



GJGDJY
CZGGYJ

国际高等教育 财政改革 研究

杨 明 / 著

国际高等教育财政改革研究

杨 明 著

吉林人民出版社

国际高等教育财政改革研究

著 者:杨 明

责任编辑:关 静 j-l-gj@hotmail.com 封面设计:张 迅

吉林人民出版社出版 发行 (中国·长春市人民大街 4646 号 邮政编码:130021)

制 版:吉林人民出版社激光照排中心 电话:0431-5637018

印 刷:长春市华艺印刷厂

开 本:850mm×1168mm 1/32

印 张:13.50 字数:400 千字

标准书号:ISBN 7-206-03394-6/G·1467

版 次:2003 年 12 月第 1 版 印 次:2003 年 12 月第 1 次印刷

印 数:1-1 000 册 定 价:35.00 元

如发现印装质量问题,影响阅读,请与印刷厂联系调换。

内容提要

高等教育资金是高等教育发展的第一推动力和持续推动力。随着世界高等教育由精英高等教育向大众化高等教育及普及化高等教育的历史性转变,高等教育资金问题前所未有地凸现出来。一方面,受各种政治的、经济的、社会的、人口的因素的影响,人民大众对高等教育的持续高涨的需求构成了我们时代的特征和教育园地的主旋律,高等教育扩张成了普遍的世界历史现象。另一方面,世界经济受战争、资源枯竭、政局动荡、制度变迁等因素的影响,并未走入稳定增长的坦途,而是剧烈波动,甚至在不少时期陷入困顿和危机之中,经济的支持能力远远赶不上教育需求的膨胀。更为令人忧虑的是,受新自由主义经济理论和政策的指引,不少国家不断弱化财政的配置资源能力,使主要仰仗公共资助的高等教育准公共产品的供应更为困难。高等教育资金困境成为制约高等教育发展的首要问题。本书从宏观历史角度,多层面剖析二十世纪八十年代以来国际高等教育财政改革,希冀对中国高等教育财政改革有所裨益。

除导论,本文的主体内容分七章。

第一章系统地论述了国际高等教育资金危机的发展历程、测度、成因、后果、对策。从危机产生的时间、强度、特征角度看,危机经历了萌芽、全面爆发、深化、延展四个阶段。建构测度高等教育资金短缺的评价指标体系是预测、监控和消解危机态势的重要条件。国际高等教育资金危机是由高等教育投资供应不

足、投资需求膨胀及资金使用率低下三个因素引致的。高等教育资金危机导致高等教育规模缩减、结构失衡、质量及效益降低等一系列后果。应对高等教育资金危机的主要举措既包括通过收学费、负担生活费、发展私立高教、产业界的资助、捐赠、高校经营性收入等多种渠道增加投资，也包括通过发展非职业性的、远距离的、私立的高等教育等途径调节高等教育的需求总量及结构，以实现供求平衡。

第二章界定国际高等教育筹资模式、划分筹资模式的类型、分析不同国家如何作出模式选择以解决高等教育资金危机。高等教育筹资模式是指高校接受经费的途径、方式及其对高校组织行为的影响。从政府管理体制的角度看，一种是以政府投资为主、个人投资为辅并由政府集中管理的模式，另一种是以个人投资为主、政府投资为辅由高等院校自主管理的模式。从大学经费的来源与运行机制来看，存在官僚控制模式、学院控制模式和市场模式等三种模式。鉴于高等教育主要是一种准公共产品，高等教育的准市场模式最富有认识价值和实际效用。从政治学角度看，集中模式与分权提供了另一分析的维度。

第三章分析了国际高等教育的公共资助和私人资助的缘由、范围、内容、机制、结构、互动关系、格局和改革走向。如同世界经济日益趋向混合经济（mixed economy），国际高等教育也日益走向混合资助，公共资助与私人资助既相对独立又互相补充。高等教育资助的理论和政策选择虽各不相同，但都集中反映了人类的理性和意志。从组织学的角度看，公、私立高教机构在资金来源、所属、控制、使命上迥异。正确分析政府对私立高校的公共资助与个体对公立高校的私人资助是解读高等教育资金资助运行机理的关键。欧洲和亚洲高等教育公共资助和私人资助关系模式的多样性昭示国际高等教育资助模式的趋同是有限度的。

第四章考察了国际高等教育预算制度的改革。高等教育财政

性投入的减少凸出了高等教育预算改革的必要性。预算的模式多种多样，最值得借鉴的也许是公式预算。由于经济、政治、文化体制的不同，欧美高等教育预算体制改革的目标指向也存在着明显差异。美国的改革强调科学的分析、严密的监察、真实的效果。法国的改革突出公式预算及经费自主的意义。

第五章主要探讨政府以什么为标准，采取什么样的途径和方法向高等学校拨款。目前世界上大多数国家都采用直接拨款制度，且主要依赖投入拨款制和协商拨款制两种形式，部分国家和地区已尝试在一定范围和程度上采用间接拨款制，特别是高等教育凭单制展现了诱人的情景。美国、英国、丹麦、荷兰等国采用的依据成就的拨款具有很强的国际示范效应。从某种意义上讲，一个好的拨款机制的作用远胜于仅仅暂时地增加拨款数量。

第六章对国际高等教育收费制度进行研究。目前世界上部分国家对接受高等教育的学生免收学费，大多数国家已经或正尝试实行收费制。对是否实行收费的理由仍然是仁者见仁，智者见智，但从总体上看，收费对吸纳资金和提高资金利用率形成了很好的激励机制。制定和落实高等教育收费改革方针须谨慎地厘定原则和策略。澳大利亚的高等教育贡献方案、美国的高收费高资助政策、英国积极拓展海外学生市场的努力具有借鉴意义。

第七章探讨了国际产业界对高等教育资金的贡献。随着高等教育日益市场化，产业界与高等教育的联系越来越紧密。高等学校已形成类企业机制。产业界对高等教育资金贡献的形式多种多样，第三资金流的作用已不可小觑。研究型大学来自产业界的资金已占总经费的相当比重。为顺应市场化和全球化改革的需要，高等学校与产业界亟需体制、机制的创新。

ABSTRACT

Higher education fund is the first and foremost driving force of higher education development. With the historical transformation of world higher education from elite higher education to massive higher education and popularized higher education, the financial problem of higher education becomes an unprecedented one. On the one hand, under the various influences of political、economic、social、populational factors, the mass' s increasing high demands of higher education characterize the present times and become the fashion of educational world. On the other hand, affected by wars, resource restriction、political situations、system changes, the world economy does not grow stably, nevertheless, it fluctuates greatly and at some time falls into distress, the economic supporting capacities do not catch up with the inflation of educational demand. Most countries are guided by the neo – liberalism theories and the resultant policies weaken its resource allocation capacities through public finance, so that the supply of higher education quasi – public goods meets great challenges and difficulties. Financial distress of higher education becomes seriously problem higher education faces. This book makes an all – around analysis of financial reform of international higher education since 1980s.

Except for the introduction, this book consists of seven chapter.

Chapter one formulates the historical development、measurement、causes、effects、countermoves of financial crises of international higher education. According to the time、intensity and characteristic of crisis,

the financial crises go through the incipient stage、abruptly breaking - out stage、deepening stage、extending stage. To construct a evaluation indicator system is the prerequisite for foreseeing、monitoring、coping with crisis situation. The financial crisis of international higher education is caused by shortage of fund、inflation of investment demand and low utilization ratio of fund. The financial crisis of higher education results in the downsizing、structural unequilibrium、low quality and low effectiveness of higher education. To cope with the financial distress, the main measures taken include increase in investment through tuition and fees、development of private higher education、industrial and commercial support、endowment and gift、entrepreneurial revenue and development of nonprofessional、distance、private higher education so as to realize the supply - demand equilibrium of higher education.

Chapter two defines the financial models of international higher education, assorts the financial models, analyzes how some countries make choice of model to resolve the financial crises. Financial models of higher education are the approaches and ways of receiving fund and its effects on organizational behaviors of universities and colleges. Viewing from governmental administration system, the financial models can be classified as two, one is governmental control model which the main part of fund is from government, the other is collegiate autonomous regulation model which the main part of fund is from individual and family, and government investment is supplementary. Viewing from the sources and operation mechanism of university and college expenditure, there exist three models, namely, bureaucratic model、collegiate model and market model. As higher education is quasi - public goods essentially, the quasi - market of higher education is of most epistemological value and practical utility. Viewing from politics, centralized model and decentralized model forms

another dimension of analysis.

Chapter three makes an analysis of the reason、scope、content、mechanism、structure、schema and reform tendency of public and private financing of international higher education. As the world economy is increasingly going toward mixed economy, the international higher education also rely increasingly on mixed financing. Public fund and private fund are both independent and complementary. Although there are many theories and policy choices concerning funding of higher education, they are all embodiment of human rationality and will. According to organizational analysis, public and private higher education institutions differ in source of funds、ownership、dominance、mission. The key to understand the operation mechanism of higher education finance depends on our knowledge of the governmental public support for private higher education finance and individual' s private support for public higher education finance. The multiple models of public and private funding of higher education in Europe and Asia tell us that the convergence of finance model of international higher education is not so great as many persons think.

Chapter four examines the reform of budget system of higher education. As many governments decrease its financial input for higher education, the budget reform of higher education is urgent. There are many budgeting models, the most striking may be the formula budgeting. As each country has its economic、political、cultural system, the reform goal of higher education budgeting system differ greatly in Western countries. American reform stresses scientific analysis、well conceived inspection and true effectiveness. French reform emphasizes formula budgeting and autonomy of expenditure.

Chapter five mainly explores by what criterion and in what ways can government make a grant to higher education institutions. At present most

countries in the world adopt direct grant system, and rely mainly on input funding and negotiation funding. Some countries and regions have already tried to adopt indirect grant system to some extent. The voucher system of higher education shows intriguing prospect. The adoption of performance based funding in U.S.A、U.K、Denmark、Netherland have made great international model effect. The role of good funding mechanism surpasses the role of increase in fund temporarily.

Chapter six studies tuition and fees system of international higher education. Nowadays in some countries in the world admission to universities and colleges is free, but most countries have already made charges for admission to higher education institutions. There are many disputes about why and how to charge fees. On the whole, student fees provide good incentives for increasing fund and improving the utilization ratio of fund. It is necessary for us stipulate principles and strategies cautiously. The higher education contribution schema in Australia、the high tuition - high aid policy in U.S.A and the effort to extend oversea student market in U.K are good examples of reform in student tuition policy.

Chapter seven explores the contribution which international industrial world makes to higher education. As marketization of higher education speeds up, the connection between industrial world and higher education becomes more and more intimate. Higher education institutions have constructed an enterpriselike mechanism. The industrial world makes various contributions to higher education. In some research university, the third stream fund is an important part of total revenue. Higher education institutions and industrial world should make innovations in systems and operation mechanisms so as to accommodate to marketization and globalization.

目 录

导 论	(1)
第一章 国际高等教育资金危机概观	(21)
第一节 国际高等教育资金危机的发展历程	(21)
第二节 高等教育资金短缺的度量	(40)
第三节 20 世纪 80 年代以来国际高等教育资金 危机的成因	(45)
第四节 20 世纪 80 年代以来国际高等教育资金短缺的 现实状况及其后果	(62)
第五节 经费削减条件下高等学校组织的决策 行为的案例分析	(70)
第六节 克服国际高等教育资金危机的基本对策	(73)
第二章 国际高等教育筹资模式	(86)
第一节 集中管理模式与分散管理模式	(88)
第二节 官僚控制模式、学院控制模式、 市场模式	(100)
第三节 高等教育筹资的准市场模式	(118)
第四节 高等教育筹资的集权模式与分权模式	(126)
第三章 国际高等教育公共资助与私人资助的格局	(137)
第一节 为什么存在对高等教育的公共资助 与私人资助	(137)
第二节 高等教育公共资助与私人资助 的范围与内容	(151)

第三节	公、私立高等教育机构的区别特征·····	(160)
第四节	公、私立高等教育部门结构分析·····	(170)
第五节	政府对私立高校的公共资助·····	(176)
第六节	私人对公立高校的资助·····	(185)
第七节	国际高等教育公共资助的基本格局·····	(191)
第八节	国际高等教育公共资助与私人资助 的关系模式·····	(196)
第四章	国际高等教育预算制度的改革·····	(204)
第一节	国际高等教育预算的环境·····	(204)
第二节	国际高等教育预算的模式·····	(208)
第三节	公式预算·····	(214)
第四节	欧美高等教育预算体制比较·····	(223)
第五节	高等教育预算控制·····	(230)
第六节	美国高等教育预算制度的改革·····	(234)
第七节	法国高等教育预算制度的改革·····	(238)
第八节	俄罗斯高等教育预算的现状、 问题与改革·····	(246)
第九节	中国高等教育预算制度·····	(249)
第十节	国际高等教育预算体制改革的趋势·····	(251)
第五章	国际高等教育拨款制度·····	(255)
第一节	国际高等教育拨款制度的类型·····	(257)
第二节	高等教育直接拨款制度·····	(261)
第三节	高等教育间接拨款制度·····	(272)
第四节	定量拨款模式·····	(278)
第五节	美国的依据成就的拨款·····	(281)
第六节	英国的依据成就的拨款·····	(285)
第七节	OECD 国家高等教育拨款机制·····	(293)
第八节	美国、英国的高等教育拨款制度·····	(306)

第九节	国际高等教育拨款制度的问题与改革·····	(314)
第十节	国际高等教育拨款制度的改革趋势·····	(320)
第六章	国际高等教育收费制度研究·····	(323)
第一节	学费、杂费的概念·····	(323)
第二节	高等教育收费的依据·····	(324)
第三节	制定高等教育收费政策的原则·····	(337)
第四节	学费价格的制定策略·····	(341)
第五节	国际高等教育收费的实证分析·····	(347)
第六节	澳大利亚高等教育收费制度的改革·····	(351)
第七节	美国高等教育收费制度的改革·····	(356)
第八节	国际高等教育收费制度的问题与改革·····	(362)
第七章	产业界对国际高等教育资金的贡献·····	(372)
第一节	从高等教育职能的变迁看产业界对高等 教育资金贡献的重要性·····	(372)
第二节	国际产业界对高等教育资金贡献 的范围、性质·····	(379)
第三节	产业界对国际高等教育资金贡献的形式·····	(384)
第四节	产业界对国际高等教育资金贡献 的实证分析·····	(390)
第五节	重构产业界对高等教育资金贡献的 微观基础——企业性大学·····	(399)
第六节	产业界对国际高等教育资金贡献 的制度创新·····	(403)
第七节	产业界对国际高等教育资金贡献中 的问题与改革·····	(407)

CONTENTS

Introduction	(1)
Chapter 1 The Financial Crises of International	
Higher Education	(21)
Section 1 The development stages of financial crisis of international higher education	(21)
Section 2 The measurement of shortage of higher education fund	(40)
Section 3 The causes of financial crisis of international higher education since 1980.	(45)
Section 4 The realities and effects of financial shortage of higher education fund	(62)
Section 5 Some case studies about how higher education institutions change its decision behavior under the constraints of revenue decrease	(70)
Section 6 Some basic countermeasures to cope with the financial crises of international higher education	(73)
Chapter 2 The Funding Models of International	
Higher Education	(86)
Section 1 Governmental control model and individual control model	(88)

Section 2 Bureaucratic model、collegiate model and market model	(100)
Section 3 Quasi – public market model of international higher education finance	(118)
Section 4 Centralized model and decentralized model	(126)
Chapter 3 The Patterns of Public Fund and Private Fund of International Higher Education	(137)
Section 1 Why there should be public and private financing of higher education	(137)
Section 2 The scope and content of public fund and private fund of international higher education	(151)
Section 3 The differences between public HEIs and private HEIs	(160)
Section 4 The department structure of public higher education and private higher education	(170)
Section 5 Financing private HEIs	(176)
Section 6 Financing public HEIs through mass	(185)
Section 7 The basic patterns of public funding of international higher education	(191)
Section 8 The patterns of public and private funding of international higher education	(196)
Chapter 4 The Reforms of Budget System of International Higher Education	(204)
Section 1 The environment of international higher education budget	(204)
Section 2 The budgeting models of international higher education	(208)
Section 3 Formula budgeting	(214)

Section 4 A comparison between the budget system of European higher education and budget system of American higher education	(223)
Section 5 The control of higher education budgeting	(230)
Section 6 The reforms of American higher education budgeting	(234)
Section 7 The reforms of French higher education budgeting	(238)
Section 8 The reforms of Russia higher education budgeting	(246)
Section 9 The reforms of Chinese higher education budgeting	(249)
Section 10 The reform tendencies of international higher education budgeting	(251)
Chapter 5 The Funding Systems of International Higher Education	(255)
Section 1 The classification of funding systems of international higher education	(257)
Section 2 Direct grant system of higher education	(261)
Section 3 Indirect grant system of higher education	(272)
Section 4 Quantative funding model	(278)
Section 5 American performance based funding	(281)
Section 6 English performance based funding	(285)
Section 7 OECD' s funding mechanism of higher education	(293)
Section 8 American and English grant system of higher education	(306)

Section 9 The problems of funding system international	
higher education faces	(314)

Section 10 The reform tendencies of international	
higher education funding	(320)

Chapter 6 Tuition and Fees System of International

Higher Education	(323)
-------------------------------	-------

Section 1 The definition of tuition and fees	(323)
--	-------

Section 2 The reasons for charges for admission to higher	
education institutions	(324)

Section 3 The principles for policy making of	
tuition and fees	(337)

Section 4 Strategies for setting the tuition price	(341)
--	-------

Section 5 The experiential analyses of tuition and fees of	
international highereducation	(347)

Section 6 The reforms of Australia higher education	
tuition and fees	(351)

Section 7 The reforms of American higher education	
tuition and fees	(356)

Section 8 Problems and reforms concerning international	
higher education tuition and fees	(362)

Chapter 7 Industrial Contributions to International

Higher Education Finance	(372)
---------------------------------------	-------

Section 1 The significance of industrial contributions to higher	
education finance viewing from the change of	
higher education function	(372)

Section 2 The scope and essence of industrial contributions to	
higher education	(379)