

【李良玉教授及其博士生学术文丛】

徐希元 ■ 著

当代中国博士生 教育研究

本书以博士生教育培养制度、史实为经线，以国外博士生教育理论、经验为纬线，逐项解析了博士生教育制度架构、招生、课程与教学、科研、论文等内容，考察了其源流和发展轨迹，分析了其现状、特点及改革趋向，为改革我国博士生教育制度体系提供了参考蓝本。

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总 序

几经努力，这套“李良玉教授及其博士生学术文丛”终于问世了。同学们要我写个序，我总有点想说些什么又说不出来的感觉。我不知道这是一种释然，一种期待，还是一种担心。

读者一看到丛书的名称，大约就能明白，这是一位老师和他所带的一批学生的学术著作。我也想过，用这样的名称，难免给人以唐突、标新立异甚至狂妄的感觉。然而，我和我的学生们的本意仅仅在于告诉读者，丛书的作者是大学里一位普通的博士生导师和他的一些学生，丝毫没有宣扬这些著作的学术水准的意思。我深深地知道，任何著作一经出版，对它的评判权从来就不属于作者。只有读者和时间的检验，才能最终决定它的命运。

除了我的书以外，这套丛书的著作，都是我的学生的博士论文。其中大部分作品保持了论文的学术原貌，只有个别作品对论文做了部分内容删节或文字压缩。因此，似乎可以说，这套丛书反映了我所做的培养博士生的工作，以及同学们努力学习的风范。从这个角度上说，丛书为了解当前博士生教育提供了一个具体个案，不论这个个案有没有价值。

回顾招收博士生以来的教书生活，我从内心深处感激我的学生。无论来自何方、年龄大小、从事过什么工作，为了读书求知的共同目标他们走到一起来了。我们坦诚相处，心心相印，教学相长，令人时时刻刻都感受到生命的真实、丰满与快乐。我始终认为，生活的本质在于真实。基于这样的理念，我曾对同学说过，追求真实而不追求虚伪，追求幸福而不追求痛苦，追求理解而不追求怨恨。博士生的学习生活是一种知识、道德和能力的全面提高过程，它既是学生的提高过程，也是老师的提高过程。对于我们每个人来说，都是由日常生活的

点点滴滴所积累起来的进步。

在我的学生们的身上，我们能够感受到新时代学术的无限朝气。尽管他们各自人生阅历、知识背景、生活目标不尽相同，但是读书生活却给了他们以同样的学术传统、学术理念、学术规范与方法的熏陶。在这里，我个人的能量是有限的。不过，我们拥有传统人文的深厚资源、外来学术的精彩信息和百年老校的丰富积淀，它们浩如大海，蔚为壮观。也许，现代与传统的衔接，师道与学统的交汇，个人与时代的融合，才是他们不断自我觉悟，自我更新，自我发展的强大精神动力。

博士论文，是博士生学习的主要成果，也是当代学术进步的重要标志之一。引导同学完成博士论文的过程，是师生之间知识交流、思想交流、情感交流的完整过程。对老师来说，同学的敏锐、勤奋与活力，是那么的宝贵；对于同学来说，每一类学术题材的发现，每一种学术思路的开拓，每一个细节问题的解决，都会带来学问启蒙和心灵震撼的作用，甚至包括对人生意义的新认识。近20多年来，有相当多的博士论文开辟了各自学术领域的新境界。它告诉我们，博士论文质量的根本标志，是按照学术规范研究解决问题所达到的水平，或者说，是解决问题的难度及其所包含的开拓性成就。有鉴于此，我们才应该把博士论文看作是一种文化创造，一种当下社会和时代应当能够留下来的精神产品。要求所有博士论文都达到这样的水平也许很难，但是，提出这样的要求是必要的，鼓励每一位博士研究生努力向这样的目标奋勇前进也是有意义的。

李良玉

2005年8月4日于南京大学

内容摘要

正式招收、培养博士生，是新中国高等教育史上具有里程碑意义的事件。随着国家改革开放步伐，我国博士生教育经过学习、借鉴国外培养经验，建章立制，逐步试点扩大，积极发展等阶段，到2003年，全国高校博士生导师数已经达到24 204人，累计授予博士学位110 391人。在学博士生规模超过13万人、年授博士学位超过1万人，迅速跻身于世界博士生教育大国之列。博士生教育在高等教育中的突出地位，以及在知识经济社会和世界科技竞争中的独特作用，决定了这一研究的特殊价值和现实意义。

作为一项基于中国当代现实问题而展开的探索性综合研究，本书从广义的博士生培养概念出发，在前人研究的基础上，依据当代各种文件、档案、数据、资料，以博士生教育培养制度、史实、环节为经线，以国外博士生教育理论、经验为纬线，运用教育学、历史学的方法，以问题解析体形式，对博士生培养内涵逐项展开系统考察，探究当代社会历史背景下中国博士生教育发展的成因、机制、途径和方法，揭示博士生教育可持续发展的内在规律。

20世纪80年代初期，我国博士生教育抓住难得的历史机遇，利用后发优势，实现了高起点、高速度发展。在这个过程中，国家坚持政府统一规划、管理，从我国国情出发，走以内涵发展为主的道路，按照科学发展和人才培养规律，稳步推进培养中的质量机制和制度建设，形成科学研究与课程教学并重、以培养学术型博士为主的博士生培养体系，奠定了以高校为主，特别是以设有研究生院的高校为主的基本格局。但是，由于我国博士生教育时间短，经验缺乏，基础设施和基本条件不配套，最主要的，受到国家整体科学研究水平、博士生教育和科学研究体制的制约，在经历了最初10年的恢复性发展和不

长时间稳定后，便迅速转入长达8年的快速发展时期。在改革发展的节奏和幅度上，有急于求成的倾向，配套措施又未能及时跟上，这就不可避免地在这一时期的博士生培养质量上留下了阴影。由此也表明，在一个经济、科技、教育尚不发达的国家，高层次的博士生培养，在质量标准上存在某种不足或缺陷，有其客观的必然性和现实的合理性。

在博士生培养活动中，招考录取和课程教学是重要的关键环节。按照《学位条例》的学术标准和质量要求，我国制定了统一的招考制度、程序、办法和学位课程体系，成为全国各培养单位招收、培养博士生的政策性依据。但是，我国博士生生源质量总是不尽如人意，总量不足与质量偏低长期并存，优秀生源流失严重，这一状况直到1995年以后才有所改观。其根本原因在于我国博士生培养水平整体偏低，对研究生缺乏足够吸引力。另外，博士生的课程设置，国家提出“宽广”和“深入”的博士生课程要求。然而，中美课程比较结果显示，除了少数传统学科具有一定的优势外，我国普遍存在课程设置系统性不明显，内容陈旧，数量不足，学术含量偏低，与社会实际关联度较差等方面的问题，同时，在开课率、教学方法和课程考核等方面，存在着较大的随意性和不确定性，成为“博士不博”的内因之一。

现代西方学者认为，博士生培养过程就是使学生“在研究领域里，成为一个训练有素的专业研究者”的过程。在我国大学教育实践中，博士生科学研究综合训练和能力培养是指导教师的主要职责，博士论文是科研训练的重点阶段和中心环节，知识、能力和素质则构成科研训练的基本要求。与一般的科学研究不同，博士生科学研究具有探索性、严谨性、独立性、阶段性和中继性的特点。博士生科学研究过程中，会受到研究体制、氛围、经费、设备、项目等科研资源、条件等方面的影响。做出创造性成果的博士生总是那些善于利用周围一切可以利用的资源，扬长避短的人。然而，导师指导是否得当仍是最主要的因素，来自于主观方面的因素也不容忽视，博士生能否顺利

克服和排除研究过程中出现的厌烦、焦躁、挫折、孤独等情绪也是至关重要的。

博士论文是博士生培养质量的凝结，具有学术性、创造性、系统性、规范性和专业性要求和特点。我国的博士学位论文制度，较好地体现了不同学科、专业对论文的特殊要求。由于博士生的学术背景的差异，博士论文选题有着较大的不确定性。在文科，约有55%的论文来自学生的自选题。论文水平高低，写作时间长短与博士生各自的学术积累、选题类型（难易程度）、独立研究能力，以及利用研究资源的效率有关，但也与论文前期和导师沟通是否充分，对研究工作估计、资料运用是否充足有关，论文的结论部分通常成为论文修改的重点部位之一。

科学研究的创新是评价博士论文的核心质量标准。从国内外教育史实看，就对科技和知识的创造程度而言，博士学位论文的创新还远不够不上“划时代”意义，或“里程碑”式的贡献。应当按不同学科进行科学区分，不宜用“统一”标准和模式来衡量。创造性在概念上应是一个很宽的公差带，要求应当适度。影响论文公正、公平评价的前三位因素是：科学研究评价制度本身的缺失、评阅人对评阅规定的不同理解以及非学术性因素的干扰。因此，充分发挥论文答辩的“质检”把关作用有不可忽视的现实意义。

培养博士生离不开导师和学科。我国学科授权审核和指导教师审定制度，采取同行通讯评审和专家复审的办法，成为博士生教育及其质量“市场准入”的主要控制手段。通过重点学科评审，“211工程”、“985工程”建设，学科和导师学术水平得到了明显提高，培养博士生能力大为增强。但与美国的差距仍是显而易见的，使我国博士生教育在与国际同行竞技中从一开始就输在“起跑线”上。1995年的指导教师审定权力下放，以及1997年第七批学科授权审核一改这之前从严掌握的做法，放得太开、太宽，致使实际改革效果与改革设计目标出现了一定的偏差，成为1997年以后全国范围博士生教育“提速”发展的“导火线”。

由于历史的原因，我国博士生导师中一方面依然缺少“百里挑一”的学术精英，传统学科教师过多、新兴学科教师严重不足；另一方面，单师带徒式指导代代相沿，指导教师日趋年轻化，指导环节又出现了投入不足与经验不足等新问题，程度不同地存在放羊型、雇工型、保姆型指导。作为培养博士生的第一责任人，导师整体学术水平偏低，指导过程规范化程度不高，是制约博士生培养质量的又一“瓶颈”。

培养质量是博士生培养的生命线。质量因素既与具体培养活动、环节相联系，也与各种培养制度、模式、理念、条件，以及导师和学生个体差异分不开。研究发现，导师是影响博士生培养质量的第一要素，课程与教学对培养质量构成了显形和隐性双重影响，博士生选拔过度看重考试的作用，以二、三流大学毕业生为主的生源构成，使质量问题更加突出，而基础研究条件欠缺则是制约培养质量的根本性原因。培养过程中的竞争机制与淘汰机制不健全，使一些出发点很好的质量措施与规定在培养实际中扭曲，流于形式。

20世纪90年代中期以后，在外力拉动、内力驱动和政府主导等综合作用下，我国博士生教育以年均超过20%的速度发展。某种程度上，反映了“科教兴国”历史背景下，知识经济社会发展的必然。但是，由于发展的基础薄弱，速度又过快，许多培养质量指标没有得到同步提高，有“虚胖”之嫌。造成“虚胖”的原因，博士生培养单位和主管部门固然难辞其咎，但归根到底，“虚胖”的“背后有深刻的体制问题和广泛的社会原因”。博士生教育的可持续发展，必须在借鉴国外，包括港、台博士生教育经验的基础上，加强和依靠体制创新和机制创新，来构建符合教育规律的培养机制，符合市场经济的博士生教育体制，实现博士生教育发展速度、规模、质量与效益的协调发展。

ABSTRACT

The enrolment and education of doctoral candidates with official approval is a landmark in the history of higher education of China. With the progress of the open-and-reform policy, the development of doctoral education in China has experienced several stages: learning foreign experiences for reference; establishing constitution and system; gradual experimenting and extending; positive development, ect. Up to 2003, China has been ranked among one of the countries with advanced doctoral education in the world. The advisor of doctoral candidates in universities have been amounted to 24 204, and 110 391 doctoral candidates in all have been granted doctorate. The totality of the doctoral candidates at school has reached more than 130,000, and more than 10,000 candidates are granted doctorate yearly. The research made in present dissertation is provided with special significance and practical meaning due to the prominent position of doctoral education in higher education, as well as its unique effect in knowledge – economy society and international scientific and technological competition.

The present dissertation, as an experimentative and comprehensive research based on practical issues in contemporary China, begins with the generalized concept of doctoral education, and on the basis of former studies and with reference to various current documents, files, data and information, analyzes vertically the system of doctoral education, historical fact and steps, horizontally the foreign theory and experience of doctoral education. Approached from pedagogic and historiographic methods, it aims at reviewing systematically each content of doctoral education

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to analyze its cause, mechanism, approaches and means under the current social - historical background with the purpose to find the inherent law of the continuable development of doctoral education.

At the beginning of 1980s, with the precious historical opportunity, doctoral education in China is put onto the road of development with high starting - point and high speed. During the process, the government adheres to the principle of unified programming and administration, initiates the essence - oriented development on account of our national condition, and steadily advances mechanism of educational quality and construction of system. Thus the education system is formed, in which scientific research and course teaching are of equal importance and education of research - oriented doctor is of priority, and the basic pattern with stress on colleges and universities especially those with graduate school is established. However doctoral education in China has experienced a restoring development with occasional stability in the first ten years as a result of short period of development, inexperience, incoherent input of infrastructure, and chiefly, the restriction of the national scientific research level and overall doctoral education system. The quality of doctoral education is inevitably affected by the immature reform and unsuccessful corresponding methods. Therefore it is objectively inevitable and realistically rational that there are inefficiency and disadvantage in quality criteria of higher doctoral education in the countries economically, scientifically and educationally underdeveloped.

Enrolment and courses teaching are the key points in the program of doctoral education. According to the academic criteria and qualification requirement of *Doctorate Acquisition Regulations*, the unified admission system, procedure, methods, and curriculum system are established as the practical policy of doctoral admission and education for all the qualified institutions. However, the sources of doctoral candidates has not

been satisfying for its deficiency in totality, low quality and heavy loss of excellent candidates, which has been slightly improved until 1995. The fundamental reason lies in the overall low quality of doctoral education, which is no strong appeal for the graduate students. In addition, the curriculum for doctoral candidates is set by the requirements of width and depth. However, by the comparison of doctoral curriculum between China and America, there are various kinds of problems in most Chinese doctoral curriculum except few traditional discipline of learning with certain advantage: such as inconsistent curriculum setting, obsolete teaching content, insufficient courses, low containing of academic element, and weak social practicality. Furthermore, the irregularity and uncertainty in course-giving rate, teaching technique and course assessment is one of the fundamental reasons responsible for the phenomenon that the doctoral candidates are unworthy of the name.

Many Western scholars claim that the process of doctoral education is that of turning the candidates into the well-disciplined professional researcher in certain research domain. In the educational practice in our universities, the comprehensive training on scientific research and the cultivation of research capacity of the doctoral candidates are the main responsibilities of the advisor. Doctoral dissertation is the key phase and focus of scientific research training with capacity and quality its basic requirements. Distinct from the ordinary scientific research, the doctoral scientific research is characteristic of its deep exploration, preciseness, independence, progressiveness, and relay possibility. Generally, the candidates are apt to the relatively laborsaving projects, and prefer the easily operated mini-type project. And the research is always affected by research resource and condition, namely, academic system, circumstance, outlay, facilities, and item, ect. Only those who are capable of taking advantage of all the available resources and maximizing the favorable and

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minimizing the unfavorable can have creative achievements. Nevertheless, the adequacy of the tutor's guidance is all the same the essential factor. Yet the subjective factors of the candidates cannot be neglected, and whether the candidates can successfully overcome the sentimentality of disgust, anxiety, frustration and solitude during the progress is crucial.

Doctoral dissertation, with its requirement on and characteristic of technicality, creativity, systematization, standardization, and specialty, is the embodiment of the quality of doctor education. The special requirements on the dissertation of different disciplines and specializations are moderately manifested in the system of doctoral dissertation in China. There are great uncertainties in topic-selection for the different academic background of doctoral candidates. As for the liberal arts candidates about 55% topics of dissertation are their free choice. Research preparation, project type and difficulty, independent research capacity and the efficiency of resources utilization are relevant to the quality of dissertation and the time needed for completion. Also related is the sufficient communication with advisor in early stage, proper assessment and material using. The conclusion of the dissertation is one of the parts frequently modified.

Innovation in scientific research is the core criteria of dissertation assessment. Yet in the educational history, home and abroad, the innovation made by doctoral dissertations are far less epoch-making or milestone-like in terms of science and technology creation. Unified standards and modes are not appropriate for assessment, and scientific differentiation on different subjects is necessary. The conception of creativeness is a wide range of tolerance; therefore, it should be properly demanded. The first three factors affecting the fair and impartial assessment of the dissertation are: inadequacy in assessment system of scientific research itself, the different comprehension on appraisal regulation by appraisers, and

the interference of non-academic factors. Inasmuch as the dissertation defense is bestowed with the function of quality checking and guaranteeing, its full exertion is of great significance.

Advisor and discipline are two essential elements in doctoral education. The censorship of discipline authorization and the system of advisor examination and approval, which are appraised by the fellow professors through communication and re-appraised by experts, are the main manipulation on doctoral education quality and its "market admittance". The level of discipline and that of advisor, and consequently the level of doctoral education, have been greatly improved since the implementation of key discipline assessment, "Project 211" and "Project 985". However there is still a long way for us to go to reach the level of doctoral education in America. We have been dropped behind in the international competition at the starting line. In 1995, the advisor-appraisal authority was transferred to lower levels, and in 1997 the seventh discipline authorization changed the previous strict regulations and turned to be too open and broad, which resulted in the inconsistency between anticipated object and practical effect. All these are responsible for the out-of-commonsense "high-speed" development of doctoral education in national range since 1997.

The following causes lead to the comparatively low quality of our doctoral education. First, there lack outstanding academic elites. Second, scholars of burgeoning subjects are much less than those of the traditional subjects. Third, there exist several kinds of inefficient guidance, either irresponsible or too watchful, in different degrees as the result of traditional one-to-one guidance mode, appearance of younger advisors who are inexperienced in guidance. Last, the adviser team's unsatisfied academic qualification and the low standardization of the academic training also bottleneck the improvement of quality of the doctoral education.

Quality, critical to the doctoral education, is connected with the concrete training activities and links, and inseparable from various training systems, modes, ideas and conditions, and individual difference between adviser and candidate. Research shows that adviser is the first element to influence the doctoral candidate's quality, that curriculum and teaching form the perceptible and suggestive influence, and that examination is overvalued in candidate selection. The fact that candidates mostly come from the second- and third-rated school worsen the quality problem, and that the inadequate basic research condition is an essential cause. The unhealthy competition system and elimination system distort some measures and principles in practice.

Since the mid 1990s, the number of doctoral candidates has increased by 20 % per year. Though this reflects in certain degree the coming of a knowledge-economy society, both the weak developing base and excessive enrolling speed hinder many training norms from reaching a satisfying level. Though the educating institutions and superintending departments must be blamed, a deeper system problem and far-flung social cause can be found behind this "puffiness" phenomenon. To gain a sustaining development of the doctoral education, we must learn from other countries and areas, including Hong Kong and Taiwan, and must depend upon system innovation and mechanism improvement. Only by this can we establish a education mechanism in accordance with educating rules, and a doctoral educating system corresponding with market economy. Only by this can we achieve a harmonious development among the speed, size, quality and benefit of the doctoral education.

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