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博士学位论文

地方政府主导的沿海城市海岸带综合管理
绩效评估模型研究

Research on performance evaluation model of local
government-dominated Integrated Coastal Management in
coastal cities

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摘要

海岸带凭借其特殊的地理位置和丰富的自然资源，吸引着人口的不断聚集，并引发多样的海岸带开发活动，造成海岸带资源利用的冲突。随着海岸带资源环境压力的增大以及海岸带资源的开发利用管理对于沿海区域经济的可持续发展具有的关键性作用被逐步认知，海岸带综合管理（Integrated Coastal Management, ICM）已被沿海各国所重视和提倡。实施 ICM 被认为是解决海岸带资源冲突的一个有效途径和手段。

基于地方政府主导的模式是我国沿海城市海岸带综合管理执行的共同特征。随着海岸带综合管理实践在我国厦门市以及东营等 10 个平行示范区不断深入的开展，对其绩效进行评估，是促进管理举措完善，进一步推动海岸带综合管理在其他沿海城市实施的重要手段。

本文在剖析海岸带综合管理绩效评估理论蕴涵的基础上，构建了地方政府主导的沿海城市海岸带综合管理绩效评估模型，并将其应用于实践。主要的研究成果如下：

（1）在归纳总结当前海岸带综合管理的相关研究成果和海岸带地区特点的基础上，进一步明确了海岸带综合管理的定义、特征、目标、功能和过程。通过对绩效内涵和评估定义的探讨，得出 ICM 绩效评估的对象、内涵、特征以及 ICM 绩效评估与政府绩效评估的联系。

（2）通过对可持续发展理论、系统理论和利益相关者理论的阐述，确定海岸带综合管理绩效评估的原则。从评估指标的功能、遴选原则、体系构建的基本流程等方面进一步归纳总结绩效评估的理论基础。

（3）在系统总结国外 ICM 评估模型和中国政府绩效评估模型的基础上，从环境、社会经济和管理三个方面，构建出一个适用于以地方政府主导的沿海城市海岸带综合管理绩效评估模型，包括评估方法和指标。该模型中的指标体系由目标层、综合层、领域层和指标层 4 个层次构成。通过隶属度分析和相关分析，对指标体系进行筛选；对指标进行参数化，使绩效评估建立在可以量化的原始数据基础上；利用层次分析法确定指标的权重；从而构建一个更具可操作性、认可度、包含 29 个指标的海岸带综合管理绩效评估模型。

(4) 利用构建的 ICM 绩效评估模型对典型海岸带综合管理开展城市厦门和尚未开展城市汕头进行绩效评估。评估中，以 2005 年为绩效评估的基准年，利用指数增量法，分别评估 2006 年、2007 年、2008 年和 2009 年的海岸带管理绩效水平，结合绩效指标的现状值，对两者进行纵向和横向比较分析。通过影响系数，识别影响厦门市和汕头市管理绩效的关键因素，得出影响厦门市海岸带管理绩效的四个方面主要集中在环境质量，计划的监测、评估和调整，执法和财政机制上；而汕头市应将重点放在环境质量和保护，公众安全，立法和执法，财政机制上。

(5) 从 ICM 绩效评估模型的研究和运用实践中，发现绩效评估中存在的问题和不足，包括：数据的可获性差；对绩效评估的认识存在误区；缺乏对海岸带管理绩效评估的制度化。针对这些不足，提出了相应的对策措施，包括：数据信息库的建立；科学合理使用绩效评估结果；绩效评估的反馈和沟通；海岸带管理绩效评估的制度化；引入公众参与机制。

关键词：地方政府主导；海岸带综合管理；绩效评估；评估模型

Abstract

Coastal zones continue to attract increasing numbers of people due to their special geographical location and rich natural resources, leading to a variety of coastal development activities, which often results in coastal resource use conflicts. Integrated Coastal management (ICM) initiatives have spread all over the world, to cope with declining coastal conditions and intensifying user conflicts, in order to achieve sustainable development of coastal resources and the coastal environment. ICM has been considered as a highly effective way of resolving conflicts, conserving resources and protection of sensitive spaces.

At present, ICM has been implemented in Xiamen and other ten parallel ICM sites in China. Local government control is a common feature in China for ICM implementation. Therefore, research on local level ICM performance evaluation is not only able to promote the improvement of management initiatives in China, but also can be a means to further facilitate ICM implementation by other coastal cities in China.

Based on the literature review of ICM performance evaluation, this dissertation investigated the theory and method of ICM evaluation, developed the evaluation model and finally conducted case studies with this model. The main research results are as follows:

Firstly, based on the related ICM literature and characteristics of coastal zone, the concepts, characteristics, objectives, functions and processes of ICM were presented. This information was then used to determine the objects, contents, characteristics of ICM performance evaluation, the relationship between ICM performance evaluation and government performance evaluation were intensively researched.

Secondly, the principles of ICM performance evaluation were discussed based on the sustainable development theory, systems theory and stakeholder theory. The theoretical foundations of performance evaluation were further elucidated through evaluation indicators functions, indicator selection rules, and the basic steps of

developing an evaluation system.

Thirdly, international ICM performance evaluation models and government performance evaluation models in China were systematically summarized, and then a workable evaluation model, including evaluation methods and indicators, has been developed based on environmental, socioeconomic, and governance aspects. The indicator system can be divided into four levels; they are the goals layer, the domain layer, the objective layer and the indicator layer. In order to make the indicator system more operational and acceptable, degrees of membership analysis and correlation analysis were applied to screen indicators; indicators were parameterized and the Analytic Hierarchy Process (AHP) was used to determine the weight of each indicator, which was finalized 29 specific indicators.

Fourthly, the newly formed ICM performance evaluation model was applied to two cases. One was Xiamen, a typical ICM implementation city, and the other was Shantou. Based on the year of 2005, the performance scores of 2006, 2007, 2008 and 2009 were calculated respectively by using exponential increment method, followed by both vertical and horizontal analysis of these two cities. According to the results obtained through influence coefficient analysis, the most influential factors in Xiamen were environmental quality, routinely monitoring, evaluation and adjusting ICM efforts, and law enforcement and financial mechanism, while the results suggested that Shantou should focus on the environmental quality and protection, public safety, legislation and enforcement, and financial mechanism in the future.

Finally, based on the research and application of ICM performance evaluation model, this research found that there exists many problems and deficiencies in ICM performance evaluation in China and corresponding countermeasures were therefore proposed.

Keywords: local government-dominated; Integrated Coastal Management (ICM); performance evaluation; evaluation model

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