local universities, and will pave a way for the continued study in this area.

Key Words: Local University Governance, Narration Exploration, Governance Theory, External Governance Structure, Governance Models.

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