VOLUME 27 –

IMPORTÂNCIA DO ENSINO SUPERIOR E DA PESQUISA NO DESENVOLVIMENTO DA CHINA

IMPORTANCE OF HIGHER EDUCATION AND RESEARCH IN CHINA's DEVELOPMENT

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3 **–"Trends in higher education – An overview**"- elements in English for the article/interview in Chinese in Journal of Soochow University (doc. 2)

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A- PRESENTATION- APRESENTAÇÃO

In previous volumes of this collection, there are five documents on China (two interviews) or related to conferences (three) presented in China between 2002 and 2007. In fact, I visited China eight times, between 1998 and 2007. This did not transform any person in a sinologist, but allows making some observations on the evolution of higher education in China and on the role higher education and research play in the rapid development of this country. When discussing issues on higher education all over the world, I always say that everybody must look to what is being made in China.

Observers noted that during the last decade of the XX Century, the effectives of higher education increased considerably in China. In 1998, the Minister of education of China, Chen Zhili, attended the World Conference on Higher Education held in UNESCO, Paris, from 5 to 9 October. The Minister was one of the speakers at the closing session. According to information that circulated in UNESCO, Ms. Zhili, when the conference was over, presented a report to the whole Chinese government and, as a result, resolutions were taken to increase dramatically the enrolment in higher education in the country, to reinforce institutions with better potential to become excellence centers of higher learning, to invest in forming inside and outside China researchers and university professors. It was also decided to reinforce institutions of higher learning dealing with the training of teachers at all levels.

The prosperity of economy in China is a reality. Of course there are problems. One can imagine how difficult is to administrate a country with around one billion and half inhabitants. On the positive side, the reality is that there are more and more employment opportunities and a visible increase in the need of trained labor forces. This has an impact in higher education. As far as the higher education system is concerned, with less than 9 million students in 1999, it reaches 16 million in 2002 and today (2020), China has more than 30 million university students. Each year, more than 8 millions graduate from Chinese universities. It's –there is no doubt- the largest higher education system in the world.

The adaptation of universities to the new realities and the shift from a system in which the State used to guarantee jobs to all graduates to a new system in which each one must find his place in the market is extremely complex. What we can note, is that Chinese authorities try to keep the concept of higher education as public good and created several programmes to ensure the access to higher education to all young independently of their financial situation. Students (since 2005) who select institutions forming teacher educators are not called to pay any fee. It seems also that special attention is always given to areas with strategic importance such as defense, state key enterprises, key national research projects etc. Under these circumstances the appearance of unemployment among graduates can be understood. And for foreign experts, this is an important element of observation. How China will deal with this

question of unemployment t of graduates? This was not solved in Western countries neither in the most prominent emerging countries.

China of course has serious problems to solve and now even the authorities recognize that only in 2004, for example, there were more than 74,000 protest demonstrations all over the country, with the participation of at least 3.7 million citizens (International Herald Tribune – 15/16 July 2006). In 2005, it was the Chinese Security Minister, Zhou Yongkan, who confirmed this information, the number of demonstrations rose to 87,000. Around 2007, Out of 1.3 billion people, 130 million were surviving on less than one dollar a day (compared to 377 million in 1990).

On the other side, even the former President of the World Bank, James Wolfensohn, acknowledged that China enabled, in a short period of time, 420 million people leave poverty. This means more than twice the population of a country such as Brazil. Contrary to what happens in the Western countries in general, in China a law that came into force in January 2008 seeks to **fight contingency and the lack of job security**. The rules introduced in 2008 changes aimed at the protection of salaried workers. Instead of encouraging contracts with fixed dates, this law fosters contracts for an indefinite period. After two renewed contracts, they must automatically become indefinite. A trial period may not last for more than 6 months (see Nathalie Quéruel - Le Monde- 6.10.2007).

At the same time that Western countries based on the Consensus of Washington are stimulating flexibility and contingency. The reality is that we, in Western countries, find it difficult to understand Asia, and China in particular we do not realize that in the past, during the 18th century, around 1750, China and India used to produce more than half of the world's wealth. And in fact, in Western countries, the reasons for the decline in economic activities in China are not well know. But things changed. Now, nobody can ignore China.

The documents included in several volumes of this series are written, in English (three), French (one) and Portuguese (one).They are:

1-"Globalization and dialogue of civilizations: The role of China" - "International Conference on "Excellence with or without a soul: the cultivating of mindful university graduates" – GUNI-AP- Hangzhou – China- 2 and 3th December 2007 – www.mardias.net, volume 2, Document no, 2;

2- **"La Chine: le nouveau paradigme" -** Entretien avec Marco Antonio Rodrigues Dias – Observatoire de l'enseignement supérieur- www.mardias.net vol. 14, doc. 21;

3- **"O ensino superior e o projeto de nação – Para além dos clichês" (2007)** – Entrevista a Álvaro Kassab - "Jornal da Unicamp"- Campinas, São Paulo, Brasil – www.mardias.net vol. 14, doc. 10;

4- Philosophical and political basis for ensuring quality in higher education" - Symposium on Quality Assurance in and Mutual Recognition of Qualifications between

Research Universities – GUNI-AP Symposium Series I, 20-21 September 2004, Hangzhou, China – www.mardias.net volume 14, doc. 10;

5- "**Some aspects of the impact of globalization in higher education in developing countries" -** First General Assembly of The Global University Network for Innovation: Asia and the Pacific (GUNI-AP) - 20-22 September 2002- Zhejiang University- Hangzhou, China –www.mardias.net volume 10, doc. 17.

Between 1989 and 2015, as I already said, I was in China eight times. This gave me the opportunity to observe many things, including with regard to higher education; to see that China has a nation project with which one can agree or not and that higher education and research are seen as instruments to make this project a reality.

The visits were as follows:

- UNESCO representative at the **34th. Session of UNU** –Tokyo- 04 to 08.12.89. **Visit to Hong Kong and Macao, to discuss aspects of the creation of a new UNU Institute linked to the development of new technologies in developing countries.**
- Participation in the **36th. Session of the council of the United Nations University, in Macau,** from 4 to 7 December 1990 and, on 7 December, to the meeting of the group in charge of analyzing the choice of a new rector.
- **Discussion with academic and government authorities in China (Beijing and Shanghai) to create a UNESCO chair in higher education, as a focal point for an Asian network in the field of higher education research - November / December** 1998.
- UNU representative at a meeting in Hangzhou, China, from October 24 to 27, 2001, to **establish the GUNI Asia and Pacific network** - Exhibition on the objectives of the GUNI network – Participation, as a lecturer, in the International Conference on higher Education, Innovation and Development.
- Participation, as a lecturer, and as a representative of the United Nations University, in the **First General Assembly of the Global University Network for Innovation - Asia and Pacific (GUNI-AP) held from September 20 to 22, 2002, in Hangzhou,** China, at the University Zhejiang. Theme of the conference: "Some aspects of implication of globalization to higher education in developing countries"
- Participation, as a lecturer in the **GUNI-AP Symposium on quality assurance and mutual recognition of qualifications in higher education**, held between 20 and 21 September 2004, in Hangzhou, China.
- Participation , as a guest expert , at the **GUNI-AP 2007 Conference - Excellence with or without a soul: the cultivating of mindful university graduates- 3-4 December 2007- Xinhua State Guesthouse- Hangzhou-** China- speaker- Higher education and the dialogue of civilizations: a great challenge in a period of globalization-
- **Private visit** to China from 02 to 16 June 2015, being invited to debates at the Shanghai Open University and Soochow (Suzhou) University , with the participation, in both cases, of presidents and vice presidents and researchers in the field

Recognizing what is positive in China does not mean being in agreement with all elements of the Chinese model, including the death penalty, the role of subservience of women, the ambiguity of the situation of certain minorities. But, looking and talking to university professors, I could see that although, in addition to wages that permanently improve, they often have subsidized housing, quality education for their children, basic health for the whole family, credits for research. Today, China is among the countries that most invest in research and development and in education. Between 1995 and 2001, investments increased by 4.7%. In 2001 alone, more than $ 60 billion was invested. In 2001, China already had 743,000 researchers, a number only surpassed by the United States. In addition, in 2000, there were more than 100,000 Chinese students completing advanced training programs abroad.

Today, around the world, there is talk of making work more flexible as a formula for creating wealth. In practice, flexibility means increased insecurity. Now, if there is an essential point for democracy to exist, it is the dignity of the human being through the existence of decent working conditions. Everywhere in the West, including in Latin America, government officials boast of flexibility measures. Whether in a country like France, or in Brazil, for example, when launching reforms to modernize and improve countries, the first step governments decide to take is to reform labor laws increasing precarity. In China, on the contrary, new laws came into force on 10 January 2008, guaranteeing more safety and stability at work, which prompted the decision of certain foreign companies, Korean for example, to leave China. They will look elsewhere for better conditions to exploit workers. In practical terms, flexibility means increased precarity.

In the international area, China has gone from being a recipient to a provider of aid and its presence, through various investments, is increasing all over the world. Its visibility in the various multilateral organizations is now remarkable, which is facilitated by the isolationism of the current US government (2020).

China, without a doubt, is a country that has prepared itself to play a leading role in the knowledge society. And all this in a context in which, without fanfare, a population of one and a half billion inhabitants has something to eat, unlike other countries, which have undergone a failed policy of total subservience to the market.

The documents included in this volume complete the observations I was able to make about the higher education system in China, but they also bring up thematic discussions that I have had the opportunity to entertain with Chinese experts and teachers. Document number 1, for example, refers to a master's thesis at Suzhou University (Soochow) entitled **"A study on Dias practices and ideas on higher education".** Documents 2 and 3 reflect the results of Internet interviews and discussions I had with the author, Professor Yang Xi-Chao, and with various researchers on the occasion of my last trip to China in 2015, organized by researcher and professor Wang Yibing. Document number 4, in Chinese, is the translation of a study on accreditation (accreditation) published by GUNI- Global University Network based in Barcelona, written in partnership with Hans Van Ginkel, former director of the University of Utrecht, in the Netherlands and the United Nations University. This article was published by

GUNI in English, Spanish, Portuguese and Chinese (see original at www.mardias.net volume no. 3, second part, document number 1).

In the annexes, several documents are presented that could be useful to anyone interested in the development of the higher education system in China in particular in the late nineties and early 21st century. Highlight is given to the participation of China in the World Conference on Higher Education (WCHE), in 1998, with the presentation of a synthetic document prepared by the Ministry of Education of China and the speech by the Chinese minister, Chen Zhili, at the end of the CMES.

APRESENTAÇÃO

Nos volumes anteriores desta coleção, existem cinco documentos sobre a China (duas entrevistas) ou relacionados a conferências (três) apresentados na China entre 2002 e 2007. De fato, visitei a China oito vezes, entre 1998 e 2007. Isso não me transformou em um "sinologista", mas me permite fazer algumas observações sobre a evolução do ensino superior na China e sobre o papel do ensino superior e da pesquisa no rápido desenvolvimento deste país. Como consequência, ao discutir questões sobre o ensino superior em todo o mundo, sempre digo que todos devem olhar para o que está ocorrendo na China.

Observadores verificaram que durante a última década do século XX, os efetivos do ensino superior aumentaram consideravelmente na China. Em 1998, o ministro da Educação deste pais, a China, Chen Zhili, participou da Conferência Mundial sobre Ensino Superior, realizada na UNESCO, em Paris, de 5 a 9 de outubro. O ministro foi um dos oradores na sessão de encerramento da Conferência. Segundo informações que circularam na UNESCO, , quando a conferência terminou, a ministra apresentou um relatório ao conjunto do governo chinês e, como resultado, foram tomadas resoluções para aumentar drasticamente as matrículas no ensino superior no país; para reforçar instituições com maior potencial para se tornarem centros de excelência do ensino superior; para investir na formação interna e externa de pesquisadores e professores universitários. Também foi decidido reforçar as instituições de ensino superior que lidam com a formação de professores em todos os níveis.

A prosperidade da economia na China é uma realidade. Claro que existem problemas. Pode-se imaginar o quão difícil é administrar um país com cerca de um bilhão e meio de habitantes. A realidade é que há cada vez mais oportunidades de emprego e, como consequência, há um aumento visível na necessidade de mão de obra treinada e isso tem um impacto na organização dos estabelecimentos de ensino superior. A China contava com menos de nove milhões de estudantes em 1999, atingindo 16 milhões em 2002. Hoje (2020), a China tem mais de 30 milhões de estudantes universitários. A cada ano, mais de oito milhões se formam nas universidades chinesas. É - sem dúvida - o maior sistema de ensino superior do mundo.

A adaptação das universidades às novas realidades e a mudança de um sistema em que o Estado costumava garantir empregos a todos os graduados para um novo sistema em que cada um deve encontrar seu lugar no mercado é extremamente complexa. O que podemos observar é que as autoridades chinesas tentam manter o conceito de ensino superior como bem público e criaram vários programas para garantir o acesso ao ensino superior a todos os jovens, independentemente de sua situação financeira. Os estudantes que selecionam instituições formadoras de professores passaram, dede 2005, a não serem chamados a pagar qualquer tipo de taxa. Parece também que sempre é dada atenção especial a áreas com importância estratégica, como defesa, empresas-chave do estado, projetos-chave de pesquisa nacional etc. Nessas circunstâncias, o aparecimento do desemprego entre os graduados pode ser entendido. E para especialistas estrangeiros, este é um elemento importante de observação. Como a China vai lidar com essa questão do desemprego de graduados? Isso não foi resolvido nos países ocidentais nem nos países emergentes mais importantes.

É claro que a China tem sérios problemas a resolver, o que, atualmente, é reconhecido mesmo pelas mais altas autoridades. Reconhecem que somente em 2004 houve mais de 74.000 manifestações de protesto em todo o país, com a participação de pelo menos 3,7 milhões de cidadãos (International Herald Tribune - 15/16 de julho de 2006). Em 2005, foi o ministro da Segurança da China, Zhou Yongkan, quem confirmou esta informação, o número de manifestações aumentou para 87.000.

Por volta de 2007, de 1,3 bilhão de pessoas, 130 milhões estavam sobrevivendo com menos de um dólar por dia. Por outro lado, até o ex-presidente do Banco Mundial, James Wolfensohn, reconheceu que a China, n um curto espaço de tempo, conseguiu que 420 milhões de pessoas deixassem a pobreza. Isso significa mais que o dobro da população de um país como o Brasil. Ao contrário do que acontece nos países ocidentais em geral, na China, uma lei que entrou em vigor em janeiro de 2008 procura combater a precariedade e a falta de segurança no emprego. As regras introduzidas em 2008 visaram a garantir a proteção dos trabalhadores assalariados. Em vez de incentivar contratos com datas fixas, essa lei promove contratos por tempo indeterminado. Após dois contratos renovados, eles devem se tornar automaticamente indefinidos. Um período de teste pode não durar mais de seis meses (ver Nathalie Quéruel - Le Monde - 6.10.2007).

Ao mesmo tempo, os países ocidentais baseados no Consenso de Washington estão estimulando a flexibilidade e a contingência. A realidade é que nós, nos países ocidentais, achamos difícil entender a Ásia e a China em particular. Não percebemos que, no passado, durante o século 18, por volta de 1750, a China e a Índia costumavam produzir mais da metade da riqueza mundial. De fato, nos países ocidentais, as razões para o declínio das atividades econômicas na China não são bem conhecidas. Mas a realidade mudou e, agora, ninguém pode ignorar a China.

Os documentos incluídos em vários volumes desta série estão escritos, em inglês (três), francês (um) e português (um). São eles:

1-"Globalization and dialogue of civilizations: The role of China" - "International Conference on "Excellence with or without a soul: the cultivating of mindful university

graduates" – GUNI-AP- Hangzhou – China- 2 and 3th December 2007 – www.mardias.net, volume 2, Document no, 2;

2- **"La Chine: le nouveau paradigme" -** Entretien avec Marco Antonio Rodrigues Dias – Observatoire de l'enseignement supérieur- www.mardias.net vol. 14, doc. 21;

3- **"O ensino superior e o projeto de nação – Para além dos clichês" (2007)** – Entrevista a Álvaro Kassab - "Jornal da Unicamp"- Campinas, São Paulo, Brasil – www.mardias.net vol. 14, doc. 10;

4- Philosophical and political basis for ensuring quality in higher education" - Symposium on Quality Assurance in and Mutual Recognition of Qualifications between Research Universities – GUNI-AP Symposium Series I, 20-21 September 2004, Hangzhou, China – www.mardias.net volume 14, doc. 10;

5- "**Some aspects of the impact of globalization in higher education in developing countries" -** First General Assembly of The Global University Network for Innovation: Asia and the Pacific (GUNI-AP) - 20-22 September 2002- Zhejiang University- Hangzhou, China –www.mardias.net volume 10, doc. 17.

Entre 1989 e 2015, estive na China oito vezes, como já afirmei acima. Creio que isto me deu a oportunidade para observar muita coisa, inclusive no que diz respeito ao ensino superior; constatar que a China tem um projeto de nação com o qual pode-se concordar ou não e que ensino superior e pesquisa fazem parte dos instrumentos utilizados para transformar em realidade este projeto.

As visitas foram as seguintes:

- Representante da UNESCO na **34 a. sessão da UNU** –Tóquio- 04 a 08.12.89**. Visita a Hong Kong e Macau, para discutir aspectos da criação de um novo Instituto da UNU ligado ao desenvolvimento das novas tecnologias nos países em desenvolvimento.**
- Participação na **36ª. Sessão do conselho da Universidade das Nações Unidas, em Macau,** de 4 a 7 de dezembro de 1990 e, no dia 7 de dezembro, à reunião do grupo encarregado de analisar a escolha de um novo reitor.
- **Discussão com autoridades acadêmicas e governamentais, na China (Beijing e Xangai) para criação de cátedra UNESCO no ensino superior, como ponto focal par uma rede asiática no campo da pesquisa no ensino superior – novembro/dezembro de** 1998.
- Representante da UNU em reunião em Hangzhou, China, de 24 a 27 de outubro de 2001, para **constituição da rede GUNI Ásia e Pacífico**- Exposição sobre objetivos da rede GUNI. -Participação, como conferencista, na **International Conference on Higher Education, Innovation and Development.**
- Participação, como conferencista, e como representante da Universidade das Nações Unidas, na **Primeira Assembleia Geral do Global University Network for Innovation – Asia and Pacific (GUNI-AP) realizado de 20 a 22 de setembro de**

2002, em Hangzhou, China, na Universidade Zhejiang. Tema da conference: "Some aspects of implication of globalization to higher education in developing countries".

- Participação, como conferencista, no **GUNI-AP Symposium on quality assurance and mutual recognition of qualifications in higher education, realizado entre os dias 20 e 21 de setembro de 2004, em Hangzhou, na China**.
- Participação, como especialista convidado, na **GUNI-AP 2007 Conference – Excellence with or without a soul: the cultivating of mindful university graduates- 3-4 December 2007- Xinhua State Guesthouse- Hangzhou-** China-speaker- Higher education and the dialogue of civilizations: a great challenge in a period of globalization-
- **Visita particular** à China de 02 a 16 de junho de 2015, sendo convidado para debates na Universidade aberta de Xangai e na Universidade de Suzhou, com a participação, em ambos os casos, dos presidentes e vice-presidentes e de pesquisadores em definição de políticas para o ensino superior.

Reconhecer o que de positivo se faz na China não significa estar de acordo com todos os elementos do modelo chinês, inclusive com a pena de morte, o papel de subserviência da mulher, a ambiguidade da situação de certas minorias. Mas, olhando e conversando com professores universitários, pude ver que ainda que, além de salários que melhoram permanentemente, têm frequentemente moradia subsidiada, educação de qualidade para os filhos, saúde básica para toda a família, créditos para a pesquisa. A China está, hoje, entre os países que mais investem em pesquisa e desenvolvimento e em educação. Por ano, entre 1995 e 2001, verificou-se um aumento de investimentos da ordem de 4.7%. Somente em 2001, foram investidos mais de 60 bilhões de dólares. Já em 2001, a China contava com 743 mil pesquisadores, número somente ainda superado pelos Estados Unidos. Além disso, em 2000, havia mais de cem mil estudantes chineses completando programas de formação avançada no Exterior.

Hoje, no mundo inteiro, **fala-se na flexibilização do trabalho como fórmula de se criar riquezas. Na prática, flexibilidade significa aumento de precariedade.** Ora, se há um ponto essencial para que exista democracia social é o da dignidade do ser humano através da existência de condições de trabalho dignas. Por toda parte, no Ocidente, inclusive na América Latina, governantes se vangloriam pelas medidas de flexibilização. Seja em um país como França, seja no Brasil, por exemplo, ao lançarem reformas para, segundo dizem, modernizar e melhorar os países, a primeira medida que tomam é a da reforma das leis do trabalho, retirando Na China, ao contrário, disposições legais entraram em vigor no dia 10 de janeiro de 2008, garantindo mais segurança e estabilidade no trabalho, o que provocou imediatamente a decisão de certas empresas estrangeiras, coreanas por exemplo, de abandonar a China. Vão buscar em outros lugares melhores condições para explorar os trabalhadores. En la práctica, flexibilidad significa aumento de la precariedad.

Na área internacional, a China passou de receptor a fornecedor de ajuda e sua visibilidade, através de investimentos diversos, é cada vez maior no mundo inteiro. Sua presença nos diversos organismos multilaterais é, agora, notável, o que é facilitado pelo isolacionismo do atual governo norte-americano (2020).

A China, sem dúvidas, É um país que se preparou para exercer um papel de liderança na sociedade do conhecimento. E tudo isto num quadro em que, sem alarde, uma população de um bilhão e meio de habitantes tem o que comer, ao contrário de outros países, que se submeteram a uma política falida de subserviência total ao mercado.

Os documentos incluídos no presente volume completam as observações que pude fazer sobre o sistema de educação superior na China, mas também trazem à tona discussões temáticas que tive a oportunidade de ter com especialistas e professores chineses. O documento de número 1, por exemplo, refere-se a uma tese de mestrado, na Universidade de Suzhou (Soochow) intitulada "A study on Dias practices and ideas on higher education". Os documentos de número 2 e 3 refletem o resultado de entrevistas por Internet e de discussões eu tive com o autor, Professor Yang Xi-Chao, e com pesquisadores diversos por ocasião de minha última viagem à China em 2015, organizada pelo pesquisador e professor Wang Yibing. O documento de número 4, em chinês, é a tradução de um estudo sobre acreditação (credenciamento) publicado por GUNI- Global University Network sediado em Barcelona, escrito em parceria com Hans Van Ginkel, ex- reitor da Universidade de Utrecht, nos Países Baixos e da Universidade das Nações Unidas. Este artigo foi publicado por GUNI em inglês, espanhol, português e chinês (ver original em www.mardias.net volume no. 3, segunda parte, documen to número 1).

Nos anexos, apresentam-se vários documentos que poderão ser úteis a quem se interessa pelo desenvolvimento do sistema de educação superior na China em particular no final dos anos noventa e início deste século XXI. Destaque é dado à participação da China na Conferência Mundial sobre o Ensino Superior, em 1998, com a apresentação de um documento sintético elaborado pelo Ministério da Educação da China e o discurso da ministra chinesa, Chen Zhili, no encerramento da CMES.

B- DOCUMENTOS

DOCUMENTO NÚMERO 1

TESE DE MESTRADO NA UNIVERSIDADE DE SOOCHOW, CHINA, EM 27.04.2008 – "A STUDY ON DIAS PRACTICES AND IDEAS ON HIGHER EDUCATION"

Autor: Zhang Dan; Professor orientador: Zhou Chuan. O texto está em chinês com um sumário em inglês.

NOTA DE INFORMAÇÃO

Sochow University, Suzhou City, some 250 kilometers south of Shanghai, is a former Methodist university that was created more than 100 years ago and became a public institution in 1949 following the seizure of power by Mao Tse-tung . It was an institution to form the Chinese elite. Becoming public, it sought to maintain a high academic standard and is today one of the most prestigious Chinese university institutions. In April 27, 2018, a Chinese researcher at this university received her master's degree, defending a thesis on "Dias practices and ideas of higher education". This subject was suggested by the professors of the Faculty of Education of Sochow University. Professor Zhou Chuan was the thesis advisor.

La Sochow University, en la ciudad de Suzhoue, unos 250 kilómetros al sur de Shangai, es una antigua universidad metodista que existe desde hace más de cien años y que se convirtió en una institución pública en 1949 tras la toma del poder por Mao-Tse-Tung. Era una institución para formar a la élite china. Al convertirse en pública, buscó mantener un alto nivel académico y es hoy una de las instituciones universitarias chinas de más prestigio. En 27.04.2018, una investigadora china de esta universidad obtuvo su grado de maestro, defendiendo una tesis sobre "Prácticas e ideas del Profesor Dias sobre educación superior". El tema había sido sugerido por profesores da Faculdade de Educación de la Universidad de Sochow. El orientador de la tesis fue el Profesor Zhou Chuan.

A Sochow University, na Cidade de Suzhoue, uns 250 quilômetros ao sul de Xangai, é uma antiga universidade metodista que existe há mais de cem anos e que se tornou uma instituição pública em 1949, após a tomada do poder por Mao-Tsé-Tung. Era uma instituição para formar a elite chinesa. Tornando-se publica, buscou manter um alto padrão acadêmico e é, hoje, uma das instituições universitárias chinesas de mais prestígio. Em 27.04.2018, uma pesquisadora chinesa desta universidade obteve seu grado de mestre, apresentando uma tese sobre "Práticas e ideias do Professor Dias sobre educação superior". O orientador foi o Professor Zhou Chuan.

L'université de Sochow, dans la ville de Suzhou, à quelque 250 kilomètres au sud de Shanghai, est une ancienne université méthodiste qui existe depuis plus de 100 ans et qui est devenue une institution publique en 1949 suite à la prise du pouvoir par Mao Tse-tung. C'était une institution pour former l'élite chinoise. Devenu publique, elle a cherché à maintenir un haut niveau académique et est aujourd'hui l'une des plus prestigieuses institutions universitaires chinoises. En 27.04.2018, une chercheuse chinoise de cette université a obtenu sa maîtrise en défendant la thèse sur "Les pratiques et les idées du Professeur Dias sur l'enseignement supérieur". Le professeur responsable de l'orientation a été Zhou Chuan.

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中文题目 迪亚斯高等教育实践与思想研究

英文题目 A Study on Dias' Practices and Ideas of Higher Education

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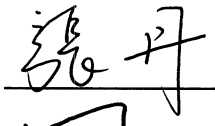
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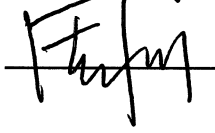
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迪亚斯高等教育实践与思想研究

中文摘要

马克•安东尼奥•罗德里格斯•迪亚斯（Marco Antonio Rodrigues Dias），1938年出生于巴西里约热内卢，是一位著名国际高等教育专家。在1970s，迪亚斯曾是一名任课教授（1970.3-1981.9）、通信学院负责人（1970-1972）、学院院长(1972-1976)和巴西利亚大学副校长(1976-1980)。在1980s-1990s期间，迪亚斯在巴黎担任联合国教科文组织高教处处长（1981.10-1999.2）。21世纪初，迪亚斯成为联合国大学（UNU）校长特别顾问（2000-2009），并担任联合国大学在联合国教科文组织的代表，成为联合国大学巴黎办事处的主要负责人（2006.1-2009.6）。迪亚斯多元的身份角色，使之为世界高等教育做出了巨大贡献，尤其是在高等教育全球化方面。如，启动了联合国教科文组织姊妹大学教席计划，强有力的促进了高等教育资源的均衡配置；成功组织了首届“世界高等教育大会”， 汇集了来自183个国家的4000多名参会人员（包含约130名部长带领的官方代表团，以及数以百计的非政府组织）。迪亚斯不仅促进了全球化过程中的区域平等，更保障了世界高等教育有针对性的内涵式发展。因此，深入研究迪亚斯教授的高等教育实践及思想显得尤为必要。

在迪亚斯的高等教育实践中，其新闻记者生涯培养了敏锐的洞察力与批判精神，洞悉了社会活动与大学之间的深刻联系，萌生了对高等教育的初步认识。在巴西利亚大学任职期间，迪亚斯帮助学校巩固通信课程，提出并推广“跨学科”课程建设，有力地推动了通讯学院的质的发展。在联合国教科文组织任职期间，策划组织并成功举办了首届世界高等教育大会，其草拟的《面向二十一世纪高等教育宣言：观念与行动》和《高等教育变革与发展的优先行动框架》作为纲领性文件在这次大会上通过并在世界范围内颁布实施，为全球高等教育政策构想做出了杰出贡献。在联合国大学任职期间，组织大学网络与教师培养等高等教育项目，为巴塞罗那的理工大学、联合国教科文组织总部、联合国大学论坛的后续会议等提供了咨询服务。即便是荣休生涯，迪亚斯也依然活跃在世界各国、各区域参加高等教育相关会议、举办讲座、开展合作项目等。

在迪亚斯高等教育思想方面，他坚持认为高等教育是公共产品，在厘清“公共产

品”与“商品”、“全球性公共产品”概念的基础上，提出了平等性、持续和连续性、适应性和可调整性三大基本原则，并归纳了高等教育作为公共产品对教育、社会以及人力资源的责任。其次，他对全球化及新技术对高等教育的双重性影响有着深刻认识，不仅认识到全球化对学术人员流动性、科学研究的国际化合作、缩小地区差异、促进文化和平的积极影响和人才流失等资源分配不均问题，也看到了新技术带来的便利与挑战。此外，迪亚斯十分重视高等教育的质量与针对性，并对质量与针对性的不可分割关系进行了独到分析。最后，他十分重视并大力倡导高等教育的国际合作，在分析高等教育国际合作所面临的形势基础上，提出了平等、互信和团结的合作原则。

迪亚斯高等教育实践与思想的两大主要特征主要是国际化与合作化，迪亚斯高等教育实践和思想对我国高等教育的启示意义主要有：在全球化背景下做好高等教育的发展规划、加强高等教育的国际交流与合作、重视并提升高等教育质量与公平等。

关键词：迪亚斯；高等教育实践；高等教育思想

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A Study on Dias' Practices and Ideas of Higher Education

Abstract

Marco Antonio Rodrigues Dias, a distinguished international expert in the field of higher education, was born in Rio de Janeiro, RJ, Brazil, in1938. In the 70s, he was a professor (March 1970 to September 1981), the head of the Department of Communications (1970-1972), the extension dean (1972-1976), the vice rector of the University of Brasilia (1976-1980). In the 80s and 90s, he was the director of the UNESCO Higher Education Division(Paris) from October 1981 to February 1999, at the beginning of the 21st century, Dias was a special adviser of the rector of the UN University from 2000 to 2009 and the representative of UNU with UNESCO and head of UNU's office in Paris from January 2006 to June 2009. Dias's multiple identities made him a great contributor to the world higher education, especially to the globalization of higher education. For example, he launched the UNITWIN-UNESCO Chairs Program, which strongly promoted the balanced allocation of higher education resources; He successfully organized the World Conference on Higher Education in 1998, which brought together more than 4000 participants from 183 countries (containing about 130 ministers heading national delegations, and hundreds of NGOs). Dias not only promoted the regional equality in the process of globalization, but also made a great contribution to the targeted development of the world higher education. Therefore, it is very necessary to deeply study professor Dias' practices and thoughts of higher education.

In the part of practices of higher education, Dias developed a keen insight into the profound relationship between social activity and universities and got a preliminary understanding of higher education when he was a journalist. When he worked in the university of Brasilia, Dias put up with the idea of "interdisciplinary course", which strongly promoted the qualitative development of the Communication Department. When he worked in the UNESCO, Dias successfully organized and hosted the first World Conference on Higher Education in 1988, with two programmatic documents--"Higher Education in the 21st century: Vision and Action" and "Policy Paper for Change and

Development in Higher Education" that drafted by him enacted throughout the world, which made outstanding contributions to the global higher education. When he worked in the UNU, Dias organized the network of universities and launched the teacher`s training projects, providing consulting services for the Polytechnic University of Barcelona, the headquarter of UNESCO, and the follow-up conferences of UN university, etc. After his retirement, Dias still has been actively taking part in many kinds of education-related conferences, giving lectures and carrying out cooperation projects in various countries and regions around the whole world.

In the part of ideas of higher education, firstly Dias firmly insisted that higher education is a public good, he put forward the basic principles which are "equality, continuity and adaptability" and summarized the responsibility of higher education as a public good for education, social and human resources. Secondly, Dias held that the globalization and the new technologies had dual impacts on higher education, he not only realized the positive effects that the globalization had on the academic staff mobility, the international cooperation of the scientific teams, the narrowing of regional differences , the promoting of cultural peace and and the brain drain problem because of uneven distribution of resources, but also he got an eye on the convenience and challenges that the new technology brings to higher education. Thirdly, Dias attached great importance to the quality and relevance of higher education, and made a unique analysis of the indivisible relationship between quality and relevance. Finally, Dias strongly advocated international cooperation of higher education, he proposed the principles of "equality, mutual trust and solidarity" based on the analysis of the situation faced by international cooperation of higher education.

The two main characteristics of Dias' practices and ideas of higher education are internationalization and cooperation. The main significances that Dias' practices and ideas of higher education that made to our country are as follows: have a good development plan of higher education in the background of globalization; strengthen the international cooperation of higher education, attach great importance to both quality and equality of higher education and so on.

Keywords：Dias；practices of higher education；ideas of higher education

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绪 论

一、选题缘由

（一）现实的需要

2015 年 10 月，国务院下发《统筹推进世界一流大学和一流学科建设总体方案》（[2015] 64 号），方案提出：“要坚持以中国特色、世界一流为核心，以立德树人为根本，以支撑创新驱动发展战略、服务经济社会为导向，加快建成一批世界一流大学和一流学科。加大改革力度，完善推进机制，坚持久久为功，统筹推进世界一流大学和一流学科建设，实现我国从高等教育大国到高等教育强国的历史性跨越”。[①] 2016 年 7 月 30 日，时任江苏省教育厅厅长沈健在“高等教育普及化阶段的高等学校分类发展——在 2016 年全省高校书记校长暑假学习会上的讲话”中提到“高等教育进入普及化阶段，意味着高等教育办学规模的进一步扩大。我省高等教育实现精英化向普及化跨越仅用了 20 年时间（从 1994 年的 5%到 2014 年的 51%）。正因为我省实现高等教育普及化的时间短、步子快、与快速增长的规模相比，质量问题日益凸显。主要表现在：一是世界一流大学和高水平大学仍然缺乏；二是高校人才培养水平亟待提升，有的高校教学工作的中心地位尚未完全落实。”[②]

当前我国高等教育面临着诸多挑战和机遇，在高等教育国际化的时代背景下，研究先进的高等教育思想，借鉴成功经验和有价值的观点，结合我国当前实情探索中国高等教育的未来发展之路，对实现“到本世纪中叶，一流大学和一流学科的数量和实力进入世界前列，基本建成高等教育强国”[③]计划有着深刻的借鉴和启示意义。而目前我国对迪亚斯教授高等教育思想和实践的研究十分稀少，因此，出于我国高等教育发展改革的需要，该课题非常值得研究。

（二）迪亚斯的杰出成就

迪亚斯教授在巴西利亚大学从教与任职的十年里，开展了跨学科建设、大力推动

[①] 中华人民共和国国务院.国务院关于印发统筹推进世界一流大学和一流学科建设总体方案的通知.国发[2015] 64 号,2015-10-24.

[②] 沈建.高等教育普及化阶段的高等学校分类发展—在 2016 年全省高校书记校长暑假学习会上的讲话[R].2016-7-20.

[③] 中华人民共和国国务院.国务院关于印发统筹推进世界一流大学和一流学科建设总体方案的通知.国发[2015] 64 号,2015-10-24.

了巴西利亚大学通信学院的发展；在联合国教科文组织任高教处处长的二十年里，负责筹划并成功举办了首届世界高等教育大会，负责发起并推动了联合国教科文组织姊妹大学／教席计划的执行；在联合国大学担任校长特别顾问的十年里，成为联合国大学与联合国教科文组织紧密联系的“纽带”，对世界高等教育的发展做出了卓越贡献。

另外，因为迪亚斯教授曾经来华访问过苏州大学，以此为契机，笔者对其教育思想和相关实践活动产生了浓厚的兴趣。而后，在导师的引荐下与迪亚斯教授取得了直接联系、获得不少第一手资料，从而确定以此作为毕业课题研究。

二、课题研究的意义

（一）理论意义

1. 可以丰富高等教育学的内容和理论

“高等教育史是高等教育学的一门基础学科，是高等教育学的历史延伸，也是高等教育学的一门重要分支学科。高等教育史研究的对象虽然是过去的东西，但它的目的是面向未来，为现实高等教育改革提供历史借鉴，为预测、规划未来提供理论支持。因此，高等教育史学科的建设和发展与高等教育学的成熟与完善有着密不可分的关系。”[①] 因此，对迪亚斯的高等教育实践和思想进行较为系统的研究，不仅可以扩充我国有关外国高等教育史学科的研究内容，在很大程度上还能促进高等教育学学科体系的建设和完善。

2. 可以丰富教育史学的内容

历史经验和教训可以使人们更睿智、更全面的进行教育改革。而“教育改革实践和教育科学发展迫切需要《教育史学》，《教育史学》作为研究教育发展历史的现象及问题、揭示教育发展本质及规律的科学，在未来教育改革发展中，其价值将会更为突出。如何跟上历史发展的步伐，适应未来教育实践与理论发展的要求，是《教育史学》学科建设面临的重大课题。”[②]

迪亚斯的高等教育思想是建立在他本人对于急剧变革世界中对高等教育的敏锐洞察及科学思考的基础之上，综合其高等教育实践可知，迪亚斯所解决的不仅仅是巴

[①] 刘海峰,史静寰.高等教育史[M].北京:高等教育出版社,2010:2.
[②] 张传燧.《教育史学》的反思与重构[J].华东师范大学学报(教育科学版),2001(01):81-86.

西更是世界高等教育所面临的共同问题，而迪亚斯针对这些问题所提出的解决方案及应对措施对我国高等教育的发展有着深刻的借鉴意义。因此，对迪亚斯的高等教育实践和思想进行系统分析和研究可以丰富我国教育史学的内容，促进我国教育史学的发展和完善。

（二）实践意义

迪亚斯高等教育思想的国际化、合作化等特点及其鲜明的时代性特征和变革意识，都是基于他丰富的高等教育实践和对信息时代、知识时代、全球化时代的深刻认识与反思。通过对迪亚斯教授的相关文献进行系统梳理和研究，引进和介绍迪亚斯教授对全球化与高等教育关系问题的见解，在呈现其极具深度与前瞻性的高等教育理念的同时，有助于丰富和深化当前我国对全球化时代高等教育的认识和理解，进而更好的在国际化背景下审视我国高等教育的改革和发展，认真考虑我国高等教育为应对全球化挑战所需作出的选择。

总之，本文力图通过较为详尽的第一手资料，在国内首次比较系统的研究迪亚斯的高等教育思想和实践，以期能为我国高等教育的发展提供一定的借鉴与启示价值。

三、研究思路及方法

（一）研究思路

阿尔伯特·爱因斯坦曾说过，“提出一个问题比解决一个问题更重要，因为解决一个问题或许是一个数学上或实验上的技巧，但提出新的问题和新的可能性，以及从新的角度去看待旧问题，却需要创造性的想象力，而且标志着科学的真正进步。”[①] 有鉴于此，本文试图提出四个问题：1.迪亚斯是一个怎样的人物，他具有怎样的人生经历？2.迪亚斯在高等教育领域里做过哪些具有里程碑意义的事？3.迪亚斯的高等教育思想精髓主要体现在哪些方面？4.迪亚斯的高等教育实践及思想具有哪些特征，对我国高等教育的发展具有哪些启示意义？

为了比较全面的回答以上四个研究问题，本文主要运用文献法、辅以邮件访谈法，基本按照时间顺序，从 20 世纪 60 年代至 21 世纪初，简要介绍迪亚斯的个人基本情况，并着重分析迪亚斯的高等教育思想和实践，尝试性的总结和探讨其实践及思想对

[①] 王兆璟.教学理论问题的知识学研究[M].兰州:甘肃教育出版社,2004:9.

我国高等教育发展的启示。因此，本文拟严格遵循以下研究思路：

第一部分为绪论，主要介绍研究迪亚斯教授的高等教育实践及思想的原因、价值、研究思路及方法、相关概念界定、研究的创新之处及难点、文献综述等。

第二部分为迪亚斯教授的生平及主要高等教育实践活动，主要对迪亚斯教授迄今为止的人生经历做一个简要介绍，然后按时间顺序，从 20 世纪 60 年代到 21 世纪初，以每十年为一个维度，从新闻记者生涯、巴西利亚大学任教及任职生涯、联合国教科文组织任职生涯、联合国大学任职生涯、荣休生涯等五个主要阶段，对迪亚斯高等教育实践的主要内容加以梳理。

第三部分为迪亚斯高等教育思想的主要内容，主要从“坚持认为高等教育是公共产品”、“对全球化及新技术给高等教育带来双重性影响的深刻认知”、“重视高等教育的质量和针对性”以及“倡导高等教育的国际合作”等四个方面对迪亚斯教授的高等教育思想加以概括和分析，该部分是论文的主体部分。

第四部分为迪亚斯高等教育思想与实践的特征及其启示意义，主要总结迪亚斯高等教育实践及其思想的合作化与国际化特征，探讨迪亚斯高等教育思想对促进我国高等教育发展的启示意义。

站在巨人的肩膀上能使我们看得更远，教育史追求的目标也是如此。伯顿·克拉克曾说过，“如果理解过去有助于我们理解现在，且过去和现在都为我们提供某些未来的指导，也就意味着承认存在规律性的东西和可以重复的现象。”[①] 换言之，通过对所得资料的整理和分析，总结迪亚斯高等教育思想及实践的特点，终极目的是为了能给我国高等教育发展和改革搜索到可借鉴的历史资源。

（二）研究方法

1．文献法

本文采用文献法为主要研究方法。笔者充分利用苏州大学图书馆的资源，加上利用中国知网、万方、国外 Springer 数据库、EBSCO 数据库、微软 Bing 搜索、Yahoo 英文网站等进行搜索，最使笔者受益的是笔者可以在迪亚斯个人官网（www.mardias.net）上搜索到不少相关资料，加之笔者与迪亚斯教授取得了直接联系，通过邮件和电话获得了不少迪亚斯的相关著作、论文、信件等极具权威性与可靠性的

[①] ［美］伯顿·克拉克著，王承绪等译.高等教育新论—多学科的研究[M].杭州:浙江教育出版社,2001:24.

第一手资料。本文就是通过对这些材料进行整理、翻译和分析，进而获得研究所需事实和数据资料的。

2．访谈法

本文采用以文献法为基础的研究方法，同时以访谈法为辅助。访谈法的划分根据不同的标准可以有不同的结果，而根据是否进行面对面交谈可分为直接访谈和间接访谈。直接访谈是访问者与被访问者之间进行面对面的交谈，而间接访谈是访问者借助某种工具对被访问者进行访问，例如电话访谈、邮件访谈等都是面对面访谈法的延伸。[①] 在本文中，笔者从 2016 年 9 月至 2018 年 2 月近两年时间里，频繁通过邮件、电话等方式对迪亚斯教授本人进行访谈，针对迪亚斯在各个不同阶段的高等教育实践及思想、对当今世界高等教育的思考与认识、对当前我国高等教育发展现状的看法与建议等问题进行了询问和了解，获得了与本研究主题相关度较高的第一手资料。

四、研究的创新及不足

（一）研究的创新之处

笔者经过大量文献查阅发现，虽然迪亚斯教授的高等教育思想已经引起国内外很多学者的重视，但对迪亚斯的研究、特别是国内与其相关的研究依然较为稀少，即便有，也大都是些记录性的零散材料。由于国内外还没有系统研究迪亚斯高等教育思想和实践的论文，因此本研究的创新点就在于对迪亚斯的高等教育思想及实践进行了较为全面的梳理和呈现，基本展现了迪亚斯迄今为止的高等教育理念全貌，总结了迪亚斯高等教育实践和思想的主要特征并概括了其对我国高等教育发展与建设的启示意义。

（二）研究的不足之处

从内容上看，对迪亚斯的研究无论是系统性还是深度都还不够；从研究方法上看，本文偏重翻译和引用，分析和论述的力度有待加强；从资料占有上看，由于迪亚斯的高等教育著作数不胜数，且精通西班牙语、法语、葡萄牙语和英语（英语只是其第四语言），限于笔者精力有限且第二语言只懂英语，无法对其著作一一穷尽，因此本文所采用的文献资料有限，无法全面的对迪亚斯的高等教育思想加以研究和呈现，这是

[①] 吴增基,吴鹏森,苏振芳.现代社会调查方法[M].上海:上海人民出版社,2014:101.

本文最大之不足。

五、文献综述

（一）国内研究现状分析

就目前掌握的资料来看，国内尚未出现对迪亚斯高等教育思想与实践进行系统研究的专著和论文。笔者通过中国知网和万方数据库对硕博士论文的检索，也未曾发现任何涉及到迪亚斯高等教育思想和实践的论文。笔者在中国知网输入“马可·安东尼奥·罗德里格斯·迪亚斯”，关键词搜索到相关文章 0 篇；而键入“Marco Antonio Rodrigues Dias”，出来 1 条搜索结果，即杨习超撰写的《国际高等教育发展趋势、问题与建议—联合国教科文组织前高教处处长迪亚斯教授专访》的一篇关于迪亚斯教授针对“国际高等教育发展趋势、问题与建议”的高端访谈文章；由于在迪亚斯的高等教育实践中，其近二十年联合国教科文组织高教处处长的任职生涯是重点，而策划和成功召开 1998 年首届世界高等教育大会又是迪亚斯在联合国教科文组织从事高等教育政策领域研究的重大实践活动，有鉴于此，笔者再次在中知网上尝试输入“世界高等教育大会”，关键词搜索到相关文章 24 篇，剔除与主题相关度不高及重复文献，剩余 20 篇，再除去主要关于 2009 年第二次世界高等教育大会的文献 15 篇以及重复文献 1 篇，最后剩余 4 篇，分别是：赵中建的《召开在即的世界高等教育大会》和《21 世纪高等教育的展望及其行动框架—98 世界高等教育大会概述》、王晓辉的《联合国教科文组织首次世界高等教育大会的主要内容》、以及赵叶珠和游蠡的《十年间高等教育理念的若干新发展—基于两次世界高等教育大会的文本细读》等。

在杨习超撰写的《国际高等教育发展趋势、问题与建议—联合国教科文组织前高教处处长迪亚斯教授专访》的高端访谈中，迪亚斯提出：在高等教育作为社会公共产品的理论前提下，大学需要保持卓越、应对实时挑战扮演好培养人力资源的角色，优先发展专门知识、技能和能力，在努力预知未来、学会做人、学会生活等人文主义方面采取行动从而实现人类文明的发展；面对商业化、功利化的挑战，迪亚斯认为高等教育要积极履行社会道德批判功能，做好世界和平文化的代言人；在全球化时代背景下，迪亚斯重申要重视国际大学间的交流与合作的重要性，他指出在促进全球人才流动和知识共享的同时，要注重弘扬民族文化，以避免沦为少数发达国家大学模式的附

庸。[①] 在赵中建的《召开在即的世界高等教育大会》和《21 世纪高等教育的展望及其行动框架—98 世界高等教育大会概述》中，作者对由迪亚斯为首届世界高等教育大会撰写的两份纲领性文件：《21 世纪的高等教育：展望与行动》和《高等教育改革和发展的优先行动框架》做了简要概述，列出了在“21 世纪的高等教育：展望与行动”的总主题下，高等教育的针对性、高等教育的质量、高等教育的管理与财政和高等教育的国际化等[②]四个分主题的主要内容；指出了大会所提出的高等教育的使命和职责；同时还罗列出了大会提出的国家优先行动、教育系统和高等院校的优先行动和国际行动特别是联合国教科文组织的行动等主要内容。[③] 而在王晓辉的《联合国教科文组织首次世界高等教育大会的主要内容》一文中，作者主要结合大会所通过的两份划时代文件和大会所讨论的主要观点概述了四个方面的内容，即高等教育的地位、高等教育的使命与功能、关于开拓高等教育的新视野和关于高等教育的实施行动等。[④] 在赵叶珠、游蠡的《十年间高等教育理念的若干新发展——基于两次世界高等教育大会的文本细读》一文中，通过对比 1998 年和 2009 年两次世界高等教育大会的会议公报，作者经文本细读对其中所蕴含的理念进行了对比分析，揭示了新世纪十年间世界高等教育理念在高等教育本质观、高等教育国际观、高等教育职能观、高等教育质量观和高等教育平等观等五个主要方面的新发展。[⑤]

在所搜索到的中文资料中，虽然没有与本研究直接相关的文献，但通过杨习超对迪亚斯的人物访谈,可知迪亚斯教授对当前世界高等教育发展新趋势的预测、对当前世界高等教育所存在问题的认识及相应建议；通过赵中建等人对 98 年世界高等教育大会的文本解读，从其对大会纲领文件《21 世纪的高等教育：展望与行动》及《高等教育改革与发展的优先行动框架》的概述，可更为清晰的了解迪亚斯相关高等教育理念；通过赵叶珠、游蠡对两次世界高等教育大会宣言的对比解读，可进一步了解到迪亚斯对于世界高等教育的敏锐洞察和独特见解。总而言之，这些研究均从侧面以某个角度呈现了迪亚斯的部分高等教育思想，对本研究具有很好的启示价值。

[①] 杨习超.国际高等教育发展趋势、问题与建议—联合国教科文组织前高教处处长迪亚斯教授专访[J].苏州大学学报(教育科学版),2015(03):71-80.
[②] 赵中建.召开在即的世界高等教育大会[J].外国教育资料,1998(08):78-80.
[③] 赵中建.21 世纪世界高等教育的展望及其行动框架—98 世界高等教育大会概述[J].上海高教研究,1998(12):1-8.
[④] 王晓辉.联合国教科文组织首次世界高等教育大会的主要内容[J].世界教育信息,2000(05):7-11.
[⑤] 赵叶珠,游蠡.十年间高等教育理念的若干新发展—基于两次世界高等教育大会的文本细读[J].高教探索,2011(01):25-28.

（二）国外研究现状分析

马可·安东尼奥·罗德里格斯·迪亚斯作为联合国教科文组织前高教处处长，尽管今年已到耄耋之年，依然活跃在高等教育领域中，其高等教育思想也处于不断发展和丰富的进程中。就笔者目前所掌握的资料来看，国外对迪亚斯高等教育思想的系统研究也是寥若星辰，尚未发现对迪亚斯高等教育思想和实践进行系统梳理和研究的专著及论文，但迪亚斯的高等教育思想和实践确实大大引起了国外学者的重视，一些报纸对迪亚斯的高等教育实践及思想进行了报道，也有电台曾对迪亚斯在高等教育思想方面进行过访问，不少杂志、期刊也撰文赞扬迪亚斯的高等教育思想在现实中所取得的实践效应。

在迪亚斯教授个人官方网站（www.mardias.net）的首页上，有关于迪亚斯的学术背景、任职经历及贡献等个人基本情况介绍,以及一段全球大学创新网络（Global University Network for Innovation,简称 GUNI）对迪亚斯的专访视频，采访中迪亚斯谈到了自己对高等教育的未来趋势及其所面临挑战的认识和看法，他指出：“在 1998 年首届世界高等教育大会上所通过的几项基本原则和将高等教育视为公共产品的理念，仍然能适用于未来高等教育的发展。”[①]

1998 年首届世界高等教育大会圆满结束后，联合国教科文组织总干事费德里科·马约尔（Federico Mayor）在写给副总干事科林·N·鲍尔的信件中提及对迪亚斯及其率领的整个高教处团队的感谢，尤其对迪亚斯的杰出表现，诸如负责整个大会的操办和调控、撰写大会宣言、参会者反馈的满意度、大会文件的高质量等方面给予了高度肯定和赞赏。[②] 1999 年 2 月，迪亚斯结束在联合国教科文组织任职后不久，联合国教科文组织总干事费德里科·马约尔（Federico Mayor）于 1999 年 3 月 29 日以个人名义用法语致信迪亚斯，在信中马约尔肯定了迪亚斯于 1995 年出版的高等教育纲领性文件《高等教育变革与发展的优先行动框架》的重要性，高度赞赏了迪亚斯将自身能力、现实主义和效率的完美结合以致大力推动了首届“世界高等教育大会”的开展，并使该会议成为联合国教科文组织行动中最具代表性的事件之一；总干事表示正是由于迪亚斯教授坚定不移的决心和对细节的极度注重成就了 1998 年世界高等

[①] Interview with Marco Antonio Rodrigues Dias [EB/OL]. [2018-3-27]. http://www.mardias.net/site2010/.
[②] Letter addressed by the Director General of UNESCO, Federico Mayor, to the Assistant Director General of UNESCO, in 1998, after the end of the World Conference of Higher Education in 1998 [EB/OL]. [2018-3-27]. http://www.mardias.net/site2010/?page_id=2545.

教育大会的准备、策划和组织等全过程；信中马约尔还提及由迪亚斯负责的联合国姊妹大学项目（又名联合国教科文组织教席计划）的设计和实施，使得该项目已成为联合国教科文组织最杰出的项目之一；同时马约尔对于迪亚斯加强了联合国教科文组织和联合国大学的联系和合作方面给予了高度肯定并致以诚挚感谢。[①]

2009 年，联合国大学（东京）第五任校长孔拉德·奥斯特沃尔德（Konrad Osterwalder）致信迪亚斯，对其在联合国大学的所有悉心奉献和辛苦工作致以诚挚感谢。在信中孔拉德就过去三年半时间迪亚斯在联合国大学驻联合国教科文组织(巴黎总部)办事处的领导及工作给予了极高评价，他提到在迪亚斯的带领下，办事处获得了非常坚实的基础，使整个团队能积极地支持并推动联合国大学启动的许多重大活动。多亏了迪亚斯带领的团队积极踊跃的支持，为联合国大学拓宽了建立新的未来文化联盟机构的道路，孔拉德表示，新机构一旦建立，将极大的促使联合国大学实现其目标、完成其使命；同时，孔拉德还提及，由于迪亚斯的奉献、慷慨和其与联合国大学成员分享的宝贵经验，让巴黎的联合国大学办事处在过去几年里不仅成为联合国大学在 UNESCO 及欧洲开展工作的坚实基础，而且也成为了一个年轻成员可以获得指引和建议的人性化场所；最后孔拉德衷心祝愿迪亚斯“联合国大学后”的生活能一帆风顺。[②]

相关采访、领导信件等对迪亚斯高等教育思想及实践成果给予了高度肯定与赞赏，而迪亚斯通过长期的高等教育实践为其高等教育思想奠定了坚实基础，加上迪亚斯处于对高等教育思想和实践的不断探索中，其高等教育思想也在不断发展和丰富，主要体现在他发表的一些论文和演讲当中。如：

著作章节：《高等教育是公共产品：从科尔多瓦宣言百周年纪念的视角》(Higher Education as Public Good: Perspectives for the Centenary of the Declaration of Cordoba)，《文化的全球化与对话：中国的角色》(Globalization and Dialogue of Civilizations: the Role of China）等。

1998 年首届世界高等教育大会宣言文件：《面向二十一世纪高等教育宣言：观念

[①] Letter addressed to Professor M.A.R. Dias by the director general of UNESCO, Federico Mayor Zaragoza, when Professor M.A.R. Dias retired from UNESCO in 1999[EB/OL]. [2018-3-27]. http://www.mardias.net/site2010/?page_id=2539.

[②] Letter addressed to Professor M.A.R. Dias by the rector of the United Nations University, Konrad Osterwalder, in July 2009, when the official collaboration of Professor M.A.R. Dias with the UNU (as special advisor of the rector and representative of the UNU in Paris) came to the end[EB/OL]. [2018-3-27]. http://www.mardias.net/site2010/?page_id=2519.

与行动》(World Declaration on Higher Education for the Twenty-first Century: Vision and Action）和《高等教育变革与发展的优先行动框架》(Framework for Priority Action for Change and Development in Higher Education)。

论文:《高等教育改革的乌托邦现实主义》(Utopian Realism in the Reform of Higher Education),《高等教育:下个世纪的展望与行动》(Higher Education: Vision and Action for the Coming Century)，《世界高等教育大会：乌托邦成为现实的漫长历程》(The World Conference on Higher Education: the Long Journey for a Utopia Becoming Reality),《增进合作改善高等教育质量和相关性》(Improving Co-operation to Ameliorate Quality and Relevance in Higher Education)，《从国际视野看大学对社会的责任》(The University Responsibilities to Society--International Perspectives),《巴西通信政纲和结构的改革》(Alterations in the Structure and Politics of Communication in Brazil),《巴西新闻发布的社会控制》(Social Control in Brazilian Press)，《教育部的国家通信政策》(National Communication Policy in the Field of the Ministry of Education)，《高等教育在新世纪之初面临的挑战》(The Challenge of Higher Education on the Threshold of a New Century),《高等教育的交易:能否维系公共产品的理念？》(Trade in Higher Education :Can We Maintain the Idea of Public Good?)，《高等教育：现代社会组织尤为重要的元素》(Higher Education: Extremely Important Element in the Organization of Modern Society)，《全球化水平的校际间合作新趋势》(New Trends in Interuniversity Cooperation at Global Level)，《高等教育的趋势与挑战：全球化方式》(Trends and Challenges in Higher Education: A Global Approach)，《全球大学体系的目标和制度化》(Objectives and Institutionalization of the Global University System)，《机构认证在国际层面上的政治挑战》(Institutional and Political Challenges of Accreditation at the International Level)，《保障高等教育质量的哲学和政治基础》(Philosophical and Political Basis for Ensuring Quality in Higher Education）等。

演讲致辞:《马可·安东尼奥·罗德里格斯·迪亚斯获得荣誉博士学位致辞》(Doctorate Honors Causes Marco Antonio Rodrigues Dias)，《获得法国骑士荣誉勋章致辞》(Legion of Honor),《致辞医学院毕业生》(Message to Medical Graduates)

等。

文献颇多，不便一一列举。总之，笔者所搜集的资料比较详细的反映了迪亚斯的高等教育思想，是本论文的材料来源和基本依据，本论文主要是通过对所得资料进行整理、翻译、梳理和分析而来。

第一章　迪亚斯的生平及主要高等教育实践活动

一、迪亚斯的生平

马克·安东尼奥·罗德里格斯·迪亚斯（Marco Antonio Rodrigues Dias），1938 年 12 月 17 日出生于巴西的里约热内卢。1961 年，迪亚斯毕业于里约热内卢的圣约瑟夫神学院哲学系，1964 年，迪亚斯从米纳斯吉拉斯联邦大学法学院毕业，由于对新闻的兴趣远远超过了法学，迪亚斯紧接着又开启了他人生中第三阶段的学位摸索。1966 年，他进入法国巴黎大学的新闻学院攻读新闻专业，目的是为了获得专业改进，便于日后回到巴西投身于新闻领域。

1969 年,迪亚斯在法国毕业后回到巴西,一门心思想在巴西的新闻行业大展拳脚的他，却自回国之初就不断收到与通信交流相关的讲座、会议和研讨会邀请。同年,因盛情难却，迪亚斯被巴西利亚大学通信学院的教授和学生们邀请讲授一门 30 个课时的通信课程。这门课的课堂参与率非常之高，学生们热情高涨、反响极佳。随后，迪亚斯于1970年3月接受了时任巴西利亚大学校长的聘任邀请成为该校教师。于是，迪亚斯渐渐从新闻记者这个行业领域跨入到其教师学术生涯。

令人惊奇的是，马可·安东尼奥·罗德里格斯·迪亚斯的人生轨迹几乎以每十年为一个维度。在二十世纪 60 年代,迪亚斯主要投身于日常新闻实践中；在二十世纪 70 年代,迪亚斯全心投身于学术领域——十年致力于巴西利亚大学的任教与任职；在二十世纪 80-90 年代，迪亚斯投身于联合国教科文组织，担任联合国教科文组织高教处处长近二十年，致力于全球高等教育政策领域，取得卓越政绩；在二十一世纪初，迪亚斯进入联合国大学，于 2000 年成为校长私人顾问，担任联合国大学校长特别顾问近十年，并在 2005 年成为联合国大学终身顾问。

迪亚斯如今已年有八十，其一生可谓成就非凡、政绩斐然。1993 年，迪亚斯被巴西政府授予“卓越教育骑士”荣誉称号，1999 年 11 月 26 日,他被法国政府授予“荣誉骑士勋章”，2003 年,他获得了米纳斯吉拉斯联邦大学为表彰给社会做出杰出贡献的优秀校友而设的荣誉勋章。2005 年,迪亚斯被阿根廷的布宜诺斯艾利斯大学授予荣誉博士头衔。2017 年 11 月，迪亚斯被阿根廷的科尔多瓦国立大学授予荣誉博士学位。此外，迪亚斯还获得诸多高校所授予的荣誉博士学位，如巴西的帕拉联邦大学

和托格罗索联邦大学、捷克的布尔诺大学、阿根廷的东北大学和萨尔塔大学、以色列的亚马逊大学、玻利维亚的加布里埃尔·勒内自治大学等等。

迪亚斯所担任的社会职务还有如：20 世纪 70 年代,迪亚斯成为巴西教育技术协会董事会成员，接着又成为该组织所创办的《教育技术杂志》的编辑委员会委员；1977-1983 年，迪亚斯担任位于伦敦的国际通信学院的董事会成员之一，同时也是位于加拿大魁北克的一家国际网络远程高等教育机构 CAERENAD 的董事会成员之一；迪亚斯还是欧洲好几个法学博士考核评定会的成员之一,是巴西多所高校教授评定委员会成员之一；同时他还是一些国家有关教育、通信和政治科学的专业出版物的编辑委员会成员之一。

作为一名学者，迪亚斯拥有诸多头衔：博士，巴西利亚大学教授，巴西利亚大学通信学院院长，巴西利亚大学副校长，联合国教科文组织（巴黎）前高教处处长，联合国大学终身顾问，高等教育领域的国际顾问等，从事通信、教育和政治学研究，主要从事国际高等教育政策研究。

二、迪亚斯高等教育实践的主要内容

迪亚斯表示：“不论是在新闻界、大学，还是在联合国教科文组织，我总是习惯性的保持批判意识，在理论指导下，依据客观事实, 致力于寻求能改善机构和社会的行动纲领”。[①] 迪亚斯一直秉持着这种精神，先是机缘巧合地从记者职业生涯转换到教师生涯, 紧接着又从教师身份转换成高等教育专家。新闻实践经历、学术经历和咨询顾问等经历最终汇集成了在国际高等教育领域取得杰出成就的迪亚斯教授。

（一）新闻记者生涯

在 20 世纪六十年代初，迪亚斯参与学生天主教运动、加入学生会的经历对其在看待社会问题的态度方面有着巨大影响。出自对新闻的巨大兴趣，迪亚斯穿上了贝洛奥里藏特(1960) “0 日报”和米纳斯吉拉斯（1961-1962）“天涯赫拉”所属记者的工作制服。这些成功的经验使他后来成为“米纳斯媒体”（1962-1963）和“米纳斯日报”（1964）的政策编辑，与此同时迪亚斯还与里约热内卢的“巴西日报”联系紧密。除了是多个小型报刊的编辑以外，年轻的迪亚斯还在 1965-1966 年担任了圣保罗

[①] Marco Antonio Rodrigues Dias. Utopian realism in the reform of higher education [J]. Towards a New Higher Education,1997,28(3):53-67.

“天涯赫拉”的总编辑。

二十世纪六十年代初，迪亚斯就这样在米纳斯吉拉斯开始了他的新闻生涯。而1968 年无疑是极具深刻意义的一年，当著名的“五月风暴”爆发时，迪亚斯正在巴黎完成其在法国新闻学院和巴黎大学信息科学研究所的论文——《巴西媒体的社会控制》。在此之前，作为一名初出茅庐的年轻记者，迪亚斯就深知学生运动的事实与真相,且与当时处于独裁政权的中心地带——贝洛奥里藏特和米纳斯吉拉斯的新闻编辑室有着紧密联系,作为一名学生和记者,迪亚斯一直对大学有关的问题极度感兴趣,并且一直活跃在学生运动群体当中。也因此，迪亚斯亲身体会并了解了各种社会活动如罢工、游行及大学自治、扩张与社会之间的联系。1968 年巴黎“五月风暴”的切身经历以及对整个二十世纪六十年代的亲身感知鼓舞着迪亚斯想要为这些年写点什么的决心，于是《事实和事实的各种版本—— 一个 1960s 的记者》（最终于 1994 年出版）应运而生。正是迪亚斯倾心投身于新闻实践的十年，培养了其独特的批判精神，为日后其在高等教育领域的实践打下了坚实基础。

（二）巴西利亚大学任教及任职生涯

1969 年，迪亚斯完成在法国新闻专业的学习，一心想要投身于巴西新闻事业的他，刚回国就不断收到有关通信交流方面的讲座、会议和研讨会邀请。同年,迪亚斯应巴西利亚大学通信学院的教授和学生们的邀请讲授了一门 30 个课时的课程。课堂参与率之高、学生们热情之空前高涨都是对这门课程最大的肯定。也正因为当时应邀讲授这门课程，后来迪亚斯才机缘巧合的于 1970 年 3 月接受了时任巴西利亚大学校长的聘任邀请，成为该校教师。就这样，迪亚斯渐渐从新闻领域跨入其学术生涯。

在巴西利亚大学通信学院的任教为迪亚斯提供了多样化机会,让他得以深化和拓展自己的所得知识并将其运用到实际当中,最终强有力的帮助巴西利亚大学巩固和强化了通信课程。作为一位任课教授，他曾经教授的学科有《无线电生产和广播》、《通信科学》、《比较新闻学》、《沟通策略》，以及给硕士生讲授的《通信当中的特殊问题》等。

迪亚斯加入巴西利亚大学三天后,学校通信学院领头人的职权再一次机缘巧合的落在他手中。一经当选，迪亚斯没有浪费丝毫时间，立即采取了行动。他忙于重组课程，并且在教学过程中广推既能强调课程本身价值又能促进学生交流的教学活动。当

时在迪亚斯提出的众多想法中，“跨学科” 无疑是至今仍深受欢迎的一个。在现在比如“教育通信”、“教育通信员”等术语广为流行前，因为迪亚斯的号召和领导，有关结合教育与通信的项目早在当时就已发启了。

迪亚斯本人回忆，其“跨学科”的想法，在巴西利亚大学通信学院与巴西利亚大学电气工程学院开始有联系时变得更为强烈。[①] 当时，迪亚斯和他的团队认为社会通信的发展至少必备有掌握技术的潜力。凭借独特的眼界、过人的胆识以及勇于创新和敢为人先的品质，迪亚斯率领其团队提出了不少在当时看似“古怪另类”的想法，如与公司建立实习协议、联系大使馆以促进文化交流、提升教师能力等等。[②]同时，作为一名教师，迪亚斯参加了巴西国内外的各种课程研发代表大会和研讨会。也正因如此，他加入了各种组织实体和协会，其中包括汇集了政府通信机构和大学研究人员的伦敦国际通信研究所。

据迪亚斯回忆，“有两位芬兰教师曾为教科文组织发起过一个研究，研究表明：谁控制了通信谁就拥有了强大的力量。我认真学习了这个研究，并且我个人对该研究结果非常认同，因为这恰好也是我在《巴西媒体的社会控制》一文的结论之一。”[③]

这便是迪亚斯之所以下定决心要在巴西利亚大学帮助巩固通信课程的主要原因。1976 年，联合国教科文组织出版了一本由三位来自世界不同区域的作者共同编写的有关通信的书，马可·安东尼奥·罗德里格斯·迪亚斯就是作者之一。当时，迪亚斯应邀参加了美国、加拿大、伊朗、以色列和厄瓜多尔的会议，还参与了联合国教科文组织同期在华盛顿举行的有关研究通信发展的国际项目开发会议。迪亚斯的所有这些实践均成为巴西利亚大学通信学院取得质的发展和成就的主要力量。

1972 年，迪亚斯被任命为巴西利亚大学分院院长，由于其对通信课程的卓越贡献，通信学院授予了其硕士学位。担任院长之后的迪亚斯行程异常忙碌，但即便如此他也未曾舍弃作为一名教师的职责，在担任巴西利亚大学分院院长后还继续兼任着教学工作。在整个二十世纪 70 年代，迪亚斯频繁出现在一系列大学活动中，其中不乏通信课程与交流的职业盛会，他还担任了巴西首次实施的国际关系课程开发协会会长

[①] 摘自 2017 年 10 月 24 日迪亚斯的邮件内容.
[②] 摘自 2017 年 10 月 24 日迪亚斯的邮件内容.
[③] Marco Antonio Rodrigues Dias. Utopian realism in the reform of higher education [J]. Towards a New Higher Education,1997,28(3):53-67.

一职。[①]

在 1976 年至 1980 年，马可·安东尼奥·罗德里格斯·迪亚斯教授担任巴西利亚大学副校长一职。迪亚斯曾坦言，“在我担任巴西利亚大学副校长一职的那段时期，恰好是巴西的一段黑色历史，也是我生命中最困难的时期。”[②] 因为在巴西历史上的那段时期，全国上下均被笼罩在浓重的军事独裁的阴霾之下，许多巴西利亚大学的教授因为政治迫害，被遣散或是不得不寻求自我放逐。在黑暗无比、压抑得令人无法喘息的时期，迪亚斯临危受命，为守护巴西利亚大学竭尽所能，其不畏艰难的勇气和克服困难的决心着实让人敬佩。迪亚斯指出，巴西利亚大学副校长的任职经历，让其深刻了解到在专制独裁的控制之下想要实现人文主义目标的不易。[③]

迪亚斯在巴西利亚大学工作期间，曾是一名任课教授(1970 年 3 月-1981 年 9 月)，一位通信学院领头人(1970-1972 年)，一位学校分院院长(1972-1976 年)和巴西利亚大学副校长(1976-1980 年)。此间十一年，最值得一提的是，迪亚斯在巴西利亚大学开展了“跨学科”的课程建设和改革，大力建设了国际通信课程，为巴西利亚大学通信学院做出了不可磨灭的杰出贡献。

（三）联合国教科文组织任职生涯

迪亚斯在法国的经历—尤其在二十世纪 60 年代末的巴黎，迪亚斯有关“1968 年 5 月风暴”事件的亲身经历以及他在国内外各种会议及事件的参与，似乎都预示着其国际事业的职业召唤。这位求真务实的记者，这位一贯坚持要基于具体事实仔细观察、认真考虑的思想家[④]，这位高度政治化、潜心学术和教学的授课教授，在 20 世纪八十年代开启了他人生中最为华丽的篇章。

作为一位来自发展中国家，且与世界重大决策中心相距甚远的“外围人员”[⑤]，尽管面临着重重阻力，但凭借其杰出能力，在同样来自发展中国家的联合国教科文组织时任总干事阿马杜-马赫塔尔·姆博的大力支持下，迪亚斯于 1981 年 10 月被成功任命为联合国教科文组织的高教处处长，尔后于 1999 年 2 月光荣退休，将近二十年里，迪亚斯致力于全球高等教育政策领域，为全球高等教育政策构想做出了杰出贡献。

[①] 摘自 2017 年 10 月 25 日迪亚斯的邮件内容.
[②] Marco Antonio Rodrigues Dias. Utopian realism in the reform of higher education [J]. Towards a New Higher Education,1997,28(3):53-67.
[③] 摘自 2017 年 10 月 24 日迪亚斯的邮件内容.
[④] 摘自 2017 年 8 月 6 日迪亚斯的邮件内容.
[⑤] 摘自 2017 年 10 月 25 日迪亚斯的邮件内容.

联合国教科文组织高等教育部门由几个部分构成，具体有高等教育、教师培训、研究和教育创新等。作为高教处处长，迪亚斯有机会更好地了解和理解全世界的大学系统。他监督指导了在拉丁美洲和加勒比地区召开的高等教育区域性会议、在委内瑞拉的首都加拉加斯召开的 CRESALC 会议、和在罗马尼亚的首都布加勒斯特欧洲政策研究中心召开的欧洲高等教育中心会议等。同时，迪亚斯是联合国教科文组织在达喀尔、内加尔（非洲）、曼谷、泰国(亚太)、贝鲁特、黎巴嫩(阿拉伯国家)等区域办事处举办高等教育活动的总指挥和协调者。

从 1983 年到 1998 年，迪亚斯作为联合国教科文组织的代表参任联合国大学理事会(总部设在东京)，在二十世纪八十年代，迪亚斯代表联合国教科文组织成为多所大学董事会的一员，比如他参任多年哥斯达黎加大学的和平委员会，并在 1983-1989 期间参任巴黎十三大理事会及巴黎七大董事会等。

1988 年对于迪亚斯而言注定是不平凡的一年，因为正是在这一年的 10 月 5-9 日，迪亚斯作为由联合国教科文组织发起的世界高等教育大会的主要组织者和协调人，策划组织并确保了首届世界高等教育大会的圆满召开。1998 年 10 月在巴黎举行的这场盛会汇集了来自一百八十多个国家的四千多名参与者，其中有数以百计的非政府组织和一百二十五位部长带领的官方代表团。且由迪亚斯起草的《高等教育变革与发展的优先行动框架》和《面向二十一世纪高等教育宣言：观念与行动》两份大会公告作为纲领性文件，在这次盛会上通过并在全球范围内颁布实施。1998 年首届世界高等教育大会取得了丰硕成果，对全球高等教育的发展产生了极其深刻的影响，首届世界高等教育大会的规模之大不管是在联合国教科文组织历史上，还是在世界高等教育界历史上都堪称空前。

阿马杜-马赫塔尔·姆博任命迪亚斯担任联合国教科文组织高教处处长(1981-1999)的决定以及其来自西班牙的继任者费德里科·马约尔，这位认为高等教育是联合国教科文组织优先考虑项目的总干事的大力支持，使迪亚斯有幸能引导一支联合国教科文组织专家团队在其任职期间在全球高等教育领域采取了一系列实践措施并最终取得卓越成就，比如协调准备并负责联合国教科文组织姊妹大学项目 / 教席计划(该项目早在 1999 年就已拥有四百多个教席和校际合作网络，其 25 周年纪念大

会在 2017 年 10 月 31 日于巴黎举办[①])的创建和实施;比如负责 1998 年首届世界高等教育大会的筹划与召开;比如精心准备各种草案和标准条例,撰写重要会议公告与宣言包括《高等教育变革与发展的政策文件》和《面向二十一世纪高等教育宣言:观念与行动》等;比如提出抵抗各种“狂风暴雨”的“要坚定将高等教育视为社会公共产品”的想法等等。据迪亚斯本人总结道,“正是联合国教科文组织的工作经历,教会了我团结一致和宽容忍耐的重要性。”[②]

(四)联合国大学任职生涯

1999 年 2 月退任联合国教科文组织高教处处长的迪亚斯并未就此停下脚步,二十一世纪初,他开始进入联合国所属智囊机构——联合国大学工作。从 2000 年开始,迪亚斯担任联合国大学校长特别顾问,并在 2005 年成为联合国大学终身顾问,2006 年 1 月到 2009 年 6 月期间,迪亚斯成为联合国大学在联合国教科文组织的代表,并且担任联合国大学巴黎办事处的主要负责人。

在 2000 年至 2009 年在联合国大学工作的近乎十年里,除了担任联合国大学校长私人顾问、联合国大学驻联合国教科文组织代表、联合国大学巴黎办事处主要负责人等职务,迪亚斯还负责组织了大学网络与引进教育的大学项目,为巴塞罗那的理工大学、联合国教科文组织总部、联合国大学论坛的后续会议等提供了咨询服务。同时,迪亚斯还协调筹备了一个以四年为基本周期的教师培训项目,并在拉斯帕耳马斯大学发起了校际合作项目“Ancheta Program”(拉丁美洲的教师培训),将虚拟教学与课堂教学结合在了一起。[③] 同时,迪亚斯还踊跃参与了世界各地与高等教育相关的讲座、代表大会、研讨会等,活跃在世界高等教育领域并密切关注着首届世界高等教育大会的各种后续事宜。

(五)荣休生涯

2009 年,迪亚斯从联合国大学光荣退休,虽已到古稀之年仍然奉行“在有生之年为全球高等教育事业竭尽所能”[④]的人生信条,迪亚斯更加活跃的在世界各国、各区域参加高等教育相关会议,举办讲座、开展合作项目等。

[①] 摘自 2017 年 11 月 15 日迪亚斯的邮件内容.
[②] 摘自 2017 年 10 月 9 日迪亚斯的邮件内容.
[③] 摘自 2017 年 10 月 18 日迪亚斯的邮件内容.
[④] 摘自 2017 年 11 月 9 日迪亚斯的邮件内容.

所到之处包括：阿根廷的布宜诺斯艾利斯、卢坎、拉普拉塔、萨尔塔、马德普拉塔、巴拉那河恩、圣达菲、科连特斯、胡宁等；玻利维亚的圣克鲁斯、科恰班巴、拉巴斯等；巴西的圣保罗、里约热内卢、坎皮纳斯、圣卡洛斯、贝洛奥里藏特、巴西利亚、贝伦、萨尔瓦多、玛瑙斯、朗多尼亚、哥亚尼亚、库里提巴、福塔雷萨、弗洛等；智利的圣地亚哥、塔尔卡等；中国的杭州、上海、澳门、苏州等；哥伦比亚的波哥达、巴兰基亚等；古巴的哈瓦那；西班牙的梅里达、萨拉曼卡、卡塞雷斯、科尔多瓦、毕尔巴鄂、拉斯帕尔马斯、马德里、格拉纳达、巴塞罗那,希洪、塞维利亚等；美国的辛辛那提和在亚利桑那州的图森等；芬兰的坦佩雷、赫尔辛基、哈帕雷纳等；法国的巴黎、斯特拉斯堡、凡尔赛宫、普瓦捷、第戎等；意大利的罗马和巴里等；肯尼亚的内罗毕；墨西哥的瓜达拉哈拉、蒙特雷、特拉斯卡拉、南下加利福尼亚州的拉巴斯、提华纳、墨西哥城等；秘鲁的利马；波多黎各的圣胡安；乌拉圭的蒙得维的亚；委内瑞拉的加拉加斯；毛里求斯的圣路易斯港口等等。[①]

迪亚斯所访问的世界各地高校之多不胜枚举，总之，在其荣休生涯，迪亚斯的高等教育实践主要体现在参与世界各地的高等教育相关讲座、代表大会、研讨会等。

[①] 摘自 2017 年 11 月 9 日迪亚斯的邮件内容.

第二章　迪亚斯高等教育思想的主要内容

马克·安东尼奥·罗德里格斯·迪亚斯不仅是一位有着丰富经验的世界高等教育实践家，还是一位在国际上闻名遐迩的高等教育思想大家。虽主攻国际高等教育政策领域，但因迪亚斯研究涉猎广泛，迄今为止，从诸多迪亚斯发表的论文、演讲、报告及负责起草的会议宣言中，可了解到其极具深度和前瞻性的高等教育理念和思想。

一、坚持认为高等教育是公共产品

在诸多演讲致辞和论文专著中，马克·安东尼奥·罗德里格斯·迪亚斯教授反复强调“高等教育是公共产品”这一观点，坚持认为高等教育应被视作社会公共产品，并呼吁全球高等教育界践行此理念，以共同助力此“乌托邦理想成真”。

（一）“公共产品”的三大基本原则

迪亚斯指出，“高等教育是公共产品”这一理念中的“公共产品”，意味着高等教育应基于三大基本原则，即平等性、持续和连续性、适应性和可调整性。[①]

1. 平等性原则

高等教育的平等性原则，意味着所有人都有权接受高等教育，接受高等教育的机会应该取决于申请者的能力、努力、品德和决心等，不能有任何歧视。[②]迪亚斯在“废除 1993 年有关承认高等教育研究和文凭的建议”文件中曾指出，“教育,尤其是高等教育应被视为人权之一。知识是普遍的，知识和学习必须是每个人都能获取的，在确保文化和高等教育体系多样性的基础上，必须保障人人平等享有接受高等教育的权利。”[③]

在迪亚斯负责起草的《21 世纪的高等教育：展望与行动》纲领性文件中，对“平等接受高等教育”进行了较为详细的阐述，该文件明确指出如下四点：第一、能否被高等院校录取，不应取决于其种族、性别、语言和宗教，也不应考虑其经济、文化、社会地位或是否身体残疾等，而应该对任何想接受高等教育的个体的能力、成绩和努力程度等加以考察，而且一个人一生中在任何时候都能被录取；第二、应将高等教育

[①] 摘自 2016 年 12 月 7 日迪亚斯的邮件内容.
[②] 摘自 2016 年 12 月 7 日迪亚斯的邮件内容.
[③] UNU. The abandonment of the 1993 Recommendation on recognition of studies and diplomas of higher education[EB/OL]. [2018-03-15]. http://www.mardias.net/site2010/?page_id=316.

视为从幼儿教育和初等教育开始并持续终身的整个教育系统的一部分，尽可能为中学毕业生或各年龄阶段具有相同学历的人或具有上学资格的人提供受高等教育的各种机会，加强并在必要时调整高等教育与各级教育特别是与中等教育之间的紧密联系；第三、优先考虑根据成绩录取的方法；第四、积极为一些想接受高等教育的特殊群体成员提供便利，因为这些群体无论是作为整体还是个人，都拥有可能为社会及国家带来不可估量的价值的经验及才干。[①]

关于促进高等教育机会平等的途径和方式，迪亚斯提出：应使高等教育的模式、招生标准和考核方式多样化，以适应对高等教育需求的爆炸式增长；倡导使用多种不同的授课方式，呼吁从终身教育的角度去扩大人们接受高等教育的机会，为人们可以随时进出相关机构接受高等教育提供便利；确保高等教育体制多样化特征的持续发展，因为公立、私立和非营利性学校的共存能提供更多更丰富的教育和培训机会以及多样化的受教育形式，如传统学位课、远程教学、短训班、非全日制学习等。

谈到高等教育的平等性问题，自然少不了对女性受教育问题的关注，而关于此，1998 年全球首次世界高等教育大会通过的、由迪亚斯负责起草的纲领性文件——《21 世纪的高等教育：展望与行动》明确指出，“在实现让妇女完全享有受高等教育权从而可以自由享受大学生活这一点上依然是困难重重，因此如何竭尽所能消除来自政治、文化、经济和社会等方面的障碍是当务之急；高等教育中关乎性别的陈词滥调要消除或尽可能减少，同时非常有必要在不同学科中考虑性别因素并有意提高女性占比；应该把妇女受高等教育问题视作是社会变革以及高等教育发展和改革的重要体现之一；要大力号召妇女踊跃参与和高等教育以及社会相关的各种决策。”[②]

2009 年 7 月 5-8 日，联合国教科文组织在巴黎举办了第二届世界高等教育大会，与 1998 年首届世界高等教育大会相同的是，这次盛会同样对女性高等教育问题给予了非常大的关注，大会公报指出“大力提升女性在各级教育的入学机会这一点依然非常值得强调，不仅要鼓励其积极参与，更要采取相关措施给予她们一定帮助使其更为顺利的取得成功。”[③] 这是继迪亚斯负责主办的首届世界高等教育大会十年之后，再

[①] 赵中建.21 世纪世界高等教育的展望及其行动框架—98 世界高等教育大会概述[J].上海高教研究，1998(12):1-8.

[②] 赵中建.21 世纪世界高等教育的展望及其行动框架—98 世界高等教育大会概述[J].上海高教研究，1998(12):1-8.

[③] 赵叶珠.全球化背景下高等教育发展之新动力—《2009 年世界高等教育大会公报》述评[J].江苏高教，2010(02):26-28.

次以高等教育大会公报形式对女性高等教育问题加以阐述，在某种程度上表明了迪亚斯当时针对高等教育平等性原则所提出的提升妇女受高等教育机会这一思想的前瞻性。

2004 年，在杭州举办的有关“高等教育质量保证和研究型大学之间的互认资格”的学术论坛上，迪亚斯再次强调了高等教育的平等性原则，他指出，“必须明确高等教育是公共产品的观点，既然是公共服务，那么就必须在平等的基础上实施。好比是水资源的供应，不管哪个组织提供服务，每个人都必须有权饮用水。”[①] 在迪亚斯看来，“平等是所有优点的基础——因此必须确保公民获得享受公共服务的权利，并且不受任何歧视。”[②]

2. 持续与永久性原则

除了对所有合格的人平等开放、不得有任何歧视这一点，迪亚斯指出公共服务还必须是连续且永久的。有限或有偏颇的服务是绝对不可接受的。[③]在为社会提供的各种学术性服务中，迪亚斯曾在相关论文中指出，“高等教育作为公共产品，必须永久性地满足公民的需求，不得因任何自身原因而随意终断服务的提供。”[④]

3. 适应性与可调整性

适应性的概念，意味着无论是技术活动还是社会活动，公共服务都必须要踊跃参与公共利益的各种变化及活动。适应性与可调整性要求高等教育必须不断适应新形势、新局面以保证教育目的的实现。[⑤]

为跟上日新月日的时代变化节奏，迪亚斯认为，“高等教育机构不能纯粹只是给人们提供能适眼前需求的技能培训，否则只会造成学位很快会遭受淘汰的局面。换言之，高等教育机构必须要做到可预见继续教育项目，而从学生角度来说，除了应该学习如何共同生活，还应学会如何学习、学会如何成为、学会如何主动采取行动等。国家和高等教育机构的决策者应将学生以及学生的需要放在核心位置，并将其视为进行高等教育革新的重要伙伴，高等教育机构应该扮演一个瞭望塔的角色，认真观察和分

[①] Professor Marco Antonio R. Dias. Philosophical and Political Basis for Ensuring Quality in Higher Education[EB/OL]. [2018-03-15]. http://www.mardias.net/site2010/?page_id=310.
[②] 摘自 2016 年 10 月 20 日迪亚斯的邮件内容.
[③] 摘自 2016 年 10 月 20 日迪亚斯的邮件内容.
[④] Professor Marco Antonio R. Dias. Philosophical and Political Basis for Ensuring Quality in Higher Education[EB/OL]. [2018-03-15]. http://www.mardias.net/site2010/?page_id=310.
[⑤] 摘自 2016 年 10 月 20 日迪亚斯的邮件内容.

析社会的变化与需求，然后迅速及时地作出相应调整。”[①]

2006 年 11 月 27-29 日，在由全球大学创新网络组织的第三次巴塞罗那高等教育大会上，迪亚斯再次强调，“随着社会的发展和时代的变迁，高等教育作为一种公共服务可以、也必须得到及时更新，只有这样，才能使另外两大基本原则得到保障。”[②]

（二）“公共产品”VS“商品”

迪亚斯坚持认为高等教育是一种“公共产品”，而非“商品”。他指出，为服务公共利益而存在的高等教育的特殊使命应定义为致力于改善公民生活质量的社会公共产品，若是转化为一种普通商品或成为受制于国际贸易市场的投机买卖，那么其特定使命是无论如何也完成不了的。[③]

2017 年 11 月 8 日，在国际上享有颇高声誉的阿根廷最古老的大学——科尔多瓦大学为迪亚斯授予荣誉博士学位的演讲致辞中，他提到“如果我们展望未来，高等教育应被视作一种公共产品这一观点的巨大威胁毫无疑问是传统化或商业化，是向市场提供定义教育方向和形式的权力。但我个人坚持认为高等教育必须是一种公共产品，不能被当作是一种商品来对待。并且我坚信，大学只有与社会——其环境、其地区、及其世界相联系才能被合法化。必须确保大学不能仅对精英开放或存在排外性，大学必须具有包容性。”[④]

2002 年 10 月 17-18 日，在巴黎由联合国教科文组织召开的“平行专题研讨会——公立 vs 私立高等教育：公共利益，股权，入学权——第一个高等教育国际质量确保、认证和资格认可的高等教育全球化与高等教育的全球论坛”上，针对高等教育面临商业化挑战的严峻现状，迪亚斯提出：“一些高等教育公共机构的行为方式非常奇怪。在国内，它们被视为公共机构；但是在国外,他们却成为以谋利为唯一兴趣的商业机构。我们并不是在讨论从大学到政府和商业公司的大学研究成果或某些服务的商业化。在特定情况下，这可能成为是高等教育机构融资多样化的手段。但是，大学不应该忘记其社会使命，教授也不应该成为一种特权商人，高等教育不能成为一种因为

[①] Professor Marco Antonio Rodrigues Dias. Comments to the European Commission Draft Document on Modernization agenda for higher education[EB/OL]. [2018-03-15]. http://www.mardias.net/site2010/?page_id=344.

[②] Hans J. A. van Ginkel, Marco Antonio Rodrigues Dias. Institutional and Political Challenges of Accreditation at the International Level[EB/OL]. [2018-03-15]. http://www.mardias.net/site2010/?page_id=1751.

[③] 摘自 2016 年 10 月 23 日迪亚斯的邮件内容.

[④] 摘自 2016 年 10 月 23 日迪亚斯的邮件内容.

利益而随意倒买倒卖的商业化产品。”[①]

“教育必须被首当其冲的理解为一种不影响个人利益的公共产品，而不能视作个人专用的商品” 。[②]在迪亚斯看来，“高等教育是一种公共产品”面临经济全球化的商业化挑战而渐渐滋生的“高等教育是一种商业产品”的观点是绝对无法被接受的，虽然在高等教育投资巨大的当代社会，商业化在相当程度上有利于推进高等教育的发展，但迪亚斯反复强调，教育的目的不是成为商业化的盈利机器，高等教育承载着发扬、推动人类文明的重任，因此世界各国要把高等教育作为公共产品对待的紧迫性是毋庸置疑的。[③]因为在迪亚斯看来，“有且只有当高等教育被视为基于平等性、持续性和永久性、适应性和可调整性等三大基本原则之上的公共产品时，人们才不会忘记高等教育必须服务于可持续发展、必须帮助建设一个更加美好的社会，或者说帮助建立一个世界上所有国家都值得拥有的更公平的全球化社会”的真切使命。[④]

（三）“公共产品”VS“全球性公共产品”

2005 年，迪亚斯在“大学的社会承诺：尝试对抗商业化”的主题演讲中，曾对“高等教育是一种公共产品”与“高等教育是一种全球性公共产品”两种观点进行了对比分析，并最终选择更为坚定的恪守“高等教育是公共产品”这一理念。

迪亚斯指出，“高等教育是全球性公共产品”这个定义，最初是在世界贸易组织旨在将文化和教育转化为简单的商品而举行的相关提案辩论上被提出来的。[⑤]参加2003 年 6 月巴黎会议的拉美与会者们，通过审查 1998 年首届世界高等教育大会所采用的原则和方针后，他们指出“公共产品和全球性公共产品完全不是同一回事。公共产品可以代表有着深刻的社会根源、需要自主和独立的一种广义上的恢复运动；而全球性公共产品，用世界贸易组织（WTO）的术语来说，它可能意味着回归到文化统一或者打着自由主义旗帜的新殖民主义时期。”[⑥]

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① Prof. Marco Antonio R. Dias. Public and Private Higher Education: Public Good, Accreditation and International Normative Instruments on Recognition of Studies[EB/OL]. [2018-03-15]. http://www.mardias.net/site2010/?page_id=308.

② Marco Antonio Rodrigues Dias. Social commitment of the universities against the commercialization attempts[EB/OL]. [2018-03-15]. http://www.mardias.net/site2010/?page_id=1719.

③ 摘自 2016 年 10 月 23 日迪亚斯的邮件内容.

④ Prof. Marco Antonio R. Dias. Public and Private Higher Education: Public Good, Accreditation and International Normative Instruments on Recognition of Studies[EB/OL]. [2018-03-15]. http://www.mardias.net/site2010/?page_id=308.

⑤ 摘自 2016 年 10 月 23 日迪亚斯的邮件内容.

⑥ Marco Antonio Rodrigues Dias. Social commitment of the universities against the commercialization

迪亚斯指出，“若按照世界银行（the World Bank）的观点——高等教育是全球性产品，就表明高等教育不在国家的控制范围内，如此便意味着高等教育针对性的属性——国家所期待的与高等教育所能实现的相关性不复存在。根据这一概念，唯一重要的属性便只剩下高等教育的质量(而且是与针对性毫无关系的质量)，而且还在全球市场所运行的认证机制内无法得到保证。”[①] 换言之，从“高等教育是全球性公共产品”这一观点可得出的结论就是：大学的社会承诺被全然遗忘，遵循加强新殖民主义自然趋势的认证系统已被安装。

在迪亚斯看来，“全球性产品”的定义可能看似平淡无奇，但实际上影响严重，好比人们在没意识到“食物”到底是什么之前就将其整个吞咽了下去，导致造成食物中毒、消化不良等诸多负面影响。[②] 迪亚斯指出，“从本质上讲，全球性公共产品暗指来自不同社会环境的跨国供应商所提供的教育产品。根据首届世界高等教育大会宣言的原则，高等教育一旦成为这种教育产品，那么其针对性的属性就变得缺少内容或者说是完全不复存在。高等教育理应被认为是与每个具体的社会紧密相连的社会产品，在这个社会里，利益和追求都由政府通过国家建立的民主框架加以传达。而‘全球性公共产品’的定义方式只会使高等教育的针对性属性完全丧失意义。”[③] 基于对亚太经合组织成员国的经验分析，迪亚斯指出，“所有认同教育是一种权利的人是不可能认同‘全球性公共产品’这个定义的。”[④]

迪亚斯强调，“高等教育必须致力于寻找解决社会重大问题的方法；必须是广义上教育系统的一部分；必须对整个教育系统的良好运转负责；必须拥有一个明确且清晰的决心去协助创建一个更为公正的社会等使命，因此有必要捍卫高等教育作为公共产品、公共服务和公共职能的理念。坚定高等教育被视为公共产品的观点且国家执行该理念应被认为是不可或缺的。因为，只有高等教育被视为公共产品，那么以后人们才会看到，根据法律法规，政府拥有主权授予高等教育机构权力，使其拥有运行与高等教育相关事务的功能。”[⑤]

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attempts[EB/OL]. [2018-03-15]. http://www.mardias.net/site2010/?page_id=1719.

[①] 摘自 2016 年 10 月 25 日迪亚斯的邮件内容.

[②] 摘自 2016 年 10 月 25 日迪亚斯的邮件内容.

[③] Marco Antonio R. Dias. Philosophical and Political Basis for Ensuring Quality in Higher Education[EB/OL]. [2018-03-15]. http://www.mardias.net/site2010/?page_id=310.

[④] 摘自 2016 年 10 月 25 日迪亚斯的邮件内容.

[⑤] Marco Antonio Rodrigues Dias. Social commitment of the universities against the commercialization attempts[EB/OL]. [2018-03-15]. http://www.mardias.net/site2010/?page_id=1719.

（四）高等教育作为“公共产品”的几大基本责任

在恪守高等教育是一种公共产品的大前提下，迪亚斯基于对过去到现在高等教育机构的发展趋势分析，指出高等教育的基本责任仍然与 1998 年首届世界高等教育大会中提出的高等教育的四个主要目标和功能紧密相连，即进行知识的更新（科研功能）；培养高质量人才（教育功能）；提供社会服务（服务功能）；进行社会批评（道德功能）等.[①] 而迪亚斯主要从对其他教育阶段、对社会和对人力资源的培养等三个方面对高等教育的责任加以阐释。

1.高等教育对其他各级教育的责任

1996 年 11 月 7-9 日，迪亚斯在巴勒斯坦（纳布卢斯）举办的关于“高等教育在独立国家巴勒斯坦的角色”的国际会议上发表演讲致辞，他提到，“联合国教科文组织的经验表明，如果没有一个好的高等教育系统，任何国家、任何人都无法得到真正的独立。”[②]

在迪亚斯看来，教育系统是一个不可分割的整体，所有国家都需要基础教育，但也不能忽略中等和高等教育。删除大学的资源意味着真正的独立在许多国家进入了死胡同。没有好的高等教育系统不可能加强基础教育和中等教育，因为中小学教师需要经过培训，而承担培训职责的主要是高等教育机构，而且在许多国家，高等教育机构是唯一能对政策制定者做出有效决策提供至关重要的教育研究的地方。[③]

因此，为了创造一个更好更公平的社会，迪亚斯认为高等教育不能被孤立，也不能以孤立的方式对高等教育进行分析。任何恰当的教育政策都必须对整个教育系统加以考虑。因为高等教育的质量取决于其他教育阶段的质量，换言之，若中等教育的质量糟糕势必会导致高等教育质量下降，而反过来若高等教育糟糕，基础教育又会受到严重影响。尤其对于发展中国家而言，如果没有良好的高等教育体系，将无法突破提高生活质量的壁垒，并将永远难以完全获得独立。[④]

迪亚斯认为，教育系统是一个不同阶段相互依赖的有机整体，高等教育作为系统

[①] Marco Antonio Rodrigues Dias. Higher education: Vision and Action for the Coming century[J]. Prospects: Quarterly Review of Comparative Education,1998,28(3):367-375.

[②] Marco Antonio R. Dias. The role of higher education in Palestine[EB/OL]. [2018-03-15]. *http://www.mardias.net/site2010/?page_id=364.*

[③] Marco Antonio Rodrigues Dias. Trends and challenges in higher education: a global approach[EB/OL]. [2018-03-15]. http://www.mardias.net/site2010/?page_id=292.

[④] Marco Antonio Rodrigues Dias. Interuniversity linkages for improving quality[EB/OL]. [2018-03-15]. http://www.mardias.net/site2010/?page_id=314.

中的一部分，既要负责为中小学培养师资提供教师培训，同时又依赖于前面各级教育工作所取得的成果。高等教育对其他各个阶层的教育所承担的责任，主要是通过进行教育研究、改进师资培训、制定和研发课程等工作而对整个教育体制的发展和改革做出贡献。[①]

2．高等教育的社会责任

迪亚斯提出，“为了捍卫文化多元性以及对人权的尊重，高等教育必须不断努力、持续进步帮助解决社会迫切问题，特别是攸关和平建设、可持续发展等方面的问题。”[②] 同时，由于障碍之大，迪亚斯指出该目标的实现需要社会各方的积极参与，尤其是政府和高等教育相关机构。[③]

在诸多文献当中，迪亚斯反复强调“大学与社会之间的联系必须非常紧密，就好比如今在定义大学新使命之前，绝对有必要先定义其所属社会的类型和我们想建立的国际秩序类型，新社会模型的基础要完全根植于当前国际社会的行动之中。”[④] 换一种说法就是，迪亚斯认为不存在脱离社会的大学等高等教育机构本身，因为各种外部力量在高等教育机构生命中有着巨大影响。因为，大学无法孤立于社会存在，而且大学存在的很多问题都是整个不断变化的世界的集中反映。

迪亚斯在加纳举行的非洲大学联盟 25 周年纪念大会的演讲致辞中曾说“一所大学是完全处于世界大背景之下，并以其庞大的可能性面对着无止境的威胁的存在。大学已经适应了现代生活的节奏、适应了其所属国家或地区的独有特色。为此，也正因如此，大学更应坚定自己的社会使命，竭尽所能帮助所属国家或地区建立一个更公平、更美好的社会。”[⑤]

因此，迪亚斯指出高等教育对社会的责任主要在于：从各方面帮助所属国家努力发展内源能力建设，加强人权、民主与和平，促进社会的可持续发展，不断变革为实

[①] Marco Antonio Rodrigues Dias. New Trends in interuniversity cooperation at global level[EB/OL]. [2018-03-15]. http://www.mardias.net/site2010/?page_id=288.

[②] UNESCO. Beirut Declaration on Higher Education in the Arab States for the XXIst Century [EB/OL]. [2018-03-14]http://unesdoc.unesco.org/images/oo11/oo1133/113345e.pdf.

[③] 杨习超.国际高等教育发展趋势、问题与建议—联合国科教文组织前高教处处长迪亚斯教授专访[J].苏州大学学报(教育科学版),2015(03):71-80.

[④] Marco Antonio R. Dias. Quality in higher education from an international point of view: the role of UNESCO[EB/OL]. [2018-03-15]. http://www.mardias.net/site2010/?page_id=312.

[⑤] Marco Antonio R. Dias. What kind of university for a new society in Africa [EB/OL]. [2018-03-15]. http://www.mardias.net/site2010/?page_id=368.

现更光明的未来寻找新路径。[①]

3．高等教育发展人力资源的责任

国际发展战略（IDS）认为经济发展是建立在两大基石之上的：一是减少贫穷；二是发展人力资源。减少或消除贫穷意味着防止贫穷的发展；关于发展人力资源，高等教育机构在发展战略中成为了前所未有的关键因素，因为在合格人才的高阶培训中高等教育机构所担任的角色至关重要。

迪亚斯指出，“必须找到更灵活的能进行高层次人才培养和知识更新的方式。在开放社会体制和市场经济体制下，学生毕业后不应依赖政府提供工作，工作分配制已不再适用于竞争激烈的社会环境，人们必须不断更新知识、拓展技能才能更好的生存。高校毕业生应励志成为企业家，而国家和社会应加以提倡并为其创业之路提供便利，通过给决心投身于创业的高学历者提供贷款等方式进行激励。人力资源发展战略的设计应该以充分发掘每一个个体的潜力和创造力为中心。发展战略需以每一个不同社会的意志和生活方式为基础，充分考虑每个社会独特的历史、社会和文化环境。”[②]

在以知识、信息及其应用和处理方式为基础的当代经济体系中，高等教育与社会之间的联系应该建立在全新的基础之上。高等教育机构应该采用能不断满足社会需求的课程和教学内容，培养具有高层次知识和职业技能的优秀人才；在进行知识与技能传授的同时，高等教育机构应当培养学生批判的进行思考和分析问题的能力，使其成为能满足社会各方面需求的有用公民；更为重要的是，作为技能和专业培训、循环和更新的终身资源，高等教育机构在满足社会劳动力需求的同时，当前更应该关注开发学生的创业能力、培养其创业精神，使其不单单只局限于求职者这一个身份，而是能成为新工作岗位和就业机会的创造者，进而更有力促进人力资源的培养。[③]

虽然人力资源的短缺是寻找解决各种棘手问题的障碍，但也是支持集中资源促进高等教育发展这一论点的有力论据。因为人类的发展以及建立更多合作和共同参与的社会关系都与高等教育有着直接联系，都少不了高效使用和发展现有的教育机会。[④]特别是在当今的知识密集型社会中，若试图弥合工业化发达国家和发展中国家之间的差距，具有高水平知识和技能的人是必不可少的。这种需求使大学和高等教育机构成

[①] 摘自 2017 年 3 月 25 日迪亚斯的邮件内容.
[②] Professor Marco Antonio R. Dias. The university as an institution today and tomorrow[EB/OL]. [2018-03-15]. http://www.mardias.net/site2010/?page_id=370.
[③] 摘自 2017 年 4 月 2 日迪亚斯的邮件内容.
[④] UNESCO. Policy Paper for Change and Development in Higher Education[R]. Paris, UNESCO.1995,22-23.

为了人类发展的关键因素。[①]

迪亚斯指出，为创建一个更美好的世界、实现可持续发展，消除贫困、大力发展人力资源是非常有必要的。当今世界瞬息万变，不够关注人力资源的培养与发展、保持孤立的国家无法实现令人满意的发展水平。由此，高等教育的重要性不言而喻，因为高等教育机构担任着开发和培养人力资源的主要责任。[②]

（五）高等教育作为“公共产品”的财政问题

迪亚斯坚持高等教育必须被视为一种公共产品，“公共产品”的概念自然就意味着公共资金对其支持的至关重要性。联合国教科文组织也强调高等教育是一种重要的社会投资，因而需要从公共资金中予以适当拨款。[③]

在迪亚斯看来，政府应深刻认识到高等教育对于国家发展的重要性。因为如果想要建立一个更美好的社会，公共资金支持对于致力于建造一个更好社会的高等教育体系的发展来说是至关重要的，因为这个体系是以教育国民、以使创造一个更好的社会为主要目的。[④]

迪亚斯明确指出，当前不可能存在任何一个能单靠国库可以独立支持整个高等教育系统的国家，因此寻找新的资金来源是眼下高等教育“全盘政策”中的重要部分。[⑤] 迪亚斯认为，“多样化的资金来源恰好是反映社会对高等教育事业的支持力度，因此需得到进一步加强。但是，对高等教育和研究的公共支持仍然至关重要，否则难以确保教育使命与社会使命的平衡实现。”[⑥]

迪亚斯坚持认为，如果国家和社会希望大学等高等教育机构承担社会责任、对整个社会的变革和发展作出显著贡献，那么就应该将对高等教育的资金支持看作是促进文化发展、提高经济竞争力以及加强社会凝聚力的一项具有高回报率的长期投资，而不应该将其视作国家预算的负担。费用分担问题也应根据这一认识来解决。总之，迪

[①] Marco Antonio Rodrigues Dias. Quality in higher education from an international point of view: the role of UNESCO[EB/OL]. [2018-03-15].http://www.mardias.net/site2010/?page_id=535.

[②] Marco Antonio Rodrigues Dias. Importance of higher education in the life of nations and individuals[EB/OL]. [2018-03-15]. http://www.mardias.net/site2010/?page_id=511.

[③] UNESCO. Policy Paper for Change and Development in Higher Education[R]. Paris, UNESCO.1995,38.

[④] Professor Marco Antonio Rodrigues Dias. Comments to the European Commission Draft Document on Modernization agenda for higher education[EB/OL].[2018-03-15]. http://www.mardias.net/site2010/?page_id=344.

[⑤] Marco Antonio Rodrigues Dias. Trends and challenges in higher education: a global approach[EB/OL]. [2018-03-15]. http://www.mardias.net/site2010/?page_id=292.

[⑥] 摘自 2017 年 4 月 7 日迪亚斯的邮件内容.

亚斯认为对于作为“社会公共产品”的高等教育而言，国家政府的经济支持仍然是最关键的。[①]

二、对全球化及新技术给高等教育带来双重性影响的深刻认识

迪亚斯指出，在全球化大背景之下，高等教育既面临着诸多挑战又迎来了无数机遇和可能性，同时，新技术的到来也给高等教育的发展带来了新的便利和挑战。

（一）全球化对高等教育的有利影响

全球化过程进一步证明，现代化的人才培养不单只包含精深的专业知识，还包含有全球化带来的对不同社会、环境和文化问题的充分认识。高等教育国际化是教学和科研全球性的一种反映形式。在全球化大背景下，人们对于各国文化的日益了解和需要、现代联系与沟通方式、消费市场的全球性质等所有这一切，都使得这种世界环境不断得到加强。而在全球化环境中从事教学、学习、科研、生活和交流的教师、学生和科研人员数目的不断攀升，更是有力证实了这一可喜的总体发展趋势。[②]

在全球化的推动下，除了师生之间各类型的联系以及学术人员的流动性得到大大加强，跨国科研更是得到了极大发展，各类科学研究、学术探讨等在全球化的推动下开始日益具备国际特色。迪亚斯指出，全球化对高等教育最有利的影响即为世界高等教育学术界的国际合作提供了切实可能性，进而对缩小国家与地区间在科技发展方面的差距、对促进人与人、民族与民族之间的了解以及对倡导和平文化起到非常大的推动作用。[③]

（二）全球化对高等教育的不利影响

当代全球化主要体现在国际化、自由化、普遍化等几大方面，而在全球化大背景下，高等教育国际化除了能为加强世界各国高等教育机构的联系与合作、促进各国、各地区高等教育的发展及各种文化的创新与融合带来有力推动外，同时也导致了文化多样性的减少、部分发达国家对发展中国家教育理念及资源的强制灌输、发展中国家人才流失等不利影响。针对于此，迪亚斯主要对人才流失进行了分析和阐述。

迪亚斯指出，人才流失一直都是全球化背景下高等教育所面临的一大难题。在

[①] 摘自 2017 年 4 月 7 日迪亚斯的邮件内容.
[②] UNESCO. Policy Paper for Change and Development in Higher Education[R]. Paris, UNESCO.1995,33.
[③] 摘自 2017 年 3 月 7 日迪亚斯的邮件内容.

1995 年 6 月于巴拉格召开的关于欧洲中部和东部国家科技合作会议上，迪亚斯曾指出，“人才流失并不是一种孤立现象，如果本源国家的条件——工资、开展研究的可能性、安全、自由等都很糟糕，人们深知自己留在国内无法具有‘生产性’、无法保证孩子的未来，试问从道德出发该如何要求个体留在国内？毕竟我们讨论的是人类，而不是某种设备或商品！另外，期待人才流入国会对本源国的人才流失作出损失赔偿或进行投资的梦想是不切实际的。” ①

迪亚斯指出，“若是一个国家长期以来一直存在严重的人才外流问题，那么就不能一味将所有问题都归诸于师生、科研人员的国际流动这一点，而是应该从政治、经济和社会等方面进行综合分析，因为，一般来说长期严重的人才流失问题是世界上许多地方的经济、社会和政治情况紧张程度的一种反映。②

迪亚斯认为，导致科学家移民到其他国家、有前途的年轻科学家转向科学研究以外的职业的原因主要有两个：工资低；研究经费短缺和日益恶化的基础设施。在他看来，所有关于人才流失的辩论和讨论，都进一步认证了人们不能脱离社会对高等教育机构进行分析的事实。因为不论是人才流失的问题，还是高校面临的其他问题，其实都是社会所面临的问题的集中反映。③

针对人才流失的解决方案，迪亚斯在“Vision and Action for the Coming Century”一文中指出，“应号召社会所有相关方面一起采取行动，减少人才外流的负面影响，通过国际社会的共同努力，开展一场以学术支持为目的的‘人才回流’行动。采取措施鼓励在国外的学者返回原国工作，也鼓励大学志愿人员，尤其是刚退休的年老学者或刚开始工作的年轻学者们自愿到发展中国家的高等院校从事教学与科研工作、同时大力支持发展中国家建立和加强其教育队伍等”。④

（三）新技术给高等教育带来的便利及挑战

争取获得卓越成就对每一个高等教育机构的重要性自然不言而喻，但事实却是不存在任何一个能在各个领域都达到最高水平的高等教育机构。因此在全球化大背景之下，高等教育国际化对大学间的合作提出了更高的要求，现代技术，尤其是信息与交

① Marco Antonio R. Dias. Brain Drain: what are the responsibility of the international community[EB/OL]. [2018-03-15]. http://www.mardias.net/site2010/?page_id=1879.
② 摘自 2017 年 3 月 7 日迪亚斯的邮件内容.
③ 摘自 2017 年 3 月 7 日迪亚斯的邮件内容.
④ Marco Antonio Rodrigues Dias. Higher education: Vision and Action for the Coming century[J]. Prospects: Quarterly Review of Comparative Education,1998,28(3):367-375.

流方面的技术发展使高等教育的国际合作变得更为有力量。

信息技术的发展使得国际学术界共享的信息资源不断增长和繁殖，同时还极大的扩展了学术流动的概念，因为除了学生、教师和科研人员的传统流动形式以外，还派生了一种反向流动方式，通俗来讲反向流动就是让高级研究中心的研究人员去帮助地理位置偏远或者条件相对较差地区的师生和科研人员，电子网络等其他现代交流方式等均可促使这项工作的完成。当然，新技术的发展也为各国尤其是在发展中国家工作的科研人员的流动和传播自身所取得的科研成果提供了无限可能。[①]

新信息通信技术的迅速发展，对知识和信息的开发、获取和传递方式进行了质的改变。对此，迪亚斯指出“高等教育机构必须率先利用这些技术的优势和潜能，坚持公开、公平和国际合作的精神，在教学、培训和研究方面交流应用技术的经验，向所有人开放先进技术以建立新的学习环境，包括‘虚拟’高等教育结构，消除距离的障碍、发展高质量的大众教育体系，为国际化的社会进步和民主化服务。”[②]

关于新技术给高等教育带来的挑战，迪亚斯特别指出，“在充分利用新兴技术的同时应特别注意以下几点：努力攻克各国在获得新信息技术和通讯技术方面存在的严重不平等难题；呼吁各国遵守公正的规章，杜绝技术的商业滥用；强调合作精神，战胜市场思想，坚持高质量生产等。”[③] 迪亚斯提出，新的通讯和信息技术必须服务于教学和研究过程，必须有助于更有效地管理高等教育体系和机构，相应的，必须确保高等教育政策兼具普遍性和终身可用性原则以满足不同需求，提供兼职学习、远程教育、短期课程和自主学习等。[④]

三、重视高等教育的质量与针对性

迪亚斯指出，为确保高等教育的发展能推动整个国家和社会的进步、完成国家对高等教育所提出的要求，就必须要高度重视高等教育的质量和针对性。迪亚斯认为，“对高等教育而言，与针对性紧密相关的质量至关重要，提高质量不能在全世界实行同一种大学模式，而应紧密结合当地的文化和特色。”[⑤]

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① 摘自 2017 年 3 月 7 日迪亚斯的邮件内容.
② 摘自 2017 年 3 月 7 日迪亚斯的邮件内容.
③ 摘自 2017 年 3 月 7 日迪亚斯的邮件内容.
④ Marco Antonio R. Dias. A Common Synergy for the building of a better society[EB/OL]. [2018-03-15]. http://www.mardias.net/site2010/?page_id=186.
⑤ Marco Antonio Rodrigues Dias. Quality in higher education from an international point of view: the role of UNESCO[EB/OL] http://www.mardias.net/site2010/?page_id=535.

（一）关于高等教育质量的定义问题

1993 年 5 月 24-28 日，迪亚斯在蒙特利尔·魁北克由高等教育质量保证机构网络（INQAAHE）组织召开的国际会议上曾发言，“什么是质量？简而言之，质量是全世界高等教育最该优先考虑的一个概念。然而对高等教育的质量下定义，却不是件容易的事。”[①] 针对“到底什么是质量?”这个问题，迪亚斯认为，“对于质量或卓越等存在极大主观主义的概念是没有办法给出明确定义的。即便有下定义，通常要么是频繁重复，要么描述的都是与某些特定文化相关的情况。”[②]

迪亚斯认为，高等教育的“质量” 问题涉及高等教育几乎所有的主要职能和活动，是一个多维度的综合性概念。虽然无法对高等教育的质量下明确定义，但迪亚斯认为，“质量应该是高等教育机构和系统恒久不变的目标，是高等教育发展的核心与灵魂，是制定所有高等教育政策的出发点和归宿。质量不是‘空中楼阁’，而是高等教育的‘心脏’，良好的组织与管理，优越的校园设施条件包括实验室、图书馆等都是其重要部件。”[③]

数年来,对质量问题的关注一直是高等教育政策性辩论的核心。迪亚斯指出，“综合考虑质量对高等教育发展和改革的各方面影响，有充分理由相信，全球高等教育领域对高等教育质量的高度关注形势只会居高不下。因为‘质量’并非来自一个通用模型，也无法脱离于理论和抽象概念，‘质量’是在特定时刻精确反映社会需求的一系列行动。真正意义上的‘质量’就是‘此时、此地’。”[④]

（二）高等教育“针对性”的定义

高等教育的针对性，在迪亚斯看来，即高等教育机构所取得的成果与社会对他们的期望值之间的吻合度[⑤]。 迪亚斯指出，高等教育的针对性意味着要解决“高等教育在过去、现在和将来的社会里发挥着什么作用、应该如何发挥作用？”[⑥]这个问题。

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① Marco Antonio Rodrigues Dias. Quality in higher education from an international point of view: the role of UNESCO[EB/OL] http://www.mardias.net/site2010/?page_id=535.

② Hans J. A. van Ginkel, Marco Antonio Rodrigues Dias. Institutional and Political Challenges of Accreditation at the International Level[EB/OL]. [2018-03-15]. http://www.mardias.net/site2010/?page_id=1751.

③ Marco Antonio Rodrigues Dias. Interuniversity linkages for improving quality[EB/OL]. [2018-03-15]. http://www.mardias.net/site2010/?page_id=314.

④ Marco Antonio R. Dias. Quality in higher education from an international point of view: the role of UNESCO [EB/OL]. [2018-03-15]. http://www.mardias.net/site2010/?page_id=312.

⑤ 摘自 2017 年 3 月 22 日迪亚斯的邮件内容.

⑥ 摘自 2017 年 3 月 22 日迪亚斯的邮件内容.

（三）质量与针对性的关系

对于高等教育的质量与针对性的关系，1998 年在加拿大多伦多由联合国教科文组织举办的世界高等教育大会——北美预备会议上，迪亚斯在其“共同协作以建造一个更好的社会”演讲致辞中提到，“没有针对性的质量不是真正意义上的质量。换句话说，高等教育若是不能有助于社会的改良，便无法履行其使命。因此，在考虑想要建立什么样的大学之前，首先必须考虑想要建造什么样的社会。”[①]

迪亚斯高度认同高等教育质量与针对性的统一性，他认为，“高等教育的质量与针对性是紧密相连、不可分割的。不存在无针对性的质量，也没有无质量的针对性，二者缺一不可，否则毫无意义可言。”[②]

（四）确保高等教育质量和针对性的关键

1994 年，迪亚斯在捷克马萨里克大学建校 75 周年庆典上发表的“现在与未来的大学机构”演讲辞中提到，“针对性，包括高等教育在社会、民主化中的角色、多样化的需求、与世界工作建立更为紧密联系的需求、以及加强高等教育相对于整个教育系统的责任等；质量，包括改革和创新、远程教育、跨学科和终身学习、资源的规划和管理、项目的组织、教师资格的评估和认证等。这两个主题是目前乃至将来高等教育系统时刻需要好好处理、谨慎对待、不可懈怠的两大核心议题。”[③]

迪亚斯指出，“质量评估和认证对于确保高等教育的质量、寻找提高高等教育质量的途径而言至关重要，而强调学术自由和院校自治原则对于确保高等教育质量，尤其对于确保高等教育针对性至关重要”。[④]

如今，高等教育领域急需能尊重多样性、促进高等教育创新和创造力的质量评估和认证方法。因此迪亚斯指出，为保证质量，透明的自我评价和外部评价都很重要，一方面有必要建立国际认可的机制，另一方面又要联系具体环境，防止一刀切。[⑤]

迪亚斯认为，“评估不应该被当成一种制裁工具被使用，尤其是对公立高等教育

[①] Marco Antonio R. Dias. A Common Synergy for the Building of a Better Society[EB/OL]. [2018-03-15]. http://www.mardias.net/site2010/?page_id=186.

[②] 摘自 2017 年 3 月 22 日迪亚斯的邮件内容.

[③] Professor Marco Antonio R. Dias. The university as an institution today and tomorrow[EB/OL]. [2018-03-15]. http://www.mardias.net/site2010/?page_id=370.

[④] Marco Antonio R. Dias. A Common Synergy for the building of a better society[EB/OL]. [2018-03-15]. http://www.mardias.net/site2010/?page_id=186.

[⑤] Marco Antonio R. Dias. A Common Synergy for the building of a better society[EB/OL]. [2018-03-15]. http://www.mardias.net/site2010/?page_id=186.

机构的评估与质量检查，不应当变成一种外加的束缚，或是作为控制国家拨款的手段。相反，评估和检查应当成为促进高等教育自我完善的手段。而且，高等教育机构的质量和针对性，不能仅凭既定模型来加以判断，不管那些模型看上去有多完美。因为高等教育的质量和针对性必须在特定的环境、特定的时间里得到评估。”[①]

迪亚斯指出，质量的认证问题越来越在高等教育领域得到重视的原因可归结于：新技术的发展、远程和虚拟教育的进步、大量新供应商的出现试图将高等教育转化为一种商品，高等教育的国际化等所有这些因素都表明，需要一个值得信赖的认证系统以确保机构和项目的质量和针对性。[②]

在此背景下，认证问题的紧迫性进一步加剧。迪亚斯认为，“弄明白高等教育通过认证系统想实现的目标是问题的关键所在，在作任何决定前都有必要先回答以下特定问题：究竟为了什么而认证？谁来进行认证或评估？为了保证哪一种质量?国家和社会真正想要的是什么样的质量，谁又将成为系统的监管者，谁将在这个领域拥有决策权？其标准又是什么?这些标准是否能确保文化多样性？同时，迪亚斯反复强调，认证必须被视为评估高等教育机构或特定项目质量和针对性的方法，允许其识别特定的高等教育系统、特定的国家和区域环境，不能使用与机构文化环境、社会特定需求不相关的标准或模型，必须强调独立自主国家在评估实践中的功能，在保证质量的前提下，充分考虑多样性和创造性，避免一致性。”[③]

四、倡导高等教育的国际合作

重视高等教育的国际合作，呼吁加强全球范围内校际合作以推动全球高等教育的发展是迪亚斯教授高等教育思想的重要内容之一。

（一）高等教育国际合作面临的形势

“我一直有一个强烈的信仰，那就是认为高等教育是一个可以通过国际社会、新成立部门、当地社区等多方通力合作取得直接成果的领域。”[④] 迪亚斯指出，高等教育国际合作当前所面临的主要形势之一是：高等教育正日益成为一种出口商品和一种

[①] 摘自 2017 年 3 月 24 日迪亚斯的邮件内容.
[②] Professor Marco Antonio R. Dias. Philosophical and Political Basis for Ensuring Quality in Higher Education[EB/OL]. [2018-03-15]. http://www.mardias.net/site2010/?page_id=310.
[③] Hans J. A. van Ginkel, Marco Antonio Rodrigues Dias. Institutional and Political Challenges of Accreditation at the International Level[EB/OL]. [2018-03-15]. http://www.mardias.net/site2010/?page_id=1751.
[④] 摘自 2017 年 8 月 7 日迪亚斯的邮件内容.

额外的盈利来源，而发达国家的大学则是主要受益者。迪亚斯认为这种合作模式在大多数情况下只会让发展中国家的大学远离和丧失其原本的发展目标，并最终发现他们竭尽全力所模仿的模式并不适应自身国家的文化和经济发展的需求。在迪亚斯看来这是一个令人遗憾且严重的错误，而这个错误只会让发达国家和发展中国家之间的差距变得越来越大。[①]

因此，迪亚斯反复强调，教学和科研的国际合作应避免“走单行线”，用长远眼光来看更应如此。迪亚斯指出，尽管知识具有普遍性，但知识的运用却是包含有地方特色的，高等教育依靠所在国家或地区的支持并对其负责任，因此不能一味照搬他人教育成果而忽视本国特色和实情。[②]

迪亚斯指出，高等教育国际合作当前最紧迫的需要是，“帮助解决发展中国家特别是非常不发达的国家中高校出现的衰落现象。因为很多发展中国家由于遭受严重的社会、经济和政治等问题的困扰，很难做到对高等教育投入大量资金，因此，国际学术界和国际组织有义务对那些在发展自己的教育体制、提高自身的科技能力方面等存在特殊困难的国家给予扶持和帮助。”[③]

迪亚斯所强调的国际学术流动，是指不受地区化限制，也不采取任何商业方式对国外学生进行挑选，只是为迫切需要国际帮助的国家和高等教育机构以革新方式“向外国学习”尽可能的提供丰富多样的机会。迪亚斯指出，必须更好的协调高等教育发展的国际合作工作，通过妥善设计和协调开展合作使高等教育的国际合作项目得到巩固和发展。[④]

（二）高等教育国际合作的原则

高等教育国际合作能否成功取决于诸多因素。迪亚斯强调，高等教育的国际合作原则应以国家或地区间高校的平等、互信和团结为基础建立真正意义上的合作伙伴关系。“真正意义上的高等教育国际合作意味着互相信任的伙伴关系。”[⑤] 迪亚斯指出，创建大学与其他国际机构或资助机构的合作伙伴关系，通过教授为访问学者传授重点学科的核心知识，能更好的促进相关领域的可持续发展。这种形式的合作是一种孪生

[①] Professor Marco Antonio R. Dias. Cooperation with Palestine[EB/OL]. [2018-03-15]. http://www.mardias.net/site2010/?page_id=362.
[②] 摘自 2017 年 8 月 7 日迪亚斯的邮件内容.
[③] 摘自 2017 年 8 月 7 日迪亚斯的邮件内容.
[④] UNESCO. Policy Paper for Change and Development in Higher Education[R]. Paris, UNESCO.1995,33-35.
[⑤] Professor Marco Antonio R. Dias. Philosophical and Political Basis for Ensuring Quality in Higher Education[EB/OL]. [2018-03-15]. http://www.mardias.net/site2010/?page_id=310.

相处的新型模式，强调的是平等的合作。其重点不是放在来自发达国家的单向“帮助”，而在于对合作伙伴关系的深切认同，是一种更为复杂的任务，但却能够充分考虑国家的实际需求和文化趋势，使工作能更有效的完成，并且能避免因出国留学而不回祖国而导致的人才流失问题。[①]

高等教育对于可持续发展而言是至关重要的,而合作是必不可少的。迪亚斯认为，应该大力推广全球范围内大学间的合作项目，尤其是那些基于平等、团结，旨在加强合作互联网的合作项目。即便战略效用可能不会立即取得明显成果，但团结协作意味着同盟关系，即合作是双向的，必须加强重点区域以帮助解决主要社会问题。[②]

没有任何个体、任何机构、任何国家可以独立存在、独自生存。迪亚斯认为，高等教育更是不能独立于社会和经济而单独存在，为巩固真正意义上的民主、促进大学间的信息和经验交换，迪亚斯认为急需建立起便于学术流动和质量提升的合作机制。因此，迪亚斯提出，“高等教育领域真正的合作伙伴关系必须包括以下几点：基于团结之上的知识迁移；本质上不同于帮助的互相协助；合作伙伴必须被平等视之。换言之，合作伙伴关系意味着建设一个新秩序：大家都是平等的，这种新秩序将使所有地区、所有国家和所有公民受益。”[③]

由于不存在适用于所有国家和地区的单一模式,社会发展无法模仿僵硬死板的结构，在所有地区盲目采用国外理念和价值观，忽视区域和国内文化都会给社会带来消极影响。因此，迪亚斯指出，当需要创造内生能力、促进经验交换时，国外协助确实能有所裨益，但不能将其视为解决问题的根本途径。[④]迪亚斯强调，在如今的全球化大背景下，新的合作模式、新的孪生公式应该以平等合作为设想。重点不应放置在来自发达国家的“帮助”，而是合作伙伴之间在当下培养方面的识别与实施，这是一个更艰巨的任务，但却能够优先考虑各个国家的实际需要和文化趋势，使合作取得更好的效果。[⑤]

[①] Marco Antonio R. Dias. What kind of university for a new society in Africa[EB/OL] . [2018-03-15]. http://www.mardias.net/site2010/?page_id=368.

[②] Professor Marco Antonio R. Dias. The university as an institution today and tomorrow[EB/OL]. [2018-03-15]. http://www.mardias.net/site2010/?page_id=370.

[③] Marco Antonio R. Dias. A Common Synergy for the building of a better society[EB/OL]. [2018-03-15]. http://www.mardias.net/site2010/?page_id=186.

[④] Professor Marco Antonio R. Dias. The university as an institution today and tomorrow [EB/OL].[2018-03-15]. http://www.mardias.net/site2010/?page_id=370.

[⑤] Marco Antonio Rodrigues Dias. Interuniversity linkages for improving quality[EB/OL]. [2018-03-15]. http://www.mardias.net/site2010/?page_id=314.

第三章　迪亚斯高等教育思想及实践的特征和启示

一、迪亚斯的高等教育思想及实践特征

（一）国际化

迪亚斯的办学思想和实践充分体现了其国际化特征与全球视野。从实践层面看，迪亚斯生于里约热内卢、求学于法国巴黎、在巴西利亚大学任教、后又在巴黎投身于联合国教科文组织总部，担任高教处处长近二十年，继而在联合国大学任职等。在其国际化的任职经历中，为世界高等教育国际化做出了不少贡献，如组织规模浩大的“世界高等教育大会”，草拟了《面向二十一世纪高等教育宣言：观念与行动》和《高等教育变革与发展的优先行动框架》，为全球高等教育政策构想做出了杰出贡献。在联合国大学任职期间，组织大学网络与教师培养等高等教育项目，为巴塞罗那的理工大学、联合国教科文组织总部、联合国大学论坛的后续会议等提供了咨询服务。即便是荣休生涯，迪亚斯依然活跃在世界各国、各区域参加高等教育相关会议，举办讲座、开展合作项目等。

从思想层面上，不管是其公共产品理论、全球化认识、质量与针对性还是国际合作方面的看法，无不体现出其国际化特征。全球化的背景及其独特的国际化身份决定了其思想的国际化特征。如，在全球化双重影响中，强调人才培养内容的国家化视野，应将全球化带来的各种文化、环境和社会问题涵盖其中；在认识到全球化危机情况下，提出了高等教育质量与针对性原则，强调真正的质量不是盲目追从，而是在特定时刻精确反映社会需求。此外，迪亚斯十分强调国际合作，在分析了国际合作中不平等的输出现象后，提出了大学的针对性原则，并发起了帮扶发展中国家的计划。如，筹备了以加强校际合作、尤其强调对发展中国家高等教育给予支持的国际项目：联合国教科文组织姊妹大学项目（UNITWIN Program）和联合国教科文组织教席计划（UNESCO Chairs Scheme）。UNITWIN 项目的主要目标是：为发达国家和发展中国家的高等教育机构孪生和联系提供新的动力；帮助建立子区域、区域和国际区域间高等教育和研究机构的合作网络；通过发展中国家高等教育机构的协议认定，在国际支持下发展专门研究和先进研究中心，这些中心将成为满足各国培训与研究需求的重要桥梁。以联合国教科文组织教席系统为核心，通过孪生大学网络可以建立起这样卓越的中心。

在迪亚斯眼中，高等教育国际化不是一个命题，而是经济全球化大背景下的必然结果，更是高等教育机构发展的常态和生存方式。迪亚斯在处理高等教育问题时，总是注重考虑国家间的相互联系和影响，善于以全球视野分析高等教育现象，倡导全球范围内高等教育的共同发展，体现了其国际化特征。

（二）合作化

“合作化”是迪亚斯高等教育思想和实践的主要特征之一。他强调加强全球范围内各国高校之间的合作，在世界各地发表演讲呼吁高校建立平等互助的“合作伙伴关系”，迪亚斯坚持认为当代世界没有可在各个领域都能取得卓越成就的高等教育机构，因而“合作”不可避免的成为全球高等教育共同发展的必经之道，迪亚斯本身也用其实际行动一直践行着“合作化”的高等教育理念特征。

在迪亚斯的教育实践中，十分注重合作的原则。在巴西利亚大学任职期间，为推进学校通讯课程的跨学科改革，迪亚斯与三位来自不同国家的作者合作编著了有关通讯的书籍。此外，他发起的 UNITWIN 项目开发的系统优点之一就是支持加拿大渥太华大学 Georges Henault 将校际间大学的联系定义为“婚姻”之间的多边和双边合作这一理念。对此定义，迪亚斯表示十分赞同，并且他认为，UNITWIN 项目能取得卓越成绩的原因之一源于其目标的实现、程序的使用都是充分考虑合作伙伴利益并不断协商的结果。在其思想中，解决高等教育作为公共产品的财政危机建议中也体现了合作的原则，如，在国库无法独立支持整个高等教育系统时，寻找新的资金来源需要加强与社会的合作，提高社会对育事业的支持力度。在全球化影响与国际合作部分，更是对合作化的深刻诠释。

二、对我国高等教育的启示

迪亚斯丰富的高等教育实践活动和思想对世界高等教育的发展做出了卓越贡献。学习和了解迪亚斯的杰出实践及优秀思想，对发展我国高等教育具有一定的启示。

（一）在全球化背景下规划中国高等教育的发展

迪亚斯的国际化身份使其对全球化有更深刻的见解，全球化不仅给世界各国带来了机遇与挑战，也存在一些不平等现象，我们发展中国家尤应慎重把握。国外先进的教育理念、办学体制与人才培养模式等有利于我国进一步重塑高等教育的发展观、人

才观；中外合资企业可以丰富我们的办学模式、进而推动国内教育体制的改革；国内外教育资源流动有助于我们扩大教育对外开放的深度与广度，逐渐扩大我国高校的国际影响力。但与此同时，全球化也给发展中国家带来很多挑战，在全球化背景下我国也面临着如人才流失、本土文化被西方文化所“压迫”、政府对高等教育的影响力下降等困境，因此，我们必须积极探寻有效对策，才能在全球化背景下趋利避害，抓住发展机遇，使我国高等教育得到快速发展。

在全球化大背景下，国家间已形成了人类命运共同体，高等教育也不例外。为确保我国高等教育的可持续发展，有必要综合考虑全球化趋势下我国高等教育的发展问题。一方面，认清当前全球化形势，摆正学校定位，积极参与平等的国际合作，不盲目跟随，迎接全球化的机遇与挑战；另一方面，促进高等教育内涵式发展，提供本土教育的针对性，坚守适合本国的“此时、此地”的教育质量。

（二）加强我国高等教育的国际交流与合作

迪亚斯认为，国际合作应是建立平等、团结、互助的基础上。我国高等教育在大力促进国际合作、加强学术交流的同时，也应坚守本国实际，不卑微、不盲从，与他国大学建立基于平等、团结和互助的合作伙伴关系。要加强比较优势建设，实现自身特色化发展，构建清晰的国际化办学目标，培养具有国际竞争能力、国际战略眼光和跨文化领导力的高质量国际化人才。

此外，应积极参与世界高等教育活动，一方面积极参与世界高等教育大会，了解国际合作与交流的发展态势与最新规则；另一方面，积极参与国际的高等教育援助项目，如联合国教科文组织姊妹大学项目（UNITWIN Program）和联合国教科文组织教席计划（UNESCO Chairs Scheme）等。

（三）重视并提升我国高等教育的质量

迪亚斯的高等教育质量观虽未进行明确界定，但其前瞻性为我国高等教育内涵式发展提供了不同的思路。高等教育质量问题自大众化以来便是热议话题，在我国普及化转型过程中高等教育质量观转型尤为必要。如何在高等教育普及化以及全球化背景下保证高等教育质量成为我们面临的主要问题。首先，应全面把握质量的内涵，从教学、培训、科研等学术活动，学术成就与研究、奖学金、社会服务、队伍建设、学生、基础设施，社区服务和学术环境等多种维度提高大学质量。其次，通过合理分配教学、

辅导、科研及管理等资源和任务，给予适当的财政和非金钱方式的认可，注重招聘工作和人才开放的政策、战略和实践等方式提高学术人员的质量。第三，重视学生质量，关注生源的能力与动机，采取课程和资格上的选择多样化满足招生数量和学生类别扩大的需求，为学生提供咨询与指导，尤其是国际学生。最后，注重基础设施和学术环境的质量，基础设施对学术界和民众开放，使他们也可利用高等教育机构的一些基础设施举行一些民事、文化和体育活动等。

（四）对我国高等教育的公平问题给予更大的关注

虽然我国早已进入高等教育大众化时代，但离迪亚斯所坚持的“高等教育是一种公共产品”的境界还相距甚远。因为，如果高等教育被视为“公共服务”或“公共产品”，便意味着人人都有接受高等教育的权利，必须保证高等教育的公平性。而目前我国在高等教育的公平问题上还有一段很长的路要走，高等教育入学机会的不公平、公共教育资源的配置不公平、民办高校与公办高校的地位不公平、教育特权、教育腐败和教育乱收费等带来的不公平等依然广泛存在。

教育公平是一个不断推进的过程，而非结果，其内在规定性决定了应具有持续和连续性、适应性和可调整性。因此，国家应推进高等教育公平的持续性、多层次发展，不断缩小种族、性别、语言和宗教以及经济、文化、社会地位或是否身体残疾等差距；加强并在必要时调整高等教育与各级教育尤其是与中等教育的紧密联系，尽可能为中学毕业生或各年龄阶段具有相同学历的人或具有上学资格的人提供接受高等教育的机会；灵活设置考试招生制度，除优先考虑根据成绩录取外，积极为一些想接受高等教育的特殊群体成员提供便利。

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附　录

附录一：　访谈提纲（部分摘取）

访谈目的：

详细了解迪亚斯教授的人生经历、高等教育思想和实践等。

访谈意义：

通过访谈，更深层次的了解迪亚斯高等教育思想和实践以及迪亚斯对本课题研究的个人观点，通过访谈获得相当丰富的第一手资料，极大的丰富和充实了本研究。

访谈方式：邮件访谈

访谈对象及时间：

1.访谈对象：迪亚斯教授本人

2.访谈时间：2016 年 9 月—2018 年 2 月（期间邮件往来频繁多次）

3.访谈问题（部分摘取）：

（1）　新闻记者生涯这段经历对您后来进入教育行业有何影响？

（2）　您如何评价那段在巴西利亚大学担任副校长的任职经历？

（3）　关于当前高等教育的基本责任，您有什么看法？

（4）　您如何看待当前高等教育的财政资金来源问题？

（5）　对于当前因出国留学而引发的人才外流问题现象您有什么看法？

（6）　如何通俗的理解您教育思想中高等教育的“质量”问题？

（7）　在高等教育商业化如此泛滥的当下，为何您依然坚守“高等教育应被视为公共产品”的理念？

（8）　您在巴西利亚大学任教时提出了“跨学科”的想法，这在当时可是非常超前的，您是怎么想出这么棒的点子的？

（9）　在您看来，“全球性公共产品”与“公共产品”的质的差别在哪里？

（10）对中国当下高等教育的发展和改革您有什么看法或建议？

附录二：迪亚斯邮件原文（仅摘取 4 封邮件原文）

1.

---------- Original ----------

From: "mrodriguesdias";<mrodriguesdias@gmail.com>;

Date: Sat, Oct 22, 2016 11:20 PM

To: "Queena.Zhang"<willpower0714@qq.com>;

Subject: Message

Dear Queena,

Sorry for replying so late to your so kind and motivant message.

I Was in Mexico attending a series of meetings, including making a speech in a conference of the Latin American Association of Sociologists.

Now, After a long and tiring travel, I arrived in Brazil. I Will be at home in Paris only next 22 November.

In fact, your message was a surprise. I could never imagine that someone could be interested in doing this kind of analysis. It is extremely motivating and of course I am ready to collaborate with you.

When I come back to Paris, we can establish a permanent contact by telephone. I have a schema in Paris allowing me to make contacts trought fixed telephones (not to mobil or celular).

For the moment, tell me in written what is your general feeling, the way You conceive the work you will prepare. On my side, it Will be necessary to indicate documents that will be necessary to present the evolution of my work during several decades. If you confirm the subject, I Will be obliged to prepare an English version of some basic documents. English is only my fourth language (Number 4 language), the texts will not be perfect but sufficient to transmit the content of the documents. If you read French, Spanish or Portuguese, things could be easier. But, these are not language people use in China, except Portuguese for some people in Macao...

Thank's four your interest.

Friendly,

Marco Antonio

Enviado do meu iPad

2.

Re: ask for clarification

发件人：mrodriguesdias <mrodriguesdias@gmail.com>

时 间：2017 年 4 月 9 日(星期天) 中午 12:41 (UTC+02:00 赫尔辛基、开罗、雅典、伊斯坦布尔时间) 纯文本 |

收件人：

Queena.Zhang <willpower0714@qq.com>

附 件：

1 个 (revised profile.doc)

Dear Queena,

I am very happy to see that you follow working on the project we discussed. Thank you very much for your interest. It is really stimulating.

I will reply to your two questions:

It is very difficult to present the exact number of participants. We have the list of participants. The problem is that many people have had two registrations, as part of the quota

of one country for example and as representative of one academic or student organization on the other. This was a mistake. It could be solved but no one did it until now...

It is exact to say that there were more than four thousand participants. This figure was retained for example by the director general Federico Mayor. To say that there were more than five thousands was an exaggeration. I consider this a mistake, even if myself I surely did also it in moments of enthusiasm...

So officially, more than four thousand participants.

Concerning the UNU, I started to work as personnel assistant to the rector in the year 2000. In practical terms I was called to represent the UNU since the beginning and I was always treated as the representative of the institution. It was a delicate matter. There was an official representative that, at this period, did not have conditions to play her hole. In 2005, I became officially the representative of the UNU in Paris

Please, don't hesitate to ask for clarifications.

I corrected the profile to make it clearer.

Friendly,

Marco Antonio

2017-04-09 10:26 GMT+02:00 Queena.Zhang <willpower0714@qq.com>:

Dear Professor Marco Antonio,

Sorry to bother you again. But I have two questions that need your clarification,

Question NO.1, how many participants are there in the WCHE(1998) ?Some reads "more than four thousand ", while some reads "more than five thousand ".

Question NO.2,when do you become the special advisor of the rector of the UNU ？In 2005 or 2006?

I`ve referred to many files ,but the number and the year they write are not the same.Therefore I have to ask for your help about these details. BTW,It`s OK when it`s convenient for you to write me back, for I can wait for that and I`m not in a rush.

Have a nice day !

Yours sincerely,

Queena

--

Marco Antonio R. Dias

36, rue Ernest Renan

92.190- Meudon- France

tl. 00-33- (0)1-45343509

portable (celular): 00-33-(0)6 74397141

www.mardias.net

mrodriguesdias@gmail.com

附件(1 个)

普通附件 (已通过电脑管家云查杀引擎扫描)

3.

clarifications

发件人：mrodriguesdias <mrodriguesdias@gmail.com>

时　间：2017 年 3 月 15 日(星期三) 上午 10:52 (UTC+01:00 阿姆斯特丹、柏林、罗马时间)　纯文本 |

收件人：

Queena.Zhang <willpower0714@qq.com>

Dear Queena,

Sorry for the long time spent to reply to your questions.

As far as the Brazilian educational system in the period in which this document was produced, the educational system implied:

-primary education: 4 or 5 years starting when the child was 6 or 7 years old.

-Secondary school, an intermediary level between the primary education and the higher education level. It lasted, in general, seven years. In the Engl ǫsh version of the text it would be better to say "secondary education" instead of the 2nd grade school.

Concerning the first question, about concession, please note:

I think you should retain the basic information: concession is a transfer to private persons or institutions of the right of implementing a service that originally is linked to the public service.

In many countries, particularly in Western countries, including Brazil, radio and TV are considered public goods but the government can “concede”, can transfer its exercise to private individuals or institutions, but always with what the French call a “cahier de charges” it means a list of duties.

In practice, in western countries, powerful enterprises receive the “concession” and start immediately to treat these “goods” as private respecting only or at least with priority their own personnel or commercial or political interests. And they use the argument that any attempt to their right, any limit to their action, is an attack to the freedom of expression, briefly to liberty.

If you look to the concept of concession you will read that “a concession refers to the act of granting a right, land, etc” or you read that “the public service concession is a legal means of administration to delegate competences to a private person”.

In Brazilian administrative public law three concepts are used for allowing private persons or institutions to implement public services: concession, delegation or authorization. The main used concept or instrument ,in the case of radio and TV, is the concession.

Delegation should be a softer concept. It is a mechanism of implementation or execution of a duty trough a contract made by the public power with private persons or institutions

And finally, the authorization, as the word says, implies to allow a private person to execute activities linked to the public service.

Best wishes,

Marco Antonio

--
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4.

Re: Interesting article

发件人：mrodriguesdias <mrodriguesdias@gmail.com>

时 间:2018 年 2 月 18 日(星期天) 上午 10:38 (UTC+01:00 阿姆斯特丹、柏林、罗马时间) 纯文本 |

收件人：

Queena.Zhang <willpower0714@qq.com>

Dear Queena,

In my opinion, your comment is perfetc. Congratulations.

Have a nice day,

Marco Antonio

2018-02-18 5:32 GMT+01:00 Queena.Zhang <willpower0714@qq.com>:

Dear Professor Marco Antonio，

I have read the article carefully. Actually I think the South-South Cooperation of the Peking University is a good result of learning and join the UNITWIN Chair Program of UNESCO. China do get rapid development in recent years，which can not ignore the great power of attaching importance to human resources，or we can say the importance of education and scientific technology. Though I know little about the politics，I know that China do establish very good diplomatic relations with Africa，Latin America，etc.

Just like you ，my great professor said many times in many docs，there is no unique model that fit each country. The true cooperation between countries is not to give ，copy or push but learn from each other as independently equal nations. China is acting like this though there is a very long way for herself to go.

In fact，I don't think the condition of Higher Education in China is good at all，and I know that there exist countless problems in Chinese education system. But I have to say that I do think the south 一 south cooperation institution is a good attempt. And I really want to know the opinion of yours，my great professor concerning this.

Wish you have a great day.

Sincerely，

Queena

发自我的 iPhone

---------- Original ----------

From: Marco Antonio Rodrigues Dias <mrodriguesdias@gmail.com>

Date: Fri,Feb 16,2018 10:30 PM

To: Queena.Zhang <willpower0714@qq.com>

Subject: Re: Interesting article

Sorry. It was my intention to send an attached copy. I do it now.

2018-02-16 14:22 GMT+01:00 Queena.Zhang <willpower0714@qq.com>:

Dear Professor Marco Antonio，

I remember an article about sexual harassment of BeiJing University. But I do not remember the name of the author.Is it the one that you wanna me read？If not，can you tell me the title of the article that you mean to mention of？

Best wishes to my great professor.

Sincerely，

Queena

发自我的 iPhone

---------- Original ----------

From: Marco Antonio Rodrigues Dias <mrodriguesdias@gmail.com>

Date: Fri,Feb 16,2018 7:38 PM

To: Queena. Zhang <willpower0714@qq.com>

Subject: Re: Interesting article

Dear Queena,

Did you see this article by Fu Jun from the Institute of South-South Cooperation of the University of Beijing?

It was published as advertising by The Economist, on 20th January 2018. It's really interesting.

Best wishes

Marco Antonio

--

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攻读硕士学位期间公开发表的论文

1.张丹.印度理工学院如何培养一流理工人才[J].大学(研究版),2016(9):57-59.

致 谢

弹指一挥间，三年已过。回首过往，第一次踏入苏大校园的场景放佛就在眼前，而今在苏大的日子却已悄然进入倒计时。时间是最温柔的，如春雨般润物细无声伴人成长；时间也是最残酷的，如飓风般席卷而来令人措手不及。

因一次旅游爱上了这座小桥流水、粉墙黛瓦的苏州城，而后又承蒙上天眷顾如愿考入苏大,得以与江南水乡再度结缘。研究生期间，成为导师周川教授的学生是我最大的幸运，老师博学厚重的知识底蕴、严谨务实的治学精神、淡定从容的人生态度潜移默化的影响和激励着我。印象中老师从未高声呵斥过任何一个人，温文尔雅是老师待人处事的常态。老师小小的办公室不仅书籍浩如烟海，更俨然一个神奇的治愈场所，每每困惑无绪时的悉心点拨，伤心失落时的暖心鼓舞，焦虑迷茫时的耐心指引，都像是拍摄于这间办公室的一帧帧电影画面，却又着实是老师与我们之间的真实写照。老师的一言一行都如春风化雨让我受益终身，感激不尽…

还有学术热情浓厚的朴实学者——黄启兵老师，学贯中西的宋维红老师，幽默风趣的洪芳老师，虚怀若谷的黄水林老师，文思如泉的谢竹艳老师，温婉知性的尹艳秋老师，博古通今的唐斌老师，才华横溢的马忠虎老师，热心细致的张旻蕊老师和丁威老师及教育学院的每一位老师，在我求学期间都给予了极大帮助、使我受益匪浅，借此一并深表谢意…

还要感谢“周师门庭”的所有同门，尤其感谢我研究生入学以来的“引路人”——齐杭师兄事无巨细的耐心指导，印象中博学多才的小师兄对我一直是知无不言、有求必应，为我解除了不少困惑和烦恼；感谢既率真开朗又心思细腻的佩佩师姐，感谢师姐后期对该论文提出的不少建设性意见和极具价值的指导，处于低气压埋头修改时接到师姐抛来橄榄枝的这份恩情，定将没齿难忘，感谢温暖如冬日阳光的彭媛师姐一直以来各种走心的关爱与牵挂，来自于师姐们的陪伴和温暖是我求学路上的“小美好”；感谢待人关怀备至的刘长伟大师兄和才貌双全的袁楠师兄，一路上师兄们对我的教导和督促沁润于心；感谢中西贯通的杨习超师兄，多亏师兄热心为我提供资料，我才能顺利完成毕业论文…

感谢我的室友陈莹、郭忠树和邢丽琴，甜美心细的枣庄女孩、开朗活跃的宝应女

孩和腼腆温柔的昆山女孩，来自不同地方的我们能有幸结缘于112宿舍，这一定是命中注定的最好安排。难忘开心时的大笑，伤心时的互相安慰，更感恩于你我三年光阴的相互陪伴...

感谢好友Seven、娇娇和沙漠多年以来的支持和鼓励，人生漫漫、知己难寻，而我何其幸能拥有你们，哪怕相隔甚远，但不用言语、便知我心的情谊时常让我感恩于心。若不是Seven和娇娇在关键时刻各种爱的鞭策，这篇论文极有可能无法完成，是她们防止我酿成大祸，这份恩情定当铭记在心，直到永远...

感谢我的父母，善良大度的小彭、勤奋务实的老张一直以来都身体力行的激励着我成为一个阳光向上、充满正能量的人。来自父母精神和心灵上的蕴藉，是我前行的不竭动力，也正是父母一直以来的民主和支持，我才得以毫无顾虑的做自己想做的事、去自己想去的地方。感谢父母二十多年来对我不求回报的大力支持和无私奉献，只愿岁月温柔相待，让我可以为你们撑起一片蓝天，希望我能给你们我想让你们过上的生活…

再次感谢我的导师周川老师，本文的选题、研究和成稿都离不开周老师的悉心指导。也要感谢热心的马克·安东尼奥·罗德里格斯·迪亚斯教授本人对我的鼎力相助，这篇论文的大部分相关文献资料都是迪亚斯教授本人直接整理并邮件过来的，期间还对文章的撰写提出了不少有价值的意见，让我受益良多。

最后，特别感谢在百忙之中抽出宝贵时间对此文进行评审的各位老师！

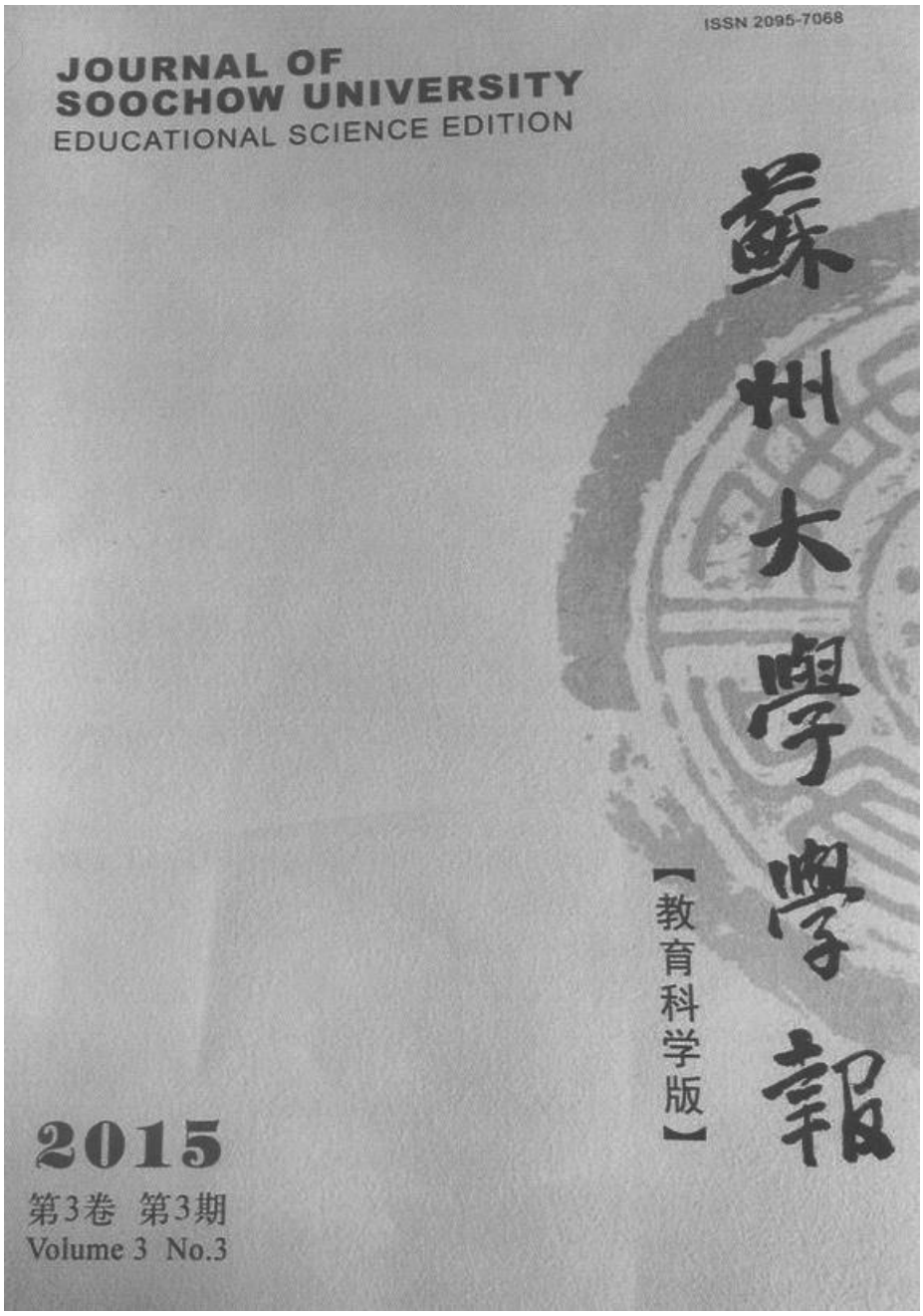
2018年4月26日于苏州

DOCUMENTO 2

ENTREVISTA À REVISTA DA UNIVERSIDADE DE SOCHOW -

-Em chinês-

Autor da entrevista com o Professor Marco Antonio Rodrigues Dias: Yang Xi-Chao, School of Education- Soochow University – Journal of Soochow University- 2015- vol. 3, no. 3.


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● 高端访谈

编者按：今年是联合国成立70周年。马克·安东尼奥·罗德里格斯·迪亚斯（Marco Antonio Rodrigues Dias），联合国教科文组织（巴黎）前高教处处长，国际高等教育专家。1970—1981年，任巴西利亚大学教授，1976—1980年任巴西利亚大学副校长。1981年10月—1999年2月，出任联合国教科文组织高教处处长。其间，先后主持了联合国教科文组织发起的400多个“双边合作”国际项目。1998年10月5—9日，迪亚斯教授负责主办了首届“世界高等教育大会”，183个国家派出了代表团，共计4 000多名参会者出席。他负责起草了《面向二十一世纪高等教育宣言：观念与行动》（*Higher Education: Vision and Action for the Coming Century*）及《高等教育变革与发展的优先行动框架》作为纲领性文件，由大会通过并在世界范围内颁布实施。其代表性著作还包括：*New Trends in Interuniversity Cooperation at Global Level*（1992）；*Utopian Realism in the Reform of Higher Education*（1997）；*The Relevance of International Co-operation in Higher Education for Graduate Employment*（1998）；*The University of the 21st Century: From the Conflict to the Dialogue of Civilizations*（2008）等。迪亚斯教授曾获巴西政府颁发的“卓越教育骑士勋章”（1993）、法国政府颁发的“荣誉骑士勋章”（1999），并被阿根廷东北大学和萨尔塔大学、巴西马托格罗索联邦大学和帕拉联邦大学、捷克布尔诺大学、以色列亚马逊大学联合会等校授予荣誉博士学位。2006年起任联合国大学校长特别顾问。迪亚斯教授于2015年6月9日访问了苏州大学，本刊特邀杨习超副教授就国际高等教育发展问题对他进行了访谈。

国际高等教育发展趋势、问题与建议

——联合国教科文组织前高教处处长迪亚斯教授专访

Marco Antonio Rodrigues Dias[1]　杨习超[2*]

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摘　要：在访谈中，迪亚斯教授提出如下主张：首先，在高等教育作为社会公共产品的理论前提下，大学有义务扮演好培养人力资源的角色，通过有社会针对性的课程项目为青年学生提供公平的教育机会从而实现人类文明的发展；其次，面临商业化、功利化的挑战，高等教育要积极履行社会道德批判功能，做好世界和平文化的代言人；再次，在全球化背景下，高等教育要重视国际大学之间的交流与合作，促进全球人才流动和知识共享，同时大学要弘扬民族文化，避免成为个别发达国家大学模式的附庸品；最后，迪亚斯教授期望，中国作为世界大国应理性发展高等教育，为人类可持续发展承担更大的责任。

关键词：高等教育；新趋势；公共产品；社会责任；大学自治

作者简介：Marco Antonio Rodrigues Dias（1938— ），男，巴西里约热内卢人，博士，巴西利亚大学教授，联合国教科文组织（巴黎）前高教处处长，主要从事国际高等教育政策研究；杨习超（1972— ），男，河南获嘉人，苏州大学教育学院博士生，杭州电子科技大学外国语学院副教授，主要从事高等教育历史研究。

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马克·安东尼奥·罗德里格斯·迪亚斯教授于1981年10月至1999年2月期间，担任联合国教科文组织高教处处长，主持召开了1998年的第一届世界高等教育大会。大会通过了纲领性文件《面向二十一世纪高等教育宣言：观念与行动》，确立了世界高等教育的基本原则，为回应新世纪全球范围内高等教育面临的挑战和促进高等教育改革的深化过程起到了重要作用。中国政府在此次大会之后颁布实施了《面向21世纪教育振兴行动计划》。迪亚斯教授坚持高等教育是公共产品的观点，认为高等教育机构应当承担推进人类文化和平的职责，期盼高等教育“乌托邦理想成真”！2015年6月9日，迪亚斯教授到访苏州大学，笔者（以下简称“杨”）受《苏州大学学报（教育科学版）》之邀，对迪亚斯教授（以下简称“迪”）进行了专访。

杨：尊敬的迪亚斯教授，您好，我想从您负责主办的首届世界高等教育大会谈起，我的问题是：您认为首届世界高等教育大会对世界高等教育的发展起到了怎样的作用？还有，您对这次大会上与会国协商签署的几个主要文件有何评价？

迪：作为1998年第一次世界高等教育大会（WCHE）的组织者，我做的工作是有限的，但是，大会取得的成果是丰硕的。来自世界各地的专家们认为，“1998宣言”是国际高等教育重要的纲领性文件，为高等教育制度的分析和行动创立了一个框架，这也是这次会议取得的重要共识。事实上，最后签署的文件来之不易，是经过世界不同地区广泛协商和征求意见才达成的结果，得到了来自全球180多个国家，130多名政府部长率领的代表团的一致认可，出席本次大会的4 000多人见证了这一时刻。中国派出了一个豪华的代表团，时任教育部长陈至立为团长并被选为大会副主席。另外，有大批的民间团体、教授、学生、议员和各种文化、学术社团参与其中，他们的意见也有所响应。

我认为，这次大会就关于如何更好地融合高等教育机构、制度和社会，提出了切实有效的框架建议与行动方案。从20世纪末直至今天，高等教育在全球快速发展的几十年，呈现出多样化趋势，但高等教育的四个主要功能和目标是没有变化的：一是新知识的产生（研究功能）；二是高素质人才的培养（教育功能）；三是为社会提供服务（服务功能）；四是社会价值批判（道德功能）。[1]

另外，作为社会的子系统，高等教育在本质上必须适应社会变革的需要。因此，1998年首届世界高等教育大会提出的全球高等教育框架是崭新的理念，确立了高等教育的基本原则，以服务于高等教育的研究、育人、服务和道德四个目标。大会对国际高等教育的发展产生的深远影响主要体现在以下几个方面：

第一，大会确定的主要原则是高等教育深化转型的思想基础。我们期待的高等教育的转型将以平等、民主、公正和自由为指向，推动人类社会可持续发展，使高等教育成为世界和平文化的有效推动主体。

第二，努力提升高等教育在教学和研究功能方面的整体性和有效性，通过连续性、终身教育等为每个个体提供平等的机会，确保任何具备高等教育学习资质者能够平等享受到高等教育。

第三，增进国际大学间的交流合作，包括所有参与高等教育的人员有国际合作机会。1998年之后，我们清楚地意识到世界高等教育的极度不平等、不平衡，这既是富裕的工业化国家和发展中国家之间日益增大的差距所导致，反过来，它又是各国间差距不断拉大的根源。之后召开的一系列区域性会议关注的重点之一就是要把全球高等教育系统作为一个整体对待。

普及初级教育和中等教育是势在必行的，也是高等教育民主化的根本基础。此外，我们关注的是，确保满足青年对高等教育的需求，不因他们的财产状况、性别、语言、家庭出身、政治及宗教信仰而受到限制。学生的学业特长、学习能力和学习动机才应该是决定他们能否进入高等教育层次的根本性依据。从另外一个角度来说，我们不能忽视一个事实，是高等教育机构在培养初等教育和中等教育的教师。教育研究者通过研究合作确定教育的优先问题。另外，是高等教育机构培养出来致力于社会各个领域发展、研究的管理者和专家。考虑到这些，大家就会理解为什么应当从全局看待教育，所有的元素都是重要的。

1998年世界高等教育大会的参与者还讨论了高等教育全球化和新技术的重要性，与会专家就全球化带来的积极的和消极的影响展开讨论，为制定合理的高等教育政策提供充分依据。在这个日新月异、不断变化的世界里，高等教育也越来越开放，越来越灵活。高等教育在全球化的冲击下，需要处理好民主化、两极分化、区域化、边缘

化和碎片化的问题，这些现象都将影响到高等教育的发展，需要采取科学、理性的应对措施。新技术是一个现实问题，教育部门要确保新技术应当惠及所有人，而不仅仅是社会的部分人群。

众所周知，高等教育是全球性开放体系，我们不能简单地把高等教育视为单一民族的和个别区域的。未来的高等教育毕业生必须具备应对全球化挑战的能力，并且在国际劳动力市场竞争中获得机会。平等的知识转让，学生、教师及研究者的自由流动，对未来世界和平是至关重要的。所有形式的垄断，知识、技术的控制，对这个世界都是有害的，违背平等理念的做法都是错误的。我们需要处理好民主化、全球化和区域化的关系。大会认为推进高等教育的重大改革和发展、提高教育质量、推行素质教育所面临的挑战，不仅需要政府和高等院校的积极努力，而且需要所有相关人士，如学生及其家庭、教师、工商界、公共和私营经济部门、地区、专业协会等各方积极参与。其中，高等院校需要承担更多的社会义务，确保公共或私人资金、国家或国际资金使用的可靠、公开、透明和实效。

可喜的是，首届世界高等教育大会刚刚结束，几个主要国家就依据大会确定的原则，迅速推进本国的高等教育改革，其中就有中国代表团团长陈至立部长向中国政府提交的一份教育振兴报告，主要内容是大规模推进高等教育大众化，增加高等教育资金投入，加强高等学校基础建设，建设出一批国际一流大学。[①]我还记得，在世界高等教育大会闭幕式上，中国教育部部长陈至立作为会议特别发言者强调："中国的改革目标，是将一个具有12亿人口的国家引向现代化，这是一项人类历史上少有的伟大工程，所要解决的问题之多，之复杂是可想而知的。解决这些问题显然离不开高等教育所拥有的智力资源，培养更多的高素质富有创新精神的人才。"[2]

杨：首届世界高等教育大会取得了丰硕成果，对全球高等教育的发展产生了深远的影响，那么，当前世界高等教育发展有哪些新的趋势？您对这些新趋势有什么样的看法？

迪：也许有人不同意我的看法，但是，观今日之世界现状，我认为在不久的将来，高等教育的商业化、教育项目内容的国际化、教育课程大纲的个体化等趋势会成为未来主导高等教育的重要因素。我们可以利用虚拟教育、互联网积极应对这些高等教育的新趋势，消除它们可能的负面影响，通过加强国际间高等教育合作，为全球数百万年轻人提供高等教育机会。通过网络空间的"全球慕课"等方式，世界上的青年学子可以获得来自不同国家的教育资源。国际大学之间的合作已经不仅仅是一个挑战，而且是必要的。[②]

趋势终究只是个认识问题。重要的是高等教育要通过培养合格的青年以全力服务社会。在当代，高等教育投资巨大，商业化在相当程度上有利于推进高等教育发展，但教育之目的不是成为商业化的盈利机器，高等教育承载着发扬、推动人类文明的重任，世界各国要把高等教育作为公共产品对待。

所谓公共产品，意味着高等教育应当建立在以下三个原则基础之上：一是平等性，高等教育应当对所有合格的人开放，不能有任何歧视；二是持续与永久性，我们所提供的高等教育服务必须是持续的，不得有任何中断；三是适应性与可调整性，高等教育须适应新形势，以保证教育目的的实现。

2003年6月23—25日，赛多（Seddoh）先生（来自多哥，1999年接替我担任联合国教科文组织高教处处长）从联合国教科文组织退休之前，组织了一次高等教育合作会议，作为1998年世界高等教育大会5周年的纪念。那次会议通常叫作"WCHE+5"，会议的目标是对1998优先行动框架所取得进展的一次评估。这次会议很重要，尽管没有1998年大会那么大的规模，但也有来自约120个国家的400余名代表到巴黎参加了会议，堪称是联合国教科文组织的一次盛会。作为大会的准备，赛多先生安排了各个地区的报告，并要求联合国教科文组织的国家委员会提供各个国家层面所做立法改革方面的信息，共收到了104个国家的回复。亚洲区的准备工作由王一兵先生负责，王先生当时是负责亚洲区域高等教育的联合国官员，他的工作地点是泰国首都曼谷。

那次会议是一次非常认真的尝试，希望把

①1998年12月24日，教育部制定了《面向21世纪教育振兴行动计划》，提出要"创建若干所具有世界先进水平的一流大学和一批一流学科"。

②迪亚斯教授在2013年12月乌拉圭蒙得维的亚全球高等教育座谈会上做题为"Resistance and Submission in Educational Policies in This Beginning of Century"的报告中强调国际高等教育的合作。

化和碎片化的问题，这些现象都将影响到高等教育的发展，需要采取科学、理性的应对措施。新技术是一个现实问题，教育部门要确保新技术应当惠及所有人，而不仅仅是社会的部分人群。

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趋势终究只是个认识问题。重要的是高等教育要通过培养合格的青年以全力服务社会。在当代，高等教育投资巨大，商业化在相当程度上有利于推进高等教育发展，但教育之目的不是成为商业化的盈利机器，高等教育承载着发扬、推动人类文明的重任，世界各国要把高等教育作为公共产品对待。

所谓公共产品，意味着高等教育应当建立在以下三个原则基础之上：一是平等性，高等教育应当对所有合格的人开放，不能有任何歧视；二是持续与永久性，我们所提供的高等教育服务必须是持续的，不得有任何中断；三是适应性与可调整性，高等教育须适应新形势，以保证教育目的的实现。

2003年6月23—25日，赛多（Seddoh）先生（来自多哥，1999年接替我担任联合国教科文组织高教处处长）从联合国教科文组织退休之前，组织了一次高等教育合作会议，作为1998年世界高等教育大会5周年的纪念。那次会议通常叫作"WCHE+5"，会议的目标是对1998优先行动框架所取得进展的一次评估。这次会议很重要，尽管没有1998年大会那么大的规模，但也有来自约120个国家的400余名代表到巴黎参加了会议，堪称是联合国教科文组织的一次盛会。作为大会的准备，赛多先生安排了各个地区的报告，并要求联合国教科文组织的国家委员会提供各个国家层面所做立法改革方面的信息，共收到了104个国家的回复。亚洲区的准备工作由王一兵先生负责，王先生当时是负责亚洲区域高等教育的联合国官员，他的工作地点是泰国首都曼谷。

那次会议是一次非常认真的尝试，希望把

①1998年12月24日，教育部制定了《面向21世纪教育振兴行动计划》，提出要"创建若干所具有世界先进水平的一流大学和一批一流学科"。

②迪亚斯教授在2013年12月乌拉圭蒙得维的亚全球高等教育座谈会上做题为"Resistance and Submission in Educational Policies in This Beginning of Century"的报告中强调国际高等教育的合作。

高等教育作为公共产品写入最后的公报。我当时是作为一名观察员参会的，联合国大学校长范·金克尔（Van Ginkel）先生邀请我作为联合国大学代表团的成员。会议中，可以明显地感觉到大家的争论很胶着，尤其是关于GATS（General Agreement on Trade Services，即《贸易服务总协定》）影响的讨论。参与者们当中占主导的意见是，《贸易服务总协定》的目标与高等教育作为公共产品的概念是相对立的。最后一天，有专家（一位非常严谨的加拿大专家）认为还是不要把这个概念写入报告。高等教育作为人类权利和公共产品的目标当然是具有普遍意义的，但是一些专家提到全球公共概念意味着应该有一个标准，而这个标准化的东西与具体社会需求的针对性是相反的。联合国教科文组织的助理主任，英国人约翰·丹尼尔（John Daniel）考虑要通过文件并结束会议。有几个参与者把他们的书面抗议提交给了教科文组织。这里所提到的全球公共产品的概念，也是世界银行的概念，被排斥了。赛多先生是一个非常诚实的人，在修改大会文件时似乎遇到了很大的困难，以至于大会的文本在会议结束一年后才得以出版发行。（在这个报告之前有联合国教科文组织秘书长的特别报告。）这个文件好像比较符合政治规则，容易为大众接受，因为提出的平等术语，是联合国教科文组织的传统概念，也是《贸易服务总协定》称道的处事方式。但是许多的参会者抗议这是个再清楚不过的政治操纵案例。

2008年，拉美人在哥伦比亚卡塔赫纳会议[①]上，重点提出了高等教育是社会公共产品这个概念并写入了会议公报。我认为这表明一种姿态，教育项目内容的国际化要依照这个姿态开展，以促进世界各国间的平等合作。高等教育以人类进步为目标，是一种公共产品，需要公共财政的供给，而不是盈利性企业，合格的毕业生才是高等教育的产品。高等教育项目内容的国际化有助于促进世界上不同国家之间的高等教育合作，搭建起国际间跨文化交流的平台。同时，高等教育内容很大程度上取决于当地社会环境，与当地的历史和现实紧密联系。

最重要的是，确立高等教育的公共产品属性，其效果超出了高等教育机构本身的意义。

杨：您刚才谈到高等教育的商业化、教育项目内容的国际化、教育课程大纲的个体化等趋势会成为未来主导高等教育的重要因素。但是，不同国家和地区情况不同，各国高等教育质量的发展很不平衡，您认为确保发展的关键是什么？是加强政府调控，还是推动高校自治？

迪：质量是高等教育发展的核心与灵魂，是制定所有高等教育政策的出发点与归宿。并且，质量也是国际大学间合作的基础与关键，甚至可以说，所谓的合作，事实上是售卖优质的教育产品。

1998年，参与世界高等教育大会的所有个人和机构代表达成共识：质量是高等教育的“心脏”。但是，质量不是“空中楼阁”，良好的组织、管理，优越的校园设施条件包括实验室、图书馆等都是这座楼阁的重要部件。而且，对于高等教育来说最重要的是它服务社会的能力，也就是说，要满足大众的社会文化需求。一所大学，如果仅仅限于复制一种外在的模式，就不可能具备这种能力。

比如说，有关民主问题的讨论，一些西方的分析家就认为，典型的民主模式是英国模式。但他们很难描述英国模式代表了什么，大英帝国的基础又是什么，全世界又有多少人受到英国模式的“滋养”？根据英国模式，两院制被看作是民主架构的模型，是不少国家崇拜的典型。其他国家的法官也要带上法官帽（假发），认为这是民主体制的象征，显然是滑稽可笑的。同样，全世界的大学委员会成员也不需要穿上和牛津大学教授一样的学者袍服，大学不需要刻意模仿某一种文化传统。在1997年7月10日《东京宣言》[②]的第五条讨论的时候，参加高等教育亚洲区域会议的专家们提出：“既然高等教育全球化和国际化的趋势不可逆转，那么就要避免高等教育沦为某几个教育强国和文化大国的附庸品。”[3]

高等教育是公共产品，大学需要得到政府全方位的财政和政策支持，高等教育的质量确实受到大学所获财政资源的数量影响，但是，高等教

①即2008年召开的拉美及加勒比地区区域高等教育会议，对应第一届世界高等教育大会也称作“巴黎+10”会议。大会通过了宣言：Declaration and Action Plan of the Regional Conference on Higher Education in Latin America and the Caribbean.

②1997年7月8日至10日，亚洲区域高等教育会议在日本东京召开，原中国教育部国家教育发展研究中心副主任、中国常驻巴黎联合国教科文组织代表团参赞、教科文组织亚太办事处高等教育专员王一兵教授是会议的主要组织者之一。会议的主题是“针对21世纪的国家战略与区域合作”，会议发布了《高等教育亚太区宣言与行动计划》(*Declaration about Higher Education in Asia and the Pacific, and Plan of Action*)，简称《东京宣言》。

育作为高度自治的学术活动，核心理念是自主办学和学术独立，这些也是保障高等教育质量的基本要素。

杨：您在第一届世界高等教育大会宣言中提出大学需要担当起“推进人类文化和平的代言人”，这个观点您也在后来的会议中曾多次提及。我可不可以将之理解为“大学应成为人类文明的中心”？我的理解是不是有点儿“乌托邦”？

迪：首先，我很高兴你能提到这个问题，同时，我也想说，乌托邦会成为现实。

在20世纪70年代，当时我是巴西利亚大学的管理者，之后赴联合国教科文组织任高教处处长，我对高等教育机构所事任务之巨颇为感触，尤其是大学被全社会寄予厚望，它们被要求培养社会领袖，开展科学研究，发展知识智慧，开发人力资源以满足劳动力市场的需求，营造未来前景，培训各个层次的教师，推动文化进步，为社区提供不同的服务，充当人们学会共同居住的工具，消除各种有悖人文的歧视。因此，大学需要保持卓越。

正如你所提到的，大学正以其特定的方式，被要求成为“人类世界的中心”。这样的思考代表一种理想世界观，特别是理想的大学角色观。我认为这是个积极的态度，尤其是青年知识分子应该努力把他们的全部智慧和精力投入到有益于整个社会福祉的行动中去。

但随着时间的推移，我们发现大学是社会的一部分，社会上也有其他机构在努力扮演同样的角色，包括联合会、协会、政府机构等。例如，对很多人来说，宗教信仰应该是激励人类和睦相处的元素。我记得多年以前，准确地说是在2006—2007年，当时联合国大学在研究一个项目，是在西班牙巴萨罗那创设一个研究与培训中心，旨在推动文明的联盟（人类和谐）。联合国大学董事会认为这个新机构的组织结构要考虑到教育、青年、移民和媒体政策可能起到关键作用，帮助减少跨文化间的紧张，在不同社团之间搭建起合作的桥梁。讨论的结果是，提交了涉及四个话题的行动计划。这个新的国际大学文明联盟（UNU–IAC），应当“就学校和大学课程、教材开发等向国家部门提供建议，强调课程与教材内容要加强国际文化对话，文化多元需求和人类多元需求，这些都是大学需要捍卫的人类财富”[4]。该机构于2009年设立，但是，由于在主办国西班牙发生了政治变动，遂改了原来的名称，具体行动也受到限制。这些变动表明了我们所提到的文化多元对话等概念在机制、规则方面都面临困难，包括政治的。当前，除了哲学思想的、政治制度的和意识形态的障碍外，教育商业化的倾向已经成为高等教育理想视野和路径的最大障碍。

事实上，当今的世界现实会让我们有这样的认识：那种理想主义的想法和行动是乌托邦。乌托邦的主张是不是就认为任何目标都可以达到？但是，所有的知识分子、教师和教授们都要依赖于某个位置，这是不是意味着我们不得不接受唯金钱、金融权力以及排斥异己的价值观？这当然不是一个知识分子应该坚持的姿态。

如果没有乌托邦思想，人就无法生活。不追求乌托邦，希望就会死亡。可以说，乌托邦就是前辈探索者的北极星，没有乌托邦，我们就不能引领社会生活走向更公平的状态。忘记那些幻灭的先知预言家，不要理会那些没有灵魂的专家政论者。敢于梦想，脚踏实地，把命运握在手上，这是我们给全球那些为大学负有责任者的建议。

那么，就有人会问，从这一视角看，大学如何可以对人力资源的优化管理作出自己应有贡献呢？要说管理，在这些由联合国组织的有关社会热点问题的重大世界会议期间，有一个共识是，应对实时挑战，促进人力资源发展，承担起教育与培训的重要角色。

对于世界各国，无论是北半球还是南半球，必须要适应经济领域、技术和国际交流方面的变化，要记住，在所有这些领域的行动中，整个社会的利益应该放在首要位置。并且，非常迫切地需要加强人类相互尊重的价值观，而教育和培训恰恰是所有事业中最根本的。

在这样的环境下，我们高等教育的重点应该是什么？那就是，有效地应对21世纪的需求，优先发展专门知识、技能和能力，在努力预知未来，学会做人、学会生活等人文主义方面采取行动。

在我看来，高等教育恪守学术自由和大学自治的原则是必要的，但是也要承担起教育的社会责任。这个路径，尽管实施起来会复杂，但对学术实践有着直接的、深远的影响。它要求消除学科的割裂区分，避免过于自我封闭于象牙塔的倾向，我们应该努力和整个社会群体建立有效的、真诚的伙伴关系。

最后，在结束这个问题的讨论之前，让我们

回顾高等教育角色与民主相关的几个方面。

教育，尤其是高等教育为民主做到什么呢？我认为，我们不应该坚持高等教育解决一切社会问题的观点。或者说，高等教育是无法单独解决这些问题的。这种唯意志论不是一个解决办法。但是，高等教育是解决问题的要素之一，我们需要所有层面的协同努力，从小学的初级教育到大学的高等教育。

对当前全球局势的分析显示，如我们已经讨论过的那样，技术、经济、社会和政治因素刺激整个国际社会去面对深层次的变化。尤其互联网等技术的发展，对社会生活产生了巨大的影响。

全球化已然成为事实，商品和服务的交换已经成为社会组织中的关键因素。各个公司结构中的变化显而易见，反过来，劳动力组成也相应变化，多样、变换是普遍现象。政府正在失去它们的功能和权力，它们与公民个体的关系因此也与往昔不同；新的角色在出现，市场正成为各国与个体之间组织联系的优势力量。在这方面，高等教育能够做的很多，尤其可以厘清世界各种新现象的本质。

如果认为这种社会演变不会对教育有什么冲击和影响，那就太幼稚了。高等教育向商品的转化，多种制度的产生，其目标根本上是销售产品，这些都影响着高等教育机构和制度的组织方式。教育作为公共服务的观点为一些“新思维者”所拒绝，也有许多人持中性态度，这事实上代表一种非常具有意识形态特色的态度——支持那些控制经济的力量，并且鼓动教育向商品的转化。一些国际机构的行动代表了这一方向的关键要素，一系列朝向垄断机制的国际评价和认证其最终目的也是如此。

但是，让我们坚定这个认识，高等教育在社会发展项目的角色已经得到普遍认可。大学和其他高等教育机构在知识的生产、传播和应用，在专业人士和管理人才的培训和再培训等方面的作用至关重要，并且，如上面所提及的，高等教育对各个层次、各个类型教育的进步，也是非常重要的。高等教育机构和大学也要为塑造文化、培养民主进程作出贡献。当经济发展越来越建立在高级知识和技术的基础上，培训出具备高技能的人力资源一度成为高等教育的主要任务。尤其是发展中国家，如果没有可以达到最高标准的高等学习和研究机构，根本没有希望掌握和应用最新的技术，更不必说对科学进步作什么重大贡献。只有通过发展自主创新技术和能力，它们才能弥补与发达工业化国家之间的差距，降低对不断持续的外国技术帮助的依赖。这就是为什么我们坚持高等教育项目的针对性，并且声明没有针对性，就没有质量可言。在这个意义上，高等教育，即便没有此意义上的垄断，也可以被认为在当前人类世界的中心扮演一个重要角色。

我们再回到乌托邦的问题。所有的分析家、学术社团的成员、所有政府代表、所有国际组织公务员和所有这些认同教育，尤其高等教育应该继续被视作公共服务的有识之士，被看作是今天乌托邦思想的创造者和捍卫者。所以我要说，“乌托邦可以成为现实”。我们只要知道在哪里，怎样寻找它们就足够了。

杨：高等教育要把质量放在首位，高等教育需要保持卓越，这是一个不断超越的过程。中国高等教育近20年来历经了一个与别国不同的“特殊发展过程”——大学规模急速扩张，政府高度主导，就此您对中国高等教育发展有何评价？

迪：我不是中国问题专家，但是，因为我访问过中国至少8次（包括3次去澳门和香港），我可以清楚地看到中国在过去几十年来取得了经济发展的伟大成就，近30年GDP年均增长高达10%，甚至在全球遭遇经济发展困境的时期，也可以达到8%，而一些发达国家却是零增长。

经济前景就是事实。今年6月的访华让我看到了这个国家在各个领域发生着令人难以置信的变化和发展，当然也存在不少问题。但是，我们也可以想象到管理一个13亿多人口的国家是多么困难。现实是，越来越多的就业机会被创造出来。社会对受过高等教育训练的人力资源需求增长，这对高等教育有着直接的、积极的影响，高等教育系统的录取高速增长，同时中国社会变革与转型也对高等教育提出了巨大的调整需求。当然，调整以适应新的现实形势确实没有那么容易。今天，中国有3 000万名在校大学生，毫无疑问，是世界上最庞大的高等教育体系。

大学根据新形势来调整与转换体制，以保证新的体制中每个人都在市场中尽其才，当然这也是极端复杂的工作。我们可以看到，中国官方努力保持公共产品的原则，设立了诸多项目以确保高等教育对所有年轻人开放，不受他们的经济状况限制。并且，对那些致力于未来成为教育工作

者的师范类学生实行免费教育。中国政府也重点关注有关国防、国家重点企业，以及重点民族研究项目。在这种情况下，毕业生出现就业困难是情有可原的。对外国观察者而言，这是个重要的因素。西方发达国家和大多数新兴国家都没有解决这一困境。

关于自治的问题，也很复杂。许多国家用立法来规定大学自治，甚至写入了宪法。但是，事实上它们是如何运行呢？有多少大学拥有真正的自治？

世界高等教育大会建议每一种体制都要根据当前和未来的社会需求来定义它们的使命。我们在考虑这些建议的时候，不要忘记大学的使命和发展的质量是最根本的，对一个国家的社会创新和经济发展的作用不可或缺。这些使命要求大学必须找到路径去实施学术自由这个概念。1997年11月，联合国教科文组织全体大会通过了《关于高等教育教学人员地位的建议》。第二十六和二十七条强调：所有的高等教育教师应当享有思想、信仰、言论、集会等自由。高等教育教学人员被赋予学术自由，可以自由地开展教学和讨论，研究、传播和发表研究成果，而不受任何教条限制，可以自由地对所在机构或系统发表意见。履行教学、研究职能而不受任何歧视，也不用担忧会遭受来自政府或其他来源的压制。[5]但是，很多发展中国家的大学却未曾获得良好的学术环境。这就带给我们更深层的问题，也就是自治的概念，在许多国家的宪法和有关高等教育的法律法规中都有明确条文。

自中世纪大学在欧洲的出现至今，自治和自主是大学的重要理念。其含义有几个要素：研究自由、教育自由和自我管理的权力。总的来讲，大学和高等教育机构应当仅仅抓住这一目标，组织、管理它们的资源，自由的研究和组织教学。但是，我们已经走过中世纪，全球形势也变得越来越复杂。自治作为主权的同义词，或者说不被限制地拒绝向社会解释的权利，越来越遭受挑战。大学应当是自由的，自治的，还应当主动适应社会变化。

混淆自治与主权的概念对于学术生活可能有负面的影响。1942年，著名作家斯蒂芬茨·威格（Stefan Zweig）在里约热内卢近郊小镇佩特罗波利斯去世之前不久，完成了自传《昨日世界：一个欧洲人的记忆》，在书中说“党卫军”在校园里驱散集会，在夜间袭击他们的对手，威胁他们，并且在肢体上打击他们，迫害学生社团，在学术豁免的外衣下，用暴力建立起恐怖制度。对我们拉丁美洲，自治也是个神话。甚至当初的军政府独裁者和保守党政府都曾经说过他们希望尊重大学的自主。在实际上，他们根本没有兑现承诺，有些国家甚至以自主办学的名义停止财政拨款。

劳伦特·施瓦兹（Laurent Schwartz）①在1987年给国民委员会做的题为“新社会大学”的报告中指出：

> 人人都谈自治，却不能真正做到，因为大学没有财政的自主权；大学获得自治权是非常必要的，项目必须是多样化的，学生和教师的录用也必须是多元化的。在我们的高度中央集权化的国家里，大学自治不可能是那么激进的，只能一步一步慢慢推进，有尝试也会有失败。大学自治，要求大学有一个强有力的管理层（当前的政务格局下是不可能的），并且许多的评价既有正面的鼓励也有负面的批评。国内的和国际的竞争是更好的自主调节。[6]

如果学术界在定义高等教育机构的使命时能更多考虑到社会需求，他们将获得一个比较理想的当前所做和未来期望他们所做的工具。这样的相对性将使得高等教育机构有一个现实的观点引导他们的行动，高等教育将会更加开放，他们将牢记其教育目标是与其公共产品属性相一致的。在当前，社会越来越商业化和层级化，当局可能考虑放弃教育作为公共产品的概念，而将之转换为商业产品。那么（如果他们真的乐意），大学可能会享有真正的自主权。

杨：现在很多中国大学都关心世界大学排名，并且以世界一流大学为参照来谋求自身发展。您如何看待高等教育界流行的大学排行榜这一现象？

迪：作为一名教育者，我认为这是个错误的做法。中国不需要去模仿外部的模式。中国历史悠长，中国大学也经历了不同的模式，曾经复制

①劳伦特·舒瓦兹，犹太人，出生在法国巴黎。著名数学家，供职于斯特拉斯堡大学，社会分配理论的先驱。20世纪80年代，法国设有国民委员会作为评价机构，是一个自主性团体。其成员由法国总统密特朗任命，他们都来自社会高层次人群。1987年，这个委员会发起了一个综合报告，由法国文献出版社出版，身为科学家和教育家的劳伦特·舒瓦兹教授为本书前言作者。

过欧洲模式和苏联模式，都以不太成功告终，最终中国只能选择适合本国国情的发展道路。

我尊重中国上海交通大学对世界大学排名所做的工作。但是不要忘记，这种排名往往会被转换成一种高获利的产业，需要加以警惕，而且这一评价体系聚焦在某些高等教育机构的特定情形，过度依赖盎格鲁·萨克森国家的标准，不一定可取。

2013年5月17—21日，联合国教科文组织召集了一次有关高等教育机构分类、排名的会议，有来自70个国家的250多人参会。在大会提交的文本中，联合国教科文组织的总干事做了综合解释："最初被用作一个信息工具，旨在满足公众对高等教育透明的要求，国际大学排名已经逐渐被看作是质量工具，并且刺激了机构之间的剧烈竞争。"在一个全球化的世界，高等教育已经成为了一个出口产业，学生的全球流动成倍增长，大学评价已经被转换为政策工具，影响着高等教育院校的决策、学术队伍、学术研究和政策制定。

今天，这些主要排名结果确实直接影响到国家公共政策的制定。例如：荷兰和丹麦，为来自世界排名前300的高校学生迁移提供便利；俄罗斯最近批复了90亿卢布的资金，为那些排名较好的大学提供支持，鼓励他们与全球最好的大学之间开展合作交流；中国政府也在资金和政策上大力支持"985"高校；澳大利亚的大学聘用国际知名专家优化他们的大学形象。为了抵御这种影响，欧洲人已经决定创设自己的排名体系——the U-Multirank（多维全球大学排名），保障他们的大学可以进入最佳大学之列。2003年，上海交通大学世界一流大学研究中心首次发布"世界大学学术排名"，只有16所中国（包含台湾、香港和澳门）的大学进入世界大学排名的前500名。2012年达到42所，其中5所进入了前200名。

在我看来，对于像中国这样的国家，以及世界上其他发展中国家的高等教育机构，迫在眉睫的任务是：

——确认它们在履行教学、研究、社会服务和批判使命时严格遵循构成其使命的原则；

——衡量它们的工作如何促进社会进步，如何建构公民身份，如何促进国家内部和不同国家之间的融合；

——衡量它们的行动如何为和平与理解服务，以取得全球共同生存的理想。

例如，关键之处在于，对一个大学来说，如巴西前总统卢拉在他的政府上任时所创设的"联合实验室"（the Uni-Lab），鼓励与非洲国家的合作。对于这样的大学机构，数一数它们的教师在盎格鲁·萨克森刊物发表的文章，或者有没有诺贝尔奖得主，有多大用处呢？

在1998年世界高等教育大会参与者通过的行动计划中，关于高等教育使命的定义，被认为是高等教育的根本问题。对于这些大学机构来说，有必要规划或者重新规划它们的使命，厘清行动目标，设计一个基本的评价工具，保障每个大学具体项目和功能的实现。如果高等教育机构使用这种性质的工具，他们就能够以更合法、更客观、更具体的方式，组织他们的内部评价，也将能够坦然面对外部评价。如果这个工具的目的是确认高等教育机构使命的基本元素是否在具体行动中得到考虑和体现，这样也会更有意义。换句话说，这样一种衡量将代表维护高等教育质量的定义，也将保障其评价不仅仅基于那些来自小部分国家的元素，因为这一小部分国家主导了全球范围新知识的产出。

现代大学更需要承担起服务社会的使命，培育出一大批具备专业知识和创新能力的专家、学者，训练年轻人，并致力于改进社会制度，应对时代需求，使我们人类生活不仅在物质上，而且在精神世界方面变得更美好。

杨：中国高等教育发展取得巨大进步，也亟需在新的形势下进行改革。根据您对中国的了解，我们的教育改革要重点关注哪些问题？

迪：我已经提到，世界高等教育大会提出高等教育机构定义或重新定义他们的使命，要与社会的各个层面相结合，包括政府、议会及不同的协会。

大学是社会进步的发动机。高等教育机构的主要任务是提供有高价值的教育项目，培养出高素质的人才，解决社会问题，为人类社会的繁荣进步服务。因此，高等教育改革，质量和评价方法应该受到广泛关注，以对社会有所交代。具体地讲，高等教育达到高质量、高水准，主要在于其针对性，"高等教育机构所提供的项目要适应于社会对它们的期望，要求高等教育强调自身的贡献要从社会整体出发，实现教育体制的全面发展。换句话说，就是高等教育努力寻求进步以解决社会迫切问题，尤其是那些关系到和平建设、

可持续发展的问题。要捍卫文化多元性和对人权的尊重”[7]。这个目标的取得需要社会各方积极参与，特别是高等教育机构和政府两方面。

大学自治和学术自由对实现这一目标是非常重要的。1998年巴黎召开的第一届世界高等教育大会达成的一项共识就是，高等教育要去塑造未来。高等教育机构应当加强它们的批判功能和未来意识，要实时地分析不断出现的社会、经济、文化和政治趋势，提供给社会以预测、预警和防范。从这个方面讲，它们应当享有全面的学术自治和自由，全力以赴为社会负责、尽责。

当然，确保青年学生可以进入高等教育领域也是高等教育改革的重要一环，学生的资质、能力和动机应该是决定他们进入高等教育的衡量依据，我们不能因为学生的家庭财务状况、性别、语言、政治及宗教信仰等差异而对他们关闭高等教育的大门。

杨：如果说大学是社会进步的发动机，那么大学生就是这台发动机的齿轮。您多次强调大学服务社会，培养青年一代的使命。这让我想起哈佛大学哈瑞·刘易斯教授所著《失去灵魂的卓越》一书，您如何看待大学“追求卓越、不失灵魂”这一美好愿望？

迪：首先，你提出“卓越与灵魂”的主题，说明你对大学使命进行着深层次的思考。

中国在经济上取得了举世瞩目的成绩，已成为全球经济体的第二大国。中国的未来很大程度上将决定世界的未来，今天正发生在中国的事情也正在影响着世界的变化。大学是人力资源的蓄水池和铸造厂，更是先进思想的创造者，是社会进步的发动机。但是，面对全球化进程的深入发展，中国高等教育领域在大学组织、高等教育政策等方面显露出一些问题，如大学行政化严重、教授治校缺失、资源配置失衡、公平与效率冲突等。当然，对于这么一个人口总量的国家又如此快速发展，遭遇困难是必然的。今天，中国的官方清醒地看到高等教育存在的问题，而且有信心加以解决。

我们说追求卓越，更多指的是学业优秀、能力超群，相对而言，灵魂强调思想高尚、道德双修。当今世界已经发生了巨大变化，就业情形也随之而变。兼职工作、特定期限合同、临时合同、无酬劳或低酬劳实习合同等新的趋势不断更新，数量、种类繁多。所有这些工作模式层叠交错，导致了就业的偶然性增加，使就业越来越脆弱。这种现实挑起了劳资双方的关系变化，劳动力一方的弱势日趋加剧，行业协会已然失去了人力移动和谈判的能力。不确定和不稳定已经成为民众生活的一部分。这也是新进入职业市场的年轻人感觉无助的一个因素。如果从伦理道德的路径分析这个问题，不仅仅局限于经济因素，我们可以明白，修正价值尺度是必要的。我们在前面提到过，大学作为理性的组织，比政府更能在修正和塑造价值观方面有所建树，高等教育机构通过它们的产品——卓越而又有灵魂的青年去推动历史的车轮。历史上看，政治更容易为既得利益集团掌控，他们往往把集团利益放在首位。而大学历经不同的朝代、政权和制度，始终屹立于人类文明的前沿阵地，不仅承担着培育青年、发展知识的重任，更承担着社会道德批判职能，引领人类文明积极向上。

中国是如此一个大国，人口总量又如此之众，所面临的问题繁巨可知。这些年，社会生活各个方面已经发生了很大的变化。人们不仅希望大学能增加录取学生的数量和提升研究水平，而且培养“追求卓越而不失灵魂”的高素质人才越来越成为整个中国社会的指望。

杨：感谢迪亚斯教授在百忙之中接受我的采访。

迪：感谢你和苏州大学诸位老师为我提供了进一步了解中国的机会！

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Trends, Problems and Suggestions on Higher Education Worldwide: An Interview with Marco Antonio Rodriguez Dias

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Abstract: Through the live interview and further email correspondence, Professor Marco Antonio Rodriguez Dias, the former Director of Higher Education Division of UNESCO, expressed his viewpoints on some hot issues over higher education. One point is that higher education is a public good and bears the responsibility of establishing an ideal system for our society by offering equal opportunities and high-relevant programs for youngsters who have fundamental merits. The second point is that universities are expected to cherish and protect the essential spirit of academic independence, setting refined modes for future society and assuming the role of promoting peace of cultures worldwide. The third is that globalization of higher education creates more opportunities for inter-college cooperation, and mobility of talents, as well as inter-cultural integration. However, it is vital that higher education institutions retain national independence, rather than passively follow the modes set by some privileged nations. In addition, Professor Dias appreciates the drastic progress that China's higher education has made in the passing decades, and has raised his expectations of China's higher education institutions to contribute more to the well-being of human society.

Key words: higher education; new trends; public good; social responsibility; university autonomy

[责任编辑：罗雯瑶]

DOCUMENTO NÚMERO 3

"TRENDS IN HIGHER EDUCATION- AN OVERVIEW" - ELEMENTS IN ENGLISH FOR THE ARTICLE/INTERVIEW IN JOURNAL OF SOCHOOW UNIVERSITY (doc. 2)

Autor da entrevista e do artigo publicado no Journal of Soochow University: Yang-Xi-Chao

Question 1 - JSU

You organized The 1st World Conference on Higher Education in 1998, what do you think of the significance and effect that Conference has brought about?

Dr. Dias:

It can be seen from an analysis of trends in higher education establishments over the past half century that the basic tasks of higher education are, and will remain, linked to four main objectives:

1. the generation of new knowledge (the research function);

2. the training of highly qualified personnel (the education function);

3. the supply of services to society; and

4. the ethical function, implying social criticism. In addition, as a result of their deep-seated links with society, higher education institutions are, by their nature, under an obligation to adapt continuously to social trends.

The 1st World Conference of Higher Education held in 1998 set a brand-new outline for Global Higher education, by figuring out basic principles which will surely serve the implementation of the four main objectives mentioned above with the far-reaching effects:

- defining the main principles that will be the foundation for an in-depth transformation of higher education. This transformation will, in turn, enable higher education to become an efficient promoting agent of a culture of peace, based on a sustainable human development founded on equity, democracy, justice and freedom.

- contributing to improve the relevance and quality of its teaching and research functions, offering equal opportunities to all individuals alike, via a permanent education that has no limits, where merit is the basic criterion for ensuring access to the system; and

- further strengthening inter-university co-operation, involving all the players of higher education.

At the same tine, a series of preparatory meetings held before 1998 across the world that led to the 1st World Conference of Higher Education. Those meetings aimed at:

1. **Solution to global problems.** For example, there are **flagrant** inequalities in higher education that are both the outcome and the cause of a growing gap between the rich

industrialized countries and the so-called developing countries. Moreover, one of the aspects underscored by all the regional conferences concerns the need to deal with the education system as a whole. The universalization of primary and secondary education is imperative and is essential to the democratization of higher education. Secondary education should no longer be regarded as only preparation for higher education. It must also be capable of training young people for working life and must, moreover, be of a high standard if we are to ensure that those with secondary school leaving certificates will be successful in their chosen careers or capable of taking part in higher education courses. Attention was also drawn to the need to ensure that young people's access to higher education is not restricted on grounds of their financial situation, gender, language, origin or political or religious convictions. Students' merit, ability and motivation should be the only grounds for determining whether or not they should have access to higher education.

2. Globalization and new technologies. Higher education is open and liberal in the context of a world undergoing change, in which globalization has both positive and negative aspects that have to be taken into account when the time comes to define higher education policies, we need to take care of democratization, globalization, regionalization, polarization, marginalization and fragmentation, all of which have an impact on the development of higher education and call for appropriate responses.

3. Strengthening co-operation. The need for higher education to be open to the world is well known. Higher education cannot and should not be visualized any longer in purely national or regional terms. Future graduates have to be in a position to take up the complex challenges of globalization and rise to the opportunities of the international labor market. The equitable transfer of knowledge and the mobility of students, teachers and researchers are crucial to the future of peace in the world.

Question 2.- JSU

What do you think are the new trends currently with Higher Education in the world? And are you in favor or against these trends?

Dr. Dias:

Obviously, over the passing decades, the commercialization of education, the internationalization of the content of educational programs, the individualization of curricula (transcripts) are certainly trends which will dominate higher education policies in the world in the very near future. It is a necessity to deal with these trends positively by taking advantage of virtual education and internet to reach millions of young people worldwide and by strengthening inter-university cooperation.

As for my attitude towards the trends mentioned above, I insist on the idea that higher education should make all efforts to serve the society by training young people into qualified talents. In modern time, higher education calls for large-scale investment, and commercialization is to great extent facilitating education, rather than a goal of education. Higher education, working for progress of human life, should be a public good financed by public avenues, rather than a profitable enterprise. If anything, the graduates are profits we make. Internationalization of the content of educational programs help promote inter-cooperation among the countries across the world and set up a platform of cross-cultural communications, but the contents of education depend in large measures on the local context of society, which is closely connected with their history and reality.

Question 3 JSU

Today there is a severe disequilibrium in the quality of higher education among different countries, what do you think essential to ensure higher education quality? To increase Governmental Control or just rely on self-regulation of Universities ?

Dias: Higher Education is a public good, so governments are expected to support universities from all aspects such as finance and policy. Surely enough, the quality of Higher education is subject to how much universities can gain financial support, but higher education is highly academic activities, in which academic independence is the core concept.

Question 4. JSU

You worked as Director at Division of Higher Education, UNESCO, since October 1981 (1981-1999), how do you feel about the work at the post?

Dias: I was surely proud of working as Director at Division of Higher Education, UNESCO, mainly because the work with Higher Education plays an important role in promoting the welfare of all nations across the world. At the turn of new century, knowledge and intelligence counts much and the quality of higher education systems and institutions decide on how much more we can achieve in human progress.

The Organization fosters innovation to meet education and workforce needs and examines ways of increasing higher education opportunities for young people from vulnerable and disadvantaged groups.

It deals with cross-border higher education and quality assurance, with a special focus on mobility and recognition of qualifications, and provides tools to protect students and other stakeholders from low-quality provision of higher education. UNESCO promotes policy dialogue and contributes to enhancing quality education, strengthening research capacities in higher education institutions, and knowledge sharing across borders.

Question 5. JSU

Higher Education in China has undergone a particularly-distinct course of development characterized by rapid Scale Expansion & highly Government Dominance over recent two decades, would you please render some comments on China's higher education?

Dias: China has achieved great success economically over the past decades with an annual GDP of around 8%. The prosperity of economy provides more and more employment opportunities; on the contrary, the economic markets call for large quantities of trained labor forces, i.e. the products of higher education. Speaking for myself, the Scale Expansion of higher education in China meets the needs of the country. Higher education is subject to external influence. The central government can adjust the enrollment among the colleges and universities in order to make sure of the social justice. But higher education observes its own principles, the over control by the government tend to restrict the universities from independence in their teaching and science research, causing faculties to follow the power obediently, which will undermine the holy spirit of higher education. After all, our society needs new brains who bear the spirit of independence and venture to take the initiatives in their future work.

Question 6. JSU

How do you regard China's higher education in terms of the popular Craze in World University Rankings ? In other words, how do you think of the phenomenon that all Colleges and Universities in China now fix their eyes upon the pursuit of their Rankings?

Dias: As an educator, I confirm that Universities need to undertake the great missions of bring forth service to the world, by training talents with expertise to improve on the change of our society in the direction of bettering our life materially and spiritually. The World Conference on Higher Education in October 1998 expressed a massive support to the concept of education as a public good. China is a country of central power in politics; it is expected that the central government raise funds for higher education, youngsters attend higher education on the account of their merits without any other limitations.

Question 7. JSU

What do you mean that Universities function as promoting agents of peace of culture? By the way, I used to hold an idea that Universities characterized by their reason and rationality should act as centre of human life, how do you think of this idea?

Dr. Dias: Universities produce eligible talents to shoulder the responsibility of the world; all the social elites including political leaders, scientists, entrepreneurs, etc. are products of universities. So it is acceptable to render higher education as engine of modern society, or in some sense, centre of human life.

Question 8 JSU.

Reform in Higher education is the hottest issue that Chinese Universities are confronting, in your opinion, what is the first policy in terms of Higher education reform?

Dias: Universities are the engine to social progress. The main task of Higher education institutions is to prepare qualified talents for the well-being of our society by offering valuable programs which aim at solutions to practical problems. In reforming higher education, therefore, quality and evaluation methods should be more generally applied, thereby enabling it to be accountable to society. Practically, what makes higher education attain a high quality is its relevance, in other words its efforts to find solutions to pressing social problems, in particular those connected with peace-building, peace-keeping and sustainable development. This goal requires the active participation of all the parties concerned, especially higher education institutions and the government. Institutional autonomy and academic freedom are essential to the fulfillment of this social goal.

Attention was also drawn to the need to ensure that young people's access to higher education is not restricted on grounds of their financial situation, gender, language, origin or political or religious convictions. Students' merit, ability and motivation should be the only grounds for determining whether or not they should have access to higher education.

Question 9. JSU

You attended the international conference in Hangzhou China 2007, would you please comment on the theme of that conference, "Excellence with or without a soul: the cultivating of mindful university graduates"?

Dr. Dias: Firstly, the theme raised by Chinese scholars at that conference manifests China's higher education is making deeper ponderations over the mission of universities. More than that, it now seems clear that the future of China will condition the future of the world. What happens now in this country has an impact all over the world. But what is really happening in China, in the world process of globalization and, in a more specific way, in the organization and definition of policies for education in general and for higher education in particular? China's universities are expected to take further steps towards establishment of better and better social systems with the great work of their researchers on campus and with the contributions of their mindful graduates. Those Greek philosophers, scholars set up principles for Western philosophy and life. What should be the role of higher education institutions, particularly those from China and the whole Asia, in the configuration of a new world? Will it be a world of peace, of tolerance, of understanding between individuals and nations or we will face exclusively a change in global leadership? I hope Chinese higher education institutions can undertake more responsibilities.

Final question: JSU

We have a feel that China is facing a critical moment in the reorientatation of Higher Education. There are a lot of tasks to tackle for China's Universities, so it is inevitable that we get lost in the reform time.

Between justice and efficiency? Beween teaching and research? Between quality and scale? Between Government control and University autonomy? Our question is, **In the following decade, what do you think is the first tasks China's Universities are expected to undertake?**

Marco Dias:

It's not easy to reply to this question. It is as difficult as it is not easy to talk about the future. The Austrian writer, Drucker, who was considered a kind of "guru", in the seventies and eighties, used to say, that it is not difficult to foresee the future. But, he used to add: This is good for nothing.

He was right in the sense that the future depend on so many variables that normally everything happens differently from previsions. But precisely for that, it is absolutely necessary to make prospects, to try to guide the human action and to avoid mistakes.

In the 1998 WCHE in Paris this was precisely one of the points a consensus was established. Higher education must make prospects. The higher education institutions "should enhance their critical and forward-looking function, though the ongoing analysis of emerging social, economic, cultural and political trends, providing a focus for forecasting, warning and prevention. For this, they should enjoy full academic autonomy and freedom, while being fully responsible and accountable to society" (Official summary of the World Declaration on Higher Education")

Before coming to UNESCO, when I was an university administrator in my country, Brazil, each time I received a visit from an international civil servant, I was I was chocked with their advises and guidance. Clearly, they lived in a different world, but they believed that they were the owners of truth and they had full knowledge on everything. Most of them were alienated of our reality. Their advises were good for nothing. Coming to UNESCO, I tried to act differently. The main function of an international civil servants should be to assist people in thinking and in making their own options to better serve their societies.

When you ask me what tasks Chinese universities should undertake now, I could limit my reply saying: I don't know. Ask the universities themselves to reply…

Of course, things are more complex, and after all the questions we discussed in Suzhou and after our exchanges, questions, replies and comments, we can advance a little. China lives now a period of transition, this is clear. Each period of transition brings in itself contradictions that sometimes are difficult to face. In the Chinese case, it seemed always clear to me that Chinese did not want to repeat the experience of Soviet Union and of other former Socialist or Communist countries. But, at the same time, it would not be intelligent to adopt, without criticism, the soi disant democratic model of some Western countries.

Let me give an example. I have had the occasion to follow the last decade of the Communist system appl.ied in Romania. Since 1981, I used to visit Romania at least once each year. Romania is a wonderful country. People are kind and cultivated. The country has natural resources and geographically occupies a strategic position in Central Europe, all conditions for a sustainable development benefiting the whole population. However the Ceausescu's regime was hard, there was no respect to human rights, a minority benefited from the system. Normally nobody should complain of the disappearance of Ceausescu's regime. But, I remember that in 1989, discussing with Romanian friends and also with people from other socialist countries, without being a prophet, I expressed the hope that Romania should look for a new system without copying for example the Latin-American model. Romania, in 1989, did not have external debt. The economy could be rebuilt in judicious way. This was not done. Today accusations of corruption in Romania are permanent, the country has a debt of several billions of US dollars and is dependent of financial international organizations.

Each week, in reality each day, one can read critical articles on Chinese situation in many Western countries. The day the stock exchanges in Shangai have had a drop, many western journalists became excited announcing the end of the increase of the Chinese economy. They really don't understand what is happening inside China. I don't dare to say that I understand China, but I try to see what is happening. Since 1989, I went to China at least eight times (three of them to Macao and Hong Kong) and each time I am surprised with the positive changes. I realize that more than 400 million people left the misery zone. Salaries in general are not high, but, each time, I see that more and more people are working and the 1998 laws on labour tried to ensure the security of jobs. Of course, as observer, I can see difficulties and contradictions. But, precisely my interest is to see how China will solve the existing contradictions.

Concerning g higher education and research, we are convinced that any country can reach a permanent stage of development benefiting the whole society and all regions of a country without having an enough number of highly qualified graduates and responsible citizens. Instead of doing like many Latin American countries (and from other regions also) that did not invest in research and decided not consider higher education as a priority, China made an enormous effort to rebuild the universities and to stimulate research capacities, and at the same times making agreements with outside companies involving the transfer of economy.

I always felt that China seemed to say to other countries: you have the capital; we have the market, come here but bring your knowledge and share it with us. In other words, China decided to be open to international cooperation but requiring the transfer of technology. And at the same time, China made enormous investments to increase the capacity of local universities and sent people outside to acquire knowledge and come back to serve the country. Many of people leaving China don't come back. This is not diferent of what happens all over the world. The brain drain is an international scandalous. But many come back and the capacity of construction knowledge is increasing.

For people like me, for people who consider important that higher education contribute to sustainable development and to the improvement of the society as a whole, we are very curious to follow what will happen inside Chinese universities in the next future. We hope that Chinese universities will not be so stupid to come back to imitate models that in the past have had bad consequences for the country. We hope that Chinese authorities stimulate the academic world to be accountable to society, but without forgetting that for reaching this ideal "higher education has acquired an unprecedented role in present-day society, as a vital component of cultural, social, economic and political development and as a pillar of endogenous capacity-building, the consolidation of human rights, sustainable development, democracy and peace, in a context of justice. It is the duty of higher education to ensure that the values and ideals of a culture of peace prevail".

I just received, in this beginning of August 2015, an invitation to open an international conference which will take place next month in Mexico. Representatives of all regional and interregional university associations, rectors of universities of most of the Latin-American and Caribbean countries, will attend this meeting. The visit I undertook to China recently is helping me to prepare the text of the speech I will present there. I have the intention to remind the universities of Latin America and Caribbean what was adopted in 1998 in Paris –with the enthusiastic approval of the Chinese delegation- it means that "each higher education institution should define its mission according to the present and future needs of society and base it on awareness of the fact that higher education is essential for any country or region to reach the necessary level of sustainable and environmentally sound economic and social development, cultural creativity nourished by better knowledge and understanding of the cultural heritage, higher living standards, and international harmony and peace, based on human rights, democracy, tolerance and mutual respect. These missions should incorporate the concept of academic freedom set out in the Recommendation concerning the Statute of Higher-Education Teaching Personnel approved by the General Conference of UNESCO in

November 1997" (II,5 of the Framework for Priority Action for Change and Development of Higher Education- WCHE 1998)

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汉斯·范金克尔　马可·安东尼奥·迪亚斯

摘要：为增强高等教育的多样性，促进高等教育的创新性和创造力，本文强烈呼吁采取有关质量评估和认证的方法。

在高等教育价值观发生重大变化的过程中，出于各种原因，认证已成为高等教育的一项重要议题。长期以来被主要视为公共物品(public good)的高等教育正日益转变成一种重要的私人物品(private good)，变成一种遵从于贸易规则的商品。在此领域，采取任何一项行动之前应该明确这样一些基本的问题：为什么以及应该对质量的哪些方面进行认证？这个体系由谁来掌控以及标准是什么？

本领域采取的质量、认证概念以及方法所产生的结果不仅体现在高校与国家的经济、财政层面，而且也体现在文化、社会和政治生活方面。在1998年世界高等教育大会期间，与会者在广泛接受高等教育质量多维性的基础上达成了共识并接受了评估的理念。世界高等教育大会提出要将高等教育的质量和适切性相结合。此后，认证这种在一些国家尤其是在美国早有所用的方法，逐渐成为一项重要的国际议题。

质量的概念非常重要。世界高等教育大会提出求高等教育机构应与社会一起确定或重新确定它们的使命，通过比较院校实际的表现与社会对院校的期望，这可能会为开展适当的评估创造必要条件。标准可以通过这种机制而非使用与院校文化环境或社会具体需求不相适应的模式来确定。这些标准应当保证适当的质量，同时提升多样性、创新性和创造力。

目前，国际社会正在推动三个相互联系的进程，它们对高等教育机构的组织和认证体系的组织方式具有直接的影响。它们分别为《波洛尼亚宣言》、建立国际质量认证体系的指导意见以及1995年开始涉足高等教育并不断彰显其影响的世界贸易组织。

《波洛尼亚宣言》是一个以创建“欧洲高等教育区”为目标的富有成效的进程。最初的政策宣示如今已成为30多个欧洲国家的协议。在这要提出一个中肯的问题，是否可以将一个新的方法变成国际上的惯例。达成条约与制定规范性文件一样都需耗费很长的时间，而由一些部长或专家发表一个宣言则似乎简单得多。

这种情况在《波洛尼亚宣言》中的体现很明显，而经合组织理事会2005年12月通过的《跨境高等教育质量保证指导意见》也同样如此。此外，联合国教科文组织大会(2005年10月)指出，“总干事打算以‘秘书处文件’(Secretariat Document)的形式发布《指导意见》”。国际大学协会(IAU)和其他35个机构制定的另一份文件也成为这一进程的重要组成部分。为了保证认证的顺利开展，教科文组织正积极鼓励各地区修改学历和文凭相互承认的规范性文件。如果要进行这种改革，各地区必须考虑高等教育系统的多样性与所处社会环境的关系问题。

最后，需要再次对世界贸易组织和1994年通过的《服务贸易总协定》(GATS)进行考察。《服务贸易总协定》提出了一些原则性的问题，尤其是表示出了对最惠国、国民待遇以及承认和认证等有关条款规定的关注。

我们认为，所有这些都反映出强化高等教育公共属性的必要性，这基于三个原则：平等性、持续性和适应性。对此，1998年世界高等教育大会建立了一个有效的框架。只要切实地加以执行，该框架将有助于各国高等教育取得更好的发展。

一、引　言

在过去几年中，认证已成为高等教育领域的一个重要议题。其原因主要有以下几个方面：新技术的兴起、远程和虚拟教育的发展、新的高等教育办学者的涌现、教育服务的商品化转变、高等教育的国际化[1]，以及所有这些因素促成的希望通过一个可靠的体系确保院校和培养项目质量和适切性的要求。为保证教育质量，防止各个国家和学生遭受“劣质教育产品”和违规办学者教育服务的损害，应当

在国家、地区和国际层面上所采取有关措施。

当今世界经济、社会和文化的转型在很多方面比工业革命时期发生的变革更为重大，而认证体系是高等教育应对这种转型的一种方式。知识是发展的基础。在全球化的世界中，知识的生产与处理以及信息的控制，成为发达国家获得并巩固其力量的重要手段。然而，知识的生产、传播和应用对保障发展中国家的未来同样是非常重要的。

如今经济领域的主要差距在于研发产品并投入生产的能力。这种认识与建立在科学和对理论知识进行整理基础上的研究与开发有着直接的联系。高等教育机构是开展研究、培养研究者的主要场所，因此维护适当的质量标准显得尤为重要。这一点在巴黎世界高等教育大会通过的宣言中得到了体现，宣言在导言部分指出：

> ……由于这种变革的范围之广、步伐之快，当今社会已日益成为一个以知识为基础的社会。高等教育和研究已成为国家、社会和个人在文化、社会经济与环境可持续发展中的有机组成部分。

这种发展也促成了一些观念的转变：团结式微，竞争至上。社会的、精神的和集体的价值观念正面临着被商业的、物质的和个人的价值观念所取代的危险。正如荷兰专家克里斯·洛伦茨(Chris Lorenz)最近在牛津所鼓吹的：

> 从根本上讲，“知识经济”并非是在科学知识的基础上重组经济，而是指知识生产活动的“经济化”，即实现从“学院人”(homo academicus)模式到“经济人”(homo economicus)模式的转变。与传统的启蒙主义观点相比，科学与经济的关系不再需要从科学在坚持真理的基础上获得应用的成功来彰显，也无需在经济活动中考虑是否是科学促进了“知识生产”。现在的经济正推动着科学活动的合法化或者说使科学活动变得“有利可图”。

在认证日益成为紧迫之举的背景下，不难理解为什么要在此方面提出一些重要而基本的问题。我们需要不断明确希望获得怎样的成果。认证有什么用？衡量哪些质量？我们究竟想知道哪些质量情况，质量体系由谁来掌控，具有哪些标准？作出任何正式决定之前，都必须澄清和回答这些问题(参见 Ginkel，2006)。

认证以及在该领域所采取的各种方法并不是中立的，其产生的结果不仅体现在高校和国家的济和财政层面，而且也体现在文化、社会和政治生活方面。很多分析认为，这些模式往往会反映出际社会的一种观念，即发展中国家的人们是被动的接受者而不是积极的参与者。而且从发达国家力维护其知识输出地位，保持发展中国家知识产品和技术上依赖的政策上也可以得到印证。

这些分析不是新近作出的，类似的论断在以前评估中遭受大学自治和学术自由上的威胁时就出现。拉美知名的专家乔塞·迪亚斯·索布林霍(Jose Dias Sobrinho)曾认为，评估潜藏着一种观念。1993 年鲁汶天主教大学的社会学家纳伊尔·科斯塔·穆尔斯(Nair Costa Muls)也指出：

> 评估并不是中立的，也不存在单纯的评估。评估始终是对此前确定参照方案的一种
> 因此，评估没有一个明确而公认定义，质量这个更为根本的概念也是如此。

上述问题也是 1998 年联合国教科文组织在巴黎召开的世界高等教育大会预备会议上讨论心话题。在过去几十年中，联合国教科文组织和其他国际组织尽管具有不同的使命和目标，但展了各种促进评估发展的活动，以此来改进质量和适切性，加强对社会的绩效责任，而这些活获得了成功。

二、多维度的概念

1998 年的共识来之不易。世界高等教育大会的与会者在宣言中指出：

高等教育的质量是一个多维度的概念，应包括高等教育的所有功能和活动：各种教学与学术项目、研究与学问、教师、学生、校舍、设施、设备、社会服务和学术环境等。内部自我评估以及由独立专家或可能的话由国际的专家参与进行的外部评价，对提高质量具有非常重要的作用。应建立独立的国家机构和确定国际公认的可比较的质量标准。但应对院校、国家和地区的具体情况应予重视，要考虑到多样性和避免用一个统一的尺度来衡量。有关各方也应参与院校的评估过程。(Article 11(a) of the *World Declaration on Higher Education for the Twenty-first Century: Vision and Action*, UNESCO, Paris, 1998)

当时，评估的理念也得到广泛接受。高等教育机构的评价成为各地高等教育分析和政策的一个极其重要的要素。如何评价、保证和改进质量成为一个普遍问题。学术界中相当一部分人认为评估是维护和加强质量、适切性与绩效责任的一种手段，而且不会丧失自治与自由。但也有很多专家和院校反对把评估作为制裁的工具。

自此以后，除了内部和外部评估，认证(在美国已实施数十年之久)在国际上也越来越成为保证质量和适切性的方法。但是这种将某些标准作为衡量和确认高等教育机构和培养项目质量基准的做法马上引发了很多争议和分歧。此外，认证的概念也一直不甚明确。在 1992 年伯顿·克拉克(Burton Clark)、盖伊·尼夫(Guy Neave)与国际大学协会编撰的《高等教育百科全书》(*Encyclopedia of Higher Education*)中，阿德尔曼(C. Adelman)指出：

> 认证是指高等教育中质量控制和保证的过程，其结果与检查或评估一样，达到最低标准的院校或培养项目就会得到承认。

该作者 1979 年也向我们介绍了美国质量保证的九项目的：

1. 对符合标准的院校进行认可；
2. 帮助新生选择合适的院校；
3. 帮助院校判断学分转换的可行性；
4. 确定可以申请私人基金资助的院校和培养项目；
5. 保护院校免遭各种内部和外部压力的损害；
6. 为培养项目的自我改进创设目标，激励教育机构标准的普遍提高；
7. 使教职员工全面参与院校的评估与规划；
8. 建立专业证书和执照的标准，提升课程的质量(尽管只有部分课程需要认证)；
9. 作为获得联邦资助资格的一项条件。

需要强调的是，应该把认证作为一种评估高等教育机构或具体培养项目质量和适切性的方式，而且应使其在现有高等教育系统内得到认可。

目前，已有大量有关质量评估和认证的文献。这些文献研究的主要内容包括标准与绩效责任、院校认证的差异、运作的方式(自愿或是强迫参与)以及法定的实施机构(公立或私立、营利或非营利)。在本文中，我们会引用其中的一部分文献，但不会涉及技术性的问题。

在 1998 年的世界高等教育大会上，与会者普遍赞同古德芒得·赫恩斯(Gudmund Hernes)和米切拉·马丁(Michaela Martin)提出的“目的适切性”(fitness-for-purpose)的概念——实际上英国学者克里斯多弗·鲍尔(Christopher Ball)在 1985 年就使用了这个术语，而不赞成采取“标准法”(standard-based approach)。在“目的适切性”方法中，认证体系主要是依据院校的使命，通过有关要素来分析其质量和相关性。而“标准法”通常以具体的标准(大多是吸取国外的经验)来衡量院校或培养项目的质量。

世界高等教育大会的与会者们经过讨论后一致认为，高等教育应从长远的眼光出发，服务于社会的需要和发展的目标，如尊重文化和保护环境等。为此，“高等教育应加强其社会服务的职能，尤其应

采取学科间和跨学科的方法来分析有关的问题，加强旨在消除贫困、狭隘、暴力、文盲、饥饿、环境污染和疾病的活动”（Article 6〈b〉 of the *World Declaration on Higher Education for the Twenty-first Century: Vision and Action*. UNESCO, Paris, 1998）。

从某种意义上说，2000 年 9 月联合国通过的新千年目标（即“千年发展目标”：Millennium Development Goal）对上述这些职责进行了强化和补充：

1. 消除赤贫和饥饿；
2. 普及初等教育；
3. 促进性别平等，为妇女赋权；
4. 降低儿童死亡率；
5. 改善母亲的健康状况；
6. 抗击艾滋病、疟疾和其他疾病；
7. 确保环境的可持续性；
8. 建立全球发展合作伙伴关系。

高等教育机构与社会的关联性固然可以从其参与实现上述目标有关的活动来判断。但是，这并不是当前主要的方式，尤其不为国际组织所推崇。20 世纪 90 年代以来的变革风潮连同发端于英国经济学家约翰·威廉姆森（John Williamson）的“华盛顿共识”[①]（Washington Consensus，即强调开放经济、调整结构、消除通货膨胀和公共赤字以及私有化），使得准则、标准、卓越别无选择地成为实现质量要求的手段。而且这种倾向得到 1994 年达成的《服务贸易总协定》以及 1995 年成立的世界贸易组织的进一步加强。

“华盛顿共识”在高等教育领域提出了一系列更为激烈的举措：要求国家削减社会事务的开支，减少对高等教育的公共投资，鼓励私立教育作为一种公平手段的发展，更多地从商业角度而非教育自的角度去考虑教育问题，把高等教育作为一种受制于世贸组织有关规则的商业物品。

这种“矛盾的思想”（schizophrenia）正影响着发达国家和一些新兴国家的大批公立高等教育构。从内部来看，很多国家认为公立院校提供的是公共物品，而在国际层面上，尤其是在与发展中家院校的关系上，它们却被视为商业服务的提供者，从而把经济利益放在首位，丝毫不讲知识共享团结精神。合作的口号也被竞争所取代。

如今质量认可问题变得愈加复杂，也卷入更多与学术精神相悖的价值观念。国际大学协会《教育政策》杂志编辑盖伊·尼夫曾撰文对这种状况进行了严厉的抨击（4〈1〉，February 1993）。出，“质量”被塞进“满是各种问题的旅行包”，同时“学术界正不断遭受‘质量保证者们’所发出的噪音的困扰”。他最后认为：

> 质量背后的事情与“质量”本身毫不相干。与之密切相关的是质量概念所涉标准的制而制定标准与对学术实体心脏的控制仅一步之遥。

高等教育的价值和活力在于其世界范围内的多样性。这就是 1998 年世界高等教育大会高度强调应由各国家机构承担起评估事务的职责，并提出“应对院校、国家和地区的具体情况视，要考虑到多样性和避免用一个统一的尺度来衡量”以及“各方面应参与到院校评估（UNESCO, 1998）的原因所在。

联合国教科文组织的学历、文凭和学位互认的地区公约（第一个公约为 1974 年 7 月

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① 1989 年陷于债务危机的拉美国家急需进行国内经济改革。美国国际经济研究所邀请国际货币基金组织、世界银行银行和美国财政部的研究人员以及拉美国家代表在华盛顿召开了一个研讨会，旨在为拉美国家经济改革提供方案和对策。济研究所的约翰·威廉姆森对拉美国家的国内经济改革提出了已与上述各机构达成共识的 10 条政策措施，这些政策措施顿共识”。后来“华盛顿共识”逐步发展成为一整套针对拉美国家和东欧转轨国家的新自由主义的政治经济理论。——译者

拉美和加勒比地区公约)也将各国高等教育系统的丰富性和多样性视为一种必须加以保护和不断发展的重要财富。高等教育机构及其培养项目和文凭的质量与适切性不能以某种固定的模式或外在表现去判断,而必须在特定的背景和特定时间内进行评判。我们不能从一个普适性的模式中得出质量的概念,也不能仅仅从当前商业化趋势的推断和抽象中,把满足市场需求作为质量的主要标准。质量是对社会需求作出精确反应的一系列行动的结果。真正的质量就在当前,就在具体的情景之中。

地区公约是一种现实而渐进性的手段。教科文组织成员国已认识到,此前的"等值"(equivalence)措施并不能奏效,其原因正如教科文组织高等教育处前处长拉尼·奥克斯(Rene Ochs)所指出的,"鉴于各国高等教育的多样性,学习内容、学习期限和学习质量上等值的情况显然是非常稀少的"。事实上,大多数成员国也认为,由于高等教育在需求、结构和内容上的巨大差异,根本无从对等值作出判断。这也是后来采用"承认"(recognition)这个更为恰当的术语的原因。

跨境教育服务需要由多国规范机制来维护适当的质量和适切性,但是这些规则及其应用总是受到某个人或某个机构的控制。教科文组织在1993年通过的一项国际建议,为地区公约与各成员国之间提供了对话和协商的平台。各成员国认为,应该修改地区公约的职责范围,改革公约的实施方法。但是,它们也认为,如果公约能够坚定不移地尊重各国和高等教育系统的多样性,那么它就会强于那些没有回旋余地、僵硬而严格的条约或根据发达国家经验和模式而制定的指导意见。

目前,各方对这些原则仍保持缄默,但可以看出现有的各种质量机制已越来越多地成为等值而非承认的基础。在这个充满教育商业化气息的时代,这些机制只可能更多地服务于贸易而非学术界。

三、质量的定义

关于认证问题,我们现在面临的一个主要难题就是准确地界定什么是质量。无论是"质量"还是与其相关的"卓越"都还没有一个明确的定义,在这方面只有大量的主观性的认识。而定义经常是一种"同义反复"(tautology)或是对与某种特定文化有关情况的描述。

实际上,对定义质量方式的很多貌似客观的论断和陈述都解决不了这个基本的问题。而且这已不是什么新鲜事。在安第斯大学(Universidad de Los Andes)召开的一个拉美高等教育质量研讨会上(波哥大,1985年7月),前哥伦比亚教育部长多丽丝·艾德·赞布拉诺(Doris Eder de Zambrano)女士曾强调指出:"质量像美和善一样是一个发散性的词汇,它可以衍生出诸多的定义,而且也会有不同的群体和个人以绝对不同的方式去认识和理解。各群体出于自身需要以及对教育作用的期望的不同,都会造成这种状况。"

1992年旅居欧洲多年的印度专家毕卡斯·山亚在处理这个问题时,认为必须参考《韦氏国际英语大辞典》(*Webster's Third International Dictionary*,第三版)的解释。该辞典将"卓越"定义为"具有高度优秀质量的状态",将"质量"定义为"标准的符合度"。

在这种定义中,符合标准似乎可以成为确定质量的一种手段。毕卡斯·山亚(1992)引用查理斯·卡特(Charles F. Carter)的观点进一步指出:"高等教育系统的卓越,意味着这个系统要具备高度符合标准的各种特征,也就是说,各种活动在多大程度上实现了预期的目标。而这需要明确高等教育系统的预期成果或目标。"似乎没有比这更明确的解释了……但是由此又出现很多需要澄清的问题:标准是什么?标准源自哪里?除此之外,由于高等教育担负着推动创造和创新的任务,因此不能以"符合某种标准"来审视高等教育的质量(参见Ginkel, 1994; 1995a;1995b)。

在一些支持诸如"全球公共物品"和"建立国际认证体系"这类理念的最具影响力的专家中,作为推动建立国际认证原则和体系的主要人士之一,比利时专家德克·范达姆(Dirk Van Damme)曾明确指出,最重要的是"达成一个能够为全世界接受的'究竟何谓高等教育质量'的共同定义"。尤其是在国际层面上,当担负质量保证工作的各国认证体系提出这种问题后,范达姆认为有必要对这个概念进

行研究，或者从全新的视角加以审视。

质量的定义确实是个问题。世界高等教育大会的与会者们承认，在该次大会之前在世界各地召开的预备会议上都曾引发了对质量定义的争论，并指出整个质量概念中必须包含一些必要的要素。从这个意义上说，他们以描述性的方式，把质量作为一个囊括所有高等教育主要功能和活动的多维度的概念。但是，他们并没有止于这种描述的做法而是更进一步把质量和适切性的概念以一种务实和现实的方式联系起来。

此外，与会代表还经过讨论形成很多建议，但是至今还没引起专家们和负责高等教育机构政策的官员们应有的重视。在对上百份文件进行审议后，最终被采纳的只有两份：一份是《21世纪世界高等教育：展望与行动》(*Higher Education in the Twenty-first Century-Vision and Action*)，通过了文件提出的有关原则和一般性框架；另一份是《高等教育变革与发展优先行动框架》(*Framework for Priority Action for Change and Development in Higher Education*)。从本质上说，前者具有更深远的意义，而后者只是一些行动的建议。

在这些建议中，有一项是高等教育机构以及各公共和社会团体应明确(或重新明确)其使命，并号召高等教育的所有利益相关者参与到这一行动之中。由所有大学以自主的方式确定并得到社会认同的明确的使命陈述，将会成为引导大学发展的一面旗帜。这种使命陈述也应成为一种有待于实现的目标，而且在使命确定上应为开展适当的评估创造条件，从而在一定时期内对各院校实际取得的成绩以及社会对它们的期望进行比较。换句话说，通过这种机制可以更有效地建立起令人满意的标准，而且自主确定的使命也会成为院校之间相互比较的一项重要内容。

这种方法与其他的共同模式(common patterns)有所不同。共同模式往往会要求高校寻求一种外部的参照，并希望它们采取与所参照的高校在文化源流或社会需求上没有任何关联的各种模式。在评估和认证体系中采取这种模式也成为当今最严峻的挑战。

很明显，如果社会各方面进行广泛的协商，讨论就会变得更加开放，学术界人士甚或此前那些决定参照大学的人都将会加入到在国家、地区和全世界构筑一个更美好社会的商讨之中。即使我们顺应了当前的世界形势以及知识经济和全球化的兴起，我们仍不能忘记联合教科文组织的缔造者之一法国哲学家雅克·马里坦(Jacques Maritain)所提出的：国家应该把其所实施的计划定位在“历史目的”(historic ideal)，也就是说，国家的任何一项计划要以建设一个更公平的社会为目标。

四、主要措施

上文描述了围绕认证而展开的新的争论以及在界定质量上面临的一些难题和主要挑战。接下来我们将把重点转向一些重要的举措上。

为什么国际组织对质量问题如此感兴趣？在现实中，很多事情会同时发生，我们时常很难理解各种因素间的互动关系，但是这些看上去彼此间毫无联系的因素实际上可能具有共同的基础和目标。在此，我们要提到三个对质量问题具有重要影响的进程，它们显然是相互联系的：

1.《波洛尼亚宣言》及其快速推进。虽然《波洛尼亚宣言》关注的只是欧洲，但它在全世界都产生了很大的影响，一些国际组织明确表示要把波洛尼亚进程作为全世界的典范。

2. 建立国际认证体系的指导意见及其对教科文“高等教育学历、文凭互认公约”和“大学协会地位”等现行措施的影响。

3. 世贸组织在高等教育领域尤其是认证问题上的作用和影响。

(一)《波洛尼亚宣言》

《波洛尼亚宣言》是1998年5月25日签署的《索邦宣言》(*Sorbonne Declaration*)的后续行动。初它只是一项联合声明，但现在已成为欧洲30多个国家间的协议。该宣言的目的是以一致的方式

[illegible]高等教育进行改革。其最终目标是建立起具有高度竞争力的单一欧洲高等教育系统。欧洲各国官员们之所以采取该措施，主要出于如下几个方面的考虑：

- 加强交流欧洲以外产生的新知识；
- 与其他发达国家相比，欧洲的高等教育入学率还很低；
- 欧洲在将学术知识有效转化为经济创新实践方面还做得不够好；
- 其他地区的一些国家对发展中国家学生具有更强的吸引力，甚至连很多欧洲国家的学生也离开欧洲前往其他地区国家接受教育。

《波洛尼亚宣言》不是国际条约，不构成法律，也不具有宣言、建议、公约等传统规范文件的效力，但是它却通过各种合作机制施用到整个欧洲地区，而且其影响也扩展到其他地区，尤其是拉美和非洲。虽然它不具有法律约束力，但却发挥出这种效果。

如果这不算是国际关系中的一种新方法的话，本文要提出一个问题。制定一项条约通常要花费很长时间，而且还需要议会以及社会团体进行无数的讨论、辩论直至达成某种程度的一致。国际组织的规则往往是繁冗而复杂的。而由一些部长达成宣言并共同加以实施，这似乎是更简便更高效而且很少受到制约的方法。由于没有议会和社会团体的参与，宣言在实施过程中可以随时进行调整和修改。当然，这种方法可能会引起对整个进程民主性的质疑，但是迄今为止，无论是议会或是学术界似乎都没有作出这种反应。

《波洛尼亚宣言》提出的结构性改革得到了非常迅速的落实。截至2003年，在签署宣言的国家中已有80%采取了“3+2”体制和学分转换计划。该进程取得的成果是有目共睹的，而且这种变化和改革无疑也推动了学生、教师和研究者的流动，以及学历、文凭的相互承认。我们的总体感觉是，虽然遇到了学分认可（如怎样评定学生课外、图书馆或实验室进行的学习）等方面的一些问题，但该进程进展顺利而且是不可逆转的。

高等教育系统的结构变革在欧洲获得了广泛认同或普遍接受，这主要体现在：

- 采取了易读和可比较的学位体系；
- 采取了本科生教育和研究生教育的两级体系，或是相对于美国高等教育体制采取了学士、硕士和博士的三级体制（3+2+4）；
- 建立起学分体系，使学分不仅可以通过传统的课程学习获得，也可从高等教育之外的活动获取；
- 促进了学生、教师、研究者和行政管理人员的流动；
- 增强了高等教育的欧洲维度；
- 促进了欧洲质量保证的合作。

值得强调的是，质量保证方面的合作是加强整个欧洲高校协调性的重要因素。例如，学分转换意味着必须认可学习的内容和方式。这也是部长们商讨并决定建立集中的路径开展评估、质量评价和认证的原因。

本文需要对此发表一些评论。我们不应忘记在发起这个进程之时，法国教育部长克劳德·阿莱格尔（Claude Allegre）所指出的，法国和欧洲正在丧失与美国、澳大利亚和其他一些国家的竞争力。我们应该学习这些国家教育输出的模式，这意味着要以合作的方式改变阻碍法国乃至整个欧洲发展的某些情况。

正如荷兰专家克里斯·洛伦茨最近指出的：

> 欧盟代表们注意到，美国高等教育的出口额每年达上亿美元，澳大利亚高等教育的出口总额甚至在各行业中处于第五位。鉴于这些“成功案例”，欧盟认为，欧洲国家不能容忍在全球教育市场中所处的劣势地位。基于“知识经济”和“知识社会”的假设，欧盟必然会得出这样的结论：欧洲高等教育应把成为世界上“最有活力”和“最具竞争力”的高等教育作为根本目标。

波洛尼亚进程在执行过程中面临的一个主要障碍是：如何基于美国高等教育的模式建立一种集中的体制，并同时尽可能地关注欧洲大学表达的诉求，尊重欧洲高等教育机构的文化多样性和使命的适切性？

根据美国高等教育的经验采取相关的结构和组织方式，以及针对学生的不同文化背景设计教学内容，这种做法的危险还未得到充分的考虑。而当这种危险反作用于基于单一模式的等值的系统而非一种尊重差异的承认的系统，这才是真正的危险。

众所周知，30 年前拉美地区采取过类似的措施，虽然取得了一些成果，但也造成了很多问题。这应该促使欧盟委员会和欧洲大学对哥斯达黎加大学、智利康塞普西翁大学（Universidad de Concepción）、哥伦比亚安第斯大学以及巴西米纳斯联邦大学（Universidad Federal de Minas Gerais）、巴西利亚大学的情况好好做些案例研究。相反，如果欧盟领导人步拉美后尘的话也将自食苦果。而欧洲学术界现在正被要求机械地采取具有相同层级和学位、相同培养年限、以致相同教学内容（这一点尤为重要）、相同教师控制和课程评估机制的新欧洲结构。

基于人文主义者的思想和容忍的理念，构筑“公民的欧洲”（Europe of Citizens）同样非常必要。很多分析人士指出，最近西班牙和意大利等一些国家的大选结果、法国和荷兰对《欧洲宪法》草案的全民公投结果以及发生在法国的暴乱事件，都表明新自由主义政策走过了头，忽略了民众也超越了合理的底线。

欧洲在创建共同学术区域的行动中显然没有高度重视这种问题。我们应牢记联合国教科文组织前总干事费德里科·马约尔（Federico Mayor）所指出的：

> 市场经济，或是市场社会，市场民主，都不是！现在是时候由人民而不是市场来决定未来的发展。地理上、经济上、社会上以及文化上的贫瘠和排斥是冲突、极端主义行为、挫折和激进的根源。排斥是大规模移民流动的根本所在。市场经济并非像其许诺的那样会促进发展中国家的内生式发展。我们必须捍卫我们的社会和我们的民主，确保其全面的参与性和代表性。

欧洲高等教育系统现代化策略中一个基本要素就是实现与整个世界的融合与和谐。如果做不到这一点，大学培养出来的学生注定将面临失业，而像世界其他一些不稳定的地区一样，一些欧盟国家的失业水平已经非常之高。现在的情况显示，2003 年欧盟职业人口（active population）的失业率比接受过高等教育的群体低 4%，比接受过初中以下教育的群体低 7.5%。

高等教育文凭对于获得现代世界所需技能的仍非常重要。但是，高等教育不可能仅仅为了当前的需求而培养学生。如果高校这么做，文凭将马上就会过时。我们应重视继续教育项目的作用，但更重要的应该是培养学生学会学习，学会做人，学会做事，此外还应学会与他人相处。虽然在表述上有很大的不同，但是联合国教科文组织的地区公约中已预见到这种问题，而且世界高等教育大会也高度重视了这些问题。为了培养学生的这些技能，高等教育机构应该发挥瞭望台（observatory）的作用去洞察社会、分析发展、展望未来。

（二）国际认证体系指导意见

自从 1999 年学术界和各国政府教育主管部门开始关注世贸组织、《服务贸易总协定》及其实施后，各方采取了多项举措来应对出现的新形势，其中绝大部分举措都是落实《服务贸易总协定》中的关规则，而在一些专家看来出现这种情况是必然的。

1999 年学术界不仅开始关注到《服务贸易总协定》，也开始意识到协定的实施问题。然而，早1995 年，一个负责处理跨境教育事务的组织——全球跨国教育联盟（GATE）就已成立。全球跨国育联盟的创建者是琼斯国际有限公司的格伦·琼斯（Glenn R. Jones），琼斯公司是一家在有线电领域颇具实力的企业，同时该公司从事教育产品的销售工作。1996 年 9 月，格伦·琼斯在伦敦召了全球跨国教育联盟的成立大会。大会的主要演讲者包括时任英国开放大学副校长的约翰·丹尼

ar John Daniel)，而与会者除了英国开放大学的代表外，还包括澳大利亚莫纳什大学(Monash sity)的代表以及教科文组织布加勒斯特欧洲高等教育中心(CEPES)的卡林·伯格(Karin 经济合作与发展组织(OECD)的卡里·海伯南(Kari Hypponen)。此外，与会者中还有一些发家的代表，如智利国家认证委员会的玛利亚·乔塞·勒麦特(Maria Jose Lemaitre)、南非大学员会的约翰·布林克(Johan Brink)。这些与会代表也大多成为全球跨国教育联盟执委会的

球跨国教育联盟制定了一套跨国教育的准则并提交到伦敦会议进行讨论，同时它还与世贸组贸易处合作发起“全球跨国教育联盟认可体系”。虽然全球跨国教育联盟的成员中包括一些教国的机构，而且联盟在本质上也只是一个跨国企业，但是它却忽然成为教育产品提供者和教育量认定者。在世界高等教育大会召开的前一周(1998 年 9 月 30 日—10 月 2 日)，全球跨国教在巴黎召开了一次重要而又争论激烈的会议。会议由教科文组织布加勒斯特欧洲高等教育中合组织共同举办，开幕式在澳大利亚驻法国大使馆举行，格伦·琼斯及欧洲高等教育中心和经的代表都在会上致辞。期间，会议还就地区和国家规划的议题举办了一个由索罗斯基金会 s Foundation)和毕马威国际会计咨询公司(KPMG International)的代表，以及芬兰的卡里·海加拿大的珍妮·奈特(Jane Knight)、荷兰的汉斯·德维特(Hans de Wit)和香港的奈杰尔·弗 Nigel French)等参与开放讨论会。格伦·琼斯还在凡尔赛宫(Château de Versailles)为与会代办了招待宴会。

如预料的一样，全球跨国教育联盟所扮演的各种角色之间不断发生冲突。它并不能按照预期进行运作，甚至发生了组织的“内乱”。范达姆 2002 年在华盛顿所发表的讲话中指出(2002a)，跨国教育联盟是高校、质量保证机构、政府部门和企业界为了制定跨国高等教育办学者的认证而建立起来。但随着管理上的急剧变化，以及此后琼斯公司出于企业利益对联盟的接管，使得具背景的有关方面纷纷退出该组织”。如今，人们访问全球跨国教育联盟的网页会发现“琼斯公全球跨国教育联盟改成美国远程学习协会”。

001 年在国际层面启动的一项重要举措再度提出制定跨国教育准则的动议，该举措决心要为制示认证体系或至少建立认证机构处理认证事务的框架创造适当的条件。在与时任教科文组织教里总干事的约翰·丹尼尔爵士进行磋商以后，经合组织也再次积极地参与到其中。该行动的最示是寻求解决诸多问题的措施，但这其中也暗含了一些重要的挑战。[2]

E 2005 年联合国教科文组织大会期间，各成员国讨论了《跨境高等教育质量保证指导意见》这份但是它们并没有赞同及共同签署该文件。因此，教科文组织总干事指出，“总干事计划将指导意必书处文件的形式发布”。2005 年 10 月 19 日第二报告委员会在第 17 次全会上通过决议。此议还通过了教科文组织秘书处参与实施指导意见的具体安排。而各成员国如果要参与该行动是出申请。随后在 2005 年 12 月，经合组织也通过了这个没有任何约束力的文件。在该文件中，的制定者明确阐述了跨国教育阶段高等教育所处的形势，并且指出了 20 世纪 80 年代以来跨境教育迅猛发展的重要意义。

文件中制定过程中的一些批评意见也值得关注。例如，日本代表团在世贸组织会议上曾表示，工厂”不能接受。拉美等一些地区的批评者也对外国院校所提供的劣质教育项目或者其向国外的教育项目的质量差于本国教育项目质量的情况进行了谴责，而这些情况在文件起草过程中也听考虑。文件还强调了高等教育协会组织、学生团体、认可和评估机构以及各专业机构等非政府在加强跨境高等教育质量保证国际合作上的重要作用。

这份文件在很多方面具有“政治上的正当性”。但是，它们并没有强调大学适切性和社会责任要性。文件也没有参考多少相关的文献资料，似乎成为一种对教育输入国批评意见而作出的上的应答，而且文件明显是欧洲中心主义的(按照教科文组织的传统，欧洲还包括美国、加拿以色列)。

该文件提出质量保证和认证机构应“遵循《联合国教科文组织(欧洲高等教育中心)/欧洲委员会跨国教育行为准则》——*UNESCO(CEPES)/Council of Europe Code of Good Practice in the Provision of Transnational Education*——等当前跨境高等教育国际文件中提出的有关原则”(Article 17⟨e⟩)。同时,还建议开展跨境高等教育的院校或高等教育办学者“在适当的情况下,应用《联合国教科文组织(欧洲高等教育中心)/欧洲委员会跨国教育行为准则》等一些行为准则,以及《欧洲委员会/联合国教科文组织关于外国资格证书认定标准与程序的建议》(*Council of Europe/UNESCO Recommendation on Criteria and Procedures for the Assessment of Foreign Qualifications*)其他相关准则”。此外,还提出学术认可机构应“使用《欧洲委员会/联合国教科文组织关于外国资格证书认定标准与程序的建议》”。

与此同时,国际大学协会(IAU)和其他35个地区性和国家性协会组织也决定制定另一份文件——《共享有质量的跨境高等教育:世界高等教育机构声明》(*Sharing Quality Higher Education across Borders: a Statement on behalf of Higher Education Institutions Worldwide*),这份声明与前一个文件并不是对立的,但是它鲜明地强调了目前高等教育适切性的重要性。这一点非常重要!

该声明弥补了高等教育服务贸易框架中可能存在的一些局限,更准确地反映了学术机构的立场。由于国际大学校长协会总部设在教科文组织,因此它成为这次行动的领导者,以下这些机构参与制定并批准了这份声明:

- 法语大学组织(AUF)
- 美国教育理事会(ACE)
- 非洲大学协会(AAU)
- 阿拉伯大学协会(AArU)
- 秘鲁大学校长委员会
- 哥伦比亚大学协会(ASCUN)
- 伊比利亚美洲远程高等教育协会(AIESAD)
- 墨西哥大学及高等教育机构协会(ANUIES)
- 乌拉圭蒙得维的亚大学集团协会
- 伊比利亚美洲大学研究生联合会(AIUP)
- 孟加拉国大学协会
- 加拿大大学和学院协会(AUCC)
- 荷兰大学协会(VSNU)
- 斯里兰卡大学校长委员会
- 西班牙康波斯特拉(Compostela)大学集团
- 法国大学校会议
- 哥斯达黎加国家私立高等教育委员会(CONESUP)
- 巴西大学校长委员会(CRUB)
- 西班牙大学校长委员会
- 中美洲大学联合会(CSUCA)
- 美洲国家远程教育联盟(CREAD)
- 美国高等教育认证理事会(CHEA)
- 欧洲大学协会(EUA)
- 国际大学校长协会(IAUP)
- 荷兰应用科技大学(HBO)协会
- 南非高等教育委员会(HESA)
- 美国西班牙语学院和大学协会(HACU)

- 香港大学校长委员会(HKCOM)
- 国际大学协会(IAU)
- 国际天主教大学联合会(IFCU)
- 印度尼西亚大学校长论坛(IURF)
- 拉丁美洲及加勒比地区大学流动计划网络
- 中美洲高等教育组织(OUI)
- 伊比利亚美洲大学计划网络(REDIBEP)
- 拉丁美洲及加勒比地区大学联盟
- 加纳大学校长委员会(VCG)

在建立国际认证体系的过程中,很少有人注意但显然存在着一些危险:

1. 在这里再次强调一下,《跨境高等教育质量保证指导意见》没有遵循传统的国际规范文件的批准方法。按照正式的官方规定,这份经联合国教科文组织大会讨论并由经合组织批准的文件并不具有法律约束力,但是在文件所采取的实施行动上却犹如正式的规范性文件一样。2005 年 6 月,教科文组织国际教育规划研究所(IIEP)在巴黎举办的一个政策论坛上宣布,各国要向教科文组织和经合组织提交实施情况的信息。

2. 在团结基础上建立合作机制的一些重要因素没有得到强调。如果(按照 2001 年启动的这个进程所提出的)建立起这种国际体系,那么谁来负责认证以及它的职权和效力如何,这类问题实际上并没有得到明确。虽然在此过程中向质量评估和认证机构提出的要求它们尊重文化多样性的很多建议是值得肯定的,但是由谁来协调以及根据什么标准来协调这个进程却非常的模糊。尽管文件在制定过程中得到了不断的修改完善,但该进程的最终目标似乎依然是巩固国际认证体系的基础,促进《服务贸易总协定》有关承认和认证规则的应用。

3. 虽然各地区正在积极考虑修改教科文组织地区性的学历、文凭互认公约[3],但是在方法上却存在欧洲中心主义的危险,因为各有关方面在讨论中都将反映欧洲国家观念的《欧洲委员会/联合国教科文组织公约》(里斯本,1997)作为范例。各地区不应采取和顺应欧洲公约的模式,而是要根据自身的需要来修改各个地区的公约。同时,各方也应积极参与到《国际学历、文凭互认的建议》(*International Recommendation on the Recognition of Studies and Diplomas*)的修订活动中,通过寻求这方面的国际理解来形成有关原则。当然,应根据当前的现实情况分析各公约的内容,而且必须努力采取切实而可靠的方法来评估从教育系统外尤其是通过"工作世界"(world of work)获得的知识。

学历文凭公约一个难于实施的重要方面在于,为工作世界做准备的有关规定,因为这需要认可从校外尤其是通过自学和专业性活动获取知识和经验的价值。同时,推进终身教育和教育民主化,制定和实施有关教育政策,需考虑到结构的、经济的和技术的发展,以及各个国家的社会变革和文化背景。

"工作世界"不是商业世界(world of business)的代名词。大学应该走向现代,应该具有良好的管理。企业是以营利为目的,但是高等教育机构应具有人道主义等更宽广的目的。此外,鉴于劳动者的重要性以及联系全社会的必要性,不能以狭隘的观点来看待工作世界问题。与国有和私人企业的合作是必要的,但是这不能背离高等教育的长远目标,也不能以短期的、不稳定的市场利益为指引。做不到这一点,高校将会丧失适切性及其质量。如果仅在眼前工业和贸易需要的基础上制定标准,从长远来说这将会造成严重的后果(对于大学的重要作用请参见:Ginkel,2006)。

如果要对公约进行改革,就应注意到,自 20 世纪 70 年代以来,各公约实施委员会根本没有做到每两年召开一次会议,其成员也不是固定的,甚至有些成员经常连其讨论的内容都还不甚了解。大学及其协会组织与这些委员会基本没什么联系,至多是受邀以观察员的身份参与会议。我们应该知道,世界上很多大学都依法享有自治和学术自由,它们的缺席表明公约实施委员会的工作完全是无效的。它们作为正式成员参与会议是必不可少的。

在参与建立国际认证体系指导意见的过程中，各教育主管部门应和学术界一样，必须清楚和了解2000/2001年度该进程启动以前所确定的目的和主要目标。在此方面，可参考范达姆教授在2001年巴黎专家会议上的介绍文章及世贸组织在1998年9月23日发表的教育服务文件(S/C/W/49)。正是在该文件中，世贸组织秘书处说明了将高等教育作为商业服务的原因，并提出了"如何从市场准入上防止外国办学者颁发未经认可的文凭、学位"等问题。

为了解整个进程，经合组织在其网站(www.oecd.org)上提供了有益的信息，其中包括作为该组织批准通过《指导意见》的序言中的一段陈述：

> 《跨境高等教育质量保证指导意见》为保护学生和其他利益相关者免受劣质服务和违规办学者的损害提供了一个国际框架。《指导意见》将促进有质量的跨境高等教育的发展，使其符合个人、社会、经济和文化的需要。在尊重高等教育系统多样性的同时，《指导意见》提出输入国和输出国政府、高等教育机构/办学者、学生团体、质量保证和认证机构、学术和专业认可机构所应承担的责任。《指导意见》是与联合国教科文组织的合作共同制定的，而且教科文组织根据2005年10月大会第33届会议通过的决议授权秘书处发布该文件。《指导意见》在制定过程中先后召开了三次由世界各国以及各非政府组织代表参与的起草会议。这三次会议由挪威的简·莱维(Jan Levy)担任大会主席，南非的马拉·辛格(Mala Singh)和印度的斯特拉·安东尼(Stella Antony)担任副主席。该《指导意见》是2003年由教育研究与创新中心(CERI)理事会作为第三级教育国际化与贸易的后续项目而展开，2005年12月2日经合组织理事会批准了《指导意见》。《指导意见》的实施已转由教育委员会负责。《指导意见》的起草工作主要由伯纳德·胡戈涅(Bernard Hugonnier)、库尔特·拉森(Kurt Larsen)参与，并由凯库·莫米(Keiko Momii)负责领导。期间，澳大利亚教育、科学和培训部，日本文部科学省，以及挪威教育与研究部提供了部分支持。经合组织总干事发布了《指导意见》……(OECD，2005)

序言中也对经合组织工作人员所做的工作以及与教科文组织高等教育处尤其是斯塔曼戈·乌瓦里奇-特拉姆毕奇(Starmenka Uvalic-Trumbic)和泽尼普·瓦罗格鲁(Zeynep Varoglu)富有成果的合作表示了感谢。

在所有这些讨论中，"北美认证模式"，或确切地说，"美国认证模式"也被认为是一种很好的方式，因为其分散化实施能够使高校更加积极地参与到认证过程之中。但2005年美国教育部的一个高等教育委员会提出要废除地方性认证机构，代之以统一的全国性认证机构，或许国会会设立一个基金会来取代现行的体系。互联网上有个文件(http://www.in-sidehighered.com/news/2006/03//accredi.2006-04-13)将缺乏透明度、低级而松懈的标准以及过时了的地方化作为提出该提议的原因。这里需要对一点内容(过时了的地方化)作些解释，可以说"技术的发展使得按地域范围开展认证的做法变得陈旧"，而且"越来越多的学生跨越州的边界完成他们的学习，并经常同时在多个院校注册就读"。

美国国内专家和院校的反应则非常直接。它们认为，此举将对美国高等教育系统的多样化造成危险，同时也会对其多样的文化系统带来威胁。美国高等教育认证理事会主席朱迪斯·伊顿(Judith S. Eaton)也指出，一个国家性的机构可能会"削弱美国高等教育的优势和多样性"，伯顿·鲍里奇(Burton Bollage)在2006年4月4日的《高等教育纪事报》上也曾提及此段言论。在伊顿博士看来，建立国家性的质量标准将迫使高校更加趋同。

回到我们所讨论的认证国际化问题上来，当我们问及国际质量标准对美国高等教育机构影响的问题时，理由似乎是一样的。那么国际质量标准会对所有其他国家的高校造成什么影响呢？

(三)世界贸易组织和《服务贸易总协定》的影响

今天，人们在国际层面探讨评估和认证问题时，都无法回避1994年通过的《服务贸易总协定》和1995年开始运转的世界贸易组织。《服务贸易总协定》的主要目的是降低关税以及消除货物和服务

流通中的其他贸易壁垒。该协定提出了一些原则性问题。除了作为各国公民依法享有的权利以外，高等教育被重新定义为(而且正在被积极转变为)一种商品，或者说，一种通过任何国际提供商进行买卖交易的国际服务。这个概念为全世界的高等教育系统提供了新的思维框架。

高等教育概念和提出问题的变化对所有的院校和国家都造成了影响，并使其卷入到这种项目交流的过程之中。自此，政府和大学都在考虑一个重要的问题：单个国家是否还有权，确切地说，是否有机会和能力来管理院校的办学活动以及承认跨境办学者颁发的学历和文凭。这是个政治的、经济的和法律的问题，也是一个形势尚不明朗的问题。[4]人们已经开始关注这些问题，尤其对《服务贸易总协定》中有关"最惠国待遇"(the most favoured nations)、"国民待遇"(national treatment)以及"承认与认证"的条款更是如此。

世界上很多大学及其协会组织都认识到，如果严格执行这些条款要求的话，其直接后果是《服务贸易总协定》所有的签署国都要承认、认可和信任其他成员国的文凭。同时，它不是一种可以通过对话就可以达成结果的体制，而是需要执行的、严格而具有约束力的规范。协定文本内容其实并不明确，但对其目的的解释却是很清楚的，而且这种解释至少在某种程度上促使很多国家、专家和组织开展认证方面的工作。

此外，如果某个国家违反世贸组织框架下在高等教育方面所作出的承诺，那么它必须对利益受损和实施报复①的教育主办方或办学者尤其是开设网上课程办学者进行赔偿。很多学术界的代表还非常关注《服务贸易总协定》可能会导致政府减少对高等教育的投入和补贴，同时也会促使政府加强质量管理从而保证高等教育机构(通过教学以及科研和社会服务)为国家健康发展作出贡献。

起初，该协定被学术界和高等教育机构所忽视，直到2001年9月，加拿大大学和学院协会、美国教育理事会、美国高等教育认证理事会和欧洲大学协会等4个组织在其制定的《有关高等教育和〈服务贸易总协定〉的共同宣言》(*Joint Declaration on Higher Education and the General Agreement on Trade in Services*)中才表示出它们"强烈反对将高等教育纳入到进行自由贸易的服务领域"(Barblan，2002)。此后，国际大学协会也签署了该文件。

2002年2月，在巴西阿雷格里港(Porto Alegre)举行的"世界社会论坛"期间，与会代表在主题为"科学与技术：21世纪的和平之路"的分论坛上，提出要制订一个全球性的协定，从而将1998年巴黎世界高等教育大会所通过的行动原则以及高等教育从《服务贸易总协定》中的退出整合起来。2002年4月26日，同样在阿雷格里港，参加第三届伊比利亚美洲公立大学校长会议的校长们也讨论了这个问题并通过一项决议。经过反复磋商，他们在决议中指出：

> 伊比利亚②和拉丁美洲学术界在此重申各国政府和国际学术界在1998年10月巴黎世界高等教育大会所作出的承诺，深信高等教育是一种公共物品，大学界和全社会应警惕此类行动带来的灾难性后果，要求各国政府不要在《服务贸易总协定》框架下就此问题作出任何承诺。

学生和教师组织以及其他协会组织也表达了它们对《服务贸易总协定》规则的不满。但与此同时，一些国家的政府和大学也认为《服务贸易总协定》的出现是不可避免的。鉴于这种形势，我们应该主动顺应新的情况，建立有关标准，使各种教育服务得以在国际市场中展开平等竞争。这种观点显然突出了高等教育的商业利益。不过，前欧洲大学校长会议总干事安德鲁斯·巴巴兰(Andris Barblan)等一些专家也指出了其中的合理性(2002)：

> 如果我们要保护学生的利益，恢复家长的信心(学费和生活费通常是由他们支付的)，如果我们想为教师、雇主和专业人士指出一条共同路径，使他们能够在全球化的风潮中保持某种程度的秩序，那么这样做就至关重要。

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① 报复(retaliation)机制是世贸组织争端解决机制中为实施多边贸易体制的救济方法。——译者注

② 伊比利亚为欧洲大陆西南部的半岛区域，该地区主要包括西班牙、葡萄牙、安道尔和英属直布罗陀。——译者注

还有一些分析人士和政府官员则以《服务贸易总协定》谈判中并未包括公共教育部门以及世贸组织成员国有权不在该方面作出承诺为由极力为《服务贸易总协定》的规则辩护。

现实情况更为复杂。这种宣言在本质上具有美好的愿望，但未免有些虚幻，充其量只是一厢情愿的想法。的确《服务贸易总协定》在1.3(b)条款中指出，“服务”包括任何部门的任何服务，但在行使政府权限时提供的服务除外。但是，如果我们往下继续阅读协定内容时，我们会发现同一条款的(c)段写道，“‘在行使政府权限时提供的服务’指既不是在商业基础上提供，又不与任何一个或多个服务提供者相竞争的任何服务”。

协定内容似乎很明确，任何支持将教育排除在外的解释都很容易造成严重的抵触。存在私立大学的国家似乎足可以说那里的确也存在着竞争。在这种情况下，当公立大学发挥商业作用出售产品时，当它们享受到公共拨款、学位授予和科研资助等一些私立大学所得不到的好处时，便会引发很多问题。

此外，《服务贸易总协定》第2条中提出了一系列直接适用的措施，其中之一为“最惠国”条款。《服务贸易总协定》在第2条第1款指出：

> 对于本协定所包含的任何措施，各成员应立即和无条件地给予任何其他成员的服务和服务提供者以不低于其给予任何其他国家相同的服务和服务提供者的待遇。

加拿大大学教师协会咨询了有关法理学家并发表了题为《〈服务贸易总协定〉对加拿大教育的影响：主要问题概观》(*GATS-Impact on Education in Canada: Summary of Key findings*)的文件(该文件可从加拿大大学教师协会网站获取 http://www.caut.ca. 2006-05-22)，其中提出了一些法律方面的问题。该文件针对《服务贸易总协定》中的无条件义务(unconditional obligation)部分指出：

> (a)在商业基础上或与一个或多个办学者竞争提供的所有教育服务，不论其是由公立还是私立机构提供，都必须遵守“最惠国”待遇以及《服务贸易总协定》其他的无条件义务。
>
> (b)因此，“最惠国”待遇义务使用于《服务贸易总协定》规定的所有服务，不论它们是否是承诺的对象……透明度、司法和行政审查(judicial and administrative review)、垄断与专营服务(monopoly and restrictive business practices)等《服务贸易总协定》的其他一些规定适用于所有服务。

在某些条件下，上述规则允许各成员国保留一些例外，但期限只有10年。

另一个与“最惠国待遇”同样复杂的条款是“国民待遇”，它适用于包括补贴在内的所有类型的国家措施(《服务贸易总协定》第三部分第17条第1款)。《服务贸易总协定》将“国民待遇”定义为“给予任何其他成员的服务和服务提供者的待遇不得低于其给予本国相同服务和服务提供者的待遇”(同上，参见 http://www.caut.ca. 2006-05-22)。

这种安排适用于对有关义务作出承诺的成员。也就是说，如果没有作出承诺，该条款将不适用。但是，即便如此，情况也比较模糊。《服务贸易总协定》是一个持续性的进程，它会一直要求或施加压力使各成员开放其贸易体系，直到贸易体系完全开放为止。最近，巴西就被迫宣布，遵循一些发达国家所提出的要求。2006年5月，世贸组织就各经济体的开放，以及修改国内法律促进外国大学在每个成员国境内自由办学，展开新一轮谈判。而绝大多数发展中国家对此表示反对(http://www.estadao.com.br/ext/inc/print.htm 2006-05-16)。

在认证方面，《服务贸易总协定》规定“应基于多边协商一致的标准进行承认”。同时，协定还建议各成员在适当的情况下，与有关政府间和非政府组织合作，建立和采取有关承认的共同国际标准和从事有关服务贸易和专业活动的共同的国际标准。

为了落实该规则的要求，经合组织一开始就通过了《跨境高等教育质量保证指导意见》。2002年10月，德克·范达姆教授在“首届国际高等教育质量保证、认证与资格互认全球论坛”上指出，“建立一套全球高等教育界公认的并能够确定其基本价值体系的核心价值是一项非常有意义的工作”。他

提到，“对全世界的学生来说，更重要的是以一套共同的理念建立起基本的学术资格框架。全球知识社会的发展，要求国际高等教育界颁授的学位和文凭能够在国际劳动力市场获得承认”。

2002年5月，他在华盛顿提出一系列措施，希望以此为“制定国际质量保证和认证计划创造有利条件”，同时推动“国际元认证体系不断向前发展”（经合组织/美国教育服务贸易论坛，2002年5月23—24日）。

范达姆教授的意见与2001年9月在巴黎召开的“全球化对高等教育质量保证、认证与资格互认的影响”专家会所形成的决议与建议（UNESCO，*Draft Conclusions and Recommendations*，2001，ED-2001/HED/AM05-Paris，20/09/2001）是相契合的。当时，会议在注意到“与会者一致认为召开国际高等教育全球论坛是非常必要的”之后，便作出决议，“教育界认为，在这个问题上必须采取全球性的共同立场，联合现有的各种网络，评估近期的发展”。为启动这个进程，会议通过了一项行动方案，其主要措施包括：

- 建立一个特别工作组作为日常运作机构，并由其负责制订进一步的行动方案；
- 整理和推广良好实践；
- 以国际准则或其他国际规范的形式，为成员国制定指导意见。

阅读《服务贸易总协定》中有关“承认和认证”的内容后就会发现，学术界对该领域前景的担忧是有的：

> 第7条 承 认
>
> 1. 为全部或部分地实行对服务提供者的有关批准、许可或证明所规定的标准，并依照第3款的要求，成员可承认在一特定国家获得的教育或经验、已满足的要求以及所颁发的许可证和证明。这种通过协调或其他办法实现的承认，可基于与有关国家签订的协议或安排，也可自动给予。
>
> 2. 一成员如系第1款中所说的这类协议或安排的参加方，不管是现有或将来，应为其他有关的成员提供充分的机会，谈判加入这类协议或安排或与其谈判类似的协议或安排。当成员自动给予承认时，则它应给予任何其他成员充分的机会来证明在那一其他成员获得的教育程度、经验、许可证或证明以及已满足的资格条件等应得到承认。
>
> 3. 成员在实施其对服务提供者的批准、许可或证明的标准时，其给予承认的方式不得成为国家间实行歧视的手段，或对服务贸易构成隐蔽的限制。
>
> 4. 每个成员应：
>
> (a)在WTO协议对其生效之日起的12个月内，将其现行的承认措施通知服务贸易理事会，并说明这些措施是否基于第1款所说的那类协议或安排；
>
> (b)在第1款所述的协议或安排开始谈判前，尽可能提前迅速通知服务贸易理事会，以便为任何其他成员提供足够的机会，在谈判进入实质性阶段之前表明其参加谈判的兴趣；
>
> (c)当采取新的承认措施或对现有的措施作重大修改时，应迅速通知服务贸易理事会，并说明这些措施是否基于第1款所说的那类协议或安排。
>
> 5. 只要合适，承认应基于多边同意的标准。在适当情况下，各成员应与有关的政府间或非政府组织进行合作，以建立和采用有关认可的共同国际标准和从事有关服务贸易和专业的共同的国际标准。

联合国教科文组织有关高等教育学历、文凭相互承认的规范文件的最终文本必定是要通过艰难协商才能达成。[5]这些文本要建立在平等合作观念的基础之上，其中团结协作、共享知识是重要的因素。在规范文件的制定上，最大的难题常常来自认为要建立等值的各代表团，尤其是东欧国家的代表团，因为它们总是觉得本国的模式是最好的或唯一可接受的模式，而且应该以此作为所有国家的参照范例。换句话说，需要承认的文凭必须是与本国文凭等值的。同时，虽然以前没有做到表述的标准

化，但实际上，这却是国际高等教育界在尊重不同系统基础上实现从等值到承认的观念转变的一个重要部分。难道我们现在还是要返回到所有国家的所有大学都要基于相似结构和相同内容的培养项目而颁发文凭、授予学位这种等值体系的老路？对评估人员来说，遵从明确的标准似乎比创造和重新更重要，而这往往会导致平庸而非卓越。

五、作为公共物品的教育

今天的现实、环境和框架，再次引发我们对高等教育作为一种公共物品和服务的重要性的讨论，而其所基于的三个原则就是平等性（equality）、连贯性（continuity）和适应性（adaptability）（Bartoli，1997）。

平等性指的是所有人（在具备相应能力基础上）都无差别地享有接受公共服务的权利。对高等教育来说，这种观念非常鲜明的体现在《世界人权宣言》（*Universal Declaration of Human Right*）和《世界高等教育大会宣言》（*Declaration of the World Conference on Higher Education*，Paris，1998）之中。

连贯性或持续性，指的是公共服务必须始终满足公民的需要，在此方面更多地体现为适切性的观念。

适应性的观念，指的是公共服务必须具有“活性”，必须随着共同利益以及科技和社会状况的变化而变化。因此，公共服务应该而且必须与社会的发展相适应，同时又不能丧失其基本特性，这是保证平等性和持续性的关键所在。

总而言之，对公共服务来说，它的提供首先必须是在平等基础上实施的，必须是持续和长期的，而且不能具有商业或财政等任何方面的差别。这些原则适用于所有的教育部门，当然也适用于高等教育。在1998年的世界高等教育大会上，与会者达成共识，必须把高等教育作为一种公共服务，根据成绩向所有人平等开放。而且像其他一些公共服务一样，如果委托、授权或同意个人和私营机构提供教育，必须对其进行严格的管理，开展认真的评估，并要求其遵照以上的原则。

2005年12月，第二届巴塞罗那高等教育大会上的诺贝尔奖获得者研讨会也专门讨论了这个问题。在这个会议上（“大学的社会责任与商业冲动”，巴塞罗那，加泰罗尼亚理工大学，2005年12月），我们了解到，欧洲现在已不再提“公共服务”，而是被“共同利益服务”（general interest service）这种新的提法取代，据2002年6月4日法国《世界报》（*Le Monde*）的有关论断，“各种服务活动，不论是否具有商业属性，都被政府当局视为共同利益，因此都必须履行公共服务义务”。

但是，不管这个概念怎么变化，其含义一直都未得到明确。自1986年以来，一场含混而矛盾的自由化运动席卷了整个欧洲，它不仅影响到很多经济部门，如今也波及教育以及研究部门。与此同时，出现了一个既非“公共服务”也非“共同利益服务”的新的表述[6]，也就是“共同经济利益服务”（service of general economic interest）（参见2005年7月15日的法国《解放报》和7月16日的《世界报》）。这种表述显然与传统观念相背离，它似乎更加强调市场能够解决教育问题，而且主张个人利益高于社会和公共利益。

我们认为，在1998年世界高等教育大会上，5000余名与会者所制订的这个严谨而又具有非凡气魄的框架是非常重要的。来自全世界180多个国家（欧洲国家全部出席，而且有130多个代表团是由各国部长率领）的代表通过了一系列原则。联合国教科文组织将这个框架概述如下：

《世界高等教育宣言》概要

1. 遵照《世界人权宣言》第26条第1款的规定，高等教育应根据成绩面向一切人平等开放。因此，不分种族、性别、语言、宗教，也不分经济、文化、社会地位或是否残疾，均可接受高等教育。

2. 应保持、加强和进一步扩大高等教育系统的基本使命（即教育，培训，开展研究工作，特别是服

务于可持续发展和社会进步），也就是说，要培养非常合格的毕业生和负责任的公民，为接受更高的教育和终身学习提供各种机会。而且，在当今社会，作为文化、社会、经济和政治发展的重要组成部分，作为自身能力建设以及本着公正原则加强人权、可持续发展、民主与和平的根本支柱，高等教育正发挥着空前的作用。高等教育的责任是促进和平文化的价值与理想。

3. 高等教育机构及其教师员工和学生应通过在各项工作中坚持严格的伦理准则和严谨的科学态度和学术风气，保持和发挥自己的重要作用。他们也应通过不断对新出现的社会、经济、文化和政治趋势进行分析，加强自己的批判性和前瞻性功能，从而成为预测、警报和预防的中心。为此，他们应享有充分的学术自由和自主权，同时也要对社会充分尽职尽责。

4. 高等教育的适切性应以高等院校的表现是否符合社会的期望来衡量。对此，高等教育机构和系统需要在实现社会目标与满足社会需求，包括尊重文化与保护环境这一长期方针的基础上，更好地解决社会问题并更紧密地与就业相结合。培养创业技能和能力应成为高等教育所关注的问题。高等教育应加强其为社会服务的功能，尤其应采取学科间和跨学科的方法来分析有关的问题，加强旨在消除贫困、偏执、暴力、文盲、饥饿、环境污染和疾病的活动。

5. 高等教育是从早期幼儿教育和初等教育开始并持续贯穿一生的整个教育体系的一部分。应充分重视高等教育对整个教育系统发展的贡献，调整它与各级教育间的关系，尤其是与中等教育的关系。中等教育不仅要在广泛的基础上培养学生的学习能力，从而培养合格的考生去接受高等教育，而且还应提供各类职业培训来打开进入职业生活的道路。

6. 必须使高等教育的模式、招生方式和招生标准多样化，以适应求学需求，为学生提供 21 世纪所要求的扎实基础和培训。学生应当最优化地选择和获取知识，并在灵活进出高等教育系统的基础上，从终身教育的角度看待知识技能。

7. 高等教育质量是一个多维度的概念，应包括高等教育的所有功能和活动：各种教学与学术项目、研究与学术能力、教学人员、学生、楼房、设施、设备、社会服务和学术环境等。应尤其重视通过研究来促进知识的发展。所有地区的高校都应开展透明的内部评估和由独立专家公开参与的外部评估。但对院校、国家和地区的具体情况应予以应有的重视，以考虑多样性和避免统一性。高等教育显然需要有以学生为中心的新视角和新范式。为了达到这些目标，需要用恰当的新办法来重新构建课程，以便不局限于各学科知识的掌握上。还应帮助学生获得技能、才干和交往能力，学会进行创造性和批判性的分析以及在多元文化环境中能独立思考和协同工作。

8. 强有力的教师进修政策是高等教育政策的重要方面。应制定有关高等教育教师的明确政策，他们现在不应仅仅传授知识，而必须把重点放在教会学生如何学习，如何发挥主动精神上。应通过必要的教师进修计划为其研究、更新和提高教学技能提供充分的条件，鼓励他们不断改革课程和教学方法，并在适当的业务与经济地位的基础上做好教学和科研工作，落实 1997 年 11 月教科文组织大会上通过的《关于高等教育教学人员地位的建议》中的规定。

9. 国家和高等院校的决策者应把学生及其需要作为关心的中心，并应将他们视为高等教育改革的主要和负责任的参与者。应与学生组织合作开展指导和咨询服务，以便帮助不同年龄的学生向高等教育过渡和考虑越来越多类型的学生的需要。应使辍学学生有机会在适当的时候重返高校学习。高等院校必须教育大学生成为知识丰富和有远大抱负的公民，能够进行批判性的思考，分析社会问题，研究和运用解决社会问题的办法并承担起社会责任。

10. 必须采取措施加强和保障女性参与高等教育，尤其是要加强在决策层面和那些女性比例较低学科的积极参与。应进一步作出努力，消除高等教育中有关性别的种种固有的偏见。在高等教育系统和院校的改革过程中，消除这些障碍仍是一项紧迫的优先任务。

11. 在高等教育改革过程中，应充分发挥信息和通信技术在扩大和丰富高等教育提供、促进知识和信息更广泛传播方面的作用。通过开展国际合作，帮助那些能力不足的国家，促进这些技术的平等利用；应使信息和通信技术适应各国、各地区的需要，并建立一套技术、教育、管理及规章制度来支持

这些技术的应用。

12. 应把高等教育视为一种公共服务。通过公共和私人渠道实现经费渠道的多样化是非常必要的，其中公共支持仍是高等教育在教学和社会使命上获得和谐发展的重要保证。高等教育的管理和筹资应改善质量和适切性。这要求在高等院校和国家主管机构之间建立合作伙伴关系的基础上，提高必要的规划和政策分析的能力。高等院校应拥有管理其内部事务的自主权，但同时必须通过明确和透明的绩效责任机制向社会负责。

13. 高等教育的国际维度是其质量的一个内在要素。合作网络作为一种主要的行动措施应建立在共享、团结和平等的基础之上。“人才外流”必须加以遏制，因为它不断使发展中国家和转型国家失去加速其社会经济发展所需的高水平专门人才。应优先考虑发展中国家在地区和国际网络上的高级培训研究中心的培训课程和在国外短期的专门课程和强化课程。

14. 应批准和实施关于承认学历的地区和国际规范性文件，其中包括证明毕业生的技能和能力的证书，以便于学生改修课程，在各国教育系统内及不同国家教育系统之间流动。

15. 在深化高等教育改革的过程中，需要有关各方——国家和高校的决策者、政府和议会、媒体、教职员工、研究人员、学生及其家庭、职业界和社会团体——开展密切的合作。

我们深信，1998 年巴黎世界高等教育大会的成果很好地体现了高等教育专家、政府官员和学者的意见。提升高等教育质量、适切性、入学和国际化的各种措施来应建立在世界高等教育大会成果的基础之上，并应尊重多样性、创造性和创新性的价值观念，唯有如此高等教育才能真正地服务于各个国家，开创人类的美好未来。

注释：

〔1〕有些专家可能会认为国际化是一种新的趋势。但实际上并非如此……早期中世纪时的大学就是国际性的，而 1983 年教科文组织在保加利亚索菲亚召开的国际研讨会上通过的题为《未来几十年进程中高等教育目的和社会作用的变革》的工作文件也指出：“国家的相互依赖和国际合作呈现出明显的发展倾向：高等教育国际化。因此，不同国家在不同条件下运行的大学，其课程、学习计划逐步趋同。大学之间的相互影响，特别是创新型大学，其研究水平更高，对全世界具有决定意义。这一过程依据不同途径而得到发展。”（该文件原文为法文）

〔2〕(a) 元认证在国际层面上也是一种很有效的方法。这种根据共同标准对质量保证和认证机构进行评估的认可程序有助于实现对机构的多边认可。反过来，这也会使培养项目、院校、学生、雇主和公众确信，质量机构是根据国际认可的标准实施的评估。在资格认可领域，信任是推动质量保证和认证体系向前发展的强劲动力（Dirk Van Damme. Trends and models in international quality assurance and higher education in relation to trade in education services, OECD/US Forum on Trade in Educational Services, 23-24 May 2002, Washington DC, USA）。

(b)“虽然很多人认为由一个国际性机构在世界范围内开展质量保证和认证工作（或有地区性机构在地区范围内开展这项工作）似乎并不可行，但在考虑各种可能的模式和趋势的时候，这种做法却是不可忽视的。”（同上）

(c) 范达姆教授在 2001 年 9 月 10—11 日召开的教科文组织专家会上提出了类似的观点。他认为：“全球化造成的影响是，任何可靠的国际质量方案都不足以平衡全球高等教育市场的发展，未来我们将会遭遇很多严峻的问题，而世界上最不发达的国家及其学生将成为牺牲品。”

(d) 所有的这些都与世贸组织秘书处 1998 年 9 月 23 日散发的 S/C/W/49 文件所指出的相一致：“达成有关专业培训、科学和认证的标准的协议对这种贸易模式具有重要的意义，它可以使从国外获得的学位得到广泛的承认。”

〔3〕联合国教科文组织各地区批准通过的高等教育学历、文凭和学位相互承认公约分别为：拉丁美洲和加勒比地区（1978）、阿拉伯国家（1979）、欧洲地区（1979）、亚洲及太平洋地区（1983）。此外，1976 年在法国尼斯通过了一项环地中海阿拉伯和欧洲国家的国际公约；1997 在欧洲委员会和联合国教科文组织的推动下，欧洲地区通过了新的公约；1993 年联合国教科文组织大会还通过了国际高等教育文凭学位互认的建议。

〔4〕2004 年巴西圣卡塔林纳（Santa Catarina）州立大学加斯特瓦·费雷拉·里比洛（Gustavo Ferreira Ribeiro）提交的研究生学位论文对教育服务贸易的法律问题进行了深入的研究。另外，国际教育（IE）、加拿大大学和学院协会、加拿大大学教师协会的网站上也有一些相关的评论。

〔5〕本文的第二作者1981年10月至1999年2月曾任联合国教科文组织高等教育处的处长。在任职期间，教科文组织推动制订了四个高等教育学历文凭相互承认的规范性文件。

〔6〕"共同利益"一词源自《罗马条约》(即《欧共体条约》)第90条，意为满足所有人利益以及欧盟成员国须服从于特定的公共服务义务的贸易服务活动。

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（阚阅　译）

《2007年世界高等教育报告：高等教育的质量保证》
全球大学创新联盟——大学的社会责任系列丛书

本报告是全球大学创新联盟（GUNI）出版的2007年度报告，该系列丛书主要针对21世纪高等院校所面临的主要问题进行深入的探讨，特别突出大学的社会责任。

本报告收录了来自全球各地的48位知名学者的学术论文，这些论文从全球和地区的层面对高等教育质量认证的相关问题进行了讨论，其中涉及的主要问题包括：认证的历史和社会根源是什么？当前存在哪些认证机制？认证在跨境高等教育方面可以发挥什么样的作用？认证对高校财政有什么影响？如何避免高等教育腐败？如何建立理想的认证机构？如何进行认证治理？

本报告试图在理论分析和具体实践的基础上对上述问题作出回答。本报告还包括对100多位知名专家和重要实践者就高等教育质量认证问题所做的德尔菲调查的结果，同时提供了相关数据、分析框架和参考文献。

本报告是学术人员、行政人员和决策者了解21世纪高等教育质量问题的一份重要报告。

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DOCUMENTO 5

FORWARD- PREFACE TO THE BOOK WITH A SELLECTED ARTICLES, SPEECHES AND RECOMMENDATIONS BY WANG YIBING ON HIGHER EDUCATION

"Forward – Preface" by Marco Antonio Rodrigues Dias to the book of Wang Yibing on higher education (In Chinese) + Index of the book

A-FORWARD

It was in 1991, in Armidale, Australia, where I met Professor Wang Yibing for the first time. This happened during a regional symposium in the framework of a world-wide reflection on higher education UNESCO organized for giving elements to the elaboration of a comprehensive document on higher education policies all over the world. This document, whose preliminary version was published in 1993, was released in February 1995. It was the "Policy Paper for Change and Development in Higher Education" published by UNESCO in English (original), French, Spanish and Portuguese. Wang Yibing attended this meeting invited on a personnel basis, but his name was suggested to UNESCO by the Ministry of Education, China.

It was a difficult period in the Asia and Pacific region. Mr. Wang Yibing impressed the participants with his knowledge and analysis on challenges and opportunities facing developing countries in Asia and the Pacific, particularly in his own country, China. I am sure that the capacity and vitality expressed during this meeting were key factors in the decision the Director General of UNESCO, Federico Mayor, took in selecting him, in 1993, in a competition with hundreds of candidates from all over the world, for the post of programme specialist for higher education at UNESCO Regional Office based in Bangkok. Working in close relation with the Division of Higher Education in UNESCO's headquarters in Paris, whose I was the director, Mr. Wang Yibing was charged of coordinating the UNESCO's presence in the field of higher education in 44 countries, member states of the organization, in Asia and the Pacific, in fact the largest and most diversified region of the Organisation.

The 10 years presence of Wang Yibing in the UNESCO's regional office in Bangkok, coincided largely with a period in which higher education was considered a priority in UNESCO, the UNITWIN-Chairs UNESCO's programme was consolidated, the World Conference on Higher Education (1998) took place and several normative instruments on higher education were adopted by UNESCO's member States.

Mr. Wang Yibing did an excellent job in implementing UNESCO's programme in higher education. Well articulated with colleagues in headquarters and in Asia with local governments, regional governmental and nongovernmental organisations, Wang Yibing collaborated directly with member states in formulation of strategies and policies of higher education and in creation of the Asian Association of Universities and of many other networks for regional cooperation. His previous experience from the positions held in his

university as well as in the ministry of education and Chinese Delegation to UNESCO, Paris, were surely very helpful.

In the nineties, UNESCO launched an enormous mobilization all over the world around higher education systems. A world conference was called for 1998 and since 1996 regional conferences took place in La Habana, Dakar, Tokyo, Palermo, and Beirut for preparing this event. The regional conference for the Asia and Pacific region took place in Tokyo in the headquarters of United Nations University. More than 300 delegates from the region, including ministers and university presidents, attended this conference. It was a success.

The conference was held in UNU's premises, but its whole preparation was done in Bangkok by one man, Wang Yibing, alone together with his secretary. This conference was really remarkable. It was at this time that a round table trough Internet (audio and video) was organized by the Institute of Advanced Studies of UNU with the involvement of academics located in several countries of the region and with the participation of the UNESCO's regional office in Bangkok. The progress in the field of telecommunications went so fast, to do something similar can be considered routine today, but at this time it was pioneer. This event was really a historical one.

Wang Yibing was autonomous, he never followed in an automatic way what used to came from UNESCO's headquarters, but he was loyal to the main orientations established by the General Conference, the Executive Board and the director general of UNESCO. He always had in mind the tremendous impact of changes that were taking place in higher education and he always supported the idea that no institution, no system, no member of academic community can ignore it, without a great risk of being ejected from the development process and of the advancement of knowledge in the world. This was an important point in the regional conference in Tokyo and an important element in the contribution this meeting gave to the preparation of the World Conference on Higher Education in 1998.

Mr. Wang Yibing was curious on what happened with higher education in all regions, particularly in developing as in developed countries, but he realized since the beginning that higher education should reach quality, increase in enrolments could not mean reduction in quality. Correctly, he always worked having in mind that quality does not exist without relevance, without links with the cultural and historical values of the region, without a compromise to look for solutions for the pressing problems of the region.

Some principles highlighted by the Asia Conference were present the whole time in the implementation of UNESCO's programme in this region. "Higher education", said the Tokyo declaration "is essential for any country to reach the necessary level of economic and social development and social mobility in order to achieve increased living standards and internal and international harmony and peace based on democracy, tolerance and mutual respect".

Higher education institutions must offer learning opportunities to everybody, everywhere and every time. Cooperation is essential and the lines for an action adopted by the participants of this event represented a comprehensive set of proposals for increasing solidarity and joint actions in the region. “Cooperation” -as the declaration said- “can make significant contributions in addressing major policy problems, strengthening national capacity in economic and social development, and facilitating the sharing of important expertise and experience”.

This statement was fundamental, in a period in which, regional agreements started to be considered powerful instruments of less strong countries to face globalisation and to find a way to benefit from the world progress without losing their specific characters.

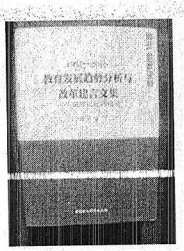
As a matter of fact, even before coming to Bangkok, Mr. Wang Yibing studied carefully the experience and lessons from higher education reform and expansion in the west developed countries since late fifties and early sixties of last century with a focus on it’s governance and formulation of its operational mechanism, which –in his opinion- was a relevant reference needed badly by China at the very beginning of open door policy.

After retiring from UNESCO, Mr. Wang Yibing collaborated with authorities and institutions of China in defining policies for higher education in a period of transition. He kept reading and thinking, taking always into account at this time the UNESCO’s social points of view, when he produced opening speeches, keynote presentations, articles, studies, with new ideas valuable and relevant for China and also for other countries.

Wang Yibing is a man of the world, bus he is essentially a Chinese man, he loves his motherland and never forget to provide suggestions and recommendations in his articles for pushing its higher education massification and related reform and innovations in higher education. I was happy in learning that the China Social Science Publisher decided to publish a collection of Prof.Wang’s selected articles, speeches and some of the recommendations he produced in his past 35 years since he moved from university to Ministry of Education of China in 1981. I would like to express my congratulations on it and firmly believe that the selected documents, included in this collection regarding massification, internationalization, networking, cooperation, utilization of ICT, open and distance education, etc., will be definitely useful and relevant as a reference for policy makers, university leaders, professors and researchers in China and also outside China.

We never knew each other until we met in Australia in 1991. In my service of almost 20 years as the director of the Division of Higher Education I participated actively in the recruitment of dozens of professional staff. Wang’s recruitment was, in a certain way, controversial and consumed long time. In fact, many “contraried” interests were unhappy with the proposal regarding this appointment originated inside the Division of Higher Education and this could explain this delay. The performance of Mr. Wang Yibing, the dynamism of UNESCO in the field of higher education in Asia and the Pacific at this time, and the reflections that now are available to all interested people through the selected publication of

documents produced by Wang Yibing, proved that the selection made by the Director General was the best choice for UNESCO and for the member states.



1981-2016

Collection of Papers on Educational Development Trend Analysis and Reform Recommendations

- Global and international Comparative Perspective

Wang Yibing

China Social Science Press

Catalog

Preface by Prof.Panmanyuan
Preface by Dr. M. A. R. Dias
Preface by the Author

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DOCUMENTO 6

MISSION TO CHINA

SEPTEMBER 2004

From Marco Antonio Rodrigues Dias, representative of United Nations University in Paris to the rector Van Ginkel - 2004

According to your decision, I accepted the invitation to attend the 2004 GUNI-AP Symposium which was held at the University Zhejiang, in Hangzhou China, from 20-21 September 2004. The main subject of the meeting was **quality assurance and mutual recognition of qualifications** in higher education.

When I was leaving to Amazonia and Mexico, I received a request from the organizers to take the floor twice: on behalf of UNU in the Opening session and to present a speech on substantive matters (principles) related to accreditation and quality assurance systems.

The vice-minister of education of China, dr. Wu Qidi attended the opening session. I made a speech of not more than five minutes (which is an exception…). I limited my intervention to remind the creation of GUNI in 1999 as an initiative taken by the director general of UNESCO and the rector of UNU to create a mechanism to allow higher education institutions and their representative associations to actively participate in the follow-up of the World Conference on Higher Education.

As the name of the network indicates, GUNI is linked to innovations and one of its main objectives is precisely to stimulate innovative projects to ameliorate quality and relevance of higher education, using, in particular, networking as an instrument to reach this objective. I highlighted also the need of taking into account cultural elements to have real quality in higher education.

Without going into details, I declared that GUNI is a reality, even if, in the beginning, unexpected difficulties made its way hardest than one could imagine. Now, a period of consolidation arrived and in the next October GUNI Conference in Barcelona, a series of actions will be launched reinforcing the network and the presence of higher education institutions in the follow-up of the WCHE.

In my speech, which was a more personnel presentation, I tried to make an analysis of different existing perceptions on the problems related to higher education during the last ten years. I started reminding that ten years ago, two important documents were elaborated on the subject: “Higher education: the lessons of experience” of the World Bank and “Policy Paper for Change and Development in Higher Education” from UNESCO.

Taking into account what is happening in UNESCO, where this subject seems now to be strongly influenced (for some, controlled…) by OECD and anglo-saxonian experts, I tried (even if I am not sure that I was able…) to be cautious, exposing facts and avoiding to make criticism. But, of course in this field one cannot be neutral and I don’t say I am neutral. Of course, I am not.

I consider that attention should be called on some subjects:

1-UNU could be interested in following the meeting is being organized in Japan, in which experts from OECD and UNESCO who are developing drafts of guidelines on "quality provision in cross-border higher education" will meet The meeting will take place in 14 and 15 October 2004 in Tokyo. The group already met in Paris last April, but the participation to the meeting, according to the information's disseminated in internet, was "upon invitation only". Presently, it appears impossible to have access to the documents produced by this group at least trough Internet. The group met also in Paris in June 2004. "The Endeavour will involve the collaboration of both sending and receiving countries of education services and will have global reach".

2- The subject of next GUNI Conference "the Social Commitments of the Universities" can give a good opportunity to bring back some essential concepts UNU and UNESCO, as the whole NGOs in higher education system, emphasized during the preparation of WCHE in the second part of the nineties. Under this framework, attention to the link between quality and relevance, the importance of cooperation based on solidarity, the need of taking into account the cultural aspects in all these cases.

3- UNU could play an important function in discussions concerning the elaboration of an international convention on cultural diversity which is taking place just now in UNESCO. Last year a declaration was approved, in the draft of the convention no mention is made to higher education. The implications of a convention of this nature to the present moment on the role of higher education and its internationalization are obvious.

4- Some conceptual, but with concrete implications, debates are taking place now on themes such as the international public good launched by the World Bank. This was the subject of debates in recent ibero-american conferences.

Attached, you can find the program of the GUNI-AP International Symposium and the text of several presentations, including mine. We can observe that in practically all countries of Asia and Pacific, the issue of accreditation became an important theme in the agenda of governments but also of the academic institutions. The World Bank and UNESCO and, in some countries, OECD are very active in this domain in the region.

China is an interesting case. The representatives of this country mention that decision was taken to adopt a market approach in higher education. However, one cannot that what they consider market approach does not have the same meaning as in OECD countries or in Latin America. Private institutions begin to appear, agreements are made with foreign institutions, fees (even if reduced) were introduced, but the presence of the state is very high. Since the WCHE China decided to enlarge the access. In 1998, according to Mr. Wang Yibing, China went from 6 millions to 16 millions university students. Funds for research were increased. And presently China is the second or third country in the world in expenses with research.

Hundred thousands students are being sent abroad to complete their post-doctoral training and they are sure to find jobs when they return.

On this line, the University of Zhejiang could be a powerful partner to UNU. During my visit, the rector asked my personnel collaboration to develop agreements with universities in Latin America and in Europe. This university is normally presented as the number 3 among the most important in the country. The rector who happens to be the president of GUNI AP is relatively young (a little more than 50 years), has strong links with enterprises in his State and a big prestigious in the central government as I could observe trough a conversation with the vice-minister of education. You remember that last year he expressed interest in establishing an UNU program in Hangzhou. On my side, since I came back, I put the University of Zhejiang in contact with several Ibero-American universities.

Other countries, such as Malaysia, are completely oriented to the market and are developing a policy to receive more and more foreign students paying high fees. According to the expression of the representative of this country in the meeting, Professor Mohd, Malaysia intends to become an educational "hub" for higher education services.

C-ANEXOS

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ANEXO 1

THE DEVELOPMENT AND REFORM OF HIGHER EDUCATION IN THE PEOPLE'S REPUBLIC OF CHINA

Documento apresentado pelo Ministério da Educação da China, à Conferência Mundial sobre Educação Superior da UNESCO em 1998-

World Conference on Higher Education
UNESCO
Paris, 5-9 October 1998

THE DEVELOPMENT AND REFORM OF HIGHER EDUCATION IN THE PEOPLE'S REPUBLIC OF CHINA



Ministry of Education
People's Republic of China

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8 Outstanding Issues and Difficulties Faced by the Development of Higher Education in China and Prospects of Future Development

8.1 Outstanding issues and difficulties faced by the development of higher education

8.2 Prospects of future development

1. Implementing the Strategy of Invigorating the Country Through Science and Education and Paying Great Attention to the Reform and Development of Higher Education

With the advent of the 1990s the socio-economic development of China has entered a new era, and in the period from now on to the year 2010, the second and third steps of strategic plan of China's modern\ization drive will be taken with the following objectives in mind: a comparatively perfect system of socialist market economy will have taken shape with concomitant significant development of the productive forces of society and enhancement of the overall strength of the nation and the living standards of the people, giving rise to historic and tremendous changes in the social and economic physiognomy of the country, and bringing about significant advances in building a socialist society with an advanced culture and ideology as well as in democracy and legality in an endeavor to realize overall social progress and lay a solid foundation for basically attaining the goal of modernization by the middle of the next century. To realize this strategic goal, the Chinese government has evolved the strategic plan of invigorating the country through science and education, and the implementation of this strategy has posed entirely new demands to the reform of higher education.

The strategy of invigorating the country through science and education is characterized by the following features: laying stress on the priority development of education and on raising the quality of the whole nation, and accordingly, while a suitable target of quantitative development of higher education will be set forth, the main emphasis will be laid on raising the quality and the cost-effectiveness of education, with special efforts made to prioritize the development of a number of selected higher education institutions and academic disciplines; optimizing the allocation of educational resources by promoting joint provision of cooperative programs of various modes; attaching importance to the fostering of the spirit and competence of innovation among the professional manpower trained and paying great attention to raising the quality of students in a comprehensive way; laying stress on the development of academic staff and the upgrading of their quality in an all-round way; conducting reforms in the patterns of training, as well as in the content, methods and means of teaching so as to train a large number of high-quality professional manpower.

2. Higher Education Policies and Developmental Targets

2.1 Educational policy and the tasks of higher education

The educational policy of China may be formulated as: education must serve the socialist modernization drive and must be combined with productive labor in order to foster builders and successors for socialist cause with all-round development-- morally, intellectually and physically.

Higher Education in China is shouldered with the tremendous tasks of training the professional manpower for the modernization drive, of developing science, technology and culture, and of promoting the cause of modernization.

2.2 Targets and strategy of the development of higher education

The developmental targets of China's higher education during the 1990s are as follows:

— The professional manpower trained by higher education institutions (HEIs) should meet the needs of China's social and economic development as well as the development of science and technology and culture, and efforts will be focused on developing a number of key universities and priority academic fields so that professional manpower of higher levels may be basically trained in domestic institutions, and the quality of education and the scientific and technological level attained and the cost-effectiveness of educational provision will be significantly improved.

— By the year 2000, total higher education enrollment will reach 6.5 million or so, indicating an increase of one million compared with current figure. By the year 2000, the number of college students per 100,000 population will be raised to 500, and the participation rates in higher education of the 18-21 age group will be raised to 8% or so. Of this total enrollment, 6.3 million will be enrolled in undergraduate degree and nondegree programs, indicating an annual growth rate of 2.8%, and 200,000 will be enrolled in postgraduate programs, indicating an annual growth rate of 6.6%; 3.5 million will be enrolled in regular full-time undergraduate degree and nondegree programs, indicating an annual growth rate of 3.8%; 2.8 million will be enrolled in adult higher education undergraduate degree and nondegree programs, indicating an annual growth rate of 1.7%.

— The developmental strategy of higher education may be formulated as: adhering to a policy of coordinated development giving due and unified attention to the following four elements: scale, structure, quality and cost-effectiveness. The path of intensive development will be taken to achieve a steady development of higher education; efforts will be made to adjust and optimize the structure of higher education and to improve the geographical distribution of institutions and programs; great efforts will be made to raise the quality of education; and the allocation of resources should be optimized so as to enhance the cost-effectiveness of educational provision.

2.3 Basic principles for developing higher education

— Citizens enjoy equal opportunities to receive higher education according to law. With respect to the right and obligation to receive higher education, citizens have equal legal status, and all citizens are protected from unequal treatment ensuing from differences in ethnicity, race, sex, age, occupation, property status or religious belief.

Because the level of economic and educational development in China is not high yet and because of the existence of regional disparities in development, the state has adopted legislative and other measures to assist and support the development of higher education in minority areas and remote poor areas, and to assist female, disabled and minority students and economically

handicapped students to receive higher education.

— Socialist orientation shall be adhered to in educational provision. China's higher education will invariably persist in the four cardinal principles and the policy of reform and opening up to the outside world as provided by the Constitution, and positive measures will be taken to serve the needs of the development of the national economy and the needs of social progress, subordinate to the central task of economic construction and promoting the healthy development of a socialist material and spiritual civilization.

— The principle of combining education with productive labor will be adhered to. The integration of education with productive labor is a fundamental way to train tertiary level professional manpower in China. Higher education must serve the needs of local economic and social development in the light of the characteristics of HEIs and through diverse modes; efforts will be made to organize college students to take part in practice of scientific research and in social practices and to promote the integration of education with research and production through various ways.

— HEIs will adhere to the principles of responding to societal needs, enjoying a high degree of autonomy according to law, and adopting democratic procedures in institutional management. The state regulates the relationships between the government, the society and the institutions through legislation, clarifying the rights and obligations of HEIs, expanding institutional autonomy in educational provision, enabling HEIs to become legal entities that really enjoy a high degree of autonomy and are able to respond to societal needs in educational provision. An institution will, under the macro-control of the government, autonomously organize its own educational and research programs and allocate accordingly the human, financial and material resources needed. In the meantime, mechanisms will be instituted and perfected to facilitate the exercise of institutional autonomy in educational provision responding to the needs of society and the exercise of self-restraint, and the implementation of democratic management.

— On principle HEIs enjoy freedom in conducting scientific research, in literary and artistic creation and in other cultural activities. Scientific research, literary and artistic creation, and other cultural pursuits conducted in HEIs should be persistently guided by Marxism, so that academic freedom is exercised, scientific spirit is respected, novel ideas are protected, and scholarly disputes between different schools are supported.

3. System, Structure and Management System of Higher Education in China

Over the years, a system of higher education has taken shape in China characterized by multiple modes of educational delivery, multiple levels of educational programs, a fairly complete coverage of fields of study, and a network of institutions geographically widely distributed.

3.1 Modes of educational delivery in higher education tend to diversify

The provision of higher education in China is mainly divided into two major categories, namely regular higher education and adult higher education. The provision of regular full-time higher education is mainly undertaken by regular HEIs, which are devoted mainly to the provision of full-time programs, but may also maintain correspondence divisions, evening schools, or short-term full-time training institutes for adult learners. By the end of 1997, there were 1020 regular HEIs in the whole country with a total enrollment of 3,173,800 full-time degree and nondegree undergraduate students, 163,200 graduate students enrolled in master's degree and doctoral programs, and with a total number of 1,031,500 teachers, staff and workers. Higher education for adults is becoming more diversified, vocationally-oriented and open, and consist of a network of radio and television universities (RTVUs), workers' colleges, institutes for administration, educational colleges, and independent correspondence colleges, to be supplemented by state-administered higher education examinations for self-directed learners. The total number of applicants for sitting these examinations is about 9 million per year. By the end of 1997, there were 1107 adult HEIs in the whole country with a total enrollment of 2,655,700 students pursuing degree and nondegree programs, and a total number of 214,500 teachers, staff and workers.

Responding to the needs of social and economic development, China is energetically developing tertiary vocational education. A new type of vocational-technical colleges has been developing over the years and the programs provided by a part of short-cycle colleges have become more vocationally-oriented through reforms and/or institutional changes. In a similar vein, at the level of graduate education, the development of more vocationally-oriented programs, such as MBA programs, master of clinical medicine programs, and master of education programs are underway.

3.2 Level structure of higher education

Higher education in China is mainly divided into three levels, namely, short-cycle higher education, first degree level undergraduate education, and postgraduate education. Short-cycle higher education usually lasts 2-3 years and its programs are directed to the training of front line technical personnel and practical workers engaged in production, management or other practical work. Degree level undergraduate education usually last 4-5 years, being the basic stage of university education and undertaking the training of professionals of various fields, and according to the provisions of the Regulations of the People's Republic of China on Academic Degrees, successful completers of such undergraduate programs will be awarded the bachelor's degrees. At the stage of postgraduate education, there are master's degree programs and doctor's degree programs, with the former lasting 2-3 years and the latter lasting 3-4 years. Successful completers of master's and doctor's degree programs will be awarded the master's degrees and doctor's degrees as provided by the Regulations on Academic Degrees.

3.3 Structure of fields and sub-fields (specialties) of study provided by higher education

As things stand now, at the undergraduate level, higher education programs are divided into 11 major fields of study, namely, philosophy, literature, history, jurisprudence, economics, pedagogy, natural sciences, engineering, agriculture, medicine, and management. Each major field is further divided into a number of specialties or sub-fields and there are 249 first degree level specialties as the result of recent adjustment. At the postgraduate level, there are 12 major fields of study, further divided into 81 first level disciplines and 381 specialties under these disciplines.

3.4 Management structure of higher education and the geographical distribution of HEIs

With respect to the management of HEIs, there are two categories of institutions, those under central ministries and agencies and those under provincial authorities. Among the first category of institutions there are institutions directly under the Ministry of Education (MOE) and institutions under other central ministries and agencies (sectoral departments).

Since China is a vast country and various regions differ a lot in natural endowments and their economic and social development is quite uneven, and accordingly, the geographical distribution of HEIs is also uneven, and the pace of development of higher education is faster in the eastern regions and slower in the western regions.

4. Reforms in Higher Education

4.1 Structural reforms in higher education

In 1985, the Chinese government made the Decision on the Reform of the Structure of Education, initiating structural reforms in higher education. With the advent of the 1990s, when the institution of a socialist market economy has become the major task of the structural reform of China's economy, the structural reforms of China's higher education has entered a new era. In February 1993, the government promulgated the Guidelines for the Development and Reform of Education in China; in June 1994 a National Conference on Education was convened, giving great impetus to educational reforms, and subsequently, in July 1994, the Suggestions of the State Council on the Implementation of the Guidelines for the Reform and Development of Education in China was promulgated. A decade's efforts to enact a higher education law culminated in the Higher Education Law of the People's Republic of China promulgated on August 29, 1998. The provisions of this important law, of course, will guide the reforms to be conducted in the coming years.

4.1.1 Structural reform in the provision of higher education

The goal of structural reform in the provision of higher education lies in: reforming the previous system in which the state monopolized the provision of higher education into a new system in

which the major burden of providing higher education will be borne by the government, to be supplemented by the positive efforts of other sectors of society. The reform practices of the last few years have broken the old framework of the government monopolizing the provision of higher education, and a new framework with the coexistence of the state and non-state/private sectors has gradually taken shape, and at present, 22 non-state/private HEIs have been authorized by the government to award formal qualifications.

4.1.2 Reform in the management structure of higher education

The main focus of the reform of the management structure has been placed on straightening out the relationships between the government, the society and the institutions and weakening the unitary relationship of subordination to a single governmental agency with the result that public HEIs formerly under the jurisdiction of central ministries will be jointly managed by both central and provincial authorities with proper division of labor and with the latter assuming the role of coordination; the role of the government will gradually shift to macro-level control, and each HEI, as a full-fledged legal entity, will enjoy far greater decision-making power. In the course of reform, the following measures have been taken to adjust the management structure of HEIs, to optimize the structural set-up of higher education, and to rationally allocate educational resources so as to raise the level of education and the cost-effectiveness of educational provision: promoting the joint development and management of institutions; promoting the collaborative provision of educational programs by two or more institutions, and promoting collaboration with enterprises in providing new programs; merging of related HEIs; transfer of HEIs under the jurisdiction of central ministries to local governments, etc. From 1992 onward, over 100 HEIs formerly under the direct control of central ministries have become institutions jointly managed by central and provincial authorities; over 230 HEIs have developed diverse forms of collaboration in the provision of educational programs; 227 HEIs have merged into 96 institutions; 9 HEIs formerly under central ministries and agencies have been transferred to local control; over 5,000 large and medium-sized enterprises and research institutes have joined hands with 217 HEIs in the provision of educational programs.

4.1.3 Structural reform in the financing of higher education

According to previous practice, the financing of higher education entirely depended on budgetary appropriations as the single source of funds. The reform of the financing of higher education aims at instituting a system of financing in which budgetary appropriations remain the major source of revenues, to be supplemented by funds raised through multiple channels. At present, a new system of higher education financing is taking shape through reforms, in which budgetary appropriations constitute the main sources, supplemented by funds provided by enterprises, social organizations, and individuals (including tuition fees paid by students), and by the profits of school-run enterprises.

4.1.4 Reforms in the enrollment of new entrants and the job placement of graduates

Since mid-1980s reforms in the practice of the enrollment of new entrants have been conducted in China. At the first stage of reform, a policy was adopted that a part of new entrants were admitted through adjustable plans, that is, self-supporting students and students trained under contract concluded between their future employers and the institution concerned, in addition to new entrants recruited according to state plans, and the second category of new entrants need not pay any tuition, while the first category of students had to pay certain fees, but with their minimum passing scores somewhat lowered. Experiences indicate that the existence of a double-track system with different treatment in the payment of fees and admission standards was not conducive to an equitable competition among applicants and the motivation of students' learning effort. In 1994, a reform was initiated by gradually phasing out the double-track system, and by 1997 all HEIs succeeded in ending the double-track system.

Under the new system, all new entrants have to pay tuition fees, the ceiling of which is set at 25% of the per student annual cost of higher education with specific amounts set in the light of local economic conditions and/or the nature of specific academic fields. In the meantime, a system of financial aid to needy students has taken shape, consisting of a variety of means, such as scholarships, student loans, work-study funds, subsidies to especially needy students, and reduction or exemption of tuition fees, so as to ensure that no qualified college students from needy families would be deprived of the opportunity to receive college education. These reforms have been conducted smoothly, not only doing away with unfair competition and motivating the enthusiasm of students' learning, but also greatly mobilizing the initiatives of institutions and enhancing their viability.

As regards the placement of graduates, the new practice is characterized by "two-way selection" exercised by graduates and their potential employers, and in the years to come, with the exception of a small number of students placed in accordance with contractual provisions, most students will find their own jobs under the guidance of state policies.

4.1.5 Structural reform of institutional management system

The major thrusts of the reform of institutional management system lie in gradually developing an operation mechanism characterized by autonomy in educational provision, self-development, and self-restraint through reforms in the personnel and employment system and in the remuneration system and through the "socialization" of logistic support and services provided for students and staff members, so as to motivate faculty members, enhance institutional vitality, and raise the quality of education and the cost-effectiveness of educational provision. Reforms of institutional management have been conducted in all HEIs and in a deep-going way.

4.2 Instructional reforms in higher education

4.2.1 Reforming teaching content and curricular systems

In 1994, the former State Education Commission (SEdC) formulated and implemented the Plan for Reforming Teaching Content and Curricular Systems Meeting the Challenges of the 21st Century. The general objective of the reforms envisaged lies in developing a system of teaching content and curriculum in socialist higher education with Chinese characteristics through effecting a change of educational thought, renewal of educational concepts, reforming the patterns of training, and the modernization of teaching content, curricular systems, and methods and means of teaching. Under the aegis of this plan, 221 major research programs have been formally approved with nearly 1000 projects, covering almost the entire range of tertiary academic fields and sub-fields in the humanities and social sciences, natural sciences, engineering, agriculture, and medicine, involving the participation of over 10000 college teachers. These research programs related to teaching content and curricular systems are in full swing, and substantial progress has been made. A part of "college textbooks meeting the needs of the 21st century" have been published. A number of pilot projects involving reforms of curricular systems are underway. The full implementation of these research projects and their final outcomes will bring about profound changes in teaching content and curricular systems in Chinese HEIs and significantly upgrade the quality of education.

4.2.2 Reforming the provision of educational programs (specialties) and adjusting their structural set-up

In 1998, following two major revisions of the list of specialties offered at the undergraduate level in 1987 and 1993, MOE completed another round of major revision and adjustment of this list. With the recent revision of the list the total number of specialties offered at the undergraduate level has been reduced from over 500 to 249. This revision further enlarges the profile of each speciality, enhancing its adaptability to changing conditions, and thus effects a fundamental change in the old practice of overspecialization which sought to tailor a specific educational program to the needs of a narrowly defined career, and instead endeavors to prepare highly competent professionals with solid training in the fundamentals, and having good essential qualities, making college education better adapted to the needs of society. The recent revision not only will give a powerful impetus to the current reform efforts directed to a change of the pattern of training given by HEIs, but also will effectively promote the quality of higher education at the undergraduate level.

4.2.3 Improving the cultural quality of college students

In 1995, the former SEdC initiated an educational program aiming to improve the cultural quality (a concept akin to liberal education in the West) of college students in an organized and planned way, and pilot projects were launched in 52 HEIs in the country. During the last three years, this work has been soundly developed in the relevant HEIs. The main objectives of strengthening *suzhi jiaoyu* (a term of high currency in Chinese literature and may be rendered as "essential-

qualities-oriented (EQO) education"), especially the educational effort directed to the improvement of the cultural quality of students, are as follows: overcoming the evils of overspecialization that has existed for a long time; overcoming the weakness in humanist education and the manifestation of overtly utilitarian concerns; striving to enhance the ideological-moral, scientific and cultural, and professional qualities of students, as well as to improve their physical and mental health, so that the goal of an all-round development of students can be attained by giving due attention to the three dimensions of knowledge, competence and other essential qualities. On the basis of the work done during the last three years, MOE has decided to set up a Steering Committee for Improving the Cultural Quality of Students to provide guidance to such endeavor and to popularize successful practices to HEIs throughout the country. Several institutions have been commended for their successes in this realm of education, and their experiences are to be diffused to other institutions.

In the course of reforming teaching and learning practices, in parallel with efforts oriented to improving the cultural quality of students, steps have been taken to foster the creative ability of students and to promote the development of personality of individual students. In reforming the methods of teaching and learning, emphasis has been placed on giving full scope to the initiatives of students in learning by leaving adequate time and space for students to think and by developing individualized educational programs. All these efforts aim at enhancing students' ability to acquire knowledge independently and to innovate.

4.2.4 Conducting in-depth reforms in the management of teaching in an effort to develop a system of evaluating teaching and a system of macro-level monitoring and control of educational quality with Chinese characteristics

To enhance the awareness of quality in higher education and to pay great attention to the raising of quality constitute paramount concepts in the current reform and development of higher education. In order to promote institutional efforts to improve the quality of education, starting with 1994, the former SEdC have consecutively formulated three schemes of evaluation, and the first one is directed to the qualifying evaluation of newly established institutions, and the second one is directed to the competitive evaluation conducted among long established institutions with comparatively adequate resources resulting the selection of institutions outstanding in the quality of teaching, and the third one is directed to the evaluation of randomly selected intermediate institutions. The general guiding principle of evaluation consists in using evaluation as a means to promote institutional development and educational reforms, with emphasis placed on rectifying the underlying ideas of educational provision and raising the level of institutional management. So far 110 newly established institutions have taken part in the first category of evaluation, and 4 institutions--in the second category of evaluation, competing for recognition of outstanding achievements in university teaching. The initiation of these evaluation efforts has had positive impact in that in HEIs teaching

is now given greater attention, management of teaching is being improved, regulations related to teaching are being perfected, physical facilities are being enhanced, resulting in significant improvement of the quality of teaching. Efforts have been made to constantly improve the process of evaluation in the course of conducting the pilot projects of evaluation. Through these pilot projects the Chinese government is striving to explore a way to institute a system of macro-level monitoring and control of the quality of higher education with Chinese characteristics.

4.3 Reforms in the conduct of academic research

In 1985, the Chinese government promulgated the Decision on the Management Structure of Science and Technology, and subsequently in-depth reforms in the conduct of academic research has been carried out under the guidance of this decision. Since the mid-1980s a number of national key laboratories, centers of engineering or engineering-technological research have been established with budgetary appropriations. University staff have taken active part in nationally important research programs and in research projects requiring the concerted actions of HEIs and other research institutions. The success of university research finds evidence in the following facts: half of the State Awards of Natural Sciences have been conferred on university scientists, and one third of Awards of State Invention and one fourth of State Awards for Scientific and Technological Progress went to universities and colleges. HEIs have become important research bases of the country and played a major role in the nation's research endeavor. In the realms of the humanities and social sciences HEIs have also made significant contributions in research, and university scholars have taken active part in the tackling and solution of a number of important theoretical and practical problems arising in the course of China's economic and social development.

4.4 Implementation of the "Project 211"

In July 1994, the State Council issued the Suggestions of the State Council on the Implementation of the Guidelines for the Reform and Development of Education in China, explicitly providing for the implementation of "Project 211", aiming at strengthening about 1000 HEIs and a number of key disciplinary areas as a national endeavor meeting the challenges of the 21st century. It is envisaged that these institutions and disciplinary areas will substantially raise their level in the quality of education and scientific research, in management, and in the cost-effectiveness of educational programs, in an effort to approach or reach international standards achieved abroad in similar institutions and academic fields. In the light of this provision, in October 1995, China's central ministries and agencies concerned jointly formulated and promulgated a "Master Plan for Project 211", delineating the general objectives of the project, the main contents of developmental work, the tasks to be performed during the Ninth Five-Year Plan period, the use of developmental funds, and the procedure of construction management, etc. At present, the special funds for financing the project provided by state budget and by revenued provided by central ministries and provincial or municipal authorities concerned are in the process of being finalized,

and it is expected that these special funds will reach an aggregate of 8 billion yuan (Renminbi) or so during the 9th FYP period.

5. Financing Higher Education and Providing Necessary Facilities

5.1 Financing higher education

Despite the stringent conditions of public finance of the country, the level of budgetary allocations for higher education has increased significantly as compared with the early 1990s, besides, a number of policy measures have been taken by the state to support the effort of individual institutions to generate additional revenues through multiple channels, indicating that governments at various levels attach great importance to the strategic status of educational development and are making persistent efforts to improve educational finance.

Formerly HEIs received their funding almost exclusively from government appropriation according to the unitary State budgetary plan, and with the advent of reforms, the financing of higher education is gradually evolving into a new system in which government budgetary allocations remain the main sources, to be supplemented by funds raised by multiple channels. At present, fiscal appropriations made by governments at various levels constitute the main source of higher education finance, except the cases where the institutions are run by enterprises or by NGOs and other non-state/private sponsors. Meanwhile, HEIs increase their revenues through the following ways: charging tuition fees, income from university enterprises, donations made by organizations and individuals at home and abroad. Preferential treatment accorded to income generating activities of HEIs in the form of tax reduction is helpful. HEIs also resort to bank loans and credits to ease their financial conditions.

The following table gives data on state budgetary allocations for education, the percentage allocated to higher education, spending per student on several items, annual growth rate of commodity prices for the years 1990-1997.

Year	1990	1991	1992	1993	1994	1995	1996	1997
State Budget for Education (in 100 mil. Yuan)	426.14	459.73	537.73	644.39	883.98	1028.39	1211.91	1357.73
Pro. of Higher Edu. (in %)	24.04	24.21	23.41	21.28	21.05	20.76	18.98	19.48
Per Stud. Current Expend. (in yuan)	3314	4012	4790	5029	6022	6541	7372	8350
Per Stud. Expend. Provided by Budget (in yuan)	3107	3460	4092	4102	5048	5442	5957	6523
Tuition & Misc. Fees Paid Per Student (in yuan)	87.8	89.4	208.2	610.2	888.8	1124.2	1319	1620
Annual Gr. Rate of Commodity Prices (in %)	2.1	2.9	5.4	13.2	21.7	14.8		

5.2 Basic data on essential physical facilities of HEIs

With the increase of financial input year by year, the basic conditions concerning the physical facilities of HEIs have improved to a certain degree. The following table gives aggregate data on the floor space of buildings, number of laboratories, and library collections in the regular HEIs of the country for the period 1992-1997.

Year	1992	1993	1994	1995	1996	1997
Total Floor Area of School Buildings in Regular HEIs (in 10,000 sq. m.)	10815.45	11445.67	12356.94	13052.63	13598.74	14373.53
Total Number of Laboratories in Regular HEIs	35806	35911	38861	30621		
Total Book Value of Equipment & Instr. in Regular HEIs (in 100 mil. Yuan)	123.39	133.27	141.44	149.21	179.80	203.75
Total Library Coll. in Regular HEIs (in 10000 vol.)	40721	43341	43760	45491	46964	48344

6. Teaching Staff and Other Educational Workers

The educational workers employed by Chinese HEIs include teachers, managerial personnel, support staff, and other professional-technical personnel, engaged in various tasks related to the training of professional manpower and research.

6.1 Structural composition of teaching staff in HEIs

Teachers employed in Chinese HEIs are divided into the following categories according to their posts or ranks: professors, associate professors, lecturers, assistants, and instructors (academic ranks undecided). The following table gives aggregate data on the composition of teaching staff employed in regular HEIs and adult HEIs for the period 1993-1997.

Year / Rank of position / Category of Institutions		1993	1994	1995	1996	1997
Reg. HEIs	Professor	24385	28281	31095	33276	35914
	Assoc. Prof.	95360	102114	106520	110640	114278
	Lecturer	162543	168683	166508	161863	156791
	Assistant	83801	76573	74946	75423	76561
	Instructor	21719	20738	21673	21267	20927
Adult HEIs	Professor	733	1133	1433	1665	1747
	Assoc. Prof.	15204	19071	21209	22090	23003
	Lecturer	37707	44676	47275	47499	48162
	Assistant	25240	24512	22740	21976	22039
	Instructor	10584	5557	5550	5481	5314

6.2 System of development and management of HEI teaching staff

Both the Education Law of the People's Republic of China and the Teacher Law of the People's Republic of China explicitly provide: "The State shall implement a system of qualifying teachers". The system of teachers' qualifications refers to the state's statutory provisions for certifying teachers. Once a teacher's qualifications have been acquired, they become universally valid throughout the country without the limits of time or space and may not be deprived unless by legal procedure. In pursuance to the provisions of these two laws, in 1995 the government promulgated the Regulations

on Teachers' Qualifications and Interim Procedures for the Certification of Teachers' Qualification stipulating the classification and application of teachers' qualifications, requirements for acquirin teachers' qualifications, examinations for the acquisition of teachers' qualifications, certification o teachers' qualifications, and legal liabilities.

The posts of university and college teachers are divided into four ranks: professor, associat professor, lecturer, and assistant. The number of teachers' posts of senior ranks of each HEIs has to be approved by the state. A teacher who meets the requirements for a post of a certain rank may be appointed to such a post, subject to the prior approval of a panel of reviewers of teachers' posts.

A system of appointment is implemented in HEIs. According to current practice, the teacher to be appointed and the employing institution making the appointment are legally equal, and an appointment contract must be concluded by both sides, clarifying the rights, obligations and responsibilities of both sides. An HEI has decision-making power according to law and relevant regulations of the state in the appointment and management of teachers. Within the size of teaching staff authorized by the state, an HEI makes decision on the appointment of teachers, other staff members and workers on its own and determines the requirements and methods of recruitment on its own. As a rule, appointment is based on a comprehensive assessment of candidates, and the best qualified is appointed.

The remuneration and other material benefits and rights of teachers are legally provided. According to the provisions of the Teacher Law of the People's Republic of China, the material benefits enjoyed by appointed teachers during the term of service are as follows: (1) teachers' average salary shall not be lower than or shall be higher than that of public servants and shall be raised gradually; (2) local people's governments at all levels and the departments concerned under the State Council shall give priority and preferential treatment to teachers in the construction, renting and sales of residential houses for them in urban areas; (3) teachers enjoy equal medical care treatment as the public servants of the locality concerned. They shall be given regular health check-ups and enjoy recuperation holidays organized in line with actual local conditions; (4) after retiring or resigning from posts, teachers enjoy the retirement or resignation treatment as stipulated by the State.

According to the provisions of the Constitution, women in the People's Republic of China enjoy equal rights with men in all spheres of life, in political, economic, cultural, social and family life. The state protects the rights and interests of women, applies the principle of equal pay for equal work to men and women alike.

6.3 Pre-service and in-service training of teachers

Newly appointed college teachers mainly consist of current year university graduates directly appointed as assistants and graduates of postgraduate programs directly appointed as lecturers, and these young teachers as a rule require pre-service training prior to the assumption of their posts.

The modes of in-service training of college teachers include: taking part in the training courses for assistants, attending an in-service master's degree or doctor's degree program, spend a certain time as a visiting scholar in a domestic or foreign university or research institute, taking part in the training courses for teachers of various types and qualifications, taking part in advanced seminars for college teachers, going abroad for advanced studies, etc.

MOE is responsible for providing macro-level guidance to the in-service training of college teachers, and coordinate the training programs provided by 6 key normal universities and 59 other key universities in an effort to train the backbone teachers of China's HEIs. It is incumbent upon the educational departments of various provinces, autonomous regions and municipalities directly under the Central Government to assume the responsibility for the in-service training of college teachers employed in the HEIs under their jurisdiction and for giving guidance to the work of training centers of college teachers under their jurisdiction. They also assume the responsibility of coordinating the in-service training programs for teachers employed by HEIs under central ministries and located in the areas under their jurisdiction. Each tertiary institution is responsible for the in-service training of its own teachers, including drawing up plans, arranging the theoretical studies and practical training of individual teachers, selecting candidates for training provided by external institutions.

6.4 MOE's Scheme for Fostering Outstanding Talents Across the Centuries

According to the statistics for 1993, among the leaders of various academic fields, those under 50 accounted for only 5% or so. In the 5-10 year period after 1993, 80% of senior faculty members and research staff (with the ranks of professor and associate professor or equivalent qualifications) will gradually leave first line posts, and over 90% of the leaders of academic fields will retire. In this context, the former SEdC drew up the Scheme for Fostering Outstanding Talents Across the Centuries in October 1993. It is envisaged that by the year 2000 about one thousand young outstanding talents should have been trained among young faculty members with the following attributes: professionally highly competent, having moral integrity, being enterprising and possessing organizational abilities, and part of them should be quite distinguished in their own fields. It is envisaged that the implementation of this scheme will relieve to a large degree the shortage of academic leaders in charge of key disciplinary areas and national important research bases and help fill other important vacancies of academic posts, laying a solid foundation for training high-level professionals in domestic institutions and meeting the manpower needs for conducting advanced research.

With the implementation of MOE's Scheme for Fostering Outstanding Talents Across the Centuries, HEIs everywhere have attached great importance to the selection and training of promising young scientists and scholars, and many institutions have formulated specific policy measures to promote their advancement, so that some of them will come to the fore more quickly. In

these institutions effective measures have been taken to facilitate the professional growth of young talents, simulating them to redouble their efforts to scale new heights in their own fields. Some of these young scholars have made commendable progress and become emerging leaders in their own fields.

7. International Exchanges and Cooperation

The Chinese government attaches great importance to international exchanges and cooperation in higher education. From 1978 onward, with the adoption of the policy of reform and opening up, international exchanges and cooperation in higher education have been developing vigorously year by year and have yielded fruitful results. Over the past ten-odd years, China has sent out nearly 270,000 people to 103 countries and regions for advanced study, and has received 210,000 foreign students from 160 countries and regions. 1,800 Chinese faculty members and experts have been sent abroad to teach in foreign institutions; 40,000 foreign experts and teachers have been invited to China to teach in Chinese institutions. The development of international exchanges and cooperation has enabled China to extensively assimilate the useful experiences of foreign countries and to utilize loans, credits, donations and gifts provided by international bodies, foreign governments, institutions or individuals, and these funds have contributed to the renewal of laboratory equipment and construction of other vital facilities. Thus, international exchanges and cooperation have promoted the reform and development of higher education in China and enhanced mutual understanding between China and foreign countries.

In recent years, measures have been taken to reform the practice of sending Chinese students and scholars abroad and their management, the new policy of encouraging study abroad may be formulated as "support study abroad, encourage overseas Chinese students and scholars to return to China, and guarantee the freedom of their entry and exit", aiming to encourage Chinese students to return to China upon their completion of study abroad, and encourage Chinese professionals working abroad to find suitable ways of their own choice to serve the motherland. Reforms have been conducted on the recruitment, selection and management of Chinese students studying abroad and of foreign students studying in Chinese institutions. These measures have amply promoted the further development of international exchanges and cooperation.

In 1996 alone, China sent over 10,000 persons of various descriptions to nearly 100 countries and regions for advanced study, and nearly 33,000 foreign students from 160 countries and regions were hosted by 267 Chinese HEIs for long-term or short-term studies. To aid foreign institutions to train people proficient in the Chinese language and in other scientific, technical and cultural fields, China has sent teachers of Chinese language to foreign institutions offering programs of Chinese language studies in over 30 countries and over 5,000 teachers of other fields to various countries to teach on a long-term basis or to teach short-term courses. In 1996, Chinese HEIs invited 3,760 foreign experts and teachers to teach or provide other professional services. In 1996, HEIs under

SEdC alone sent out 2,009 person-times of scholars to attend 1,316 international conferences held abroad; 140 international conferences were hosted by Chinese institutions with over 50,000 participants coming from abroad. Nearly 130 teams or groups of foreign visitors were received by the Chinese side.

8. Outstanding Issues and Difficulties Faced by the Development of Higher Education in China and Prospects of Future Development

The next fifteen years constitute a period in which a socialist economic market economy will gradually take shape, in which reforms involving the economic structure, the political structure, the structure of science and technology will be continually carried out in-depth, bringing about profound changes in all spheres of social life. In this context, the reform and development of higher education in China must keep pace with the onward march of the nation, must respond to the needs of socio-economic development in China.

8.1 Outstanding issues and difficulties faced by the development of higher education

China is amidst a transition from a planned economy to a socialist market economy, and in the course of this transformation, the reform and development of higher education have made big strides, the objectives and reform measures set forth in the Guidelines for the Reform and Development of Education in China and reconfirmed by the National Conference on Education held in 1994 are being realized step by step. Inasmuch as China is a developing country with significant regional disparities in economic and educational development, the reform and development of higher education is still faced with a number of outstanding issues and difficulties that deserve our close attention, and these problems and issues may be summarized as follows:

— Educational reform as a whole still falls short of the requirements of the modernization drive. The current educational structure, especially the structure of educational provision, the management system, the financing system, and the reforms related to the enrollment of new entrants and the placement of graduates still fall short of the requirements of the reform of the economic structure.

— On the one hand, the structural composition of the output of HEIs and the supply mechanisms of college graduates do not meet the professional manpower needs ensuing from the conspicuous socio-economic development; on the other hand, the total output and quality of college graduates, especially the professional qualifications and other essential qualities of graduates do not meet the needs of the rapid development of modern economy.

— The prevailing educational thought and ideas, the content and methods of teaching are divorced, in varying degrees, from the needs of economic construction and from the practical needs of society.

— The geographical distribution of HEIs and educational programs is not rational, and higher education still suffers from the evils of over-specialization and unnecessary duplication of programs; the cost-effectiveness of educational programs need be raised.

— The contradiction between the needs of rapid development of education and inadequate financial input remains conspicuous, and public expenditure on education as a percentage of GNP falls far short of the target set in the Guidelines, and inadequate financing is the main cause of inadequate physical facilities.

— There are a number of urgent problems to be addressed concerning the development of teaching staff; the remuneration of faculty members is too low, and there are great difficulties in their housing and medical care.

The Chinese government is looking squarely at these problems and difficulties, and is determined to take effective measures to tackle them step by step.

8.2 Prospects of future development

As we are on the threshold of the 21st century, we are facing the challenges posed by the development in economy, in politics, in science and technology, in culture, and in social life in the world of the 21st century, especially the challenges of the era of "knowledge economy", and in response to the needs posed by the fundamental transformations affecting the change of economic structure and the pattern of economic growth, MOE has formulated the following guiding principles for the development of higher education in China up to the year 2010: In the light of the long-term developmental targets of economic and social development and in line with the strategy of invigorating the country through science and education, strenuous efforts should be made to realize the strategic status given to education, to really prioritize educational development; conducting in-depth structural reforms of higher education, embarking on a path of intensive development, making the scale of higher education more appropriate and structure more rational, and achieving significance enhancement of quality and cost-effectiveness; enabling the development of higher education to better meet the needs of China's modernization drive.

Adhering to the principle of "coordinated and unified development with due consideration given to the dimensions of scale, structure, quality and cost-effectiveness, efforts will be made to steadily expand the scale of higher education and optimize its structural distribution, so as to further raise the quality of education and the cost-effectiveness of educational provision. By the year 2000, total enrollment in regular and adult higher education sectors will reach 6.5 million or so, of which 6.3 million will be enrolled in degree and nondegree (short-cycle) undergraduate programs, 200,000 enrolled in postgraduate programs. By the year 2010, total enrollment in tertiary institutions will reach 9.5 million or so, yielding 700 college students per 100,000 population and a gross

participation rate of 11% among the relevant age group. Total postgraduate enrollment will reach 300--350 thousand, with annual output of recipients of higher degrees (master's and doctor's degrees) reaching at least 100,000. In the course of development, efforts of reform should be intensified so as to adjust and optimize structural distribution and to effectively raise the quality of education and the cost-effectiveness of educational provision.

Efforts will be made to further deepen the structural reforms of higher education in an effort to adjust and optimize the structure and distribution of HEIs and educational programs, so as to bring about a higher education system into the 21st century with a more rational structure and a more balanced geographical distribution. Responding to the needs of the two fundamental transformations in China's economic structure and pattern of economic growth, the system of provision of higher education will be reformed in such a way, so that higher education will mainly be provided by public institutions, to be supplemented by the efforts of other sectors of society, giving rise to the coexistence and parallel development of public and non-state/private institutions. The reform of the management system of higher education will be guided by the principle of "joint operation, adjustment, cooperation, and merging", and it is envisaged that by the year 2003, a new management system will take shape with the following attributes: higher education will be managed by the central government and provincial-level governments with suitable division of labor, with the latter assuming the main responsibility of coordinating the provision of educational programs under the macro-level guidance of the central government. Thus, with the exception of a small number of HEIs which either have important bearing on national interests or are sectorally-oriented will remain under the jurisdiction of central ministries and agencies, most HEIs, including a major proportion of those HEIs currently under the jurisdiction of central ministries and agencies, will be managed either by local authorities or jointly managed by local authorities and central sectoral departments with the former assuming greater responsibility. With the progress of the reform of the management system of higher education the decision making power of institutions will be expanded in accordance with the provisions of relevant educational laws and regulations, and the vitality of HEIs will be much enhanced, enabling them to really become independent legal entities capable of providing educational programs in response to the needs of society and in conformity with the regularities of educational practice. These efforts will enable China to gradually develop a system of higher education meeting the needs of a socialist market economy and of the modernization drive with the following attributes: institutions and educational programs are provided rationally with regard to geographical distribution and structural composition; all major fields and sub-fields of study are covered; the scale economies of institutions will be greatly enhanced; and the quality of educational programs will be much improved.

Further efforts will be made to deepen the reform of instructional programs, making it the central concern of institutional management, so as to effectively raise the quality of education. In this comprehensive and in-depth reform, effecting a change of educational thought and renewal of

educational ideas will be forerunners, and the reform of teaching content and curricular systems meeting the challenges of the 21st century will be the central concerns, so as to train professionals meeting the needs of the 21st century in all spheres of endeavor, encompassing the economic, political, scientific and technological, and cultural fields. In the meantime, great efforts will be made to develop a system of assessment of instructional programs and a system of macro-level monitoring and control of educational quality in an endeavor to reform the management of instructional programs and to raise the quality of training.

ANEXO 2

HIGHER EDUCATION UNDERGOING PROFOUND CHANGE

– Chen Zhili- Minister of Education of China – Discurso na sessão de encerramento da CMES de 1998 em Paris – File 1998- discurso CMES, China, pdf –

HIGHER EDUCATION UNDERGOING PROFOUND CHANGES

Special Lecture at the World Conference on Higher Education
Paris, 5-9 Oct. 1998

H.E. Mme. Chen Zhili
Minister of Education, PRC

HIGHER EDUCATION UNDERGOING PROFOUND CHANGES

Chen Zhili
Minister of Education, PRC

Mr. President,
Ladies and Gentlemen, Friends:

A new century is approaching, bringing with it opportunities and hopes as well as challenges and difficulties. Confronted with the opportunities and challenges of the 21st century, each country and nation has to brood over what kind of choice to make. At this moment when people are thinking of what moves to take with the advent of the new century, UNESCO is convening the World conference on Higher Education in its Paris Headquarters, providing an opportunity for colleagues from all countries and regions of the world to meet here to discuss and exchange their views on the reform and development of higher education in the 21st century, and this is a very significant contribution that UNESCO makes for the development of higher education in the world. The Chinese government would like to continue its cooperation with UNESCO and the higher education community in the whole world in their common efforts to promote the development of higher education in the world.

At the threshold of the new millennium, when we look back on the course of events in the 20th century, the cause of peace and justice has prevailed over war, and science and technology have been making marvelous advances, economic development has been conspicuous, and human society has made significant advances. Amidst these historical advances, education in general, and higher education in particular, are playing ever-increasing important roles as engines of progress.

In the contemporary world we are witnessing the inception of an era of information society and knowledge economy, and science and technology has become the primary productive force, and the preparation of highly qualified professionals and innovation have become the focus of competition for an edge in overall national strength. Whichever nation has at its disposal an advanced and developed system of higher education holds the strategic initiative in the family of nations. Moreover, the contemporary world is faced with an array of hard to tackle issues such as environmental degradation, shortage of resources, population explosion, and the tension between the poor South and the affluent North, and the fundamental solution of these problems and issues depends to a large extent on the development of education, including higher education. Mankind expects a great deal from the development of

higher education. That higher education should make still greater contribution to the development and progress of human society constitutes one of the urgent calls of the times.

The precursors of higher education establishments may be traced to ancient times, but the earliest modern universities were founded in the medieval age in Europe, and the university as a flower of human wisdom did not wither with the end of the medieval age, and instead its propagation and development in various countries of the world, nourished on the cultural traditions of various nations, has displayed its majestic appearance and youthful vigor. The contemporary university is no longer an "ivory tower" divorced from the concerns of society and has become an important player on the central stage of economic and social development. All famous science parks or high-tech parks or zones that have become driving engines of economic development in various countries invariably exist around a leading university or a group of such universities. All first rate universities working at the frontiers of various disciplines have the following attributes: being the cradles of creative talents and highly qualified professionals; being pioneers in exploring the unknown worlds and seeking objective truths, and providing the scientific basis for the solution of major problems and issues faced by mankind; playing an important role in innovation and in converting R&D results into actual productive forces; and acting as bridges between various nations in the dissemination and exchanges of the fine results of scientific and cultural endeavors. In the coming knowledge-based economy, if knowledge and information function as the electric current making possible the operation of the economy and society, then the university is the generator producing the current. The university as an institution with a long history and glorious traditions will be entrusted with more important missions and expected to make more brilliant contributions to the cause of human progress.

Thus, we look forward to the 21st century, when higher education will enter the central stage of economic and social activities, shouldering the heavy tasks of training qualified professional manpower, creation of new knowledge and application of R&D results, evolving into an important motive force propelling the development and progress of society; when higher education institutions will establish close contact and meaningful cooperation with other sectors of society, finding expression in achieving closer integration between the productive, educational and research sectors, and in strengthening the services provided by HEIs to the economy and the society, especially in serving the needs of local economic and social development; while there will be further quantitative development of higher education and gradual development of mass higher education, greater emphasis will be placed on essential-qualities-oriented education (*suzhi jiaoyu*), on innovative abilities, on the development of personality, and

on raising the quality of education; when higher education will expand enormously in time and space, that is, developing continuing education and lifelong learning temporally, and strengthening inter-institutional and international exchanges and cooperation spatially, in addition to the development of computer-network-based education.

Ladies and Gentlemen:

Although education in China has had a long tradition, but higher education in a modern sense has just traversed one hundred years. In May of this year, on the occasion of the centenary celebrations of the founding of Peking University, a World Forum of University Presidents was convened in Beijing with its participants coming from a large number of leading universities in the world. China is a developing country, and a policy of reform and opening to the outside world has been adopted since the late 1970s, and a program of socialist modernization has been launched. The goal of China's reforms is to realize modernization in a country with 1.2 billion people, being a herculean task rarely seen in human history. One can well imagine how numerous and complicated are the problems and issues to be tackled. Obviously the solution of these problems and issues depend to a large degree on the intellectual resources possessed by the higher education institutions and on the highly qualified professionals imbued with innovative spirit to be trained by HEIs. Accordingly, the Chinese government has evolved the strategy of "invigorating the country through science and education" and has decided to speed up the reform and development of higher education.

To implement the strategy of invigorating the country through science and education means that science and technology and education are placed at strategic positions in our program of economic and social development, so that advanced science and technology and developed education, and highly qualified professionals and skilled workers with innovative spirit may become the motive force and props of economic and social development in our effort to speed up the process of modernization.

In recent years, higher education in China has made big strides and major reforms are underway.

First, in the period 1990-1997, total undergraduate enrollment at both first degree and subdegree levels increased from 3,729,000 to 5,898,000, and total postgraduate enrollment increased from 93,000 to 176,000, recording increases of 58% and 89% respectively, indicating big strides in the scale of provision. In the course of development we have taken an integrated approach to coordinate the relationships

between scale, structure, quality and cost-effectiveness of provision.

Second, structural reforms in higher education. The higher education structure that had taken shape under the planned economy was characterized by a monopoly of the provision of higher education by the state, and by the direct management of HEIs by the government. To meet the needs of a socialist market economy, efforts are now being made to institute a new system through reforms, in which the state exercises macro control and the power of overall planning and individual institutions enjoy a high degree of autonomy in educational provision. Thus, with regard to the system of providing higher education, the old framework of the state monopolizing the establishment and maintenance of HEIs has been broken, paying the way for a new framework under which higher education will be mainly provided by the state, to be supplemented by HEIs run by other sectors of society and individual citizens according to law. Thus the development of non-state/private HEIs are being encouraged now. With regard to the reform of the management system of higher education efforts are being made to streamline the relationships between institutions, the state and the society step by step, and efforts have been made to streamline administration and institute decentralization so as to expand the decision-making power of individual institutions in educational matters. With regard to the reform of the system of financing, the old system of depending on state budgetary appropriations as the single sources of revenues will gradually give way to a new system in which budgetary appropriations remain the main source of revenues, to be supplemented by funds raised through multiple channels. Thus other sectors of society are encouraged to invest in higher education and donate funds to HEIs. Recently the Standing committee of the National People's Congress--the national legislative body--adopted the Higher Education Law of the People's Republic of China, and the provisions of this law embody the past achievements of reforms and provide the legal basis for the governance of higher education.

Third, reforms in the enrollment of new entrants and the job placement of graduates and concerning the payment of tuition. Under the system of planned economy higher education was free, and the state undertook to provide jobs for all graduates. Under the reformed rules, while citizens are guaranteed the right to have access to higher education on an equal basis, a new system of tuition has been instituted, in which new entrants are required to pay tuition fees set within the range of one fifth to one fourth of the real cost, with specific amounts set in the light of local economic conditions and other relevant factors. In the meantime, a system of financial aid to needy students has been developed, consisting of a variety of means, such as scholarships, student loans, work-study funds, subsidies to especially needy students, and reduction or exemption of tuition fees, so as to ensure that no qualified college

students from needy families would be deprived of the opportunity to receive college education. With regard to the job placement of graduates, henceforth, most students will find their own jobs under the guidance of state policies upon graduation.

Fourth, efforts have been made to effect a fundamental change in prevailing educational thought and concepts and in reforming the pattern of training, in renewing the content of teaching and in improving the methods of teaching so as to raise the quality of teaching. In 1994, a Plan for Reforming Teaching Content and Curricular Systems Meeting the Challenges of the 21st Century was formulated and implemented, and over 10000 faculty members have been involved in its projects. On the basis of effecting a fundamental change in educational thought and concepts, efforts have been made to reform the training patterns in over 100 academic specialties by enlarging their profile and focusing on the qualitative aspect. In the meantime, evaluation of the instructional programs provided by tertiary institutions of various types and levels has been carried out in an endeavor to gradually develop a system of assessment of instructional programs and a system of macro-level monitoring and control of educational quality with Chinese characteristics so as to ensure the constant enhancement of the quality of teaching.

Fifth, with regard to academic research, while measures have been taken to strengthen fundamental research, the main emphasis is placed on the conduct of applied research and development, on strengthening the contact of HEIs with various socio-economic sectors by taking active part in the development of science and high-tech parks or zones, by sponsoring high-tech-based school-run enterprises, by promoting cooperation with the productive enterprises and research institutions, and by the conversion of university-based R&D results into actual productive forces, A good example is the Founder Group founded by Peking University, which has developed an advanced system of laser photo typesetters based on the R&D results of university faculty members. The Founder Group has succeeded not only in bringing about a revolution in the printing industry of China but also in seizing 90% of the world market share in the printing machinery provided for Chinese newspapers throughout the world. The number of HEI-run S&T-based enterprises reached 2564 in 1997, and they constitute an important creation of Chinese tertiary institutions in meeting the challenges of the age of the knowledge economy.

Sixth, adopting an open door policy and strengthening international exchanges and cooperation. From 1978 onward, with the adoption of the policy of reform and opening up in China, international exchanges and cooperation in higher education have been developing vigorously year by year with fruitful results. Over the past two decades,

China has sent out nearly 270,000 people to 103 countries and regions for advanced study, and has received 210,000 foreign students from 160 countries and regions. 1800 Chinese faculty members and experts have been sent abroad to teach in foreign institutions; 40000 foreign experts and teachers have been invited to China to teach in Chinese institutions. In recent years, the number of Chinese university scientists and scholars going abroad to attend international conferences and the number of scholars coming from abroad to attend international conferences hosted by Chinese institutions invariably exceeded 10000. With regard to study abroad, the policy of the Chinese government may be formulated as "support study abroad, encourage overseas Chinese students and scholars to return to China, and guarantee the freedom of their entry and exit", aiming to encourage Chinese professionals working abroad to find suitable ways of their own choice to serve the motherland. Over the past two decades 96000 Chinese students study abroad have returned to China. In the meantime the government actively supports the development of international cooperation in both research and training with foreign institutions in an effort to tackle major economic and social problems through collaboration.

In spite of the remarkable achievements made in the reforms of higher education, Chinese higher education is still faced with a number of difficulties, and the most conspicuous one is the serious shortage of funds. Inadequate financial resources may be a problem faced by higher education in the whole world, yet the acuteness of the problem is all the more conspicuous for a developing country with the largest population in the world. Inadequate financial resources seriously affect the further development of higher education in China, being unable to meet the aspiration of an ever-increasing college-age population to receive higher education; adversely affecting improvement and renewal of the physical facilities for research and imposing restriction on efforts to raise the quality of teaching and research; adversely affecting the improvement of the living and working conditions of faculty members and thereby retarding staff development. The existence of these difficulties has been given due attention by the Chinese government, and the government is striving to tackle these problems and it has drawn up a new plan in its endeavor to enable Chinese higher education to march forward into the 21st century with a new physiognomy.

Ladies and Gentlemen:

As all mankind has placed high hopes on higher education, and the future is putting forth ever higher demands on the higher education sector, it is incumbent on us educators to explore better ways to effect the development and reform of higher education in our endeavor to build an edifice of higher education shining with brilliance

in the world of tomorrow. Higher education should serve the needs of the development and progress of human society, as the development and progress of human society depend on higher education. Social progress is closely bound up with higher education, with the creation of new knowledge and innovation and the training of professional manpower; while the reform and development of higher education increasingly depend on the demands raised by and the support given by society. In the light of our own experiences, it is incumbent upon HEIs to expand and strengthen their contact and collaboration with other sectors of society and truly become active players on the central stage of society. It is imperative that academic freedom be fully guaranteed and the creative and innovative spirit be fostered in HEIs , so that the intellectual pursuits of brilliant scientists and scholars may yield fruitful results, enabling HEIs to become worthy creators of new knowledge and sources of innovation, as centers of training, and as disseminators and applicants of knowledge, in promoting the cause of peace, development and progress.

Higher Education in the 21st century should place greater emphasis on the enhancement of quality, and diverse types and forms of higher education should be developed to meet citizens' aspirations to receive higher education. In the emerging knowledge-based economy, innovation is the soul of societal development and the soul of the development of each country and nation, and accordingly, HEIs will be called to produce skilled personnel of still higher quality and imbued with innovative spirit.

We shall take measures to further strengthen exchanges and cooperation with the international education community. The advent of the information age, the availability of fast means of transportation and instantaneous telecommunications have made the globe smaller and smaller, and exchanges and cooperation across the Pacific or Atlantic Ocean are as convenient as neighbors of bygone days, providing great facility to the development of international exchange and cooperation. As higher education is a common undertaking of the peoples of various countries of the world, it is highly desirable that they learn from each other and make up deficiencies. And we are duty bound to strengthen exchanges and cooperation between various countries and between institutions within and across national boundaries in an endeavor to expand the space of higher education activities, to facilitate mutual learning from each other and enrich us with the cultural traditions and successful experiences of other countries so as to promote the prosperity, development and enhancement of higher education in all countries of the world.

Ladies and Gentlemen:

The upcoming 21st century will be a century marked by more remarkable progress of human society. Higher education is sure to make still greater contributions to the development and progress of human society. We are confident to bring along a higher education healthier, more prosperous and full of vigor and vitality into the 21st century.

Thanks to Mr. President!

Thanks to you all!

ANEXO 3

ADOPTED MEASURES AND FUTURE TASKS ON HIGHER EDUCTION IN CHINA

Vice-minister of education of China, **Wu Quidi-** 2004- Hangzhou - General Assembly of GUNI-AP-

2004 GUNI-AP Symposium

Speech by Dr. Wu Qidi, Vice Minister of the Ministry of Education, China at 2004 GUNI-AP Symposium 2004-9-22

20 September
Hangzhou, Zhejiang University

Dear Professor Pan Yunhe,
Dear chancellors and professors from universities of six countries in the Asia Pacific Region,
Ladies and gentlemen,

I am very delighted to accept the invitation from the Zhejiang University. Today, on behalf of the Chinese Ministry of Education, I would like to extend our warmest welcomes to all chancellors and professors attending this symposium organized by the GUNI-AP and our congratulations on the successful convocation of the Symposium.

With the theme of "The Quality Assurance and Mutual Recognition of Qualifications between Research Universities", this symposium is the first of series of activities in our trace study on "Research University in Transition towards Knowledge based Society". My colleagues and I have come to this symposium with utmost interests, as this is the area where the Chinese Government, universities and the society are paying tremendous attentions to. I would like to take this opportunity to present briefly to the symposium on challenges, measures adopted and future tasks that we are facing in the higher education in China in the above area. I hope that it will be helpful in your research, and thereon serve just as the purpose of being a catalyst.

Currently, the Chinese higher education is undergoing an unprecedented developing and transitioning phase. It is achieving enormous progresses and yet facing critical challenges at the same time. The two key characteristics of the environment of development and transition faced by Chinese universities are: 1. China is currently in the midst of a tri-transitional period, moving from a socialist planning economy to a socialist market economy, from an agricultural society to an industrial society, and to an information and knowledge based society. Transitions and innovations should be carried out on the concepts and modules for university-running, management systems, design of faculties, contents of courses, teaching qualifications, and employment and management, including the understandings of quality, quality assessment mechanisms, determination of standards and operations that used to be serving the universities under the planning economy; 2. Another feature of education in China is that China is a poor nation who wishes to embark on to a distinguished education, a country wants to develop, overtake and rise, thus causing both the government and the social sectors entrusting higher educational institutions with immense expectations; additionally, globalization of economy and internalization of higher education as well as more and more intense domestic and international competitions have provided both infinite opportunities and critical challenges and huge pressures for the institutions of higher education. All major moves taken for Chinese higher education have all generated under such major background.

We all know that the size of Chinese higher education has been expanding rapidly in the recent years. The number of students on campus has been increased from more than 6 millions in 1998 to 19 millions in 2003, and the gross enrollment rate has risen

from 9.8% in 1998 to 17% in 2003 and 19% with about 20 millions at present. The growth is striking and cutting across. Higher education has stepped into the phase of massification. With the pre-conditions of maintaining the harmonized development in size, quality, structure and benefit of higher education, it is estimated that the student enrollment for institutions of higher education will be maintained at 7% to 8% in the next few years, which shall be in line with the speed of our economic growth. By 2010, the overall number of students on campus in various higher institutions nationwide will reach about 27 millions, and the gross enrollment rate will hit 23%. These figures show that the higher education of a large nation with 1.3 billions of population has spanned from elite education into mass education in substantial terms. In every nation in the world, people's concerns over quality will always be aroused by the quantitative expansions of higher education. The Ministry of Education together with all the higher education institutions has adopted a series of measures to ensure the quality of education. I can say that the decline of teaching quality has been controlled in due course. However, we must attach great importance to the issue of quality. This means that we should have new thinking and cognition on quality understanding, determination of quality standards, establishment of assurance and recognition mechanisms and operational, effectiveness and impact analysis on quality assessment; it also means that while promoting quantity growth, the government and institutions of higher education should also adopt practical and effective measures in response to the market and society's concerns over higher education.

Proceeding from the consideration of the situation in China, the Chinese Government initiated the "The Reform Project on Quality and Teaching for Higher Education" since 2003, the main contents of which include: (1) Further deepening the reforms on teaching and the mode of personnel training by means of information and technology. (2) Continue to encourage professors to give lectures, selecting and commending 100 national-level famous professors and teachers each year, encouraging professors to give fundamental tertiary courses and fundamental professional courses. (3) Setting up 1,500 first-class courses, and putting teaching plans of these courses onto the Internet in promoting the sharing of excellent educational resources. (4) Reforming the teaching criteria and measures and examination methods of the College English Test and promoting computerized and personalized English teaching so as to improve university student��s ability in comprehensive and practical use of English. (5) Actively promoting institutional innovations, reforming assessment of teaching, setting up a 5-year round assessment system for ordinary higher institutions. (6) Setting up a batch of Internet-based national-level teaching demonstration bases and experimental fundamental teaching demonstration centers so as to promote and upgrade the creativity and practice ability of the students. (7) Vigorously developing higher vocational education that is employment oriented and promoting the integration of production, learning and research so as to train talents with applicable expertise. (8) Further adjusting structure of subjects and specialities, regularizing the management of speciality arrangements, and strengthening the macro guidance on the establishment and development of specialities of higher vocational school and higher professional institutions. (9) Promoting the reform and development of higher medical education, gradually perfecting the medical educational system. (10) Strengthening the construction of electronic libraries and teaching materials and the sharing of high quality educational resources such as electronic libraries, teaching materials and laboratory facilities, etc. (11) Further strengthening quality education, patriotism education, legal education, credibility education and social responsibility education among university students. (12) Implementing teachers-visiting plan, continue to promote bilingual education, and inviting outstanding foreign teachers to provide professional courses in China. Of course, all the above-mentioned measures will be implemented in different stages, and the following are currently being implemented: Setting up of first-class courses, reforming English teaching, encouraging renowned teachers to give lectures and carrying out assessment on teaching quality in higher institutions and etc.

Dear presidents and professors, ladies and gentlemen,

Quality is the lifeline of education, however, it is also at the same time a relative concept that keeps pace with time. Quality ensures a process of continuous

discoveries, improvements and accumulations. The knowledge, ability and skill that students learn in school will undoubtedly reflect the quality of teaching and education. The behaviors and moral standard of students, the extent of their competence of work to which is recognized by the society, various forms of contribution on social development provided by the school, and market and society's recognition of the schools are all the ultimate goals of quality assurance in higher education. The quality issues encountered during the development and reform of Chinese higher education may only be solved in the process of development and reform. In order to ensure the quality of Chinese higher education, we need to change and build a new, all-rounded and rational perspective on quality; we need to change and establish a new, comprehensive and scientific viewpoint of quality and gradually set up a rational, fair, transparent and authoritative assessment mechanism for quality. In addition, the Chinese Government encourages exploration and experimental activities on mutual recognition of qualifications, degree and credit honors among regions and universities. Such activities will be certainly beneficial for the improvement of the quality of higher education. Meanwhile, we also actively support the recognition of professional qualification among regions.

UNESCO has organized a series of international activities on the theme of "Quality and Recognition", which have provided useful references for the series of trace study tasks we are going to launch. Therefore, it will be necessary for us to increase international exchanges and corporations, and learn from the beneficial experiences and practices of various countries by making full use of the multi-facet platform of UNESCO. To conclude, I would like once again to thank you for your attendance, and I hope that your network may become an active think-tank and laboratory supplying reform and innovation ideas for higher education in the Asia Pacific region which contributes to the development, reform of higher education in the countries in the region as well as the international exchanges and corporations.

Thank you!

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ANEXO 4

CHINESE HIGHER EDUCATION

ON AN FOUR FOLD TRANSITION

By Wang Yibing

Chinese Higher Education on an overpass of 4 fold transitions

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Abstract

Chinese Higher Education (CHE) has eventually changed its elite nature since its birth a Century ago and embarked on the internationally recognized path of massification of higher education as a result of the dramatic expansion of enrolment(DEE) since 1999[1]. However, the DEE has caused nation-wide concern over and debate on graduate unemployment. However, an embarrassing situation is that so many employers could not find satisfactory graduates, while big percentage of graduates is unemployed. Although EE caused multiple deep seated conflicts, it is not their source but the four fold transitions Chinese higher education is experiencing now, i.e. in terms of nature from the elite to mass higher education, in terms of target Client – from An agricultural and commodity Economy to an Open, Export-oriented and Market one; in status – from the social margin to the social center; in system environment– from planned control to a new mechanism. Each transition requires change and renovation in values, mechanism, management, teaching contents and methods, teacher's qualification and training, etc., and conflicts with the present values The multiple conflicts facing IHL's of China today tell us the fact that IHLs of China have embarked on the road and the overpass of 4 fold transitions already but in an embarrassing situation that president of IHLs is in the driver's seat of his university's vehicle, could start the engine and making the vehicle moving but has no control of the steering wheel, which is held by someone, who is not there.
Of future direction of an IHL in the 4 fold transitions:
Two Recommendations: Renovating your values and reconceptulization of HE, in order to identify your future direction in the 4 fold transitions; and Deepen the control system and mechanism reform in order to: Nurture the motivation, dynamics, and capability and potential of IHLs Achieving a leap in HE not just quantitatively But in quality as well and Bring a hope to be a nation with a HE of not just big size but in strength and potential.

Reference

[1] EE 1998-2005, in 10,000

Source: Statistics of MOE, China, 1998-2006

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Year	Enrolment at regular IHLs	Enrolment of post graduates	EE %	Total	Gross Enrolment rate
1998	108.36	7.25	7.5%	642.98	9.8%
1999	159.68	9.22	47%	742.3	10.5%
2000	220.61	12.85	25%	939.85	12.5%
2001	268.28	16.52	17%	1214.38	13.3%
2002	320.50	20.26	19.4%	1600	15%
2003	382.17	26.89	19%	1900	17%
2004	447.34	32.63	17.3%	2000	19%
2005	504.46	36.48	12.7%	2300	21%

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[13] According to 2005 Senses of population in China, there is 67.64 million with college education of more than 2-3 years, 5% of the total population. The percentage of OECD members is between 30-55% among people above 24 years old, in accordance with Education at a Glance, OECD, 2005.

ANEXO 5

EDUCATION REFORMS IN CHINA AND BRAZIL IN THE 1960s

By Janhong Dong-

30 June 1998

Dear Prof. Dias,

Please find enclosed herewith a copy of my coursework essay on Higher Education Reforms in China and Brazil in the 1960s : A Comparative Analysis for your référence. It was written five years ago when I was a student. I am sure that great changes have been taken place in both countries since then. I wonder whether commonalities and differences still can be traced, particularly in the field of higher education in the two countries nowadays. It can be an interesting topic for further study.

With my compliments,

Yours sincerely,

Jianhong Dong
Chinese Delegation

Higher Education Reforms in China and Brazil in the 1960s: A Comparative Analysis

Introduction

This essay deals with the issue of higher education reforms in China and Brazil in the sixties. Through a comparative analysis, commonalities and differences in the major aspects of higher education reforms in both countries will to be identified. Within that, the relationships between the central government and the higher education, the higher education and political, economic and social life as well as their implications are expected to be explored.

The common characteristics of the two countries are taken into account as a basis for the comparative analysis. Both are agrarian countries of large size and big populations; both are developing countries with the ultimate goal of modernisation; and both attach great importance to higher education and launched nation-wide reforms in higher education in the sixties.

The essay is composed of three sections. The first describes briefly the general context of changes in China and Brazil in the 1960s; the second section is the ideological frame of reform in higher education in both countries; and the final part examines policies and

practices of the reforms in terms of administration, student admission, and curriculum content. A short conclusion follows.

In this essay it is argued that although China and Brazil have adopted a totally different political ideology and models of national development, the policies and implementation strategies of many aspects of the reforms in the sixties are surprisingly similar and common. However, the consequences of the reforms in the two countries are rather different.

1. General Context of Change in the 1960s

In the sixties, the political, social and economic context of both countries shifted rapidly and was full of crisis. Under these circumstances, higher education was seen by both governments as a medium for dealing with the crisis and controlling the process of political and ideological, social and economic progress. China launched its 'Great Cultural Revolution' in the period of 1966 to 1976 with education, higher education in particular, as the most important arena of change. Almost in the same period, there was a military coup in 1964 in Brazil. A reform in higher education started to be implemented in 1968, and lasted for about two decades.

In the early sixties, both China and Brazil were facing the dilemma of selecting models of nation building as well as political and economic development. The struggle to deal with this dilemma is manifested in different ways within both countries. The conflict between two schools of thought in the leading positions of power of the state and the Communist Party was accelerated and publicised in China. One was represented by Liu Shaoqi, then President of China, who advocated that the nation's focus of attention should be on economic prosperity. Therefore, Party leadership and national managerial positions should be held by a group of highly trained and educated personnel. It was this group of people who would play a key role in national policy and decision-making. This thought was rather dominant at the end of the fifties and the early sixties. The other view was represented by Mao Zedong, top leader of the Party, who emphasised the maintenance of the socialist orientation even at the cost of lower economic growth. He believed that once those who were highly educated regularly involved themselves in productive labour and integrated themselves with workers and peasants, they could be able to better serve the people. According to his criteria, China was in danger of changing its 'colour' from socialism into capitalism. Therefore, Mao determined to launch another revolution in cultural and ideological as well as educational fields to get rid of bourgeois and revisionist ideas (Yuan et al., 1991; Hu, 1974).

Ironically, in the sixties Brazil was besieged by a similar crisis in political and ideological terms. Brazil was then ruled by the leftist government which adopted a rather socialist-oriented ideology and advocated a state and even collective based economy with agrarian reform, nationalisation of foreign enterprises and radical education reform. The military coup of 1964 broke the balance of the allied forces and destroyed the growing ideology of 'mass mobilisation' that threatened the Brazilian capitalism (M. Figueiredo, 1986, 1987; Haar, 1977). The ideological crisis of the two countries resulted in political instability.

The economic situations in both countries are very similar. In the early sixties, the economy, especially agriculture in China, suffered a great deal from the unrealistic 'Great Leap Forward' movement (1958-1960) and natural disasters for three years (1960-1963). The whole economy was in a very difficult condition. In the same period, the economy in Brazil was stagnating with a declining rate of economic growth and an increasing rate of inflation (Haussman and Haar, 1978).

It is noted that the political and economic instability in Brazil resulted in a set of spontaneous trade union movements, rural workers' movements and students protest movements. At the same time, the external influence, of the United States in particular, became stronger (M.

Figueiredo, 1987). The case of China is rather different. There were no spontaneous movements at the very beginning stage of the 'Great Cultural Revolution' (1966-1976). A short time after the 'Cultural Revolution', workers, peasants and students were highly mobilised to participate in the 'Revolution' through a top-down approach. And in that period, China delinked itself with the outside world. Anything foreign was either criticised or rejected. So there is little external influence.

In such a political and economic context, higher education in both countries was also in crisis. In China, the conflict between the two schools of thought in education was increasing and sharp. In line with Liu's idea, elite education was practised and the courses in colleges and universities were highly selective. Mao was dissatisfied with this situation and pointed out at a meeting in the early 1964, "the old education system causes serious damage to people's abilities and youth in particular, therefore I am extremely against." (Yuan et al. 1991: p.6) Mao expressed his anxieties about the growing elitism which would lead to a differentiation of interests and generation of a new ruling and exploiting class. And this tendency would greatly impede the process toward the goal of a classless socialist and communist society. Against this consideration, the Central Committee of the Communist Party issued a document in September 1964. It stated, "The humanity areas of higher education are seriously divorced

from practice and heavily influenced by the bourgeois and revisionist ideologies. In some of the institutions, the leading power is no longer in the hands of the proletariat. This must be changed." (Yuan et al., 1991:pp.6-7) Two years later, the 'Great Cultural Revolution" started with education as one of the key points of the overall reform.

In contrast to China, the educational conflicts in Brazil in the sixties focused mainly on the economic rather than political-moral aspect. When the political, ideological, and socio-economic circumstances were changed, corresponding changes were required in higher education. The issue of selection for the university models was under great debate; the failure to provide skilled personnel to meet the need of industrial expansion of higher education was widely criticised; and the increasing desire for higher education was shown through student unrest. A reform of higher education was called for to not only solve the university crisis but also to improve the productivity and efficiency of the system. The implementation of the higher education reform started in 1968. (M. Figueiredo, 1986)

Though the political, socio-economic as well as educational crisis of both countries is manifested in a different way, they are no doubt the main rationales of change in the sixties. Both higher education systems are the major targets of change. They are expected to be more responsive

to the state's political, ideological aspirations and to socio-economic structures.

2. Major Ideology of Change in Higher Education of the Sixties

The explicit ideology of change in the two countries is dissimilar, and even oppositional. The ideas behind the ideologies of the two countries have a similar base. In the sixties, the leading ideology of 'politics in command' was put forward by Mao with the assumption that some top-ranking posts of the state as well as education, higher education in particular were governed by the people who were 'taking the capitalist road'. The ideology was solely oriented to the political and ideological dimension. In contrast to China's single dimension in ideology, the Brazilian one was multi-dimensional. After the military coup of 1964, "development, modernisation and security" were established as the dominant ideology of the state based on the consideration of rejecting the move towards a socialist oriented model of national development and adopting a capitalist model of development.

The ideology of 'politics in command' stemmed from Mao's concepts of 'continuing revolution under the dictatorship of the proletariat' and 'taking class struggle as the guiding principle' in political, social and economic life. According to Mao, society was composed of conflicting

classes which were against each other. In this society of classes, man was a product of his particular class and his mind or outlook was determined by his class origin. But at the same time, Mao also believed that human ideas could be changed through thought reform and ideological education. As a result, the other school of thought represented by Liu and the newly developed pattern of national development were accused of leading China down the path of capitalism.

Therefore, a 'continued revolution' was necessary to be conducted so that the leading positions of power occupied by Liu and his associates who were reintroducing capitalism into China's political, cultural, socio-economic as well as educational fields could be taken back by the proletariat working class. This struggle was a matter of life and death between capitalism and socialism. And education was taken as an important arena of 'class struggle' between the bourgeoisie and proletariat.

In Brazil, the concept of national security was established from a global geopolitical perspective. "According to this geopolitical concept, the world is divided into two conflicting blocks: the East, led by the Soviets, and the West, led by the Americans. Brazil occupies a position of unique importance to the defence of the West, given its prestige on the continent, its natural resources, its human potential and its geopolitical location in South America" (M. Figueiredo, 1987:p.175). Based upon this ideology of

national security, the national development or modernisation concept was formulated. After the military coup in 1964, the military government abandoned the previous practice of alliance embedded in "the national development political model" and worked out a new political model of elites (M. Figueiredo, 1987:p.174). This elite of power created the national development or modernisation ideology designed for the adoption of the free enterprise economy and disapproval of the tendency to nationalisation. In other words, the national development ideology aimed at supporting and strengthening national security through a consolidated national capitalist economy. Therefore, higher education was seen as an important linkage between ideology and implementation. To improve both the efficiency and the productivity of the higher education system was the main concern of the reform in the sixties.

The hidden 'geopolitical concept' of the Brazilian state ideology is reconcilable with the overt 'politics in command' ideology of China in certain aspects. For instance, they both have the same purpose of avoiding infiltration of either bourgeois capitalism or proletarian socialism and communism in order to consolidate their socialist or capitalist states. Higher education is seen by both governments as an important instrument to translate the state ideology into implemented form. Based on their own guiding ideology, China and Brazil formulated their

detailed policies and implementation strategies in the reform of higher education in the sixties.

3. Policies and Implementation Strategies of the Sixties Reform in Higher Education

Higher education reform in both countries in the sixties is analysed from three perspectives. They are administration, student admission, and curriculum content. The state policies in each area will be examined at the same time.

3.1 Administration

During the higher education reform in the sixties, the two countries adopted a totally opposite policy in higher administration. A 'decentralisation' policy in the administration of higher education was adopted in China. The purpose was to have working class leadership at all levels. In line with this policy, 95% of higher education institutions were in the hands of local governments (Yang et al., 1990:p.74). In the case of Brazil, in the name of 'efficiency and productivity', the Brazilian government adopted a 'centralisation' policy. With this policy, the state tightened its control and increased its authority over administrative structure, policy-making and planning.

Of the different policies in administration adopted by the two countries, the newly formed administrative patterns in

both countries were distinct in many aspects. In China, working class leadership was supposed to be achieved through the leadership of the Communist Party. In other words, the Party became the top authority of higher education administration. The new form of administrative body subordinated to the Party leadership was set up to replace the old administrative pattern of central control at both local and university levels, namely, the Revolutionary Committee. The committee also known as the 'Three in One Combination' - it was composed of representatives of workers, peasants, soldiers; revolutionary cadres; and teachers and students. Within this administrative pattern, working class, non-professional, management was stressed so that the political and ideological orientation of higher education could be ensured. So long as the local revolutionary committees carried out functions within the context of higher authorities or the Party, they had full responsibility and power for decision and policy making in university management. (Montaperto et al., 1979)

Unlike China's practice of considerable decentralisation from the central power to localities, the government of Brazil strengthened its central control by issuing a large number of legislative acts and regulations to define patterns of university administration in detail. To achieve "administrative simplification, co-ordination and unification" in all the universities of the country, four

new administrative institutions were created. They were the Council of Teaching and Research, the Course Co-ordination Council, the Departmental Council and the Departments. (M. Figueiredo, 1987:p.176) Meanwhile, the state consolidated its control over the process of decision making, i.e. selection and appointment of staff in administration (Haar, 1977).

On the surface, the policy, in administration, of China and Brazil contradict with each other and the administrative patterns of control are far from similar. However, things which are common in essentials can still be identified. In Brazil, the Federal Government holds the policy of centralisation and the implementation strategies with a visible purpose of increasing central control over higher education and its institutions as well, while, in the case of China, the hidden extension of control and centralisation manifests in a rather implicit way. Through decentralisation of state administrative power, the Communist Party of China established its authority and strengthened its power over the administration of university affairs. In a sense, the political and ideological control over higher education is increased and centralised.

3.2 Student Admission

In student admission, radical changes had taken place in the higher education reform in China. The previous practice of national examination for university admission was totally abandoned and new forms of student admission were created. Relatively speaking, the changes in this area in Brazil were less radical.

In China, Mao expressed his dislike of examinations long before the start of the 'Cultural Revolution'. He stated, "in examinations, students should be allowed to whisper to each other and to hire others to take the examination for them.... Copying is good, too.... Examinations are designed for dealing with the enemy. They poison people to death and should be abolished." (Price, 1979:p.156) Thus, the national university entrance examination was one of the first to be abolished in the 1960s reform of higher education. Moreover, university enrolment was stopped by the summer of 1966 since the old form was abolished and the new form had not developed yet. Four years later, colleges and universities started to admit students again on a very limited basis (Price, 1979). The admission policy of 'character judgement' was developed following the state ideology of 'politics in command'. The main theme of the policy was to transform the previous admission criteria of academic performance in examinations to the judgement of political fitness of the candidates (Montaperto, 1979; Price, 1979). In the case of Brazil, the restricted admission policy was adopted for the sake of increasing

state control over the process of student admission through legislation. In the Decree 68,908 (July 1972), it is stated, "(b) The registration for the exam will be granted only upon proof of completion of the secondary school and payment of the registration fee;... (e) the elaboration, application and evaluation of tests, and the classification of candidates will be centralised within the institution; the Ministry of Education will gradually implement the unification of the entrance examination regionally." (M. Figueiredo, 1986:pp.270-271) Though the practice of entrance examination was still in operation, the selection of the model of the exam, the content of the exam, and the time duration were all strictly regulated by the State (Haussman and Haar, 1978).

Student admission policies of the two countries are common in the sense of restriction and selection. But there is a large gap in admission criteria between the two. The admission procedure in China was strongly political and ideologically oriented and controlled by the Party, while the Brazilian one is academically oriented and controlled by the Federal Government. The main target group of university enrolment in China was no longer graduates of secondary schools but workers, peasants and soldiers who had worked for at least two to three years. The political and class background became the main criteria of admission. In Brazil, the previous practice of entrance examination was continued. There were modifications. For instance, in

order to unify the entrance examinations, a three- level arrangement of exams was adopted at intra-institutional, inter-institutional and regional levels. In view of the increasing demand for higher education and the limited places available in higher education institutions, the arbitrary passing scores of entrance exams were abolished. Hence, the entrance exam became classificatory. As a result of serious competition, candidates for higher education depended heavily on private, fee-paying cramming courses - the cursinhos, outside the formal education system - to improve their exam performance. But only those who came from well-to-do families could afford to attend cursinhos and to obtain more chances for higher education. (Haussman and Haar, 1978; Haar, 1977)

Generally speaking, there is little in common between the two admission criteria and tactics. But the essential part is, in a sense, rather similar: the process of selection or admission of the two countries is strongly class-based. In China, those who have working class background or who are from workers' and peasants' origin have the advantage to enter the higher education institutions. Similarly, in Brazil, those who are from middle or upper class families have better opportunity to be admitted in national prestigious universities and vice versa.

3.3 Curriculum Content

Curriculum content in both countries became a major area of change in the sixties. Commonalties in the policy of curriculum change and implementation strategies adopted by both can be traced. China maintained a policy of political-moral oriented education combined with productive labour. Therefore, political subjects such as classics of Marxism and Leninism and Mao Zedong Thought became the core of the curriculum in colleges and universities all over China. In the meantime, 'open-door education' was a popular model of university instruction. In other words, students and teachers were required and encouraged to move their classroom from campuses to the factories, rural villages and army camps and receive education in remoulding their outlook by workers, peasants and soldiers. Through these activities both students and teachers were assessed. The attempt to establish political and ideological control is visible.

In the case of Brazil, under the guiding principle of 'efficiency and productivity', a central control of the curriculum content was the national policy in the sixties. The fact that the Federal Government defined the minimum curriculum for the courses of higher education through the Federal Council of Education was rather evident. Among most important changes in curriculum content was the emphasis on moral and civic education. It became a compulsory subject in universities. (M. Figueiredo, 1986)

Though the content of moral and civic education and its practice in Brazil is not the same as political and moral education in China, both of the courses are developed towards a similar goal i.e. to achieve the ideological control of the state in Brazil or the Party in China and to strengthen the national unity. At the same time, a spirit of devotion to the country and to the society is greatly encouraged. Moreover, loyalty to the Party is an important aspect in political and moral education in China. Both countries are trying to create a moral standard (also a political standard in the case of China), for the whole nation to follow. The major difference is the implementation strategies. In China, the adoption of political-moral education is through mass mobilisation on a voluntary base in theory, while in Brazil, moral and civic education was achieved through a top-down compulsory approach. (M. Figueiredo, 1986; Yuan et al., 1991)

Besides, radical changes also occurred in other curricula related aspects in China. For instance, the higher curriculum was condensed from four or five to two or three years; teaching materials were jointly prepared by workers, peasants and soldiers as well as teachers and students; workers, peasants and soldiers were regularly invited to give lectures in colleges and universities or outside the campus; and they became a main force for the supervision of the curriculum of political-moral education. (Yuan et al., 1991)

Conclusion

Both Chinese and Brazilian higher education reforms of the sixties are large in scale. There are changes in almost all the major aspects of higher education. Comparatively speaking, the change in higher education during the 'Great Cultural Revolution' in China is more radical, thorough and revolutionised than that of Brazil. It is a kind of unprecedented experiment in education, higher education in particular, not only in the Chinese history but also in world history of education.

The consequences of the two reforms are different. The consequences of the 'revolutionary' reform in China have become the major cause of change for the later reform in higher education. In other words, the Chinese higher education reform in the sixties ended in failure. However, the results of the 'evolutional' reform of the Brazilian higher education are not unsatisfactory, though the change took longer than that of China.

After the 'Great Cultural Revolution' in 1976, most of the practices before the 'Revolution' were restored in higher education. The administration was again centralised, the national entrance examination for higher education was back to the practice in 1977 and the curriculum content was reoriented to academic knowledge. But there are still some

continuities, i.e. the Party remains as the top authority to both administrative and academic affairs of higher education and its institutions, and Mao's idea of combining education with productive labour is still a focus of attention in higher education.

In Brazil, the reform of higher education started in 1968 is still being implemented. The reform has successfully reduced student unrest in university campuses and reaffirmed the orientation of capitalism. There is no sign of radical changes in administration, student admission and curriculum content of higher education, though modifications do occur sometimes.

The most interesting part of this comparative analysis is to perceive, through superficialities, the essence. On the surface, there is a great difference between ideology, policies and implementation strategies of higher education reform in both China and Brazil. Once the in-depth study is conducted through comparative analysis, commonalities in nature are explored.

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ANEXO 6

EVOLUTION OF THE HIGHER EDUCATION SYSTEM IN CHINA AND THE MAIN CHALLENGES IT FACES

By Wei Yang, President of GUNI Asia and Pacific (2008) –

The president of the GUNI Asia-Pacific network talked about the evolution of the higher education system in China and the main challenges it faces

Wei Yang, President of GUNI Asia-Pacific and of the Zhejiang University reflected on the main challenges facing China's higher education system and institutions in the twenty-first century and the way they are trying to develop a harmonic approach to development. He stressed the importance of quality assurance due to the rapid growth of the Chinese educational system. He also explained some of the projects and strategies that are being deployed in order to overcome these challenges.



1. China's higher education system is currently the largest in the world, with over 23 million students and more than 2,200 institutions. In this context, what are the main challenges that you face in order to be able to guarantee the quality of the system?

Since 1998 **the number of university students has increased by almost three times**, which has created a big challenge for Chinese universities. In 2006, our Prime Minister gave a national address on the issues faced by the nation, and for higher education he proposed to improve quality from now on. Rapid growth in student numbers was a goal that we have already attained, but now the challenge is to improve quality. Basically, we have two strategies.

Firstly, the Ministry of Education imposed a **quality assurance measure** for all higher education institutions under which every institution has to be surveyed every five years. Also, every year about 200 universities are to be reviewed via on-site inspections by a group of experts. They will visit campuses, look at records, check examination papers, analyze university budgets, talk to students, and calculate the average ratio of students to teachers, among other things. The whole measure is an attempt to **assure and enhance the basic quality** of higher education.

The second strategy is to try to push top Chinese universities to become **world class universities**. There are two major projects underway for this purpose. The aim of the first is to raise one hundred Chinese universities to world class level in the 21st Century. To this end, there is a government-led effort to develop those **leading universities**. The aim of the second project, called 985 - due to the 100th anniversary of Beijing University in May 1998 - is to give special support to about thirty universities to try to improve the quality of their faculties and research facilities and increase the amount of international collaboration in which they participate.

2. How is China treating the role of higher education in society?

Although in China we have 70 top universities, directly supervised by the national government, there are about **2.000 that are financed and supervised by local governments**. This is a big issue, because all these universities have to collaborate with local authorities for the technological and social development of their regions.

An example of this type of interaction is the university where I come from, **Zhejiang University**, located in Hangzhou, the capital of the Zhejiang province with a population of six million people. Our university tries to be a role model for other universities by engaging in social service and by serving local and regional demands. We attempt to fulfil both the needs of the production system and of social development in Hangzhou. Under this goal we carried out the city planning for Hangzhou and the research needed for the development of the city. ***Harmony*** and a ***harmonic society*** are very popular political terms in China which we have adopted at the university. We want to contribute to making Hangzhou a harmonic city, taking advantage of its beautiful location and environment. We are working on projects in which we are trying to bring together the goals of industries, economic development, engineering projects and environmental protection. The university is also getting involved with local farmers in order to help them build what we call "a new countryside".

3. So, there is a social contribution...

Yes. We recently created a research institute for development in the West China region, an area to be developed. The goals are to help the West in technical transformation, in planning and in management. We want to promote education and the regional development of the West using the know-how and experience we have in the East. So, we have also created an institute sponsored by China's National Committee for Social Development and Production Power as a link between East and West. During the Second World War my university had to move to the West, and we have the feeling that *'the West saved us from the invasion'*. In our case, due to an emotional tie with that area, the president of the university frequently sends our professors to that university to help them.

4. Finally, when will Chinese society enjoy broader access to higher education?

Currently, the gross enrolment ratio in China is 23%, which means that we are moving from elite higher education ratios to popular ones. This has happened very quickly, because in 1998 the ratio was fewer than 10%. According to the National Higher Education Plan, the goal is to reach 40% in 2020.

Nevertheless, although the increase is important, we are still a developing country. Our average GDP per capita is only a little over 2,000 US dollars per year. At that level we cannot consider a very quick transition to broad access to higher education to be possible. Of course there are differences between regions. In Zhejiang, for instance, which is a relatively rich region with an average income of 6,000 US dollars a year, the ratio is already over 35%. So, this question depends on regional economics.

Indeed, growth depends on the capacity of local governments to give more support to universities and on the capacity of families to afford tuition fees, which in China are about 600 US dollars a year. In Zhejiang, then, tuition can cost a third of a family's salary. Chinese families, and especially poor families, usually save money to invest in their children's access to university. So, on the one hand, tuition fees are important to support that investment but, on the other hand, due to the effort many families make, it is also important to guarantee quality assurance measures at universities, especially the newest universities that we have created, as well as at all levels of education.

Professor Wei Yang **received his Bachelor's and Master's degrees at North Western Technical University (China) in 1976 and Tsinghua University (China) in 1981 before moving on to study in the United States where he obtained a doctoral degree in Solid Mechanics at Brown University in 1985. He is specialized in combined microscopic and macroscopic fracture mechanics, failure mechanics for micro-electronic devices, toughening of structural materials, and composite lattice materials. He has been President of Zhejiang University since 2006 and is also a Professor of Solid Mechanics in the Department of Engineering Mechanics, Tsinghua University. From 2004 to 2006, he was Chief Officer of the Academic Degrees Committee of State Council (ADCSC), a governmental organization in charge of degrees and postgraduate education in China. He is currently President of the GUNI Asia-Pacific network. He has published widely in his field and is a member of the Chinese Academy of Science.**

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