

中国独立学院可持续发展研究

——以云南独立学院为例

A Study on the Sustainable Development of Independent
Colleges in China—A Case Study of Yunnan Province

兰 靖

LAN, Jing

PhD

澳大利亚悉尼科技大学

UNIVERSITY OF TECHNOLOGY, SYDNEY

2010.6

Students are required to make a declaration when they submit the thesis for examination. Here is a recommended form of words.

CERTIFICATE OF AUTHORSHIP/ORIGINALITY

I certify that the work in this thesis has not previously been submitted for a degree nor has it been submitted as part of requirements for a degree except as fully acknowledged within the text.

I also certify that the thesis has been written by me. Any help that I received in my research work and the preparation of the thesis itself has been acknowledged. In addition, I certify that all information sources and literature used are indicated in the thesis.

Signature of Candidate

Production Note:
Signature removed prior to publication.

致谢

我一直关注中国独立学院的发展，尤其倾向于对当前中国独立学院发展模式进行理性的反思与批判，并试图进行新的理论建构与发展路径的探讨。也正是基于此原因，我才选择将中国独立学院的可持续发展作为我的研究主题。作为一名中国独立学院办学实践者，总有一种力量推动着我，要实行一种改革，使得这种新的生命体能更具竞争力、灵活性和社会适应性。我试图引入创业型大学的理论对独立学院的发展模式进行建构，以期赋予独立学院这一新生事物以新的内涵。

要感谢我的导师冯崇义教授和副导师杨径青博士三年来对我的学术引导、支持和生活帮助。正是在他们的辅导和帮助下，我在澳大利亚悉尼科技大学攻读博士学位的历程才会这么丰满，学术进步才会这么神速。在论文结束之际，谨向他们致以我最诚挚的敬意和由衷的感谢！

要感谢我的访谈对象，感谢他们在繁忙的工作和学习之余接受我的采访，并对我的论文进行批判和建议。尽管文章中没有出现各位访谈对象的真实姓名，但是，你们每个人的名字都已深深刻在我的脑海里，成为我改善研究的有效激励。

感谢我的家人对我远赴悉尼攻读博士学位的支持，没有她们的支持，我完成博士论文将远比今天艰难。

摘要

逐渐富裕起来的中国民众对高等教育的需求猛增，而公立高等教育资源无法满足这种需求，中国独立学院正是籍此契机应运而生——公立高校的声誉和品牌（无形资源）和民间资本的有效结合而孕育的一种新型大学。独立学院从产生到现在仅仅五年时间，短时间内规模迅速扩张和整合资源确实迎合了时代的需要，但是，在民众对高等教育需求日益理性的时代，独立学院俨然已进入竞争时期。每一所独立学院都必须直面当下还存在的很多问题，并通过深入的研究和探索，打造独立学院发展的核心竞争力，走一条可持续发展之路。这些问题包括：国家规定举办独立学院是非营利性事业，但是，资本市场当初进入独立学院恰恰看中的是其强大的赢利能力，要求资本不赢利而将独立学院作为纯公益性事业来做有违资本的规律，同时也不吻合社会主义市场经济的基本原则，实事求是地说，理想化的解决之道在于谋求在教育 and 营利之间保持必要的张力以达到某种平衡。换言之，既要适度的赢利，又要不污没教育的天职。但诚如马克思经典作家批判以往的哲学家所言：“哲学家只想着解释世界，但世界的意义在于如何做。”当下，很多独立学院由于与母体高校及第三方合作者等各自的利益分配不均衡而出现运行机制不畅，管理不顺的现象。管理之道，兴校之要。从发展的角度看，机制不畅，管理不顺如果长期存在的话，势必会影响独立学院的有效运行以及未来一段时间核心竞争力的打造。这些问题到底如何有效解决？

克拉克的企业化大学理念为中国独立学院的发展似乎已指明了一条道路——当然，中国独立学院不能按照克拉克所描述的框架进行操作——以学术成果为中心的办学方式至少在近十年内与独立学院的发展无关。克拉克关于企业化大学的理念与其说是提供了一条路径，还不如说提供了一个视角——谁能适应市场，谁能在市场上拿到资源，谁就能奠定更坚实的发展平台。德鲁克的路径也许是独立学院的最好选择：所谓企业就是要不断地累积客户并达至客户满意。克拉克的理念加上德鲁克的路径选择是独立学院发展的最好注脚。

本研究运用文献梳理、访谈、问卷调查、个案剖析等方法围绕三个主题来进行阐释：一、独立学院如何赢得更多的“客户”（学生）并让这些客户通过接受独立学院的服务成为市场上认可的“产品”（人才）？二、如何造就这些“产品”，换言之，我们需要什么样的“工人”，如何打造高质量的“服务队伍”（教师、管理者、服务人员）？三、学院自身如何应对变化？组织架构如何搭建，利益如何分配？

本研究提出，要想使“客户”不断增多和满意，最关键的问题在于使“客户”能在人才市场上找到合适位置，实现充分就业。调查发现，中国社会已从学历社会逐渐过渡至能力社

会,因此,独立学院要紧紧围绕提升学生对市场需求的胜任能力为核心,着力加大课程设置、教学方式、教育理念的改革。调查还发现,独立学院人才培养与社会需求相吻合的阻截点在于独立学院教师的人才培养观念与市场需求和“客户”本身需求存在矛盾和差距,应该加大对教师的培训力度,改变教师的教育教学观念,更新教育教学方式,同时,提高管理和服务水平,力争让“客户”满意,以实现客户的持续增长。

持续增长的“客户”数量及持续增加的“客户”满意度必须要有良好的管理和服务。教师和管理人员应转变观念,变实施教育为提供“服务”——为满足学生的合理需求和社会对人才的需要创造机会、搭建平台。本研究通过对教师职业心态进行问卷调查,并对数据进行统计分析,提出有针对性的改善建议。

研究还通过案例研究法,对云南师范大学商学院的成立、成长和发展进行了深入挖掘,对其经验进行了总结,对其未来的发展进行了合理的剖析。

本研究在下述几个方面有所创新:一、旗帜鲜明地提出了独立学院赢利的概念,以企业化的方式进行运作,打破了中国大学不谈赢利的传统思维观念。二、以教育消费市场和人才消费市场需求的视角来审视人才培养。突破了传统中国大学人才培养过程中以学科为中心,以学校的目标为导向,但常常与市场脱节的弊病。三、以职业心态的视角来深入探究教师队伍的培养。以致力于统一价值观、提升职业素养等手段来推进独立学院的建设,实现企业化过程中“组织员工”对组织的高度认同;四、以利益博弈来研究独立学院的决策中心构建问题。利益是企业运行过程中的核心,如何实现各方利益的均衡,以达到帕雷托最优?本论文对此作了相关探讨。

ABSTRACT

The demand for higher education surges for China's increasingly affluent population, while public higher education resources can not meet this demand. Independent Colleges of China come into being by taking this opportunity - the birth of a new type of university because of effective combination of a public university's reputation and brand (intangible resources) and civil society capital. Independent Colleges take only five years from creation to now. Rapid expansion of scale and integration of resources really meet the needs of the times for a short time, but public's growing demand for higher education has entered into the Age of Reason and an independent college has entered a competition period. Each of the Independent Colleges has to face many problems at present and achieve sustainable development by in-depth study and exploration, and creating a core competitiveness independent Institute's development. These issues include: State regulations provide Independent College is a non-profit business, however, owing to Independent Colleges' strong profitability, capital market enter into this field. So requiring capital non-profit and independent colleges done as a pure public welfare will be against capital law, and the law also doesn't fit the basic principles of the socialist market economy. Realistically speaking, the idealized solution is, In order to achieve a certain balance, to pursue the necessary tension between education and the profit-making. That is to say, it is necessary to get moderate profit, but not contaminate the bounden duty of education. However, as what Marx's classic writer criticizing philosophers of the past, and said: "Philosophers only of interpreting the world, but the sense of the world is how to do." And many independent colleges and universities arises poor operation mechanism and management because of respectively uneven distribution of benefits among their parent universities and their third-party partners and themselves. Successful management may lead to universities' success. From a development perspective, if poor mechanism and management existent for a long time, it will certainly affect the effective operation of the Independent College and core competitiveness's construction in the future. In the end, how to effectively solve these problems?

Clark's concept of entrepreneurial university have identified a way for the development of China's Independent Colleges - of course, China's Independent Colleges can not be in accordance with the framework for action described by Clark – the idea of considering academic achievements as the center-mode operation has nothing to do with the development of Independent Colleges. Clark University, the idea is not so much on the enterprise is to provide a path at least 10 years. The idea is not so much to provide a path, as to provide a perspective - who can adapt to the market, and who can get resources in the market, and who finally will be able to lay a more solid development platform. Drucker's path may be the best choice for the development of Independent Colleges-the so-called enterprise is to continue to accumulate clients and make customer satisfied in the end. Clark's idea coupled with Drucker's path choice is the best footnote for the development of Independent Colleges.

This study make full use of literature carding, interviews, questionnaires, case analysis and other methods to explain these three themes: first, how an independent college to win more "customers" (students) and make these customers recognized the "product" (talent) in the market through accepting the services of an independent College? Second, how to create these "products"? In other words, we need to what kind of "workers", and how to create high-quality "service team" (teachers, administrators, and service personnel)? Third, how the College to deal with change? How to build the organizational structure, and distribute benefits?

This study proposes, in order to enable "client" grow and satisfied, the most critical issue is to make the "clients" find a suitable place on the talent market and achieve full employment. Therefore, the independent college students should focus on enhancing students' competence to meet the market demand and increasingly focus on the reform of curriculum, teaching methods and educational philosophy. The survey found interdiction point is the contradictions and gaps between the concept of independent college's personnel training coincided with the market demand and the "client" own needs, and we should increase teacher training's grade, change teacher's educational teaching Ideas, and update education and teaching methods. We also improve management and service level, and in order to achieve customer growth, try to keep the "customer" satisfaction.

Sustained growth in the number of the "clients" and the continuous increase in the degree

of "customer" satisfaction must have good management and services. Teachers and administrators should change their concepts, and change the implementation of education for the provision of "services" to meet the reasonable needs of students and society need to create opportunities and build a platform for those talents. This study was conducted by the survey of teaching profession attitude and statistical analysis of the data and finally put forth some specific suggestions for improvement.

By using the method of case analysis, the study also have an in-depth excavation for Yunnan Normal University Business School's establishment, growth and development, summarize their experience, and have a reasonable analysis for their future development.

This study has innovations in the following aspects: First, this study clearly puts forward the concept that Independent Colleges should be profitable and operate based on an enterprise approach, and break out traditional concept that the Chinese University doesn't think about profitability. Second, this study carefully examines personnel training into through the perspective that education consumes market and human resources consume market, and breaks through these diseases that in the process of personnel training, Chinese traditional universities' discipline-centered, goal-oriented, but often out of touch with the market. Third, this study goes into details about the training of teachers through the perspective of professional attitude to advance the enterprise construction and realize high degree of identity for the organization in the process of commercialization by the method of unifying values, and enhancing the professionalism of Independent Colleges and other means; Fourth, this thesis studies how to build Independent Colleges' decision-making center by interest's gambling. Interest is the core part of business operation, and how to achieve interest balance of all parties in order to achieve Pareto most optimal? This paper will have relevant discussion.

Key Words: independent college; sustainable development; competency

目 录

1. 绪论	1
1.1 问题的提出	1
1.2 文献综述	3
1.2.1 “企业化大学”的概念	3
1.2.2 企业化大学的兴起	5
1.2.3 企业化大学兴起的背景	7
1.2.4 企业化大学实现的途径	11
1.3 研究述评	20
1.4 研究的目的和意义	21
1.5 研究内容和基本思路	23
1.6 研究方法	25
1.7 研究的理论基础	26
1.8 本研究相关概念的界定	26
1.9 本研究的创新之处	31
1.10 本节小结	32
2. 中国独立学院解释	34
2.1 独立学院发展的背景与动因	34
2.2 独立学院的产生	36
2.3 中国独立学院发展的主要模式	38
2.4 独立学院发展的意义与影响	39
2.5 发展中的优势与劣势	40
2.6 本节小结	42
3. 独立学院企业化生存的核心——以市场为导向的人才培养战略	44
3.1 现状与应对	44
3.2 胜任能力：独立学院人才培养改革之道	47
3.3 胜任能力：概念与应用	48
（一）从定义上看：	48

(二) 从类型上看:	50
3.4 大学生角色胜任能力定位分析	51
3.4.1 培养目标分析.....	51
3.4.2 大学生教育质量理解.....	52
3.4.2 大学生胜任特征概括.....	54
3.5.1 访谈对象基本情况.....	55
3.5.2 访谈内容分析.....	56
3.5.3 访谈小结.....	58
3.6 问卷调查分析与讨论	60
3.6.1 问卷回收统计.....	60
3.6.2 问卷调查结果及分析.....	61
3.6.3 讨论: 不同主体对大学生胜任能力需求的比较研究.....	66
3.7 两点反思: 当下大学生培养的矛盾所在	67
3.8 基于胜任能力的大学生培养之探讨	68
3.8.1 价值层面: 培养什么样的大学生?	69
3.8.2 知识层面: 用什么来培养大学生? ——关于课程与专业设置改革的建议....	70
3.8.3 行为层面: 独立学院应怎样来培养大学生?	71
3.9 本节小结	73
4. 职业心态视角下独立学院教师队伍的培育与发展.....	75
4.1 独立学院专职教师职业心态现状	77
4.1.1 问卷信度分析.....	77
4.1.2 数据分析与讨论.....	78
4.2 结论与建议	95
4.2.1 加强独立学院校园文化建设的几点建议.....	95
4.2.2 缓解教师职业压力的对策.....	96
4.2.3 加强独立学院人际关系建设的几点建议.....	97
4.2.4 独立学院教师管理的建议.....	99
4.2.5 增强教师公平感的建议.....	101
4.3 本节小结	102

5. 适应社会变革的独立学院管理体系的建立.....	104
5.1 独立学院投资主体的博弈及解决.....	105
5.2 独立学院投资的多方博弈关系的构成.....	105
5.3 独立学院投资中多方博弈问题的成因.....	108
5.4 独立学院投资中多方博弈问题的影响.....	111
5.5 解决方案的初步构想.....	112
5.6 独立学院组织架构的变革.....	115
5.6.1 独立学院组织架构相关指标分析.....	116
5.6.2 独立学院组织架构现实分析.....	118
5.6.3 独立学院组织架构的再造.....	120
6. 云南师范大学商学院企业化生存的实践研究.....	123
6.1 云南师范大学商学院创办历程回溯.....	123
6.2 适应变化的学生——云南师范大学商学院以胜任力为核心的人才培养探究... ..	124
6.3 稳定进取的教师——云南师范大学商学院师资队伍建设探究.....	130
6.4 灵活应变的组织架构改造.....	137
6.5 未来的路.....	140
7. 结语.....	143
参考文献:	145