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权利与诉求

—— 大学教师专业自主权实证研究

谢素蓉 著



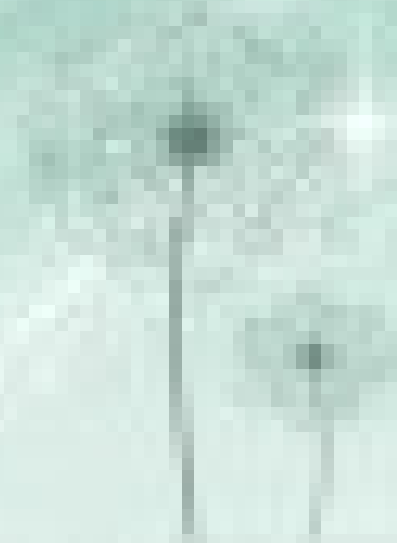
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陈建刚 著

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本书在“中国特色高等教育体系 985 创新平台”完成。系“现代大学制度原理与中国大学模式探索”(课题号: 11JJD880021)及福建省社会科学研究 2013 年度规划青年项目“依法治校视角下大学教师学术权利保障之制度分析”(项目批准号: 2013C036)课题研究成果。

摘要

大学教师专业自主权是大学从事教育教学、科研及其相关工作的专业人员在所负责的专业事务中,在遵循社会规范、教育规范及教育规律的前提下,因其职业特点而应在其专业方面享有的自由和自主权,是大学教师作为专业人员所特有的权利,包括专业决定权、专业管理权、专业发展权和专业服务权等四个方面的主要权利,它们是大学教师权利的重要组成部分。

鉴于大学教师在大学组织的权利结构中严重缺位的现实及专业自主权是大学教师学术权利的基石这一认识,本研究选取“大学教师专业自主权”这一主题,通过自制问卷对福建省7所不同层次、类型高校的大学教师和行政人员进行实证调查,以了解大学教师专业自主权的具体状况及其影响因素;在此基础上,又进一步选取10个案例对各项具体的专业自主权进行案例分析,以期进一步了解大学教师在专业自主权上的具体诉求;进而在借鉴国外有效经验的基础上,提出依法治校,保障大学教师专业自主权的对策。本研究的基本假设是:只有大学教师专业自主权得到了有效保障,他们工作的主动性和创造性才能得到有效发挥;只有找到了影响大学教师专业自主权的具体因素,才能找到具有针对性的解决对策;只有了解了大学教师专业自主权的结构,才能确定大学教师专业自主权的现实状况。所以本书的正文从以下三个部分展开。

第一部分(第一章):关于大学教师专业自主权的理论探讨。本部分在文献综述的基础上,界定并解读了大学教师专业自主权的内

涵,划分了具体的专业自主权并确定其权利内容,构建了对影响大学教师专业自主权的因素进行实证分析的框架。

第二部分(包括第二章至第七章):关于大学教师专业自主权状况及其影响因素的分析。本部分首先通过自制问卷对福建省7所不同层次、类型高校的大学教师 and 行政人员进行问卷调查以获取基本数据,从中笔者了解到大学教师在专业决定权(包括教学自主权和科研自主权)、专业管理权、专业发展权、专业服务权等几方面的专业自主权实际状况;然后从社会、学校、个人三方面来分析影响大学教师专业自主权的因素并探讨其结构性特征;之后再把大学教师背景情况作为自变量,分析其对大学教师专业自主权的影响差异,研究大学教师背景情况与大学教师专业自主权之间的关系。除进行问卷调查外,本书还选取各项专业自主权的一些具体案例进行剖析,分析我国大学教师在专业自主权上的具体诉求。

第三部分(第八章):关于保障大学教师专业自主权的对策研究。在第二部分对影响我国大学教师专业自主权的因素进行分析的基础上,从外部学术环境的完善、大学教师个人专业素质的强化和外部环境与大学教师之间沟通反馈机制的构建几个方面,对保障我国大学教师专业自主权提出对策。

本研究的主要结论如下:

(1)影响大学教师工作自主性的原因不在于大学教师的职业地位,而在于工作中过大的压力和缺乏专业性组织对大学教师专业自主权的保障。这些工作压力具体体现在大学教师专业自主权的各项权利难以得到真正实现上。在各项具体专业自主权中,大学教师在专业决定权上所受到的困扰最大,特别是科研自主权。

(2)影响大学教师专业自主权实现的因素来自大学教师个人、外部的宏观体制和大学内部的管理体制三方面。本研究的调查显示,影响我国大学教师专业自主权实现的主要因素是在传统管理体制惯性下所形成的高校内部行政化趋势和社会经济转型给高校带来的市场化冲击;在高校内部管理体制上,矛盾集中在量化的管理模式上。

(3)要保障我国大学教师专业自主权,除了要在社会、高校和教师个人三个层面有针对性地采取对策外,更重要的是建立大学、社会和大学教师个人之间的有效沟通和反馈机制。构建这一机制主要通过专业性组织功能的完善、法律制度的支持和大学教师与行政人员之间的互相信赖来实现。

以上这些结论不仅明确了影响大学教师工作自主性的原因,也对大学教师专业自主权的影响因素的结构进行了清晰定位,同时也提出了保障大学教师专业自主权的基本途径。

关键词:大学教师 专业自主权 实证研究

Abstract

Professional autonomy right of University teachers is the freedom and autonomy possessed by university faculty engaged in teaching, scientific and associated professional work. It is endowed with university teachers' professional characteristic and limited by social, educational norms and laws of education. It is a specific right of university teachers as professionals, including discretion right, self-management right, development right and services right of profession, which are important components of the rights of University teachers.

Professional autonomy is the cornerstone of university teachers' academic power. In view of the serious absence of university teachers' academic power in the university power structure, this paper will do research from the perspective of University teachers professional autonomy right, which is based on questionnaire case study of seven different types of universities in Fujian Province. Through the investigation of university teachers and administrators, we can analyze the condition of university teachers' professional autonomy right and its effective factors. Based on the analysis, we can put forward the countermeasures to safeguard university teachers professional autonomy right by drawing successful experience from other countries' universities.

The fundamental assumption of the study lies in the following three aspects. Firstly, only when university teachers' professional autonomy

right be effectively ensured can their initiative and creativity be inspired in their work. Secondly, only by finding out the specific factors which influence university teachers' professional autonomy right can we put forward solutions to this problem. Thirdly, in order to know the implementing condition of university teachers' professional autonomy right, we should analyze its structure first. Therefore, this paper will study the project from three sections:

The first part (Chapter One) will discuss the theories of university teachers' professional autonomy right. Based on the overview of research situation, the writer will define and interpret the meaning of University teachers' professional autonomy right, dividing it into detailed types and confirming their contents so that a framework will be formed to analyze the factors influencing University teachers' professional autonomy right. The second part of this paper (from Chapter Two to Seven), is the survey of university teachers professional autonomy right condition and its effective factors. Based on the investigation of University teachers and administrators of seven universities of different types and levels in Fujian province, the writer learns the real condition of professional discretion rights (including teaching and scientific autonomy right), professional self-management right, professional development right and professional services right. Then I will analyze the factors influencing University teachers' autonomy right and explore its structural characteristics from the perspectives of social environment, university management system and university teachers professional quality. After that, I will use the basic conditions of University teachers as an argument to analyze their varied influences on teachers' autonomy right. At the same time, the relationship between teachers' basic situation and their professional autonomy right will be explored in this part. In addition to the questionnaire, the writer also selected some specific cases to study, combining with our social macro-institutional context, analyzed the factors influen-

cing University teachers professional autonomy right in our country. The third part is the countermeasures of how to ensure University teachers professional autonomy right. Based on the analysis of the second part, this section will propose countermeasures including the improvement of the academic environment, the strengthening of university teachers' professional quality and the construction of communication and feedback system between university teachers and the external environment.

At last, the Conclusion consists of three points. Firstly, it is not the professional status of university teachers, but too much pressure at work and lack of professional autonomy right protection organization to guarantee varsity teachers rights, all that influence the university teachers professional autonomy. The working pressure embodied in the difficulty in realizing the rights of university teachers professional autonomy, including the professional discretion (teaching and research autonomy) right, professional management right, professional development right and professional services right. Among them, what troubles teachers most is the professional discretion right, especially the right in scientific autonomy.

Secondly, the factors influencing university teachers professional autonomy right come from university teachers themselves, the social environment and the university management system. The survey shows that the university teachers professional autonomy right mainly effected by the administrative power which is dominant in uiniversity power structure under the influence of social traditional management system; it is also effected by the market impact caused by socio-economic transformation. In the University Management System, the conflict focused on the quantitative management model.

Finally, to ensure university teachers' professional autonomy, we have to take countermeasures targeting on social environment, universities mangement system and individual teachers quality. Besides that, the

most important way is to build the effective communication and feedback system between external environment (including social environment, the university management system and the university individual teachers) constructing this mechanism is mainly through the improvement of professional organization function; the support of the legal regime and the mutual trust between university teachers and administrators.

The conclusions aboved not only clarified the factors influencing the work initiative of university teachers and the structure of these factors, but also put forward the countermeasures on how to guaranfee university teachers professional autonomy right effectively.

Key words: University Teacher; Professional Autonomy; Empirical Study

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